

# Catalog Of Federal Domestic Assistance



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



U.S. General Services  
Administration  
Washington, DC 20405

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# INTRODUCTION

## Catalog of Federal Domestic Assistance

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

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

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

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

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

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

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

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

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

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

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

GPO will continue printing and selling the CFDA to interested buyers. For information about purchasing the Catalog of Federal Domestic Assistance from GPO, call the Superintendent of Documents at 202-5121800 or toll free at 866-512-1800, or you may reach GPO's on-line bookstore at <http://bookstore.gpo.gov>.

## Types Of Assistance

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

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

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

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

## Contents of the Catalog

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

Programs in the Catalog provide information on the:

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

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

- Agriculture

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

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

The Catalog does not include:

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

## Organization of the Catalog

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

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

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

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

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

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

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

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

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

Users should also consult the following listings:

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

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

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

**PROGRAM DESCRIPTIONS** -- The center section of the printed Catalog and the listings available on this web site contain descriptions of Federal programs listed by program number in the same numerical sequence as in the Agency Program Index. Detailed information concerning programs is contained under

the description headings of each Catalog program. The following is an explanation of each program description heading followed by examples of the type of information found under each heading.

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

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

Example: 93.259 Mental Health -- Children's Services

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

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

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

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

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

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

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

Example: Project Grants.

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

Example: Support for Continuation Grants only. Program authorizes funds on a matching basis for initial staffing of facilities offering mental health services for children. Staffing grants may be used for a portion of the costs of professional and technical personnel to operate a facility for child mental health services; a higher percentage may be paid if an area has been designated a poverty area by

the Secretary, HHS. The proposed program must provide consultation and coordinating services with other community agencies serving children in service area, and must include a plan with the means by which it will be evaluated.

#### **ELIGIBILITY REQUIREMENTS:**

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

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

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

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

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

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

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

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

**Preapplication Coordination** -- This section indicates whether any prior coordination or approval is required with governmental or nongovernmental units prior to the submission of a formal application to the Federal funding agency. For example, programs may require: (1) State agency approval prior to the submission of an application to a Federal agency; (2) the submission of environmental impact information as required by the National Environmental Policy Act of 1969, and Executive Order 11514 of March 4, 1970; (3) coordination with the policies of the recently revised OMB Circular No. A-102, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" (referenced here for construction, land acquisition, and land development projects for which Federal funding exceeds \$100,000); (4) coverage for eligibility under Executive Order 12372, "Intergovernmental Review of Federal Programs"; or (5) a preapplication or

preapplication conference. Applicants should also ascertain from the Federal agency the existence of other circular requirements not indicated by this section, and from the State, any State requirements that may be in effect. In cases where E.O. 12372 is not applicable to the program, a disclaimer statement is included referencing the exclusion, e.g., "This program is excluded from coverage under E.O. 12372."

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

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

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

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

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

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

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

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

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

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

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

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

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

#### **ASSISTANCE CONSIDERATIONS:**

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

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

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

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

Example: Staffing: Federal funds on a decreasing percentage basis over a period

of 8 years 90 percent - 1st and 2nd years; 80 percent - 3rd year; 75 percent - 4th and 5th years; 70 percent - 6th, 7th and 8th years. Nonpoverty areas are entitled to: 80 percent - 1st and 2nd years; 75 percent - 3rd year; 60 percent - 4th year; 45 percent - 5th year; 30 percent - 6th, 7th and 8th years.

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

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

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

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

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

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

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

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

#### **FINANCIAL INFORMATION:**

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

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

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

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

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

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

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

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

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

Example: Interim guidelines available in application kits.

#### **INFORMATION CONTACTS:**

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

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

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

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

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

Example: Dr. Steven Sharfstein, Acting Director, Division of Mental Health

Service Programs, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 123-4567. Use same number for FTS.

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

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

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

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

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

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

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

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

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

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

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

**Appendix V -- Sources of Additional Information:**  
Information pertaining to Federal programs is available from Federal



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

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

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

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

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

# AGENCY INDEX SUMMARY

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

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## **DEPARTMENT OF AGRICULTURE (10.001-10.999)**

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

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

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

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

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

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

### **Farm Service Agency (10.051, 10.055, 10.086)**

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

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

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

### **Forest Service (10.666, 10.675, 10.681-10.683, 10.685-10.691)**

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

### **National Institute of Food and Agriculture (10.200, 10.202-10.203, 10.205-10.207, 10.210, 10.212, 10.215-10.217, 10.219-10.223, 10.225-10.228, 10.303-10.312, 10.314-10.316, 10.500)**

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

### **Natural Resources Conservation Service (10.072, 10.901-10.905, 10.907, 10.912-10.914, 10.916-10.917, 10.920-10.923)**

Develops and carries out a national soil and water conservation program in cooperation with landowners, operators and other land users and developers,

# AGENCY INDEX SUMMARY

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

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

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

## **Rural Development (10.410-10.411, 10.417, 10.420, 10.427, 10.433, 10.438, 10.442, 10.444-10.446, 10.448, 10.759-10.761, 10.763, 10.766, 10.770, 10.780-10.781, 10.783, 10.788-10.789, 10.850-10.851, 10.855, 10.857-10.859, 10.861, 10.863-10.864, 10.886)**

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

## **Rural Housing Service (10.447)**

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

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

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

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

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### **Economic Development Administration (11.010, 11.300, 11.302-11.303, 11.307, 11.312-11.313)**

The EDA's mission is to lead the federal economic development agenda by

promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy.

### **National Institute of Standards and Technology (NIST) (11.013, 11.609, 11.611, 11.616, 11.618)**

NIST's mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. This mission is carried out through four major programs: the NIST Laboratories, the Technology Innovation Program (TIP), the Hollings Manufacturing Extension Partnership (MEP) program, and the Baldrige National Quality Program. In addition, NIST's Construction for Research Facilities supports projects for new buildings and renovation and maintenance of current buildings and laboratories, and awards competitive construction grants for research science buildings.

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

The America COMPETES Act (PL 110-69, signed on August 9, 2007) created the Technology Innovation Program (TIP) at NIST to support, promote, and accelerate innovation in the United States through high-risk, high-reward research in areas of critical national need. TIP is aimed at speeding the development of innovative and transformative research targeted to address key societal challenges. Funding is provided to industry (small and medium-sized businesses), universities, and consortia for research on potentially revolutionary technologies for meeting critical national needs that present high technical risks with commensurate high rewards if successful. The primary mechanism for this support is cost-shared research grants, cooperative agreements, or contracts awarded on the basis of merit competitions.

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

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

Competitive Construction Grants provide competitively awarded grant funds for research science buildings through construction of new buildings or the expansion of existing buildings. Research science buildings are buildings or facilities whose purpose is to conduct scientific research, including laboratories, test facilities, measurement facilities, and / or observatories.

### **National Oceanic and Atmospheric Administration (NOAA) (11.008, 11.011-11.012, 11.400, 11.407-11.408, 11.413, 11.415, 11.417, 11.419-11.420, 11.426-11.427, 11.429-11.441, 11.443-11.445, 11.450, 11.452, 11.454-11.455, 11.457, 11.459-11.460, 11.462-11.463, 11.467-11.469, 11.472-11.474, 11.478, 11.481)**

Reports the weather of the U.S. and its possessions and provides weather forecasts to the general public, issues warnings against such destructive natural

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

## **National Telecommunications and Information Administration (11.009, 11.553)**

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

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

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

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

Includes two lead offices: the Office of Naval Research and the Office of Naval Technology. The Chief of Naval Research is responsible for the Department of Navy Research (6.1) and Exploratory Development (6.2) Programs. The Chief of Naval Research is responsible to the Secretary of the Navy through the Assistant Secretary (Research, Engineering and Systems) and is a principal

adviser to the latter. The Chief of Naval Research is also responsible for providing leadership, management, and direction to the Department of Navy research and exploratory development programs and other research, development, technology, and equipment programs assigned to and conducted by the Office of the Chief of Naval Research; developing and formulating viable and responsive naval research and technology requirements based on current and projected Navy and Marine Corps long-range objectives and considerations of national security; and coordinating naval research and promoting cooperative research efforts within the Department of the Navy with other elements of the Department of Defense, National Science Foundation, National Aeronautics and Space Administration, Department of Energy, and other government research groups. The Office of Naval Research also conducts research in conjunction with the research and development conducted by other Department of Navy activities, coordinates the Naval Basic Research Program, and conducts a contract management program with educational institutions in support of all Federal agencies. The Office of Naval Technology, established in October 1980, manages the Department of Navy's Exploratory Development (6.2) Program, assessing, planning, programming, budgeting, directing, and monitoring the program, and manages the oversight activities in regard to the Industrial Independent Research and Development Program.

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

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

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

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

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

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

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

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## Office of the Secretary of Defense (12.558)

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

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

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

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

The Assistant Secretary for Public and Indian Housing (PIH) directs the Department's low-income public housing program. This program provides funds for the development, operation, and modernization of public housing, including such housing for American Indians. It also promotes resident management and ownership of public housing. PIH administers Public and Indian Housing Programs, including rental and homeownership programs and provides technical and financial assistance in planning, developing, and managing low-income projects; provides operating subsidies for Public Housing Agencies (PHAs) and Indian Housing Authorities (IHAs), including procedures for the review of the management of PHAs and IHAs; administers the Capital Fund Program for the modernization of low-income housing projects to upgrade living conditions, correct physical deficiencies, and achieve operating efficiency and economy; administers the Resident Initiatives Program for resident participation, resident management; homeownership, economic development and supportive services, and drug-free neighborhood programs; implements and monitors program

requirements related to program eligibility and admission of families to public and assisted housing, tenant income and rent requirements pertaining to continued occupancy; administers the HOPE VI and Vacancy Reductions Programs; administers the Section 8 Housing Choice Vouchers Program and the Moderate Rehabilitation Program; coordinates all departmental housing and community development programs for Indian and Alaska Natives; and awards grants to PHAs and IHAs for the construction, acquisition and operations of Public and Indian Housing Projects.

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

## Office of Community Planning and Development (14.218, 14.225, 14.227-14.228, 14.231, 14.235, 14.238-14.239, 14.241, 14.246-14.252)

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

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

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

## Office of Healthy Homes and Lead Hazard Control (14.900-14.901, 14.905-14.906, 14.911-14.912)

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

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## **Office of Housing-Federal Housing Commissioner (14.103, 14.108, 14.110, 14.112, 14.117, 14.119, 14.122-14.123, 14.126-14.129, 14.133-14.135, 14.138-14.139, 14.142, 14.149, 14.151, 14.155, 14.157, 14.159, 14.162-14.163, 14.167-14.169, 14.171-14.172, 14.175, 14.181, 14.183-14.184, 14.188-14.189, 14.191, 14.195, 14.197-14.199, 14.311, 14.313-14.316)**

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

## **Office of Policy Development and Research (14.506, 14.514-14.517, 14.519-14.520)**

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

## **Office of Public and Indian Housing (14.850, 14.856, 14.862, 14.865-14.867, 14.869-14.874, 14.876-14.881)**

The Assistant Secretary for Public and Indian Housing (PIH) directs the Department's low-income public housing program. This program provides funds for the development, operation, and modernization of public housing, including such housing for American Indians. It also promotes resident management and ownership of public housing. PIH administers Public and Indian Housing Programs, including rental and home-ownership programs and provides technical and financial assistance in planning, developing, and managing low-income projects; provides operating subsidies for Public Housing Agencies (PHAs) and Indian Housing Authorities (IHAs), including procedures for the review of the management of PHAs and IHAs; administers the Capital Fund

Program for the modernization of low-income housing projects to upgrade living conditions, correct physical deficiencies, and achieve operating efficiency and economy; administers the Resident Initiatives Program for resident participation, resident management; home-ownership, economic development and supportive services, and drug-free neighborhood programs; implements and monitors program requirements related to program eligibility and admission of families to public and assisted housing, tenant income and rent requirements pertaining to continued occupancy; administers the HOPE VI and Vacancy Reductions Programs; administers the Section 8 Housing Choice Vouchers Program and the Moderate Rehabilitation Program; coordinates all departmental housing and community development programs for Indian and Alaska Natives; and awards grants to PHAs and IHAs for the construction, acquisition and operations of Public and Indian Housing Projects.

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

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

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

## **Bureau of Indian Affairs (15.020, 15.026, 15.033, 15.035-15.037, 15.040-15.041, 15.047-15.048, 15.051-15.053, 15.065, 15.108, 15.141)**

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

## **Bureau of Indian Education (15.027-15.028, 15.042-15.046, 15.059, 15.114, 15.130)**

No Description Provided

## **Bureau of Land Management (15.225, 15.231, 15.233, 15.236, 15.241)**

Has responsibility for the total management of 341 million acres of public lands located primarily in the Far West and Alaska and scattered parcels located in other States. In addition to minerals management responsibilities on the public lands and the Outer Continental Shelf, the Bureau is responsible for subsurface resource management of an additional 169 million acres where mineral rights have been reserved to the Federal Government. Resources managed by the Bureau include timber, minerals, oil and gas, geothermal energy, wildlife habitat, endangered plant and animal species, rangeland vegetation, recreation and cultural values, wild and scenic rivers, designated conservation and wilderness areas, and open space; provides for the protection (including fire

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suppression), orderly development, and use of public lands and resources under principles of multiple use and sustained yield. Land use plans are developed with public involvement to provide orderly use and development while maintaining and enhancing the quality of the environment; manages watersheds to protect soil and enhance water quality; makes land available through sale to individuals, organizations, local governments, and other Federal agencies when such transfer is in the public interest. Lands may be leased to State and local government agencies and to nonprofit organizations for certain purposes; the Bureau issues rights-of-way, in certain instances, for crossing Federal lands under other agencies' jurisdictions; is responsible for the survey of Federal lands and establishes and maintains public land records and records of mining claims; and also administers a program of payments in lieu of taxes based on the amount of Federally-owned land in counties and other units of local government.

## **Bureau of Reclamation (15.504, 15.506-15.507, 15.509-15.510, 15.512, 15.514, 15.516-15.518, 15.520, 15.522-15.525, 15.528, 15.531-15.534, 15.536-15.541)**

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

## **Fish and Wildlife Service (15.605, 15.608, 15.611, 15.615, 15.619-15.623, 15.626, 15.628-15.631, 15.634-15.637, 15.639-15.641, 15.656-15.661)**

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

## **Minerals Management Service (15.421-15.424, 15.426-15.427)**

The Minerals Management Service was established on January 19, 1982, by Secretarial order. The Service assesses the nature, extent, recoverability, and value of leasable minerals on the Outer Continental Shelf. It ensures the orderly and timely inventory and development and the efficient recovery of mineral resources; encourages utilization of the best available and safest technology; and safeguards against fraud, waste, and abuse.

## **National Park Service (15.931, 15.933-15.936)**

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

## **Office of Surface Mining (15.252-15.254)**

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

## **Office of Territorial and International Affairs (15.875)**

No Description Provided

## **U.S. Geological Survey (15.817-15.820)**

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

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

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

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

## **Bureau of Justice Assistance (16.202, 16.571, 16.578-16.580, 16.585-16.586, 16.593, 16.596, 16.606-16.611, 16.614-16.616, 16.735, 16.737-16.738, 16.740, 16.745-16.746, 16.751-16.755, 16.812, 16.814)**

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

## **Bureau of Justice Statistics (16.550, 16.554, 16.734, 16.739, 16.813)**

The primary source for justice statistics in the United States. BJS collects, analyzes, publishes, and disseminates information on crime, criminal offenders,

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

## **Corrections Program Office (16.203)**

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

## **Drug Enforcement Administration (16.001, 16.003-16.004)**

Enforces the controlled substances laws and regulations, and brings to the criminal and civil justice system of the United States or any other competent jurisdiction, those organizations, and principal members of organizations involved in the cultivation, manufacture, or distribution of controlled substances appearing in or destined for the illicit traffic in the United States. DEA's mission requires it to provide a leadership role in narcotic and dangerous drug suppression programs at the national and international level.

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

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

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

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

## **National Institute of Justice (16.560, 16.562, 16.566, 16.741-16.742, 16.748)**

Supports basic and applied research into criminal justice issues. Innovative approaches to controlling criminal behavior and improving law enforcement and

criminal justice are tested and evaluated. Research results are disseminated through a wide variety of mechanisms including the quarterly "NIJ Reports" and a Research in Brief series designed for policy makers and criminal justice professionals. The Institute maintains a national and international clearinghouse on criminal justice issues. Its services are available to policymakers, criminal justice professionals, and the general public.

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

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

## **Office of Juvenile Justice and Delinquency Prevention (16.523, 16.540-16.541, 16.543-16.544, 16.547-16.548, 16.726-16.727, 16.730-16.731, 16.744, 16.756-16.758)**

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

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

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

## **Violence Against Women Office (16.013-16.014, 16.016-16.017, 16.019, 16.524-16.529, 16.556-16.557, 16.587-16.590, 16.736, 16.805-16.806)**

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

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



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

The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP was established to bring a heightened, permanent focus to address the significant employment obstacles faced by individuals with disabilities and to ensure coordination among Federal agencies on matters related to or affecting people with disabilities. ODEP's research provides new knowledge used to develop evidence-based disability employment policies and practices for dissemination to workforce systems and partners. ODEP works to achieve its mission through collaborating on inter- and intra-agency initiatives, commissions, councils, and workgroups; building partnerships with Federal, state, local, and non-governmental stakeholders; reviewing Federal legislation and policies; designing and conducting research studies; highlighting and promoting policies and practices that increase the employment of people with disabilities; and implementing education and outreach initiatives. ODEP's stakeholders include Federal, state, and local government agencies, private and public employers and their employees, educational and training institutions, individuals with disabilities and their families, and the disability community.

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

The Bureau of Labor Statistics (BLS) is the principal fact-finding agency for the Federal Government in the broad field of labor economics and statistics. The BLS is an independent national statistical agency that collects, processes, analyzes, and disseminates essential statistical data to the American public, the U.S. Congress, other Federal agencies, State and local governments, business, and labor. The BLS also serves as a statistical resource to the Department of Labor. BLS data must satisfy a number of criteria, including relevance to

current social and economic issues, timeliness in reflecting today's rapidly changing economic conditions, accuracy and consistently high statistical quality, and impartiality in both subject matter and presentation.

## **Employee Benefits Security Administration (17.150-17.151)**

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

## **Employment Standards Administration (17.301-17.303, 17.306-17.308, 17.310)**

Administers and directs employment standards programs dealing with: minimum wage and overtime standards; registration of farm labor contractors; determining prevailing wage rates to be paid on Government contracts and subcontracts; nondiscrimination and affirmative action for minorities, women, veterans, and handicapped workers on Government contracts and subcontracts; and workers' compensation programs for Federal and certain private employers and employees and, administers provisions of various laws that seek to ensure basic standards of democracy and fiscal responsibility in labor organizations representing employees in private industry, in the U.S. Postal Service, and in certain Federal employee organizations.

## **Employment Training Administration (17.201, 17.207, 17.225, 17.235, 17.245, 17.258-17.261, 17.264-17.278)**

The Employment and Training Administration (ETA) administers and oversees a number of programs designed to assist unemployed, unskilled, dislocated workers and the economically disadvantaged get the job training and other services needed to become fully productive members of society, while improving the skills and productivity of those already employed. ETA fulfills a wide range of responsibilities assigned to the Secretary of Labor relating to employment services, job training, and unemployment insurance. ETA funds training programs which enable workers to attain the skills needed for employment; administers a Federal-State employment service system which helps people find jobs and employers find workers. It also offers wage replacement programs for workers who lose their jobs through no fault of their own, such as the Unemployment Insurance (UI) and the Trade Adjustment Assistance (TAA) programs. Special efforts are made to address the unique job market problems of groups having difficulty entering or returning to the work force, such as older workers, school dropouts, displaced homemakers and individuals with disabilities. ETA also is responsible for promoting apprenticeship standards and programs and conducting programs of research, development and evaluation. The Job Training Partnership Act, enacted in 1982, is designed to provide training and related education and employment services to economically disadvantaged adults and youth to ensure that they have the required marketable skills leading to productive, unsubsidized employment. JTPA also provides reemployment and retraining services for workers dislocated through plant closings or mass layoffs. Block grants are provided to the States and U.S. territories for the operation of the program. JTPA provides for a summer youth employment and training program and Job Corps as well as special activities which offer basic skills training, job training and support services for special targeted groups such as Native Americans, and seasonal and migrant farmworkers. Implementing regulations for JTPA issued by the Department of Labor are contained in Title 20 of the Code of Federal

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Regulations, Parts 626-638 and 675-684. Effective July 1, 2000, JTPA is repealed and replaced by the Workforce Investment Act (WIA). WIA establishes, with States and local communities, a revitalized workforce investment system that provides workers with the information, advice, job search assistance, and training they need to get and keep good jobs, and provides employers with skilled workers. WIA is administered through State and local Workforce Investment Boards and required partnerships of local One-Stop Career Centers. Funds are used for youth, adult and dislocated worker employment and training activities. The Act also authorizes a number of national programs and the Job Corps. The U.S. Employment Service (ES) seeks to match workers looking for employment with employers seeking workers, and is operated by the States. Programs such as Alien Labor Certification are also administered under the ES by State ES agencies through reimbursement agreements with the Department of Labor. The Senior Community Service Employment Program (SCSEP), or Older Worker Program is authorized by the Older Americans Act of 1965. It provides subsidized part-time community service work for unemployed low-income people ages 55 and over. The Assistant Secretary for Employment and Training is responsible for ensuring that programs funded through ETA are free from unlawful discrimination, fraud, and abuse. It is the policy of ETA to ensure full compliance with constitutional, statutory, and regulatory provisions and to promote equal opportunity, affirmative action, and fund integrity in programs to which ETA extends financial assistance.

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

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

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

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

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

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

employment opportunities and the recruitment, retention, and promotion of people with disabilities.

## **Office of Labor-Management Standards (17.309, 17.311)**

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

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

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

## **Veteran's Employment and Training Service (17.801-17.807)**

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

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

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

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

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

## **Bureau of Near Eastern Affairs (19.016)**

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No Description Provided

## **Bureau of Oceans and International Environmental and Scientific Affairs (19.017)**

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

## **Bureau of Personnel (19.013)**

No Description Provided

## **Bureau of Population, Refugees, and Migration (19.018, 19.510-19.511, 19.517-19.520, 19.522)**

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

## **Trafficking in Persons (19.019)**

The Office to Monitor and Combat Trafficking in Persons is on a mission to eradicate modern-day slavery, and, on this Web site, we invite you to learn about our approach of victim protection, prosecution of traffickers and prevention of trafficking. You can find information about programs the U.S. funds to help victims and improve law enforcement efforts worldwide, learn what you can do, and, of course, read our annual report on the actions countries are taking to combat trafficking in persons. This work, and cooperation around the world, is vital.

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

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Under the authority of the motor carrier safety provisions of Title 49 of the United States Code, the agency exercises Federal regulatory jurisdiction over the safety performance of all commercial motor carriers engaged in interstate

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

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

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

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

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

## **Federal Motor Carrier Safety Administration (FMCSA) (20.218, 20.231-20.232, 20.234-20.235, 20.237-20.239)**

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

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grade crossings, and commercial operations such as commercial driver license and hours-of-service regulations.

## **Federal Railroad Administration (FRA) (20.301, 20.313-20.318, 20.320)**

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

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

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

## **Maritime Administration (MARAD) (20.763, 20.802-20.803, 20.806-20.808, 20.812-20.814)**

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

## **National Highway Traffic Safety Administration (NHTSA) (20.600-20.602, 20.607-20.615)**

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

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

Develops and evaluates public policy related to the transportation industries and their economic regulation; assures that the Department's regulatory programs remain consistent with established policy and maintains oversight of all departmental safety regulatory actions; proposes and coordinates on transportation-related legislation involving the private sector; provides analyses of current and emerging transportation policy issues to assess their economic and institutional implication, particularly with regard to Federal assistance, public

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trust funds, user charges, nondiscrimination of the handicapped in the provision of public transportation services, and energy and environmental aspects; undertakes studies and analyses to aid in the resolution of safety problems; develops policies to support the Department in aviation and maritime multilateral and bilateral negotiations with foreign governments and participates on the U.S. negotiating delegations; develops policies on a wide range of international transportation and trade matters; furnishes guidance to the United States Trade Representative's Trade Policy Committee in efforts to improve the U.S. balance of payments; coordinates efforts to combat transport-related terrorist acts and drug smuggling; arranges and coordinates cooperative agreements with foreign governments for the exchange of state-of-the-art scientific and technical information; provides assistance to the Agency for International Development's transportation programs in developing countries; and participates on the U.S.-Saudi Arabian Joint Commission for Economic Cooperation. The Assistant Secretary also: develops, coordinates, and carries out U.S. Government policy relating to the economic regulation of the airline industry, including licensing of U.S. and foreign carriers to serve in international air transportation and carrier fitness determinations; processes and resolves complaints concerning unfair competitive practices in international fares, rates, and tariff filings; establishes international and intra-Alaska mail rates; and determines the disposition of requests for approval and immunization from the antitrust laws of international aviation agreements. The Assistant Secretary also administers the essential air service program, which involves: establishing appropriate subsidy levels for subsidized carriers; processing applications to terminate, suspend, or reduce air service below the defined essential level; determining which carrier among various applicants should be selected to provide subsidized service; and continuously reviewing essential air service definitions for each community.

## **Pipeline and Hazardous Materials Safety Administration (20.700, 20.703, 20.710, 20.720-20.722)**

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

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

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

Through monetary awards and the allocation of tax credits, the CDFI Fund helps promote access to capital and local economic growth in urban and rural low-income communities across the nation.

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

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

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

highest degree of public confidence in the integrity and efficiency of the Service.

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

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

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

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

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

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

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

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

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

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discrimination against individuals with disabilities.

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

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

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

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

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

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

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

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

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

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

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Establishes policy and provides for the Government an economical and efficient system for the management of its property including construction and operation

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

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

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

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

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

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include books, periodicals, and other literary works, musical compositions, song lyrics, dramas and dramatic musical compositions, pictorial, graphic, and sculptural works pantomimes and choreographic works, motion pictures and other audiovisual works, and sound recordings. The Library extends its service through an interlibrary loan system; the photoduplication, at reasonable cost, subject to conditions of law, copyright, and deposit of books, manuscripts, maps, and newspapers, and prints in its collections; the sale of sound recordings, which are released by its Recording Laboratory; the exchange of duplicates with other institutions; the sale of printed catalog cards and magnetic tapes, and the publication in book format or microform of cumulative catalogs, which make available the results of the expert bibliographical and cataloging work of its technical personnel; a centralized acquisitions program whereby the Library of Congress acquires material published all over the world, catalogs it promptly, and distributes cataloging information in machine readable form as well as other means to the Nation's libraries; a cooperative catalog program, whereby the cataloging of data by name authority and bibliographic records, prepared by other libraries becomes part of the Library of Congress data base and distribute them through the MARC Distribution Service; a cataloging-in-publication program in cooperation with American publishers for printing and cataloging

information in current books; the National Serials Data Program, a national center that maintains a record of serial titles to which International Standard Serial Numbers have been assigned and serves, with this file, as the United States Register; and the development of general schemes of classification (Library of Congress and Dewey Decimal), subject headings, and cataloging, embracing the entire field of printed matter. The American Folklife Center in the Library of Congress, has a coordinative function both in and outside the Federal establishment to carry out appropriate programs to support, preserve, and present American folklife through such activities as the collection and maintenance of archives, scholarly research, field projects, performances, exhibitions, festivals, workshops, publications, and audiovisual presentations. The Center for the Book was established in the Library of Congress to provide a program for investigating the transmission of human knowledge and to heighten public interest in the role of books and printing in the diffusion of knowledge. Drawing on the resources of the Library of Congress, the Center works closely with other organizations to explore important issues in the book and educational communities, to encourage reading, and to encourage research about books and about reading. Its goal is to serve as a useful catalyst by bringing together authors, publishers, librarians, booksellers, educators, scholars, and readers to discuss common concerns and work toward the solution of common problems. The Library provides technical information related to the preservation and restoration of library and archival material. A series of leaflets on various preservation and conservation topics has been prepared by the Preservation Office. Information and publications are available from the National Preservation Program Office, Library of Congress. A free national library program of braille and recorded materials for blind and physically handicapped persons is administered by the National Library Service for the Blind and Physically Handicapped (NLS), Library of Congress. With the cooperation of authors and publishers who grant permission to use copyrighted works, NLS selects and produces full-length books and magazines in braille on recorded disc and cassette. Reading material are distributed to a cooperating network of regional and subregional (local) libraries where they are circulated to eligible borrowers. Reading material and playback machines are sent to borrowers and returned to libraries by postage-free mail. Established by an act of Congress in 1931 to serve blind adults, the program was expanded in 1952 to include children, in 1962 to provide music materials, and again in 1966 to include individuals with other physical impairments that prevent the reading of standard print. Information and publications are available from the National Library Service for the Blind and Physically Handicapped, Library of Congress, Washington, DC 20542.

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

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

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

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

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

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

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

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

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

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

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

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Promotes and supports the production and dissemination of knowledge in the humanities. The term "humanities" includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics;

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the history, criticism, and theory of the arts; and those aspects of the social sciences that employ historical or philosophical approaches. The Endowment makes grants to individuals, groups, or institutions (schools, colleges, universities, museums, public television stations, libraries, public agencies, and nonprofit private groups) to increase understanding and appreciation of the humanities.

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

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

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

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

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

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

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

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

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

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

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

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Administers the National Cemetery Administration, which provides cemeterial services to veterans and other eligibles as prescribed by the Secretary of Veterans Affairs pursuant to the provisions of the National Cemeteries Act of 1973 and other statutory authorities and regulations. These services also include providing headstones and markers for the graves of eligibles in national and

State veterans cemeteries and for veterans interred in private cemeteries. Monetary aid to States for establishment, expansion, and improvement of veterans' cemeteries is also available.

## **National Cemetery System (64.201-64.203)**

Administers the National Cemetery Administration, which provides cemeterial services to veterans and other eligibles as prescribed by the Secretary of Veterans

Affairs pursuant to the provisions of the National Cemeteries Act of 1973 and other

statutory authorities and regulations. These services also include providing headstones and markers for the graves of eligibles in national and State veterans cemeteries and for veterans interred in private cemeteries. Monetary aid to States for establishment, expansion, and improvement of veterans' cemeteries is also available.

## **VA Health Administration Center (64.005)**

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

## **Veterans Benefits Administration (64.101, 64.104, 64.116, 64.125)**

Conducts an integrated program of veterans benefits: The Compensation and Pension (C & P) Service has responsibility for: claims for disability compensation, pension, and Spina Bifida monthly allowance under 38 U.S.C. 1805; automobile allowances and special adaptive equipment; claims for specially adapted housing; special clothing allowances; emergency officer's retirement pay; eligibility determinations based on military service for other VA benefits and services or those of other Government agencies; survivor's claims for death compensation, dependency and indemnity compensation, death pension, burial and plot allowance claims; claims for accrued benefits; forfeiture determinations; claims for adjusted compensation in death cases; and claims for reimbursement for headstones or markers. The Education Service has responsibility for: readjustment education benefits for post-Vietnam era veterans and recently-discharged veterans, as well as educational assistance for spouses, surviving spouses, and children of veterans who are permanently and totally disabled or die from disability incurred or aggravated in active service in the Armed forces, or are currently prisoners of war or missing in action. In addition, certain members of the selected Reserve or National Guard are also eligible for education benefits administered by the Service. Vocational Rehabilitation Service has responsibility for the rehabilitation of disabled veterans. Information, advice, and assistance are provided to veterans, their dependents and beneficiaries, representatives and others in applying for benefits administered by the Department of Veterans Affairs. Benefit information and readjustment assistance is provided to recently separated veterans. C&P also maintains a benefits protection program (fiduciary activities) for minors and incompetent veterans and other incompetent adult beneficiaries and provide field-investigative services. Special restorative training is also available to eligible children. The mission is also to provide credit assistance whereby the housing credit needs of eligible veterans and active duty service personnel may be satisfied by private capital on more liberal terms than generally available to non-veterans. Assistance is provided chiefly through substituting the Government's guaranty on loans made by private lenders in lieu of the downpayments, shorter terms, and other requirements generally required in



# AGENCY INDEX SUMMARY

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conventional home mortgage transactions. Direct loans are made to Native Americans on trust land or to supplement a grant to get a specially adapted home for certain eligible veterans who have a permanent and total service-connected disability(ies). In addition, a system of direct financial grants is operated to help certain permanently disabled veterans to acquire specially adapted housing. VA life insurance operations are for the benefit of service members, veterans, and their beneficiaries. In addition, the VA is responsible for: supervision of the Servicemen's Group Life Insurance (SGLI) and Veterans Group Life Insurance (VGLI) Programs for today's service members and veterans. The Veterans' Insurance Act of 1974 (88 Stat. 165; 38 U.S.C. 765-779), effective May 24, 1974, has substantially amended the law provided for the conversion of SGLI to a 5-year nonrenewable term policy known as Veterans Group Life Insurance (VGLI). At the termination of the 5-year term period, it may be converted to an individual policy with any one of the many participating commercial insurance companies. Supervision of the Veterans Mortgage Life Insurance Program for those disabled veterans who receive a VA grant for specially adapted housing - under the terms of contractual agreement with a Primary Insurer. VA guarantees the protection of commercial life insurance (up to \$10,000) against premium payments for persons while in military or naval service, and 2 years thereafter.

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

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

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

### **Office of Air and Radiation (66.001, 66.032-66.034, 66.036-66.041)**

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

### **Office of Enforcement and Compliance Assurance (66.305, 66.309-66.310, 66.312, 66.604, 66.700-66.701, 66.709)**

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

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

No Description Provided

### **Office of International Affairs (66.931)**

No Description Provided

### **Office of Pollution Prevention and Toxics Substances (66.707-66.708, 66.714-66.718)**

No Description Provided

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

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

### **Office of Solid Waste and Emergency Response (66.035, 66.801-66.802, 66.804-66.806, 66.808-66.810, 66.812-66.818)**

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

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

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

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

No Description Provided

### **Office of Water (66.418-66.419, 66.424, 66.432-66.433, 66.436-66.437, 66.439, 66.454, 66.456, 66.458, 66.460-66.463, 66.466-66.469, 66.471-66.475, 66.478-66.481, 66.926)**

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

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## **Region 1 (66.110)**

No Description Provided

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

No Description Provided

## **Region 3 (66.113)**

No Description Provided

## **Region 7 (66.111)**

No Description Provided

## **Region 9 (66.117, 66.600)**

No Description Provided

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

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

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

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

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

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

## **COMMODITY FUTURES TRADING COMMISSION (78.001-78.999)**

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

## **DEPARTMENT OF ENERGY (81.001-81.999)**

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

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

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## DEPARTMENT OF EDUCATION (84.001-84.999)

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

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

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

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

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

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

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

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

help States initiate, expand, and improve their resources; and media services and captioned films for the deaf.

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

## Institute of Education Sciences (84.372, 84.384)

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

## Office of Educational Research and Improvement (84.206, 84.286-84.287, 84.295, 84.304-84.305)

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

## Office of Elementary and Secondary Education (84.004, 84.010-84.011, 84.013, 84.040-84.041, 84.060, 84.083, 84.141, 84.144, 84.149, 84.165, 84.184, 84.186, 84.196, 84.213-84.214, 84.256, 84.258, 84.282-84.283, 84.293, 84.299, 84.310, 84.318, 84.330, 84.350-84.351, 84.354, 84.356-84.364, 84.366-84.367, 84.369-84.371, 84.374, 84.377, 84.403)

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

## Office of English Language Acquisition (84.365)

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

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achievement standards that all children are expected to meet.

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

No Description Provided

## **Office of Innovation and Improvement (84.215, 84.336)**

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

## **Office of Postsecondary Education (84.015-84.019, 84.021-84.022, 84.031, 84.042, 84.044, 84.047, 84.066, 84.103, 84.116, 84.120, 84.153, 84.170, 84.185, 84.200, 84.217, 84.220, 84.229, 84.269, 84.274, 84.332-84.335, 84.337, 84.345, 84.375, 84.378, 84.381-84.383)**

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

## **Office of Special Education and Rehabilitative Services (84.027, 84.126, 84.128-84.129, 84.132-84.133, 84.160-84.161, 84.169, 84.173, 84.177, 84.181, 84.187, 84.224, 84.234-84.235, 84.240, 84.246, 84.250, 84.263-84.265, 84.275, 84.315, 84.323-84.329, 84.343, 84.373, 84.380, 84.391-84.393, 84.406)**

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

## **Office of Student Financial Assistance Programs (84.007, 84.032-84.033, 84.037-84.038, 84.063, 84.069, 84.268, 84.376)**

The Office is headed by the Department's Chief Operating Officer and is the Federal

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

## **Office of Vocational and Adult Education (84.002, 84.048, 84.051, 84.101, 84.191, 84.243, 84.245, 84.257, 84.259, 84.331)**

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

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

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

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

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

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

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

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

Fellowships are awarded that seek to strengthen secondary school teaching of

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

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

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

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

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

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

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

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

### **PENSION BENEFIT GUARANTY CORPORATION (86.001-86.999)**

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The Pension Benefit Guaranty Corporation guarantees payment of nonforfeitable pension benefits in covered, private-sector-defined benefit pension plans. Title IV of the Employee Retirement Income Security Act of 1974 (29 U.S.C. 1301 et seq.) provides for coverage of most private-sector-defined benefit pension plans

that provide a benefit based on factors such as age, years of service, and average or highest salary. The Corporation administers two benefit insurance programs separately covering single-employer and multi-employer plans. Nearly 40 million workers participate in more than 112,000 covered plans.

**Single-Employer Insurance:** Under the single-employer program, the Corporation guarantees payment of a covered plan's basic benefits if that plan terminates without sufficient assets to pay those guaranteed benefits.  
**Multi-employer Insurance:** Under Title IV of the Act, as originally enacted, the Corporation guaranteed nonforfeitable benefits for multi-employer plans in a similar fashion as for single-employer plans. However, the payment of guaranteed benefits was at the agency's discretion under the provisions of the law that remained in force until August 1, 1980. The Multi-employer Pension Plan Amendments Act of 1980 (29 U.S.C. 1001) revised the law applicable to multi-employer pension plans by changing the insurable event from plan termination to plan insolvency. In accordance with the Act, the Corporation provides financial assistance to plans that are unable to pay basic benefits. The plans are obligated to repay such assistance. The act also made employers withdrawing from a plan liable to the plan for a portion of its unfunded vested benefits. **Premium Collections:** All defined benefit pension plans covered by Title IV of Employee Retirement Income Security Act are required to pay premiums under prescribed rates to the Corporation.

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

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

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

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

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

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

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

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infrastructure facilitating the economic development of the region; business development; and job training or employment-related education.

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

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

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

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

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

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

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

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

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

# AGENCY INDEX SUMMARY

in brief. For more information please visit the Institute's web sit at [www.usip.org](http://www.usip.org).

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

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

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

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

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

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

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

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

### Administration on Aging (93.072, 93.705-93.707, 93.725)

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

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

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

### Agency for Toxic Substances and Disease Registry (93.161,

### 93.202, 93.204, 93.240)

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

### Centers for Disease Control and Prevention (93.061-93.070, 93.116, 93.118, 93.135-93.136, 93.184-93.185, 93.197, 93.262, 93.268-93.270, 93.283, 93.712, 93.717, 93.723-93.724, 93.919, 93.938-93.947, 93.977-93.978, 93.988, 93.991, 93.993)

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

### Centers for Medicare and Medicaid Services (93.720, 93.767-93.770, 93.773-93.774, 93.777-93.780, 93.784, 93.789-93.791, 93.793)

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

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

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

### Health Resources and Services Administration (93.107, 93.110, 93.117, 93.124, 93.127, 93.129, 93.134, 93.145, 93.153, 93.155-93.157, 93.162, 93.165, 93.178, 93.186, 93.191, 93.211-93.212, 93.223-93.224, 93.234, 93.241, 93.250-93.251, 93.253, 93.255, 93.257, 93.259, 93.264-93.267, 93.288, 93.300-93.301, 93.342, 93.358-93.359, 93.364-93.365, 93.400-93.412, 93.414-93.419, 93.703, 93.822, 93.824, 93.884, 93.887-93.888, 93.908, 93.912-93.914, 93.917-93.918, 93.923-93.926, 93.928, 93.964-93.965, 93.994)

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

### Indian Health Service (93.123, 93.164, 93.193, 93.210, 93.228, 93.231, 93.237, 93.284, 93.441-93.444, 93.722, 93.933, 93.954, 93.970-93.972)

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

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**National Institutes of Health (93.113, 93.121, 93.142-93.143, 93.172-93.173, 93.209, 93.213, 93.220, 93.232-93.233, 93.242, 93.271-93.273, 93.279-93.282, 93.285-93.286, 93.307-93.308, 93.310, 93.361, 93.389, 93.393-93.399, 93.701-93.702, 93.704, 93.837-93.839, 93.846-93.847, 93.853, 93.855-93.856, 93.859, 93.865-93.867, 93.879, 93.891, 93.936, 93.989)**

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

**Office of the Secretary (93.001, 93.089, 93.718-93.719, 93.721, 93.727-93.728, 93.889)**

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

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

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

**Program Support Center (93.291)**

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

**Substance Abuse and Mental Health Services Administration (93.104, 93.138, 93.150, 93.243, 93.275-93.276, 93.958-93.959, 93.975, 93.982)**

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

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

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

community teamwork, and provides educational opportunity for those who make a substantial commitment to service.

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

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On March 31, 1995, the Social Security Administration (SSA) became an independent agency. SSA administers a national program of contributory social insurance. Employees, employers, and the self-employed pay contributions which are pooled in special trust funds. When earnings cease or are reduced because the worker retires, dies, or becomes disabled, monthly cash benefits are paid to replace part of the earnings the family has lost. Part of the workers contribution goes into a separate hospital insurance trust fund. This fund helps disabled workers, retirees, and their dependents with their hospital bills. They may also elect to receive assistance with medical expenses. This is done by the workers paying a percentage of supplementary medical insurance premiums. The Federal government pays the balance. Together, these two programs are often referred to as "Medicare." Medicare protection is also provided, under certain conditions, to Railroad Retirement beneficiaries based on a disability. The principal functions of SSA include, but are not limited to; research and recommendations oriented to the problems of poverty; health care for the aged, blind, and disabled; long-range planning, design, and development of SSA administrative plans; data processing systems used in establishing and maintaining records essential to its' various programs; statistical measurement and systematic evaluation of its' programs; policy guidance for the administration of the OASDI and SSI programs; and development of programs and materials to assure that Congress, Federal and State agencies, and the general public have an adequate understanding of the protections, rights, and responsibilities under SSA administered programs. In addition, SSA, through a world-wide organization of ten regional offices, six program service centers, and over 1,300 field offices, guides and directs all aspects of the cash benefit program operations of SSA

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

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

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

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



# AGENCY INDEX SUMMARY

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promoting economic freedom, ruling justly, and investing in people.

# AGENCY PROGRAM INDEX

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

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

| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| <b>DEPARTMENT OF AGRICULTURE</b>  |           |               |
| <b>AGRICULTURAL MARKETING SERVICE</b>   |           |               |
| 10.153 Market News (L)  |           | X             |
| 10.155 Marketing Agreements and Orders (J,K)  |           | X             |
| 10.156 Federal-State Marketing Improvement Program (B)  | X         |               |
| 10.162 Inspection Grading and Standardization (J)   |           | X             |
| 10.163 Market Protection and Promotion (J,K,M)  |           | X             |
| 10.164 Wholesale Farmers and Alternative Market Development (K,M)                                 |           | X             |
| 10.165 Perishable Agricultural Commodities Act (N)  |           | X             |
| 10.167 Transportation Services (K,M)  |           | X             |
| 10.168 Farmers' Market Promotion Program (B)  | X         |               |
| 10.169 Specialty Crop Block Grant Program (B)   | X         |               |
| 10.170 Specialty Crop Block Grant Program - Farm Bill (B)   | X         |               |
| <b>AGRICULTURAL RESEARCH SERVICE</b>  |           |               |
| 10.001 Agricultural Research_Basic and Applied Research (B)                                       | X         |               |
| 10.700 National Agricultural Library (L)  |           | X             |
| <b>FARM SERVICE AGENCY</b>  |           |               |
| 10.051 Commodity Loans and Loan Deficiency Payments (D,E)   | X         |               |
| 10.055 Direct and Counter-cyclical Payments Program (C)   | X         |               |
| 10.086 Aquaculture Grants Program (AGP) (A)   | X         |               |
| <b>FOOD AND NUTRITION SERVICE</b>   |           |               |
| 10.551 Supplemental Nutrition Assistance Program (C)  | X         |               |
| 10.553 School Breakfast Program (A)   | X         |               |
| 10.555 National School Lunch Program (A)  | X         |               |
| 10.556 Special Milk Program for Children (A)  | X         |               |
| 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)                | X         |               |
| 10.558 Child and Adult Care Food Program (A)  | X         |               |
| 10.559 Summer Food Service Program for Children (A)   | X         |               |
| 10.560 State Administrative Expenses for Child Nutrition (A)                                      | X         |               |
| 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A) | X         |               |
| 10.565 Commodity Supplemental Food Program (A,H)  | X         |               |
| 10.566 Nutrition Assistance For Puerto Rico (C)   | X         |               |
| 10.567 Food Distribution Program on Indian Reservations (B,H)                                     | X         |               |
| 10.568 Emergency Food Assistance Program (Administrative Costs) (A)                               | X         |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 10.569 Emergency Food Assistance Program (Food Commodities) (A)                            | X         |               |
| 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)                                    | X         |               |
| 10.574 Team Nutrition Grants (B)   | X         |               |
| 10.576 Senior Farmers Market Nutrition Program (B)   | X         |               |
| 10.578 WIC Grants To States (WGS) (B)  | X         |               |
| 10.579 Child Nutrition Discretionary Grants Limited Availability (B)                       | X         |               |
| 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)       | X         |               |
| 10.582 Fresh Fruit and Vegetable Program (B)   | X         |               |
| <b>FOREST SERVICE</b>  |           |               |
| 10.666 Schools and Roads - Grants to Counties (A)  | X         |               |
| 10.675 Urban and Community Forestry Program (B)  | X         |               |
| 10.681 Wood Education and Resource Center (WERC) (B)                                       | X         |               |
| 10.682 National Forest Foundation (C)  | X         |               |
| 10.683 National Fish and Wildlife Foundation (C)   | X         |               |
| 10.685 Community Wood Energy Program (B)   | X         |               |
| 10.686 Forest Biomass for Energy (B)   | X         |               |
| 10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)                       | X         |               |
| 10.688 Recovery Act of 2009: Wildland Fire Management (B)                                  | X         |               |
| 10.689 Community Forest and Open Space Conservation Program (CFP) (B)                      | X         |               |
| 10.690 Lake Tahoe Erosion Control Grant Program (B)  | X         |               |
| 10.691 Good Neighbor Authority (B)   | X         |               |
| <b>NATIONAL INSTITUTE OF FOOD AND AGRICULTURE</b>  |           |               |
| 10.200 Grants for Agricultural Research, Special Research Grants (B)                       | X         |               |
| 10.202 Cooperative Forestry Research (A)   | X         |               |
| 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)                | X         |               |
| 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)                    | X         |               |
| 10.206 Grants for Agricultural Research_Competitive Research Grants (B)                    | X         |               |
| 10.207 Animal Health and Disease Research (A)  | X         |               |
| 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)        | X         |               |
| 10.212 Small Business Innovation Research (B)  | X         |               |
| 10.215 Sustainable Agriculture Research and Education (B)                                  | X         |               |
| 10.216 1890 Institution Capacity Building Grants (B)                                       | X         |               |
| 10.217 Higher Education Challenge Grants (B)   | X         |               |
| 10.219 Biotechnology Risk Assessment Research (B)  | X         |               |
| 10.220 Higher Education Multicultural Scholars Program (B)                                 | X         |               |
| 10.221 Tribal Colleges Education Equity Grants (B)   | X         |               |
| 10.222 Tribal Colleges Endowment Program (A)   | X         |               |
| 10.223 Hispanic Serving Institutions Education Grants (B)                                  | X         |               |
| 10.225 Community Food Projects (B)   | X         |               |
| 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)     | X         |               |
| 10.227 1994 Institutions Research Program (B)  | X         |               |
| 10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B) | X         |               |
| 10.303 Integrated Programs (B)   | X         |               |
| 10.304 Homeland Security_Agricultural (B)  | X         |               |
| 10.305 International Science and Education Grants (B)                                      | X         |               |
| 10.306 Biodiesel (B)   | X         |               |
| 10.307 Organic Agriculture Research and Extension Initiative (B)                           | X         |               |
| 10.308 Resident Instruction Grants for Insular Area Activities (B)                         | X         |               |
| 10.309 Specialty Crop Research Initiative (B)  | X         |               |
| 10.310 Agriculture and Food Research Initiative (AFRI) (B)                                 | X         |               |
| 10.311 Beginning Farmer and Rancher Development Program (B)                                | X         |               |
| 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)   | X         |               |
| 10.314 New ERA Rural Technology Competitive Grants Program (B)                             | X         |               |
| 10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)    | X         |               |
| 10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)                        | X         |               |
| 10.500 Cooperative Extension Service (A,B)   | X         |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| <b>NATURAL RESOURCES CONSERVATION SERVICE</b>  |           |               |
| 10.072 Wetlands Reserve Program (C)  | X         |               |
| 10.901 Resource Conservation and Development (K)   |           | X             |
| 10.902 Soil and Water Conservation (K)   |           | X             |
| 10.903 Soil Survey (L)   |           | X             |
| 10.904 Watershed Protection and Flood Prevention (K)   |           | X             |
| 10.905 Plant Materials for Conservation (J)  |           | X             |
| 10.907 Snow Survey and Water Supply Forecasting (L)  |           | X             |
| 10.912 Environmental Quality Incentives Program (C)  | X         |               |
| 10.913 Farm and Ranch Lands Protection Program (C)   | X         |               |
| 10.914 Wildlife Habitat Incentive Program (C)  | X         |               |
| 10.916 Watershed Rehabilitation Program (K)  |           | X             |
| 10.917 Agricultural Management Assistance (C)  | X         |               |
| 10.920 Grassland Reserve Program (C)   | X         |               |
| 10.921 Conservation Security Program (C)   | X         |               |
| 10.922 Healthy Forests Reserve Program (HFRP) (C)  | X         |               |
| 10.923 Emergency Watershed Protection Program (B)  | X         |               |
| <b>RURAL BUSINESS-COOPERATIVE SERVICE</b>  |           |               |
| 10.868 Rural Energy for America Program (F)  | X         |               |
| 10.870 Rural Microentrepreneur Assistance Program (B,E)  | X         |               |
| <b>RURAL DEVELOPMENT</b>   |           |               |
| 10.410 Very Low to Moderate Income Housing Loans (E,F)   | X         |               |
| 10.411 Rural Housing Site Loans and Self_Help Housing Land Development Loans (E)                         | X         |               |
| 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)   | X         |               |
| 10.420 Rural Self-Help Housing Technical Assistance (B)  | X         |               |
| 10.427 Rural Rental Assistance Payments (C)  | X         |               |
| 10.433 Rural Housing Preservation Grants (B)   | X         |               |
| 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)   | X         |               |
| 10.442 Housing Application Packaging Grants (B)  | X         |               |
| 10.444 Direct Housing_Natural Disaster Loans and Grants (B,E)  | X         |               |
| 10.445 Direct Housing_Natural Disaster (E)   | X         |               |
| 10.446 Rural Community Development Initiative (B)  | X         |               |
| 10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (C)            | X         |               |
| 10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B) | X         |               |
| 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)                                    | X         |               |
| 10.761 Technical Assistance and Training Grants (B)  | X         |               |
| 10.763 Emergency Community Water Assistance Grants (B)   | X         |               |
| 10.766 Community Facilities Loans and Grants (B,E,F)   | X         |               |
| 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)                                    | X         |               |
| 10.780 Community Facilities Loans and Grants (B,E)   | X         |               |
| 10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)                               | X         |               |
| 10.783 Rural Business Enterprise Grants - ARRA (B)   | X         |               |
| 10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)  | X         |               |
| 10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)                                      | X         |               |
| 10.850 Rural Electrification Loans and Loan Guarantees (E)   | X         |               |
| 10.851 Rural Telephone Loans and Loan Guarantees (E,F)   | X         |               |
| 10.855 Distance Learning and Telemedicine Loans and Grants (B,E)   | X         |               |
| 10.857 State Bulk Fuel Revolving Fund Grants (B)   | X         |               |
| 10.858 Denali Commission Grants and Loans (B,E)  | X         |               |
| 10.859 Assistance to High Energy Cost Rural Communities (B,E)  | X         |               |
| 10.861 Public Television Station Digital Transition Grant Program (B)                                    | X         |               |
| 10.863 Community Connect Grant Program (B)   | X         |               |
| 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)                 | X         |               |
| 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)  | X         |               |
| <b>RURAL HOUSING SERVICE</b>   |           |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)               | X         |               |
| <b>RURAL UTILITIES SERVICE</b>  |           |               |
| 10.787 Broadband Initiatives Program (B,E)  | X         |               |
| <b>DEPARTMENT OF COMMERCE</b>   |           |               |
| 11.557 Broadband Technology Opportunities Program (BTOP) (B)  | X         |               |
| 11.558 State Broadband Data and Development Grant Program (B)   | X         |               |
| 11.559 Low-Power Television and Translator Upgrade Program (B)  | X         |               |
| <b>ECONOMIC DEVELOPMENT ADMINISTRATION</b>  |           |               |
| 11.010 Community Trade Adjustment Assistance (B)  | X         |               |
| 11.300 Investments for Public Works and Economic Development Facilities (B)   | X         |               |
| 11.302 Economic Development_Support for Planning Organizations (B)  | X         |               |
| 11.303 Economic Development_Technical Assistance (B)  | X         |               |
| 11.307 Economic Adjustment Assistance (B)   | X         |               |
| 11.312 Research and Evaluation Program (B)  | X         |               |
| 11.313 Trade Adjustment Assistance for Firms (B)  | X         |               |
| <b>NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY (NIST)</b>  |           |               |
| 11.013 Education Quality Award Ambassadorship (B)   | X         |               |
| 11.609 Measurement and Engineering Research and Standards (B)   | X         |               |
| 11.611 Manufacturing Extension Partnership (B,L)  | X         |               |
| 11.616 Technology Innovation Program (TIP) (B)  | X         |               |
| 11.618 National Institute of Standards and Technology Construction Grant Program (B)                                | X         |               |
| <b>NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)</b>   |           |               |
| 11.008 NOAA Mission-Related Education Awards (B)  | X         |               |
| 11.011 Ocean Exploration (B)  | X         |               |
| 11.012 Integrated Ocean Observing System (IOOS) (B)   | X         |               |
| 11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)       | X         |               |
| 11.407 Interjurisdictional Fisheries Act of 1986 (A)  | X         |               |
| 11.408 Fishermen's Contingency Fund (D)   | X         |               |
| 11.413 Fishery Products Inspection and Certification (J)  |           | X             |
| 11.415 Fisheries Finance Program (E)  | X         |               |
| 11.417 Sea Grant Support (B)  | X         |               |
| 11.419 Coastal Zone Management Administration Awards (A,B)  | X         |               |
| 11.420 Coastal Zone Management Estuarine Research Reserves (B)  | X         |               |
| 11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)                                      | X         |               |
| 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) | X         |               |
| 11.429 Marine Sanctuary Program (B)   | X         |               |
| 11.430 Undersea Research (B)  | X         |               |
| 11.431 Climate and Atmospheric Research (B)   | X         |               |
| 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)                        | X         |               |
| 11.433 Marine Fisheries Initiative (B)  | X         |               |
| 11.434 Cooperative Fishery Statistics (B)   | X         |               |
| 11.435 Southeast Area Monitoring and Assessment Program (B)   | X         |               |
| 11.436 Columbia River Fisheries Development Program (B)   | X         |               |
| 11.437 Pacific Fisheries Data Program (B)   | X         |               |
| 11.438 Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)  | X         |               |
| 11.439 Marine Mammal Data Program (B)   | X         |               |
| 11.440 Environmental Sciences, Applications, Data, and Education (B)  | X         |               |
| 11.441 Regional Fishery Management Councils (B)   | X         |               |
| 11.443 Short Term Climate Fluctuations (B)  | X         |               |
| 11.444 Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)   | X         |               |
| 11.445 Hawaii Stock Management Program (B)  | X         |               |
| 11.450 Automated Flood Warning Systems (AFWS) (B)   | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 11.452 Unallied Industry Projects (B)  | X         |               |
| 11.454 Unallied Management Projects (B)  | X         |               |
| 11.455 Cooperative Science and Education Program (B)   | X         |               |
| 11.457 Chesapeake Bay Studies (B)  | X         |               |
| 11.459 Weather and Air Quality Research (B)  | X         |               |
| 11.460 Special Oceanic and Atmospheric Projects (B)  | X         |               |
| 11.462 Hydrologic Research (B)   | X         |               |
| 11.463 Habitat Conservation (B)  | X         |               |
| 11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)   | X         |               |
| 11.468 Applied Meteorological Research (B)   | X         |               |
| 11.469 Congressionally Identified Awards and Projects (B)  | X         |               |
| 11.472 Unallied Science Program (B)  | X         |               |
| 11.473 Coastal Services Center (B)   | X         |               |
| 11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)   | X         |               |
| 11.478 Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)   | X         |               |
| 11.481 Educational Partnership Program (B)   | X         |               |
| <b>NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION</b>  |           |               |
| 11.009 TV Converter Box Coupon Program Consumer Education and Technical Assistance (B)                                   | X         |               |
| 11.553 Special Projects (B)  | X         |               |
| <b>DEPARTMENT OF DEFENSE</b>   |           |               |
| 12.556 Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools (B)                          | X         |               |
| 12.557 Invitational Grants for Military-Connected Schools (B)  | X         |               |
| <b>DEPARTMENT OF THE AIR FORCE, MATERIEL COMMAND</b>   |           |               |
| 12.800 Air Force Defense Research Sciences Program (B)   | X         |               |
| <b>NATIONAL GUARD BUREAU</b>   |           |               |
| 12.400 Military Construction, National Guard (B)   | X         |               |
| 12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)   | X         |               |
| <b>OFFICE OF THE SECRETARY OF DEFENSE</b>  |           |               |
| 12.558 Department of Defense Impact Aid (Supplement, CWSD, BRAC) (A)   | X         |               |
| <b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>   |           |               |
| 14.253 Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (A)                       | X         |               |
| 14.254 Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (B)                 | X         |               |
| 14.255 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A) | X         |               |
| 14.256 Neighborhood Stabilization Program (Recovery Act Funded) (B)  | X         |               |
| 14.257 Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (A)                                    | X         |               |
| 14.258 Tax Credit Assistance Program (Recovery Act Funded) (A)   | X         |               |
| 14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (C)                       | X         |               |
| 14.318 Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (B)            | X         |               |
| 14.882 Native American Housing Block Grants (Formula) Recovery Act Funded (B)  | X         |               |
| 14.883 Native Hawaiian Housing Block Grants (Recovery Act Funded) (B)  | X         |               |
| 14.884 Public Housing Capital Fund Competitive (Recovery Act Funded) (B)   | X         |               |
| 14.885 Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (A)  | X         |               |
| 14.886 Indian Community Development Block Grant Program (Recovery Act Funded) (B)  | X         |               |
| 14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)  | X         |               |
| 14.907 Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (B)                              | X         |               |
| 14.908 Healthy Homes Demonstration Grants (Recovery Act Funded) (B)  | X         |               |
| 14.909 Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (B)                                       | X         |               |
| 14.910 Healthy Homes Technical Studies Grants (Recovery Act Funded) (B)  | X         |               |
| <b>OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT</b>  |           |               |
| 14.218 Community Development Block Grants/Entitlement Grants (A)   | X         |               |
| 14.225   |           |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| Community Development Block Grants/Special Purpose Grants/Insular Areas (B)  |           |               |
| 14.227 Community Development Block Grants/Technical Assistance Program (B)   | X         |               |
| 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)                                 | X         |               |
| 14.231 Emergency Shelter Grants Program (A)  | X         |               |
| 14.235 Supportive Housing Program (B,C)  | X         |               |
| 14.238 Shelter Plus Care (B)   | X         |               |
| 14.239 Home Investment Partnerships Program (A)  | X         |               |
| 14.241 Housing Opportunities for Persons with AIDS (A,B)   | X         |               |
| 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)  | X         |               |
| 14.247 Self-Help Homeownership Opportunity Program (B)   | X         |               |
| 14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)  | X         |               |
| 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)   | X         |               |
| 14.250 Rural Housing and Economic Development (B)  | X         |               |
| 14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)                       | X         |               |
| 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)  | X         |               |
| <b>OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY</b>  |           |               |
| 14.400 Equal Opportunity in Housing (N)  |           | X             |
| 14.401 Fair Housing Assistance Program_State and Local (B)   | X         |               |
| 14.408 Fair Housing Initiatives Program (B)  | X         |               |
| 14.416 Educacion and Outreach Initiatives (B)  | X         |               |
| 14.417 Fair Housing Organizaiton Initiatives (B)   | X         |               |
| 14.418 Private Enforcement Initiatives (B)   | X         |               |
| <b>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</b>   |           |               |
| 14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)  | X         |               |
| 14.901 Healthy Homes Demonstration Grants (B)  | X         |               |
| 14.905 Lead Hazard Reduction Demonstration Grant Program (B)   | X         |               |
| 14.906 Healthy Homes Technical Studies Grants (B)  | X         |               |
| 14.911 Green and Healthy Housing Technical Studies Grants (B)  | X         |               |
| 14.912 Lead Hazard Control Capacity Building (B)   | X         |               |
| <b>OFFICE OF HOUSING-FEDERAL HOUSING COMMISSIONER</b>  |           |               |
| 14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)                                  | X         |               |
| 14.108 Rehabilitation Mortgage Insurance (F)   | X         |               |
| 14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)          | X         |               |
| 14.112 Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)                               | X         |               |
| 14.117 Mortgage Insurance_Homes (F)  | X         |               |
| 14.119 Mortgage Insurance_Homes for Disaster Victims (F)   | X         |               |
| 14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)   | X         |               |
| 14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)  | X         |               |
| 14.126 Mortgage Insurance_Cooperative Projects (F)   | X         |               |
| 14.127 Mortgage Insurance_Manufactured Home Parks (F)  | X         |               |
| 14.128 Mortgage Insurance_Hospitals (F)  | X         |               |
| 14.129 Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)     | X         |               |
| 14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)  | X         |               |
| 14.134 Mortgage Insurance_Rental Housing (F)   | X         |               |
| 14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)        | X         |               |
| 14.138 Mortgage Insurance_Rental Housing for the Elderly (F)   | X         |               |
| 14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)  | X         |               |
| 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F) | X         |               |
| 14.149 Rent Supplements_Rental Housing for Lower Income Families (C)   | X         |               |
| 14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)  | X         |               |
| 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)                             | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 14.157 Supportive Housing for the Elderly (C)  | X         |               |
| 14.159 Section 245 Graduated Payment Mortgage Program (F)  | X         |               |
| 14.162 Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)  | X         |               |
| 14.163 Mortgage Insurance_Single Family Cooperative Housing (F)  | X         |               |
| 14.167 Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)  | X         |               |
| 14.168 Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (L,N) |           | X             |
| 14.169 Housing Counseling Assistance Program (B)   | X         |               |
| 14.171 Manufactured Home Construction and Safety Standards (L,N)   |           | X             |
| 14.172 Mortgage Insurance_Growing Equity Mortgages (F)   | X         |               |
| 14.175 Adjustable Rate Mortgages (F)   | X         |               |
| 14.181 Supportive Housing for Persons with Disabilities (C)  | X         |               |
| 14.183 Home Equity Conversion Mortgages (F)  | X         |               |
| 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)  | X         |               |
| 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)   | X         |               |
| 14.189 Qualified Participating Entities (QPE) Risk Sharing (F)   | X         |               |
| 14.191 Multifamily Housing Service Coordinators (B)  | X         |               |
| 14.195 Section 8 Housing Assistance Payments Program (C)   | X         |               |
| 14.197 Multifamily Assisted Housing Reform and Affordability Act (C)   | X         |               |
| 14.198 Good Neighbor Next Door Sales Program (H)   |           | X             |
| 14.199 Multifamily Property Disposition (H)  |           | X             |
| 14.311 Single Family Property Disposition (H)  |           | X             |
| 14.313 Dollar Home Sales (H)   |           | X             |
| 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)  | X         |               |
| 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)                           | X         |               |
| 14.316 Housing Counseling Training Program (B)   | X         |               |
| <b>OFFICE OF POLICY DEVELOPMENT AND RESEARCH</b>   |           |               |
| 14.506 General Research and Technology Activity (J)  |           | X             |
| 14.514 Hispanic-Serving Institutions Assisting Communities (B)   | X         |               |
| 14.515 Alaska Native/Native Hawaiian Institutions Assisting Communities (B)  | X         |               |
| 14.516 Doctoral Dissertation Research Grants (B)   | X         |               |
| 14.517 Early Doctoral Student Research Grants (B)  | X         |               |
| 14.519 Tribal Colleges and Universities Program (B)  | X         |               |
| 14.520 Historically Black Colleges and Universities Program (B)  | X         |               |
| <b>OFFICE OF PUBLIC AND INDIAN HOUSING</b>   |           |               |
| 14.850 Public and Indian Housing (C)   | X         |               |
| 14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)   | X         |               |
| 14.862 Indian Community Development Block Grant Program (B)  | X         |               |
| 14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)   | X         |               |
| 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)   | X         |               |
| 14.867 Indian Housing Block Grants (A)   | X         |               |
| 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)   | X         |               |
| 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)   | X         |               |
| 14.871 Section 8 Housing Choice Vouchers (C)   | X         |               |
| 14.872 Public Housing Capital Fund (A)   | X         |               |
| 14.873 Native Hawaiian Housing Block Grants (B)  | X         |               |
| 14.874 Loan Guarantees for Native Hawaiian Housing (F)   | X         |               |
| 14.876 Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)                                | X         |               |
| 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)                           | X         |               |
| 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)   | X         |               |
| 14.879 Mainstream Vouchers (C)   | X         |               |
| 14.880 Family Unification Program (FUP) (C)  | X         |               |
| 14.881 Moving to Work Demonstration Program (A)  | X         |               |
| <b>DEPARTMENT OF THE INTERIOR</b>  |           |               |
| 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)  | X         |               |



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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B) | X         |               |
| <b>BUREAU OF INDIAN AFFAIRS</b>   |           |               |
| 15.020 Aid To Tribal Governments (C)  | X         |               |
| 15.026 Indian Adult Education (C)   | X         |               |
| 15.033 Road Maintenance_Indian Roads (C)  | X         |               |
| 15.035 Forestry on Indian Lands (C,J,K)   | X         |               |
| 15.036 Indian Rights Protection (C)   | X         |               |
| 15.037 Water Resources on Indian Lands (C,J,K)  | X         |               |
| 15.040 Real Estate Programs_Indian Lands (C)  | X         |               |
| 15.041 Environmental Management_Indian Programs (C)   | X         |               |
| 15.047 Indian Education Facilities, Operations, and Maintenance (C)   | X         |               |
| 15.048 Bureau of Indian Affairs Facilities_Operations and Maintenance (C)   | X         |               |
| 15.051 Endangered Species on Indian Lands (C,K,L)   | X         |               |
| 15.052 Litigation Support for Indian Rights (C)   | X         |               |
| 15.053 Attorney Fees_Indian Rights (C)  | X         |               |
| 15.065 Safety of Dams on Indian Lands (C)   | X         |               |
| 15.108 Indian Employment Assistance (C)   | X         |               |
| 15.141 Indian Housing Assistance (B,L)  | X         |               |
| <b>BUREAU OF INDIAN EDUCATION</b>   |           |               |
| 15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)  | X         |               |
| 15.028 Tribally Controlled Community College Endowments (B)   | X         |               |
| 15.042 Indian School Equalization Program (C)   | X         |               |
| 15.043 Indian Child and Family Education (B,M)  | X         |               |
| 15.044 Indian Schools_Student Transportation (C)  | X         |               |
| 15.045 Assistance for Indian Children with Severe Disabilities (C)  | X         |               |
| 15.046 Administrative Cost Grants for Indian Schools (B)  | X         |               |
| 15.059 Indian Graduate Student Scholarships (B)   | X         |               |
| 15.114 Indian Education_Higher Education Grant Program (B)  | X         |               |
| 15.130 Indian Education_Assistance to Schools (C)   | X         |               |
| <b>BUREAU OF LAND MANAGEMENT</b>  |           |               |
| 15.225 Recreation Resource Management (B,I,J,K,L,M)   | X         |               |
| 15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)  | X         |               |
| 15.233 Forests and Woodlands Resource Management (B,K,M)  | X         |               |
| 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)   | X         |               |
| 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)                               | X         |               |
| <b>BUREAU OF RECLAMATION</b>  |           |               |
| 15.504 Water Reclamation and Reuse Program (A)  | X         |               |
| 15.506 Water Desalination Research and Development Program (B)  | X         |               |
| 15.507 Water 2025 (B)   | X         |               |
| 15.509 Colorado River Basin Salinity Control Program (B)  | X         |               |
| 15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)  | X         |               |
| 15.512 Central Valley Project Improvement Act, Title XXXIV (B)  | X         |               |
| 15.514 Reclamation States Emergency Drought Relief (B,J,K)  | X         |               |
| 15.516 Fort Peck Reservation Rural Water System (B)   | X         |               |
| 15.517 Fish and Wildlife Coordination Act (B)   | X         |               |
| 15.518 Garrison Diversion Unit (B)  | X         |               |
| 15.520 Lewis and Clark Rural Water System (B)   | X         |               |
| 15.522 Mni Wiconi Rural Water Supply Project (B)  | X         |               |
| 15.523 Perkins County Rural Water System (B)  | X         |               |
| 15.524 Recreation Resources Management (B)  | X         |               |
| 15.525 Rocky Boy's/North Central Montana Regional Water System (B)  | X         |               |
| 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)  | X         |               |
| 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)  | X         |               |
| 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)                   | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 15.533 California Water Security and Environmental Enhancement (B)  | X         |               |
| 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)                  | X         |               |
| 15.536 Deschutes River Conservancy (DRC) (B)  | X         |               |
| 15.537 Middle Rio Grande Endangered Species Collaborative Program (B)                                       | X         |               |
| 15.538 Lower Colorado River Multi-Species Conservation Program. (B)   | X         |               |
| 15.539 Equus Beds Division Aquifer Storage Recharge Project (B)   | X         |               |
| 15.540 Lake Mead/Las Vegas Wash Program (B)   | X         |               |
| 15.541 Colorado River Basin Projects Act of 1968 (B)  | X         |               |
| <b>FISH AND WILDLIFE SERVICE</b>  |           |               |
| 15.605 Sport Fish Restoration Program (A)   | X         |               |
| 15.608 Fish and Wildlife Management Assistance (J)  |           | X             |
| 15.611 Wildlife Restoration (A)   | X         |               |
| 15.615 Cooperative Endangered Species Conservation Fund (B)   | X         |               |
| 15.619 Rhinoceros and Tiger Conservation Fund (B)   | X         |               |
| 15.620 African Elephant Conservation Fund (B)   | X         |               |
| 15.621 Asian Elephant Conservation Fund (B)   | X         |               |
| 15.622 Sportfishing and Boating Safety Act (B)  | X         |               |
| 15.623 North American Wetlands Conservation Fund (B)  | X         |               |
| 15.626 Firearm and Bow Hunter Education and Safety Program (A)  | X         |               |
| 15.628 Multistate Conservation Grant Program (B)  | X         |               |
| 15.629 Great Apes Conservation Fund (B)   | X         |               |
| 15.630 Coastal Program (C)  | X         |               |
| 15.631 Partners for Fish and Wildlife (C)   | X         |               |
| 15.634 State Wildlife Grants (A,B)  | X         |               |
| 15.635 Neotropical Migratory Bird Conservation (B)  | X         |               |
| 15.636 Alaska Subsistence Management (B)  | X         |               |
| 15.637 Migratory Bird Joint Ventures (B)  | X         |               |
| 15.639 Tribal Wildlife Grants Program (B)   | X         |               |
| 15.640 Wildlife Without Borders- Latin America and the Caribbean (B)  | X         |               |
| 15.641 Wildlife Without Borders-Mexico (B)  | X         |               |
| 15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)                           | X         |               |
| 15.657 Endangered Species Conservation Recovery Implementation Funds (B)                                    | X         |               |
| 15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)                               | X         |               |
| 15.659 National Wildlife Refuge Fund (D)  | X         |               |
| 15.660 Endangered Species - Candidate Conservation Action Funds (B)   | X         |               |
| 15.661 Lower Snake River Compensation Plan (B)  | X         |               |
| <b>MINERALS MANAGEMENT SERVICE</b>  |           |               |
| 15.421 Alaska Coastal Marine Institute (B)  | X         |               |
| 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)                                  | X         |               |
| 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)                            | X         |               |
| 15.424 Marine Minerals Activities (B)   | X         |               |
| 15.426 Coastal Impact Assistance Program (CIAP) (A)   | X         |               |
| 15.427 Federal Oil and Gas Royalty Management (B)   | X         |               |
| <b>NATIONAL PARK SERVICE</b>  |           |               |
| 15.931 Conservation Activities by Youth Service Organizations (B)   | X         |               |
| 15.933 Preservation of Japanese American Confinement Sites (B)  | X         |               |
| 15.934 Abandoned Mine Hazard Mitigation (B,C)   | X         |               |
| 15.935 National Trails System Projects (B)  | X         |               |
| 15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (B) | X         |               |
| <b>OFFICE OF SURFACE MINING</b>   |           |               |
| 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)   | X         |               |
| 15.253 Not-for-Profit AMD Reclamation (B)   | X         |               |
| 15.254 Summer Watershed Intern (C)  | X         |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| <b>OFFICE OF TERRITORIAL AND INTERNATIONAL AFFAIRS</b>   |           |               |
| 15.875 Economic, Social, and Political Development of the Territories (B)  | X         |               |
| <b>U.S. GEOLOGICAL SURVEY</b>  |           |               |
| 15.817 National Geospatial Program: Building The National Map (B)  | X         |               |
| 15.818 Volcano Hazards Program Research and Monitoring. (B)  | X         |               |
| 15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)  | X         |               |
| 15.820 National Climate Change and Wildlife Service Center (B)   | X         |               |
| <b>DEPARTMENT OF JUSTICE</b>   |           |               |
| 16.015 Missing Alzheimer's Disease Patient Assistance Program (B)  | X         |               |
| 16.750 Support for Adam Walsh Act Implementation Grant Program (B)   | X         |               |
| 16.800 Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (B)   | X         |               |
| 16.801 Recovery Act - State Victim Assistance Formula Grant Program (B)  | X         |               |
| 16.802 Recovery Act - State Victim Compensation Formula Grant Program (B)  | X         |               |
| 16.803 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (A,B)   | X         |               |
| 16.804 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (A,B)   | X         |               |
| 16.807 Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (B,C)   | X         |               |
| 16.808 Recovery Act - Edward Byrne Memorial Competitive Grant Program (B)  | X         |               |
| 16.809 Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (B) | X         |               |
| 16.810 Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (B)  | X         |               |
| 16.811 Recovery Act - Correctional Facilities On Tribal Lands (B)  | X         |               |
| <b>BUREAU OF JUSTICE ASSISTANCE</b>  |           |               |
| 16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)  | X         |               |
| 16.571 Public Safety Officers' Benefits Program (D)  | X         |               |
| 16.578 Federal Surplus Property Transfer Program (H)   |           | X             |
| 16.579 Edward Byrne Memorial Formula Grant Program (A)   | X         |               |
| 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)   | X         |               |
| 16.585 Drug Court Discretionary Grant Program (B)  | X         |               |
| 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)   | X         |               |
| 16.593 Residential Substance Abuse Treatment for State Prisoners (A)   | X         |               |
| 16.596 Correctional Grant Program for Indian Tribes (B)  | X         |               |
| 16.606 State Criminal Alien Assistance Program (D)   | X         |               |
| 16.607 Bulletproof Vest Partnership Program (C)  | X         |               |
| 16.608 Tribal Court Assistance Program (B)   | X         |               |
| 16.609 Community Prosecution and Project Safe Neighborhoods (B)  | X         |               |
| 16.610 Regional Information Sharing Systems (B)  | X         |               |
| 16.611 Closed-Circuit Televising of Child Victims of Abuse (B)   | X         |               |
| 16.614 State and Local Anti-Terrorism Training (K,L,M)   |           | X             |
| 16.615 Public Safety Officers' Educational Assistance (D)  | X         |               |
| 16.616 Indian Country Alcohol and Drug Prevention (B)  | X         |               |
| 16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)   | X         |               |
| 16.737 Gang Resistance Education and Training (B)  | X         |               |
| 16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)  | X         |               |
| 16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)   | X         |               |
| 16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)   | X         |               |
| 16.746 Capital Case Litigation (B)   | X         |               |
| 16.751 Edward Byrne Memorial Competitive Grant Program (B)   | X         |               |
| 16.752 Economic High-Tech and Cyber Crime Prevention (B)   | X         |               |
| 16.753 Congressionally Recommended Awards (B)  | X         |               |
| 16.754 Harold Rogers Prescription Drug Monitoring Program (B)  | X         |               |
| 16.755 Southwest Border Prosecution Initiative Program (D)   | X         |               |
| 16.812 Second Chance Act Prisoner Reentry Initiative (B)   | X         |               |
| 16.814 Northern Border Prosecution Initiative Program (D)  | X         |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| <b>BUREAU OF JUSTICE STATISTICS</b>  |           |               |
| 16.550 State Justice Statistics Program for Statistical Analysis Centers (B)   | X         |               |
| 16.554 National Criminal History Improvement Program (NCHIP) (B)   | X         |               |
| 16.734 Special Data Collections and Statistical Studies (B)  | X         |               |
| 16.739 National Prison Rape Statistics Program (B)   | X         |               |
| 16.813 NICS Act Record Improvement Program (B)   | X         |               |
| <b>CORRECTIONS PROGRAM OFFICE</b>  |           |               |
| 16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)                                 | X         |               |
| <b>DRUG ENFORCEMENT ADMINISTRATION</b>   |           |               |
| 16.001 Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (J)                                      |           | X             |
| 16.003 Law Enforcement Assistance_Narcotics and Dangerous Drugs Technical Laboratory Publications (L)                        |           | X             |
| 16.004 Law Enforcement Assistance_Narcotics and Dangerous Drugs Training (M)   |           | X             |
| <b>EXECUTIVE OFFICE FOR WEED AND SEED</b>  |           |               |
| 16.595 Community Capacity Development Office (B,J)   | X         |               |
| <b>FEDERAL BUREAU OF INVESTIGATION</b>   |           |               |
| 16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)   |           | X             |
| 16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)   |           | X             |
| 16.302 Law Enforcement Assistance_FBI Field Police Training (M)  |           | X             |
| 16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)   |           | X             |
| 16.304 Law Enforcement Assistance_National Crime Information Center (J)  |           | X             |
| 16.305 Law Enforcement Assistance_Uniform Crime Reports (L)  |           | X             |
| 16.307 Combined DNA Index System (B)   | X         |               |
| 16.308 Indian Country Investigations (M)   |           | X             |
| 16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)                                      |           | X             |
| <b>NATIONAL INSTITUTE OF JUSTICE</b>   |           |               |
| 16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)                              | X         |               |
| 16.562 Criminal Justice Research and Development_Graduate Research Fellowships (B)   | X         |               |
| 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program (B)  | X         |               |
| 16.741 Forensic DNA Backlog Reduction Program (A)  | X         |               |
| 16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)  | X         |               |
| 16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)              | X         |               |
| <b>OFFICE OF COMMUNITY ORIENTED POLICING SERVICES</b>  |           |               |
| 16.710 Public Safety Partnership and Community Policing Grants (B)   | X         |               |
| <b>OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION</b>   |           |               |
| 16.523 Juvenile Accountability Block Grants (A,B)  | X         |               |
| 16.540 Juvenile Justice and Delinquency Prevention_Allocation to States (A,B)  | X         |               |
| 16.541 Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)   | X         |               |
| 16.543 Missing Children's Assistance (B)   | X         |               |
| 16.544 Gang-Free Schools and Communities_Community-Based Gang Intervention (B)   | X         |               |
| 16.547 Victims of Child Abuse (B)  | X         |               |
| 16.548 Title V_Delinquency Prevention Program (A)  | X         |               |
| 16.726 Juvenile Mentoring Program (B)  | X         |               |
| 16.727 Enforcing Underage Drinking Laws Program (B)  | X         |               |
| 16.730 Reduction and Prevention of Children's Exposure to Violence (B)   | X         |               |
| 16.731 Tribal Youth Program (B)  | X         |               |
| 16.744 Anti-Gang Initiative (B)  | X         |               |
| 16.756 Court Appointed Special Advocates (B)   | X         |               |
| 16.757 Judicial Training on Child Maltreatment for Court Personnel Juvenile Justice Programs (B)                             | X         |               |
| 16.758 Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (B) | X         |               |
| <b>OFFICE OF VICTIMS OF CRIME</b>  |           |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 16.320 Services for Trafficking Victims (B,C)   | X         |               |
| 16.321 Antiterrorism Emergency Reserve (B,C)  | X         |               |
| 16.575 Crime Victim Assistance (A)  | X         |               |
| 16.576 Crime Victim Compensation (A)  | X         |               |
| 16.582 Crime Victim Assistance/Discretionary Grants (B,C)   | X         |               |
| 16.583 Children's Justice Act Partnerships for Indian Communities (B,C)   | X         |               |
| <b>VIOLENCE AGAINST WOMEN OFFICE</b>  |           |               |
| 16.013 Violence Against Women Act Court Training and Improvement Grants (B)   | X         |               |
| 16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)            | X         |               |
| 16.016 Culturally and Linguistically Specific Services Program (B)  | X         |               |
| 16.017 Sexual Assault Services Formula Program (A,B)  | X         |               |
| 16.019 Tribal Registry (B)  | X         |               |
| 16.524 Legal Assistance for Victims (B)   | X         |               |
| 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)                      | X         |               |
| 16.526 OVW Technical Assistance Initiative (B)  | X         |               |
| 16.527 Supervised Visitation, Safe Havens for Children (B)  | X         |               |
| 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)                                  | X         |               |
| 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)          | X         |               |
| 16.556 State Domestic Violence and Sexual Assault Coalitions (A)  | X         |               |
| 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)   | X         |               |
| 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)  | X         |               |
| 16.588 Violence Against Women Formula Grants (A)  | X         |               |
| 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)                        | X         |               |
| 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)   | X         |               |
| 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)   | X         |               |
| 16.805 Recovery Act Transitional Housing (B)  | X         |               |
| 16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)                         | X         |               |
| <b>DEPARTMENT OF LABOR</b>  |           |               |
| <b>BUREAU OF LABOR STATISTICS</b>   |           |               |
| 17.002 Labor Force Statistics (B,L)   | X         |               |
| 17.003 Prices and Cost of Living Data (L)   |           | X             |
| 17.004 Productivity and Technology Data (L)   |           | X             |
| 17.005 Compensation and Working Conditions (B,L)  | X         |               |
| <b>EMPLOYEE BENEFITS SECURITY ADMINISTRATION</b>  |           |               |
| 17.150 Employee Benefits Security Administration (L)  |           | X             |
| 17.151 Employee Benefits Security Administration (EBSA) (G)   | X         |               |
| <b>EMPLOYMENT STANDARDS ADMINISTRATION</b>  |           |               |
| 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N) |           | X             |
| 17.302 Longshore and Harbor Workers' Compensation (D)   | X         |               |
| 17.303 Wage and Hour Standards (K,N)  |           | X             |
| 17.306 Consumer Credit Protection (K,N)   |           | X             |
| 17.307 Coal Mine Workers' Compensation (D)  | X         |               |
| 17.308 Farm Labor Contractor Registration (K,N)   |           | X             |
| 17.310 Energy Employees Occupational Illness Compensation (D)   | X         |               |
| <b>EMPLOYMENT TRAINING ADMINISTRATION</b>   |           |               |
| 17.201 Registered Apprenticeship and Other Training (M)   |           | X             |
| 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)   | X         |               |
| 17.225 Unemployment Insurance (A,D)   | X         |               |
| 17.235 Senior Community Service Employment Program (A,B)  | X         |               |
| 17.245 Trade Adjustment Assistance (B)  | X         |               |
| 17.258 WIA Adult Program (A)  | X         |               |

# AGENCY PROGRAM INDEX

| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 17.259 WIA Youth Activities (A)   | X         |               |
| 17.260 WIA Dislocated Workers (A,B)   | X         |               |
| 17.261 WIA Pilots, Demonstrations, and Research Projects (B)  | X         |               |
| 17.264 National Farmworker Jobs Program (A)   | X         |               |
| 17.265 Native American Employment and Training (B)  | X         |               |
| 17.266 Work Incentive Grants (B)  | X         |               |
| 17.267 Incentive Grants - WIA Section 503 (A,B)   | X         |               |
| 17.268 H-1B Job Training Grants (B)   | X         |               |
| 17.269 Community Based Job Training Grants (B)  | X         |               |
| 17.270 Reintegration of Ex-Offenders (B)  | X         |               |
| 17.271 Work Opportunity Tax Credit Program (WOTC) (A)   | X         |               |
| 17.272 Permanent Labor Certification for Foreign Workers (J)  |           | X             |
| 17.273 Temporary Labor Certification for Foreign Workers (A,J)  | X         |               |
| 17.274 Youthbuild (B)   | X         |               |
| 17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B) | X         |               |
| 17.276 Health Coverage Tax Credit (HCTC) (B)  | X         |               |
| 17.277 Workforce Investment Act (WIA) National Emergency Grants (B)   | X         |               |
| 17.278 WIA Dislocated Worker Formula Grants (A)   | X         |               |
| <b>MINE SAFETY AND HEALTH ADMINISTRATION</b>  |           |               |
| 17.600 Mine Health and Safety Grants (B)  | X         |               |
| 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)   |           | X             |
| 17.602 Mine Health and Safety Education and Training (M)  |           | X             |
| 17.603 Brookwood-Sago Grant (B)   | X         |               |
| 17.604 Safety and Health Grants (B)   | X         |               |
| <b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION</b>  |           |               |
| 17.502 Occupational Safety and Health_Susan Harwood Training Grants (B)   | X         |               |
| 17.503 Occupational Safety and Health_State Program (B)   | X         |               |
| 17.504 Consultation Agreements (B)  | X         |               |
| 17.505 OSHA Data Initiative (B)   | X         |               |
| <b>OFFICE OF DISABILITY EMPLOYMENT POLICY</b>   |           |               |
| 17.720 Disability Employment Policy Development (B)   | X         |               |
| <b>OFFICE OF LABOR-MANAGEMENT STANDARDS</b>   |           |               |
| 17.309 Labor Organization Reports (K,L,N)   |           | X             |
| 17.311 Federal Transit Employee Protection Certifications: Office of Labor-Management Standards (B)                     | X         |               |
| <b>OFFICE OF THE SECRETARY, WOMEN'S BUREAU</b>  |           |               |
| 17.700 Women's Bureau (K)   |           | X             |
| <b>VETERAN'S EMPLOYMENT AND TRAINING SERVICE</b>  |           |               |
| 17.801 Disabled Veterans' Outreach Program (DVOP) (A)   | X         |               |
| 17.802 Veterans' Employment Program (B)   | X         |               |
| 17.803 Uniformed Services Employment and Reemployment Rights (K,L,N)  |           | X             |
| 17.804 Local Veterans' Employment Representative Program (A)  | X         |               |
| 17.805 Homeless Veterans Reintegration Project (B)  | X         |               |
| 17.806 Veteran's Preference in Federal Employment (O)   |           | X             |
| 17.807 Transition Assistance Program (B)  | X         |               |
| <b>U.S. DEPARTMENT OF STATE</b>   |           |               |
| 19.501 Public Diplomacy Programs for Afghanistan and Pakistan (B)   | X         |               |
| <b>BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS</b>   |           |               |
| 19.009 Academic Exchange Programs - Undergraduate Programs (B)  | X         |               |
| 19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)   | X         |               |
| 19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)  | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B) | X         |               |
| 19.014 One-Time International Exchange Grant Program (B)  | X         |               |
| 19.015 Cultural, Technical and Educational Centers (B)  | X         |               |
| 19.400 Academic Exchange Programs - Graduate Students (B)   | X         |               |
| 19.401 Academic Exchange Programs - Scholars (B)  | X         |               |
| 19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)   | X         |               |
| 19.408 Academic Exchange Programs - Teachers (B)  | X         |               |
| 19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)                          | X         |               |
| 19.421 Academic Exchange Programs - English Language Programs (B)                                   | X         |               |
| 19.432 Academic Exchange Programs - Educational Advising and Student Services (B)                   | X         |               |
| <b>BUREAU OF NEAR EASTERN AFFAIRS</b>   |           |               |
| 19.016 Iraq Assistance Programs (B)   | X         |               |
| <b>BUREAU OF OCEANS AND INTERNATIONAL ENVIRONMENTAL AND SCIENTIFIC AFFAIRS</b>                      |           |               |
| 19.017 Environmental and Scientific Partnerships and Programs (B)                                   | X         |               |
| <b>BUREAU OF PERSONNEL</b>  |           |               |
| 19.013 Thomas R. Pickering Foreign Affairs Fellowship Program (B)                                   | X         |               |
| <b>BUREAU OF POPULATION, REFUGEES, AND MIGRATION</b>  |           |               |
| 19.018 Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement (B)                        | X         |               |
| 19.510 U.S. Refugee Admissions Program (B)  | X         |               |
| 19.511 Overseas Refugee Assistance Programs for East Asia (B)                                       | X         |               |
| 19.517 Overseas Refugee Assistance Programs for Africa (B)  | X         |               |
| 19.518 Overseas Refugee Assistance Programs for Western Hemisphere (B)                              | X         |               |
| 19.519 Overseas Refugee Assistance Program for Near East and South Asia (B)                         | X         |               |
| 19.520 Overseas Refugee Assistance Programs for Europe (B)  | X         |               |
| 19.522 Overseas Refugee Assistance Programs for Strategic Global Priorities (B)                     | X         |               |
| <b>TRAFFICKING IN PERSONS</b>   |           |               |
| 19.019 International Programs to Combat Human Trafficking (B)                                       | X         |               |
| <b>DEPARTMENT OF TRANSPORTATION</b>   |           |               |
| 20.233 Border Enforcement Grants (B)  | X         |               |
| 20.241 Federal Motor Carrier Safety Administration National Training Center (A)                     | X         |               |
| 20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B) | X         |               |
| 20.701 University Transportation Centers Program (B)  | X         |               |
| 20.704 RITA Hydrogen (B)  | X         |               |
| 20.761 Biobased Transportation Research (B)   | X         |               |
| 20.762 Research Grants (B)  | X         |               |
| 20.764 Hydrogen Storage Research and Development (B)  | X         |               |
| <b>FEDERAL AVIATION ADMINISTRATION (FAA)</b>  |           |               |
| 20.106 Airport Improvement Program (B,K)  | X         |               |
| 20.108 Aviation Research Grants (B,I)   | X         |               |
| 20.109 Air Transportation Centers of Excellence (B,I,J)   | X         |               |
| <b>FEDERAL HIGHWAY ADMINISTRATION (FHWA)</b>  |           |               |
| 20.200 Highway Research and Development Program (B)   | X         |               |
| 20.205 Highway Planning and Construction (A,B)  | X         |               |
| 20.215 Highway Training and Education (B,M)   | X         |               |
| 20.219 Recreational Trails Program (A,B)  | X         |               |
| 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)               | X         |               |
| 20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)                                    | X         |               |
| <b>FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA)</b>  |           |               |
| 20.218 National Motor Carrier Safety (A)  | X         |               |
| 20.231 Performance and Registration Information Systems Management (A)                              | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 20.232 Commercial Driver License State Programs (B)  | X         |               |
| 20.234 Safety Data Improvement Program (B)   | X         |               |
| 20.235 Commercial Motor Vehicle Operator Training Grants (B)   | X         |               |
| 20.237 Commercial Vehicle Information Systems and Networks (B)                                       | X         |               |
| 20.238 Commercial Drivers License Information System (B)   | X         |               |
| 20.239 Motor Carrier Research and Technology Programs (B)  | X         |               |
| <b>FEDERAL RAILROAD ADMINISTRATION (FRA)</b>   |           |               |
| 20.301 Railroad Safety (N)   |           | X             |
| 20.313 Railroad Research and Development (B)   | X         |               |
| 20.314 Railroad Development (B)  | X         |               |
| 20.315 National Railroad Passenger Corporation Grants (B)  | X         |               |
| 20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)                               | X         |               |
| 20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)                           | X         |               |
| 20.318 Maglev Project Selection Program - SAFETEA-LU (B)   | X         |               |
| 20.320 Rail Line Relocation and Improvement (B)  | X         |               |
| <b>FEDERAL TRANSIT ADMINISTRATION (FTA)</b>  |           |               |
| 20.500 Federal Transit_Capital Investment Grants (A,B)   | X         |               |
| 20.505 Federal Transit_Metropolitan Planning Grants (A)  | X         |               |
| 20.507 Federal Transit_Formula Grants (A)  | X         |               |
| 20.509 Formula Grants for Other Than Urbanized Areas (A)   | X         |               |
| 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)              | X         |               |
| 20.514 Public Transportation Research (B,L,M)  | X         |               |
| 20.515 State Planning and Research (A)   | X         |               |
| 20.516 Job Access_Reverse Commute (B)  | X         |               |
| 20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)               | X         |               |
| 20.519 Clean Fuels (B)   | X         |               |
| 20.520 Paul S. Sarbanes Transit in the Parks (B)   | X         |               |
| 20.521 New Freedom Program (A)   | X         |               |
| 20.522 Alternatives Analysis (B)   | X         |               |
| 20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)   | X         |               |
| <b>MARITIME ADMINISTRATION (MARAD)</b>   |           |               |
| 20.763 Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)             | X         |               |
| 20.802 Federal Ship Financing Guarantees (F)   | X         |               |
| 20.803 Maritime War Risk Insurance (G)   | X         |               |
| 20.806 State Maritime Schools (C,I)  | X         |               |
| 20.807 U.S. Merchant Marine Academy (M)  |           | X             |
| 20.808 Capital Construction Fund (C)   | X         |               |
| 20.812 Construction Reserve Fund (C)   | X         |               |
| 20.813 Maritime Security Fleet Program (C)   | X         |               |
| 20.814 Assistance to Small Shipyards (C)   | X         |               |
| <b>NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA)</b>  |           |               |
| 20.600 State and Community Highway Safety (A)  | X         |               |
| 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)                               | X         |               |
| 20.602 Occupant Protection Incentive Grants (B)  | X         |               |
| 20.607 Alcohol Open Container Requirements (B)   | X         |               |
| 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)                      | X         |               |
| 20.609 Safety Belt Performance Grants (B)  | X         |               |
| 20.610 State Traffic Safety Information System Improvement Grants (B)                                | X         |               |
| 20.611 Incentive Grant Program to Prohibit Racial Profiling (B)                                      | X         |               |
| 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)                                   | X         |               |
| 20.613 Child Safety and Child Booster Seats Incentive Grants (B)                                     | X         |               |
| 20.614 National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B) | X         |               |
| 20.615 E-911 Grant Program (A)   | X         |               |



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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| <b>OFFICE OF THE SECRETARY (OST) ADMINISTRATION SECRETARIATE</b>                                |           |               |
| 20.900 Transportation_Consumer Affairs (N)  |           | X             |
| 20.901 Payments for Essential Air Services (C)  | X         |               |
| 20.904 Bonding Assistance Program (C,G,J)   | X         |               |
| 20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)                        | X         |               |
| 20.907 Pilot Entrepreneurial Training and Technical Assistance Women and Girls Program (B)      | X         |               |
| 20.910 Assistance to small and disadvantaged businesses (B)                                     | X         |               |
| 20.930 Payments for Small Community Air Service Development (B)                                 | X         |               |
| 20.932 Surface Transportation _ Discretionary Grants for Capital Investment. (B)                | X         |               |
| <b>PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION</b>                                   |           |               |
| 20.700 Pipeline Safety Program Base Grants (A)  | X         |               |
| 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)           | X         |               |
| 20.710 Technical Assistance Grants (B)  | X         |               |
| 20.720 State Damage Prevention Program Grants (B)   | X         |               |
| 20.721 PHMSA Pipeline Safety Program One Call Grant (B)   | X         |               |
| 20.722 Technology Development Grant (B)   | X         |               |
| <b>DEPARTMENT OF THE TREASURY</b>   |           |               |
| 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)                        | X         |               |
| <b>COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS FUND</b>  |           |               |
| 21.010 Financial Education and Counseling Pilot Program (B)                                     | X         |               |
| 21.020 Community Development Financial Institutions Program (B)                                 | X         |               |
| 21.021 Bank Enterprise Award Program (B)  | X         |               |
| <b>INTERNAL REVENUE SERVICE (IRS)</b>   |           |               |
| 21.003 Taxpayer Service (K)   |           | X             |
| 21.004 Exchange of Federal Tax Information With State Tax Agencies (J)                          |           | X             |
| 21.006 Tax Counseling for the Elderly (B)   | X         |               |
| 21.008 Low Income Taxpayer Clinics (B)  | X         |               |
| <b>APPALACHIAN REGIONAL COMMISSION</b>  |           |               |
| 23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)               | X         |               |
| 23.002 Appalachian Area Development (B)   | X         |               |
| 23.003 Appalachian Development Highway System (B)   | X         |               |
| 23.009 Appalachian Local Development District Assistance (B)                                    | X         |               |
| 23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)               | X         |               |
| <b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>  |           |               |
| 30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N)                |           | X             |
| 30.002 Employment Discrimination_State and Local Fair Employment Practices Agency Contracts (C) | X         |               |
| 30.005 Employment Discrimination_Private Bar Program (J)  |           | X             |
| 30.008 Employment Discrimination_Age Discrimination in Employment (K,N)                         |           | X             |
| 30.009 Employment Discrimination Project Contracts_Indian Tribes (C)                            | X         |               |
| 30.010 Employment Discrimination Equal Pay Act (K,N)  |           | X             |
| 30.011 Employment Discrimination_Title I of The Americans with Disabilities Act (K,N)           |           | X             |
| <b>EXPORT - IMPORT BANK OF THE UNITED STATES</b>  |           |               |
| 31.007 Export - Loan Guarantee/Insured Loans (E,F)  | X         |               |
| <b>FEDERAL MARITIME COMMISSION</b>  |           |               |
| 33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)                          |           | X             |
| <b>FEDERAL MEDIATION AND CONCILIATION SERVICE</b>   |           |               |
| 34.002 Labor Management Cooperation (B)   | X         |               |
| <b>GENERAL SERVICES ADMINISTRATION</b>  |           |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 39.002 Disposal of Federal Surplus Real Property (H)  |           | X             |
| 39.003 Donation of Federal Surplus Personal Property (B)  | X         |               |
| 39.007 Sale of Federal Surplus Personal Property (B)  | X         |               |
| 39.009 Federal Citizen Information Center (L)   |           | X             |
| <b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>  |           |               |
| 43.004 Aeronautics, Recovery Act (B)  | X         |               |
| 43.005 Exploration, Recovery Act (B)  | X         |               |
| 43.006 Science, Recovery Act (B)  | X         |               |
| <b>NATIONAL CREDIT UNION ADMINISTRATION</b>   |           |               |
| 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)                      | X         |               |
| 44.002 Community Development Revolving Loan Fund Program for Credit Unions (E)                    | X         |               |
| <b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>   |           |               |
| 45.201 Arts and Artifacts Indemnity (G)   | X         |               |
| <b>NATIONAL ENDOWMENT FOR THE ARTS</b>  |           |               |
| 45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)                          | X         |               |
| 45.025 Promotion of the Arts_Partnership Agreements (B,K)   | X         |               |
| <b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>  |           |               |
| 45.129 Promotion of the Humanities_Federal/State Partnership (A)                                  | X         |               |
| 45.130 Promotion of the Humanities_Challenge Grants (B)   | X         |               |
| 45.149 Promotion of the Humanities_Division of Preservation and Access (B)                        | X         |               |
| 45.160 Promotion of the Humanities_Fellowships and Stipends (B)                                   | X         |               |
| 45.161 Promotion of the Humanities_Research (B)   | X         |               |
| 45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B) | X         |               |
| 45.163 Promotion of the Humanities_Professional Development (B)                                   | X         |               |
| 45.164 Promotion of the Humanities_Public Programs (B)  | X         |               |
| 45.168 Promotion of the Humanities_We the People (B)  | X         |               |
| 45.169 Promotion of the Humanities_Office of Digital Humanities (B)                               | X         |               |
| <b>NATIONAL LABOR RELATIONS BOARD</b>   |           |               |
| 46.001 Labor-Management Relations (J,N)   |           | X             |
| <b>NATIONAL SCIENCE FOUNDATION</b>  |           |               |
| 47.082 Trans-NSF Recovery Act Reasearch Support (B)   | X         |               |
| <b>RAILROAD RETIREMENT BOARD</b>  |           |               |
| 57.001 Social Insurance for Railroad Workers (D)  | X         |               |
| 57.005 Economic Recovery Payments (D)   | X         |               |
| <b>SMALL BUSINESS ADMINISTRATION</b>  |           |               |
| 59.006 8(a) Business Development Program (J)  |           | X             |
| 59.007 7(j) Technical Assistance (B)  | X         |               |
| 59.008 Disaster Assistance Loans (E)  | X         |               |
| 59.009 Procurement Assistance to Small Businesses (J)   |           | X             |
| 59.011 Small Business Investment Companies (E,F,K)  | X         |               |
| 59.012 7(a) Loan Guarantees (F)   | X         |               |
| 59.016 Surety Bond Guarantees (G)   | X         |               |
| 59.026 Service Corps of Retired Executives (K,M)  |           | X             |
| 59.037 Small Business Development Centers (B,J,K,L)   | X         |               |
| 59.041 504 Certified Development Loans (F)  | X         |               |
| 59.043 Women's Business Ownership Assistance (B)  | X         |               |
| 59.044 Veterans Business Development (B)  | X         |               |
| 59.046 Microloan Program (A,E)  | X         |               |
| 59.049 Small Disadvantaged Businesses (E)   | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 59.050 Prime Technical Assistance (B)  | X         |               |
| 59.051 New Markets Venture Capital Program (B,F)   | X         |               |
| 59.052 Native American Outreach (B)  | X         |               |
| 59.053 Ombudsman and Regulatory Fairness Boards (N)  |           | X             |
| 59.054 7(a)Export Loan Guarantees (F)  | X         |               |
| 59.055 HUBZone Program (B)   | X         |               |
| 59.056 Secondary Market Lending Authority (E)  | X         |               |
| 59.057 America's Recovery Capital Loans (E)  | X         |               |
| 59.070 Drug-Free Workplace Program (B)   | X         |               |
| <b>DEPARTMENT OF VETERANS AFFAIRS</b>  |           |               |
| <b>NATIONAL CEMETERY SYSTEM</b>  |           |               |
| 64.201 National Cemeteries (J)   |           | X             |
| 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)   | X         |               |
| 64.203 State Cemetery Grants (B)   | X         |               |
| <b>VA HEALTH ADMINISTRATION CENTER</b>   |           |               |
| 64.005 Grants to States for Construction of State Home Facilities (B)  | X         |               |
| <b>VETERANS BENEFITS ADMINISTRATION</b>  |           |               |
| 64.101 Burial Expenses Allowance for Veterans (C)  | X         |               |
| 64.104 Pension for Non-Service-Connected Disability for Veterans (D)   | X         |               |
| 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)   | X         |               |
| 64.125 Vocational and Educational Counseling for Servicemembers and Veterans (K)   |           | X             |
| <b>ENVIRONMENTAL PROTECTION AGENCY</b>   |           |               |
| <b>OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT</b>   |           |               |
| 66.508 Senior Environmental Employment Program (B)   | X         |               |
| 66.518 State Senior Environmental Employment Program (B)   | X         |               |
| <b>OFFICE OF AIR AND RADIATION</b>   |           |               |
| 66.001 Air Pollution Control Program Support (B)   | X         |               |
| 66.032 State Indoor Radon Grants (B)   | X         |               |
| 66.033 Ozone Transport Commission (B)  | X         |               |
| 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)  | X         |               |
| 66.036 Clean School Bus USA (B)  | X         |               |
| 66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)   | X         |               |
| 66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B) | X         |               |
| 66.039 National Clean Diesel Funding Assistance Program (B)  | X         |               |
| 66.040 State Clean Diesel Grant Program (A)  | X         |               |
| 66.041 Climate Showcase Communities Grant Program (B)  | X         |               |
| <b>OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE</b>  |           |               |
| 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)  | X         |               |
| 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)   | X         |               |
| 66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)  | X         |               |
| 66.312 State Environmental Justice Cooperative Agreement Program (B)   | X         |               |
| 66.604 Environmental Justice Small Grant Program (B)   | X         |               |
| 66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)   | X         |               |
| 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)   | X         |               |
| 66.709 Multi-Media Capacity Building Grants for States and Tribes (B)  | X         |               |
| <b>OFFICE OF ENVIRONMENTAL INFORMATION</b>   |           |               |
| 66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)   | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B) | X         |               |
| <b>OFFICE OF INTERNATIONAL AFFAIRS</b>  |           |               |
| 66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs (B)   | X         |               |
| <b>OFFICE OF POLLUTION PREVENTION AND TOXICS SUBSTANCES</b>   |           |               |
| 66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  | X         |               |
| 66.708 Pollution Prevention Grants Program (B)  | X         |               |
| 66.714 Pesticide Environmental Stewardship Regional Grants (B)  | X         |               |
| 66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)   | X         |               |
| 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)   | X         |               |
| 66.717 Source Reduction Assistance (B)  | X         |               |
| 66.718 National Community-Based Lead Outreach and Training Grant Program (B)  | X         |               |
| <b>OFFICE OF RESEARCH AND DEVELOPMENT</b>   |           |               |
| 66.509 Science To Achieve Results (STAR) Research Program (B)   | X         |               |
| 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)  | X         |               |
| 66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)  | X         |               |
| 66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)   | X         |               |
| 66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)   | X         |               |
| 66.514 Science To Achieve Results (STAR) Fellowship Program (B)   | X         |               |
| 66.516 P3 Award: National Student Design Competition for Sustainability (B)   | X         |               |
| 66.517 Regional Applied Research Efforts (RARE) (B)   | X         |               |
| <b>OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE</b>   |           |               |
| 66.035 Community Action for a Renewed Environment (CARE) Program (B)  | X         |               |
| 66.801 Hazardous Waste Management State Program Support (A)   | X         |               |
| 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  | X         |               |
| 66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)  | X         |               |
| 66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  | X         |               |
| 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)   | X         |               |
| 66.808 Solid Waste Management Assistance Grants (B)   | X         |               |
| 66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)   | X         |               |
| 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)  | X         |               |
| 66.812 Hazardous Waste Management Grant Program for Tribes (B)  | X         |               |
| 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)                                  | X         |               |
| 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)   | X         |               |
| 66.815 Brownfield Job Training Cooperative Agreements (B)   | X         |               |
| 66.816 Headquarters and Regional Underground Storage Tanks Program (B)  | X         |               |
| 66.817 State and Tribal Response Program Grants (A)   | X         |               |
| 66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)  | X         |               |
| <b>OFFICE OF THE ADMINISTRATOR</b>  |           |               |
| 66.605 Performance Partnership Grants (A,B)   | X         |               |
| 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)  | X         |               |
| 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)   | X         |               |
| 66.611 Environmental Policy and Innovation Grants (B)   | X         |               |
| 66.940 Environmental Policy and State Innovation Grants (B)   | X         |               |
| 66.950 Environmental Education Training Program (B)   | X         |               |
| 66.951 Environmental Education Grants (B)   | X         |               |
| 66.952 National Network for Environmental Management Studies Fellowship Program (B)   | X         |               |
| <b>OFFICE OF THE CHIEF FINANCIAL OFFICER</b>  |           |               |
| 66.202 Congressionally Mandated Projects (B)  | X         |               |
| 66.203 Environmental Finance Center Grants (B)  | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| <b>OFFICE OF WATER</b>   |           |               |
| 66.418 Construction Grants for Wastewater Treatment Works (B)  | X         |               |
| 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)   | X         |               |
| 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)                         | X         |               |
| 66.432 State Public Water System Supervision (A)   | X         |               |
| 66.433 State Underground Water Source Protection (A)   | X         |               |
| 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B) | X         |               |
| 66.437 Long Island Sound Program (B)   | X         |               |
| 66.439 Targeted Watersheds Grants (B)  | X         |               |
| 66.454 Water Quality Management Planning (A)   | X         |               |
| 66.456 National Estuary Program (B)  | X         |               |
| 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)   | X         |               |
| 66.460 Nonpoint Source Implementation Grants (A)   | X         |               |
| 66.461 Regional Wetland Program Development Grants (B)   | X         |               |
| 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)  | X         |               |
| 66.463 Water Quality Cooperative Agreements (B)  | X         |               |
| 66.466 Chesapeake Bay Program (B)  | X         |               |
| 66.467 Wastewater Operator Training Grant Program (B)  | X         |               |
| 66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)  | X         |               |
| 66.469 Great Lakes Program (B,I,L)   | X         |               |
| 66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)   | X         |               |
| 66.472 Beach Monitoring and Notification Program Implementation Grants (A)   | X         |               |
| 66.473 Direct Implementation Tribal Cooperative Agreements (B)   | X         |               |
| 66.474 Water Protection Grants to the States (A)   | X         |               |
| 66.475 Gulf of Mexico Program (B)  | X         |               |
| 66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)                          | X         |               |
| 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)   | X         |               |
| 66.480 Assessment and Watershed Protection Program Grants (B)  | X         |               |
| 66.481 Lake Champlain Basin Program (B)  | X         |               |
| 66.926 Indian Environmental General Assistance Program (GAP) (B)   | X         |               |
| <b>REGION 1</b>  |           |               |
| 66.110 Healthy Communities Grant Program (B)   | X         |               |
| <b>REGION 10</b>   |           |               |
| 66.119 West Coast Estuaries Initiative (B)   | X         |               |
| 66.120 Puget Sound Watershed Management Assistance (B)   | X         |               |
| 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)  | X         |               |
| 66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)   | X         |               |
| 66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)   | X         |               |
| <b>REGION 3</b>  |           |               |
| 66.113 Region 3 Environmental Priority Projects (B)  | X         |               |
| <b>REGION 7</b>  |           |               |
| 66.111 Regional Environmental Priority Projects (B)  | X         |               |
| <b>REGION 9</b>  |           |               |
| 66.117 Region 9 Multi-Media and Geographic Priority Projects (B)   | X         |               |
| 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)  | X         |               |
| <b>OVERSEAS PRIVATE INVESTMENT CORPORATION</b>   |           |               |
| 70.002 Foreign Investment Financing (E,F)  | X         |               |
| <b>NUCLEAR REGULATORY COMMISSION</b>   |           |               |
| 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)   | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)                                      | X         |               |
| 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)  | X         |               |
| 77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)                                     | X         |               |
| <b>DEPARTMENT OF ENERGY</b>   |           |               |
| 81.003 Granting of Patent Licenses (L)  |           | X             |
| 81.022 Used Energy-Related Laboratory Equipment Grants (B)  | X         |               |
| 81.041 State Energy Program (A,B,L)   | X         |               |
| 81.042 Weatherization Assistance for Low-Income Persons (A,L)   | X         |               |
| 81.049 Office of Science Financial Assistance Program (B)   | X         |               |
| 81.057 University Coal Research (B)   | X         |               |
| 81.064 Office of Scientific and Technical Information (L)   |           | X             |
| 81.065 Nuclear Waste Disposal Siting (B,C)  | X         |               |
| 81.086 Conservation Research and Development (B)  | X         |               |
| 81.087 Renewable Energy Research and Development (B)  | X         |               |
| 81.089 Fossil Energy Research and Development (B)   | X         |               |
| 81.104 Office of Environmental Waste Processing (B)   | X         |               |
| 81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)   | X         |               |
| 81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)     | X         |               |
| 81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)   | X         |               |
| 81.112 Stewardship Science Grant Program (B)  | X         |               |
| 81.113 Defense Nuclear Nonproliferation Research (B)  | X         |               |
| 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B) | X         |               |
| 81.119 State Energy Program Special Projects (B)  | X         |               |
| 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)  | X         |               |
| 81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)                            | X         |               |
| 81.124 Predictive Science Academic Alliance Program (B)   | X         |               |
| 81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)   | X         |               |
| 81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)  | X         |               |
| 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)   | X         |               |
| 81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)                      | X         |               |
| 81.131 Expand and Extend Clean Coal Power Initiative (B)  | X         |               |
| 81.132 Geologic Sequestration Site Characterization (B)   | X         |               |
| 81.133 Geologic Sequestration Training and Research Grant Program (B)   | X         |               |
| 81.134 Industrial Carbon Capture and Storage (CCS) Application (B)  | X         |               |
| 81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)  | X         |               |
| 81.136 Long-Term Surveillance and Maintenance (B)   | X         |               |
| <b>DEPARTMENT OF EDUCATION</b>  |           |               |
| 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)                                    | X         |               |
| 84.385 Teacher Incentive Fund, Recovery Act (B)   | X         |               |
| 84.386 Education Technology State Grants, Recovery Act (A)  | X         |               |
| 84.387 Education for Homeless Children and Youth, Recovery Act (A)  | X         |               |
| 84.388 School Improvement Grants, Recovery Act (A)  | X         |               |
| 84.389 Title I Grants to Local Educational Agencies, Recovery Act (A)   | X         |               |
| 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)                                       | X         |               |
| 84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (A)  | X         |               |
| 84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (B)                                | X         |               |
| 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (B)                                  | X         |               |
| 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (A)   | X         |               |
| 84.398 Independent Living State Grants, Recovery Act (A)  | X         |               |
| 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act (A)  | X         |               |
| 84.400 Centers for Independent Living, Recovery Act. (B)  | X         |               |
| 84.401 Impact Aid School Construction, Recovery Act (B)   | X         |               |
| 84.402 Consolidated Grants to the Outlying Areas, Recovery Act (A)  | X         |               |
| 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act (A)   | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 84.405 Teacher Quality Partnerships, Recovery Act (B)  | X         |               |
| <b>INSTITUTE OF EDUCATION SCIENCES</b>   |           |               |
| 84.372 Statewide Data Systems (B)  | X         |               |
| 84.384 Statewide Data Systems, Recovery Act (B)  | X         |               |
| <b>OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT</b>  |           |               |
| 84.206 Javits Gifted and Talented Students Education Grant Program (B)   | X         |               |
| 84.286 Ready to Teach (B)  | X         |               |
| 84.287 Twenty-First Century Community Learning Centers (A)   | X         |               |
| 84.295 Ready-To-Learn Television (B)   | X         |               |
| 84.304 Civic Education - Cooperative Education Exchange Program (B)  | X         |               |
| 84.305 Education Research, Development and Dissemination (B)   | X         |               |
| <b>OFFICE OF ELEMENTARY AND SECONDARY EDUCATION</b>  |           |               |
| 84.004 Civil Rights Training and Advisory Services (B)   | X         |               |
| 84.010 Title I Grants to Local Educational Agencies (A)  | X         |               |
| 84.011 Migrant Education_State Grant Program (A)   | X         |               |
| 84.013 Title I Program for Neglected and Delinquent Children (A)   | X         |               |
| 84.040 Impact Aid_Facilities Maintenance (B)   | X         |               |
| 84.041 Impact Aid (A,B)  | X         |               |
| 84.060 Indian Education_Grants to Local Educational Agencies (A)   | X         |               |
| 84.083 Women's Educational Equity Act Program (B)  | X         |               |
| 84.141 Migrant Education_High School Equivalency Program (B)   | X         |               |
| 84.144 Migrant Education_Coordination Program (B)  | X         |               |
| 84.149 Migrant Education_College Assistance Migrant Program (B)  | X         |               |
| 84.165 Magnet Schools Assistance (B)   | X         |               |
| 84.184 Safe and Drug-Free Schools and Communities_National Programs (B)  | X         |               |
| 84.186 Safe and Drug-Free Schools and Communities_State Grants (A)   | X         |               |
| 84.196 Education for Homeless Children and Youth (A)   | X         |               |
| 84.213 Even Start_State Educational Agencies (A)   | X         |               |
| 84.214 Even Start_Migrant Education (B)  | X         |               |
| 84.256 Freely Associated States_Education Grant Program (B)  | X         |               |
| 84.258 Even Start_Indian Tribes and Tribal Organizations (B)   | X         |               |
| 84.282 Charter Schools (B)   | X         |               |
| 84.283 Comprehensive Centers (B)   | X         |               |
| 84.293 Foreign Language Assistance (B)   | X         |               |
| 84.299 Indian Education -- Special Programs for Indian Children (B)  | X         |               |
| 84.310 Parental Information and Resource Centers (B)   | X         |               |
| 84.318 Education Technology State Grants (A)   | X         |               |
| 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B) | X         |               |
| 84.350 Transition to Teaching (B)  | X         |               |
| 84.351 Arts in Education (B)   | X         |               |
| 84.354 Credit Enhancement for Charter School Facilities (B)  | X         |               |
| 84.356 Alaska Native Educational Programs (B)  | X         |               |
| 84.357 Reading First State Grants (A)  | X         |               |
| 84.358 Rural Education (A)   | X         |               |
| 84.359 Early Reading First (B)   | X         |               |
| 84.360 School Dropout Prevention Program (B)   | X         |               |
| 84.361 Voluntary Public School Choice (B)  | X         |               |
| 84.362 Native Hawaiian Education (B)   | X         |               |
| 84.363 School Leadership (B)   | X         |               |
| 84.364 Literacy through School Libraries (B)   | X         |               |
| 84.366 Mathematics and Science Partnerships (B)  | X         |               |
| 84.367 Improving Teacher Quality State Grants (A)  | X         |               |
| 84.369 Grants for State Assessments and Related Activities (A)   | X         |               |
| 84.370 DC School Choice Incentive Program (B)  | X         |               |
| 84.371 Striving Readers (B)  | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 84.374 Teacher Incentive Fund (B)   | X         |               |
| 84.377 School Improvement Grants (A)  | X         |               |
| 84.403 Consolidated Grant to the Outlying Areas (A)   | X         |               |
| <b>OFFICE OF ENGLISH LANGUAGE ACQUISITION</b>   |           |               |
| 84.365 English Language Acquisition Grants (A,B)  | X         |               |
| <b>OFFICE OF HUMAN RESOURCES AND ADMINISTRATION</b>   |           |               |
| 84.145 Federal Real Property Assistance Program (H)   |           | X             |
| <b>OFFICE OF INNOVATION AND IMPROVEMENT</b>   |           |               |
| 84.215 Fund for the Improvement of Education (B)  | X         |               |
| 84.336 Teacher Quality Partnership Grants (B)   | X         |               |
| <b>OFFICE OF POSTSECONDARY EDUCATION</b>  |           |               |
| 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)                       | X         |               |
| 84.016 Undergraduate International Studies and Foreign Language Programs (B)  | X         |               |
| 84.017 International Research and Studies (B)   | X         |               |
| 84.018 Overseas Programs_Special Bilateral Projects (B)   | X         |               |
| 84.019 Overseas Programs - Faculty Research Abroad (B)  | X         |               |
| 84.021 Overseas Programs - Group Projects Abroad (B)  | X         |               |
| 84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)  | X         |               |
| 84.031 Higher Education_Institutional Aid (B)   | X         |               |
| 84.042 TRIO_Student Support Services (B)  | X         |               |
| 84.044 TRIO_Talent Search (B)   | X         |               |
| 84.047 TRIO_Upward Bound (B)  | X         |               |
| 84.066 TRIO_Educational Opportunity Centers (B)   | X         |               |
| 84.103 TRIO Staff Training Program (B)  | X         |               |
| 84.116 Fund for the Improvement of Postsecondary Education (B)  | X         |               |
| 84.120 Minority Science and Engineering Improvement (B)   | X         |               |
| 84.153 Business and International Education Projects (B)  | X         |               |
| 84.170 Javits Fellowships (B)   | X         |               |
| 84.185 Byrd Honors Scholarships (A)   | X         |               |
| 84.200 Graduate Assistance in Areas of National Need (B)  | X         |               |
| 84.217 TRIO_McNair Post-Baccalaureate Achievement (B)   | X         |               |
| 84.220 Centers for International Business Education (B)   | X         |               |
| 84.229 Language Resource Centers (B)  | X         |               |
| 84.269 Institute for International Public Policy (B)  | X         |               |
| 84.274 American Overseas Research Centers (B)   | X         |               |
| 84.332 Comprehensive School Reform Demonstration (B)  | X         |               |
| 84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)  | X         |               |
| 84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)   | X         |               |
| 84.335 Child Care Access Means Parents in School (B)  | X         |               |
| 84.337 International Education_Technological Innovation and Cooperation for Foreign Information Access (B)  | X         |               |
| 84.345 Underground Railroad Educational and Cultural Program (B)  | X         |               |
| 84.375 Academic Competitiveness Grants (C)  | X         |               |
| 84.378 College Access Challenge Grant Program (A)   | X         |               |
| 84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) | X         |               |
| 84.382 Strengthening Minority-Serving Institutions (B)  | X         |               |
| 84.383 Homeless Education Disaster Assistance Program (A)   | X         |               |
| <b>OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES</b>  |           |               |
| 84.027 Special Education_Grants to States (A)   | X         |               |
| 84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)   | X         |               |
| 84.128 Rehabilitation Services_Service Projects (B)   | X         |               |
| 84.129 Rehabilitation Long-Term Training (B)  | X         |               |



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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 84.132 Centers for Independent Living (B)  | X         |               |
| 84.133 National Institute on Disability and Rehabilitation Research (B)  | X         |               |
| 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)                                   | X         |               |
| 84.161 Rehabilitation Services_Client Assistance Program (A)   | X         |               |
| 84.169 Independent Living_State Grants (A)   | X         |               |
| 84.173 Special Education_Preschool Grants (A)  | X         |               |
| 84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)                                 | X         |               |
| 84.181 Special Education-Grants for Infants and Families (A)   | X         |               |
| 84.187 Supported Employment Services for Individuals with Significant Disabilities (A)   | X         |               |
| 84.224 Assistive Technology (A)  | X         |               |
| 84.234 Projects with Industry (B)  | X         |               |
| 84.235 Rehabilitation Services Demonstration and Training Programs (B)   | X         |               |
| 84.240 Program of Protection and Advocacy of Individual Rights (B)   | X         |               |
| 84.246 Rehabilitation Short-Term Training (B)  | X         |               |
| 84.250 Rehabilitation Services_American Indians with Disabilities (B)  | X         |               |
| 84.263 Rehabilitation Training_Experimental and Innovative Training (B)  | X         |               |
| 84.264 Rehabilitation Training_Continuing Education (B)  | X         |               |
| 84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)  | X         |               |
| 84.275 Rehabilitation Training_General Training (B)  | X         |               |
| 84.315 Capacity Building for Traditionally Underserved Populations (B)   | X         |               |
| 84.323 Special Education - State Personnel Development (B)   | X         |               |
| 84.324 Research in Special Education (B)   | X         |               |
| 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)                | X         |               |
| 84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B) | X         |               |
| 84.327 Special Education_Technology and Media Services for Individuals with Disabilities (B)                                       | X         |               |
| 84.328 Special Education_Parent Information Centers (B)  | X         |               |
| 84.329 Special Education_Studies and Evaluations (B)   | X         |               |
| 84.343 Assistive Technology_State Grants for Protection and Advocacy (A)   | X         |               |
| 84.373 Special Education_Technical Assistance on State Data Collection (B)   | X         |               |
| 84.380 Special Education -- Olympic Education Programs (B)   | X         |               |
| 84.391 Special Education Grants to States, Recovery Act (A)  | X         |               |
| 84.392 Special Education - Preschool Grants, Recovery Act (A)  | X         |               |
| 84.393 Special Education - Grants for Infants and Families, Recovery Act (A)   | X         |               |
| 84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act. (B)  | X         |               |
| <b>OFFICE OF STUDENT FINANCIAL ASSISTANCE PROGRAMS</b>   |           |               |
| 84.007 Federal Supplemental Educational Opportunity Grants (C)   | X         |               |
| 84.032 Federal Family Education Loans (F)  | X         |               |
| 84.033 Federal Work-Study Program (C)  | X         |               |
| 84.037 Perkins Loan Cancellations (C,D)  | X         |               |
| 84.038 Federal Perkins Loan Program_Federal Capital Contributions (C)  | X         |               |
| 84.063 Federal Pell Grant Program (C)  | X         |               |
| 84.069 Leveraging Educational Assistance Partnership (A)   | X         |               |
| 84.268 Federal Direct Student Loans (E)  | X         |               |
| 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (C)   | X         |               |
| <b>OFFICE OF VOCATIONAL AND ADULT EDUCATION</b>  |           |               |
| 84.002 Adult Education - Basic Grants to States (A)  | X         |               |
| 84.048 Career and Technical Education -- Basic Grants to States (A)  | X         |               |
| 84.051 Career and Technical Education -- National Programs (B)   | X         |               |
| 84.101 Career and Technical Education - Indian Set-aside (B)   | X         |               |
| 84.191 Adult Education_National Leadership Activities (B,C)  | X         |               |
| 84.243 Tech-Prep Education (A)   | X         |               |
| 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)   | X         |               |
| 84.257 National Institute for Literacy (B,C)   | X         |               |
| 84.259 Native Hawaiian Career and Technical Education (B)  | X         |               |
| 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)                           | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| <b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>  |           |               |
| 85.101 Homeland Security Award (D)   | X         |               |
| 85.102 Christopher Columbus Awards (B)   | X         |               |
| 85.103 Freida J. Riley Teacher Award (D)   | X         |               |
| 85.104 Life Sciences Awards (D)  | X         |               |
| <b>JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION</b>  |           |               |
| 85.500 James Madison Memorial Fellowship Program (B)   | X         |               |
| <b>MILLENNIUM CHALLENGE CORPORATION</b>  |           |               |
| 85.111 Rural Water Investment Evaluations (MOZMBIQUE) (C)  | X         |               |
| <b>MORRIS K. UDALL FOUNDATION</b>  |           |               |
| 85.400 Morris K. Udall Scholarship Program (C)   | X         |               |
| 85.401 Morris K. Udall Fellowship Program (C)  | X         |               |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C)  | X         |               |
| <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>  |           |               |
| 89.001 National Archives Reference Services_Historical Research (I,K,L)  |           | X             |
| 89.003 National Historical Publications and Records Grants (B)   | X         |               |
| 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C) | X         |               |
| <b>DENALI COMMISSION</b>   |           |               |
| 90.100 Denali Commission Program (B)   | X         |               |
| <b>JAPAN U.S. FRIENDSHIP COMMISSION</b>  |           |               |
| 90.300 Japan-U.S. Friendship Commission Grants (B)   | X         |               |
| <b>UNITED STATES INSTITUTE OF PEACE</b>  |           |               |
| 91.001 Annual Grant Competition (B)  | X         |               |
| 91.002 Priority Grant Competition (B)  | X         |               |
| <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>   |           |               |
| <b>ADMINISTRATION FOR CHILDREN AND FAMILIES</b>  |           |               |
| 93.009 Compassion Capital Fund (B)   | X         |               |
| 93.010 Community-Based Abstinence Education (CBAE) (B)   | X         |               |
| 93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)  | X         |               |
| 93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)              | X         |               |
| 93.090 Guardianship Assistance (A)   | X         |               |
| 93.235 Abstinence Education Program (A)  | X         |               |
| 93.254 Infant Adoption Awareness Training (B)  | X         |               |
| 93.550 Transitional Living for Homeless Youth (B)  | X         |               |
| 93.551 Abandoned Infants (B)   | X         |               |
| 93.556 Promoting Safe and Stable Families (A,B)  | X         |               |
| 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)              | X         |               |
| 93.558 Temporary Assistance for Needy Families (A)   | X         |               |
| 93.560 Family Support Payments to States_Assistance Payments (A)   | X         |               |
| 93.563 Child Support Enforcement (A)   | X         |               |
| 93.564 Child Support Enforcement Research (B)  | X         |               |
| 93.566 Refugee and Entrant Assistance_State Administered Programs (A)  | X         |               |
| 93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (B)  | X         |               |
| 93.568 Low-Income Home Energy Assistance (A)   | X         |               |
| 93.569 Community Services Block Grant (A)  | X         |               |
| 93.570 Community Services Block Grant_Discretionary Awards (B)   | X         |               |
| 93.575 Child Care and Development Block Grant (A)  | X         |               |
| 93.576 Refugee and Entrant Assistance_Discretionary Grants (B)   | X         |               |

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| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 93.579 U.S. Repatriation (B)   | X         |               |
| 93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)                                   | X         |               |
| 93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)  | X         |               |
| 93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)   | X         |               |
| 93.586 State Court Improvement Program (A)   | X         |               |
| 93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)   | X         |               |
| 93.590 Community-Based Child Abuse Prevention Grants (A)   | X         |               |
| 93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A) | X         |               |
| 93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)                         | X         |               |
| 93.593 Job Opportunities for Low-Income Individuals (B)  | X         |               |
| 93.594 Tribal Work Grants (A)  | X         |               |
| 93.595 Welfare Reform Research, Evaluations and National Studies (B)   | X         |               |
| 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)  | X         |               |
| 93.597 Grants to States for Access and Visitation Programs (B)   | X         |               |
| 93.598 Services to Victims of a Severe Form of Trafficking (B)   | X         |               |
| 93.599 Chafee Education and Training Vouchers Program (ETV) (A)  | X         |               |
| 93.600 Head Start (B)  | X         |               |
| 93.601 Child Support Enforcement Demonstrations and Special Projects (B)   | X         |               |
| 93.602 Assets for Independence Demonstration Program (B)   | X         |               |
| 93.603 Adoption Incentive Payments (A)   | X         |               |
| 93.604 Assistance for Torture Victims (B)  | X         |               |
| 93.605 Family Connection Grants (B)  | X         |               |
| 93.612 Native American Programs (B)  | X         |               |
| 93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)   |           | X             |
| 93.616 Mentoring Children of Prisoners (B)   | X         |               |
| 93.617 Voting Access for Individuals with Disabilities_Grants to States (A)  | X         |               |
| 93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)                                | X         |               |
| 93.623 Basic Center Grant (B)  | X         |               |
| 93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)  | X         |               |
| 93.631 Developmental Disabilities Projects of National Significance (B)  | X         |               |
| 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)                          | X         |               |
| 93.643 Children's Justice Grants to States (A)   | X         |               |
| 93.645 Child Welfare Services_State Grants (A)   | X         |               |
| 93.647 Social Services Research and Demonstration (B)  | X         |               |
| 93.648 Child Welfare Research Training or Demonstration (B)  | X         |               |
| 93.652 Adoption Opportunities (B)  | X         |               |
| 93.658 Foster Care_Title IV-E (A,B)  | X         |               |
| 93.659 Adoption Assistance (A)   | X         |               |
| 93.667 Social Services Block Grant (A)   | X         |               |
| 93.669 Child Abuse and Neglect State Grants (A)  | X         |               |
| 93.670 Child Abuse and Neglect Discretionary Activities (B)  | X         |               |
| 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)           | X         |               |
| 93.674 Chafee Foster Care Independence Program (A)   | X         |               |
| 93.676 Unaccompanied Alien Children Program (B)  | X         |               |
| 93.708 ARRA - Head Start (B)   | X         |               |
| 93.709 ARRA - Early Head Start (B)   | X         |               |
| 93.710 ARRA - Community Services Block Grant (A)   | X         |               |
| 93.711 ARRA Strengthening Communities Fund (B)   | X         |               |
| 93.713 ARRA Child Care and Development Block Grant (A)   | X         |               |
| 93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)                          | X         |               |
| 93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)   | X         |               |
| <b>ADMINISTRATION ON AGING</b>   |           |               |
| 93.072 Lifespan Respite Care Program (B)   | X         |               |
| 93.705 Aging Home-Delivered Nutrition Services for States (A)  | X         |               |
| 93.706 Aging Nutrition Services for Native Americans (B)   | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 93.707 Aging Congregate Nutrition Services for States (A)   | X         |               |
| 93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)   | X         |               |
| <b>AGENCY FOR HEALTHCARE RESEARCH AND QUALITY</b>   |           |               |
| 93.225 National Research Service Awards_Health Services Research Training (B)   | X         |               |
| 93.226 Research on Healthcare Costs, Quality and Outcomes (B)   | X         |               |
| 93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)   | X         |               |
| <b>AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY</b>   |           |               |
| 93.161 Health Program for Toxic Substances and Disease Registry (B)   | X         |               |
| 93.202 Capacity Building Among American Indian Tribes (B)   | X         |               |
| 93.204 Surveillance of Hazardous Substance Emergency Events (B)   | X         |               |
| 93.240 State Capacity Building (B)  | X         |               |
| <b>CENTERS FOR DISEASE CONTROL AND PREVENTION</b>   |           |               |
| 93.061 Innovations in Applied Public Health Research (B)  | X         |               |
| 93.062 Biomonitoring Programs for State Public Health Laboratories (B)  | X         |               |
| 93.063 Centers for Genomics and Public Health (B)   | X         |               |
| 93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)  | X         |               |
| 93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)                                    | X         |               |
| 93.066 State Vital Statistics Improvement Program (B)   | X         |               |
| 93.067 Global AIDS (B)  | X         |               |
| 93.068 Chronic Diseases: Research, Control, and Prevention (B)  | X         |               |
| 93.069 Public Health Emergency Preparedness (B)   | X         |               |
| 93.070 Environmental Public Health and Emergency Response (B)   | X         |               |
| 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)  | X         |               |
| 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)   | X         |               |
| 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)   | X         |               |
| 93.136 Injury Prevention and Control Research and State and Community Based Programs (B)  | X         |               |
| 93.184 Disabilities Prevention (B)  | X         |               |
| 93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)                                   | X         |               |
| 93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)         | X         |               |
| 93.262 Occupational Safety and Health Program (B,M)   | X         |               |
| 93.268 Immunization Grants (B)  | X         |               |
| 93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)   | X         |               |
| 93.270 Adult Viral Hepatitis Prevention and Control (B)   | X         |               |
| 93.283 Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)   | X         |               |
| 93.712 ARRA - Immunization (B)  | X         |               |
| 93.717 ARRA - Preventing Healthcare-Associated Infections (B)   | X         |               |
| 93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)  | X         |               |
| 93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)   | X         |               |
| 93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)   | X         |               |
| 93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)                    | X         |               |
| 93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)  | X         |               |
| 93.940 HIV Prevention Activities_Health Department Based (B)  | X         |               |
| 93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)  | X         |               |
| 93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)  | X         |               |
| 93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B) | X         |               |
| 93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)  | X         |               |
| 93.945 Assistance Programs for Chronic Disease Prevention and Control (B)   | X         |               |
| 93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)  | X         |               |
| 93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)  | X         |               |
| 93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)  | X         |               |

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| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)   | X         |               |
| 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)  | X         |               |
| 93.991 Preventive Health and Health Services Block Grant (A)  | X         |               |
| 93.993 Public Health Research Accreditation Project (B)   | X         |               |
| <b>CENTERS FOR MEDICARE AND MEDICAID SERVICES</b>   |           |               |
| 93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (A)   | X         |               |
| 93.767 Children's Health Insurance Program (A)  | X         |               |
| 93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)   | X         |               |
| 93.769 Demonstration to Maintain Independence and Employment (B)  | X         |               |
| 93.770 Medicare_Prescription Drug Coverage (C)  | X         |               |
| 93.773 Medicare_Hospital Insurance (C)  | X         |               |
| 93.774 Medicare_Supplementary Medical Insurance (C)   | X         |               |
| 93.777 State Survey and Certification of Health Care Providers and Suppliers (A)  | X         |               |
| 93.778 Medical Assistance Program (A)   | X         |               |
| 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)  | X         |               |
| 93.780 Grants to States for Operation of Qualified High-Risk Pools (A)  | X         |               |
| 93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)  | X         |               |
| 93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)  | X         |               |
| 93.790 Alternate Non-Emergency Service Providers or Networks (B)  | X         |               |
| 93.791 Money Follows the Person Rebalancing Demonstration (B)   | X         |               |
| 93.793 Medicaid Transformation Grants (B)   | X         |               |
| <b>FOOD AND DRUG ADMINISTRATION</b>   |           |               |
| 93.103 Food and Drug Administration_Research (B)  | X         |               |
| 93.448 Food Safety and Security Monitoring Project (B)  | X         |               |
| 93.449 Ruminant Feed Ban Support Project (B)  | X         |               |
| <b>HEALTH RESOURCES AND SERVICES ADMINISTRATION</b>   |           |               |
| 93.107 Model State-Supported Area Health Education Centers (B)  | X         |               |
| 93.110 Maternal and Child Health Federal Consolidated Programs (B)  | X         |               |
| 93.117 Grants for Preventive Medicine (B)   | X         |               |
| 93.124 Nurse Anesthetist Traineeships (A)   | X         |               |
| 93.127 Emergency Medical Services for Children (B)  | X         |               |
| 93.129 Technical and Non-Financial Assistance to Health Centers (B)   | X         |               |
| 93.134 Grants to Increase Organ Donations (B)   | X         |               |
| 93.145 AIDS Education and Training Centers (B)  | X         |               |
| 93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)  | X         |               |
| 93.155 Rural Health Research Centers (B)  | X         |               |
| 93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)   | X         |               |
| 93.157 Centers of Excellence (B)  | X         |               |
| 93.162 National Health Service Corps Loan Repayment Program (C)   | X         |               |
| 93.165 Grants to States for Loan Repayment Program (B)  | X         |               |
| 93.178 Nursing Workforce Diversity (B)  | X         |               |
| 93.186 National Research Service Award in Primary Care Medicine (M)   |           | X             |
| 93.191 Allied Health Special Projects (B)   | X         |               |
| 93.211 Telehealth Network Grants (B)  | X         |               |
| 93.212 Chiropractic Demonstration Project Grants (B)  | X         |               |
| 93.223 Development and Coordination of Rural Health Services (B)  | X         |               |
| 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B) | X         |               |
| 93.234 Traumatic Brain Injury State Demonstration Grant Program (B)   | X         |               |
| 93.241 State Rural Hospital Flexibility Program (B)   | X         |               |
| 93.250 Geriatric Academic Career Awards (C)   | X         |               |
| 93.251 Universal Newborn Hearing Screening (B)  | X         |               |
| 93.253 Poison Control Stabilization and Enhancement Grants (B)  | X         |               |

# AGENCY PROGRAM INDEX

| Program Description | Financial  | Non-Financial |
|---------------------|--|---------------|
| 93.255              | Children's Hospitals Graduate Medical Education Payment (C)  | X             |
| 93.257              | Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)   | X             |
| 93.259              | Rural Access to Emergency Devices Grant (B)  | X             |
| 93.264              | Nurse Faculty Loan Program (NFLP) (E)  | X             |
| 93.265              | Comprehensive Geriatric Education Program(CGEP) (B)  | X             |
| 93.266              | Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B) | X             |
| 93.267              | State Grants for Protection and Advocacy Services (A)  | X             |
| 93.288              | National Health Service Corps Scholarship Program (C)  | X             |
| 93.300              | National Center for Health Workforce Analysis (B)  | X             |
| 93.301              | Small Rural Hospital Improvement Grant Program (B)   | X             |
| 93.342              | Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)  | X             |
| 93.358              | Advanced Education Nursing Traineeships (B)  | X             |
| 93.359              | Nurse Education, Practice and Retention Grants (B)   | X             |
| 93.364              | Nursing Student Loans (E)  | X             |
| 93.365              | Sickle Cell Treatment Demonstration Program (B)  | X             |
| 93.400              | National Health Service Corps Scholarship Program (C)  | X             |
| 93.401              | ARRA - National Health Service Corps Loan Repayment (C)  | X             |
| 93.402              | ARRA - State Loan Repayment Program (C)  | X             |
| 93.403              | ARRA - Training in Primary Care Medicine and Dentistry (B)   | X             |
| 93.404              | ARRA Dental Public Health Residency Training Grants (B)  | X             |
| 93.405              | ARRA - Public Health Traineeship Program (A)   | X             |
| 93.406              | Nursing Education Loan Repayment Program (NELRP) (C)   | X             |
| 93.407              | ARRA - Scholarships for Disadvantaged Students (B)   | X             |
| 93.408              | ARRA - Nurse Faculty Loan Program (B)  | X             |
| 93.409              | Faculty Loan Repayment Programs (C)  | X             |
| 93.410              | ARRA Licensure Portability Grant Program (B)   | X             |
| 93.411              | ARRA Equipment to Enhance Training for Health Professionals (B)  | X             |
| 93.412              | ARRA - Preventive Medicine Residency Program (B)   | X             |
| 93.414              | ARRA - State Primary Care Offices (B)  | X             |
| 93.415              | ARRA - Centers of Excellence (B)   | X             |
| 93.416              | ARRA - Health Careers Opportunity Program (B)  | X             |
| 93.417              | ARRA - Nursing Workforce Diversity (B)   | X             |
| 93.418              | ARRA - Emergency Medical Services for Children (B)   | X             |
| 93.419              | ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)  | X             |
| 93.703              | ARRA Health Center Integrated Services Development Initiative[g1] (B)  | X             |
| 93.822              | Health Careers Opportunity Program (B)   | X             |
| 93.824              | Basic/Core Area Health Education Centers (B)   | X             |
| 93.884              | Grants for Training in Primary Care Medicine and Dentistry (B)   | X             |
| 93.887              | Health Care and Other Facilities (B)   | X             |
| 93.888              | Specially Selected Health Projects (B)   | X             |
| 93.908              | Nursing Education Loan Repayment Program (C)   | X             |
| 93.912              | Rural Health Care Services Outreach and Rural Health Network Development Program (B)   | X             |
| 93.913              | Grants to States for Operation of Offices of Rural Health (B)  | X             |
| 93.914              | HIV Emergency Relief Project Grants (B)  | X             |
| 93.917              | HIV Care Formula Grants (A)  | X             |
| 93.918              | Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)   | X             |
| 93.923              | Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)  | X             |
| 93.924              | Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership (B,C)   | X             |
| 93.925              | Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)  | X             |
| 93.926              | Healthy Start Initiative (B)   | X             |
| 93.928              | Special Projects of National Significance (B)  | X             |
| 93.964              | Public Health Traineeships (A)   | X             |
| 93.965              | Coal Miners Respiratory Impairment Treatment Clinics and Services (B)  | X             |
| 93.994              | Maternal and Child Health Services Block Grant to the States (A)   | X             |

## INDIAN HEALTH SERVICE

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| 93.123 Health Professions Pregraduate Scholarship Program for Indians (M)  |           | X             |
| 93.164 Indian Health Service Educational Loan Repayment (C)  | X         |               |
| 93.193 Urban Indian Health Services (B)  | X         |               |
| 93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)                                       | X         |               |
| 93.228 Indian Health Service_Health Management Development Program (B)   | X         |               |
| 93.231 Epidemiology Cooperative Agreements (B)   | X         |               |
| 93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)                       | X         |               |
| 93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)             | X         |               |
| 93.441 Indian Self-Determination (C)   | X         |               |
| 93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)                                 | X         |               |
| 93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)                   | X         |               |
| 93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)                        | X         |               |
| 93.722 ARRA - IHS Tribal Agreements (B)  | X         |               |
| 93.933 Demonstration Projects for Indian Health (B)  | X         |               |
| 93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)                  |           | X             |
| 93.970 Health Professions Recruitment Program for Indians (M)  |           | X             |
| 93.971 Health Professions Preparatory Scholarship Program for Indians (M)  |           | X             |
| 93.972 Health Professions Scholarship Program (M)  |           | X             |
| <b>NATIONAL INSTITUTES OF HEALTH</b>   |           |               |
| 93.113 Environmental Health (B)  | X         |               |
| 93.121 Oral Diseases and Disorders Research (B)  | X         |               |
| 93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)   | X         |               |
| 93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)                                     | X         |               |
| 93.172 Human Genome Research (B)   | X         |               |
| 93.173 Research Related to Deafness and Communication Disorders (B)  | X         |               |
| 93.209 Contraception and Infertility Research Loan Repayment Program (C)   | X         |               |
| 93.213 Research and Training in Complementary and Alternative Medicine (B,M)                                     | X         |               |
| 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)               | X         |               |
| 93.232 Loan Repayment Program for General Research (B)   | X         |               |
| 93.233 National Center on Sleep Disorders Research (B)   | X         |               |
| 93.242 Mental Health Research Grants (B)   | X         |               |
| 93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)                              | X         |               |
| 93.272 Alcohol National Research Service Awards for Research Training (B)  | X         |               |
| 93.273 Alcohol Research Programs (B)   | X         |               |
| 93.279 Drug Abuse and Addiction Research Programs (B,M)  | X         |               |
| 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)                         | X         |               |
| 93.281 Mental Health Research Career/Scientist Development Awards (B)  | X         |               |
| 93.282 Mental Health National Research Service Awards for Research Training (M)                                  |           | X             |
| 93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)                               | X         |               |
| 93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)                  | X         |               |
| 93.307 Minority Health and Health Disparities Research (B)   | X         |               |
| 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C) | X         |               |
| 93.310 Trans-NIH Research Support (B,M)  | X         |               |
| 93.361 Nursing Research (B)  | X         |               |
| 93.389 National Center for Research Resources (B)  | X         |               |
| 93.393 Cancer Cause and Prevention Research (B)  | X         |               |
| 93.394 Cancer Detection and Diagnosis Research (B)   | X         |               |
| 93.395 Cancer Treatment Research (B)   | X         |               |
| 93.396 Cancer Biology Research (B)   | X         |               |
| 93.397 Cancer Centers Support Grants (B)   | X         |               |
| 93.398 Cancer Research Manpower (B)  | X         |               |
| 93.399 Cancer Control (B)  | X         |               |
| 93.701 Trans-NIH Recovery Act Research Support (B)   | X         |               |
| 93.702 National Center for Research Resources, Recovery Act Construction Support (B)                             | X         |               |
| 93.704 Trans-NIH Recovery Act Loan Repayment Support (C)   | X         |               |
| 93.837 Cardiovascular Diseases Research (B)  | X         |               |
| 93.838 Lung Diseases Research (B)  | X         |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial   | Non-Financial |
|--|---|---------------|
| 93.839   | Blood Diseases and Resources Research (B)   | X             |
| 93.846   | Arthritis, Musculoskeletal and Skin Diseases Research (B)   | X             |
| 93.847   | Diabetes, Digestive, and Kidney Diseases Extramural Research (B)  | X             |
| 93.853   | Extramural Research Programs in the Neurosciences and Neurological Disorders (B)                          | X             |
| 93.855   | Allergy, Immunology and Transplantation Research (B)  | X             |
| 93.856   | Microbiology and Infectious Diseases Research (B)   | X             |
| 93.859   | Biomedical Research and Research Training (B)   | X             |
| 93.865   | Child Health and Human Development Extramural Research (B)  | X             |
| 93.866   | Aging Research (B)  | X             |
| 93.867   | Vision Research (B)   | X             |
| 93.879   | Medical Library Assistance (B)  | X             |
| 93.891   | Alcohol Research Center Grants (B)  | X             |
| 93.936   | National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)      | X             |
| 93.989   | International Research and Research Training (B,M)  | X             |
| <b>OFFICE OF THE SECRETARY</b>                                   |   |               |
| 93.001   | Civil Rights and Privacy Rule Compliance Activities (K,N)   | X             |
| 93.089   | Emergency System for Advance Registration of Volunteer Health Professionals (B)                           | X             |
| 93.718   | Health Information Technology Regional Extension Centers Program (B)                                      | X             |
| 93.719   | ARRA - State Grants to Promote Health Information Technology (B)  | X             |
| 93.721   | ARRA - Health Information Technology Professionals in Health Care (B)                                     | X             |
| 93.727   | ARRA - Health Information Technology - Beacon Communities (B)   | X             |
| 93.728   | ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)   | X             |
| 93.889   | National Bioterrorism Hospital Preparedness Program (B)   | X             |
| <b>PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS</b>        |   |               |
| 93.289   | President's Council on Physical Fitness and Sports (K)  | X             |
| <b>PROGRAM SUPPORT CENTER</b>                                    |   |               |
| 93.291   | Surplus Property Utilization (H)  | X             |
| <b>SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION</b> |   |               |
| 93.104   | Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B) | X             |
| 93.138   | Protection and Advocacy for Individuals with Mental Illness (A)   | X             |
| 93.150   | Projects for Assistance in Transition from Homelessness (PATH) (A)  | X             |
| 93.243   | Substance Abuse and Mental Health Services _Projects of Regional and National Significance (B)            | X             |
| 93.275   | Substance Abuse and Mental Health Services-Access to Recovery (B)   | X             |
| 93.276   | Drug-Free Communities Support Program Grants (B)  | X             |
| 93.958   | Block Grants for Community Mental Health Services (A)   | X             |
| 93.959   | Block Grants for Prevention and Treatment of Substance Abuse (A)  | X             |
| 93.975   | National All Schedules Prescription Electronic Reporting Grant (A)  | X             |
| 93.982   | Mental Health Disaster Assistance and Emergency Mental Health (B)   | X             |
| <b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>            |   |               |
| 94.017   | Senior Demonstration Program (B)  | X             |
| 94.018   | Learn and Serve America Innovative Community-Based Service-Learning Programs (B)                          | X             |
| <b>SOCIAL SECURITY ADMINISTRATION</b>                            |   |               |
| 96.021   | Social Security Economic Recovery Act Payments (D)  | X             |
| <b>DEPARTMENT OF HOMELAND SECURITY</b>                           |   |               |
| 97.004   | State Domestic Preparedness Equipment Support Program (B)   | X             |
| 97.005   | State and Local Homeland Security Training Program (B)  | X             |
| 97.007   | Homeland Security Preparedness Technical Assistance Program (B)   | X             |
| 97.008   | Urban Areas Security Initiative (B)   | X             |
| 97.009   | Cuban/Haitian Entrant Program (B)   | X             |
| 97.010   | Citizenship Education and Training (B)  | X             |
| 97.011   | Boating Safety (J,K,L,M)  | X             |



# AGENCY PROGRAM INDEX

| Program Description   | Financial | Non-Financial |
|---|-----------|---------------|
| 97.012 Boating Safety Financial Assistance (A)  | X         |               |
| 97.013 State Access to the Oil Spill Liability Trust Fund (B)   | X         |               |
| 97.015 Secret Service_Training Activities (M)   |           | X             |
| 97.016 Reimbursement for Firefighting on Federal Property (C)   | X         |               |
| 97.018 National Fire Academy Training Assistance (C)  | X         |               |
| 97.019 National Fire Academy Educational Program (M)  |           | X             |
| 97.020 Hazardous Materials Training Program (B)   | X         |               |
| 97.021 Hazardous Materials Assistance Program (B)   | X         |               |
| 97.022 Flood Insurance (G)  | X         |               |
| 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)                                     | X         |               |
| 97.024 Emergency Food and Shelter National Board Program (B)  | X         |               |
| 97.025 National Urban Search and Rescue (US&R) Response System (B)  | X         |               |
| 97.026 Emergency Management Institute_Training Assistance (C)   | X         |               |
| 97.027 Emergency Management Institute (EMI)_Independent Study Program (M)   |           | X             |
| 97.028 Emergency Management Institute (EMI)_Resident Educational Program (M)  |           | X             |
| 97.029 Flood Mitigation Assistance (B)  | X         |               |
| 97.030 Community Disaster Loans (E)   | X         |               |
| 97.031 Cora Brown Fund (C)  | X         |               |
| 97.032 Crisis Counseling (B)  | X         |               |
| 97.033 Disaster Legal Services (C)  | X         |               |
| 97.034 Disaster Unemployment Assistance (C,J)   | X         |               |
| 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)                                    | X         |               |
| 97.039 Hazard Mitigation Grant (B)  | X         |               |
| 97.040 Chemical Stockpile Emergency Preparedness Program (B)  | X         |               |
| 97.041 National Dam Safety Program (B)  | X         |               |
| 97.042 Emergency Management Performance Grants (A)  | X         |               |
| 97.043 State Fire Training Systems Grants (B)   | X         |               |
| 97.044 Assistance to Firefighters Grant (B)   | X         |               |
| 97.045 Cooperating Technical Partners (B)   | X         |               |
| 97.046 Fire Management Assistance Grant (B,J)   | X         |               |
| 97.047 Pre-Disaster Mitigation (B)  | X         |               |
| 97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)        | X         |               |
| 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)     | X         |               |
| 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)                      | X         |               |
| 97.052 Emergency Operations Centers (B)   | X         |               |
| 97.053 Citizen Corps (B)  | X         |               |
| 97.055 Interoperable Communications Equipment (B)   | X         |               |
| 97.056 Port Security Grant Program (B)  | X         |               |
| 97.057 Intercity Bus Security Grants (B)  | X         |               |
| 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)  | X         |               |
| 97.059 Truck Security Program (B)   | X         |               |
| 97.060 Port Security Research and Development Grant (B)   | X         |               |
| 97.061 Centers for Homeland Security (B)  | X         |               |
| 97.062 Scholars and Fellows, and Educational Programs (B,C)   | X         |               |
| 97.064 Debris Removal Insurance (G)   | X         |               |
| 97.065 Homeland Security Advanced Research Projects Agency (B)  | X         |               |
| 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)           | X         |               |
| 97.067 Homeland Security Grant Program (A)  | X         |               |
| 97.068 Competitive Training Grants (B)  | X         |               |
| 97.069 Aviation Research Grants (B,I)   | X         |               |
| 97.070 Map Modernization Management Support (B)   | X         |               |
| 97.071 Metropolitan Medical Response System (B)   | X         |               |
| 97.072 National Explosives Detection Canine Team Program (B)  | X         |               |
| 97.073 State Homeland Security Program (SHSP) (A)   | X         |               |
| 97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)   | X         |               |
| 97.075 Rail and Transit Security Grant Program (B)  | X         |               |
| 97.076 National Center for Missing and Exploited Children (NCMEC) (B)   | X         |               |
| 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection |           |               |

# AGENCY PROGRAM INDEX

| Program Description  | Financial | Non-Financial |
|--|-----------|---------------|
| (B,H,I,L)  |           |               |
| 97.078 Buffer Zone Protection Program (BZPP) (B)   | X         |               |
| 97.079 Public Alert Radios for Schools (B)   | X         |               |
| 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)                     | X         |               |
| 97.081 Law Enforcement Training and Technical Assistance (J,M)   |           | X             |
| 97.082 Earthquake Consortium (B)   | X         |               |
| 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)   | X         |               |
| 97.084 Hurricane Katrina Case Management Initiative Program (B)  | X         |               |
| 97.085 9/11 Heroes Stamp Program (D)   | X         |               |
| 97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)   | X         |               |
| 97.087 Alternative Housing Pilot Program (B)   | X         |               |
| 97.088 Disaster Assistance Projects (B)  | X         |               |
| 97.089 Real ID Program (B)   | X         |               |
| 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)   | X         |               |
| 97.091 Homeland Security Biowatch Program (B,I)  | X         |               |
| 97.092 Repetitive Flood Claims (B)   | X         |               |
| 97.093 Fire Service Hazardous Materials Preparedness and Response (B)  | X         |               |
| 97.094 Prevention Advocacy Resources and Data Exchange Program (B)   | X         |               |
| 97.095 Safe Kids Worldwide (B)   | X         |               |
| 97.096 Commercial Equipment Direct Assistance Program (CEDAP) (H)  |           | X             |
| 97.097 Training Resource and Data Exchange (B)   | X         |               |
| 97.098 Disaster Donations Management Program (B)   | X         |               |
| 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)  | X         |               |
| 97.100 Airport Checked Baggage Screening Program (C)   | X         |               |
| 97.103 Degrees at a Distance Program (B)   | X         |               |
| 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)                 | X         |               |
| 97.105 Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B) | X         |               |
| 97.106 Securing the Cities (B,H,I,L)   | X         |               |
| 97.107 National Incident Management System (NIMS) (B)  | X         |               |
| 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)                                       | X         |               |
| 97.109 Disaster Housing Assistance Grant (B)   | X         |               |
| 97.110 Severe Loss Repetitive Program (B)  | X         |               |
| 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)  | X         |               |
| 97.112 Border Infrastructure Improvement Projects (B)  | X         |               |
| 97.113 Rail and Transit Security Grant Program (ARRA) (B)  | X         |               |
| 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)  | X         |               |
| 97.115 Assistance to Firefighters Grant (ARRA) (B)   | X         |               |
| 97.116 Port Security Grant Program (ARRA) (B)  | X         |               |
| 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)  | X         |               |
| 97.118 Advanced Surveillance Program (ASP) (B)   | X         |               |
| 97.119 2010 Olympics First Responder Training (B)  | X         |               |

X

# ALPHABETICAL INDEX OF PROGRAMS

This index lists the CFDA programs alphabetically by title and provides the CFDA number for reference.

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15.934 Abandoned Mine Hazard Mitigation (B,C)  
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)  
93.235 Abstinence Education Program (A)  
84.375 Academic Competitiveness Grants (C)  
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)  
19.421 Academic Exchange Programs - English Language Programs (B)  
19.400 Academic Exchange Programs - Graduate Students (B)  
19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)  
19.401 Academic Exchange Programs - Scholars (B)  
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- 10.215 Sustainable Agriculture Research and Education (B)
- 10.761 Technical Assistance and Training Grants (B)
- 20.710 Technical Assistance Grants (B)
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84.044 TRIO\_Talent Search (B)  
84.047 TRIO\_Upward Bound (B)  
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97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)  
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- 84.083 Women's Educational Equity Act Program (B)
- 10.681 Wood Education and Resource Center (WERC) (B)
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# APPLICANT ELIGIBILITY INDEX

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

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

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

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

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

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

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

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

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

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

| Program Description   | Individual | Local | NonProfit | State | U.S. Territories | Federal Tribal Governments |
|---|------------|-------|-----------|-------|------------------|----------------------------|
| <b>DEPARTMENT OF AGRICULTURE</b>                                  |            |       |           |       |                  |                            |
| 10.001 Agricultural Research Basic and Applied Research (B)       | X          | X     | X         | X     | X                | X                          |
| 10.051 Commodity Loans and Loan Deficiency Payments (D,E)         | X          |       |           |       |                  |                            |
| 10.055 Direct and Counter-cyclical Payments Program (C)           | X          |       |           |       |                  |                            |
| 10.072 Wetlands Reserve Program (C)                               | X          | X     |           | X     |                  |                            |
| 10.086 Aquaculture Grants Program (AGP) (A)                       |            |       |           |       |                  |                            |
| 10.153 Market News (L)  | X          | X     | X         | X     | X                | X                          |
| 10.155 Marketing Agreements and Orders (J,K)                      | X          |       |           |       |                  |                            |
| 10.156 Federal-State Marketing Improvement Program (B)            |            |       |           | X     |                  |                            |
| 10.162 Inspection Grading and Standardization (J)                 |            |       |           |       |                  |                            |
| 10.163 Market Protection and Promotion (J,K,M)                    | X          | X     | X         | X     | X                | X                          |
| 10.164 Wholesale Farmers and Alternative Market Development (K,M) |            |       |           | X     |                  |                            |
| 10.165 Perishable Agricultural Commodities Act (N)                | X          |       |           |       |                  |                            |
| 10.167 Transportation Services (K,M)                              | X          | X     | X         | X     | X                | X                          |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 10.168 Farmers' Market Promotion Program (B)   |            | X     |           |       |                     |                               |
| 10.169 Specialty Crop Block Grant Program (B)  |            |       |           | X     |                     |                               |
| 10.170 Specialty Crop Block Grant Program - Farm Bill (B)                                  |            |       |           | X     |                     |                               |
| 10.200 Grants for Agricultural Research, Special Research Grants (B)                       |            |       | X         | X     |                     |                               |
| 10.202 Cooperative Forestry Research (A)   |            |       |           | X     |                     |                               |
| 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)                |            |       | X         | X     |                     |                               |
| 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)                    |            |       | X         | X     |                     |                               |
| 10.206 Grants for Agricultural Research Competitive Research Grants (B)                    | X          |       | X         | X     |                     |                               |
| 10.207 Animal Health and Disease Research (A)  |            |       | X         | X     |                     |                               |
| 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)        |            |       | X         | X     |                     |                               |
| 10.212 Small Business Innovation Research (B)  |            |       |           |       |                     |                               |
| 10.215 Sustainable Agriculture Research and Education (B)                                  |            |       | X         | X     |                     |                               |
| 10.216 1890 Institution Capacity Building Grants (B)                                       |            |       | X         | X     |                     |                               |
| 10.217 Higher Education Challenge Grants (B)   |            |       | X         | X     |                     |                               |
| 10.219 Biotechnology Risk Assessment Research (B)  |            | X     | X         | X     |                     | X                             |
| 10.220 Higher Education Multicultural Scholars Program (B)                                 |            |       | X         | X     |                     | X                             |
| 10.221 Tribal Colleges Education Equity Grants (B)   |            | X     |           | X     |                     |                               |
| 10.222 Tribal Colleges Endowment Program (A)   |            | X     |           | X     |                     |                               |
| 10.223 Hispanic Serving Institutions Education Grants (B)                                  |            |       | X         | X     |                     |                               |
| 10.225 Community Food Projects (B)   |            |       |           |       |                     |                               |
| 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)     |            |       | X         | X     |                     |                               |
| 10.227 1994 Institutions Research Program (B)  |            | X     |           | X     |                     |                               |
| 10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B) |            |       | X         | X     |                     |                               |
| 10.303 Integrated Programs (B)   |            |       | X         | X     |                     |                               |
| 10.304 Homeland Security Agricultural (B)  | X          | X     | X         | X     | X                   | X                             |
| 10.305 International Science and Education Grants (B)                                      |            |       | X         | X     |                     |                               |
| 10.306 Biodiesel (B)   |            |       | X         | X     |                     |                               |
| 10.307 Organic Agriculture Research and Extension Initiative (B)                           | X          |       | X         | X     |                     |                               |
| 10.308 Resident Instruction Grants for Insular Area Activities (B)                         |            |       | X         | X     |                     |                               |
| 10.309 Specialty Crop Research Initiative (B)  | X          | X     | X         | X     | X                   | X                             |
| 10.310 Agriculture and Food Research Initiative (AFRI) (B)                                 | X          |       | X         | X     |                     |                               |
| 10.311 Beginning Farmer and Rancher Development Program (B)                                |            | X     | X         | X     |                     | X                             |
| 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)   |            |       | X         | X     |                     |                               |
| 10.314 New ERA Rural Technology Competitive Grants Program (B)                             |            |       | X         |       |                     |                               |
| 10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)    |            |       | X         | X     |                     |                               |
| 10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)                        | X          |       | X         |       |                     |                               |
| 10.410 Very Low to Moderate Income Housing Loans (E,F)                                     | X          |       |           |       |                     |                               |
| 10.411 Rural Housing Site Loans and Self_Help Housing Land Development Loans (E)           |            |       | X         |       |                     |                               |
| 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)                               | X          |       |           |       |                     |                               |
| 10.420 Rural Self-Help Housing Technical Assistance (B)                                    |            | X     | X         |       |                     |                               |
| 10.427 Rural Rental Assistance Payments (C)  | X          | X     |           |       |                     |                               |
| 10.433 Rural Housing Preservation Grants (B)   |            |       | X         |       | X                   |                               |
| 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)                               |            |       |           |       |                     |                               |
| 10.442 Housing Application Packaging Grants (B)  |            |       |           |       |                     |                               |
| 10.444 Direct Housing_Natural Disaster Loans and Grants (B,E)                              | X          | X     | X         |       | X                   | X                             |
| 10.445 Direct Housing_Natural Disaster (E)   | X          | X     | X         |       | X                   | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 10.446 Rural Community Development Initiative (B)  |            |       | X         |       |                     | X                             |
| 10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)    | X          | X     | X         | X     | X                   | X                             |
| 10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (C)            | X          |       |           |       |                     |                               |
| 10.500 Cooperative Extension Service (A,B)   | X          | X     | X         | X     | X                   | X                             |
| 10.551 Supplemental Nutrition Assistance Program (C)   |            |       |           | X     | X                   |                               |
| 10.553 School Breakfast Program (A)  |            |       | X         | X     |                     |                               |
| 10.555 National School Lunch Program (A)   |            |       | X         | X     |                     |                               |
| 10.556 Special Milk Program for Children (A)   |            |       |           | X     |                     |                               |
| 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)                       |            | X     | X         | X     |                     |                               |
| 10.558 Child and Adult Care Food Program (A)   |            |       | X         | X     |                     |                               |
| 10.559 Summer Food Service Program for Children (A)  |            |       | X         | X     |                     |                               |
| 10.560 State Administrative Expenses for Child Nutrition (A)   |            |       |           | X     |                     |                               |
| 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)        |            |       |           |       |                     |                               |
| 10.565 Commodity Supplemental Food Program (A,H)   |            |       |           | X     |                     | X                             |
| 10.566 Nutrition Assistance For Puerto Rico (C)  |            |       |           |       |                     |                               |
| 10.567 Food Distribution Program on Indian Reservations (B,H)  |            |       |           |       |                     | X                             |
| 10.568 Emergency Food Assistance Program (Administrative Costs) (A)                                      |            |       |           |       |                     |                               |
| 10.569 Emergency Food Assistance Program (Food Commodities) (A)  |            |       |           |       |                     |                               |
| 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)  |            | X     |           | X     |                     |                               |
| 10.574 Team Nutrition Grants (B)   |            |       |           | X     |                     |                               |
| 10.576 Senior Farmers Market Nutrition Program (B)   |            | X     |           | X     |                     |                               |
| 10.578 WIC Grants To States (WGS) (B)  |            |       |           | X     |                     |                               |
| 10.579 Child Nutrition Discretionary Grants Limited Availability (B)                                     |            |       |           | X     |                     |                               |
| 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)                     |            |       |           | X     |                     |                               |
| 10.582 Fresh Fruit and Vegetable Program (B)   |            |       |           | X     |                     |                               |
| 10.666 Schools and Roads - Grants to Counties (A)  |            |       |           |       |                     |                               |
| 10.675 Urban and Community Forestry Program (B)  |            | X     | X         | X     |                     |                               |
| 10.681 Wood Education and Resource Center (WERC) (B)   |            | X     | X         | X     |                     | X                             |
| 10.682 National Forest Foundation (C)  |            |       |           |       |                     |                               |
| 10.683 National Fish and Wildlife Foundation (C)   |            |       | X         |       |                     |                               |
| 10.685 Community Wood Energy Program (B)   |            | X     |           | X     |                     | X                             |
| 10.686 Forest Biomass for Energy (B)   |            | X     | X         | X     |                     | X                             |
| 10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)                                     | X          | X     | X         | X     |                     | X                             |
| 10.688 Recovery Act of 2009: Wildland Fire Management (B)  | X          | X     | X         | X     |                     | X                             |
| 10.689 Community Forest and Open Space Conservation Program (CFP) (B)                                    |            | X     | X         |       |                     | X                             |
| 10.690 Lake Tahoe Erosion Control Grant Program (B)  |            | X     |           |       |                     |                               |
| 10.691 Good Neighbor Authority (B)   |            |       |           | X     |                     |                               |
| 10.700 National Agricultural Library (L)   | X          | X     | X         | X     |                     |                               |
| 10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B) |            | X     | X         | X     |                     |                               |
| 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)                                    |            | X     | X         |       |                     | X                             |
| 10.761 Technical Assistance and Training Grants (B)  |            |       |           |       |                     |                               |
| 10.763 Emergency Community Water Assistance Grants (B)   |            | X     |           |       |                     |                               |
| 10.766 Community Facilities Loans and Grants (B,E,F)   |            |       |           |       |                     |                               |
| 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)                                    |            | X     | X         |       |                     | X                             |
| 10.780 Community Facilities Loans and Grants (B,E)   |            |       | X         |       |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)               |            | X     |           |       | X                   | X                             |
| 10.783 Rural Business Enterprise Grants - ARRA (B)                                       |            | X     | X         | X     |                     | X                             |
| 10.787 Broadband Initiatives Program (B,E)   |            | X     | X         | X     |                     | X                             |
| 10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)                          | X          | X     |           |       |                     |                               |
| 10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)                      | X          | X     |           |       |                     |                               |
| 10.850 Rural Electrification Loans and Loan Guarantees (E)                               |            | X     |           |       |                     |                               |
| 10.851 Rural Telephone Loans and Loan Guarantees (E,F)                                   |            |       | X         |       |                     |                               |
| 10.855 Distance Learning and Telemedicine Loans and Grants (B,E)                         |            | X     | X         | X     |                     |                               |
| 10.857 State Bulk Fuel Revolving Fund Grants (B)   |            |       |           | X     |                     |                               |
| 10.858 Denali Commission Grants and Loans (B,E)  |            |       |           | X     |                     |                               |
| 10.859 Assistance to High Energy Cost Rural Communities (B,E)                            |            |       |           | X     |                     |                               |
| 10.861 Public Television Station Digital Transition Grant Program (B)                    |            | X     | X         | X     |                     |                               |
| 10.863 Community Connect Grant Program (B)   |            | X     |           | X     |                     |                               |
| 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B) |            |       |           |       |                     |                               |
| 10.868 Rural Energy for America Program (F)  | X          | X     | X         | X     | X                   | X                             |
| 10.870 Rural Microentrepreneur Assistance Program (B,E)                                  |            |       | X         |       |                     | X                             |
| 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)                            |            | X     | X         | X     |                     |                               |
| 10.901 Resource Conservation and Development (K)   |            | X     | X         | X     |                     |                               |
| 10.902 Soil and Water Conservation (K)   | X          | X     |           | X     |                     |                               |
| 10.903 Soil Survey (L)   | X          | X     | X         | X     | X                   | X                             |
| 10.904 Watershed Protection and Flood Prevention (K)                                     |            | X     | X         | X     |                     |                               |
| 10.905 Plant Materials for Conservation (J)  |            |       |           | X     |                     |                               |
| 10.907 Snow Survey and Water Supply Forecasting (L)                                      | X          | X     | X         | X     | X                   | X                             |
| 10.912 Environmental Quality Incentives Program (C)                                      | X          |       |           |       |                     | X                             |
| 10.913 Farm and Ranch Lands Protection Program (C)                                       |            | X     |           | X     |                     |                               |
| 10.914 Wildlife Habitat Incentive Program (C)  | X          | X     | X         | X     | X                   | X                             |
| 10.916 Watershed Rehabilitation Program (K)  |            | X     |           | X     |                     |                               |
| 10.917 Agricultural Management Assistance (C)  |            |       |           | X     |                     |                               |
| 10.920 Grassland Reserve Program (C)   | X          | X     | X         | X     | X                   | X                             |
| 10.921 Conservation Security Program (C)   | X          | X     | X         | X     | X                   | X                             |
| 10.922 Healthy Forests Reserve Program (HFRP) (C)  |            |       |           |       |                     |                               |
| 10.923 Emergency Watershed Protection Program (B)  | X          | X     | X         | X     | X                   | X                             |

## DEPARTMENT OF COMMERCE

|   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 11.008 NOAA Mission-Related Education Awards (B)  |   |   |   |   |   |   |
| 11.009 TV Converter Box Coupon Program Consumer Education and Technical Assistance (B)                        |   |   | X |   |   |   |
| 11.010 Community Trade Adjustment Assistance (B)  |   | X | X | X |   | X |
| 11.011 Ocean Exploration (B)  | X | X | X | X | X | X |
| 11.012 Integrated Ocean Observing System (IOOS) (B)   | X | X | X | X |   | X |
| 11.013 Education Quality Award Ambassadorship (B)   | X | X | X | X | X | X |
| 11.300 Investments for Public Works and Economic Development Facilities (B)                                   |   | X | X | X | X | X |
| 11.302 Economic Development_Support for Planning Organizations (B)  |   | X | X | X | X | X |
| 11.303 Economic Development_Technical Assistance (B)  | X | X | X | X | X | X |
| 11.307 Economic Adjustment Assistance (B)   |   | X | X | X | X | X |
| 11.312 Research and Evaluation Program (B)  | X |   | X |   |   |   |
| 11.313 Trade Adjustment Assistance for Firms (B)  |   |   | X |   |   |   |
| 11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B) |   | X |   | X |   |   |
| 11.407 Interjurisdictional Fisheries Act of 1986 (A)  |   |   |   | X |   |   |
| 11.408 Fishermen's Contingency Fund (D)   | X |   |   |   |   |   |
| 11.413 Fishery Products Inspection and Certification (J)  | X | X |   | X |   |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 11.415 Fisheries Finance Program (E)  | X          |       |           |       |                     |                               |
| 11.417 Sea Grant Support (B)  | X          | X     | X         | X     | X                   | X                             |
| 11.419 Coastal Zone Management Administration Awards (A,B)  |            |       |           | X     |                     |                               |
| 11.420 Coastal Zone Management Estuarine Research Reserves (B)  |            |       |           | X     |                     |                               |
| 11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)                                      |            | X     | X         | X     |                     |                               |
| 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) | X          | X     | X         | X     | X                   | X                             |
| 11.429 Marine Sanctuary Program (B)   |            |       | X         | X     |                     |                               |
| 11.430 Undersea Research (B)  | X          | X     | X         | X     | X                   | X                             |
| 11.431 Climate and Atmospheric Research (B)   | X          | X     | X         | X     | X                   | X                             |
| 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)                        |            |       |           | X     |                     |                               |
| 11.433 Marine Fisheries Initiative (B)  | X          | X     | X         | X     | X                   | X                             |
| 11.434 Cooperative Fishery Statistics (B)   |            |       |           | X     |                     |                               |
| 11.435 Southeast Area Monitoring and Assessment Program (B)   |            |       |           | X     |                     |                               |
| 11.436 Columbia River Fisheries Development Program (B)   |            |       |           | X     |                     |                               |
| 11.437 Pacific Fisheries Data Program (B)   |            |       |           | X     |                     |                               |
| 11.438 Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)  |            |       |           | X     |                     |                               |
| 11.439 Marine Mammal Data Program (B)   |            |       |           | X     |                     |                               |
| 11.440 Environmental Sciences, Applications, Data, and Education (B)  |            |       | X         | X     |                     |                               |
| 11.441 Regional Fishery Management Councils (B)   |            |       |           |       |                     |                               |
| 11.443 Short Term Climate Fluctuations (B)  |            |       | X         |       |                     |                               |
| 11.444 Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)   |            |       | X         | X     |                     |                               |
| 11.445 Hawaii Stock Management Program (B)  |            |       | X         | X     |                     |                               |
| 11.450 Automated Flood Warning Systems (AFWS) (B)   |            |       |           | X     |                     |                               |
| 11.452 Unallied Industry Projects (B)   | X          | X     |           | X     |                     | X                             |
| 11.454 Unallied Management Projects (B)   | X          | X     |           | X     |                     | X                             |
| 11.455 Cooperative Science and Education Program (B)  |            |       |           | X     |                     |                               |
| 11.457 Chesapeake Bay Studies (B)   |            |       |           | X     |                     |                               |
| 11.459 Weather and Air Quality Research (B)   | X          | X     | X         | X     | X                   | X                             |
| 11.460 Special Oceanic and Atmospheric Projects (B)   |            | X     | X         | X     |                     |                               |
| 11.462 Hydrologic Research (B)  |            | X     |           | X     |                     |                               |
| 11.463 Habitat Conservation (B)   | X          | X     | X         | X     | X                   | X                             |
| 11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)  |            | X     |           | X     |                     |                               |
| 11.468 Applied Meteorological Research (B)  | X          | X     | X         | X     | X                   | X                             |
| 11.469 Congressionally Identified Awards and Projects (B)   | X          | X     | X         | X     | X                   | X                             |
| 11.472 Unallied Science Program (B)   | X          | X     |           | X     |                     | X                             |
| 11.473 Coastal Services Center (B)  |            | X     | X         | X     |                     |                               |
| 11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)  |            |       |           | X     |                     |                               |
| 11.478 Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)  | X          | X     | X         | X     |                     |                               |
| 11.481 Educational Partnership Program (B)  |            |       |           | X     |                     |                               |
| 11.553 Special Projects (B)   | X          | X     | X         | X     | X                   | X                             |
| 11.557 Broadband Technology Opportunities Program (BTOP) (B)  |            | X     | X         | X     |                     | X                             |
| 11.558 State Broadband Data and Development Grant Program (B)   |            |       |           | X     |                     |                               |
| 11.559 Low-Power Television and Translator Upgrade Program (B)  |            |       |           | X     |                     |                               |
| 11.609 Measurement and Engineering Research and Standards (B)   |            | X     | X         | X     |                     | X                             |
| 11.611 Manufacturing Extension Partnership (B,L)  |            | X     | X         | X     |                     |                               |
| 11.616 Technology Innovation Program (TIP) (B)  |            |       | X         |       |                     |                               |
| 11.618 National Institute of Standards and Technology Construction Grant Program (B)                                |            |       | X         |       |                     |                               |



# APPLICANT ELIGIBILITY INDEX

| Program Description                                | Individual  | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|---|-------|-----------|-------|---------------------|-------------------------------|
| <b>DEPARTMENT OF DEFENSE</b>                       |   |       |           |       |                     |                               |
| 12.400   | Military Construction, National Guard (B)   |       |           |       |                     |                               |
| 12.401   | National Guard Military Operations and Maintenance (O&M) Projects (B)   |       |           | X     |                     |                               |
| 12.556   | Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools (B)                                    |       | X         |       |                     |                               |
| 12.557   | Invitational Grants for Military-Connected Schools (B)  |       | X         |       |                     |                               |
| 12.558   | Department of Defense Impact Aid (Supplement, CWSD, BRAC) (A)   |       |           |       |                     |                               |
| 12.800   | Air Force Defense Research Sciences Program (B)   |       |           | X     |                     |                               |
| <b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b> |   |       |           |       |                     |                               |
| 14.103   | Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)                                  |       |           |       |                     |                               |
| 14.108   | Rehabilitation Mortgage Insurance (F)   |       |           |       |                     |                               |
| 14.110   | Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)          |       |           |       |                     |                               |
| 14.112   | Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)                               |       |           |       |                     |                               |
| 14.117   | Mortgage Insurance_Homes (F)  |       |           |       |                     |                               |
| 14.119   | Mortgage Insurance_Homes for Disaster Victims (F)   |       |           |       |                     |                               |
| 14.122   | Mortgage Insurance_Homes in Urban Renewal Areas (F)   |       |           |       |                     |                               |
| 14.123   | Mortgage Insurance_Housing in Older, Declining Areas (F)  |       |           |       |                     |                               |
| 14.126   | Mortgage Insurance_Cooperative Projects (F)   |       |           | X     |                     |                               |
| 14.127   | Mortgage Insurance_Manufactured Home Parks (F)  |       |           |       |                     |                               |
| 14.128   | Mortgage Insurance_Hospitals (F)  |       |           |       |                     |                               |
| 14.129   | Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)     |       |           |       |                     |                               |
| 14.133   | Mortgage Insurance_Purchase of Units in Condominiums (F)  |       |           |       |                     |                               |
| 14.134   | Mortgage Insurance_Rental Housing (F)   |       |           |       |                     |                               |
| 14.135   | Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)        |       |           | X     |                     |                               |
| 14.138   | Mortgage Insurance_Rental Housing for the Elderly (F)   |       |           | X     |                     |                               |
| 14.139   | Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)  |       |           | X     |                     |                               |
| 14.142   | Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F) |       |           |       |                     |                               |
| 14.149   | Rent Supplements_Rental Housing for Lower Income Families (C)   |       |           |       |                     |                               |
| 14.151   | Supplemental Loan Insurance_Multifamily Rental Housing (F)  |       |           | X     |                     |                               |
| 14.155   | Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)                             |       |           | X     | X                   | X                             |
| 14.157   | Supportive Housing for the Elderly (C)  |       |           |       |                     |                               |
| 14.159   | Section 245 Graduated Payment Mortgage Program (F)  |       |           |       |                     |                               |
| 14.162   | Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)  |       |           | X     | X                   | X                             |
| 14.163   | Mortgage Insurance_Single Family Cooperative Housing (F)  |       |           |       |                     |                               |
| 14.167   | Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)  |       |           |       |                     |                               |
| 14.168   | Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (L,N)     |       |           |       |                     |                               |
| 14.169   | Housing Counseling Assistance Program (B)   |       | X         | X     | X                   |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 14.171 Manufactured Home Construction and Safety Standards (L,N)   | X          | X     | X         | X     | X                   | X                             |
| 14.172 Mortgage Insurance_Growing Equity Mortgages (F)   | X          | X     | X         | X     | X                   | X                             |
| 14.175 Adjustable Rate Mortgages (F)   | X          |       |           |       |                     |                               |
| 14.181 Supportive Housing for Persons with Disabilities (C)  |            |       |           |       |                     |                               |
| 14.183 Home Equity Conversion Mortgages (F)  |            |       |           |       |                     |                               |
| 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)  |            |       | X         |       |                     |                               |
| 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)   |            |       |           |       |                     |                               |
| 14.189 Qualified Participating Entities (QPE) Risk Sharing (F)   |            |       |           |       |                     |                               |
| 14.191 Multifamily Housing Service Coordinators (B)  |            |       |           |       |                     |                               |
| 14.195 Section 8 Housing Assistance Payments Program (C)   |            |       |           |       |                     |                               |
| 14.197 Multifamily Assisted Housing Reform and Affordability Act (C)   | X          |       |           |       |                     |                               |
| 14.198 Good Neighbor Next Door Sales Program (H)   |            |       |           |       |                     |                               |
| 14.199 Multifamily Property Disposition (H)  |            |       |           |       |                     |                               |
| 14.218 Community Development Block Grants/Entitlement Grants (A)   |            | X     |           |       |                     |                               |
| 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)                                       |            |       |           |       |                     |                               |
| 14.227 Community Development Block Grants/Technical Assistance Program (B)   |            | X     | X         | X     |                     | X                             |
| 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)                       |            |       |           | X     |                     |                               |
| 14.231 Emergency Shelter Grants Program (A)  |            | X     | X         |       |                     |                               |
| 14.235 Supportive Housing Program (B,C)  |            | X     | X         |       |                     |                               |
| 14.238 Shelter Plus Care (B)   |            | X     |           | X     |                     | X                             |
| 14.239 Home Investment Partnerships Program (A)  |            | X     |           | X     |                     | X                             |
| 14.241 Housing Opportunities for Persons with AIDS (A,B)   |            | X     |           | X     |                     |                               |
| 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)                                |            | X     |           |       |                     |                               |
| 14.247 Self-Help Homeownership Opportunity Program (B)   |            |       |           |       |                     |                               |
| 14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)  |            |       | X         |       |                     |                               |
| 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)   |            |       |           |       |                     |                               |
| 14.250 Rural Housing and Economic Development (B)  |            |       |           |       |                     |                               |
| 14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)             |            | X     | X         | X     |                     |                               |
| 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)                                  |            |       |           |       |                     |                               |
| 14.253 Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (A)                       | X          | X     | X         | X     | X                   | X                             |
| 14.254 Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (B)                 |            |       |           |       |                     |                               |
| 14.255 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A) |            |       |           | X     |                     |                               |
| 14.256 Neighborhood Stabilization Program (Recovery Act Funded) (B)  |            | X     | X         | X     |                     |                               |
| 14.257 Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (A)                                    |            | X     |           | X     |                     |                               |
| 14.258 Tax Credit Assistance Program (Recovery Act Funded) (A)   |            |       |           | X     |                     |                               |
| 14.311 Single Family Property Disposition (H)  | X          | X     | X         | X     | X                   | X                             |
| 14.313 Dollar Home Sales (H)   |            | X     |           |       |                     |                               |
| 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)  |            |       | X         |       |                     |                               |
| 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)                     |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 14.316 Housing Counseling Training Program (B)  |            |       | X         |       |                     |                               |
| 14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (C)            | X          | X     | X         | X     | X                   | X                             |
| 14.318 Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (B) | X          |       |           |       |                     |                               |
| 14.400 Equal Opportunity in Housing (N)   | X          | X     | X         | X     | X                   | X                             |
| 14.401 Fair Housing Assistance Program_State and Local (B)  |            |       |           |       |                     |                               |
| 14.408 Fair Housing Initiatives Program (B)   |            | X     |           | X     |                     |                               |
| 14.416 Education and Outreach Initiatives (B)   |            |       |           |       |                     |                               |
| 14.417 Fair Housing Organizaition Initiatives (B)   |            |       |           |       |                     |                               |
| 14.418 Private Enforcement Initiatives (B)  |            |       |           |       |                     |                               |
| 14.506 General Research and Technology Activity (J)   |            |       |           |       |                     |                               |
| 14.514 Hispanic-Serving Institutions Assisting Communities (B)  |            |       | X         |       |                     |                               |
| 14.515 Alaska Native/Native Hawaiian Institutions Assisting Communities (B)                                   |            |       | X         |       |                     |                               |
| 14.516 Doctoral Dissertation Research Grants (B)  |            |       | X         |       |                     |                               |
| 14.517 Early Doctoral Student Research Grants (B)   |            |       | X         |       |                     |                               |
| 14.519 Tribal Colleges and Universities Program (B)   |            |       | X         |       |                     |                               |
| 14.520 Historically Black Colleges and Universities Program (B)   |            |       | X         |       |                     |                               |
| 14.850 Public and Indian Housing (C)  |            | X     |           |       |                     |                               |
| 14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)                          |            |       |           |       |                     |                               |
| 14.862 Indian Community Development Block Grant Program (B)   |            |       |           |       |                     | X                             |
| 14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)  |            | X     |           |       |                     | X                             |
| 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)                                |            |       |           |       |                     |                               |
| 14.867 Indian Housing Block Grants (A)  |            |       |           |       |                     | X                             |
| 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)                                |            |       |           |       |                     | X                             |
| 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)                                |            |       | X         |       |                     | X                             |
| 14.871 Section 8 Housing Choice Vouchers (C)  |            |       | X         | X     |                     |                               |
| 14.872 Public Housing Capital Fund (A)  |            | X     |           | X     |                     |                               |
| 14.873 Native Hawaiian Housing Block Grants (B)   |            |       |           |       |                     |                               |
| 14.874 Loan Guarantees for Native Hawaiian Housing (F)  |            |       |           |       |                     |                               |
| 14.876 Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)               |            |       | X         |       |                     | X                             |
| 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)          |            |       |           |       |                     | X                             |
| 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)                                |            | X     |           |       |                     |                               |
| 14.879 Mainstream Vouchers (C)  |            |       | X         | X     |                     |                               |
| 14.880 Family Unification Program (FUP) (C)   |            |       | X         | X     |                     |                               |
| 14.881 Moving to Work Demonstration Program (A)   |            | X     |           |       |                     |                               |
| 14.882 Native American Housing Block Grants (Formula) Recovery Act Funded (B)                                 |            |       |           |       |                     |                               |
| 14.883 Native Hawaiian Housing Block Grants (Recovery Act Funded) (B)   |            |       |           | X     |                     |                               |
| 14.884 Public Housing Capital Fund Competitive (Recovery Act Funded) (B)                                      |            |       |           |       |                     |                               |
| 14.885 Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (A)                                 |            |       |           |       |                     |                               |
| 14.886 Indian Community Development Block Grant Program (Recovery Act Funded) (B)                             |            |       |           |       |                     |                               |
| 14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)                             |            |       |           |       |                     |                               |
| 14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)   |            | X     |           | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 14.901 Healthy Homes Demonstration Grants (B)   |            | X     | X         | X     |                     | X                             |
| 14.905 Lead Hazard Reduction Demonstration Grant Program (B)                                |            | X     |           | X     |                     | X                             |
| 14.906 Healthy Homes Technical Studies Grants (B)   |            | X     | X         | X     |                     | X                             |
| 14.907 Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (B) |            | X     |           | X     |                     |                               |
| 14.908 Healthy Homes Demonstration Grants (Recovery Act Funded) (B)                         |            | X     |           | X     |                     |                               |
| 14.909 Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (B)          |            | X     |           | X     |                     |                               |
| 14.910 Healthy Homes Technical Studies Grants (Recovery Act Funded) (B)                     |            | X     |           | X     |                     |                               |
| 14.911 Green and Healthy Housing Technical Studies Grants (B)                               |            | X     |           | X     |                     | X                             |
| 14.912 Lead Hazard Control Capacity Building (B)  |            | X     |           | X     |                     | X                             |

## DEPARTMENT OF THE INTERIOR

|   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 15.020 Aid To Tribal Governments (C)  |   |   |   |   |   | X |
| 15.026 Indian Adult Education (C)   |   |   |   |   |   | X |
| 15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)          |   |   |   |   |   | X |
| 15.028 Tribally Controlled Community College Endowments (B)                               |   |   |   |   |   | X |
| 15.033 Road Maintenance_Indian Roads (C)  |   |   |   |   |   | X |
| 15.035 Forestry on Indian Lands (C,J,K)   |   |   |   |   |   | X |
| 15.036 Indian Rights Protection (C)   |   |   |   |   |   | X |
| 15.037 Water Resources on Indian Lands (C,J,K)  |   |   |   |   |   | X |
| 15.040 Real Estate Programs _Indian Lands (C)   |   |   |   |   |   | X |
| 15.041 Environmental Management _Indian Programs (C)                                      |   |   |   |   |   | X |
| 15.042 Indian School Equalization Program (C)   |   |   |   |   |   | X |
| 15.043 Indian Child and Family Education (B,M)  |   |   |   |   |   | X |
| 15.044 Indian Schools_Student Transportation (C)  |   |   |   |   |   | X |
| 15.045 Assistance for Indian Children with Severe Disabilities (C)                        |   |   |   |   |   |   |
| 15.046 Administrative Cost Grants for Indian Schools (B)                                  |   |   |   |   |   | X |
| 15.047 Indian Education Facilities, Operations, and Maintenance (C)                       |   |   |   |   |   | X |
| 15.048 Bureau of Indian Affairs Facilities_Operations and Maintenance (C)                 |   |   |   |   |   | X |
| 15.051 Endangered Species on Indian Lands (C,K,L)   |   |   |   |   |   | X |
| 15.052 Litigation Support for Indian Rights (C)   |   |   |   |   |   | X |
| 15.053 Attorney Fees _Indian Rights (C)   |   |   |   |   |   | X |
| 15.059 Indian Graduate Student Scholarships (B)   |   |   |   |   |   |   |
| 15.065 Safety of Dams on Indian Lands (C)   |   |   |   |   |   | X |
| 15.108 Indian Employment Assistance (C)   | X |   |   |   |   | X |
| 15.114 Indian Education_Higher Education Grant Program (B)                                | X |   |   |   |   | X |
| 15.130 Indian Education_Assistance to Schools (C)   |   |   |   | X |   | X |
| 15.141 Indian Housing Assistance (B,L)  | X |   |   |   |   | X |
| 15.225 Recreation Resource Management (B,I,J,K,L,M)                                       | X | X | X | X | X | X |
| 15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)            | X | X | X | X | X | X |
| 15.233 Forests and Woodlands Resource Management (B,K,M)                                  | X | X | X | X | X | X |
| 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)                 | X | X | X | X | X | X |
| 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M) |   |   |   |   |   | X |
| 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)                               |   | X |   | X |   | X |
| 15.253 Not-for-Profit AMD Reclamation (B)   |   |   |   |   |   |   |
| 15.254 Summer Watershed Intern (C)  |   |   | X | X |   |   |
| 15.421 Alaska Coastal Marine Institute (B)  |   |   |   | X |   |   |
| 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)                |   |   |   | X |   |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)                      |            |       |           | X     |                     |                               |
| 15.424 Marine Minerals Activities (B)   |            |       |           | X     |                     |                               |
| 15.426 Coastal Impact Assistance Program (CIAP) (A)   |            |       |           |       |                     |                               |
| 15.427 Federal Oil and Gas Royalty Management (B)   |            |       |           | X     |                     | X                             |
| 15.504 Water Reclamation and Reuse Program (A)  |            | X     |           | X     |                     |                               |
| 15.506 Water Desalination Research and Development Program (B)  |            | X     | X         | X     |                     | X                             |
| 15.507 Water 2025 (B)   |            |       |           | X     |                     |                               |
| 15.509 Colorado River Basin Salinity Control Program (B)  | X          | X     | X         | X     |                     | X                             |
| 15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)  |            | X     |           | X     |                     |                               |
| 15.512 Central Valley Project Improvement Act, Title XXXIV (B)  |            | X     |           | X     |                     |                               |
| 15.514 Reclamation States Emergency Drought Relief (B,J,K)  |            |       |           |       |                     |                               |
| 15.516 Fort Peck Reservation Rural Water System (B)   |            |       |           |       |                     | X                             |
| 15.517 Fish and Wildlife Coordination Act (B)   |            | X     | X         | X     |                     | X                             |
| 15.518 Garrison Diversion Unit (B)  |            | X     |           |       |                     | X                             |
| 15.520 Lewis and Clark Rural Water System (B)   |            |       |           |       |                     |                               |
| 15.522 Mni Wiconi Rural Water Supply Project (B)  |            |       |           |       |                     | X                             |
| 15.523 Perkins County Rural Water System (B)  |            |       |           | X     |                     |                               |
| 15.524 Recreation Resources Management (B)  |            | X     |           | X     |                     |                               |
| 15.525 Rocky Boy's/North Central Montana Regional Water System (B)                                    |            |       |           |       |                     | X                             |
| 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)                                    |            |       |           | X     |                     | X                             |
| 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)                                      |            | X     |           | X     |                     | X                             |
| 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B) |            | X     | X         | X     |                     | X                             |
| 15.533 California Water Security and Environmental Enhancement (B)                                    |            |       |           | X     |                     |                               |
| 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)            |            |       |           |       |                     | X                             |
| 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)                           |            |       | X         | X     |                     | X                             |
| 15.536 Deschutes River Conservancy (DRC) (B)  |            |       |           |       |                     |                               |
| 15.537 Middle Rio Grande Endangered Species Collaborative Program (B)                                 |            |       | X         |       |                     | X                             |
| 15.538 Lower Colorado River Multi-Species Conservation Program. (B)                                   | X          | X     | X         | X     | X                   | X                             |
| 15.539 Equus Beds Division Aquifer Storage Recharge Project (B)                                       |            | X     |           | X     |                     |                               |
| 15.540 Lake Mead/Las Vegas Wash Program (B)   |            |       |           |       |                     |                               |
| 15.541 Colorado River Basin Projects Act of 1968 (B)  |            | X     |           |       |                     |                               |
| 15.605 Sport Fish Restoration Program (A)   |            |       |           | X     |                     |                               |
| 15.608 Fish and Wildlife Management Assistance (J)  |            |       |           | X     |                     | X                             |
| 15.611 Wildlife Restoration (A)   |            |       |           | X     |                     |                               |
| 15.615 Cooperative Endangered Species Conservation Fund (B)   |            |       |           | X     |                     |                               |
| 15.619 Rhinoceros and Tiger Conservation Fund (B)   |            | X     | X         | X     |                     |                               |
| 15.620 African Elephant Conservation Fund (B)   | X          | X     | X         | X     | X                   | X                             |
| 15.621 Asian Elephant Conservation Fund (B)   |            | X     | X         | X     |                     |                               |
| 15.622 Sportfishing and Boating Safety Act (B)  |            |       |           | X     |                     |                               |
| 15.623 North American Wetlands Conservation Fund (B)  |            |       |           | X     |                     |                               |
| 15.626 Firearm and Bow Hunter Education and Safety Program (A)  |            |       |           | X     |                     |                               |
| 15.628 Multistate Conservation Grant Program (B)  |            |       |           | X     |                     |                               |
| 15.629 Great Apes Conservation Fund (B)   |            | X     | X         | X     |                     |                               |
| 15.630 Coastal Program (C)  | X          | X     | X         | X     |                     | X                             |
| 15.631 Partners for Fish and Wildlife (C)   |            |       |           |       |                     | X                             |
| 15.634 State Wildlife Grants (A,B)  |            |       |           | X     |                     |                               |
| 15.635 Neotropical Migratory Bird Conservation (B)  | X          |       | X         | X     |                     |                               |
| 15.636 Alaska Subsistence Management (B)  | X          |       | X         | X     |                     | X                             |
| 15.637 Migratory Bird Joint Ventures (B)  |            | X     | X         | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 15.639 Tribal Wildlife Grants Program (B)   |            |       |           |       |                     | X                             |
| 15.640 Wildlife Without Borders- Latin America and the Caribbean (B)  |            | X     | X         | X     |                     |                               |
| 15.641 Wildlife Without Borders-Mexico (B)  |            | X     | X         | X     |                     |                               |
| 15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)                                       | X          | X     | X         | X     | X                   | X                             |
| 15.657 Endangered Species Conservation Recovery Implementation Funds (B)  |            | X     | X         | X     |                     | X                             |
| 15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)   | X          | X     | X         | X     | X                   | X                             |
| 15.659 National Wildlife Refuge Fund (D)  |            |       |           |       |                     |                               |
| 15.660 Endangered Species - Candidate Conservation Action Funds (B)   | X          | X     | X         | X     | X                   | X                             |
| 15.661 Lower Snake River Compensation Plan (B)  |            |       |           | X     |                     | X                             |
| 15.817 National Geospatial Program: Building The National Map (B)   |            | X     |           | X     |                     |                               |
| 15.818 Volcano Hazards Program Research and Monitoring. (B)   |            |       |           | X     |                     |                               |
| 15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)                               |            |       | X         | X     |                     |                               |
| 15.820 National Climate Change and Wildlife Service Center (B)  |            |       | X         |       |                     |                               |
| 15.875 Economic, Social, and Political Development of the Territories (B)   |            |       |           |       |                     |                               |
| 15.931 Conservation Activities by Youth Service Organizations (B)   |            | X     |           | X     |                     |                               |
| 15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B) |            |       |           | X     |                     |                               |
| 15.933 Preservation of Japanese American Confinement Sites (B)  |            | X     | X         | X     |                     | X                             |
| 15.934 Abandoned Mine Hazard Mitigation (B,C)   | X          | X     | X         | X     | X                   | X                             |
| 15.935 National Trails System Projects (B)  | X          | X     |           | X     |                     | X                             |
| 15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (B)             |            |       | X         |       |                     |                               |

## DEPARTMENT OF JUSTICE

|  |   |   |   |   |  |   |
|--|---|---|---|---|--|---|
| 16.001 Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (J)                          |   | X |   | X |  |   |
| 16.003 Law Enforcement Assistance_Narcotics and Dangerous Drugs Technical Laboratory Publications (L)            |   |   |   |   |  |   |
| 16.004 Law Enforcement Assistance_Narcotics and Dangerous Drugs Training (M)                                     |   | X |   | X |  |   |
| 16.013 Violence Against Women Act Court Training and Improvement Grants (B)                                      |   | X |   | X |  | X |
| 16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B) |   | X |   | X |  | X |
| 16.015 Missing Alzheimer's Disease Patient Assistance Program (B)  |   | X | X |   |  | X |
| 16.016 Culturally and Linguistically Specific Services Program (B)   |   | X |   |   |  |   |
| 16.017 Sexual Assault Services Formula Program (A,B)   |   | X |   | X |  |   |
| 16.019 Tribal Registry (B)   |   | X |   |   |  | X |
| 16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)  |   | X | X | X |  | X |
| 16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)                     |   | X |   | X |  |   |
| 16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)   | X | X |   | X |  |   |
| 16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)   |   | X |   | X |  |   |
| 16.302 Law Enforcement Assistance_FBI Field Police Training (M)  |   | X |   | X |  |   |
| 16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)   |   | X |   | X |  |   |
| 16.304 Law Enforcement Assistance_National Crime Information Center (J)  |   |   |   | X |  |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 16.305 Law Enforcement Assistance_Uniform Crime Reports (L)  | X          | X     |           | X     |                     |                               |
| 16.307 Combined DNA Index System (B)   |            | X     |           | X     |                     |                               |
| 16.308 Indian Country Investigations (M)   |            | X     |           |       |                     |                               |
| 16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)                            | X          | X     | X         | X     | X                   | X                             |
| 16.320 Services for Trafficking Victims (B,C)  |            | X     |           | X     |                     | X                             |
| 16.321 Antiterrorism Emergency Reserve (B,C)   |            |       | X         | X     |                     |                               |
| 16.523 Juvenile Accountability Block Grants (A,B)  |            | X     |           | X     |                     |                               |
| 16.524 Legal Assistance for Victims (B)  |            |       | X         | X     |                     |                               |
| 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)             |            |       |           | X     |                     |                               |
| 16.526 OVW Technical Assistance Initiative (B)   |            |       | X         |       |                     |                               |
| 16.527 Supervised Visitation, Safe Havens for Children (B)   | X          | X     | X         | X     |                     | X                             |
| 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)                         | X          | X     | X         | X     |                     | X                             |
| 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B) |            | X     | X         | X     |                     | X                             |
| 16.540 Juvenile Justice and Delinquency Prevention_Allocation to States (A,B)                                      |            |       |           | X     |                     |                               |
| 16.541 Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)                                 | X          | X     | X         | X     | X                   | X                             |
| 16.543 Missing Children's Assistance (B)   | X          | X     |           | X     |                     | X                             |
| 16.544 Gang-Free Schools and Communities_Community-Based Gang Intervention (B)                                     | X          |       | X         |       |                     |                               |
| 16.547 Victims of Child Abuse (B)  |            | X     |           | X     |                     |                               |
| 16.548 Title V_Delinquency Prevention Program (A)  |            | X     |           | X     |                     |                               |
| 16.550 State Justice Statistics Program for Statistical Analysis Centers (B)                                       |            |       |           | X     |                     |                               |
| 16.554 National Criminal History Improvement Program (NCHIP) (B)   |            |       |           | X     |                     |                               |
| 16.556 State Domestic Violence and Sexual Assault Coalitions (A)   |            |       |           | X     |                     |                               |
| 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)                                    |            |       | X         |       |                     |                               |
| 16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)                    |            | X     |           | X     |                     |                               |
| 16.562 Criminal Justice Research and Development_Graduate Research Fellowships (B)                                 |            |       | X         | X     |                     |                               |
| 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program (B)  | X          |       |           |       |                     |                               |
| 16.571 Public Safety Officers' Benefits Program (D)  | X          |       |           |       |                     |                               |
| 16.575 Crime Victim Assistance (A)   |            |       | X         | X     |                     |                               |
| 16.576 Crime Victim Compensation (A)   |            |       |           | X     |                     |                               |
| 16.578 Federal Surplus Property Transfer Program (H)   |            |       |           | X     |                     |                               |
| 16.579 Edward Byrne Memorial Formula Grant Program (A)   |            |       |           | X     |                     |                               |
| 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)           |            | X     | X         | X     |                     | X                             |
| 16.582 Crime Victim Assistance/Discretionary Grants (B,C)  |            |       | X         | X     |                     |                               |
| 16.583 Children's Justice Act Partnerships for Indian Communities (B,C)  |            | X     |           |       |                     | X                             |
| 16.585 Drug Court Discretionary Grant Program (B)  |            | X     |           | X     |                     |                               |
| 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)                                 |            |       |           | X     |                     |                               |
| 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)                               |            |       |           |       |                     | X                             |
| 16.588 Violence Against Women Formula Grants (A)   |            | X     |           | X     |                     |                               |
| 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)               | X          | X     | X         | X     |                     | X                             |
| 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)                                |            | X     | X         | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 16.593 Residential Substance Abuse Treatment for State Prisoners (A)   |            | X     |           | X     |                     |                               |
| 16.595 Community Capacity Development Office (B,J)   |            | X     |           | X     |                     |                               |
| 16.596 Correctional Grant Program for Indian Tribes (B)  |            |       |           |       |                     | X                             |
| 16.606 State Criminal Alien Assistance Program (D)   |            | X     |           | X     |                     |                               |
| 16.607 Bulletproof Vest Partnership Program (C)  |            |       |           | X     |                     |                               |
| 16.608 Tribal Court Assistance Program (B)   |            |       |           |       |                     | X                             |
| 16.609 Community Prosecution and Project Safe Neighborhoods (B)  |            | X     |           | X     |                     |                               |
| 16.610 Regional Information Sharing Systems (B)  |            | X     |           | X     |                     |                               |
| 16.611 Closed-Circuit Televising of Child Victims of Abuse (B)   |            | X     |           | X     |                     |                               |
| 16.614 State and Local Anti-Terrorism Training (K,L,M)   |            | X     |           | X     |                     |                               |
| 16.615 Public Safety Officers' Educational Assistance (D)  |            |       |           |       |                     |                               |
| 16.616 Indian Country Alcohol and Drug Prevention (B)  |            |       |           |       |                     | X                             |
| 16.710 Public Safety Partnership and Community Policing Grants (B)   |            | X     | X         | X     | X                   | X                             |
| 16.726 Juvenile Mentoring Program (B)  |            |       | X         | X     |                     |                               |
| 16.727 Enforcing Underage Drinking Laws Program (B)  |            |       |           | X     |                     |                               |
| 16.730 Reduction and Prevention of Children's Exposure to Violence (B)   |            |       | X         | X     |                     |                               |
| 16.731 Tribal Youth Program (B)  |            |       |           |       |                     | X                             |
| 16.734 Special Data Collections and Statistical Studies (B)  |            | X     | X         | X     |                     | X                             |
| 16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)                                       |            |       |           | X     |                     |                               |
| 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)    |            | X     |           | X     |                     | X                             |
| 16.737 Gang Resistance Education and Training (B)  |            | X     |           | X     |                     |                               |
| 16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)  |            | X     |           | X     |                     |                               |
| 16.739 National Prison Rape Statistics Program (B)   | X          | X     | X         | X     |                     |                               |
| 16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)   |            |       |           | X     |                     |                               |
| 16.741 Forensic DNA Backlog Reduction Program (A)  |            | X     |           | X     |                     |                               |
| 16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)  |            | X     |           | X     |                     |                               |
| 16.744 Anti-Gang Initiative (B)  |            | X     |           | X     |                     |                               |
| 16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)   |            | X     |           | X     |                     | X                             |
| 16.746 Capital Case Litigation (B)   |            |       |           | X     |                     |                               |
| 16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)              |            |       |           | X     |                     |                               |
| 16.750 Support for Adam Walsh Act Implementation Grant Program (B)   |            | X     |           | X     |                     | X                             |
| 16.751 Edward Byrne Memorial Competitive Grant Program (B)   |            | X     | X         | X     |                     | X                             |
| 16.752 Economic High-Tech and Cyber Crime Prevention (B)   |            | X     | X         | X     |                     | X                             |
| 16.753 Congressionally Recommended Awards (B)  |            | X     | X         | X     |                     | X                             |
| 16.754 Harold Rogers Prescription Drug Monitoring Program (B)  |            |       |           | X     |                     |                               |
| 16.755 Southwest Border Prosecution Initiative Program (D)   |            | X     |           |       |                     |                               |
| 16.756 Court Appointed Special Advocates (B)   |            |       |           |       |                     |                               |
| 16.757 Judicial Training on Child Maltreatment for Court Personnel Juvenile Justice Programs (B)                             |            | X     | X         |       |                     |                               |
| 16.758 Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (B) |            | X     | X         |       |                     |                               |
| 16.800 Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (B)   |            |       |           |       |                     |                               |
| 16.801 Recovery Act - State Victim Assistance Formula Grant Program (B)  |            |       |           | X     |                     |                               |
| 16.802 Recovery Act - State Victim Compensation Formula Grant Program (B)  |            |       |           | X     |                     |                               |



# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 16.803 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (A,B)   |            |       |           |       |                     |                               |
| 16.804 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (A,B)   |            |       |           | X     |                     |                               |
| 16.805 Recovery Act Transitional Housing (B)   |            | X     |           | X     |                     | X                             |
| 16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)  |            |       |           |       |                     | X                             |
| 16.807 Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (B,C)   |            | X     |           |       |                     | X                             |
| 16.808 Recovery Act - Edward Byrne Memorial Competitive Grant Program (B)  |            | X     |           | X     |                     |                               |
| 16.809 Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (B) |            | X     | X         | X     |                     |                               |
| 16.810 Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (B)  |            | X     | X         | X     |                     |                               |
| 16.811 Recovery Act - Correctional Facilities On Tribal Lands (B)  |            |       |           |       |                     |                               |
| 16.812 Second Chance Act Prisoner Reentry Initiative (B)   |            | X     | X         | X     |                     | X                             |
| 16.813 NICS Act Record Improvement Program (B)   |            |       |           | X     |                     |                               |
| 16.814 Northern Border Prosecution Initiative Program (D)  |            |       |           | X     |                     |                               |

## DEPARTMENT OF LABOR

|   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 17.002 Labor Force Statistics (B,L)   |   |   |   | X |   |   |
| 17.003 Prices and Cost of Living Data (L)   | X | X | X | X | X | X |
| 17.004 Productivity and Technology Data (L)   | X | X | X | X | X | X |
| 17.005 Compensation and Working Conditions (B,L)  | X | X | X | X | X | X |
| 17.150 Employee Benefits Security Administration (L)  | X |   |   |   |   |   |
| 17.151 Employee Benefits Security Administration (EBSA) (G)   | X |   |   |   |   |   |
| 17.201 Registered Apprenticeship and Other Training (M)   | X |   |   |   |   |   |
| 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)   |   |   |   | X |   |   |
| 17.225 Unemployment Insurance (A,D)   |   |   |   |   |   |   |
| 17.235 Senior Community Service Employment Program (A,B)  |   |   | X | X |   |   |
| 17.245 Trade Adjustment Assistance (B)  | X | X |   | X |   |   |
| 17.258 WIA Adult Program (A)  |   |   |   | X | X |   |
| 17.259 WIA Youth Activities (A)   |   | X |   | X |   |   |
| 17.260 WIA Dislocated Workers (A,B)   |   |   |   | X |   |   |
| 17.261 WIA Pilots, Demonstrations, and Research Projects (B)  |   | X | X | X |   |   |
| 17.264 National Farmworker Jobs Program (A)   |   | X |   | X |   |   |
| 17.265 Native American Employment and Training (B)  |   | X |   |   |   | X |
| 17.266 Work Incentive Grants (B)  |   | X |   | X |   | X |
| 17.267 Incentive Grants - WIA Section 503 (A,B)   |   |   |   | X |   |   |
| 17.268 H-1B Job Training Grants (B)   |   |   | X |   |   |   |
| 17.269 Community Based Job Training Grants (B)  |   | X |   | X |   |   |
| 17.270 Reintegration of Ex-Offenders (B)  |   | X | X | X | X | X |
| 17.271 Work Opportunity Tax Credit Program (WOTC) (A)   |   |   |   | X |   |   |
| 17.272 Permanent Labor Certification for Foreign Workers (J)  |   |   |   |   |   |   |
| 17.273 Temporary Labor Certification for Foreign Workers (A,J)  | X |   |   |   |   |   |
| 17.274 Youthbuild (B)   |   |   | X |   |   |   |
| 17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B) |   | X |   | X |   |   |
| 17.276 Health Coverage Tax Credit (HCTC) (B)  |   |   |   | X |   |   |
| 17.277 Workforce Investment Act (WIA) National Emergency Grants (B)   |   | X |   |   |   |   |
| 17.278 WIA Dislocated Worker Formula Grants (A)   |   |   |   | X | X |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N) |            |       |           |       |                     |                               |
| 17.302 Longshore and Harbor Workers' Compensation (D)   | X          |       |           |       |                     |                               |
| 17.303 Wage and Hour Standards (K,N)  | X          |       |           |       |                     |                               |
| 17.306 Consumer Credit Protection (K,N)   | X          |       |           |       |                     |                               |
| 17.307 Coal Mine Workers' Compensation (D)  | X          |       |           |       |                     |                               |
| 17.308 Farm Labor Contractor Registration (K,N)   | X          |       |           |       |                     |                               |
| 17.309 Labor Organization Reports (K,L,N)   | X          |       |           |       |                     |                               |
| 17.310 Energy Employees Occupational Illness Compensation (D)   | X          |       |           |       |                     |                               |
| 17.311 Federal Transit Employee Protection Certifications: Office of Labor-Management Standards (B)                         | X          | X     | X         | X     | X                   | X                             |
| 17.502 Occupational Safety and Health_Susan Harwood Training Grants (B)   |            |       | X         |       |                     |                               |
| 17.503 Occupational Safety and Health_State Program (B)   |            |       |           | X     |                     |                               |
| 17.504 Consultation Agreements (B)  |            |       |           | X     |                     |                               |
| 17.505 OSHA Data Initiative (B)   |            |       |           | X     |                     |                               |
| 17.600 Mine Health and Safety Grants (B)  |            |       |           | X     |                     |                               |
| 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)   | X          | X     | X         | X     | X                   | X                             |
| 17.602 Mine Health and Safety Education and Training (M)  | X          | X     | X         | X     | X                   | X                             |
| 17.603 Brookwood-Sago Grant (B)   |            |       |           | X     |                     |                               |
| 17.604 Safety and Health Grants (B)   |            |       | X         | X     |                     |                               |
| 17.700 Women's Bureau (K)   | X          |       |           |       |                     |                               |
| 17.720 Disability Employment Policy Development (B)   |            | X     | X         | X     |                     | X                             |
| 17.801 Disabled Veterans' Outreach Program (DVOP) (A)   |            |       |           | X     |                     |                               |
| 17.802 Veterans' Employment Program (B)   |            | X     |           | X     |                     |                               |
| 17.803 Uniformed Services Employment and Reemployment Rights (K,L,N)  | X          |       |           |       |                     |                               |
| 17.804 Local Veterans' Employment Representative Program (A)  |            |       |           | X     |                     |                               |
| 17.805 Homeless Veterans Reintegration Project (B)  |            | X     |           | X     |                     |                               |
| 17.806 Veteran's Preference in Federal Employment (O)   |            |       |           |       |                     |                               |
| 17.807 Transition Assistance Program (B)  |            |       |           | X     |                     |                               |

## U.S. DEPARTMENT OF STATE

|   |  |  |   |   |  |  |
|---|--|--|---|---|--|--|
| 19.009 Academic Exchange Programs - Undergraduate Programs (B)                                      |  |  | X |   |  |  |
| 19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)                                 |  |  | X |   |  |  |
| 19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)                          |  |  | X |   |  |  |
| 19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B) |  |  | X |   |  |  |
| 19.013 Thomas R. Pickering Foreign Affairs Fellowship Program (B)                                   |  |  | X |   |  |  |
| 19.014 One-Time International Exchange Grant Program (B)  |  |  | X |   |  |  |
| 19.015 Cultural, Technical and Educational Centers (B)  |  |  | X |   |  |  |
| 19.016 Iraq Assistance Programs (B)   |  |  |   |   |  |  |
| 19.017 Environmental and Scientific Partnerships and Programs (B)                                   |  |  | X |   |  |  |
| 19.018 Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement (B)                        |  |  |   |   |  |  |
| 19.019 International Programs to Combat Human Trafficking (B)                                       |  |  | X | X |  |  |
| 19.400 Academic Exchange Programs - Graduate Students (B)   |  |  | X |   |  |  |
| 19.401 Academic Exchange Programs - Scholars (B)  |  |  | X |   |  |  |
| 19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)   |  |  | X |   |  |  |
| 19.408 Academic Exchange Programs - Teachers (B)  |  |  | X |   |  |  |
| 19.415 Professional and Cultural Exchange Programs - Citizen  |  |  |   |   |  |  |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| Exchanges (B)   |            |       |           |       |                     |                               |
| 19.421 Academic Exchange Programs - English Language Programs (B)                 |            |       | X         |       |                     |                               |
| 19.432 Academic Exchange Programs - Educational Advising and Student Services (B) |            |       | X         |       |                     |                               |
| 19.501 Public Diplomacy Programs for Afghanistan and Pakistan (B)                 |            |       | X         |       |                     |                               |
| 19.510 U.S. Refugee Admissions Program (B)  |            |       |           | X     |                     |                               |
| 19.511 Overseas Refugee Assistance Programs for East Asia (B)                     |            |       |           |       |                     |                               |
| 19.517 Overseas Refugee Assistance Programs for Africa (B)                        |            |       |           |       |                     |                               |
| 19.518 Overseas Refugee Assistance Programs for Western Hemisphere (B)            |            |       |           |       |                     |                               |
| 19.519 Overseas Refugee Assistance Program for Near East and South Asia (B)       |            |       |           |       |                     |                               |
| 19.520 Overseas Refugee Assistance Programs for Europe (B)                        |            |       |           |       |                     |                               |
| 19.522 Overseas Refugee Assistance Programs for Strategic Global Priorities (B)   |            |       | X         |       |                     |                               |

## DEPARTMENT OF TRANSPORTATION

|   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 20.106 Airport Improvement Program (B,K)  |   | X | X | X |   | X |
| 20.108 Aviation Research Grants (B,I)   |   |   |   | X |   |   |
| 20.109 Air Transportation Centers of Excellence (B,I,J)   |   |   |   | X |   |   |
| 20.200 Highway Research and Development Program (B)   |   |   |   | X |   |   |
| 20.205 Highway Planning and Construction (A,B)  |   |   |   | X |   |   |
| 20.215 Highway Training and Education (B,M)   |   | X |   | X |   |   |
| 20.218 National Motor Carrier Safety (A)  |   |   |   | X |   |   |
| 20.219 Recreational Trails Program (A,B)  |   |   |   | X |   |   |
| 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)               |   | X |   | X |   |   |
| 20.231 Performance and Registration Information Systems Management (A)                              |   |   |   | X |   |   |
| 20.232 Commercial Driver License State Programs (B)   |   |   |   | X |   |   |
| 20.233 Border Enforcement Grants (B)  |   |   |   | X |   |   |
| 20.234 Safety Data Improvement Program (B)  |   |   |   | X |   |   |
| 20.235 Commercial Motor Vehicle Operator Training Grants (B)  |   | X | X | X |   |   |
| 20.237 Commercial Vehicle Information Systems and Networks (B)                                      |   |   |   | X |   |   |
| 20.238 Commercial Drivers License Information System (B)  |   |   |   | X |   |   |
| 20.239 Motor Carrier Research and Technology Programs (B)   | X |   |   | X |   |   |
| 20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)                                    |   |   |   | X |   |   |
| 20.241 Federal Motor Carrier Safety Administration National Training Center (A)                     | X |   |   | X |   |   |
| 20.301 Railroad Safety (N)  | X | X | X | X | X | X |
| 20.313 Railroad Research and Development (B)  |   |   |   |   |   |   |
| 20.314 Railroad Development (B)   |   | X |   | X |   |   |
| 20.315 National Railroad Passenger Corporation Grants (B)   |   |   |   |   |   |   |
| 20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)                              |   |   |   | X |   |   |
| 20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)                          |   |   |   | X |   |   |
| 20.318 Maglev Project Selection Program - SAFETEA-LU (B)  |   |   |   | X |   |   |
| 20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B) |   |   |   |   |   |   |
| 20.320 Rail Line Relocation and Improvement (B)   |   |   |   |   |   |   |
| 20.500 Federal Transit_Capital Investment Grants (A,B)  |   | X | X | X |   | X |
| 20.505 Federal Transit_Metropolitan Planning Grants (A)   |   | X | X | X |   |   |
| 20.507 Federal Transit_Formula Grants (A)   |   | X |   | X |   |   |
| 20.509 Formula Grants for Other Than Urbanized Areas (A)  |   | X | X | X |   |   |
| 20.513 Capital Assistance Program for Elderly Persons and Persons                                   |   | X | X | X |   |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| with Disabilities (A)  |            |       |           |       |                     |                               |
| 20.514 Public Transportation Research (B,L,M)  |            | X     | X         | X     |                     |                               |
| 20.515 State Planning and Research (A)   |            |       |           | X     |                     |                               |
| 20.516 Job Access_Reverse Commute (B)  |            | X     | X         | X     |                     |                               |
| 20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)               |            |       |           |       |                     |                               |
| 20.519 Clean Fuels (B)   |            | X     |           | X     |                     |                               |
| 20.520 Paul S. Sarbanes Transit in the Parks (B)   |            | X     |           | X     |                     |                               |
| 20.521 New Freedom Program (A)   |            | X     |           | X     |                     |                               |
| 20.522 Alternatives Analysis (B)   |            |       |           | X     |                     |                               |
| 20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)   |            | X     |           | X     |                     |                               |
| 20.600 State and Community Highway Safety (A)  |            |       |           | X     |                     | X                             |
| 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)                               |            |       |           | X     |                     |                               |
| 20.602 Occupant Protection Incentive Grants (B)  |            |       |           | X     |                     |                               |
| 20.607 Alcohol Open Container Requirements (B)   |            |       |           | X     |                     |                               |
| 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)                      |            |       |           | X     |                     |                               |
| 20.609 Safety Belt Performance Grants (B)  |            |       |           | X     |                     |                               |
| 20.610 State Traffic Safety Information System Improvement Grants (B)                                |            |       |           | X     |                     |                               |
| 20.611 Incentive Grant Program to Prohibit Racial Profiling (B)                                      |            |       |           | X     |                     |                               |
| 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)                                   |            |       |           | X     |                     |                               |
| 20.613 Child Safety and Child Booster Seats Incentive Grants (B)                                     |            |       |           | X     |                     |                               |
| 20.614 National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B) |            |       |           | X     |                     |                               |
| 20.615 E-911 Grant Program (A)   |            |       |           | X     |                     |                               |
| 20.700 Pipeline Safety Program Base Grants (A)   |            |       |           | X     |                     |                               |
| 20.701 University Transportation Centers Program (B)   |            |       | X         |       |                     |                               |
| 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)                |            |       |           | X     |                     | X                             |
| 20.704 RITA Hydrogen (B)   |            |       | X         |       |                     |                               |
| 20.710 Technical Assistance Grants (B)   |            |       |           |       |                     |                               |
| 20.720 State Damage Prevention Program Grants (B)  |            |       |           | X     |                     |                               |
| 20.721 PHMSA Pipeline Safety Program One Call Grant (B)  |            |       |           | X     |                     |                               |
| 20.722 Technology Development Grant (B)  |            |       | X         |       |                     |                               |
| 20.761 Biobased Transportation Research (B)  |            |       | X         |       |                     |                               |
| 20.762 Research Grants (B)   |            |       |           | X     |                     |                               |
| 20.763 Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)             |            |       | X         |       |                     |                               |
| 20.764 Hydrogen Storage Research and Development (B)   |            |       | X         |       |                     |                               |
| 20.802 Federal Ship Financing Guarantees (F)   | X          |       |           |       |                     |                               |
| 20.803 Maritime War Risk Insurance (G)   |            |       |           |       |                     |                               |
| 20.806 State Maritime Schools (C,I)  |            |       |           | X     |                     |                               |
| 20.807 U.S. Merchant Marine Academy (M)  | X          |       |           |       |                     |                               |
| 20.808 Capital Construction Fund (C)   | X          |       |           |       |                     |                               |
| 20.812 Construction Reserve Fund (C)   | X          | X     | X         | X     | X                   | X                             |
| 20.813 Maritime Security Fleet Program (C)   |            |       |           |       |                     |                               |
| 20.814 Assistance to Small Shipyards (C)   |            | X     |           | X     |                     |                               |
| 20.900 Transportation_Consumer Affairs (N)   | X          | X     | X         | X     | X                   | X                             |
| 20.901 Payments for Essential Air Services (C)   |            |       |           |       |                     |                               |
| 20.904 Bonding Assistance Program (C,G,J)  |            |       |           |       |                     |                               |
| 20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)                             |            |       |           |       |                     |                               |
| 20.907 Pilot Entrepreneurial Training and Technical Assistance Women and Girls Program (B)           |            |       | X         |       |                     |                               |
| 20.910 Assistance to small and disadvantaged businesses (B)  |            |       | X         |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---------------------|------------|-------|-----------|-------|---------------------|-------------------------------|
|---------------------|------------|-------|-----------|-------|---------------------|-------------------------------|

|        |  |  |   |  |  |  |
|--------|--|--|---|--|--|--|
| 20.930 | Payments for Small Community Air Service Development (B) |  | X |  |  |  |
|--------|--|--|---|--|--|--|

|        |   |  |   |  |   |  |
|--------|---|--|---|--|---|--|
| 20.932 | Surface Transportation _ Discretionary Grants for Capital Investment. (B) |  | X |  | X |  |
|--------|---|--|---|--|---|--|

## DEPARTMENT OF THE TREASURY

|        |                      |   |   |   |   |   |
|--------|----------------------|---|---|---|---|---|
| 21.003 | Taxpayer Service (K) | X | X | X | X | X |
|--------|----------------------|---|---|---|---|---|

|        |   |  |  |   |  |  |
|--------|---|--|--|---|--|--|
| 21.004 | Exchange of Federal Tax Information With State Tax Agencies (J) |  |  | X |  |  |
|--------|---|--|--|---|--|--|

|        |                                    |  |  |   |  |  |
|--------|------------------------------------|--|--|---|--|--|
| 21.006 | Tax Counseling for the Elderly (B) |  |  | X |  |  |
|--------|------------------------------------|--|--|---|--|--|

|        |                                 |  |  |  |  |  |
|--------|---------------------------------|--|--|--|--|--|
| 21.008 | Low Income Taxpayer Clinics (B) |  |  |  |  |  |
|--------|---------------------------------|--|--|--|--|--|

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

|        |  |  |  |  |  |  |
|--------|--|--|--|--|--|--|
| 21.010 | Financial Education and Counseling Pilot Program (B) |  |  |  |  |  |
|--------|--|--|--|--|--|--|

|        |  |  |  |  |  |  |
|--------|--|--|--|--|--|--|
| 21.020 | Community Development Financial Institutions Program (B) |  |  |  |  |  |
|--------|--|--|--|--|--|--|

|        |                                   |  |  |  |  |  |
|--------|-----------------------------------|--|--|--|--|--|
| 21.021 | Bank Enterprise Award Program (B) |  |  |  |  |  |
|--------|-----------------------------------|--|--|--|--|--|

## APPALACHIAN REGIONAL COMMISSION

|        |  |  |  |   |  |  |
|--------|--|--|--|---|--|--|
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |  |  | X |  |  |
|--------|--|--|--|---|--|--|

|        |                                  |  |   |  |   |  |
|--------|----------------------------------|--|---|--|---|--|
| 23.002 | Appalachian Area Development (B) |  | X |  | X |  |
|--------|----------------------------------|--|---|--|---|--|

|        |  |  |  |  |   |  |
|--------|--|--|--|--|---|--|
| 23.003 | Appalachian Development Highway System (B) |  |  |  | X |  |
|--------|--|--|--|--|---|--|

|        |   |  |   |  |  |  |
|--------|---|--|---|--|--|--|
| 23.009 | Appalachian Local Development District Assistance (B) |  | X |  |  |  |
|--------|---|--|---|--|--|--|

|        |  |   |   |   |   |   |
|--------|--|---|---|---|---|---|
| 23.011 | Appalachian Research, Technical Assistance, and Demonstration Projects (B) | X | X | X | X | X |
|--------|--|---|---|---|---|---|

## APPALACHIAN REGIONAL COMMISSION

|        |  |  |  |   |  |  |
|--------|--|--|--|---|--|--|
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |  |  | X |  |  |
|--------|--|--|--|---|--|--|

|        |                                  |  |   |  |   |  |
|--------|----------------------------------|--|---|--|---|--|
| 23.002 | Appalachian Area Development (B) |  | X |  | X |  |
|--------|----------------------------------|--|---|--|---|--|

|        |  |  |  |  |   |  |
|--------|--|--|--|--|---|--|
| 23.003 | Appalachian Development Highway System (B) |  |  |  | X |  |
|--------|--|--|--|--|---|--|

|        |   |  |   |  |  |  |
|--------|---|--|---|--|--|--|
| 23.009 | Appalachian Local Development District Assistance (B) |  | X |  |  |  |
|--------|---|--|---|--|--|--|

|        |  |   |   |   |   |   |
|--------|--|---|---|---|---|---|
| 23.011 | Appalachian Research, Technical Assistance, and Demonstration Projects (B) | X | X | X | X | X |
|--------|--|---|---|---|---|---|

## APPALACHIAN REGIONAL COMMISSION

|        |  |  |  |   |  |  |
|--------|--|--|--|---|--|--|
| 23.001 | Appalachian Regional Development (See individual Appalachian Programs) (B) |  |  | X |  |  |
|--------|--|--|--|---|--|--|

|        |                                  |  |   |  |   |  |
|--------|----------------------------------|--|---|--|---|--|
| 23.002 | Appalachian Area Development (B) |  | X |  | X |  |
|--------|----------------------------------|--|---|--|---|--|

|        |  |  |  |  |   |  |
|--------|--|--|--|--|---|--|
| 23.003 | Appalachian Development Highway System (B) |  |  |  | X |  |
|--------|--|--|--|--|---|--|

|        |   |  |   |  |  |  |
|--------|---|--|---|--|--|--|
| 23.009 | Appalachian Local Development District Assistance (B) |  | X |  |  |  |
|--------|---|--|---|--|--|--|

|        |  |   |   |   |   |   |
|--------|--|---|---|---|---|---|
| 23.011 | Appalachian Research, Technical Assistance, and Demonstration Projects (B) | X | X | X | X | X |
|--------|--|---|---|---|---|---|

## EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

|        |   |   |   |   |   |   |
|--------|---|---|---|---|---|---|
| 30.001 | Employment Discrimination Title VII of the Civil Rights Act of 1964 (K,N) | X | X | X | X | X |
|--------|---|---|---|---|---|---|

|        |  |  |  |  |   |  |
|--------|--|--|--|--|---|--|
| 30.002 | Employment Discrimination State and Local Fair Employment Practices Agency Contracts (C) |  |  |  | X |  |
|--------|--|--|--|--|---|--|

|        |   |   |  |  |  |  |
|--------|---|---|--|--|--|--|
| 30.005 | Employment Discrimination Private Bar Program (J) | X |  |  |  |  |
|--------|---|---|--|--|--|--|

|        |  |   |  |  |  |  |
|--------|--|---|--|--|--|--|
| 30.008 | Employment Discrimination Age Discrimination in Employment (K,N) | X |  |  |  |  |
|--------|--|---|--|--|--|--|

|        |   |  |  |  |  |   |
|--------|---|--|--|--|--|---|
| 30.009 | Employment Discrimination Project Contracts Indian Tribes (C) |  |  |  |  | X |
|--------|---|--|--|--|--|---|

|        |   |   |   |   |   |   |
|--------|---|---|---|---|---|---|
| 30.010 | Employment Discrimination Equal Pay Act (K,N) | X | X | X | X | X |
|--------|---|---|---|---|---|---|

|        |  |   |   |   |   |   |
|--------|--|---|---|---|---|---|
| 30.011 | Employment Discrimination Title I of The Americans with Disabilities Act (K,N) | X | X | X | X | X |
|--------|--|---|---|---|---|---|

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| <b>EXPORT - IMPORT BANK OF THE UNITED STATES</b>                               |            |       |           |       |                     |                               |
| 31.007 Export - Loan Guarantee/Insured Loans (E,F)                             | X          | X     | X         | X     | X                   | X                             |
| <b>EXPORT - IMPORT BANK OF THE UNITED STATES</b>                               |            |       |           |       |                     |                               |
| 31.007 Export - Loan Guarantee/Insured Loans (E,F)                             | X          | X     | X         | X     | X                   | X                             |
| <b>FEDERAL MARITIME COMMISSION</b>   |            |       |           |       |                     |                               |
| 33.001 Shipping Dispute Resolution and Investigation of Complaints (N)         | X          | X     | X         | X     | X                   | X                             |
| <b>FEDERAL MEDIATION AND CONCILIATION SERVICE</b>                              |            |       |           |       |                     |                               |
| 34.002 Labor Management Cooperation (B)  |            | X     |           | X     |                     |                               |
| <b>FEDERAL MEDIATION AND CONCILIATION SERVICE</b>                              |            |       |           |       |                     |                               |
| 34.002 Labor Management Cooperation (B)  |            | X     |           | X     |                     |                               |
| <b>GENERAL SERVICES ADMINISTRATION</b>   |            |       |           |       |                     |                               |
| 39.002 Disposal of Federal Surplus Real Property (H)                           | X          | X     | X         | X     |                     |                               |
| 39.003 Donation of Federal Surplus Personal Property (B)                       |            | X     | X         | X     |                     | X                             |
| 39.007 Sale of Federal Surplus Personal Property (B)                           | X          | X     | X         | X     | X                   | X                             |
| 39.009 Federal Citizen Information Center (L)                                  | X          | X     | X         | X     | X                   | X                             |
| <b>GENERAL SERVICES ADMINISTRATION</b>   |            |       |           |       |                     |                               |
| 39.002 Disposal of Federal Surplus Real Property (H)                           | X          | X     | X         | X     |                     |                               |
| 39.003 Donation of Federal Surplus Personal Property (B)                       |            | X     | X         | X     |                     | X                             |
| 39.007 Sale of Federal Surplus Personal Property (B)                           | X          | X     | X         | X     | X                   | X                             |
| 39.009 Federal Citizen Information Center (L)                                  | X          | X     | X         | X     | X                   | X                             |
| <b>GENERAL SERVICES ADMINISTRATION</b>   |            |       |           |       |                     |                               |
| 39.002 Disposal of Federal Surplus Real Property (H)                           | X          | X     | X         | X     |                     |                               |
| 39.003 Donation of Federal Surplus Personal Property (B)                       |            | X     | X         | X     |                     | X                             |
| 39.007 Sale of Federal Surplus Personal Property (B)                           | X          | X     | X         | X     | X                   | X                             |
| 39.009 Federal Citizen Information Center (L)                                  | X          | X     | X         | X     | X                   | X                             |
| <b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>                           |            |       |           |       |                     |                               |
| 43.004 Aeronautics, Recovery Act (B)   |            |       | X         | X     | X                   |                               |
| 43.005 Exploration, Recovery Act (B)   |            |       | X         |       | X                   |                               |
| 43.006 Science, Recovery Act (B)   |            |       | X         | X     | X                   |                               |
| <b>NATIONAL CREDIT UNION ADMINISTRATION</b>                                    |            |       |           |       |                     |                               |
| 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)   |            | X     |           | X     |                     |                               |
| 44.002 Community Development Revolving Loan Fund Program for Credit Unions (E) |            |       |           | X     |                     |                               |
| <b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>                          |            |       |           |       |                     |                               |
| 45.201 Arts and Artifacts Indemnity (G)  |            | X     | X         | X     |                     |                               |
| <b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>                          |            |       |           |       |                     |                               |
| 45.201 Arts and Artifacts Indemnity (G)  |            | X     | X         | X     |                     |                               |
| <b>NATIONAL ENDOWMENT FOR THE ARTS</b>   |            |       |           |       |                     |                               |
| 45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)       | X          | X     | X         | X     |                     | X                             |
| 45.025 Promotion of the Arts_Partnership Agreements (B,K)                      |            |       |           | X     |                     |                               |
| <b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>                                   |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 45.129 Promotion of the Humanities_Federal/State Partnership (A)                                  |            |       | X         | X     |                     |                               |
| 45.130 Promotion of the Humanities_Challenge Grants (B)   |            |       | X         |       |                     |                               |
| 45.149 Promotion of the Humanities_Division of Preservation and Access (B)                        |            |       |           |       |                     |                               |
| 45.160 Promotion of the Humanities_Fellowships and Stipends (B)                                   | X          |       |           |       |                     |                               |
| 45.161 Promotion of the Humanities_Research (B)   |            |       | X         |       |                     |                               |
| 45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B) |            |       | X         |       |                     |                               |
| 45.163 Promotion of the Humanities_Professional Development (B)                                   |            |       | X         |       |                     |                               |
| 45.164 Promotion of the Humanities_Public Programs (B)  |            |       | X         |       |                     |                               |
| 45.168 Promotion of the Humanities_We the People (B)  |            |       |           |       |                     |                               |
| 45.169 Promotion of the Humanities_Office of Digital Humanities (B)                               |            |       | X         |       |                     |                               |

## NATIONAL LABOR RELATIONS BOARD

|   |   |  |   |  |  |  |
|---|---|--|---|--|--|--|
| 46.001 Labor-Management Relations (J,N) | X |  | X |  |  |  |
|---|---|--|---|--|--|--|

## NATIONAL SCIENCE FOUNDATION

|   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|
| 47.082 Trans-NSF Recovery Act Reasearch Support (B) | X | X | X | X | X | X |
|---|---|---|---|---|---|---|

## RAILROAD RETIREMENT BOARD

|  |   |  |  |  |  |  |
|--|---|--|--|--|--|--|
| 57.001 Social Insurance for Railroad Workers (D) | X |  |  |  |  |  |
| 57.005 Economic Recovery Payments (D)            |   |  |  |  |  |  |

## RAILROAD RETIREMENT BOARD

|  |   |  |  |  |  |  |
|--|---|--|--|--|--|--|
| 57.001 Social Insurance for Railroad Workers (D) | X |  |  |  |  |  |
| 57.005 Economic Recovery Payments (D)            |   |  |  |  |  |  |

## SMALL BUSINESS ADMINISTRATION

|   |   |   |   |   |  |   |
|---|---|---|---|---|--|---|
| 59.006 8(a) Business Development Program (J)          |   |   |   |   |  |   |
| 59.007 7(j) Technical Assistance (B)                  | X |   |   |   |  | X |
| 59.008 Disaster Assistance Loans (E)                  | X |   | X |   |  |   |
| 59.009 Procurement Assistance to Small Businesses (J) |   |   |   |   |  |   |
| 59.011 Small Business Investment Companies (E,F,K)    |   |   |   |   |  |   |
| 59.012 7(a) Loan Guarantees (F)                       |   |   |   |   |  |   |
| 59.016 Surety Bond Guarantees (G)                     |   |   |   |   |  |   |
| 59.026 Service Corps of Retired Executives (K,M)      | X |   |   |   |  |   |
| 59.037 Small Business Development Centers (B,J,K,L)   |   | X | X |   |  |   |
| 59.041 504 Certified Development Loans (F)            |   |   |   |   |  |   |
| 59.043 Women's Business Ownership Assistance (B)      |   |   |   | X |  |   |
| 59.044 Veterans Business Development (B)              |   |   |   | X |  |   |
| 59.046 Microloan Program (A,E)                        |   |   |   | X |  |   |
| 59.049 Small Disadvantaged Businesses (E)             |   |   |   |   |  |   |
| 59.050 Prime Technical Assistance (B)                 |   |   |   | X |  |   |
| 59.051 New Markets Venture Capital Program (B,F)      |   |   |   |   |  |   |
| 59.052 Native American Outreach (B)                   |   |   |   |   |  |   |
| 59.053 Ombudsman and Regulatory Fairness Boards (N)   |   |   |   |   |  | X |
| 59.054 7(a)Export Loan Guarantees (F)                 |   |   |   |   |  |   |
| 59.055 HUBZone Program (B)                            |   |   |   |   |  |   |
| 59.056 Secondary Market Lending Authority (E)         |   |   |   |   |  |   |
| 59.057 America's Recovery Capital Loans (E)           |   |   |   |   |  |   |
| 59.070 Drug-Free Workplace Program (B)                |   |   |   |   |  |   |

## DEPARTMENT OF VETERANS AFFAIRS

|   |   |  |  |   |  |  |
|---|---|--|--|---|--|--|
| 64.005 Grants to States for Construction of State Home Facilities (B) |   |  |  | X |  |  |
| 64.101 Burial Expenses Allowance for Veterans (C)                     | X |  |  |   |  |  |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 64.104 Pension for Non-Service-Connected Disability for Veterans (D)   | X          |       |           |       |                     |                               |
| 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)   | X          |       |           |       |                     |                               |
| 64.125 Vocational and Educational Counseling for Servicemembers and Veterans (K)   |            |       |           |       |                     |                               |
| 64.201 National Cemeteries (J)   | X          |       |           |       |                     |                               |
| 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)   | X          |       |           |       |                     |                               |
| 64.203 State Cemetery Grants (B)   |            |       |           | X     |                     |                               |
| <b>ENVIRONMENTAL PROTECTION AGENCY</b>   |            |       |           |       |                     |                               |
| 66.001 Air Pollution Control Program Support (B)   |            | X     |           | X     |                     | X                             |
| 66.032 State Indoor Radon Grants (B)   |            |       |           | X     |                     | X                             |
| 66.033 Ozone Transport Commission (B)  |            | X     |           | X     |                     |                               |
| 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)  |            | X     | X         | X     |                     | X                             |
| 66.035 Community Action for a Renewed Environment (CARE) Program (B)   |            | X     | X         | X     |                     |                               |
| 66.036 Clean School Bus USA (B)  |            | X     | X         | X     |                     | X                             |
| 66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)   |            | X     | X         | X     |                     | X                             |
| 66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B) |            |       |           |       |                     | X                             |
| 66.039 National Clean Diesel Funding Assistance Program (B)  |            | X     | X         | X     |                     | X                             |
| 66.040 State Clean Diesel Grant Program (A)  |            |       |           | X     |                     |                               |
| 66.041 Climate Showcase Communities Grant Program (B)  |            | X     |           |       |                     | X                             |
| 66.110 Healthy Communities Grant Program (B)   |            | X     | X         | X     |                     | X                             |
| 66.111 Regional Environmental Priority Projects (B)  | X          |       | X         | X     |                     | X                             |
| 66.113 Region 3 Environmental Priority Projects (B)  |            | X     | X         | X     |                     |                               |
| 66.117 Region 9 Multi-Media and Geographic Priority Projects (B)   |            | X     | X         | X     |                     |                               |
| 66.119 West Coast Estuaries Initiative (B)   |            | X     |           |       |                     | X                             |
| 66.120 Puget Sound Watershed Management Assistance (B)   |            | X     |           |       |                     | X                             |
| 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)  |            |       |           |       |                     | X                             |
| 66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)   |            | X     | X         |       |                     | X                             |
| 66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)   |            | X     | X         |       |                     | X                             |
| 66.202 Congressionally Mandated Projects (B)   |            | X     | X         | X     |                     |                               |
| 66.203 Environmental Finance Center Grants (B)   |            |       | X         |       |                     |                               |
| 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)  |            | X     | X         | X     |                     | X                             |
| 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)   |            |       | X         | X     |                     | X                             |
| 66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)  |            |       | X         | X     |                     |                               |
| 66.312 State Environmental Justice Cooperative Agreement Program (B)   |            |       |           | X     |                     |                               |
| 66.418 Construction Grants for Wastewater Treatment Works (B)  |            | X     |           | X     |                     | X                             |
| 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)   |            |       |           | X     |                     | X                             |
| 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)   | X          | X     | X         | X     |                     | X                             |
| 66.432 State Public Water System Supervision (A)   |            |       |           | X     |                     | X                             |



# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 66.433 State Underground Water Source Protection (A)   |            |       |           | X     |                     | X                             |
| 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B) | X          | X     | X         | X     |                     | X                             |
| 66.437 Long Island Sound Program (B)   |            |       | X         | X     |                     |                               |
| 66.439 Targeted Watersheds Grants (B)  |            | X     | X         | X     |                     | X                             |
| 66.454 Water Quality Management Planning (A)   |            |       |           | X     |                     |                               |
| 66.456 National Estuary Program (B)  | X          |       | X         | X     |                     |                               |
| 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)   |            |       |           | X     |                     | X                             |
| 66.460 Nonpoint Source Implementation Grants (A)   |            |       |           | X     |                     | X                             |
| 66.461 Regional Wetland Program Development Grants (B)   |            | X     |           | X     |                     | X                             |
| 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)  |            |       | X         |       |                     | X                             |
| 66.463 Water Quality Cooperative Agreements (B)  |            |       | X         | X     |                     | X                             |
| 66.466 Chesapeake Bay Program (B)  |            | X     | X         | X     |                     |                               |
| 66.467 Wastewater Operator Training Grant Program (B)  |            |       | X         | X     |                     | X                             |
| 66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)  |            |       |           | X     |                     | X                             |
| 66.469 Great Lakes Program (B,I,L)   |            |       | X         | X     |                     |                               |
| 66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)   |            |       |           | X     |                     |                               |
| 66.472 Beach Monitoring and Notification Program Implementation Grants (A)   |            | X     |           | X     |                     | X                             |
| 66.473 Direct Implementation Tribal Cooperative Agreements (B)   |            |       |           |       |                     | X                             |
| 66.474 Water Protection Grants to the States (A)   |            |       |           | X     |                     | X                             |
| 66.475 Gulf of Mexico Program (B)  |            | X     | X         | X     |                     | X                             |
| 66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)                          |            | X     | X         |       |                     |                               |
| 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)   |            |       |           | X     |                     | X                             |
| 66.480 Assessment and Watershed Protection Program Grants (B)  | X          | X     | X         | X     |                     | X                             |
| 66.481 Lake Champlain Basin Program (B)  |            |       | X         | X     |                     |                               |
| 66.508 Senior Environmental Employment Program (B)   |            |       |           |       |                     |                               |
| 66.509 Science To Achieve Results (STAR) Research Program (B)  |            | X     | X         | X     |                     | X                             |
| 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)                                   | X          | X     | X         | X     |                     | X                             |
| 66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)   | X          | X     | X         | X     |                     | X                             |
| 66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)  |            | X     | X         | X     |                     | X                             |
| 66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)  | X          | X     | X         | X     | X                   | X                             |
| 66.514 Science To Achieve Results (STAR) Fellowship Program (B)  | X          | X     | X         | X     | X                   | X                             |
| 66.516 P3 Award: National Student Design Competition for Sustainability (B)  |            |       | X         |       |                     |                               |
| 66.517 Regional Applied Research Efforts (RARE) (B)  | X          |       | X         | X     |                     | X                             |
| 66.518 State Senior Environmental Employment Program (B)   |            |       |           |       |                     |                               |
| 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)  |            |       |           |       |                     |                               |
| 66.604 Environmental Justice Small Grant Program (B)   |            | X     | X         |       |                     | X                             |
| 66.605 Performance Partnership Grants (A,B)  |            |       |           | X     |                     | X                             |
| 66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)   |            |       |           | X     |                     | X                             |
| 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)   |            |       | X         | X     |                     | X                             |
| 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)  |            |       | X         | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 66.611 Environmental Policy and Innovation Grants (B)   | X          | X     | X         | X     | X                   | X                             |
| 66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B) |            |       | X         | X     |                     | X                             |
| 66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)  |            |       |           | X     |                     | X                             |
| 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)  |            |       |           | X     |                     | X                             |
| 66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  |            |       |           | X     |                     | X                             |
| 66.708 Pollution Prevention Grants Program (B)  |            |       |           | X     |                     | X                             |
| 66.709 Multi-Media Capacity Building Grants for States and Tribes (B)   |            | X     |           | X     |                     | X                             |
| 66.714 Pesticide Environmental Stewardship Regional Grants (B)  |            |       |           | X     |                     | X                             |
| 66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)   |            |       |           |       |                     | X                             |
| 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)   | X          | X     | X         | X     |                     | X                             |
| 66.717 Source Reduction Assistance (B)  |            | X     | X         | X     |                     | X                             |
| 66.718 National Community-Based Lead Outreach and Training Grant Program (B)  |            | X     | X         |       |                     |                               |
| 66.801 Hazardous Waste Management State Program Support (A)   |            |       |           | X     |                     |                               |
| 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  |            |       |           | X     |                     | X                             |
| 66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)  |            |       |           | X     |                     | X                             |
| 66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  |            |       |           | X     |                     | X                             |
| 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)   | X          | X     | X         | X     | X                   | X                             |
| 66.808 Solid Waste Management Assistance Grants (B)   |            | X     | X         | X     |                     | X                             |
| 66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)   |            |       |           | X     |                     | X                             |
| 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)  |            | X     |           | X     |                     | X                             |
| 66.812 Hazardous Waste Management Grant Program for Tribes (B)  |            |       |           |       |                     | X                             |
| 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)                                  | X          |       | X         | X     |                     | X                             |
| 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)   |            | X     | X         | X     |                     |                               |
| 66.815 Brownfield Job Training Cooperative Agreements (B)   |            | X     | X         | X     |                     | X                             |
| 66.816 Headquarters and Regional Underground Storage Tanks Program (B)  |            | X     |           | X     |                     | X                             |
| 66.817 State and Tribal Response Program Grants (A)   |            |       |           | X     |                     | X                             |
| 66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)  |            | X     | X         | X     |                     | X                             |
| 66.926 Indian Environmental General Assistance Program (GAP) (B)  |            |       |           |       |                     | X                             |
| 66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs (B)   |            | X     | X         | X     |                     | X                             |
| 66.940 Environmental Policy and State Innovation Grants (B)   |            |       | X         | X     |                     | X                             |
| 66.950 Environmental Education Training Program (B)   |            |       | X         |       |                     |                               |
| 66.951 Environmental Education Grants (B)   |            |       | X         | X     |                     |                               |
| 66.952 National Network for Environmental Management Studies Fellowship Program (B)   | X          | X     | X         | X     | X                   | X                             |

## ENVIRONMENTAL PROTECTION AGENCY

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 66.001 Air Pollution Control Program Support (B)   |            | X     |           | X     |                     | X                             |
| 66.032 State Indoor Radon Grants (B)   |            |       |           | X     |                     | X                             |
| 66.033 Ozone Transport Commission (B)  |            | X     |           | X     |                     |                               |
| 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)  |            | X     | X         | X     |                     | X                             |
| 66.035 Community Action for a Renewed Environment (CARE) Program (B)   |            | X     | X         | X     |                     |                               |
| 66.036 Clean School Bus USA (B)  |            | X     | X         | X     |                     | X                             |
| 66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)   |            | X     | X         | X     |                     | X                             |
| 66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B) |            |       |           |       |                     | X                             |
| 66.039 National Clean Diesel Funding Assistance Program (B)  |            | X     | X         | X     |                     | X                             |
| 66.040 State Clean Diesel Grant Program (A)  |            |       |           | X     |                     |                               |
| 66.041 Climate Showcase Communities Grant Program (B)  |            | X     |           |       |                     | X                             |
| 66.110 Healthy Communities Grant Program (B)   |            | X     | X         | X     |                     | X                             |
| 66.111 Regional Environmental Priority Projects (B)  | X          |       | X         | X     |                     | X                             |
| 66.113 Region 3 Environmental Priority Projects (B)  |            | X     | X         | X     |                     |                               |
| 66.117 Region 9 Multi-Media and Geographic Priority Projects (B)   |            | X     | X         | X     |                     |                               |
| 66.119 West Coast Estuaries Initiative (B)   |            | X     |           |       |                     | X                             |
| 66.120 Puget Sound Watershed Management Assistance (B)   |            | X     |           |       |                     | X                             |
| 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)  |            |       |           |       |                     | X                             |
| 66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)   |            | X     | X         |       |                     | X                             |
| 66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)   |            | X     | X         |       |                     | X                             |
| 66.202 Congressionally Mandated Projects (B)   |            | X     | X         | X     |                     |                               |
| 66.203 Environmental Finance Center Grants (B)   |            |       | X         |       |                     |                               |
| 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)  |            | X     | X         | X     |                     | X                             |
| 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)   |            |       | X         | X     |                     | X                             |
| 66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)  |            |       | X         | X     |                     |                               |
| 66.312 State Environmental Justice Cooperative Agreement Program (B)   |            |       |           | X     |                     |                               |
| 66.418 Construction Grants for Wastewater Treatment Works (B)  |            | X     |           | X     |                     | X                             |
| 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)   |            |       |           | X     |                     | X                             |
| 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)   | X          | X     | X         | X     |                     | X                             |
| 66.432 State Public Water System Supervision (A)   |            |       |           | X     |                     | X                             |
| 66.433 State Underground Water Source Protection (A)   |            |       |           | X     |                     | X                             |
| 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)   | X          | X     | X         | X     |                     | X                             |
| 66.437 Long Island Sound Program (B)   |            |       | X         | X     |                     |                               |
| 66.439 Targeted Watersheds Grants (B)  |            | X     | X         | X     |                     | X                             |
| 66.454 Water Quality Management Planning (A)   |            |       |           | X     |                     |                               |
| 66.456 National Estuary Program (B)  | X          |       | X         | X     |                     |                               |
| 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)   |            |       |           | X     |                     | X                             |
| 66.460 Nonpoint Source Implementation Grants (A)   |            |       |           | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 66.461 Regional Wetland Program Development Grants (B)  |            | X     |           | X     |                     | X                             |
| 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)   |            |       | X         |       |                     | X                             |
| 66.463 Water Quality Cooperative Agreements (B)   |            |       | X         | X     |                     | X                             |
| 66.466 Chesapeake Bay Program (B)   |            | X     | X         | X     |                     |                               |
| 66.467 Wastewater Operator Training Grant Program (B)   |            |       | X         | X     |                     | X                             |
| 66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)   |            |       |           | X     |                     | X                             |
| 66.469 Great Lakes Program (B,I,L)  |            |       | X         | X     |                     |                               |
| 66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)  |            |       |           | X     |                     |                               |
| 66.472 Beach Monitoring and Notification Program Implementation Grants (A)  |            | X     |           | X     |                     | X                             |
| 66.473 Direct Implementation Tribal Cooperative Agreements (B)  |            |       |           |       |                     | X                             |
| 66.474 Water Protection Grants to the States (A)  |            |       |           | X     |                     | X                             |
| 66.475 Gulf of Mexico Program (B)   |            | X     | X         | X     |                     | X                             |
| 66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)   |            | X     | X         |       |                     |                               |
| 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)  |            |       |           | X     |                     | X                             |
| 66.480 Assessment and Watershed Protection Program Grants (B)   | X          | X     | X         | X     |                     | X                             |
| 66.481 Lake Champlain Basin Program (B)   |            |       | X         | X     |                     |                               |
| 66.508 Senior Environmental Employment Program (B)  |            |       |           |       |                     |                               |
| 66.509 Science To Achieve Results (STAR) Research Program (B)   |            | X     | X         | X     |                     | X                             |
| 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)  | X          | X     | X         | X     |                     | X                             |
| 66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)  | X          | X     | X         | X     |                     | X                             |
| 66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)   |            | X     | X         | X     |                     | X                             |
| 66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)   | X          | X     | X         | X     | X                   | X                             |
| 66.514 Science To Achieve Results (STAR) Fellowship Program (B)   | X          | X     | X         | X     | X                   | X                             |
| 66.516 P3 Award: National Student Design Competition for Sustainability (B)   |            |       | X         |       |                     |                               |
| 66.517 Regional Applied Research Efforts (RARE) (B)   | X          |       | X         | X     |                     | X                             |
| 66.518 State Senior Environmental Employment Program (B)  |            |       |           |       |                     |                               |
| 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)   |            |       |           |       |                     |                               |
| 66.604 Environmental Justice Small Grant Program (B)  |            | X     | X         |       |                     | X                             |
| 66.605 Performance Partnership Grants (A,B)   |            |       |           | X     |                     | X                             |
| 66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)  |            |       |           | X     |                     | X                             |
| 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)  |            |       | X         | X     |                     | X                             |
| 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)   |            |       | X         | X     |                     | X                             |
| 66.611 Environmental Policy and Innovation Grants (B)   | X          | X     | X         | X     | X                   | X                             |
| 66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B) |            |       | X         | X     |                     | X                             |
| 66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)  |            |       |           | X     |                     | X                             |
| 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)  |            |       |           | X     |                     | X                             |
| 66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  |            |       |           | X     |                     | X                             |
| 66.708 Pollution Prevention Grants Program (B)  |            |       |           | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

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

## OVERSEAS PRIVATE INVESTMENT CORPORATION

|   |   |  |  |  |  |  |
|---|---|--|--|--|--|--|
| 70.002 Foreign Investment Financing (E,F) | X |  |  |  |  |  |
|---|---|--|--|--|--|--|

## NUCLEAR REGULATORY COMMISSION

|   |  |  |   |   |  |   |
|---|--|--|---|---|--|---|
| 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)                |  |  | X |   |  |   |
| 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)  |  |  | X | X |  | X |
| 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)              |  |  | X | X |  |   |
| 77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B) |  |  |   | X |  |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| <b>NUCLEAR REGULATORY COMMISSION</b>  |            |       |           |       |                     |                               |
| 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)  |            |       | X         |       |                     |                               |
| 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)                                      |            |       | X         | X     |                     | X                             |
| 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)  |            |       | X         | X     |                     |                               |
| 77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)                                     |            |       |           | X     |                     |                               |
| <b>DEPARTMENT OF ENERGY</b>   |            |       |           |       |                     |                               |
| 81.003 Granting of Patent Licenses (L)  | X          | X     | X         | X     | X                   | X                             |
| 81.022 Used Energy-Related Laboratory Equipment Grants (B)  |            |       | X         |       |                     |                               |
| 81.041 State Energy Program (A,B,L)   |            |       |           | X     |                     |                               |
| 81.042 Weatherization Assistance for Low-Income Persons (A,L)   |            |       |           | X     |                     | X                             |
| 81.049 Office of Science Financial Assistance Program (B)   |            | X     | X         | X     |                     |                               |
| 81.057 University Coal Research (B)   |            |       | X         | X     |                     |                               |
| 81.064 Office of Scientific and Technical Information (L)   | X          | X     | X         | X     | X                   | X                             |
| 81.065 Nuclear Waste Disposal Siting (B,C)  |            | X     |           | X     |                     | X                             |
| 81.086 Conservation Research and Development (B)  |            | X     |           | X     |                     |                               |
| 81.087 Renewable Energy Research and Development (B)  |            | X     |           | X     |                     |                               |
| 81.089 Fossil Energy Research and Development (B)   | X          | X     | X         | X     | X                   | X                             |
| 81.104 Office of Environmental Waste Processing (B)   |            | X     | X         | X     |                     | X                             |
| 81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)   |            |       |           | X     |                     |                               |
| 81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)     |            |       |           | X     |                     | X                             |
| 81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)   |            |       | X         |       |                     |                               |
| 81.112 Stewardship Science Grant Program (B)  |            |       | X         | X     |                     |                               |
| 81.113 Defense Nuclear Nonproliferation Research (B)  |            |       | X         | X     |                     |                               |
| 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B) |            |       | X         |       |                     |                               |
| 81.119 State Energy Program Special Projects (B)  |            |       |           | X     |                     |                               |
| 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)  |            | X     | X         | X     |                     |                               |
| 81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)                            |            |       | X         | X     |                     |                               |
| 81.124 Predictive Science Academic Alliance Program (B)   |            |       | X         |       |                     |                               |
| 81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)   |            | X     | X         | X     |                     |                               |
| 81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)  |            |       |           | X     |                     |                               |
| 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)   |            |       |           | X     |                     |                               |
| 81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)                      | X          | X     | X         | X     | X                   | X                             |
| 81.131 Expand and Extend Clean Coal Power Initiative (B)  |            |       | X         |       |                     |                               |
| 81.132 Geologic Sequestration Site Characterization (B)   | X          |       | X         |       |                     |                               |
| 81.133 Geologic Sequestration Training and Research Grant Program (B)   |            |       | X         | X     |                     |                               |
| 81.134 Industrial Carbon Capture and Storage (CCS) Application (B)  | X          | X     | X         | X     | X                   | X                             |
| 81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)  | X          | X     | X         | X     | X                   | X                             |
| 81.136 Long-Term Surveillance and Maintenance (B)   |            | X     | X         | X     |                     | X                             |
| <b>DEPARTMENT OF EDUCATION</b>  |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 84.002 Adult Education - Basic Grants to States (A)   |            | X     |           | X     |                     |                               |
| 84.004 Civil Rights Training and Advisory Services (B)  |            | X     | X         |       |                     |                               |
| 84.007 Federal Supplemental Educational Opportunity Grants (C)  |            |       | X         | X     |                     |                               |
| 84.010 Title I Grants to Local Educational Agencies (A)   |            |       |           | X     |                     | X                             |
| 84.011 Migrant Education_State Grant Program (A)  |            |       |           | X     |                     |                               |
| 84.013 Title I Program for Neglected and Delinquent Children (A)  |            |       |           | X     |                     |                               |
| 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B) |            |       | X         |       |                     |                               |
| 84.016 Undergraduate International Studies and Foreign Language Programs (B)  |            |       | X         | X     |                     |                               |
| 84.017 International Research and Studies (B)   | X          |       | X         |       |                     |                               |
| 84.018 Overseas Programs_Special Bilateral Projects (B)   | X          |       |           |       |                     |                               |
| 84.019 Overseas Programs - Faculty Research Abroad (B)  |            |       | X         |       |                     |                               |
| 84.021 Overseas Programs - Group Projects Abroad (B)  |            | X     | X         | X     |                     |                               |
| 84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)  |            |       | X         |       |                     |                               |
| 84.027 Special Education_Grants to States (A)   |            | X     |           | X     |                     |                               |
| 84.031 Higher Education_Institutional Aid (B)   |            |       | X         | X     |                     |                               |
| 84.032 Federal Family Education Loans (F)   | X          | X     | X         | X     | X                   | X                             |
| 84.033 Federal Work-Study Program (C)   |            |       | X         | X     |                     |                               |
| 84.037 Perkins Loan Cancellations (C,D)   |            |       | X         | X     |                     |                               |
| 84.038 Federal Perkins Loan Program_Federal Capital Contributions (C)   |            |       | X         | X     |                     |                               |
| 84.040 Impact Aid_Facilities Maintenance (B)  |            | X     |           |       |                     |                               |
| 84.041 Impact Aid (A,B)   |            | X     |           |       |                     |                               |
| 84.042 TRIO_Student Support Services (B)  |            | X     | X         | X     |                     |                               |
| 84.044 TRIO_Talent Search (B)   |            | X     | X         | X     |                     |                               |
| 84.047 TRIO_Upward Bound (B)  |            |       | X         | X     |                     |                               |
| 84.048 Career and Technical Education -- Basic Grants to States (A)   |            |       |           | X     |                     |                               |
| 84.051 Career and Technical Education -- National Programs (B)  |            |       | X         | X     |                     |                               |
| 84.060 Indian Education_Grants to Local Educational Agencies (A)  |            | X     |           |       |                     | X                             |
| 84.063 Federal Pell Grant Program (C)   | X          |       |           |       |                     |                               |
| 84.066 TRIO_Educational Opportunity Centers (B)   |            | X     | X         | X     |                     |                               |
| 84.069 Leveraging Educational Assistance Partnership (A)  |            | X     |           | X     |                     |                               |
| 84.083 Women's Educational Equity Act Program (B)   | X          | X     | X         | X     |                     |                               |
| 84.101 Career and Technical Education - Indian Set-aside (B)  |            |       |           |       |                     | X                             |
| 84.103 TRIO Staff Training Program (B)  |            |       | X         | X     |                     |                               |
| 84.116 Fund for the Improvement of Postsecondary Education (B)  |            | X     | X         |       |                     |                               |
| 84.120 Minority Science and Engineering Improvement (B)   |            |       | X         |       |                     |                               |
| 84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)   |            |       |           | X     |                     |                               |
| 84.128 Rehabilitation Services_Service Projects (B)   |            | X     | X         | X     |                     |                               |
| 84.129 Rehabilitation Long-Term Training (B)  |            | X     | X         | X     |                     |                               |
| 84.132 Centers for Independent Living (B)   |            | X     | X         | X     |                     |                               |
| 84.133 National Institute on Disability and Rehabilitation Research (B)   | X          | X     | X         | X     |                     |                               |
| 84.141 Migrant Education_High School Equivalency Program (B)  |            |       | X         |       |                     |                               |
| 84.144 Migrant Education_Coordination Program (B)   |            | X     |           | X     |                     |                               |
| 84.145 Federal Real Property Assistance Program (H)   |            | X     |           | X     |                     |                               |
| 84.149 Migrant Education_College Assistance Migrant Program (B)   |            |       | X         |       |                     |                               |
| 84.153 Business and International Education Projects (B)  |            |       | X         |       |                     |                               |
| 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)  |            | X     | X         | X     |                     |                               |
| 84.161 Rehabilitation Services_Client Assistance Program (A)  |            |       |           | X     |                     |                               |
| 84.165 Magnet Schools Assistance (B)  |            | X     |           |       |                     |                               |
| 84.169 Independent Living_State Grants (A)  |            |       |           | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description | Individual  | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---------------------|---|-------|-----------|-------|---------------------|-------------------------------|
| 84.170              | Javits Fellowships (B)  | X     | X         | X     | X                   | X                             |
| 84.173              | Special Education_Preschool Grants (A)  |       |           | X     |                     |                               |
| 84.177              | Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B) |       |           | X     |                     |                               |
| 84.181              | Special Education-Grants for Infants and Families (A)                                       |       |           | X     |                     |                               |
| 84.184              | Safe and Drug-Free Schools and Communities_National Programs (B)                            | X     | X         | X     |                     |                               |
| 84.185              | Byrd Honors Scholarships (A)  |       |           | X     |                     |                               |
| 84.186              | Safe and Drug-Free Schools and Communities_State Grants (A)                                 |       |           | X     |                     |                               |
| 84.187              | Supported Employment Services for Individuals with Significant Disabilities (A)             |       |           | X     |                     |                               |
| 84.191              | Adult Education_National Leadership Activities (B,C)  |       | X         |       |                     |                               |
| 84.196              | Education for Homeless Children and Youth (A)   |       |           | X     |                     |                               |
| 84.200              | Graduate Assistance in Areas of National Need (B)   |       | X         | X     |                     |                               |
| 84.206              | Javits Gifted and Talented Students Education Grant Program (B)                             |       |           | X     |                     | X                             |
| 84.213              | Even Start_State Educational Agencies (A)   |       |           | X     |                     |                               |
| 84.214              | Even Start_Migrant Education (B)  |       |           | X     |                     |                               |
| 84.215              | Fund for the Improvement of Education (B)   |       |           | X     |                     | X                             |
| 84.217              | TRIO_McNair Post-Baccalaureate Achievement (B)  |       | X         | X     |                     |                               |
| 84.220              | Centers for International Business Education (B)  |       | X         | X     |                     | X                             |
| 84.224              | Assistive Technology (A)  | X     |           | X     |                     |                               |
| 84.229              | Language Resource Centers (B)   | X     |           | X     |                     |                               |
| 84.234              | Projects with Industry (B)  |       | X         |       |                     |                               |
| 84.235              | Rehabilitation Services Demonstration and Training Programs (B)                             |       | X         | X     |                     |                               |
| 84.240              | Program of Protection and Advocacy of Individual Rights (B)                                 | X     | X         |       |                     |                               |
| 84.243              | Tech-Prep Education (A)   |       |           | X     |                     |                               |
| 84.245              | Tribally Controlled Postsecondary Career and Technical Institutions (B)                     |       |           |       |                     | X                             |
| 84.246              | Rehabilitation Short-Term Training (B)  | X     | X         | X     |                     |                               |
| 84.250              | Rehabilitation Services_American Indians with Disabilities (B)                              | X     |           |       |                     | X                             |
| 84.256              | Freely Associated States_Education Grant Program (B)  |       |           |       |                     |                               |
| 84.257              | National Institute for Literacy (B,C)   |       | X         |       |                     |                               |
| 84.258              | Even Start_Indian Tribes and Tribal Organizations (B)                                       |       |           |       |                     | X                             |
| 84.259              | Native Hawaiian Career and Technical Education (B)  |       | X         |       |                     |                               |
| 84.263              | Rehabilitation Training_Experimental and Innovative Training (B)                            |       | X         | X     |                     |                               |
| 84.264              | Rehabilitation Training_Continuing Education (B)  | X     | X         | X     |                     |                               |
| 84.265              | Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)        |       |           | X     |                     |                               |
| 84.268              | Federal Direct Student Loans (E)  | X     |           |       |                     |                               |
| 84.269              | Institute for International Public Policy (B)   |       | X         |       |                     |                               |
| 84.274              | American Overseas Research Centers (B)  |       | X         | X     |                     |                               |
| 84.275              | Rehabilitation Training_General Training (B)  |       | X         | X     |                     |                               |
| 84.282              | Charter Schools (B)   |       | X         | X     |                     |                               |
| 84.283              | Comprehensive Centers (B)   |       | X         |       |                     |                               |
| 84.286              | Ready to Teach (B)  |       |           |       |                     |                               |
| 84.287              | Twenty-First Century Community Learning Centers (A)   |       | X         |       |                     |                               |
| 84.293              | Foreign Language Assistance (B)   | X     |           | X     |                     |                               |
| 84.295              | Ready-To-Learn Television (B)   |       |           |       |                     |                               |
| 84.299              | Indian Education -- Special Programs for Indian Children (B)                                |       | X         | X     |                     |                               |
| 84.304              | Civic Education - Cooperative Education Exchange Program (B)                                |       |           |       |                     |                               |
| 84.305              | Education Research, Development and Dissemination (B)                                       |       | X         | X     |                     |                               |



# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 84.310 Parental Information and Resource Centers (B)   |            | X     |           |       |                     |                               |
| 84.315 Capacity Building for Traditionally Underserved Populations (B)   |            |       | X         |       |                     |                               |
| 84.318 Education Technology State Grants (A)   |            |       |           | X     |                     | X                             |
| 84.323 Special Education - State Personnel Development (B)   |            |       |           | X     |                     |                               |
| 84.324 Research in Special Education (B)   |            | X     | X         | X     |                     |                               |
| 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)                    |            | X     | X         | X     |                     |                               |
| 84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)     |            | X     | X         | X     |                     |                               |
| 84.327 Special Education_Technology and Media Services for Individuals with Disabilities (B)   |            | X     | X         | X     |                     |                               |
| 84.328 Special Education_Parent Information Centers (B)  |            |       |           |       |                     |                               |
| 84.329 Special Education_Studies and Evaluations (B)   |            | X     | X         | X     |                     |                               |
| 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)                       |            | X     |           | X     |                     |                               |
| 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)                               |            |       |           | X     |                     |                               |
| 84.332 Comprehensive School Reform Demonstration (B)   |            | X     |           | X     |                     |                               |
| 84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B) |            |       | X         |       |                     |                               |
| 84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)  |            |       | X         | X     |                     |                               |
| 84.335 Child Care Access Means Parents in School (B)   |            | X     | X         |       |                     |                               |
| 84.336 Teacher Quality Partnership Grants (B)  |            | X     |           |       |                     |                               |
| 84.337 International Education_Technological Innovation and Cooperation for Foreign Information Access (B)                             |            |       | X         |       |                     |                               |
| 84.343 Assistive Technology_State Grants for Protection and Advocacy (A)   |            |       |           | X     |                     |                               |
| 84.345 Underground Railroad Educational and Cultural Program (B)   |            |       | X         |       |                     |                               |
| 84.350 Transition to Teaching (B)  |            | X     | X         | X     |                     |                               |
| 84.351 Arts in Education (B)   |            |       | X         | X     |                     |                               |
| 84.354 Credit Enhancement for Charter School Facilities (B)  |            | X     |           | X     |                     |                               |
| 84.356 Alaska Native Educational Programs (B)  |            |       |           |       | X                   |                               |
| 84.357 Reading First State Grants (A)  |            |       |           | X     |                     |                               |
| 84.358 Rural Education (A)   |            | X     |           |       |                     |                               |
| 84.359 Early Reading First (B)   |            | X     | X         |       |                     |                               |
| 84.360 School Dropout Prevention Program (B)   |            | X     |           | X     |                     |                               |
| 84.361 Voluntary Public School Choice (B)  |            | X     | X         | X     |                     |                               |
| 84.362 Native Hawaiian Education (B)   |            | X     | X         | X     |                     |                               |
| 84.363 School Leadership (B)   |            |       | X         | X     |                     |                               |
| 84.364 Literacy through School Libraries (B)   |            |       | X         | X     |                     |                               |
| 84.365 English Language Acquisition Grants (A,B)   |            | X     |           | X     |                     |                               |
| 84.366 Mathematics and Science Partnerships (B)  |            |       |           | X     |                     |                               |
| 84.367 Improving Teacher Quality State Grants (A)  |            |       |           | X     |                     |                               |
| 84.369 Grants for State Assessments and Related Activities (A)   |            |       |           | X     |                     |                               |
| 84.370 DC School Choice Incentive Program (B)  |            |       |           |       | X                   |                               |
| 84.371 Striving Readers (B)  |            | X     | X         |       |                     |                               |
| 84.372 Statewide Data Systems (B)  |            |       |           | X     |                     |                               |
| 84.373 Special Education_Technical Assistance on State Data Collection (B)   |            |       |           | X     |                     |                               |
| 84.374 Teacher Incentive Fund (B)  |            | X     |           | X     |                     |                               |
| 84.375 Academic Competitiveness Grants (C)   | X          |       |           |       |                     |                               |
| 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (C)   | X          |       |           |       |                     |                               |
| 84.377 School Improvement Grants (A)   |            |       |           | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 84.378 College Access Challenge Grant Program (A)   |            | X     |           | X     |                     |                               |
| 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)  |            | X     |           | X     |                     |                               |
| 84.380 Special Education -- Olympic Education Programs (B)  |            |       |           |       |                     |                               |
| 84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) |            |       | X         | X     |                     |                               |
| 84.382 Strengthening Minority-Serving Institutions (B)  |            | X     |           |       |                     | X                             |
| 84.383 Homeless Education Disaster Assistance Program (A)   |            |       |           | X     |                     |                               |
| 84.384 Statewide Data Systems, Recovery Act (B)   |            |       |           | X     |                     |                               |
| 84.385 Teacher Incentive Fund, Recovery Act (B)   |            | X     |           | X     |                     |                               |
| 84.386 Education Technology State Grants, Recovery Act (A)  |            |       |           | X     |                     |                               |
| 84.387 Education for Homeless Children and Youth, Recovery Act (A)  |            | X     |           | X     |                     |                               |
| 84.388 School Improvement Grants, Recovery Act (A)  |            |       |           |       |                     |                               |
| 84.389 Title I Grants to Local Educational Agencies, Recovery Act (A)   |            | X     |           | X     |                     |                               |
| 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)   |            |       |           | X     |                     |                               |
| 84.391 Special Education Grants to States, Recovery Act (A)   |            |       |           | X     |                     |                               |
| 84.392 Special Education - Preschool Grants, Recovery Act (A)   |            |       |           | X     |                     |                               |
| 84.393 Special Education - Grants for Infants and Families, Recovery Act (A)  | X          |       |           | X     |                     |                               |
| 84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (A)  |            | X     |           | X     |                     |                               |
| 84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (B)  |            |       |           | X     |                     |                               |
| 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (B)  |            |       |           |       |                     |                               |
| 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (A)   |            | X     |           | X     |                     |                               |
| 84.398 Independent Living State Grants, Recovery Act (A)  |            | X     |           | X     |                     |                               |
| 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act (A)  |            | X     |           | X     |                     |                               |
| 84.400 Centers for Independent Living, Recovery Act (B)   |            |       | X         |       |                     | X                             |
| 84.401 Impact Aid School Construction, Recovery Act (B)   |            | X     |           |       |                     |                               |
| 84.402 Consolidated Grants to the Outlying Areas, Recovery Act (A)  |            |       |           |       |                     |                               |
| 84.403 Consolidated Grant to the Outlying Areas (A)   |            |       |           |       |                     |                               |
| 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act (A)   |            | X     |           |       |                     |                               |
| 84.405 Teacher Quality Partnerships, Recovery Act (B)   |            |       |           |       |                     |                               |
| 84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act. (B)   |            |       | X         | X     |                     | X                             |

## DEPARTMENT OF EDUCATION

|   |  |   |   |   |  |   |
|---|--|---|---|---|--|---|
| 84.002 Adult Education - Basic Grants to States (A)   |  | X |   | X |  |   |
| 84.004 Civil Rights Training and Advisory Services (B)  |  | X | X |   |  |   |
| 84.007 Federal Supplemental Educational Opportunity Grants (C)  |  |   | X | X |  |   |
| 84.010 Title I Grants to Local Educational Agencies (A)   |  |   |   | X |  | X |
| 84.011 Migrant Education_State Grant Program (A)  |  |   |   | X |  |   |
| 84.013 Title I Program for Neglected and Delinquent Children (A)  |  |   |   | X |  |   |
| 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B) |  |   | X |   |  |   |
| 84.016 Undergraduate International Studies and Foreign Language Programs (B)  |  |   | X | X |  |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description | Individual  | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---------------------|---|-------|-----------|-------|---------------------|-------------------------------|
| 84.017              | International Research and Studies (B)  | X     |           | X     |                     |                               |
| 84.018              | Overseas Programs_Special Bilateral Projects (B)  | X     |           |       |                     |                               |
| 84.019              | Overseas Programs - Faculty Research Abroad (B)   |       | X         |       |                     |                               |
| 84.021              | Overseas Programs - Group Projects Abroad (B)   |       | X         | X     |                     |                               |
| 84.022              | Overseas Programs - Doctoral Dissertation Research Abroad (B)                               |       | X         |       |                     |                               |
| 84.027              | Special Education_Grants to States (A)  |       |           | X     |                     |                               |
| 84.031              | Higher Education_Institutional Aid (B)  |       | X         | X     |                     |                               |
| 84.032              | Federal Family Education Loans (F)  | X     | X         | X     | X                   | X                             |
| 84.033              | Federal Work-Study Program (C)  |       | X         | X     |                     |                               |
| 84.037              | Perkins Loan Cancellations (C,D)  |       | X         | X     |                     |                               |
| 84.038              | Federal Perkins Loan Program_Federal Capital Contributions (C)                              |       | X         | X     |                     |                               |
| 84.040              | Impact Aid_Facilities Maintenance (B)   |       |           |       |                     |                               |
| 84.041              | Impact Aid (A,B)  |       |           |       |                     |                               |
| 84.042              | TRIO_Student Support Services (B)   |       | X         | X     |                     |                               |
| 84.044              | TRIO_Talent Search (B)  |       | X         | X     |                     |                               |
| 84.047              | TRIO_Upward Bound (B)   |       | X         | X     |                     |                               |
| 84.048              | Career and Technical Education -- Basic Grants to States (A)                                |       |           | X     |                     |                               |
| 84.051              | Career and Technical Education -- National Programs (B)                                     |       | X         | X     |                     |                               |
| 84.060              | Indian Education_Grants to Local Educational Agencies (A)                                   |       |           |       |                     | X                             |
| 84.063              | Federal Pell Grant Program (C)  | X     |           |       |                     |                               |
| 84.066              | TRIO_Educational Opportunity Centers (B)  |       | X         | X     |                     |                               |
| 84.069              | Leveraging Educational Assistance Partnership (A)   |       | X         | X     |                     |                               |
| 84.083              | Women's Educational Equity Act Program (B)  | X     | X         | X     |                     |                               |
| 84.101              | Career and Technical Education - Indian Set-aside (B)                                       |       |           |       |                     | X                             |
| 84.103              | TRIO Staff Training Program (B)   |       | X         | X     |                     |                               |
| 84.116              | Fund for the Improvement of Postsecondary Education (B)                                     |       | X         |       |                     |                               |
| 84.120              | Minority Science and Engineering Improvement (B)  |       | X         |       |                     |                               |
| 84.126              | Rehabilitation Services_Vocational Rehabilitation Grants to States (A)                      |       |           | X     |                     |                               |
| 84.128              | Rehabilitation Services_Service Projects (B)  |       | X         | X     |                     |                               |
| 84.129              | Rehabilitation Long-Term Training (B)   |       | X         | X     |                     |                               |
| 84.132              | Centers for Independent Living (B)  |       | X         | X     |                     |                               |
| 84.133              | National Institute on Disability and Rehabilitation Research (B)                            | X     | X         | X     |                     |                               |
| 84.141              | Migrant Education_High School Equivalency Program (B)                                       |       | X         |       |                     |                               |
| 84.144              | Migrant Education_Coordination Program (B)  |       |           | X     |                     |                               |
| 84.145              | Federal Real Property Assistance Program (H)  |       |           | X     |                     |                               |
| 84.149              | Migrant Education_College Assistance Migrant Program (B)                                    |       | X         |       |                     |                               |
| 84.153              | Business and International Education Projects (B)   |       | X         |       |                     |                               |
| 84.160              | Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)   |       | X         | X     |                     |                               |
| 84.161              | Rehabilitation Services_Client Assistance Program (A)                                       |       |           | X     |                     |                               |
| 84.165              | Magnet Schools Assistance (B)   |       |           |       |                     |                               |
| 84.169              | Independent Living_State Grants (A)   |       |           | X     |                     |                               |
| 84.170              | Javits Fellowships (B)  | X     | X         | X     | X                   | X                             |
| 84.173              | Special Education_Preschool Grants (A)  |       |           | X     |                     |                               |
| 84.177              | Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B) |       |           | X     |                     |                               |
| 84.181              | Special Education-Grants for Infants and Families (A)                                       |       |           | X     |                     |                               |
| 84.184              | Safe and Drug-Free Schools and Communities_National Programs (B)                            |       | X         | X     |                     |                               |
| 84.185              | Byrd Honors Scholarships (A)  |       |           | X     |                     |                               |
| 84.186              | Safe and Drug-Free Schools and Communities_State Grants (A)                                 |       |           | X     |                     |                               |
| 84.187              | Supported Employment Services for Individuals with Significant Disabilities (A)             |       |           | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 84.191 Adult Education_National Leadership Activities (B,C)  |            |       | X         |       |                     |                               |
| 84.196 Education for Homeless Children and Youth (A)   |            |       |           | X     |                     |                               |
| 84.200 Graduate Assistance in Areas of National Need (B)   |            |       | X         | X     |                     |                               |
| 84.206 Javits Gifted and Talented Students Education Grant Program (B)   |            |       |           | X     |                     | X                             |
| 84.213 Even Start_State Educational Agencies (A)   |            |       |           | X     |                     |                               |
| 84.214 Even Start_Migrant Education (B)  |            |       |           | X     |                     |                               |
| 84.215 Fund for the Improvement of Education (B)   |            |       |           | X     |                     | X                             |
| 84.217 TRIO_McNair Post-Baccalaureate Achievement (B)  |            |       | X         | X     |                     |                               |
| 84.220 Centers for International Business Education (B)  |            |       | X         | X     |                     | X                             |
| 84.224 Assistive Technology (A)  |            | X     |           | X     |                     |                               |
| 84.229 Language Resource Centers (B)   |            | X     |           | X     |                     |                               |
| 84.234 Projects with Industry (B)  |            |       | X         |       |                     |                               |
| 84.235 Rehabilitation Services Demonstration and Training Programs (B)   |            |       | X         | X     |                     |                               |
| 84.240 Program of Protection and Advocacy of Individual Rights (B)   |            | X     | X         |       |                     |                               |
| 84.243 Tech-Prep Education (A)   |            |       |           | X     |                     |                               |
| 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)   |            |       |           |       |                     | X                             |
| 84.246 Rehabilitation Short-Term Training (B)  |            | X     | X         | X     |                     |                               |
| 84.250 Rehabilitation Services_American Indians with Disabilities (B)  |            | X     |           |       |                     | X                             |
| 84.256 Freely Associated States_Education Grant Program (B)  |            |       |           |       |                     |                               |
| 84.257 National Institute for Literacy (B,C)   |            |       | X         |       |                     |                               |
| 84.258 Even Start_Indian Tribes and Tribal Organizations (B)   |            |       |           |       |                     | X                             |
| 84.259 Native Hawaiian Career and Technical Education (B)  |            |       | X         |       |                     |                               |
| 84.263 Rehabilitation Training_Experimental and Innovative Training (B)  |            |       | X         | X     |                     |                               |
| 84.264 Rehabilitation Training_Continuing Education (B)  |            | X     | X         | X     |                     |                               |
| 84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)  |            |       |           | X     |                     |                               |
| 84.268 Federal Direct Student Loans (E)  | X          |       |           |       |                     |                               |
| 84.269 Institute for International Public Policy (B)   |            |       | X         |       |                     |                               |
| 84.274 American Overseas Research Centers (B)  |            |       | X         | X     |                     |                               |
| 84.275 Rehabilitation Training_General Training (B)  |            | X     | X         | X     |                     |                               |
| 84.282 Charter Schools (B)   |            | X     | X         | X     |                     |                               |
| 84.283 Comprehensive Centers (B)   |            |       | X         |       |                     |                               |
| 84.286 Ready to Teach (B)  |            |       |           |       |                     |                               |
| 84.287 Twenty-First Century Community Learning Centers (A)   |            | X     | X         |       |                     |                               |
| 84.293 Foreign Language Assistance (B)   |            | X     |           | X     |                     |                               |
| 84.295 Ready-To-Learn Television (B)   |            |       |           |       |                     |                               |
| 84.299 Indian Education -- Special Programs for Indian Children (B)  |            | X     | X         |       |                     |                               |
| 84.304 Civic Education - Cooperative Education Exchange Program (B)  |            |       |           |       |                     |                               |
| 84.305 Education Research, Development and Dissemination (B)   |            | X     | X         |       |                     |                               |
| 84.310 Parental Information and Resource Centers (B)   |            | X     |           |       |                     |                               |
| 84.315 Capacity Building for Traditionally Underserved Populations (B)   |            |       | X         |       |                     |                               |
| 84.318 Education Technology State Grants (A)   |            |       |           | X     |                     | X                             |
| 84.323 Special Education - State Personnel Development (B)   |            |       |           | X     |                     |                               |
| 84.324 Research in Special Education (B)   |            | X     | X         | X     |                     |                               |
| 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)                |            | X     | X         | X     |                     |                               |
| 84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B) |            | X     | X         | X     |                     |                               |
| 84.327 Special Education_Technology and Media Services for   |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| Individuals with Disabilities (B)   |            |       |           |       |                     |                               |
| 84.328 Special Education_Parent Information Centers (B)   |            |       |           |       |                     |                               |
| 84.329 Special Education_Studies and Evaluations (B)  |            | X     | X         | X     |                     |                               |
| 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)  |            | X     |           | X     |                     |                               |
| 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)  |            |       |           | X     |                     |                               |
| 84.332 Comprehensive School Reform Demonstration (B)  |            | X     |           | X     |                     |                               |
| 84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)  |            |       | X         |       |                     |                               |
| 84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)   |            |       | X         | X     |                     |                               |
| 84.335 Child Care Access Means Parents in School (B)  |            | X     | X         |       |                     |                               |
| 84.336 Teacher Quality Partnership Grants (B)   |            | X     |           |       |                     |                               |
| 84.337 International Education_Technological Innovation and Cooperation for Foreign Information Access (B)  |            |       | X         |       |                     |                               |
| 84.343 Assistive Technology_State Grants for Protection and Advocacy (A)  |            |       |           | X     |                     |                               |
| 84.345 Underground Railroad Educational and Cultural Program (B)  |            |       | X         |       |                     |                               |
| 84.350 Transition to Teaching (B)   |            | X     | X         | X     |                     |                               |
| 84.351 Arts in Education (B)  |            |       | X         | X     |                     |                               |
| 84.354 Credit Enhancement for Charter School Facilities (B)   |            | X     |           | X     |                     |                               |
| 84.356 Alaska Native Educational Programs (B)   |            |       |           |       |                     |                               |
| 84.357 Reading First State Grants (A)   |            |       |           | X     |                     |                               |
| 84.358 Rural Education (A)  |            | X     |           |       |                     |                               |
| 84.359 Early Reading First (B)  |            | X     | X         |       |                     |                               |
| 84.360 School Dropout Prevention Program (B)  |            | X     |           | X     |                     |                               |
| 84.361 Voluntary Public School Choice (B)   |            | X     | X         | X     |                     |                               |
| 84.362 Native Hawaiian Education (B)  |            | X     | X         | X     |                     |                               |
| 84.363 School Leadership (B)  |            |       | X         | X     |                     |                               |
| 84.364 Literacy through School Libraries (B)  |            |       | X         | X     |                     |                               |
| 84.365 English Language Acquisition Grants (A,B)  |            | X     |           | X     |                     |                               |
| 84.366 Mathematics and Science Partnerships (B)   |            |       |           | X     |                     |                               |
| 84.367 Improving Teacher Quality State Grants (A)   |            |       |           | X     |                     |                               |
| 84.369 Grants for State Assessments and Related Activities (A)  |            |       |           | X     |                     |                               |
| 84.370 DC School Choice Incentive Program (B)   |            |       |           |       |                     |                               |
| 84.371 Striving Readers (B)   |            | X     | X         |       |                     |                               |
| 84.372 Statewide Data Systems (B)   |            |       |           | X     |                     |                               |
| 84.373 Special Education_Technical Assistance on State Data Collection (B)  |            |       |           | X     |                     |                               |
| 84.374 Teacher Incentive Fund (B)   |            | X     |           | X     |                     |                               |
| 84.375 Academic Competitiveness Grants (C)  | X          |       |           |       |                     |                               |
| 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (C)  | X          |       |           |       |                     |                               |
| 84.377 School Improvement Grants (A)  |            |       |           | X     |                     |                               |
| 84.378 College Access Challenge Grant Program (A)   |            | X     |           | X     |                     |                               |
| 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)  |            | X     |           | X     |                     |                               |
| 84.380 Special Education -- Olympic Education Programs (B)  |            |       |           |       |                     |                               |
| 84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) |            |       | X         | X     |                     |                               |
| 84.382 Strengthening Minority-Serving Institutions (B)  |            | X     |           |       |                     | X                             |
| 84.383 Homeless Education Disaster Assistance Program (A)   |            |       |           | X     |                     |                               |
| 84.384 Statewide Data Systems, Recovery Act (B)   |            |       |           | X     |                     |                               |
| 84.385 Teacher Incentive Fund, Recovery Act (B)   |            | X     | X         | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 84.386 Education Technology State Grants, Recovery Act (A)   |            |       |           | X     |                     |                               |
| 84.387 Education for Homeless Children and Youth, Recovery Act (A)                                 |            | X     |           | X     |                     |                               |
| 84.388 School Improvement Grants, Recovery Act (A)   |            |       |           |       |                     |                               |
| 84.389 Title I Grants to Local Educational Agencies, Recovery Act (A)                              |            | X     |           | X     |                     |                               |
| 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)        |            |       |           | X     |                     |                               |
| 84.391 Special Education Grants to States, Recovery Act (A)  |            |       |           | X     |                     |                               |
| 84.392 Special Education - Preschool Grants, Recovery Act (A)                                      |            |       |           | X     |                     |                               |
| 84.393 Special Education - Grants for Infants and Families, Recovery Act (A)                       | X          |       |           | X     |                     |                               |
| 84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (A)           |            | X     |           | X     |                     |                               |
| 84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (B) |            |       |           | X     |                     |                               |
| 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (B)   |            |       |           |       |                     |                               |
| 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (A)              |            | X     |           | X     |                     |                               |
| 84.398 Independent Living State Grants, Recovery Act (A)   |            | X     |           | X     |                     |                               |
| 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act (A)           |            | X     |           | X     |                     |                               |
| 84.400 Centers for Independent Living, Recovery Act. (B)   |            |       | X         |       |                     | X                             |
| 84.401 Impact Aid School Construction, Recovery Act (B)  |            | X     |           |       |                     |                               |
| 84.402 Consolidated Grants to the Outlying Areas, Recovery Act (A)                                 |            |       |           |       |                     |                               |
| 84.403 Consolidated Grant to the Outlying Areas (A)  |            |       |           |       |                     |                               |
| 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act (A)                          |            | X     |           |       |                     |                               |
| 84.405 Teacher Quality Partnerships, Recovery Act (B)  |            |       |           |       |                     |                               |
| 84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act. (B)              |            |       | X         | X     |                     | X                             |

## CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION

|  |   |   |   |   |   |   |
|--|---|---|---|---|---|---|
| 85.101 Homeland Security Award (D)       | X | X | X | X | X | X |
| 85.102 Christopher Columbus Awards (B)   | X | X | X | X | X | X |
| 85.103 Freida J. Riley Teacher Award (D) | X | X | X | X | X | X |
| 85.104 Life Sciences Awards (D)          | X | X | X | X | X | X |

## CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION

|  |   |   |   |   |   |   |
|--|---|---|---|---|---|---|
| 85.101 Homeland Security Award (D)       | X | X | X | X | X | X |
| 85.102 Christopher Columbus Awards (B)   | X | X | X | X | X | X |
| 85.103 Freida J. Riley Teacher Award (D) | X | X | X | X | X | X |
| 85.104 Life Sciences Awards (D)          | X | X | X | X | X | X |

## JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION

|  |   |  |  |  |  |  |
|--|---|--|--|--|--|--|
| 85.500 James Madison Memorial Fellowship Program (B) | X |  |  |  |  |  |
|--|---|--|--|--|--|--|

## MILLENNIUM CHALLENGE CORPORATION

|   |  |  |   |  |  |  |
|---|--|--|---|--|--|--|
| 85.111 Rural Water Investment Evaluations (MOZMBIQUE) (C) |  |  | X |  |  |  |
|---|--|--|---|--|--|--|

## MORRIS K. UDALL FOUNDATION

|   |   |  |  |  |  |  |
|---|---|--|--|--|--|--|
| 85.400 Morris K. Udall Scholarship Program (C)                              | X |  |  |  |  |  |
| 85.401 Morris K. Udall Fellowship Program (C)                               | X |  |  |  |  |  |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C) | X |  |  |  |  |  |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| <b>MORRIS K. UDALL FOUNDATION</b>  |            |       |           |       |                     |                               |
| 85.400 Morris K. Udall Scholarship Program (C)   | X          |       |           |       |                     |                               |
| 85.401 Morris K. Udall Fellowship Program (C)  | X          |       |           |       |                     |                               |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C)  | X          |       |           |       |                     |                               |
| <b>MORRIS K. UDALL FOUNDATION</b>  |            |       |           |       |                     |                               |
| 85.400 Morris K. Udall Scholarship Program (C)   | X          |       |           |       |                     |                               |
| 85.401 Morris K. Udall Fellowship Program (C)  | X          |       |           |       |                     |                               |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C)  | X          |       |           |       |                     |                               |
| <b>MORRIS K. UDALL FOUNDATION</b>  |            |       |           |       |                     |                               |
| 85.400 Morris K. Udall Scholarship Program (C)   | X          |       |           |       |                     |                               |
| 85.401 Morris K. Udall Fellowship Program (C)  | X          |       |           |       |                     |                               |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C)  | X          |       |           |       |                     |                               |
| <b>MORRIS K. UDALL FOUNDATION</b>  |            |       |           |       |                     |                               |
| 85.400 Morris K. Udall Scholarship Program (C)   | X          |       |           |       |                     |                               |
| 85.401 Morris K. Udall Fellowship Program (C)  | X          |       |           |       |                     |                               |
| 85.402 Morris K. Udall Native American Congressional Internship Program (C)  | X          |       |           |       |                     |                               |
| <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>  |            |       |           |       |                     |                               |
| 89.001 National Archives Reference Services_Historical Research (I,K,L)  | X          | X     | X         | X     | X                   | X                             |
| 89.003 National Historical Publications and Records Grants (B)   |            | X     | X         | X     |                     | X                             |
| 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C) |            | X     |           | X     |                     |                               |
| <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>  |            |       |           |       |                     |                               |
| 89.001 National Archives Reference Services_Historical Research (I,K,L)  | X          | X     | X         | X     | X                   | X                             |
| 89.003 National Historical Publications and Records Grants (B)   |            | X     | X         | X     |                     | X                             |
| 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C) |            | X     |           | X     |                     |                               |
| <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>  |            |       |           |       |                     |                               |
| 89.001 National Archives Reference Services_Historical Research (I,K,L)  | X          | X     | X         | X     | X                   | X                             |
| 89.003 National Historical Publications and Records Grants (B)   |            | X     | X         | X     |                     | X                             |
| 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C) |            | X     |           | X     |                     |                               |
| <b>DENALI COMMISSION</b>   |            |       |           |       |                     |                               |
| 90.100 Denali Commission Program (B)   |            | X     | X         | X     |                     |                               |
| <b>JAPAN U.S. FRIENDSHIP COMMISSION</b>  |            |       |           |       |                     |                               |
| 90.300 Japan-U.S. Friendship Commission Grants (B)   |            |       | X         | X     |                     |                               |
| <b>JAPAN U.S. FRIENDSHIP COMMISSION</b>  |            |       |           |       |                     |                               |
| 90.300 Japan-U.S. Friendship Commission Grants (B)   |            |       | X         | X     |                     |                               |
| <b>UNITED STATES INSTITUTE OF PEACE</b>  |            |       |           |       |                     |                               |
| 91.001 Annual Grant Competition (B)  | X          |       | X         |       |                     |                               |
| 91.002 Priority Grant Competition (B)  | X          |       | X         |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>   |            |       |           |       |                     |                               |
| 93.001 Civil Rights and Privacy Rule Compliance Activities (K,N)   | X          | X     | X         | X     | X                   | X                             |
| 93.009 Compassion Capital Fund (B)   |            |       |           | X     |                     | X                             |
| 93.010 Community-Based Abstinence Education (CBAE) (B)   |            | X     | X         | X     |                     | X                             |
| 93.061 Innovations in Applied Public Health Research (B)   |            |       | X         |       |                     |                               |
| 93.062 Biomonitoring Programs for State Public Health Laboratories (B)   |            |       |           | X     |                     |                               |
| 93.063 Centers for Genomics and Public Health (B)  |            | X     | X         | X     |                     |                               |
| 93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)   |            | X     | X         | X     | X                   |                               |
| 93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B) |            |       |           | X     |                     |                               |
| 93.066 State Vital Statistics Improvement Program (B)  |            |       | X         |       |                     |                               |
| 93.067 Global AIDS (B)   |            |       |           |       |                     |                               |
| 93.068 Chronic Diseases: Research, Control, and Prevention (B)   |            | X     | X         | X     |                     | X                             |
| 93.069 Public Health Emergency Preparedness (B)  |            | X     |           | X     |                     |                               |
| 93.070 Environmental Public Health and Emergency Response (B)  |            |       |           |       |                     | X                             |
| 93.072 Lifespan Respite Care Program (B)   |            |       |           | X     |                     |                               |
| 93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)  |            | X     | X         | X     |                     |                               |
| 93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)                            |            | X     | X         | X     |                     | X                             |
| 93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)   |            |       | X         | X     |                     |                               |
| 93.090 Guardianship Assistance (A)   |            |       |           | X     |                     | X                             |
| 93.103 Food and Drug Administration Research (B)   |            | X     |           | X     | X                   | X                             |
| 93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)                   |            | X     |           | X     |                     |                               |
| 93.107 Model State-Supported Area Health Education Centers (B)   |            |       | X         | X     |                     |                               |
| 93.110 Maternal and Child Health Federal Consolidated Programs (B)   |            | X     | X         | X     |                     | X                             |
| 93.113 Environmental Health (B)  |            | X     | X         | X     |                     |                               |
| 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)   |            | X     |           | X     |                     |                               |
| 93.117 Grants for Preventive Medicine (B)  |            |       | X         | X     |                     |                               |
| 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)  |            | X     | X         | X     |                     |                               |
| 93.121 Oral Diseases and Disorders Research (B)  |            |       | X         |       |                     |                               |
| 93.123 Health Professions Pregraduate Scholarship Program for Indians (M)  |            |       |           |       |                     |                               |
| 93.124 Nurse Anesthetist Traineeships (A)  |            |       | X         | X     |                     |                               |
| 93.127 Emergency Medical Services for Children (B)   |            | X     | X         | X     |                     | X                             |
| 93.129 Technical and Non-Financial Assistance to Health Centers (B)  |            | X     | X         | X     |                     | X                             |
| 93.134 Grants to Increase Organ Donations (B)  |            |       | X         | X     |                     | X                             |
| 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)                                      |            |       | X         | X     |                     |                               |
| 93.136 Injury Prevention and Control Research and State and Community Based Programs (B)   |            | X     | X         | X     |                     |                               |
| 93.138 Protection and Advocacy for Individuals with Mental Illness (A)   |            | X     | X         | X     |                     |                               |
| 93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)   |            | X     | X         | X     |                     |                               |
| 93.143 NIEHS Superfund Hazardous Substances Basic Research and Education (B)   |            | X     | X         | X     |                     |                               |
| 93.145 AIDS Education and Training Centers (B)   |            | X     | X         | X     |                     |                               |
| 93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)  |            |       |           | X     |                     |                               |



# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)  |            | X     | X         | X     |                     |                               |
| 93.155 Rural Health Research Centers (B)  |            | X     | X         | X     |                     |                               |
| 93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)   |            |       | X         | X     |                     |                               |
| 93.157 Centers of Excellence (B)  |            |       | X         | X     |                     |                               |
| 93.161 Health Program for Toxic Substances and Disease Registry (B)   | X          | X     |           | X     |                     |                               |
| 93.162 National Health Service Corps Loan Repayment Program (C)   | X          |       |           |       |                     |                               |
| 93.164 Indian Health Service Educational Loan Repayment (C)   |            |       |           |       |                     |                               |
| 93.165 Grants to States for Loan Repayment Program (B)  |            |       |           | X     |                     |                               |
| 93.172 Human Genome Research (B)  | X          |       | X         |       |                     |                               |
| 93.173 Research Related to Deafness and Communication Disorders (B)   |            |       | X         |       |                     |                               |
| 93.178 Nursing Workforce Diversity (B)  |            | X     | X         | X     |                     |                               |
| 93.184 Disabilities Prevention (B)  |            | X     | X         | X     |                     | X                             |
| 93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)   |            | X     | X         | X     |                     |                               |
| 93.186 National Research Service Award in Primary Care Medicine (M)   |            | X     | X         | X     |                     |                               |
| 93.191 Allied Health Special Projects (B)   |            | X     | X         | X     |                     |                               |
| 93.193 Urban Indian Health Services (B)   |            |       |           |       |                     |                               |
| 93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)                         |            | X     | X         | X     |                     | X                             |
| 93.202 Capacity Building Among American Indian Tribes (B)   |            |       |           |       |                     | X                             |
| 93.204 Surveillance of Hazardous Substance Emergency Events (B)   |            |       |           | X     |                     | X                             |
| 93.209 Contraception and Infertility Research Loan Repayment Program (C)  |            |       |           |       |                     |                               |
| 93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)  |            |       |           |       |                     | X                             |
| 93.211 Telehealth Network Grants (B)  |            | X     | X         | X     |                     | X                             |
| 93.212 Chiropractic Demonstration Project Grants (B)  |            |       | X         |       |                     |                               |
| 93.213 Research and Training in Complementary and Alternative Medicine (B,M)  |            | X     | X         | X     |                     |                               |
| 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)  |            |       |           | X     | X                   |                               |
| 93.223 Development and Coordination of Rural Health Services (B)  |            | X     | X         | X     |                     | X                             |
| 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B) |            | X     | X         | X     |                     |                               |
| 93.225 National Research Service Awards_Health Services Research Training (B)   |            | X     | X         | X     |                     |                               |
| 93.226 Research on Healthcare Costs, Quality and Outcomes (B)   |            | X     | X         | X     |                     |                               |
| 93.228 Indian Health Service_Health Management Development Program (B)  |            |       |           |       |                     | X                             |
| 93.231 Epidemiology Cooperative Agreements (B)  |            | X     |           |       |                     | X                             |
| 93.232 Loan Repayment Program for General Research (B)  | X          |       |           | X     | X                   |                               |
| 93.233 National Center on Sleep Disorders Research (B)  | X          | X     | X         |       |                     |                               |
| 93.234 Traumatic Brain Injury State Demonstration Grant Program (B)   |            |       |           | X     |                     |                               |
| 93.235 Abstinence Education Program (A)   |            |       |           | X     |                     |                               |
| 93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)  |            | X     |           |       |                     | X                             |
| 93.240 State Capacity Building (B)  |            | X     |           | X     |                     |                               |
| 93.241 State Rural Hospital Flexibility Program (B)   |            |       |           | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 93.242 Mental Health Research Grants (B)  | X          | X     | X         | X     | X                   | X                             |
| 93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)  |            | X     | X         | X     |                     | X                             |
| 93.250 Geriatric Academic Career Awards (C)   | X          |       |           |       |                     |                               |
| 93.251 Universal Newborn Hearing Screening (B)  |            |       | X         | X     |                     |                               |
| 93.253 Poison Control Stabilization and Enhancement Grants (B)  |            |       |           | X     |                     |                               |
| 93.254 Infant Adoption Awareness Training (B)   |            | X     | X         | X     |                     |                               |
| 93.255 Children's Hospitals Graduate Medical Education Payment (C)  |            |       | X         | X     |                     |                               |
| 93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)   |            | X     | X         | X     |                     |                               |
| 93.259 Rural Access to Emergency Devices Grant (B)  |            | X     |           | X     |                     | X                             |
| 93.262 Occupational Safety and Health Program (B,M)   |            | X     |           | X     |                     |                               |
| 93.264 Nurse Faculty Loan Program (NFLP) (E)  |            |       | X         |       |                     |                               |
| 93.265 Comprehensive Geriatric Education Program(CGEP) (B)  |            |       | X         | X     |                     |                               |
| 93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B) |            |       | X         | X     |                     |                               |
| 93.267 State Grants for Protection and Advocacy Services (A)  |            |       |           | X     |                     |                               |
| 93.268 Immunization Grants (B)  |            | X     | X         | X     |                     |                               |
| 93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)   | X          | X     | X         | X     | X                   | X                             |
| 93.270 Adult Viral Hepatitis Prevention and Control (B)   | X          | X     | X         | X     | X                   | X                             |
| 93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)   |            | X     | X         | X     |                     |                               |
| 93.272 Alcohol National Research Service Awards for Research Training (B)   | X          |       |           |       |                     |                               |
| 93.273 Alcohol Research Programs (B)  | X          | X     | X         | X     |                     |                               |
| 93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)  |            | X     |           | X     |                     | X                             |
| 93.276 Drug-Free Communities Support Program Grants (B)   |            |       |           |       |                     |                               |
| 93.279 Drug Abuse and Addiction Research Programs (B,M)   | X          | X     | X         | X     |                     |                               |
| 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)  |            |       |           |       |                     |                               |
| 93.281 Mental Health Research Career/Scientist Development Awards (B)   | X          | X     | X         | X     |                     |                               |
| 93.282 Mental Health National Research Service Awards for Research Training (M)   | X          |       | X         |       |                     |                               |
| 93.283 Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)   | X          | X     | X         | X     |                     |                               |
| 93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)  |            |       | X         |       |                     | X                             |
| 93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)  |            |       |           |       |                     |                               |
| 93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)   |            |       | X         |       |                     |                               |
| 93.288 National Health Service Corps Scholarship Program (C)  | X          |       |           |       |                     |                               |
| 93.289 President's Council on Physical Fitness and Sports (K)   | X          | X     | X         | X     | X                   | X                             |
| 93.291 Surplus Property Utilization (H)   |            | X     | X         | X     |                     |                               |
| 93.300 National Center for Health Workforce Analysis (B)  |            | X     | X         | X     |                     |                               |
| 93.301 Small Rural Hospital Improvement Grant Program (B)   |            | X     | X         | X     |                     | X                             |
| 93.307 Minority Health and Health Disparities Research (B)  |            |       |           |       |                     |                               |
| 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C)  |            |       |           |       |                     |                               |
| 93.310 Trans-NIH Research Support (B,M)   |            | X     | X         | X     |                     |                               |
| 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)  |            |       | X         | X     |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 93.358 Advanced Education Nursing Traineeships (B)  |            | X     | X         | X     |                     | X                             |
| 93.359 Nurse Education, Practice and Retention Grants (B)   |            |       | X         |       |                     |                               |
| 93.361 Nursing Research (B)   | X          | X     | X         | X     |                     |                               |
| 93.364 Nursing Student Loans (E)  |            |       | X         |       |                     |                               |
| 93.365 Sickle Cell Treatment Demonstration Program (B)  |            |       | X         | X     |                     |                               |
| 93.389 National Center for Research Resources (B)   |            | X     | X         | X     |                     |                               |
| 93.393 Cancer Cause and Prevention Research (B)   |            | X     | X         | X     |                     |                               |
| 93.394 Cancer Detection and Diagnosis Research (B)  |            | X     | X         | X     |                     |                               |
| 93.395 Cancer Treatment Research (B)  |            | X     | X         | X     |                     |                               |
| 93.396 Cancer Biology Research (B)  |            | X     | X         | X     |                     |                               |
| 93.397 Cancer Centers Support Grants (B)  |            | X     | X         | X     |                     |                               |
| 93.398 Cancer Research Manpower (B)   |            |       | X         |       |                     |                               |
| 93.399 Cancer Control (B)   |            | X     | X         | X     |                     |                               |
| 93.400 National Health Service Corps Scholarship Program (C)  | X          |       |           |       |                     |                               |
| 93.401 ARRA - National Health Service Corps Loan Repayment (C)  |            |       |           |       |                     |                               |
| 93.402 ARRA - State Loan Repayment Program (C)  |            |       |           |       | X                   |                               |
| 93.403 ARRA - Training in Primary Care Medicine and Dentistry (B)                                       |            |       | X         | X     |                     |                               |
| 93.404 ARRA Dental Public Health Residency Training Grants (B)  |            |       | X         | X     |                     |                               |
| 93.405 ARRA - Public Health Traineeship Program (A)   |            |       | X         | X     |                     |                               |
| 93.406 Nursing Education Loan Repayment Program (NELRP) (C)   |            |       |           |       |                     |                               |
| 93.407 ARRA - Scholarships for Disadvantaged Students (B)   |            |       | X         | X     |                     |                               |
| 93.408 ARRA - Nurse Faculty Loan Program (B)  |            |       | X         | X     |                     |                               |
| 93.409 Faculty Loan Repayment Programs (C)  |            |       |           |       |                     |                               |
| 93.410 ARRA Licensure Portability Grant Program (B)   |            |       |           | X     |                     |                               |
| 93.411 ARRA Equipment to Enhance Training for Health Professionals (B)                                  |            |       | X         | X     |                     |                               |
| 93.412 ARRA - Preventive Medicine Residency Program (B)   |            |       | X         | X     |                     |                               |
| 93.414 ARRA - State Primary Care Offices (B)  |            |       | X         | X     |                     |                               |
| 93.415 ARRA - Centers of Excellence (B)   |            |       |           |       |                     |                               |
| 93.416 ARRA - Health Careers Opportunity Program (B)  |            |       |           |       |                     |                               |
| 93.417 ARRA - Nursing Workforce Diversity (B)   |            |       |           |       |                     |                               |
| 93.418 ARRA - Emergency Medical Services for Children (B)   |            |       |           | X     |                     |                               |
| 93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)                    |            |       |           |       |                     |                               |
| 93.441 Indian Self-Determination (C)  |            | X     |           |       |                     |                               |
| 93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)                        |            |       |           | X     |                     | X                             |
| 93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)          |            |       |           |       |                     | X                             |
| 93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)               |            |       |           |       |                     | X                             |
| 93.448 Food Safety and Security Monitoring Project (B)  |            | X     |           | X     |                     | X                             |
| 93.449 Ruminant Feed Ban Support Project (B)  |            | X     |           | X     |                     | X                             |
| 93.550 Transitional Living for Homeless Youth (B)   |            | X     | X         | X     |                     | X                             |
| 93.551 Abandoned Infants (B)  |            | X     | X         | X     |                     | X                             |
| 93.556 Promoting Safe and Stable Families (A,B)   |            |       |           | X     |                     | X                             |
| 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B) |            |       |           |       |                     |                               |
| 93.558 Temporary Assistance for Needy Families (A)  |            |       |           |       | X                   | X                             |
| 93.560 Family Support Payments to States_Assistance Payments (A)  |            |       |           |       | X                   |                               |
| 93.563 Child Support Enforcement (A)  |            |       |           | X     |                     |                               |
| 93.564 Child Support Enforcement Research (B)   |            |       |           | X     |                     |                               |
| 93.566 Refugee and Entrant Assistance_State Administered Programs (A)                                   |            |       |           | X     |                     |                               |
| 93.567 Refugee and Entrant Assistance_Voluntary Agency  |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| Programs (B)   |            |       |           |       |                     |                               |
| 93.568 Low-Income Home Energy Assistance (A)   |            |       | X         | X     |                     | X                             |
| 93.569 Community Services Block Grant (A)  |            |       |           | X     |                     | X                             |
| 93.570 Community Services Block Grant_Discretionary Awards (B)   |            |       | X         | X     |                     |                               |
| 93.575 Child Care and Development Block Grant (A)  |            |       |           |       | X                   | X                             |
| 93.576 Refugee and Entrant Assistance_Discretionary Grants (B)   |            | X     |           | X     |                     |                               |
| 93.579 U.S. Repatriation (B)   |            |       |           |       |                     |                               |
| 93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)                                   |            |       |           |       |                     | X                             |
| 93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)  |            |       |           | X     |                     |                               |
| 93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)   |            |       |           | X     |                     |                               |
| 93.586 State Court Improvement Program (A)   |            |       |           | X     |                     |                               |
| 93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)   |            |       |           |       |                     | X                             |
| 93.590 Community-Based Child Abuse Prevention Grants (A)   |            |       |           | X     |                     |                               |
| 93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A) |            |       |           |       |                     |                               |
| 93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)                         |            |       | X         |       |                     | X                             |
| 93.593 Job Opportunities for Low-Income Individuals (B)  |            |       | X         |       |                     |                               |
| 93.594 Tribal Work Grants (A)  |            |       |           |       |                     | X                             |
| 93.595 Welfare Reform Research, Evaluations and National Studies (B)   |            | X     | X         | X     |                     |                               |
| 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)  |            |       |           |       | X                   | X                             |
| 93.597 Grants to States for Access and Visitation Programs (B)   |            |       |           | X     |                     |                               |
| 93.598 Services to Victims of a Severe Form of Trafficking (B)   |            | X     | X         | X     |                     |                               |
| 93.599 Chafee Education and Training Vouchers Program (ETV) (A)  |            |       |           | X     |                     | X                             |
| 93.600 Head Start (B)  |            |       |           |       |                     |                               |
| 93.601 Child Support Enforcement Demonstrations and Special Projects (B)   |            | X     | X         | X     |                     |                               |
| 93.602 Assets for Independence Demonstration Program (B)   |            | X     | X         | X     |                     | X                             |
| 93.603 Adoption Incentive Payments (A)   |            |       |           | X     |                     |                               |
| 93.604 Assistance for Torture Victims (B)  |            |       | X         |       |                     |                               |
| 93.605 Family Connection Grants (B)  |            | X     | X         | X     |                     |                               |
| 93.612 Native American Programs (B)  |            |       |           |       |                     | X                             |
| 93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)   | X          | X     | X         | X     | X                   | X                             |
| 93.616 Mentoring Children of Prisoners (B)   |            | X     | X         | X     |                     | X                             |
| 93.617 Voting Access for Individuals with Disabilities_Grants to States (A)  |            |       |           | X     |                     |                               |
| 93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)                                |            |       |           | X     |                     |                               |
| 93.623 Basic Center Grant (B)  |            | X     | X         | X     |                     | X                             |
| 93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)  |            |       |           | X     |                     |                               |
| 93.631 Developmental Disabilities Projects of National Significance (B)  |            | X     |           | X     |                     |                               |
| 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)                          |            |       |           |       |                     |                               |
| 93.643 Children's Justice Grants to States (A)   |            |       |           | X     |                     |                               |
| 93.645 Child Welfare Services_State Grants (A)   |            |       |           | X     |                     | X                             |
| 93.647 Social Services Research and Demonstration (B)  |            |       | X         | X     |                     | X                             |
| 93.648 Child Welfare Research Training or Demonstration (B)  |            | X     | X         | X     |                     | X                             |
| 93.652 Adoption Opportunities (B)  |            | X     | X         | X     |                     |                               |
| 93.658   |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| Foster Care_ Title IV-E (A,B)   |            |       |           |       |                     |                               |
| 93.659 Adoption Assistance (A)  |            |       |           | X     |                     | X                             |
| 93.667 Social Services Block Grant (A)  |            |       |           | X     |                     |                               |
| 93.669 Child Abuse and Neglect State Grants (A)   |            |       |           | X     |                     |                               |
| 93.670 Child Abuse and Neglect Discretionary Activities (B)   |            | X     | X         | X     |                     |                               |
| 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_ Grants to States and Indian Tribes (A)           |            |       |           | X     |                     | X                             |
| 93.674 Chafee Foster Care Independence Program (A)  |            |       |           | X     |                     | X                             |
| 93.676 Unaccompanied Alien Children Program (B)   |            | X     |           | X     |                     |                               |
| 93.701 Trans-NIH Recovery Act Research Support (B)  |            |       |           |       |                     |                               |
| 93.702 National Center for Research Resources, Recovery Act Construction Support (B)  |            |       | X         |       |                     |                               |
| 93.703 ARRA Health Center Integrated Services Development Initiative[gl] (B)  |            |       | X         |       |                     | X                             |
| 93.704 Trans-NIH Recovery Act Loan Repayment Support (C)  |            |       |           |       |                     |                               |
| 93.705 Aging Home-Delivered Nutrition Services for States (A)   |            |       |           | X     |                     |                               |
| 93.706 Aging Nutrition Services for Native Americans (B)  |            |       |           |       |                     | X                             |
| 93.707 Aging Congregate Nutrition Services for States (A)   |            |       |           | X     |                     |                               |
| 93.708 ARRA - Head Start (B)  |            | X     | X         | X     |                     | X                             |
| 93.709 ARRA - Early Head Start (B)  |            | X     | X         | X     |                     | X                             |
| 93.710 ARRA - Community Services Block Grant (A)  |            |       |           | X     |                     | X                             |
| 93.711 ARRA Strengthening Communities Fund (B)  |            |       |           |       |                     | X                             |
| 93.712 ARRA - Immunization (B)  |            |       |           | X     |                     |                               |
| 93.713 ARRA Child Care and Development Block Grant (A)  |            |       |           |       | X                   | X                             |
| 93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)                           |            |       |           |       | X                   | X                             |
| 93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)   | X          | X     | X         | X     |                     | X                             |
| 93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)  |            |       |           |       |                     |                               |
| 93.717 ARRA - Preventing Healthcare-Associated Infections (B)   |            |       |           | X     |                     |                               |
| 93.718 Health Information Technology Regional Extension Centers Program (B)   |            |       |           |       |                     |                               |
| 93.719 ARRA - State Grants to Promote Health Information Technology (B)   |            |       |           | X     |                     |                               |
| 93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (A) |            |       |           | X     |                     |                               |
| 93.721 ARRA - Health Information Technology Professionals in Health Care (B)  |            |       | X         |       |                     |                               |
| 93.722 ARRA - IHS Tribal Agreements (B)   |            |       |           |       |                     | X                             |
| 93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)  |            |       |           |       |                     |                               |
| 93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)             |            |       |           |       |                     |                               |
| 93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)                                     |            |       |           |       | X                   |                               |
| 93.727 ARRA - Health Information Technology - Beacon Communities (B)  |            | X     | X         | X     | X                   | X                             |
| 93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)  |            |       | X         |       |                     |                               |
| 93.767 Children's Health Insurance Program (A)  |            |       |           | X     |                     |                               |
| 93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)                           |            |       |           | X     |                     |                               |
| 93.769 Demonstration to Maintain Independence and Employment (B)  |            |       |           | X     |                     |                               |
| 93.770 Medicare_Prescription Drug Coverage (C)  |            |       |           |       |                     |                               |
| 93.773 Medicare_Hospital Insurance (C)  | X          |       |           | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| 93.774 Medicare Supplementary Medical Insurance (C)  | X          |       |           |       |                     |                               |
| 93.777 State Survey and Certification of Health Care Providers and Suppliers (A)   |            |       |           | X     |                     |                               |
| 93.778 Medical Assistance Program (A)  |            | X     |           | X     |                     |                               |
| 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)                       |            |       | X         | X     |                     |                               |
| 93.780 Grants to States for Operation of Qualified High-Risk Pools (A)   |            |       |           | X     |                     |                               |
| 93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)                             |            |       | X         | X     |                     |                               |
| 93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)                                       |            |       |           | X     |                     |                               |
| 93.790 Alternate Non-Emergency Service Providers or Networks (B)   |            |       |           | X     |                     |                               |
| 93.791 Money Follows the Person Rebalancing Demonstration (B)  |            |       |           | X     |                     |                               |
| 93.793 Medicaid Transformation Grants (B)  |            |       |           | X     |                     |                               |
| 93.822 Health Careers Opportunity Program (B)  |            | X     | X         | X     |                     |                               |
| 93.824 Basic/Core Area Health Education Centers (B)  |            | X     | X         | X     |                     |                               |
| 93.837 Cardiovascular Diseases Research (B)  | X          | X     | X         |       |                     |                               |
| 93.838 Lung Diseases Research (B)  | X          | X     | X         |       |                     |                               |
| 93.839 Blood Diseases and Resources Research (B)   | X          | X     | X         |       |                     |                               |
| 93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)   | X          | X     | X         | X     |                     |                               |
| 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)  | X          | X     | X         | X     |                     |                               |
| 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)                                    | X          | X     | X         | X     | X                   |                               |
| 93.855 Allergy, Immunology and Transplantation Research (B)  | X          | X     | X         | X     |                     |                               |
| 93.856 Microbiology and Infectious Diseases Research (B)   | X          | X     | X         | X     |                     |                               |
| 93.859 Biomedical Research and Research Training (B)   | X          | X     | X         | X     |                     |                               |
| 93.865 Child Health and Human Development Extramural Research (B)  | X          | X     | X         | X     |                     |                               |
| 93.866 Aging Research (B)  | X          | X     | X         | X     | X                   | X                             |
| 93.867 Vision Research (B)   | X          |       | X         | X     |                     |                               |
| 93.879 Medical Library Assistance (B)  | X          | X     | X         | X     |                     |                               |
| 93.884 Grants for Training in Primary Care Medicine and Dentistry (B)  |            | X     | X         | X     |                     |                               |
| 93.887 Health Care and Other Facilities (B)  |            | X     | X         | X     |                     | X                             |
| 93.888 Specially Selected Health Projects (B)  |            | X     | X         | X     |                     | X                             |
| 93.889 National Bioterrorism Hospital Preparedness Program (B)   |            | X     |           | X     |                     |                               |
| 93.891 Alcohol Research Center Grants (B)  |            | X     | X         | X     |                     |                               |
| 93.908 Nursing Education Loan Repayment Program (C)  | X          |       |           |       |                     |                               |
| 93.912 Rural Health Care Services Outreach and Rural Health Network Development Program (B)                                |            | X     | X         | X     |                     | X                             |
| 93.913 Grants to States for Operation of Offices of Rural Health (B)   |            |       |           | X     |                     |                               |
| 93.914 HIV Emergency Relief Project Grants (B)   |            | X     | X         | X     |                     | X                             |
| 93.917 HIV Care Formula Grants (A)   |            |       |           | X     |                     |                               |
| 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)                            |            |       | X         |       |                     |                               |
| 93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)        |            |       |           | X     |                     | X                             |
| 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C) |            |       | X         | X     |                     |                               |
| 93.924 Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership (B,C)                                  |            |       | X         | X     |                     |                               |
| 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)                                     |            | X     | X         | X     |                     |                               |
| 93.926 Healthy Start Initiative (B)  |            | X     | X         | X     |                     | X                             |
| 93.928 Special Projects of National Significance (B)   |            | X     | X         | X     |                     | X                             |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 93.933 Demonstration Projects for Indian Health (B)   |            | X     | X         |       |                     | X                             |
| 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)   |            |       |           | X     | X                   |                               |
| 93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)                    |            |       | X         | X     |                     |                               |
| 93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)  |            |       | X         |       |                     |                               |
| 93.940 HIV Prevention Activities_Health Department Based (B)  |            | X     |           | X     |                     |                               |
| 93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)  |            | X     | X         | X     |                     |                               |
| 93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)  |            | X     | X         | X     |                     |                               |
| 93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B) |            | X     | X         | X     |                     |                               |
| 93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)  |            | X     |           | X     |                     |                               |
| 93.945 Assistance Programs for Chronic Disease Prevention and Control (B)   |            |       | X         | X     |                     |                               |
| 93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)  |            |       |           | X     |                     |                               |
| 93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)  |            | X     | X         | X     |                     |                               |
| 93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)   |            |       |           |       |                     | X                             |
| 93.958 Block Grants for Community Mental Health Services (A)  |            |       |           | X     |                     |                               |
| 93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)   |            |       |           | X     |                     | X                             |
| 93.964 Public Health Traineeships (A)   |            |       | X         | X     |                     |                               |
| 93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)  |            | X     | X         | X     |                     |                               |
| 93.970 Health Professions Recruitment Program for Indians (M)   |            | X     | X         |       |                     | X                             |
| 93.971 Health Professions Preparatory Scholarship Program for Indians (M)   | X          |       |           |       |                     |                               |
| 93.972 Health Professions Scholarship Program (M)   | X          |       |           |       |                     |                               |
| 93.975 National All Schedules Prescription Electronic Reporting Grant (A)   |            |       |           | X     |                     |                               |
| 93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)  |            | X     |           | X     |                     |                               |
| 93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)                             |            | X     | X         | X     |                     |                               |
| 93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)  |            | X     | X         | X     |                     |                               |
| 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)  |            |       |           | X     |                     |                               |
| 93.989 International Research and Research Training (B,M)   | X          |       |           |       |                     |                               |
| 93.991 Preventive Health and Health Services Block Grant (A)  |            |       |           | X     |                     | X                             |
| 93.993 Public Health Research Accreditation Project (B)   |            |       | X         |       |                     |                               |
| 93.994 Maternal and Child Health Services Block Grant to the States (A)   |            |       |           | X     |                     |                               |

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

|   |  |   |   |   |   |   |
|---|--|---|---|---|---|---|
| 94.017 Senior Demonstration Program (B)   |  | X | X | X |   |   |
| 94.018 Learn and Serve America Innovative Community-Based Service-Learning Programs (B) |  | X | X | X | X | X |

## SOCIAL SECURITY ADMINISTRATION

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 96.021 Social Security Economic Recovery Act Payments (D)   | X          | X     | X         | X     | X                   | X                             |
| <b>DEPARTMENT OF HOMELAND SECURITY</b>  |            |       |           |       |                     |                               |
| 97.004 State Domestic Preparedness Equipment Support Program (B)  |            |       |           |       |                     |                               |
| 97.005 State and Local Homeland Security Training Program (B)   |            |       |           |       |                     |                               |
| 97.007 Homeland Security Preparedness Technical Assistance Program (B)  |            |       |           |       |                     |                               |
| 97.008 Urban Areas Security Initiative (B)  |            | X     |           |       |                     |                               |
| 97.009 Cuban/Haitian Entrant Program (B)  | X          |       | X         |       |                     |                               |
| 97.010 Citizenship Education and Training (B)   |            |       | X         |       |                     |                               |
| 97.011 Boating Safety (J,K,L,M)   | X          |       |           |       |                     |                               |
| 97.012 Boating Safety Financial Assistance (A)  |            |       |           |       |                     |                               |
| 97.013 State Access to the Oil Spill Liability Trust Fund (B)   |            |       |           | X     |                     |                               |
| 97.015 Secret Service Training Activities (M)   |            |       |           |       |                     |                               |
| 97.016 Reimbursement for Firefighting on Federal Property (C)   |            |       |           | X     |                     |                               |
| 97.018 National Fire Academy Training Assistance (C)  |            |       | X         |       |                     |                               |
| 97.019 National Fire Academy Educational Program (M)  |            |       |           |       |                     |                               |
| 97.020 Hazardous Materials Training Program (B)   |            |       |           |       |                     | X                             |
| 97.021 Hazardous Materials Assistance Program (B)   |            | X     |           |       |                     | X                             |
| 97.022 Flood Insurance (G)  |            | X     |           |       |                     |                               |
| 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)                                 |            |       |           |       |                     |                               |
| 97.024 Emergency Food and Shelter National Board Program (B)  |            |       |           |       |                     |                               |
| 97.025 National Urban Search and Rescue (US&R) Response System (B)  |            |       |           |       |                     |                               |
| 97.026 Emergency Management Institute Training Assistance (C)   |            | X     |           |       |                     |                               |
| 97.027 Emergency Management Institute (EMI) Independent Study Program (M)   |            | X     |           |       |                     |                               |
| 97.028 Emergency Management Institute (EMI) Resident Educational Program (M)                                      |            | X     |           | X     |                     |                               |
| 97.029 Flood Mitigation Assistance (B)  |            | X     | X         | X     |                     | X                             |
| 97.030 Community Disaster Loans (E)   |            | X     |           |       |                     |                               |
| 97.031 Cora Brown Fund (C)  | X          |       |           |       |                     |                               |
| 97.032 Crisis Counseling (B)  |            |       |           |       |                     |                               |
| 97.033 Disaster Legal Services (C)  |            |       |           |       |                     |                               |
| 97.034 Disaster Unemployment Assistance (C,J)   |            |       |           |       |                     |                               |
| 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)                                |            | X     |           | X     |                     |                               |
| 97.039 Hazard Mitigation Grant (B)  |            | X     | X         | X     |                     | X                             |
| 97.040 Chemical Stockpile Emergency Preparedness Program (B)  |            | X     |           |       |                     |                               |
| 97.041 National Dam Safety Program (B)  |            |       |           |       |                     |                               |
| 97.042 Emergency Management Performance Grants (A)  |            |       |           | X     |                     |                               |
| 97.043 State Fire Training Systems Grants (B)   |            |       |           |       |                     |                               |
| 97.044 Assistance to Firefighters Grant (B)   |            | X     |           |       |                     |                               |
| 97.045 Cooperating Technical Partners (B)   |            |       |           | X     |                     | X                             |
| 97.046 Fire Management Assistance Grant (B,J)   |            |       |           | X     |                     | X                             |
| 97.047 Pre-Disaster Mitigation (B)  |            | X     |           | X     |                     | X                             |
| 97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)    | X          |       |           |       |                     |                               |
| 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C) | X          |       |           |       |                     |                               |
| 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)                  | X          |       |           |       |                     |                               |
| 97.052 Emergency Operations Centers (B)   |            |       |           |       |                     |                               |
| 97.053 Citizen Corps (B)  |            |       |           |       |                     |                               |
| 97.055 Interoperable Communications Equipment (B)   |            | X     |           |       |                     |                               |
| 97.056 Port Security Grant Program (B)  |            |       |           |       |                     |                               |



# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 97.057 Intercity Bus Security Grants (B)  |            |       | X         |       |                     |                               |
| 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)  |            |       | X         |       |                     |                               |
| 97.059 Truck Security Program (B)   |            |       | X         |       |                     |                               |
| 97.060 Port Security Research and Development Grant (B)   |            |       |           |       |                     |                               |
| 97.061 Centers for Homeland Security (B)  |            |       | X         |       |                     |                               |
| 97.062 Scholars and Fellows, and Educational Programs (B,C)   |            |       |           |       |                     |                               |
| 97.064 Debris Removal Insurance (G)   |            |       |           | X     |                     |                               |
| 97.065 Homeland Security Advanced Research Projects Agency (B)  |            |       | X         |       |                     |                               |
| 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)                     |            |       |           |       |                     |                               |
| 97.067 Homeland Security Grant Program (A)  |            | X     |           | X     |                     |                               |
| 97.068 Competitive Training Grants (B)  |            |       |           |       |                     |                               |
| 97.069 Aviation Research Grants (B,I)   |            |       | X         |       |                     |                               |
| 97.070 Map Modernization Management Support (B)   |            | X     |           | X     |                     |                               |
| 97.071 Metropolitan Medical Response System (B)   |            | X     |           | X     |                     |                               |
| 97.072 National Explosives Detection Canine Team Program (B)  |            |       |           |       |                     |                               |
| 97.073 State Homeland Security Program (SHSP) (A)   |            |       |           |       |                     |                               |
| 97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)   |            |       |           |       |                     |                               |
| 97.075 Rail and Transit Security Grant Program (B)  |            |       |           |       |                     |                               |
| 97.076 National Center for Missing and Exploited Children (NCMEC) (B)   |            |       |           |       |                     |                               |
| 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L) |            | X     | X         | X     |                     |                               |
| 97.078 Buffer Zone Protection Program (BZPP) (B)  |            | X     |           | X     |                     | X                             |
| 97.079 Public Alert Radios for Schools (B)  |            |       |           |       |                     |                               |
| 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)          |            | X     | X         | X     |                     | X                             |
| 97.081 Law Enforcement Training and Technical Assistance (J,M)  |            | X     |           | X     |                     | X                             |
| 97.082 Earthquake Consortium (B)  |            |       |           |       |                     |                               |
| 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)  |            | X     |           |       |                     |                               |
| 97.084 Hurricane Katrina Case Management Initiative Program (B)   |            |       |           |       |                     |                               |
| 97.085 9/11 Heroes Stamp Program (D)  | X          |       |           |       |                     |                               |
| 97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)  |            | X     | X         | X     |                     | X                             |
| 97.087 Alternative Housing Pilot Program (B)  |            |       |           | X     |                     |                               |
| 97.088 Disaster Assistance Projects (B)   | X          | X     | X         | X     |                     | X                             |
| 97.089 Real ID Program (B)  |            |       |           | X     |                     |                               |
| 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)  |            |       |           |       |                     |                               |
| 97.091 Homeland Security Biowatch Program (B,I)   |            | X     |           | X     |                     |                               |
| 97.092 Repetitive Flood Claims (B)  |            |       |           | X     |                     | X                             |
| 97.093 Fire Service Hazardous Materials Preparedness and Response (B)   |            |       |           |       |                     |                               |
| 97.094 Prevention Advocacy Resources and Data Exchange Program (B)  |            |       |           | X     |                     |                               |
| 97.095 Safe Kids Worldwide (B)  |            |       | X         |       |                     |                               |
| 97.096 Commercial Equipment Direct Assistance Program (CEDAP) (H)   |            | X     |           |       |                     |                               |
| 97.097 Training Resource and Data Exchange (B)  |            |       |           |       |                     |                               |
| 97.098 Disaster Donations Management Program (B)  |            | X     |           | X     |                     |                               |
| 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)   |            |       |           |       |                     |                               |
| 97.100 Airport Checked Baggage Screening Program (C)  |            | X     |           |       |                     |                               |
| 97.103 Degrees at a Distance Program (B)  |            |       | X         |       |                     |                               |
| 97.104 Homeland Security-related Science, Technology,   |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| Engineering and Mathematics (HS STEM) Career Development Program (B)   |            |       |           |       |                     |                               |
| 97.105 Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B) | X          | X     | X         | X     | X                   | X                             |
| 97.106 Securing the Cities (B,H,I,L)   |            |       |           |       |                     |                               |
| 97.107 National Incident Management System (NIMS) (B)  |            | X     | X         | X     |                     | X                             |
| 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)                                       | X          | X     | X         | X     |                     | X                             |
| 97.109 Disaster Housing Assistance Grant (B)   | X          |       |           |       |                     |                               |
| 97.110 Severe Loss Repetitive Program (B)  |            | X     |           |       |                     | X                             |
| 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)  |            | X     |           | X     |                     |                               |
| 97.112 Border Infrastructure Improvement Projects (B)  |            | X     |           |       |                     |                               |
| 97.113 Rail and Transit Security Grant Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.115 Assistance to Firefighters Grant (ARRA) (B)   |            | X     |           |       |                     |                               |
| 97.116 Port Security Grant Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.118 Advanced Surveillance Program (ASP) (B)   |            |       |           |       |                     |                               |
| 97.119 2010 Olympics First Responder Training (B)  |            |       |           |       |                     |                               |

## DEPARTMENT OF HOMELAND SECURITY

|   |   |   |   |   |  |   |
|---|---|---|---|---|--|---|
| 97.004 State Domestic Preparedness Equipment Support Program (B)                  |   |   |   |   |  |   |
| 97.005 State and Local Homeland Security Training Program (B)                     |   |   |   |   |  |   |
| 97.007 Homeland Security Preparedness Technical Assistance Program (B)            |   |   |   |   |  |   |
| 97.008 Urban Areas Security Initiative (B)  |   | X |   |   |  |   |
| 97.009 Cuban/Haitian Entrant Program (B)  | X |   | X |   |  |   |
| 97.010 Citizenship Education and Training (B)                                     |   |   | X |   |  |   |
| 97.011 Boating Safety (J,K,L,M)   | X |   |   |   |  |   |
| 97.012 Boating Safety Financial Assistance (A)                                    |   |   |   |   |  |   |
| 97.013 State Access to the Oil Spill Liability Trust Fund (B)                     |   |   |   | X |  |   |
| 97.015 Secret Service Training Activities (M)                                     |   |   |   |   |  |   |
| 97.016 Reimbursement for Firefighting on Federal Property (C)                     |   |   |   | X |  |   |
| 97.018 National Fire Academy Training Assistance (C)                              |   |   | X |   |  |   |
| 97.019 National Fire Academy Educational Program (M)                              |   |   |   |   |  |   |
| 97.020 Hazardous Materials Training Program (B)                                   |   |   |   |   |  | X |
| 97.021 Hazardous Materials Assistance Program (B)                                 |   | X |   |   |  | X |
| 97.022 Flood Insurance (G)  |   | X |   |   |  |   |
| 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B) |   |   |   |   |  |   |
| 97.024 Emergency Food and Shelter National Board Program (B)                      |   |   |   |   |  |   |
| 97.025 National Urban Search and Rescue (US&R) Response System (B)                |   |   |   |   |  |   |
| 97.026 Emergency Management Institute Training Assistance (C)                     |   | X |   |   |  |   |
| 97.027 Emergency Management Institute (EMI) Independent Study Program (M)         |   | X |   |   |  |   |
| 97.028 Emergency Management Institute (EMI) Resident Educational Program (M)      |   | X |   | X |  |   |
| 97.029 Flood Mitigation Assistance (B)  |   | X | X | X |  | X |
| 97.030 Community Disaster Loans (E)   |   | X |   |   |  |   |
| 97.031 Cora Brown Fund (C)  | X |   |   |   |  |   |
| 97.032 Crisis Counseling (B)  |   |   |   |   |  |   |
| 97.033 Disaster Legal Services (C)  |   |   |   |   |  |   |
| 97.034 Disaster Unemployment Assistance (C,J)                                     |   |   |   |   |  |   |

# APPLICANT ELIGIBILITY INDEX

| Program Description   | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|---|------------|-------|-----------|-------|---------------------|-------------------------------|
| 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)  |            | X     |           | X     |                     |                               |
| 97.039 Hazard Mitigation Grant (B)  |            | X     | X         | X     |                     | X                             |
| 97.040 Chemical Stockpile Emergency Preparedness Program (B)  |            | X     |           |       |                     |                               |
| 97.041 National Dam Safety Program (B)  |            |       |           |       |                     |                               |
| 97.042 Emergency Management Performance Grants (A)  |            |       |           | X     |                     |                               |
| 97.043 State Fire Training Systems Grants (B)   |            |       |           |       |                     |                               |
| 97.044 Assistance to Firefighters Grant (B)   |            | X     |           |       |                     |                               |
| 97.045 Cooperating Technical Partners (B)   |            |       |           | X     |                     | X                             |
| 97.046 Fire Management Assistance Grant (B,J)   |            |       |           | X     |                     | X                             |
| 97.047 Pre-Disaster Mitigation (B)  |            | X     |           | X     |                     | X                             |
| 97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)                  | X          |       |           |       |                     |                               |
| 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)               | X          |       |           |       |                     |                               |
| 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)                                | X          |       |           |       |                     |                               |
| 97.052 Emergency Operations Centers (B)   |            |       |           |       |                     |                               |
| 97.053 Citizen Corps (B)  |            |       |           |       |                     |                               |
| 97.055 Interoperable Communications Equipment (B)   |            | X     |           |       |                     |                               |
| 97.056 Port Security Grant Program (B)  |            |       |           |       |                     |                               |
| 97.057 Intercity Bus Security Grants (B)  |            |       | X         |       |                     |                               |
| 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)  |            |       | X         |       |                     |                               |
| 97.059 Truck Security Program (B)   |            |       | X         |       |                     |                               |
| 97.060 Port Security Research and Development Grant (B)   |            |       |           |       |                     |                               |
| 97.061 Centers for Homeland Security (B)  |            |       | X         |       |                     |                               |
| 97.062 Scholars and Fellows, and Educational Programs (B,C)   |            |       |           |       |                     |                               |
| 97.064 Debris Removal Insurance (G)   |            |       |           | X     |                     |                               |
| 97.065 Homeland Security Advanced Research Projects Agency (B)  |            |       | X         |       |                     |                               |
| 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)                     |            |       |           |       |                     |                               |
| 97.067 Homeland Security Grant Program (A)  |            | X     |           | X     |                     |                               |
| 97.068 Competitive Training Grants (B)  |            |       |           |       |                     |                               |
| 97.069 Aviation Research Grants (B,I)   |            |       | X         |       |                     |                               |
| 97.070 Map Modernization Management Support (B)   |            | X     |           | X     |                     |                               |
| 97.071 Metropolitan Medical Response System (B)   |            | X     |           | X     |                     |                               |
| 97.072 National Explosives Detection Canine Team Program (B)  |            |       |           |       |                     |                               |
| 97.073 State Homeland Security Program (SHSP) (A)   |            |       |           |       |                     |                               |
| 97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)   |            |       |           |       |                     |                               |
| 97.075 Rail and Transit Security Grant Program (B)  |            |       |           |       |                     |                               |
| 97.076 National Center for Missing and Exploited Children (NCMEC) (B)   |            |       |           |       |                     |                               |
| 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L) |            | X     | X         | X     |                     |                               |
| 97.078 Buffer Zone Protection Program (BZPP) (B)  |            | X     |           | X     |                     | X                             |
| 97.079 Public Alert Radios for Schools (B)  |            |       |           |       |                     |                               |
| 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)          |            | X     | X         | X     |                     | X                             |
| 97.081 Law Enforcement Training and Technical Assistance (J,M)  |            | X     |           | X     |                     | X                             |
| 97.082 Earthquake Consortium (B)  |            |       |           |       |                     |                               |
| 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)  |            | X     |           |       |                     |                               |
| 97.084 Hurricane Katrina Case Management Initiative Program (B)   |            |       |           |       |                     |                               |
| 97.085 9/11 Heroes Stamp Program (D)  | X          |       |           |       |                     |                               |
| 97.086 Homeland Security Outreach, Education, and Technical   |            |       |           |       |                     |                               |

# APPLICANT ELIGIBILITY INDEX

| Program Description  | Individual | Local | NonProfit | State | U.S.<br>Territories | Federal Tribal<br>Governments |
|--|------------|-------|-----------|-------|---------------------|-------------------------------|
| Assistance (B,L)   |            |       |           |       |                     |                               |
| 97.087 Alternative Housing Pilot Program (B)   |            |       |           | X     |                     |                               |
| 97.088 Disaster Assistance Projects (B)  | X          | X     | X         | X     |                     | X                             |
| 97.089 Real ID Program (B)   |            |       |           | X     |                     |                               |
| 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)   |            |       |           |       |                     |                               |
| 97.091 Homeland Security Biowatch Program (B,I)  |            | X     |           | X     |                     |                               |
| 97.092 Repetitive Flood Claims (B)   |            |       |           | X     |                     | X                             |
| 97.093 Fire Service Hazardous Materials Preparedness and Response (B)  |            |       |           |       |                     |                               |
| 97.094 Prevention Advocacy Resources and Data Exchange Program (B)   |            |       |           | X     |                     |                               |
| 97.095 Safe Kids Worldwide (B)   |            |       | X         |       |                     |                               |
| 97.096 Commercial Equipment Direct Assistance Program (CEDAP) (H)  |            | X     |           |       |                     |                               |
| 97.097 Training Resource and Data Exchange (B)   |            |       |           |       |                     |                               |
| 97.098 Disaster Donations Management Program (B)   |            | X     |           | X     |                     |                               |
| 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)  |            |       |           |       |                     |                               |
| 97.100 Airport Checked Baggage Screening Program (C)   |            | X     |           |       |                     |                               |
| 97.103 Degrees at a Distance Program (B)   |            |       | X         |       |                     |                               |
| 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)                 |            |       |           |       |                     |                               |
| 97.105 Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B) | X          | X     | X         | X     | X                   | X                             |
| 97.106 Securing the Cities (B,H,I,L)   |            |       |           |       |                     |                               |
| 97.107 National Incident Management System (NIMS) (B)  |            | X     | X         | X     |                     | X                             |
| 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)                                       | X          | X     | X         | X     |                     | X                             |
| 97.109 Disaster Housing Assistance Grant (B)   | X          |       |           |       |                     |                               |
| 97.110 Severe Loss Repetitive Program (B)  |            | X     |           |       |                     | X                             |
| 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)  |            | X     |           | X     |                     |                               |
| 97.112 Border Infrastructure Improvement Projects (B)  |            | X     |           |       |                     |                               |
| 97.113 Rail and Transit Security Grant Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.115 Assistance to Firefighters Grant (ARRA) (B)   |            | X     |           |       |                     |                               |
| 97.116 Port Security Grant Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)  |            |       |           |       |                     |                               |
| 97.118 Advanced Surveillance Program (ASP) (B)   |            |       |           |       |                     |                               |
| 97.119 2010 Olympics First Responder Training (B)  |            |       |           |       |                     |                               |
|  |            | X     | X         | X     |                     | X                             |

# DEADLINES INDEX

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

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## NOVEMBER 15, 2008

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

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

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## DECEMBER 22, 2008

10.055 Direct and Counter-cyclical Payments Program (C)

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## JANUARY 01, 2009

91.001 Annual Grant Competition (B)

91.002 Priority Grant Competition (B)

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## JANUARY 12, 2009

85.104 Life Sciences Awards (D)

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## JANUARY 15, 2009

93.103 Food and Drug Administration\_Research (B)

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## JANUARY 30, 2009

93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)

---

## JANUARY 31, 2009

20.106 Airport Improvement Program (B,K)

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

---

## FEBRUARY 01, 2009

93.172 Human Genome Research (B)

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

93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)

93.397 Cancer Centers Support Grants (B)

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## FEBRUARY 09, 2009

85.102 Christopher Columbus Awards (B)

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## FEBRUARY 11, 2009

10.156 Federal-State Marketing Improvement Program (B)

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## FEBRUARY 15, 2009

10.559 Summer Food Service Program for Children (A)

20.602 Occupant Protection Incentive Grants (B)

93.778 Medical Assistance Program (A)

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## FEBRUARY 16, 2009

20.215 Highway Training and Education (B,M)

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## FEBRUARY 25, 2009

20.814 Assistance to Small Shipyards (C)

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## MARCH 01, 2009

15.042 Indian School Equalization Program (C)

15.044 Indian Schools\_Student Transportation (C)

20.215 Highway Training and Education (B,M)

20.609 Safety Belt Performance Grants (B)

85.500 James Madison Memorial Fellowship Program (B)

93.703 ARRA Health Center Integrated Services Development Initiative[g1] (B)

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## MARCH 02, 2009

85.103 Freida J. Riley Teacher Award (D)

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## MARCH 11, 2009

93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)

93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)

---

## MARCH 17, 2009

66.708 Pollution Prevention Grants Program (B)

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## MARCH 19, 2009

84.402 Consolidated Grants to the Outlying Areas, Recovery Act (A)

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## MARCH 23, 2009

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

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## MARCH 25, 2009

93.612 Native American Programs (B)

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## MARCH 31, 2009

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

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## APRIL 01, 2009

15.619 Rhinoceros and Tiger Conservation Fund (B)

15.620 African Elephant Conservation Fund (B)

15.621 Asian Elephant Conservation Fund (B)

15.629 Great Apes Conservation Fund (B)

20.215 Highway Training and Education (B,M)

81.104 Office of Environmental Waste Processing (B)

84.027 Special Education\_Grants to States (A)

84.393 Special Education - Grants for Infants and Families, Recovery Act (A)

93.123 Health Professions Pregraduate Scholarship Program for Indians (M)

93.971 Health Professions Preparatory Scholarship Program for Indians (M)

93.972 Health Professions Scholarship Program (M)

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## APRIL 05, 2009

93.103 Food and Drug Administration\_Research (B)

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

93.307 Minority Health and Health Disparities Research (B)

93.396 Cancer Biology Research (B)

93.396 Cancer Biology Research (B)

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## APRIL 10, 2009

15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)

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## APRIL 15, 2009

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

19.421 Academic Exchange Programs - English Language Programs (B)

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

93.103 Food and Drug Administration\_Research (B)

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## APRIL 16, 2009

66.708 Pollution Prevention Grants Program (B)

# DEADLINES INDEX

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## APRIL 29, 2009

14.250 Rural Housing and Economic Development (B)

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## MAY 01, 2009

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

17.600 Mine Health and Safety Grants (B)

34.002 Labor Management Cooperation (B)

---

## MAY 06, 2009

14.253 Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (A)

14.254 Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (B)

14.255 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A)

---

## MAY 08, 2009

93.708 ARRA - Head Start (B)

93.709 ARRA - Early Head Start (B)

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## MAY 11, 2009

17.267 Incentive Grants - WIA Section 503 (A,B)

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## MAY 12, 2009

11.559 Low-Power Television and Translator Upgrade Program (B)

---

## MAY 15, 2009

66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)

66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)

66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)

66.816 Headquarters and Regional Underground Storage Tanks Program (B)

93.066 State Vital Statistics Improvement Program (B)

---

## MAY 22, 2009

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

14.905 Lead Hazard Reduction Demonstration Grant Program (B)

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## MAY 29, 2009

14.250 Rural Housing and Economic Development (B)

85.101 Homeland Security Award (D)

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## MAY 31, 2009

11.469 Congressionally Identified Awards and Projects (B)

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## JUNE 01, 2009

10.055 Direct and Counter-cyclical Payments Program (C)

11.443 Short Term Climate Fluctuations (B)

15.043 Indian Child and Family Education (B,M)

21.006 Tax Counseling for the Elderly (B)

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

66.456 National Estuary Program (B)

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

93.397 Cancer Centers Support Grants (B)

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## JUNE 05, 2009

14.253 Community Development Block Grant ARRA Entitlement Grants

(CDBG-R)(Recovery Act Funded) (A)

14.254 Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (B)

14.255 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A)

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## JUNE 09, 2009

66.717 Source Reduction Assistance (B)

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## JUNE 12, 2009

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## JUNE 15, 2009

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## JUNE 16, 2009

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

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

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

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## JUNE 23, 2009

93.708 ARRA - Head Start (B)

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## JUNE 24, 2009

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## JUNE 25, 2009

17.267 Incentive Grants - WIA Section 503 (A,B)

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## JUNE 26, 2009

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

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## JUNE 29, 2009

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

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## JUNE 30, 2009

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12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)

66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)

93.599 Chafee Education and Training Vouchers Program (ETV) (A)

93.645 Child Welfare Services\_State Grants (A)

93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (A)

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## JULY 01, 2009

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- 20.609 Safety Belt Performance Grants (B)
- 20.611 Incentive Grant Program to Prohibit Racial Profiling (B)
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- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
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## JULY 03, 2009

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## JULY 07, 2009

- 21.008 Low Income Taxpayer Clinics (B)

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## JULY 09, 2009

- 93.709 ARRA - Early Head Start (B)

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## JULY 13, 2009

- 11.559 Low-Power Television and Translator Upgrade Program (B)

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## JULY 15, 2009

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## JULY 17, 2009

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## JULY 20, 2009

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- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)
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## AUGUST 03, 2009

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## AUGUST 05, 2009

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## AUGUST 14, 2009

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

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## AUGUST 18, 2009

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## AUGUST 26, 2009

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## AUGUST 30, 2009

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## SEPTEMBER 15, 2009

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

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93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)

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10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)

## SEPTEMBER 30, 2009

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20.700 Pipeline Safety Program Base Grants (A)

## OCTOBER 01, 2009

10.761 Technical Assistance and Training Grants (B)

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

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93.067 Global AIDS (B)

93.121 Oral Diseases and Disorders Research (B)

93.185 Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects (B)

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

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93.273 Alcohol Research Programs (B)

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## OCTOBER 07, 2009

45.163 Promotion of the Humanities\_Professional Development (B)

## OCTOBER 15, 2009

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## OCTOBER 29, 2009

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## OCTOBER 30, 2009

81.089 Fossil Energy Research and Development (B)

## NOVEMBER 01, 2009

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15.424 Marine Minerals Activities (B)

93.791 Money Follows the Person Rebalancing Demonstration (B)

## NOVEMBER 04, 2009

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

## NOVEMBER 15, 2009

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

14.218 Community Development Block Grants/Entitlement Grants (A)

14.239 Home Investment Partnerships Program (A)

20.721 PHMSA Pipeline Safety Program One Call Grant (B)

93.566 Refugee and Entrant Assistance\_State Administered Programs (A)

93.778 Medical Assistance Program (A)

## NOVEMBER 19, 2009

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

## DECEMBER 01, 2009

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

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

66.817 State and Tribal Response Program Grants (A)

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93.891 Alcohol Research Center Grants (B)

## DECEMBER 05, 2009

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## DECEMBER 15, 2009

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

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## JANUARY 29, 2010

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## **JANUARY 31, 2010**

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## **FEBRUARY 24, 2010**

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85.401 Morris K. Udall Fellowship Program (C)

## **MARCH 01, 2010**

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20.807 U.S. Merchant Marine Academy (M)

## **MARCH 02, 2010**

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45.163 Promotion of the Humanities\_Professional Development (B)  
45.163 Promotion of the Humanities\_Professional Development (B)  
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## **MARCH 16, 2010**

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## **MAY 01, 2010**

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

## **MAY 14, 2010**

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

## **MAY 15, 2010**

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17.309 Labor Organization Reports (K,L,N)

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## **JUNE 30, 2010**

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93.674 Chafee Foster Care Independence Program (A)

## **JULY 01, 2010**

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## **AUGUST 15, 2010**

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## **AUGUST 16, 2010**

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## **SEPTEMBER 30, 2010**

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10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)

## **NOVEMBER 15, 2010**

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

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
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- 10.225 Community Food Projects (B)
- 10.682 National Forest Foundation (C)
- 10.683 National Fish and Wildlife Foundation (C)
- 10.689 Community Forest and Open Space Conservation Program (CFP) (B)
- 10.690 Lake Tahoe Erosion Control Grant Program (B)
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- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)
- 15.518 Garrison Diversion Unit (B)
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- 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)
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- 10.086 Aquaculture Grants Program (AGP) (A)
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- 10.163 Market Protection and Promotion (J,K,M)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
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- 10.167 Transportation Services (K,M)
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- 10.169 Specialty Crop Block Grant Program (B)
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- 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
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- 10.207 Animal Health and Disease Research (A)
- 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)
- 10.212 Small Business Innovation Research (B)
- 10.215 Sustainable Agriculture Research and Education (B)
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This index identifies those CFDA programs that are funded in whole or in part by the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5, the stimulus plan designed to reinvigorate the economy.

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# Program Descriptions Not Updated for FY 2009

This index lists those CFDA programs previously published in the FY 2008 Catalog, but were not updated by their issuing agencies in FY 2009. The FY 2008 program descriptions can be found on the CFDA web site at [www.cfda.gov](http://www.cfda.gov), but do not appear elsewhere in this Catalog. Please contact the issuing agency for further information on the programs listed below.

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 11.449 Independent Education and Science Projects and Programs (B)  
 11.477 Fisheries Disaster Relief (B)  
 11.550 Public Telecommunications Facilities Planning and Construction (B)  
 11.554 Low-Power Television and Translator Digital-to-Analog Conversion (B)  
 11.555 Public Safety Interoperable Communications Grant Program (B)  
 11.556 TV Converter Box Coupon Program (C)  
 11.601 Calibration Program (J)  
 11.603 National Standard Reference Data System (H)  
 11.604 Standard Reference Materials (H)  
 11.606 Weights and Measures Service (J,K,L,M)  
 11.610 National Center for Standards and Certification Information (L)  
 11.617 Congressionally-Identified Projects (B)  
 11.650 National Technical Information Service (L)  
 11.702 Internship Program for Postsecondary Students (B)  
 11.800 Minority Business Enterprise Centers (B)  
 11.801 Native American Business Enterprise Centers (B)  
 11.803 Minority Business Opportunity Center (MBOC) (B)  
 11.900 Patent and Trademark Technical Information Dissemination (L)

### DEPARTMENT OF DEFENSE

12.002 Procurement Technical Assistance For Business Firms (B)  
 12.100 Aquatic Plant Control (J,L)  
 12.101 Beach Erosion Control Projects (J)  
 12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (J)  
 12.103 Emergency Operations Flood Response and Post Flood Response (J)  
 12.104 Flood Plain Management Services (K,L)  
 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)  
 12.106 Flood Control Projects (J)  
 12.107 Navigation Projects (J)  
 12.108 Snagging and Clearing for Flood Control (J)  
 12.109 Protection, Clearing and Straightening Channels (J)  
 12.110 Planning Assistance to States (J)  
 12.111 Emergency Advance Measures for Flood Prevention (J)  
 12.112 Payments to States in Lieu of Real Estate Taxes (A)  
 12.113 State Memorandum of Agreement Program for the Reimbursement of Technical Services (B)  
 12.114 Collaborative Research and Development (B)  
 12.116 Department of Defense Appropriation Act of 2003 (J)  
 12.300 Basic and Applied Scientific Research (B)  
 12.350 Department of Defense HIV/AIDS Prevention Program (B)  
 12.351 Basic Scientific Research - Combating Weapons of Mass Destruction (B)  
 12.352 Scientific Research - Combating Weapons of Mass Destruction (B)  
 12.360 Research on Chemical and Biological Defense (B)

12.404 National Guard Civilian Youth Opportunities (A)  
 12.420 Military Medical Research and Development (B)  
 12.431 Basic Scientific Research (B)  
 12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education (B)  
 12.551 National Security Education Program David L. Boren Scholarships (B)  
 12.552 National Security Education Program David L. Boren Fellowships (B)  
 12.553 National Flagship Language Program Fellowships (B)  
 12.554 English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (B)  
 12.555 English for Heritage Language Speakers Scholarships (B)  
 12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation (B)  
 12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies (B)  
 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment (B)  
 12.614 Community Economic Adjustment Diversification Planning (B)  
 12.615 RESEARCH AND TECHNICAL ASSISTANCE (B)  
 12.630 Basic, Applied, and Advanced Research in Science and Engineering (B)  
 12.700 Donations/Loans of Obsolete DOD Property (I)  
 12.900 Language Grant Program (B)  
 12.901 Mathematical Sciences Grants Program (B)  
 12.902 Information Security Grant Program (B)  
 12.910 Research and Technology Development (B)

### DEPARTMENT OF THE INTERIOR

15.021 Consolidated Tribal Government Program (C)  
 15.022 Tribal Self-Governance (C)  
 15.024 Indian Self-Determination Contract Support (C)  
 15.025 Services to Indian Children, Elderly and Families (C)  
 15.029 Tribal Courts (C)  
 15.030 Indian Law Enforcement (C)  
 15.031 Indian Community Fire Protection (C)  
 15.032 Indian Economic Development (C)  
 15.034 Agriculture on Indian Lands (C,J,K)  
 15.038 Minerals and Mining on Indian Lands (C,J,L)  
 15.057 Navajo-Hopi Indian Settlement Program (C,J)  
 15.058 Indian Post Secondary Schools (M)  
 15.060 Indian Vocational Training\_United Tribes Technical College (D,M)  
 15.061 Indian Job Placement\_United Sioux Tribes Development Corporation (D,K)  
 15.062 Replacement and Repair of Indian Schools (C)  
 15.063 Improvement and Repair of Indian Detention Facilities (C)  
 15.064 Structural Fire Protection\_Bureau of Indian Affairs Facilities (C)  
 15.113 Indian Social Services\_Welfare Assistance (C)  
 15.124 Indian Loans\_Economic Development (F)  
 15.133 Native American Business Development Institute (A)  
 15.144 Indian Child Welfare Act\_Title II Grants (B)  
 15.146 Ironworker Training Program (B)  
 15.147 Tribal Courts\_Trust Reform Initiative (B)  
 15.148 Tribal Energy Development Capacity Grants  
 15.214 Non-Sale Disposals of Mineral Material (H)  
 15.222 Cooperative Inspection Agreements with States and Tribes (B)  
 15.224 Cultural Resource Management (B,H,I,J,K,L,M,N)  
 15.226 Payments in Lieu of Taxes (C,D)  
 15.227 Distribution of Receipts to State and Local Governments (C,D)  
 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)



# Program Descriptions Not Updated for FY 2009

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15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)  
15.230 Invasive and Noxious Plant Management (B,K,M)  
15.232 Wildland Fire Research and Studies Program (B)  
15.234 Secure Rural Schools and Community Self-Determination (B)  
15.235 Southern Nevada Public Land Management (B)  
15.237 Rangeland Resource Management (B,K,M)  
15.238 Challenge Cost Share (B,I,K,M)  
15.239 Management Initiatives (B,I,K,M)  
15.240 Helium Resource Management (B)  
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)  
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)  
15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)  
15.406 National Park Service Centennial Challenge. (A)  
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B)  
15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)  
15.428 Marine Gas Hydrate Research Activities (B)  
15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B)  
15.511 Cultural Resources Management (B)  
15.513 Dutch John Federal Property and Disposition Assistance Act (B)  
15.515 Federal Resource Protection (B)  
15.519 Indian Tribal Water Resources Development, Management, and Protection (B)  
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)  
15.526 San Gabriel Basin Restoration Project (B)  
15.527 San Luis Unit, Central Valley Project (B)  
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)  
15.530 Water Conservation Field Services Program (WCFSF) (B)  
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)  
15.616 Clean Vessel Act (B)  
15.642 Challenge Cost Share (B)  
15.643 Alaska Migratory Bird Co-Management Council (B)  
15.644 Federal Junior Duck Stamp Conservation and Design (C,H)  
15.645 Marine Turtle Conservation Fund (B)  
15.647 Migratory Bird Conservation (B,C)  
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)  
15.649 Service Training and Technical Assistance (Generic Training) (B)  
15.650 Research Grants (Generic) (B)  
15.651 Wildlife Without Borders-Africa Program (B)  
15.652 Undesirable/Noxious Plant Species (B)  
15.653 National Outreach and Communication Program (B)  
15.654 Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (B)  
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)  
15.805 Assistance to State Water Resources Research Institutes (A,B)  
15.807 Earthquake Hazards Reduction Program (B)  
15.808 U.S. Geological Survey\_ Research and Data Collection (B)  
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)  
15.810 National Cooperative Geologic Mapping Program (B)  
15.811 Gap Analysis Program (B)  
15.812 Cooperative Research Units Program (B)  
15.813 Cooperative Research Units Training Program (B)

15.814 National Geological and Geophysical Data Preservation Program (B)  
15.815 National Land Remote Sensing\_ Education Outreach and Research (B)  
15.816 Minerals Resources External Research Program (B)  
15.850 Indian Arts and Crafts Development (I,K,N)  
15.904 Historic Preservation Fund Grants-In-Aid (A,B)  
15.912 National Historic Landmark (K)  
15.914 National Register of Historic Places (K)  
15.915 Technical Preservation Services (J,K,L)  
15.916 Outdoor Recreation\_ Acquisition, Development and Planning (B)  
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (I)  
15.921 Rivers, Trails and Conservation Assistance (K)  
15.922 Native American Graves Protection and Repatriation Act (B)  
15.923 National Center for Preservation Technology and Training (B)  
15.926 American Battlefield Protection (B)  
15.927 Hydropower Recreation Assistance (K)  
15.928 Civil War Battlefield Land Acquisition Grants (B)  
15.929 Save America's Treasures (B)  
15.930 Chesapeake Bay Gateways Network (B)  
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)

## DEPARTMENT OF JUSTICE

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16.012 Alcohol, Tobacco, and Firearms\_ Training Assistance (M)  
16.100 Desegregation of Public Education (J)  
16.101 Equal Employment Opportunity (J)  
16.103 Fair Housing and Equal Credit Opportunity (J)  
16.104 Protection of Voting Rights (J)  
16.105 Civil Rights of Institutionalized Persons (J)  
16.108 Americans With Disabilities Act Technical Assistance Program (B,L,M,N)  
16.109 Civil Rights Prosecution (B)  
16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (B,J,N)  
16.200 Community Relations Service (J)  
16.601 Corrections\_ Training and Staff Development (B,J,L,M)  
16.602 Corrections\_ Research and Evaluation and Policy Formulation (B,J,L)  
16.603 Corrections\_ Technical Assistance/Clearinghouse (B,J,L)  
16.749 Radiation Exposure Compensation Program (B)

## U.S. DEPARTMENT OF STATE

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19.204 Fishermen's Guaranty Fund (G)  
19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)  
19.500 Middle East Partnership Initiative (MEPI) (B)

## OFFICE OF PERSONNEL MANAGEMENT

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27.001 Federal Civil Service Employment (O)  
27.002 Federal Employment Assistance for Veterans (O)  
27.003 Federal Student Temporary Employment Program (O)  
27.005 Federal Employment for Individuals With Disabilities (O)  
27.006 Federal Summer Employment (O)  
27.011 Intergovernmental Personnel Act (IPA) Mobility Program (J,K)  
27.013 Presidential Management Intern Program (J,M,O)

## U.S. COMMISSION ON CIVIL RIGHTS

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29.001 Clearinghouse Services, Civil Rights Discrimination Complaints (L)

## FEDERAL COMMUNICATIONS COMMISSION

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32.001 Communications Information and Assistance and Investigation of Complaints (L,N)

## FEDERAL MEDIATION AND CONCILIATION SERVICE

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# Program Descriptions Not Updated for FY 2009

34.001 Labor Mediation and Conciliation (J,K)

## **FEDERAL TRADE COMMISSION**

36.001 Fair Competition Counseling and Investigation of Complaints (K,N)

## **GENERAL SERVICES ADMINISTRATION**

39.012 Public Buildings Service (J)

## **GOVERNMENT PRINTING OFFICE**

40.001 Depository Libraries for Government Publications (L)

40.002 Government Publications Sales and Distribution (H,L)

## **LIBRARY OF CONGRESS**

42.001 Books for the Blind and Physically Handicapped (I)

42.002 Copyright Service (L)

42.008 Semiconductor Chip Protection Service (L)

42.009 Vessel Hull Design Protection Service (L)

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

43.001 Aerospace Education Services Program (L)

43.002 Technology Transfer (L)

## **INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

45.301 Museums for America (B,C)

45.302 Museum Assessment Program (C)

45.303 Conservation Project Support (B,C)

45.304 Conservation Assessment Program (C)

45.307 21st Century Museum Professionals (B)

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

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

45.310 Grants to States (A)

45.311 Native American and Native Hawaiian Library Services (B)

45.312 National Leadership Grants (B)

45.313 Laura Bush 21st Century Librarian Program (B)

## **NATIONAL SCIENCE FOUNDATION**

47.041 Engineering Grants (B)

47.049 Mathematical and Physical Sciences (B)

47.050 Geosciences (B)

47.070 Computer and Information Science and Engineering (B)

47.074 Biological Sciences (B)

47.075 Social, Behavioral, and Economic Sciences (B)

47.076 Education and Human Resources (B)

47.078 Polar Programs (B)

47.079 International Science and Engineering (OISE) (B)

47.080 Office of Cyberinfrastructure (B)

47.081 Office of Experimental Program to Stimulate Competitive Research (B)

## **SECURITIES AND EXCHANGE COMMISSION**

58.001 Securities Investigation of Complaints and SEC Information (L,N)

## **DEPARTMENT OF VETERANS AFFAIRS**

64.007 Blind Rehabilitation Centers (J)

64.008 Veterans Domiciliary Care (J)

64.009 Veterans Medical Care Benefits (J)

64.010 Veterans Nursing Home Care (J)

64.011 Veterans Dental Care (J)

64.012 Veterans Prescription Service (H)

64.013 Veterans Prosthetic Appliances (J)

64.014 Veterans State Domiciliary Care (A)

64.015 Veterans State Nursing Home Care (A)

64.016 Veterans State Hospital Care (A)

64.018 Sharing Specialized Medical Resources (J)

64.019 Veterans Rehabilitation\_Alcohol and Drug Dependence (J)

64.022 Veterans Home Based Primary Care (J)

64.024 VA Homeless Providers Grant and Per Diem Program (B)

64.026 Veterans State Adult Day Health Care (B)

64.100 Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (C)

64.103 Life Insurance for Veterans (E)

64.105 Pension to Veterans Surviving Spouses, and Children (D)

64.106 Specially Adapted Housing for Disabled Veterans (C)

64.109 Veterans Compensation for Service-Connected Disability (D)

64.110 Veterans Dependency and Indemnity Compensation for Service-Connected Death (D)

64.114 Veterans Housing\_Guaranteed and Insured Loans (F)

64.115 Veterans Information and Assistance (K)

64.117 Survivors and Dependents Educational Assistance (C)

64.118 Veterans Housing\_Direct Loans for Certain Disabled Veterans (E)

64.119 Veterans Housing\_Manufactured Home Loans (F)

64.120 Post-Vietnam Era Veterans' Educational Assistance (C)

64.124 All-Volunteer Force Educational Assistance (D)

64.126 Native American Veteran Direct Loan Program (E)

64.127 Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (D)

64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (C)

## **NATIONAL GALLERY OF ART**

68.001 National Gallery of Art Extension Service (I)

## **OVERSEAS PRIVATE INVESTMENT CORPORATION**

70.003 Foreign Investment Insurance (G)

## **COMMODITY FUTURES TRADING COMMISSION**

78.004 Commodity Futures Reparations Claims (N)

## **DEPARTMENT OF ENERGY**

81.036 Inventions and Innovations (B,K,L)

81.079 Regional Biomass Energy Programs (B)

81.121 Nuclear Energy Research, Development and Demonstration (B)

## **BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION**

85.200 Barry M. Goldwater Scholarship Program (C)

## **HARRY S TRUMAN SCHOLARSHIP FOUNDATION**

85.001 Harry S Truman Scholarship Program (C)

## **SMITHSONIAN INSTITUTION**

85.601 Smithsonian Institution Fellowship Program (B)

## **WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS**

85.300 Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (B)

## **PENSION BENEFIT GUARANTY CORPORATION**

86.001 Pension Plan Termination Insurance (G)

## **ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD**

88.001 Architectural and Transportation Barriers Compliance Board (L)

## **BROADCASTING BOARD OF GOVERNORS**

90.500 International Broadcasting Independent Grantee Organizations (B)

## **DELTA REGIONAL AUTHORITY**

90.200 Delta Regional Development (B)

# Program Descriptions Not Updated for FY 2009

- 90.201 Delta Area Economic Development (B)
- 90.202 Delta Local Development District Assistance (B)

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

- 90.400 Help America Vote College Program (B)
- 90.401 Help America Vote Act Requirements Payments (C)
- 90.402 Help America Vote Mock Election Program (B)

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

- 93.003 Public Health and Social Services Emergency Fund (B)
- 93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)
- 93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)
- 93.007 Public Awareness Campaigns on Embryo Adoption (B)
- 93.008 Medical Reserve Corps Small Grant Program (B)
- 93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (B)
- 93.013 Ambassadors for Change Program (B)
- 93.014 Steps to Healthier Girls Program (B)
- 93.015 HIV Prevention Programs for Women (B)
- 93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (B)
- 93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)
- 93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)
- 93.041 Special Programs for the Aging\_ Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)
- 93.042 Special Programs for the Aging\_ Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals (A)
- 93.043 Special Programs for the Aging\_ Title III, Part D\_Disease Prevention and Health Promotion Services (A)
- 93.044 Special Programs for the Aging\_ Title III, Part B\_Grants for Supportive Services and Senior Centers (A)
- 93.045 Special Programs for the Aging\_ Title III, Part C\_Nutrition Services (A)
- 93.047 Special Programs for the Aging\_ Title VI, Part A, Grants to Indian Tribes\_Part B, Grants to Native Hawaiians (B)
- 93.048 Special Programs for the Aging\_ Title IV\_ and Title II\_Discretionary Projects (B)
- 93.051 Alzheimer's Disease Demonstration Grants to States (B)
- 93.052 National Family Caregiver Support, Title III, Part E (A)
- 93.053 Nutrition Services Incentive Program (A)
- 93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)
- 93.071 Medicare Enrollment Assistance Program (A,B)
- 93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)
- 93.100 Health Disparities in Minority Health (B)
- 93.105 Bilingual/Bicultural Service Demonstration Grants (B)
- 93.111 Adolescent Family Life Research Grants (B)
- 93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)
- 93.137 Community Programs to Improve Minority Health Grant Program (B)
- 93.140 Intramural Research Training Award (B)
- 93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)
- 93.189 Health Education and Training Centers (B)
- 93.192 Quentin N. Burdick Program for Rural Interdisciplinary Training (B)
- 93.217 Family Planning\_Services (B)

- 93.236 Grants for Dental Public Health Residency Training (B)
- 93.239 Policy Research and Evaluation Grants (B)
- 93.247 Advanced Education Nursing Grant Program (B)
- 93.249 Public Health Training Centers Grant Program (B)
- 93.252 Healthy Communities Access Program (B)
- 93.256 State Planning Grants Health Care Access for the Uninsured (B)
- 93.260 Family Planning\_Personnel Training (B)
- 93.290 National Community Centers of Excellence in Women's Health (B)
- 93.294 Mentoring Partnership Program - Protege (B)
- 93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)
- 93.296 State Partnership Grant Program to Improve Minority Health (B)
- 93.303 Nursing Scholarship Program (C)
- 93.760 Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (B)
- 93.775 State Medicaid Fraud Control Units (A)
- 93.890 Healthy Communities Access Program (HCAP) Demonstration Authority (B)
- 93.910 Family and Community Violence Prevention Program (B)
- 93.932 Native Hawaiian Health Systems (B)
- 93.952 Trauma Care Systems Planning and Development (B)
- 93.962 Health Administration Traineeships Program (B)
- 93.969 Geriatric Education Centers (B)
- 93.974 Family Planning\_Service Delivery Improvement Research Grants (B)
- 93.990 National Health Promotion (B)
- 93.995 Adolescent Family Life\_Demonstration Projects (B)
- 93.996 Bioterrorism Training and Curriculum Development Program (B)

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

- 94.002 Retired and Senior Volunteer Program (B)
- 94.003 State Commissions (B)
- 94.004 Learn and Serve America\_School and Community Based Programs (B)
- 94.005 Learn and Serve America\_Higher Education (B)
- 94.006 AmeriCorps (B)
- 94.007 Program Development and Innovation Grants (B)
- 94.009 Training and Technical Assistance (B)
- 94.011 Foster Grandparent Program (B)
- 94.013 Volunteers in Service to America (J)
- 94.016 Senior Companion Program (B)

## **SOCIAL SECURITY ADMINISTRATION**

- 96.001 Social Security\_Disability Insurance (C,D)
- 96.002 Social Security\_Retirement Insurance (D)
- 96.004 Social Security\_Survivors Insurance (C,D)
- 96.006 Supplemental Security Income (C,D)
- 96.007 Social Security\_Research and Demonstration (B)
- 96.008 Social Security - Work Incentives Planning and Assistance Program (B)
- 96.009 Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (B)
- 96.020 Special Benefits for Certain World War II Veterans (D)

## **AGENCY FOR INTERNATIONAL DEVELOPMENT**

- 98.001 USAID Foreign Assistance for Programs Overseas (B)
- 98.002 Cooperative Development Program (CDP) (B)
- 98.003 Ocean Freight Reimbursement Program (OFR) (B)
- 98.004 Non-Governmental Organization Strengthening (NGO) (B)
- 98.005 Institutional Capacity Building (ICB) (B)
- 98.006 Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (B)

## Program Descriptions Not Updated for FY 2009

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- 98.007 Food for Peace Development Assistance Program (DAP) (B,H)
- 98.008 Food for Peace Emergency Program (EP) (B,H)
- 98.009 John Ogonowski Farmer-to-Farmer Program (B)
- 98.010 Denton Program (J)
- 98.011 Global Development Alliance (B)
- 98.012 USAID Development Partnerships for University Cooperation and Development (B)

# ARCHIVED PROGRAMS

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

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## DEPARTMENT OF AGRICULTURE

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### 10.078 Bioenergy Program

Archived on 07/07/09

### 10.081 Lamb Meat Adjustment Assistance Program

Archived on 07/07/09

### 10.224 Fund for Rural America\_Research, Education, and Extension Activities

Archived on 10/15/09

### 10.452 Disaster Reserve Assistance

Archived on 07/08/09

### 10.672 Rural Development, Forestry, and Communities

Archived on 07/07/09

### 10.994 Peanut Quota Buyout Program

Archived on 07/08/09

### 10.995 Hard White Wheat Incentive Program

Archived on 07/08/09

## DEPARTMENT OF COMMERCE

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### 11.405 Anadromous Fish Conservation Act Program

Archived on 07/07/09

### 11.480 National Ocean Service Intern Program

Archived on 07/07/09

### 11.612 Advanced Technology Program

Archived on 07/07/09

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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### 14.164 Operating Assistance for Troubled Multifamily Housing Projects

Archived on 07/07/09

### 14.244 Renewal Community and Empowerment Zone Programs

Archived on 07/07/09

### 14.402 Non-Discrimination in Federally-Assisted Programs (On the Basis of Age)

Archived on 07/07/09

### 14.404 Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability)

Archived on 07/07/09

### 14.405 Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color or National Origin)

Archived on 07/07/09

### 14.406 Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex)

Archived on 07/07/09

### 14.407 Architectural Barriers Act Enforcement

Archived on 07/07/09

### 14.412 Employment Opportunities for Lower Income Persons and Businesses

Archived on 07/07/09

### 14.414 Non-Discrimination on the Basis of Disability by Public Entities

Archived on 07/07/09

### 14.415 Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance

Archived on 07/07/09

### 14.875 Public Housing Neighborhood Networks Grants

Archived on 07/07/09

### 14.902 Lead Technical Studies Grants

Archived on 07/07/09

### 14.903 Operation Lead Elimination Action Program

Archived on 07/07/09

### 14.904 Lead Outreach Grants

Archived on 07/07/09

## DEPARTMENT OF THE INTERIOR

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### 15.055 Alaskan Indian Allotments and Subsistence Preference\_Alaska National Interest Lands Conservation Act

Archived on 10/14/09

### 15.602 Conservation Law Enforcement Training Assistance

Archived on 10/16/09

### 15.625 Wildlife Conservation and Restoration

Archived on 10/08/09

### 15.632 Conservation Grants Private Stewardship for Imperiled Species

Archived on 10/08/09

### 15.633 Landowner Incentive Program

Archived on 10/16/09

### 15.638 Tribal Landowner Incentive Program

Archived on 10/08/09

## DEPARTMENT OF JUSTICE

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### 16.597 Motor Vehicle Theft Protection Act Program

Archived on 11/17/09

### 16.612 National White Collar Crime Center

Archived on 11/17/09

### 16.747 Crime Victims' Rights Act

Archived on 11/17/09

## U.S. DEPARTMENT OF STATE

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### 19.403 American Council of Young Political Leaders

Archived on 07/07/09

### 19.409 Arts Exchanges on International Issues

Archived on 07/07/09

### 19.410 Educational Exchange\_Congress-Bundestag Youth Exchange

Archived on 07/07/09

### 19.418 Educational Exchange, American Studies Institute

Archived on 07/07/09

### 19.423 Exchange\_English Language Specialist/Speaker Program

Archived on 07/07/09

### 19.425 Benjamin Gilman International Scholarship

Archived on 07/07/09

### 19.430 International Education Training and Research

Archived on 07/07/09

### 19.431 Educational Exchange\_Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad)

Archived on 07/07/09

## DEPARTMENT OF TRANSPORTATION

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### 20.100 Aviation Education

# ARCHIVED PROGRAMS

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Archived on 09/25/09

**20.236 Thermal Imaging Inspection System Demonstration Project**

Archived on 07/07/09

**20.303 Grants-in-Aid for Railroad Safety\_State Participation**

Archived on 07/07/09

**20.312 High Speed Ground Transportation\_Next Generation High Speed Rail Program**

Archived on 09/18/09

**20.605 Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons**

Archived on 07/07/09

**20.760 University Transportation Centers**

Archived on 07/07/09

**20.810 Supplementary Training**

Archived on 07/07/09

**20.815 Fireboat Construction**

Archived on 07/07/09

**20.931 Transportation Planning, Research and Education**

Archived on 09/25/09

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**ENVIRONMENTAL PROTECTION AGENCY**

**66.112 Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives**

Archived on 07/07/09

**66.116 Regional Geographic Initiative/Environmental Priority Projects**

Archived on 07/07/09

**66.306 Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program**

Archived on 07/17/09

**66.515 Greater Research Opportunities (GRO) Research Program**

Archived on 07/07/09

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**DEPARTMENT OF ENERGY**

**81.114 University Reactor Infrastructure and Education Support**

Archived on 10/09/09

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**DEPARTMENT OF EDUCATION**

**84.203 Star Schools**

Archived on 07/07/09

**84.298 State Grants for Innovative Programs**

Archived on 07/07/09

**84.349 Early Childhood Educator Professional Development**

Archived on 07/07/09

**84.938 Hurricane Education Recovery**

Archived on 07/07/09

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**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**

**85.100 Christopher Columbus Fellowship Program**

Archived on 10/13/09

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**93.181 Podiatric Residency Training in Primary Care**

Archived on 10/20/09

**93.206 Human Health Studies\_Applied Research and Development**

Archived on 10/19/09

**93.208 Great Lakes Human Health Effects Research**

Archived on 10/19/09

**93.229 Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks**

Archived on 12/18/09

**93.230 Consolidated Knowledge Development and Application (KD&A) Program**

Archived on 12/18/09

**93.238 Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement**

Archived on 12/18/09

**93.244 Mental Health Clinical and AIDS Service-Related Training Grants**

Archived on 12/18/09

**93.392 Cancer Construction**

Archived on 08/10/09

**93.776 Hurricane Katrina Relief**

Archived on 07/07/09

**93.781 Seed Grants to States for Qualified High-Risk Pools**

Archived on 07/07/09

**93.783 Medicare Transitional Drug Assistance Program for States**

Archived on 07/07/09

**93.785 Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care**

Archived on 07/07/09

**93.786 State Pharmaceutical Assistance Programs**

Archived on 07/07/09

**93.794 Reimbursement of State Costs for Provision of Part D Drugs**

Archived on 07/07/09

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**DEPARTMENT OF HOMELAND SECURITY**

**97.006 State and Local Homeland Security Exercise Support**

Archived on 07/07/09

**97.014 Bridge Alteration**

Archived on 07/07/09

# ADDED PROGRAMS

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

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## DEPARTMENT OF AGRICULTURE

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**10.086 Aquaculture Grants Program (AGP)**

Added on 06/30/09

**10.310 Agriculture and Food Research Initiative (AFRI)**

Added on 07/15/09

**10.311 Beginning Farmer and Rancher Development Program**

Added on 07/15/09

**10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI)**

Added on 07/15/09

**10.314 New ERA Rural Technology Competitive Grants Program**

Added on 06/04/09

**10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF)**

Added on 08/19/09

**10.316 Healthy Urban Food Enterprise Development Center (HUFED)**

Added on 07/10/09

**10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program**

Added on 10/14/09

**10.666 Schools and Roads - Grants to Counties**

Added on 10/07/09

**10.682 National Forest Foundation**

Added on 10/01/09

**10.683 National Fish and Wildlife Foundation**

Added on 10/01/09

**10.685 Community Wood Energy Program**

Added on 10/01/09

**10.686 Forest Biomass for Energy**

Added on 10/01/09

**10.687 Recovery Act of 2009: Capital Improvement and Maintenance**

Added on 09/22/09

**10.688 Recovery Act of 2009: Wildland Fire Management**

Added on 09/22/09

**10.689 Community Forest and Open Space Conservation Program (CFP)**

Added on 10/01/09

**10.690 Lake Tahoe Erosion Control Grant Program**

Added on 09/22/09

**10.691 Good Neighbor Authority**

Added on 10/01/09

**10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH)**

Added on 09/09/09

**10.780 Community Facilities Loans and Grants**

Added on 09/28/09

**10.781 Water and Waste Disposal Systems for Rural Communities - ARRA**

Added on 09/30/09

**10.783 Rural Business Enterprise Grants - ARRA**

Added on 10/01/09

**10.787 Broadband Initiatives Program**

Added on 08/12/09

**10.788 Very Low to Moderate Income Housing Loans - Direct**

Added on 09/29/09

**10.789 Very Low to Moderate Income Housing Loans - Guaranteed**

Added on 09/29/09

**10.868 Rural Energy for America Program**

Added on 12/11/09

**10.870 Rural Microentrepreneur Assistance Program**

Added on 10/02/09

## DEPARTMENT OF COMMERCE

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**11.008 NOAA Mission-Related Education Awards**

Added on 06/30/09

**11.009 TV Converter Box Coupon Program Consumer Education and Technical Assistance**

Added on 10/07/09

**11.010 Community Trade Adjustment Assistance**

Added on 10/08/09

**11.011 Ocean Exploration**

Added on 10/19/09

**11.012 Integrated Ocean Observing System (IOOS)**

Added on 10/19/09

**11.013 Education Quality Award Ambassadorship**

Added on 12/02/09

**11.557 Broadband Technology Opportunities Program (BTOP)**

Added on 05/26/09

**11.558 State Broadband Data and Development Grant Program**

Added on 05/26/09

**11.559 Low-Power Television and Translator Upgrade Program**

Added on 05/22/09

## DEPARTMENT OF DEFENSE

---

**12.556 Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools**

Added on 08/31/09

**12.557 Invitational Grants for Military-Connected Schools**

Added on 10/20/09

**12.558 Department of Defense Impact Aid (Supplement, CWSD, BRAC)**

Added on 10/16/09

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

---

**14.253 Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded)**

Added on 05/22/09

**14.254 Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded)**

Added on 05/22/09

**14.255 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded)**

Added on 05/22/09

**14.256 Neighborhood Stabilization Program (Recovery Act Funded)**

Added on 05/22/09

**14.257 Homelessness Prevention and Rapid Re-Housing Program**

# ADDED PROGRAMS

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## **(Recovery Act Funded)**

Added on 05/22/09

### **14.258 Tax Credit Assistance Program (Recovery Act Funded)**

Added on 05/22/09

### **14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded)**

Added on 05/15/09

### **14.318 Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded)**

Added on 05/13/09

### **14.416 Education and Outreach Initiatives**

Added on 07/21/09

### **14.417 Fair Housing Organization Initiatives**

Added on 07/21/09

### **14.418 Private Enforcement Initiatives**

Added on 07/21/09

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

Added on 05/13/09

### **14.883 Native Hawaiian Housing Block Grants (Recovery Act Funded)**

Added on 05/13/09

### **14.884 Public Housing Capital Fund Competitive (Recovery Act Funded)**

Added on 05/13/09

### **14.885 Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded**

Added on 05/13/09

### **14.886 Indian Community Development Block Grant Program (Recovery Act Funded)**

Added on 05/13/09

### **14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded**

Added on 05/13/09

### **14.907 Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded)**

Added on 05/15/09

### **14.908 Healthy Homes Demonstration Grants (Recovery Act Funded)**

Added on 05/15/09

### **14.909 Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded)**

Added on 05/15/09

### **14.910 Healthy Homes Technical Studies Grants (Recovery Act Funded)**

Added on 05/15/09

### **14.911 Green and Healthy Housing Technical Studies Grants**

Added on 07/21/09

### **14.912 Lead Hazard Control Capacity Building**

Added on 07/21/09

## **DEPARTMENT OF THE INTERIOR**

---

### **15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements**

Added on 07/30/09

### **15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program.**

Added on 05/26/09

### **15.536 Deschutes River Conservancy (DRC)**

Added on 05/26/09

### **15.537 Middle Rio Grande Endangered Species Collaborative Program**

Added on 05/26/09

### **15.538 Lower Colorado River Multi-Species Conservation Program.**

Added on 05/26/09

### **15.539 Equus Beds Division Acquirer Storage Recharge Project**

Added on 10/16/09

### **15.540 Lake Mead/Las Vegas Wash Program**

Added on 10/23/09

### **15.541 Colorado River Basin Projects Act of 1968**

Added on 10/16/09

### **15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement.**

Added on 05/27/09

### **15.657 Endangered Species Conservation Recovery Implementation Funds**

Added on 05/26/09

### **15.658 Natural Resource Damage Assessment, Restoration and Implementation**

Added on 07/21/09

### **15.659 National Wildlife Refuge Fund**

Added on 07/21/09

### **15.660 Endangered Species - Candidate Conservation Action Funds**

Added on 07/10/09

### **15.661 Lower Snake River Compensation Plan**

Added on 07/21/09

### **15.817 National Geospatial Program: Building The National Map**

Added on 05/26/09

### **15.818 Volcano Hazards Program Research and Monitoring.**

Added on 05/26/09

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

Added on 06/03/09

### **15.820 National Climate Change and Wildlife Service Center**

Added on 10/13/09

### **15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs).**

Added on 05/22/09

### **15.933 Preservation of Japanese American Confinement Sites**

Added on 07/30/09

### **15.934 Abandoned Mine Hazard Mitigation**

Added on 09/14/09

### **15.935 National Trails System Projects**

Added on 09/28/09

### **15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection**

Added on 09/28/09

## **DEPARTMENT OF JUSTICE**

---

### **16.015 Missing Alzheimer's Disease Patient Assistance Program**

Added on 06/05/09

### **16.754 Harold Rogers Prescription Drug Monitoring Program**

Added on 07/21/09

### **16.755 Southwest Border Prosecution Initiative Program**



# ADDED PROGRAMS

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Added on 07/21/09

## **16.756 Court Appointed Special Advocates**

Added on 01/01/09

## **16.757 Judicial Training on Child Maltreatment for Court Personnel Juvenile Justice Programs**

Added on 01/01/09

## **16.758 Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers**

Added on 01/01/09

## **16.800 Recovery Act - Internet Crimes against Children Task Force Program (ICAC)**

Added on 05/22/09

## **16.801 Recovery Act - State Victim Assistance Formula Grant Program**

Added on 05/15/09

## **16.802 Recovery Act - State Victim Compensation Formula Grant Program**

Added on 05/15/09

## **16.803 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories**

Added on 05/15/09

## **16.804 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government**

Added on 05/15/09

## **16.805 Recovery Act Transitional Housing**

Added on 10/01/09

## **16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments**

Added on 10/09/09

## **16.807 Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program**

Added on 05/15/09

## **16.808 Recovery Act - Edward Byrne Memorial Competitive Grant Program**

Added on 05/15/09

## **16.809 Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program**

Added on 05/15/09

## **16.810 Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program**

Added on 05/15/09

## **16.811 Recovery Act - Correctional Facilities On Tribal Lands**

Added on 05/15/09

## **16.812 Second Chance Act Prisoner Reentry Initiative**

Added on 06/18/09

## **16.813 NICS Act Record Improvement Program**

Added on 06/30/09

## **16.814 Northern Border Prosecution Initiative Program**

Added on 07/21/09

## **DEPARTMENT OF LABOR**

---

### **17.151 Employee Benefits Security Administration (EBSA)**

Added on 05/13/09

### **17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors**

Added on 05/22/09

### **17.276 Health Coverage Tax Credit (HCTC)**

Added on 05/22/09

### **17.277 Workforce Investment Act (WIA) National Emergency Grants**

Added on 07/30/09

### **17.278 WIA Dislocated Worker Formula Grants**

Added on 07/30/09

### **17.311 Federal Transit Employee Protection Certifications: Office of Labor-Management Standards**

Added on 05/15/09

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

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### **19.009 Academic Exchange Programs - Undergraduate Programs**

Added on 06/11/09

### **19.010 Academic Exchange Programs - Humphrey Fellowship Program**

Added on 06/11/09

### **19.011 Academic Exchange Programs - Special Academic Exchange Programs**

Added on 06/11/09

### **19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs**

Added on 06/11/09

### **19.013 Thomas R. Pickering Foreign Affairs Fellowship Program**

Added on 07/09/09

### **19.014 One-Time International Exchange Grant Program**

Added on 07/09/09

### **19.015 Cultural, Technical and Educational Centers**

Added on 07/09/09

### **19.016 Iraq Assistance Programs**

Added on 07/22/09

### **19.017 Environmental and Scientific Partnerships and Programs**

Added on 10/14/09

### **19.018 Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement**

Added on 10/16/09

### **19.019 International Programs to Combat Human Trafficking**

Added on 11/05/09

### **19.501 Public Diplomacy Programs for Afghanistan and Pakistan**

Added on 11/18/09

## **DEPARTMENT OF TRANSPORTATION**

---

### **20.615 E-911 Grant Program**

Added on 06/17/09

### **20.239 Motor Carrier Research and Technology Programs**

Added on 09/11/09

### **20.241 Federal Motor Carrier Safety Administration National Training Center**

Added on 09/21/09

### **20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants**

Added on 06/17/09

### **20.320 Rail Line Relocation and Improvement**

Added on 07/21/09

### **20.520 Paul S. Sarbanes Transit in the Parks**

Added on 10/08/09

### **20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions**

# ADDED PROGRAMS

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Added on 09/10/09

## **20.710 Technical Assistance Grants**

Added on 07/21/09

## **20.722 Technology Development Grant**

Added on 07/30/09

## **20.907 Pilot Entrepreneurial Training and Technical Assistance Women and Girls Program**

Added on 10/22/09

## **20.932 Surface Transportation \_ Discretionary Grants for Capital Investment.**

Added on 10/04/09

## **DEPARTMENT OF THE TREASURY**

---

### **21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program**

Added on 07/30/09

### **21.010 Financial Education and Counseling Pilot Program**

Added on 09/24/09

## **EXPORT - IMPORT BANK OF THE UNITED STATES**

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### **31.007 Export - Loan Guarantee/Insured Loans**

Added on 06/30/09

## **FEDERAL MEDIATION AND CONCILIATION SERVICE**

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### **34.002 Labor Management Cooperation**

Added on 07/27/09

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

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### **43.004 Aeronautics, Recovery Act**

Added on 10/09/09

### **43.005 Exploration, Recovery Act**

Added on 10/09/09

### **43.006 Science, Recovery Act**

Added on 10/09/09

## **NATIONAL SCIENCE FOUNDATION**

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### **47.082 Trans-NSF Recovery Act Research Support**

Added on 05/13/09

## **RAILROAD RETIREMENT BOARD**

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### **57.005 Economic Recovery Payments**

Added on 05/26/09

## **SMALL BUSINESS ADMINISTRATION**

---

### **59.056 Secondary Market Lending Authority**

Added on 06/03/09

### **59.057 America's Recovery Capital Loans**

Added on 06/03/09

## **ENVIRONMENTAL PROTECTION AGENCY**

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### **66.041 Climate Showcase Communities Grant Program**

Added on 05/28/09

### **66.120 Puget Sound Watershed Management Assistance**

Added on 10/22/09

### **66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program**

Added on 10/25/09

### **66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program**

Added on 12/17/09

### **66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program**

Added on 12/17/09

## **NUCLEAR REGULATORY COMMISSION**

---

### **77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program**

Added on 09/11/09

## **DEPARTMENT OF ENERGY**

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### **81.127 Energy Efficient Appliance Rebate Program (EEARP)**

Added on 05/22/09

### **81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)**

Added on 05/26/09

### **81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization**

Added on 05/22/09

### **81.131 Expand and Extend Clean Coal Power Initiative**

Added on 07/27/09

### **81.132 Geologic Sequestration Site Characterization**

Added on 05/22/09

### **81.133 Geologic Sequestration Training and Research Grant Program**

Added on 07/27/09

### **81.134 Industrial Carbon Capture and Storage (CCS) Application**

Added on 05/22/09

### **81.135 Advanced Research and Projects Agency Energy Financial Assistance Program**

Added on 05/13/09

### **81.136 Long-Term Surveillance and Maintenance**

Added on 07/20/09

## **DEPARTMENT OF EDUCATION**

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### **84.384 Statewide Data Systems, Recovery Act**

Added on 05/01/09

### **84.385 Teacher Incentive Fund, Recovery Act**

Added on 05/01/09

### **84.386 Education Technology State Grants, Recovery Act**

Added on 05/01/09

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

Added on 05/01/09

### **84.388 School Improvement Grants, Recovery Act**

Added on 05/01/09

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

Added on 05/01/09

### **84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act**

Added on 05/01/09

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

Added on 05/01/09

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

Added on 05/01/09

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

Added on 05/01/09

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

Added on 05/01/09

### **84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive**

# ADDED PROGRAMS

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## Grants, Recovery Act

Added on 05/13/09

### 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act

Added on 05/13/09

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

Added on 05/13/09

### 84.398 Independent Living State Grants, Recovery Act

Added on 05/01/09

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

Added on 05/01/09

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

Added on 05/01/09

### 84.401 Impact Aid School Construction, Recovery Act

Added on 05/01/09

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

Added on 05/01/09

### 84.403 Consolidated Grant to the Outlying Areas

Added on 06/11/09

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

Added on 05/01/09

### 84.405 Teacher Quality Partnerships, Recovery Act

Added on 05/01/09

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

Added on 05/13/09

## CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION

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### 85.101 Homeland Security Award

Added on 10/04/09

### 85.102 Christopher Columbus Awards

Added on 10/04/09

### 85.103 Freida J. Riley Teacher Award

Added on 10/04/09

### 85.104 Life Sciences Awards

Added on 10/04/09

## MILLENNIUM CHALLENGE CORPORATION

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### 85.111 Rural Water Investment Evaluations (MOZMBIQUE)

Added on 11/23/09

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

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### 93.062 Biomonitoring Programs for State Public Health Laboratories

Added on 09/14/09

### 93.070 Environmental Public Health and Emergency Response

Added on 09/23/09

### 93.072 Lifespan Respite Care Program

Added on 05/14/09

### 93.089 Emergency System for Advance Registration of Volunteer Health Professionals

Added on 06/19/09

### 93.090 Guardianship Assistance

Added on 07/22/09

### 93.400 National Health Service Corps Scholarship Program

Added on 05/22/09

### 93.401 ARRA - National Health Service Corps Loan Repayment

Added on 07/14/09

### 93.402 ARRA - State Loan Repayment Program

Added on 07/14/09

### 93.403 ARRA - Training in Primary Care Medicine and Dentistry

Added on 07/15/09

### 93.404 ARRA Dental Public Health Residency Training Grants

Added on 07/15/09

### 93.405 ARRA - Public Health Traineeship Program

Added on 07/16/09

### 93.406 Nursing Education Loan Repayment Program (NELRP)

Added on 05/22/09

### 93.407 ARRA - Scholarships for Disadvantaged Students

Added on 07/16/09

### 93.408 ARRA - Nurse Faculty Loan Program

Added on 07/16/09

### 93.409 Faculty Loan Repayment Programs

Added on 05/22/09

### 93.410 ARRA Licensure Portability Grant Program

Added on 07/16/09

### 93.411 ARRA Equipment to Enhance Training for Health Professionals

Added on 07/21/09

### 93.412 ARRA - Preventive Medicine Residency Program

Added on 07/16/09

### 93.414 ARRA - State Primary Care Offices

Added on 07/16/09

### 93.415 ARRA - Centers of Excellence

Added on 07/16/09

### 93.416 ARRA - Health Careers Opportunity Program

Added on 07/17/09

### 93.417 ARRA - Nursing Workforce Diversity

Added on 07/17/09

### 93.418 ARRA - Emergency Medical Services for Children

Added on 09/23/09

### 93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program

Added on 09/24/09

### 93.701 Trans-NIH Recovery Act Research Support

Added on 05/15/09

### 93.702 National Center for Research Resources, Recovery Act Construction Support

Added on 05/15/09

### 93.703 ARRA Health Center Integrated Services Development Initiative[g1]

Added on 05/22/09

### 93.704 Trans-NIH Recovery Act Loan Repayment Support

Added on 05/15/09

### 93.705 Aging Home-Delivered Nutrition Services for States

Added on 05/22/09

### 93.706 Aging Nutrition Services for Native Americans

Added on 05/22/09

# ADDED PROGRAMS

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**93.707 Aging Congregate Nutrition Services for States**

Added on 05/22/09

**93.708 ARRA - Head Start**

Added on 05/26/09

**93.709 ARRA - Early Head Start**

Added on 05/26/09

**93.710 ARRA - Community Services Block Grant**

Added on 05/26/09

**93.711 ARRA Strengthening Communities Fund**

Added on 05/26/09

**93.712 ARRA - Immunization**

Added on 06/11/09

**93.713 ARRA Child Care and Development Block Grant**

Added on 05/26/09

**93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program**

Added on 05/26/09

**93.715 Recovery Act Comparative Effectiveness Research - AHRQ**

Added on 08/19/09

**93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants**

Added on 05/26/09

**93.717 ARRA - Preventing Healthcare-Associated Infections**

Added on 06/10/09

**93.718 Health Information Technology Regional Extension Centers Program**

Added on 07/29/09

**93.719 ARRA - State Grants to Promote Health Information Technology**

Added on 07/29/09

**93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative**

Added on 08/13/09

**93.721 ARRA - Health Information Technology Professionals in Health Care**

Added on 10/13/09

**93.722 ARRA - IHS Tribal Agreements**

Added on 08/19/09

**93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands**

Added on 09/11/09

**93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA)**

Added on 09/11/09

**93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program**

Added on 11/25/09

**93.727 ARRA - Health Information Technology - Beacon Communities**

Added on 12/01/09

**93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP)**

Added on 12/16/09

**93.975 National All Schedules Prescription Electronic Reporting Grant**

Added on 06/12/09

**CORPORATION FOR NATIONAL AND COMMUNITY**

---

**SERVICE**

**94.017 Senior Demonstration Program**

Added on 12/13/09

**94.018 Learn and Serve America Innovative Community-Based Service-Learning Programs**

Added on 11/16/09

**SOCIAL SECURITY ADMINISTRATION**

---

**96.021 Social Security Economic Recovery Act Payments**

Added on 10/08/09

**DEPARTMENT OF HOMELAND SECURITY**

---

**97.113 Rail and Transit Security Grant Program (ARRA)**

Added on 05/01/09

**97.114 Emergency Food and Shelter National Board Program (ARRA)**

Added on 05/01/09

**97.115 Assistance to Firefighters Grant (ARRA)**

Added on 05/01/09

**97.116 Port Security Grant Program (ARRA)**

Added on 05/01/09

**97.117 TSA Airport Checked Baggage Inspection System Program (ARRA)**

Added on 05/01/09

**97.118 Advanced Surveillance Program (ASP)**

Added on 05/01/09

**97.119 2010 Olympics First Responder Training**

Added on 09/21/09

# PROGRAM NUMBER AND TITLE CHANGES

This index highlights those CFDA programs that had a program title or number change within the fiscal year. The historical crosswalk in Appendix VII reflects the full program change history.

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## Title Changes

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### DEPARTMENT OF AGRICULTURE

- 10.290 Agricultural Market and Economic Research
- 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program
- 10.665 Schools and Roads - Grants to States
- 10.681 Wood Education and Resource Center (WERC)

### DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.168 Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act
- 14.195 Section 8 Housing Assistance Payments Program
- 14.252 Section 4 Capacity Building for Community Development and Affordable Housing

### DEPARTMENT OF THE INTERIOR

- 15.626 Firearm and Bow Hunter Education and Safety Program

### DEPARTMENT OF JUSTICE

- 16.017 Sexual Assault Services Formula Program
- 16.556 State Domestic Violence and Sexual Assault Coalitions
- 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program

### U.S. DEPARTMENT OF STATE

- 19.400 Academic Exchange Programs - Graduate Students
- 19.401 Academic Exchange Programs - Scholars
- 19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program
- 19.408 Academic Exchange Programs - Teachers
- 19.415 Professional and Cultural Exchange Programs - Citizen Exchanges
- 19.421 Academic Exchange Programs - English Language Programs
- 19.432 Academic Exchange Programs - Educational Advising and Student Services

### DEPARTMENT OF TRANSPORTATION

- 20.237 Commercial Vehicle Information Systems and Networks
- 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I
- 20.602 Occupant Protection Incentive Grants

### DEPARTMENT OF THE TREASURY

- 21.008 Low Income Taxpayer Clinics

### ENVIRONMENTAL PROTECTION AGENCY

- 66.117 Region 9 Multi-Media and Geographic Priority Projects
- 66.467 Wastewater Operator Training Grant Program
- 66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study
- 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements
- 66.804 Underground Storage Tank Prevention, Detection and Compliance Program
- 66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program
- 66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs
- 66.950 Environmental Education Training Program

### DEPARTMENT OF ENERGY

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

### DEPARTMENT OF EDUCATION

- 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals
- 84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities
- 84.336 Teacher Quality Partnership Grants

### UNITED STATES INSTITUTE OF PEACE

- 91.001 Annual Grant Competition
- 91.002 Priority Grant Competition

### DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.648 Child Welfare Research Training or Demonstration
- 93.767 Children's Health Insurance Program

### CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

- 94.007 Program Development and Innovation Grants

### DEPARTMENT OF HOMELAND SECURITY

- 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection

# PROGRAM DESCRIPTIONS

The following section provides the complete program text for each CFDA program as submitted by the administering agency.

## DEPARTMENT OF AGRICULTURE

### 10.001 AGRICULTURAL RESEARCH\_BASIC AND APPLIED RESEARCH

(Extramural Research).

**FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

7 U.S.C 427-427i, 1624, as amended by 7 U.S.C 3318.

**OBJECTIVES:**

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

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

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

**Applicant Eligibility:**

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

**Beneficiary Eligibility:**

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

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letters should be submitted to the Agricultural Research Service, Department of Agriculture. Give name of applicants, location of facilities, and State of incorporation, if any.

**Award Procedure:**

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

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: None.

**Reports:**

Progress reports, final technical reports, financial statements, and inventions and subaward reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

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

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$20,295,111; FY 09 est \$21,500,000; FY 10 est \$21,500,000

**Range and Average of Financial Assistance:**

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

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015 and 7 CFR 3019.

**Regional or Local Office:**

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

**Headquarters Office:**

Kathleen S. Townson, 5601 Sunnyside Ave, MS-5110, Betsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: (301) 504-1702.

**Website Address:**

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

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Peer review.

## 10.051 COMMODITY LOANS AND LOAN DEFICIENCY PAYMENTS

(Price Supports)

### FEDERAL AGENCY:

Farm Service Agency, Department of Agriculture

### AUTHORIZATION:

Food, Conservation, and Energy Act of 2008, Public Law 110-246.

### OBJECTIVES:

To improve and stabilize farm income, to assist in bringing about a better balance between supply and demand of the commodities, and to assist farmers in the orderly marketing of their crops.

### TYPES OF ASSISTANCE:

DIRECT LOANS; DIRECT PAYMENTS WITH UNRESTRICTED USE

### USES AND USE RESTRICTIONS:

Loans and loan deficiency payments (LDP's) give farmers a means of promoting more orderly marketing. Loans to producers may be "nonrecourse" which means that producers have the option of forfeiting the collateral to CCC at loan maturity in full satisfaction of the loan obligation; or "recourse" for low quality grain, or un-ginned seed cotton, which means that producers must repay the loans by maturity." If market prices are above the support level producers may repay their loans at the original loan principal plus interest and market their commodities. When market prices are low, most nonrecourse commodity loan repayments are less than the original loan principal plus interest. Eligible commodities for loans are feed grains, wheat, rice, peanuts, tobacco, upland cotton, extra-long staple cotton, sugar, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. LDP's are offered for feed grains, wheat, upland cotton, rice, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. If the loan repayment rates for these commodities are less than the established loan levels, producers may, for most commodities that are eligible for a nonrecourse loan, agree to forego such loan and elect to receive an LDP. The LDP payment rate equals the amount by which the loan rate exceeds the loan repayment rate in effect at the time the LDP application is approved, or the delivery date for commodities delivered directly to processor, buyer, or warehouse from the field. LDP's and any gain realized from repaying a loan at a level lower than the original loan level are subject to a \$75,000 per "person" payment limitation, except for crops produced in 1999, for which the payment limitation is \$150,000 per "person".

### Applicant Eligibility:

Owner, landlord, tenant, or sharecropper on an eligible farm that has produced the eligible commodities or, in the case of sugar, a processor or refiner who meets program requirements as announced by the Secretary.

### Beneficiary Eligibility:

Owner, landlord, tenant, or sharecropper on a farm that has produced the eligible commodities, meets program requirements as announced by the Secretary, and maintains beneficial interest in the commodity.

### Credentials/Documentation:

Record of farming operation must be on file in the FSA county office. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the case of warehouse-stored commodities, producer or Cooperative Marketing Association presents warehouse receipts to the FSA county office (warehouse-stored peanut and tobacco loans are made through producer associations). In the case of farm-stored commodities (including sugar), producer/processor or Cooperative Marketing Association requests a loan at the FSA county office.

### Award Procedure:

Applications are approved by the FSA upon determination that applicant and

commodity are eligible.

### Deadlines:

Sep 30, 2009 Loans and LDP's are available for wheat, barley, oats, canola, flaxseed, crambe, and rapeseed and loans are available for quota peanuts pledged as collateral for farm-stored loans through March 31 of the year following the year in which the crop is normally harvested. Loans and LDP's are available for rice, corn, grain sorghum, cotton, soybeans, safflower, sunflower seed and mustard seed through May 31 of the year following the year in which the crop is normally harvested. Loans are available for sugar through September 30.

### Range of Approval/Disapproval Time:

From 15 to 30 days. Approximately 3 days.

### Appeals:

From 60 to 90 days. Applications may be reviewed by county, State, or national offices.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Assistance is generally available for 9 months or less, and is normally disbursed on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

### Reports:

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic and required spot checks of farm-stored grain will be made by the county FSA office. Recipients are subject to audit by Office of Inspector General, USDA.

### Records:

Not applicable.

### Account Identification:

12-4336-0-3-351.

### Obligations:

(Direct Loans) FY 08 \$9,509,047,023; FY 09 est \$8,604,655,000; FY 10 est \$7,716,553,000. (Direct Payments with Unrestricted Use) FY 08 \$6,035,694; FY 09 est \$139,938,000; FY 10 est \$64,179,000 - Loan Deficiency Payments.

### Range and Average of Financial Assistance:

No Data Available.

### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Program regulations published in the Federal Register 7 CFR, Chapter XIV, Parts 1421, 1425, 1427, 1430, 1434, 1435, 1446, and 1464; announcements issued to news media and letters to producers; "FSA Commodity Fact Sheets, " no cost: The Price Support Program," BI-4-USDA, no cost; Farm Service Agency, Department of Agriculture, STOP 0532, 1400 Independence Avenue S.W., Washington, DC 20250-0532.

### Regional or Local Office:

None. Consult the local telephone directory for location of the FSA county office. If no listing, get in touch with appropriate FSA State office listed under the Farm Service Agency section of Appendix IV of the Catalog.

### Headquarters Office:

Raellen Erickson 1400 Independence Avenue, SW

Stop 0512, Washington, District of Columbia 20250-0512 Email:  
Raellen.Erickson@wdc.usda.gov Phone: 202-720-7901 Fax: 202-690-3307

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.055 DIRECT AND COUNTER-CYCLICAL PAYMENTS PROGRAM (DCP)**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To provide income support to eligible producers of covered commodities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

With respect to Fiscal Year 2002 payments, CCC will offer to enter into a contract with eligible producers of covered commodities on October 1, 2002 through the date announced by CCC. With respect to Fiscal Years 2003 through 2007, CCC shall offer to annually enter into a contract with an eligible producer on a farm having base acreage with respect to a covered commodity at the beginning of each such fiscal year 2003 through 2007 through the date announced by CCC for each such year.

**Applicant Eligibility:**

To be eligible for payments under DCP, owners, operators, landlords, tenants, or sharecroppers must (1) share in the risk of producing a crop on base acres on a farm enrolled in DCP, and be entitled to share in the crop available for marketing from the base acres, or would have shared had a crop been produced; (2) annually report the use of the farm's cropland acreage; (3) comply with conservation and wetland protection requirements on all of their land; (4) comply with planting flexibility requirements; (5) use the base acres for agricultural or related activities; and (5) protect all base acres from erosion, including providing sufficient cover as determined necessary by the county FSA committee, and control weeds.

**Beneficiary Eligibility:**

DCP provides payments to eligible producers on farms enrolled for the 2002 through 2007 crop years.

**Credentials/Documentation:**

As a condition of eligibility for direct and counter-cyclical payments, the operator or owner must submit a report of all cropland acreage on the farm. Reports of production evidence for all covered commodities shall be provided to the county committee of the county where the farm is administratively located, by farm and crop in such manner as required by CCC on a CCC-approved standard, uniform form designated by CCC. When disposition of production has been through commercial channels, CCC may require the producer to furnish documentary evidence in order to verify the information provided on the report of production. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The CCC-509 must be submitted. The following documents are required and

applicable determinations must be made before the county committee can approve a producer's share on the CCC-509 for payment: (1) a farm operating plan (CCC-502 and related forms); (2) an average adjusted gross income certification (CCC-526); (3) a certification of compliance with highly erodible land and wetland conservation provisions (AD-1026). A certification of the acreage of all cropland on the farm (FSA-578) is needed before final payments can be issued.

**Award Procedure:**

Producers may elect to receive their direct payments in two installments per year: (1) the first payment, available in December of the fiscal year, is up to 50 percent of the total payment; (2) the balance of the total direct payment is available in October of the fiscal year after the fiscal year the payment is earned. Producers who do not elect to take the first direct payment will receive the entire direct payment at this time. Producers may elect to receive up to three counter-cyclical payments per year: (1) first partial payments are available in October of the calendar year in which the crop is harvested. These payments cannot exceed 35 percent of the total projected payment; (2) second partial payments, up to 70 percent of the projected payment, minus the amount of the first partial payment, are available the following February (the year after the crop is harvested); (3) final payments are made after the end of the marketing year for the crop. Producers who do not elect to take the first and second advance payments will receive the entire counter-cyclical payment at this time.

**Deadlines:**

Dec 22, 2008 to Jun 01, 2009 Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Approval of payments depends on farmer compliance with conservation and wetland protection requirements on all of the producers' farms, planting flexibility requirements and other eligibility requirements mentioned above, and is fairly routine and prompt.

**Appeals:**

From 15 to 30 days. A producer may obtain reconsideration and review of any adverse determination made under this part in accordance with the appeal regulations found at parts 11 and 780 of Title 7 Agriculture.

**Renewals:**

Farm producers must apply for DCP on an annual basis and can opt out of participating in DCP for any year if they so choose.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The DCP payment schedule for 2002 and 2003 crop years is in the hyperlink provided below. The payment schedule for the 2004-2007 crop years parallels the schedule for the 2003 crop year, though the Deficit Reduction Act of 2005 reduced the advance direct payment rate to a maximum of 22 percent. <http://www.fsa.usda.gov/pas/publications/facts/html/dcp03.htm>. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

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

**Records:**

An owner or any other individual or entity receiving assistance for DCP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in



which assistance was provided.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$4,821,206,163; FY 09 est \$5,427,877,000; FY 10 est \$4,717,253,000 - Direct Payments. (Direct Payments with Unrestricted Use) FY 08 \$359,063,792; FY 09 est \$864,296,000; FY 10 est \$1,171,621,000 - Counter-Cyclical Payments.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR Part 1412.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Candace Thompson 1400 Independence Avenue, SW  
Stop 0517, Washington, District of Columbia 20250-0517 Email:  
[candy.thompson@wdc.usda.gov](mailto:candy.thompson@wdc.usda.gov) Phone: 202-720-7641 Fax: 202-690-2130

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.072 WETLANDS RESERVE PROGRAM**

(WRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Public Law 99-198, as amended by Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, as amended by Food, Conservation, and Energy Act of 2008, as amended by Omnibus Budget Reconciliation Act of 1993, as amended by Federal Agriculture Improvement and Reform Act of 1996, as amended by Food, Agriculture, Conservation, and Trade Act of 1990, Title XIV, Section 1237, Public Law 101-624, 104 Stat. 3584, 7 U.S.C 3837, as amended by Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1998, as amended by Farm Security and Rural Investment Act of 2002.

**OBJECTIVES:**

To assist landowners in restoring and protecting wetlands on eligible lands on which they agree to enter into a permanent or 30- yearlong-term easement (30-year contract for Indian tribes), or a restoration cost-share agreement with the Secretary. The goal of WRP is to maximize wetland functions and values and wildlife benefits on every acre enrolled in the program. Total acreage enrollment limitation is 3,041,200,275,000 acres.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible landowners may offer farmed wetlands, prior converted wetlands, wetlands farmed under natural condition, former or degraded wetlands on lands

that have been used or are currently being used for the production of food and fiber, including rangeland and forest production land, lands substantially altered by flooding, certain riparian areas, along with certain adjacent areas, to be placed under a permanent or 30-year easement, or restoration cost-share agreement. A deed restriction covering the land approved under easement must be recorded in the local land deeds office. Subject to the acceptance of an offer by the Federal Government, the landowner will receive in cash an amount specified in the WRP contract as determined by a method prescribed by the Secretary. The landowner shall ensure that the easement granted to Natural Resources Conservation Service (NRCS) is superior to the rights of all others and shall agree to implement a wetland restoration plan designed to restore and maintain the easement area. The plan will include a designated access route to be used as necessary for easement management and monitoring. The landowner will receive financial and technical assistance to install necessary restoration practices on the land under easement or the practice will be installed by the Secretary. The landowner shall agree to a permanent retirement of crop acreage bases, allotments, and quotas to the extent that the sum of the crop acreage bases and allotments will not exceed the remaining cropland of the present farm or subsequently reconstituted farm. In cases involving restoration participants receive restoration cost-share and technical assistance and no easement payment.

**Applicant Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business or other legal entities and, Indian tribe.

**Beneficiary Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business enterprises or other legal entities and, Indian tribe.

**Credentials/Documentation:**

The landowner must have owned the land offered for at least the preceding 12 months prior to the end of thither landowner must have owned the land offered for at least the preceding seven years 12 months prior to the end of the period in which the intent to participate in an easement is declared unless the land was acquired by will or succession as a result of the death of the previous owner; or the Department determines that the new owner did not acquire such land for the purpose of placing it in the WRP. This program is excluded from coverage under OMB Circular No. A- 87. e period in which the intent to participate in an easement is declared unless the land was acquired by will or succession as a result of the death of the previous owner; or the Department determines that the new owner did not acquire such land for the purpose of placing it in the WRP. This program is excluded from coverage under OMB Circular No. A- 87. The 12 month requirement is not applicable to restoration agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit an application to enroll to the local NRCS office that serves the area in which the farm or ranch is located during the designated sign-up period.

**Award Procedure:**

The States will provide a list of potential acceptable offers and request for allocation of funds. The Department will allocate funding in a manner designed to achieve cost effectiveness and maximum wetland restoration based wildlife benefits. The States will notify the landowners of the status of their application. This process will be completed as soon as practical after funding becomes available. For all tentatively accepted applications, a determination of easement compensation value will be made according to the current procedures as prescribed by the Secretary.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS. Landowner application may remain on sign-up list for subsequent funding consideration.

**Appeals:**

Landowner may appeal certain determinations to the National Appeals Division.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Lump sum payments or no less than 5 nor more than 30 annual payments of equal or unequal value are made for easements.

Cost-share payments of 100 percent of the cost of implementing the Wetland Restoration Plan will be paid for a permanent easement with 75 percent of permanent easement amounts being paid for 30-year easements, 30-year contracts and restoration cost-share agreements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor. See the following for information on how assistance is awarded/released: Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be filed in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-4336-0-1-302; 12-1080-0-1-302.

**Obligations:**

(Salaries) FY 08 \$33,140,912; FY 09 est \$30,768,632; FY 10 est \$31,389,000. (Project Grants (Discretionary)) FY 08 \$149,757,783; FY 09 est \$404,942,681; FY 10 est \$359,774,550

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV of the Catalog.

**Headquarters Office:**

Ken Murray 1400 Independence Ave, SW  
South Building, Room 6238, Washington, District of Columbia 20013 Email:  
Ken.Murray@wdc.usda.gov Phone: 2027200982

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All offers are screened at both the local and State level to determine the acceptability of the application to ensure that offers will not be accepted in excess of the value as determined by the method prescribed by the Secretary. Offers will be evaluated based on the environmental benefits and government expenditures on restoration and easement purchase and the requirement that wildlife benefits be maximized.

**10.086 AQUACULTURE GRANTS PROGRAM (AGP)**

Aquaculture Grants Program

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

The purpose of this program is to provide assistance to eligible aquaculture producers.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The grants will be used to aid struggling aquaculture producers for losses associated with the high feed input costs during the 2008 calendar year.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants will apply for assistance through the State Departments of Agriculture or similar state government entities in each state.

**Award Procedure:**

The Commodity Credit Corporation (CCC) will award \$50 million to States by July 2009. Grants will be made on a pro rata basis based on the amount of agriculture feed used in each state during the 2007 calendar year, as determined by CCC.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-3317-0-3-351.

**Obligations:**

(Formula Grants) FY 08 not reported.; FY 09 est \$50,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell Farm Service Agency, Production, Emergencies, and Compliance Division  
1400 Independence Ave SW  
Stop 0510, Washington, District of Columbia 20250 Email: amy.mitchell@usda.gov Phone: 202-720-8954

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.153 MARKET NEWS****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Cotton Statistics and Estimates Act, 7 U.S.C. 471- 473, 473b, 475-476; Tobacco Inspection Act, 7 U.S.C. 511h; Agricultural Marketing Act of 1946, 7 U.S.C. 1622k; Tobacco Statistics Act, 7 U.S.C. 501-508; Naval Stores Act, 7 U.S.C. 91-99; Cotton Futures Act, 7 U.S.C. 15b; Peanut Statistics Act, 7 U.S.C. 951-957; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To provide timely and accurate information on prices, demand, movement, volume, and quality on all major U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The information can be used by anyone as a basis for judging prevailing commodity values. Market news information widely distributed through a variety of electronic sources as well as fax and paper copies.

**Applicant Eligibility:**

Any public or private organization, or individual, including those located in the U.S. Territories, may subscribe to existing market news reports or bulletins pertaining to specific agricultural commodities.

**Beneficiary Eligibility:**

Anyone availing themselves of this service.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for Market News should be made to the appropriate commodity division of the AMS field office (see Appendix IV of the Catalog for listing of office locations).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in subscription. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries) FY 08 \$32,704,000; FY 09 est \$33,411,000; FY 10 est \$34,222,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MB-40, "The Federal- State Market News Services;" MB-41, "Market News Service on Cotton;" MB-61, "The Market News Service on Fruits, Vegetables, Ornamental and Specialty Crops;" MB-44, "The Market News Service on Grain;" MB-63 "Market News Service on Dairy, MB-60 Market News Service and Poultry Products;" MB-43, "Market News Service for Tobacco and Naval Stores;" Annual Market Statistical Summaries are available for sale only through the AMS commodity divisions.

**Regional or Local Office:**

See Regional Agency Offices. AMS field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW , Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

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

**RELATED PROGRAMS:**

10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.700 National Agricultural Library; 10.950 Agricultural Statistics Reports; 11.001 Census Bureau Data Products; 11.110 Manufacturing and Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.155 MARKETING AGREEMENTS AND ORDERS****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203, 7 U.S.C. 4501- 4513; Agriculture and Food Act of 1981, 7 U.S.C. 2242a.

**OBJECTIVES:**

Marketing Agreements and Orders are designed to stabilize market conditions and improve returns to producers through the establishment of minimum prices, regulating the quality and quantity of commodities sold through commercial channels, and providing market promotion.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The provisions of orders and agreements are designed specifically to meet the marketing and economic problems of the commodity or area covered. For dairy products, the orders establish orderly marketing conditions in the sale of milk by dairy farmers to handlers, whereas fruit, vegetable, nut, and grass seed, are established to regulate the quantity and quality of products sold in commercial channels.

**Applicant Eligibility:**

Marketing orders are issued by the Secretary of Agriculture only after a public hearing where milk, fruit and vegetable producers, marketers, and consumers testify, and after farmers vote approval through a referendum. Growers of certain fruits, vegetables, and specialty crops (like nuts, raisins, olives, and hops). Dairy farmers are the primary applicants.

**Beneficiary Eligibility:**

The beneficiaries are producers of milk, fruit and vegetable products.

**Credentials/Documentation:**

Evidence (usually hearings) required indicating that agreement or order will assist in the orderly marketing of a commodity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter to the Secretary of Agriculture fully documenting the need for an agreement or order.

**Award Procedure:**

Decision to establish or not to establish an agreement and order is made by the Secretary of Agriculture after public hearings and referendums are conducted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Subject to time required to hold public hearings, investigations and to conduct a

referendum. Approximately 1 year after start of public hearings.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreement and order. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Financial and program audits pertaining to marketing agreements and order transactions are made periodically.

**Records:**

Financial and statistical records relating to the operation of the agreement and order are to be maintained for 3 years.

**Account Identification:**

12-5209-0-2-605.

**Obligations:**

(Salaries) FY 08 \$15,014,622; FY 09 est \$17,270,000; FY 10 est \$20,056,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Marketings conducted under agreements and orders: fiscal year 2008, estimated \$25 billion. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

AH-421, Compilation of Agricultural Marketing Agreement Act; PA947, Can a Marketing Order Help?; PA-1095, Marketing Agreements and Orders for Fruits and Vegetables; AMS-565, Sources of Milk for Federal Order Markets by State and County; AMS-559, Questions and Answers on Federal Milk Marketing Orders; MB-27, The Federal Milk Marketing Order Program; SB-625, Federal Milk Order Market Statistics, Annual Summary; SB-624, Dairy Market Statistics, Annual Summary; MB-63, Market News Service on Dairy Products; How to Buy Dairy Products, HG-201; How to Buy Cheese, HG-193; How to Buy Butter, HG-148; Dairy Products Grading Services, MB-69; Judging and Scoring Milk and Cheese, FB-2259.

**Regional or Local Office:**

None.

**Headquarters Office:**

David Shipman 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-4276

**Website Address:**

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

**RELATED PROGRAMS:**

10.051 Commodity Loans and Loan Deficiency Payments; 10.500 Cooperative Extension Service; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.156 FEDERAL-STATE MARKETING IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, Section 204b, 7 U.S.C. 1623(b).

**OBJECTIVES:**

To assist in exploring new market opportunities for U.S. food and agricultural products and to encourage research and innovation aimed at improving the efficiency and performance of the marketing system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Proposals may deal with barriers, challenges or opportunities manifesting at any stage of the marketing chain including direct, wholesale, and retail. Proposals may involve small, medium or large scale agricultural entities but should potentially benefit multiple producers. Proprietary proposals that benefit one business or individual will not be considered. Proposals that address issues of importance at the State, regional or national level are appropriate for FSMIP. FSMIP also seeks unique proposals on a smaller scale that may serve as pilot projects or case studies useful as a model for others. Of particular interest are proposals that reflect a collaborative approach between the States, academia, the farm sector and other appropriate entities and stakeholders.

**Applicant Eligibility:**

State Departments of Agriculture, State Agricultural Experiment Stations and other appropriate State agencies.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

A grant agreement is entered into between the administering Federal agency and the State agency that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424 and SF-424A, a narrative description of the proposal, and a supplemental budget. Supporting documents such as letters of support may be submitted.

**Award Procedure:**

The requests are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Feb 11, 2009 Mid-February.

**Range of Approval/Disapproval Time:**

> 180 Days. 4-5 months from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

> 180 Days. Awards are generally for one year. Additional time to complete

the project may be requested.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made to the States on an as needed, reimbursable basis over the grant period. Advance payments may be requested. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

States must keep all records relating to the grant for 3 years.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants (for specified projects)) FY 08 \$3,186,537; FY 09 est \$1,334,000; FY 10 est \$1,334,000

**Range and Average of Financial Assistance:**

\$21,000 to \$135,000. Average: \$51,385.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, grant applications were received for 64 projects from 39 States and territories; 25 projects from 24 States were funded. Fiscal Year 2009: In fiscal year 2009, it is estimated that 25 projects will be funded. Fiscal Year 2010: In fiscal year 2010, it is estimated that 25 projects will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A request for proposals is announced each fall via agency press release, Federal Register notice, a letter to state departments of agriculture, and the program web site. Additional information about the Federal-State Marketing Improvement Program as well as links to final project reports are available at the program web site.

**Regional or Local Office:**

None.

**Headquarters Office:**

Janise Zygmunt 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-8043

**Website Address:**

<http://www.ams.usda.gov/tmd/fsmip.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project selection is based on several factors: relative need or importance of the problem to be addressed; benefits likely to be derived in relation to the funds requested; level of state and other nonfederal support; potential impact on other states or issues of national importance; measures to be used in evaluating the impact of the project; and unique innovative features of the project.

**10.162 INSPECTION GRADING AND STANDARDIZATION**

(Agricultural Fair Practices Act)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d; Cotton Futures Act, 7 U.S.C. 15b; Cotton

Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99; Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 4501-4513; Tobacco Statistics Act, 7 U.S.C. 501-508; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To develop and apply standards of quality and condition for agricultural commodities; to participate and assist in the development of international agricultural standards; and to conduct quarterly inspections of egg handlers and hatcheries.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

USDA grades are used by the owners of agricultural commodities and by dealers in these commodities to Hatcheries and shell egg handlers, except for producer-packers with an annual production from 3,000 hens or less packing for the retail consumer are required to be checked quarterly to determine the disposition of certain undergrade eggs.

**Applicant Eligibility:**

Any owner of or dealer in agricultural commodities who (a) has a financial interest in the commodity to be graded and (b) is located within the United States and its Territories. All hatcheries and shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located within the U.S. or its Territories.

**Beneficiary Eligibility:**

Buyers and sellers of agricultural commodities. Shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located in the U.S. or its Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request for grading of a commodity must be submitted to local AMS grading office in writing. Eligible hatcheries apply for registration by contacting: Chief, Poultry Grading Branch, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250.

**Award Procedure:**

Eligible hatcheries and shell egg handlers must complete registration forms.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

In cases in which applicants do not agree with the grade given, they may appeal for a review of the grade to the local AMS office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreements. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-8015-0-7-352; 12-2500-0-1-352.

**Obligations:**

(Salaries) FY 08 \$203,825,000; FY 09 est \$203,584,000; FY 10 est \$209,446,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Number of samples of cotton classed in (thousands) fiscal year 2008, 18,300. Kilograms of imported and domestic tobacco inspected in (millions) fiscal year 2008, 84. Pounds of poultry products graded (in millions) fiscal year 2008, 8,500. Pounds of meat graded or accepted (in millions) fiscal year 2008, 21,200. Shell eggs graded (mil. dz.) fiscal year 2008, 1,850. Processed fruit and vegetable grading (mil. lbs.) fiscal year 2008, 14,900. Fresh fruit and vegetable grading (mil. lbs.) fiscal year 2008, 58,000. Dairy products grading (mil. lbs.) fiscal year 2008, 920. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 26-32, 41-70, 160- 171, 205; AH-533, "USDA Standards for Food and Farm Products;" Marketing Bulletin No. 37, "The Story of Cotton;" " Annual Report on Tobacco Statistics, AH-566, The Classification of Cotton;" Misc. Pub. No. 867, "Tobacco in the U.S.;" quarterly report-- "Tobacco Stocks Reports as of Jan. 1, April 1, July 1, and October 1;" MS-82, "Cotton Testing Service;" AMS-180 MB-41, "Market News Service on Cotton;" MB-43, 7 CFR 2851, 2852, 2853, 2855, 2856, 2858, 2870, 28171; AH-341, "USDA Standards for Food and Farm Products." AH-31, "Poultry Grading Manual." AH-75, "Egg Grading Manual." Egg and Egg Products Inspection Regulations (7 CFR Part 2859); POB-FL-33, Tobacco Market Review for Flue-cured; POB-LA-34, Tobacco Market Review for Burley; POB-LA-33, Tobacco Market Review for Fire and Dark Air.

**Regional or Local Office:**

See Regional Agency Offices. Local Agricultural Marketing Service inspection, grading, and classing offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-4276

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.163 MARKET PROTECTION AND PROMOTION**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627, 7 U.S.C. 2101-2119; Egg Research and Consumer Information Act, 7 U.S.C. 2701-2718; Export Apple and Pear Act, 7 U.S.C. 581-590; Export Grape and Plum Act, 7 U.S.C. 591-599; Federal Seed Act, 7 U.S.C. 1551-1611; National Wool Act of 1954, as amended, 7 U.S.C. 1787; Plant Variety Protection Act, 7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401- 2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583; 7

U.S.C. 4301-4319; Cotton Research and Promotion Act, 7 U.S.C. 2101-2118; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 5111; Agricultural Fair Practices Act, 7 U.S.C. 2301-2306; Capper Volstead Act, 7 U.S.C. 291-292; Potato Research and Promotion Act, 7 U.S.C. 2611-2627; Beef Promotion and Research Act of 1985, 7 U.S.C. 2901-2911; Pork Promotion, Research, and Consumer Information Act of 1985, 7 U.S.C. 1612-1631; Dairy Research and Promotion Act, 7 U.S.C. 4501-4513, 4532; Watermelon Research and Promotion Act, 7 U.S.C. 4901-4916; Honey Research Promotion and Consumer Information Act, 7 U.S.C. 4601-4612; Soybean Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6301-6311; Mushroom Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6101-6112; Fluid Milk Promotion Act of 1990, 7 U.S.C. 6401-6417; Organic Foods Production Act of 1990, 7 U.S.C. 6501-6522; Fresh Cut Flowers and Fresh Cut Greens Promotion and Information Act of 1993, 7 U.S.C. 6801-6814; Popcorn Promotion Research, and Consumer Information Act, 7 U.S.C. 7481-7491; National Kiwifruit Research, Promotion, and Consumer Information Act, 7 U.S.C. 7461-7473.

**OBJECTIVES:**

The Federal Seed Program prevents mislabeled seed from moving in interstate commerce by providing for random sampling of seeds to insure accurate labeling of seed characteristics. The Plant Variety Protection Program offers legal protection to developers of new varieties of plants which reproduce by providing the equivalent of a patent to the plant's developer. The Research and Promotion Programs provide for the collection of an assessment for each commodity covered by statutes to enable the commodity industries to carry out research and promotion activities. It is the responsibility of the Agricultural Marketing Service to assure responsible use of these assessments in meeting the research and promotion objective. The Dairy and Tobacco Adjustment Act authorized the establishment of a National dairy promotion research and nutrition education program. To eliminate deceptive, unfair and fraudulent trade practices in the processing and marketing of food and agricultural products; provide assistance to those striving to achieve this objective. The Pesticide Data Program works with participating States to collect and analyze data on pesticide use and residue levels for selected commodities in the nation's food supply. This program provides statistically based data to Federal agencies for use in making policy decisions for regulatory and educational purposes.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided to assure fair and open marketing distribution system for agricultural products.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, and universities may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service.

**Credentials/Documentation:**

As provided for in applicable Acts as referred to in the Authorization Section above. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Procedures vary as provided for in applicable Acts. Contact appropriate area offices as listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries) FY 08 \$29,628,000; FY 09 est \$39,913,000; FY 10 est \$42,917,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Seed samples tested: Fiscal year 2008, 1,893. Plant variety certificates of protection issued: Fiscal year 2008, 338. Pesticide data samples collected: Fiscal year 2008, 13,000. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PA-655 "Export Fruit Acts-Questions and Answers," AMS-592, Facts About Naming and Labeling Varieties of Seed," "The Plant Variety Protection Act," requirements under the Federal Seed Act for Labeling treated Seed," 7 CFR 33-35, 101- 151,201-202; PA-1005, "Farmers Rights Under the Agricultural Fair Practices Act."

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-4276

**Website Address:**

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

**RELATED PROGRAMS:**

10.155 Marketing Agreements and Orders; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.164 WHOLESALE FARMERS AND ALTERNATIVE MARKET DEVELOPMENT**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946.

**OBJECTIVES:**

To provide technical assistance to States and municipalities interested in creating or upgrading markets and marketing facilities.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided in cooperation with other government agencies and private industry to reduce marketing costs.

**Applicant Eligibility:**

Other government agencies and private industry. State, trade associations, universities, and other nonprofit organizations are eligible to apply for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, or OMB Circular No. A-21 for Educational Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA. The standard application forms as furnished by the Federal agency must be used for this program.

**Award Procedure:**

As provided for in the Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in the Act.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

As provided for in the Agreement.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 08 \$3,609,000; FY 09 est \$2,836,000; FY 10 est \$2,903,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Improved distribution of products for producers by identifying marketing opportunities, providing analysis to help take advantage of those opportunities, developing and evaluating solutions including improved farms markets and other direct-to-consumer activities, researching and developing marketing channels, providing information and education, encouraging adoption of improved post-harvest technology, and designing market facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 690-1305.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Study on the design of central refrigeration systems in modern food centers; study of wholesale and farmers' market use for distributing produce. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.165 PERISHABLE AGRICULTURAL COMMODITIES ACT**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Perishable Agricultural Commodities Act of 1930, as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497.

**OBJECTIVES:**

To reduce unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce. To prevent the destruction or dumping, without good and sufficient cause of farm produce received in interstate commerce by commission merchants and others and to require them truly and correctly to account for all farm produce received by them.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Assistance provided to assure a fair and open marketing distribution system for agricultural products. No specific restrictions.

**Applicant Eligibility:**

Business and industry or individuals may apply for a PACA license.

**Beneficiary Eligibility:**

Business and industry or individuals may apply for a PACA license.



**Credentials/Documentation:**

As provided for in the Perishable Agricultural Commodities Act, 1930 as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate area offices listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released:

As provided for in applicable Acts.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As provided for in applicable Acts.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-5070-0-2-352.

**Obligations:**

(Investigation of Complaints) FY 08 \$9,829,000; FY 09 est \$10,325,000; FY 10 est \$10,623,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, AMS was contacted by members of the trade for assistance in resolving 1,715 commercial disputes. Of these disputes, more than 89 percent were resolved informally involving approximately \$20.4 million. Decisions and orders were issued in 358 formal reparation cases involving award amounts totaling approximately \$8.3 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Perishable Agricultural Commodities Act of 1930, and Regulations (other than rules of practice).

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-4276

**Website Address:**

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

**RELATED PROGRAMS:**

36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.167 TRANSPORTATION SERVICES****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Adjustment Act of 1938, 7 U.S.C 1281 et seq.; Cooperative Marketing Act of 1926, 7 U.S.C 291-292; Rural Development Act of 1972, 7 U.S.C 2662-2663; Agricultural Trade and Assistance Act of 1954, 7 U.S.C 1427,1431,1691; International Carriage of Perishable Foodstuff Act of 1982; Agricultural Marketing Act of 1946, 7 U.S.C 1621.

**OBJECTIVES:**

The Transportation Services program develops and promotes efficient agriculture transportation systems to help improve farm income, expand exports and meet the needs of rural America. The program provides technical and administrative direction, coordination, and leadership in the development and execution of agricultural transportation policies. Transportation Services provides a basis for Federal-State decision-makers in regulatory, policy and legislative matters in order to assure the transportation needs of rural communities and agriculture.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided where it is determined that there is a significant regional or policy issue with potentially broad implications.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, universities, and nonprofit organizations may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No formal application procedure specified; informal correspondence or personal contact is permissible. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 08 \$2,737,000; FY 09 est \$2,845,000; FY 10 est \$2,921,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 50 reports and analyses, 6 periodic reports, and numerous other studies, papers, and workshops were completed.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-690-1305

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.168 FARMERS' MARKET PROMOTION PROGRAM**

(Farmers' Market Promotion Program)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To increase domestic consumption of agricultural commodities assisting in the improvement and expansion of domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities; and develop, or aid in the development of, new farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer infrastructures.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Projects must improve and expand, or assist in the improvement and expansion of, domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities through innovative approaches to market operations and management, improving access to relevant marketing and financial information, and consumer-based education and market access. Eligible entities must apply for FMPP funds on behalf of direct marketing operations that include two or more farmers/farm vendors who produce and sell their own products through a common distribution channel. Use of funds are based on documented needs, excluding, however, routine operational expenses such as management salaries or other salaries associated with normal operation of farm markets/marketing entities, utility bills, and insurance premiums. FMPP grant funds cannot be used to pay for acquisition, repair, rehabilitation, or construction of a building or facility; acquisition of land; political or lobbying activities; or any activities prohibited by 7 CFR parts 3015 and 3019. Additional detail and justification must be provided for any purchase that is expected to exceed \$5,000.

**Applicant Eligibility:**

Agricultural cooperatives, local governments, nonprofit corporations, public benefit corporations, economic development corporations, regional farmers market authorities, and Tribal governments. Projects must be located within the 50 States or the District of Columbia.

**Beneficiary Eligibility:**

Direct marketing operations that include two or more farm vendors who produce and sell their own products through a common marketing channel, and consumers.

**Credentials/Documentation:**

Applicants must provide documentation as to how they meet the definition of an eligible entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424, SF-424A, and SF-424B, an eligibility statement, a narrative description of the proposal including project title, executive summary, goals, background, workplan and resource requirements, and expected results, a supplemental budget summary, and any supporting documents such as letters of support.

**Award Procedure:**

Applications are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 to 180 days from the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are not to exceed 18 months. Grant payments are made on an as-needed basis over the grant period. Advance payments may be requested. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Progress reports are required at the midpoint of projects approved for one year and at 6-month intervals for projects of longer duration. A final report of results and accomplishments and form SF 269A must be submitted no later than 90 days after the grant ends. As provided for in agreements. As provided for in agreements.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees and sub-grantees must keep all records relating to the grant for 3 years from the date the SF-269A is submitted to the Agricultural Marketing Service.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$3,000,000; FY 09 est \$5,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

The maximum grant is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Eighty-five projects from 43 States have been selected for funding out of 225 proposals received from 48 States. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for the Farmer Market Promotion Program are posted at <http://www.ams.usda.gov/tmd/MSB/index.htm> or may be obtained from the Farmers Market Promotion Program contact.

**Regional or Local Office:**

None.

**Headquarters Office:**

Errol Bragg 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: 202-720-8317

**Website Address:**

<http://www.ams.usda.gov/tmd/MSB/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the following criteria: need for the project, direct benefit to farmers/vendors, project innovation, degree of collaboration/partnerships and farmer/producer participation, quantitative evaluation and measurement of the project's impact, long-term project sustainability, transferability of project outcomes, and reasonableness of the budget.

**10.169 SPECIALTY CROP BLOCK GRANT PROGRAM**

(SPECIALTY CROP BLOCK GRANT PROGRAM)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note.

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, universities, and general public.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 1290.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants generally have 3 years to use the funds, but extensions may be granted. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The State is required to conduct an audit of the expenditures of specialty crop block grant funds in accordance with Government Auditing Standards not later than 60 days after expiration of the grant period. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Formula Grants) FY 08 \$8,422,000; FY 09 est \$0; FY 10 est \$0 - This program was not funded in FY 2009 and is not expected to be funded in FY 2010.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Trista Etzig 1400 Independence Ave. SW, Rm. 2077, Stop 0235, Washington, District of Columbia 20250 Email: trista.etzig@ams.usda.gov Phone: 2026904942

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated based on the potential for enhancing the competitiveness of specialty crops.

**10.170 SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops. Funds under this program may be used to support horticulture, including turfgrass sod and herbal crops; horticulture is not eligible under 10.169. Use of funds will be monitored to ensure that funds are promoting specialty crops as defined under the Specialty Crop Competitiveness Act of 2004.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State

government responsible for agriculture within the State. Guam, American Samoa, U.S. Virgin Islands, and Northern Mariana Islands are eligible to receive grants under this program; they are not eligible under 10.169.

**Beneficiary Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops. In developing their plans, States must take into consideration the views of beginners and socially disadvantaged farmers and ranchers, and take steps to perform outreach to these groups. State plans should be developed through a competitive process in order to ensure maximum public input and benefit. The States should develop a transparent process of receiving and considering public comment. States are encouraged to submit grant plans that include multi-State and regional project proposals.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants have up to 3 years to use the funds. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

audit of the expenditures of specialty crop block grant funds. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Formula Grants) FY 08 \$10,000,000; FY 09 est \$49,000,000; FY 10 est \$55,000,000

**Range and Average of Financial Assistance:**

As provided for in applicable statutes.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Trista Etzig 1400 Independence Ave. SW, Rm. 2077, Stop 0235, Washington, District of Columbia 20250 Email: trista.etzig@ams.usda.gov Phone: 2026904942

**Website Address:**

None.

**RELATED PROGRAMS:**

10.169 Specialty Crop Block Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.200 GRANTS FOR AGRICULTURAL RESEARCH, SPECIAL RESEARCH GRANTS**

Special Research Grants (SRGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 2 (c), Public Law 89-106, 7 U.S.C. 450i(c), as amended, 7 U.S.C. 450i(c).

**OBJECTIVES:**

To carry out research, to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the nation and to facilitate or expand on-going State-Federal food and agricultural research programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Awards are generally limited to high priority problems of a regional or national scope. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Funds shall not be used for tuition remission.

Generally, Indirect Costs are generally not allowable for this program. Please refer to RFA, Part IV.D. Applications Funding Restrictions for specific details.

However, the following programs are EXCEPTIONS to the general rule:

- (1) Aquaculture Centers [ 7 U.S.C. 3322(d)]
- (2) Critical Agricultural Materials (Pub. L. 95-592)
- (3) Federal Administration - Research
- (4) Pest Management Alternatives (aka PMAP) and
- (5) Supplemental and Alternative Crops [ 7 U.S.C. 3319d (c)].

For the above-referenced five (5) EXCEPTIONS to the general rule, the following provisions are applicable:

Section 7132 of the Food, Conservation, and Energy Act of 2008 amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs for grants to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

The following Special Note is also applicable to the above-referenced five (5) exceptions to the Indirect Cost provisions:

**\*\*Special Note - Use of Indirect Costs as In-Kind Matching Contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

For Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special

Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators,

and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Specific deadline dates are announced on the Agencies website:

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

Contact the headquarters, as appropriate, for application deadlines. See Section : 152 for specific details.

Further, dates for specific deadlines are announced in the RFA each fiscal year.

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

Generally, NIFA does NOT require matching or cost sharing support for this program.

However, the Rangeland Research Program is an EXCEPTION to the general rule. The following represents pertinent information regarding the Rangeland Research Program [7 U.S.C. 3333(a)(1)]:

Pursuant to Section 1480 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 as amended [7 USC 3333(b)(1)], applicants are required to provide 50 percent matching funds from non-federal sources for all proposed Federal funds sought in the application. Non-federal matching contributions, such as cash and third party in kind, are accepted under this program as qualified by 7 USC 3015 and 7 USC 3019.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be

submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$99,827,359; FY 09 est \$93,608,517; FY 10 est \$93,608,517 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: (Data must be provided by Program Unit at a future date.).  
Fiscal Year 2009: (Data must be provided by Program Unit at a future date.).  
Fiscal Year 2010: (Data must be provided by Program Unit at a future date.).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW, STOP 2240., Washington , District of Columbia 20024 Phone: (202) 401-1761

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206 Grants for Agricultural Research\_Competitive Research Grants; 10.207 Animal Health and Disease Research; 10.215 Sustainable Agriculture Research and Education; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Interregional Research Project #4 Minor Crop Pest Management Program (IR-4); SRGP: Potato Research; SRGP: Pest Management Alternatives Research; Aquaculture Product & Market Development; Global Change/Ultraviolet Radiation; Joe Skeen Inst for Rangeland Restoration; Pest Management Alternatives and/or Canola Research. Fiscal Year 2009: FY 2009 - Funding is anticipated for projects similar to FY '08 projects. Fiscal Year 2010: FY 2010 - Funding is anticipated for projects similar to FY '08 projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.202 COOPERATIVE FORESTRY RESEARCH**

McIntire-Stennis Cooperative Forestry Research Act (M/S) Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Executive Order Public Law 87-778 (76 Stat. 806, 16 U.S.C. 582a, et seq.) signed into law on October 10, 1962 is also known as the McIntire-Stennis Cooperative Forestry Research Act. , Public Law 87-778.

**OBJECTIVES:**

The purpose of this funding is to increase forestry research in the production, utilization, and protection of forestland; to train future forestry scientists; and to involve other disciplines in forestry research. Funding should also address the high priority issues described in the current M/S Strategic Plan: Sustaining Healthy and Productive Forests: An Investment in Americas Competitive Position in the Global Marketplace: (1) science of integration; (2) forest ecosystem services; (3) human attitudes and behaviors; (4) conflict, uncertainty, and decision-making; (5) technological advancements, productivity, and forest applications; and (6) urban ecosystems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The McIntire-Stennis Cooperative Forestry Research Act (M/S) grant is used to assist all states in carrying out a program of state forestry research at state forestry schools and colleges and developing a trained pool of forest scientists capable of conducting needed forestry research, which should include: (1) ecological restoration; (2) catastrophe management; (3) valuing and trading ecological services; (4) energy conservation, biomass energy and bio-based materials development; (5) forest fragmentation; (6) carbon sequestration and climate change; and (7) ways of fostering healthy forests and a globally competitive forest resources sector. Additionally, M/S funds should be allocated to the following high priority issues: (1) science of integration (ecosystem or landscape approaches including interdisciplinary multi-state projects); (2) forest ecosystem services; (3) human attitudes and behaviors; (4) conflict, uncertainty, and decision-making; (5) technological advancements

(biotechnology, nanotechnology and geospatial technology), productivity, and forest applications; and (6) urban ecosystems. Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Applications may be submitted by State-certified Schools of Forestry as stipulated in accordance with Section 2 of Public Law 87-788, McIntire-Stennis Act. Section 7412 of the Food, Conservation, and Energy Act of 2008 amended Section 2 of the McIntire-Stennis Cooperative Forestry Act (16 U.S.C. 582a-1) to include the 1890 Land-grant Institutions and made this change effective October 1, 2008. (1) Approved CSREES M/S Projects, CSREES will fund the M/S Program for authorized activities. Funds must be expended on approved M/S projects. (2) Cost-Sharing and Matching funds are mandated in Section 4 of the McIntire-Stennis Act (16 U.S.C. 582a-3). 7 CFR 3015.50-56 prescribes the standards applicable to determining the allowability of cash and in-kind contributions for matching funds. Matching funds also must be expended on approved M/S projects. Formula grant recipients are to provide matching (as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)), either cash or in-kind, on a dollar-for-dollar basis (100 percent) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000. (3) Waiver of Indirect Costs. Only applicable to Insular Areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) for amounts at or below \$200,000. (4) Indirect Costs and Tuition Remission. In accordance with Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as an M/S formula grant or matching expenditure.

**Applicant Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available to Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana Islands, and Micronesia.

**Beneficiary Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available in Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana, and Micronesia.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals

to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following: Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land ; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. All individual MS projects, as well as the annual Programs of Research, are reviewed and approved by the National Program Leader (NPL). Funds are not released on a quarterly basis unless an annual Program of Research is approved by the NPL.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**



Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Formula grant recipients are to provide matching [as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)], either cash or in-kind, on a dollar-for-dollar basis (100%) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

M/S funds are expected to be fully expended in the fiscal year (FY) of appropriation; however funds may be carried forward one (1) additional fiscal year (FY). These carryover funds must be fully expended by September 30 of the following year. No prior approval to carryover these funds is required from NIFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Institutions are expected to submit an annual Program of Research, a listing of all approved McIntire-Stennis projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; CSREES-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each M/S project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year. Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to CSREES for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to CSREES annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via CSREES Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, CSREES Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Financial Operations Branch (FOB)  
Formula Grants Section (F/S)  
Office of Extramural Programs (OEP)

National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees also are required to submit annual and summary progress reports via CSREES Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, CSREES Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$23,420,475; FY 09 est \$26,004,126; FY 10 est \$27,535,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Specific details will be provided by Program Unit at a future date. Fiscal Year 2009: Specific details will be provided by Program Unit at a future date. Fiscal Year 2010: Specific details will be provided by Program Unit at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Natural Resources and Environment  
1400 Independence Avenue, SW, STOP 2210, Washington, District of  
Columbia 20250-2210 Phone: (202) 720-4318 and 401-4190 Fax: (202)  
401-1706.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula  
Grant Opportunity (FGO).

**10.203 PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS  
UNDER THE HATCH ACT**

Hatch Act and The Hatch Act of 1887 aka

**PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER  
THE HATCH ACT:**

(A) The Hatch Act of 1887 (Regular Research)

(B) The Hatch Act of 1887 (Multistate Research Fund)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Hatch Act of 1887, as amended; Public Law 84-352, 7 U.S.C. 361a-361i;  
Education Amendments of 1972, Section 506, Public Law 92-318; Public Law  
93-471; Public Law 95-113; Education Amendments of 1980, Section 1361,  
Public Law 96-374, 7 U.S.C. 301; Public Law 97-98; Public Law 99-198;  
Public Law 101-624; Public Law 104-127; Public Law 105-185.  
, Public Law 084-352, 7 U.S.C 361.

**OBJECTIVES:**

To support agricultural research at State Agricultural Experiment Stations. Its  
purpose is to promote efficient production, marketing, distribution, and  
utilization of products of the farm as essential to the health and welfare of  
people and to promote a sound prosperous agriculture and rural life. Up to 25  
percent (25%) of funds to be used for integrated cooperative research and  
extension activities.

**TWO (2) PROGRAMS ARE FUNDED UNDER CFDA 10.203. SPECIFIC  
OBJECTIVES ARE AS FOLLOWS:**

(A) The Hatch Act of 1887 (Regular Research)

The Hatch Act of 1887 provides the basis for Federal funding for agricultural  
research activities at the State Agricultural Experiment Stations in the 50 States,  
the District of Columbia, and the Insular Areas.

State Agricultural Experiment Stations are eligible for funds appropriated under  
this Act according to the following formula: The previous years base plus the  
current year increase as follows:

Three percent (3%) for Federal Administration,

Twenty percent (20%) equally,

Twenty-six percent (26%) in an amount which bears the same ratio to the total  
amount to be allotted as the rural population of the State bears to the total rural  
population of all the States as determined by the last preceding decennial  
census;

Twenty-six percent (26%) t in an amount which bears the same ratio to the total  
amount to be allotted as the farm population of the State bears to the total farm  
population of all the States as determined by the last preceding decennial  
census; and

Twenty-five percent (25%) for the Hatch Multistate Research Fund.

(B) The Hatch Act of 1887 (Multistate Research)

Not less than twenty-five percent (25%) of the total Hatch Act of 1887 funding  
is allotted to the States for cooperative research employing multidisciplinary  
approaches in which a State agricultural experiment station, working with  
another State agricultural experiment station, the Agricultural Research Service,  
or a college or university, cooperates to solve problems that concern more than  
one (1) State. These funds are designated as the Multistate Research Fund,  
State Agricultural Experiment Stations. Funds are allocated on a prorata basis  
and allocations are adjusted to support national and regional projects. These  
projects and their associated budgets are reviewed and approved annually.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

**USES:**

Money appropriated pursuant to this Act shall also be available, in addition to  
meeting expenses for research and investigations conducted under authority of  
Section 2, for printing and disseminating the results of such research, retirement  
of employees subject to the provisions of an Act approved March 4, 1940 (54  
Stat. 39), administrative planning and direction, and for the purchase and rental  
of land and the construction, acquisition, alteration, or repair of buildings  
necessary for conducting research. The State Agricultural Experiment Stations  
are authorized to plan and conduct any research authorized under Section 2 of  
this Act in cooperation with each other and such other agencies and individuals  
as may contribute to the solution of the agricultural problems involved, and  
moneys appropriated pursuant to this Act shall be available for paying the  
necessary expenses of planning, coordinating, and conducting such cooperative  
research. Up to twenty-five percent (25%) of funds to be used for integrated  
cooperative research and extension activities.

(A) The Hatch Act of 1887 (Regular Research)

This grant is used to support continuing agricultural research at institutions  
eligible to receive funds under the Act approved July 2, 1862 (12 Stat. 503, as  
amended) (1862 Land-Grant Institutions), as well as State agricultural  
experiment stations. Funds appropriated under this section shall be used to  
conduct original and other researches, investigations, and experiments bearing  
directly on and contributing to the establishment and maintenance of a  
permanent and effective agricultural industry of the United States, including  
researches basic to the problems of agriculture in its broadest aspects, and such  
investigations as have for their purpose the development and improvement of  
the rural home and rural life and the maximum contribution by agriculture to  
the welfare of the consumer, as may be deemed advisable, having due regard to  
the varying conditions and needs of the respective States. Further, funds may be  
used printing and disseminating the results of such research, retirement of  
employees subject to the provisions of an Act approved March 4, 1940 (54 Stat.  
39), administrative planning and direction, and for the purchase and rental of  
land and the construction, acquisition, alteration, or repair of buildings  
necessary for conducting research.

(B) The Hatch Act of 1887 (Multistate Research)

In addition to the uses applicable to the Regular Research funds, Multistate  
Research funds must be used for cooperative research employing  
multidisciplinary approaches in which a State agricultural experiment station,  
working with another State agricultural experiment station, the Agricultural  
Research Service, or a college or university, cooperates to solve problems that  
concern more than one (1) State.

These funds are known as the Hatch Multistate Research Fund (MRF).

**RESTRICTIONS:**

(A) The Hatch Act of 1887 (Regular Research)

(1) Approved NIFA Hatch Projects

Hatch Federal funding must be used on approved Hatch projects including  
Hatch Multistate Research Fund (MRF) projects.

(2) Matching

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with  
regard to institutions in the 50 states, no allotment shall be made to a State  
under subsection (b) or (c), and no payments from the allotment shall be made  
to a State, in excess of the amount that the State makes available out of  
non-Federal funds for agricultural research and for the establishment and  
maintenance of facilities for the performance of the research. However,  
section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that  
Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds

requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

### (3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch formula grant expenditures.

### (B) The Hatch Act of 1887 (Multistate Research)

#### (1) Approved NIFA Hatch MRF Projects

Hatch MRF Federal funding must be used on approved Hatch MRF projects.

#### (2) Matching

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

### (3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch MRF formula grant expenditures.

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from

non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

### **Applicant Eligibility:**

#### (A) The Hatch Act of 1887 (Regular Research)

Hatch Act funds are provided for agricultural research on an annual basis to the State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

#### (B) The Hatch Act of 1887 (Multistate Research)

Hatch Act funds are provided for agricultural research on an annual basis to the State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

### **Beneficiary Eligibility:**

Funds under the Hatch Act are allocated in accordance with the statutory formula stated in the Act to the State agricultural experiment stations of the 50 States, the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, Micronesia, and Northern Mariana Islands. These institutions have been identified and declared eligible by their respective State legislatures.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one (1) free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the

information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one (1) time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one (1) of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. State Five (5) year plans of work must be submitted to and approved by NIFA before funds are released. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

The Office of Planning and Accountability and CRIS Office will notify the OEP Financial Operations Branch regarding each institutions compliance with the Plan of Work reporting requirements [i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results]. If all current program and administrative requirements have been met by the eligible

institution, funding will continue to be released on a quarterly basis. The OEP Financial Operations Branch will notify the institutions when all requirements have been met or approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Section :094 - Deadlines:

Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title The Hatch Act of 1887, Public Law 084-352. 7 U.S.C. 361c(d)(1)

Formula: Payments to States for fiscal year (FY) 1955 was a fixed base and sums appropriated in excess of 1955 level use the following fund allocation statistical factors:

- (1) Twenty percent (20%) allotted equally to each State;
- (2) Not less than Fifty-two percent (52%) to States as follows: One-half (1/2) in an amount which bears the same ratio as the rural population of the State bears to the total rural population of all the States (and the source is the 1990 Decennial Census); and one-half (1/2) in an amount which bears the same ratio as the farm population of the State bears to the total farm population of all the States (and the source is the 1990 Decennial Census); and
- (3) At least Twenty-five percent (25%) to States for cooperative research in which two (2) or more State agricultural experiment stations are cooperating to solve problems of agriculture in more than one (1) State.

Matching Requirements: Percent: 100%. (A) The Hatch Act of 1887 (Regular Research) (B) The Hatch Act of 1887 (Multistate Research)

100 percent. However, the state agricultural experiment stations in the District of Columbia and the insular areas shall provide non-Federal matching funds equal to not less than 50% of the formula funds distributed by the Secretary of Agriculture. This requirement may be waived by the Secretary.

(B) The Hatch Act of 1887 (Multistate Research)

Required Multistate Match amounts are disclosed in FGO.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Hatch funds are expected to be fully expended in the fiscal year (FY) of appropriation; however, funds may be carried over for up to one (1) year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one (1) additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided. Method of awarding/releasing assistance: quarterly.

**Reports:**

Institutions are expected to submit an annual Program of Research, a listing of all approved Hatch projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each Hatch project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421,

Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1 for the preceding calendar year. Reports from institutions reporting on a fiscal year (FY) shall be submitted by February 1 for the preceding fiscal year (FY).

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the

same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year (FY) basis and are to be submitted by February 1.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual

Report of Accomplishments and Results. Both reports were due by April 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Section (F/S)  
Financial Operations Branch (FOB)  
Office of Extramural Programs (OEP)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

#### **Audits:**

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

accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 08 \$184,555,935; FY 09 est \$195,318,449; FY 10 est \$196,100,220 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO). See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Specific details will be provided by Program Unit at a future date. Fiscal Year 2009: Specific details will be provided by Program Unit at a future date. Fiscal Year 2010: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Hatch (Experiment Station) Act as amended, Agricultural Handbook No. 381 revised November 1980; Manual for Cooperative Regional Research, revised 1986; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-5877 or (202) 720-0747 Fax: (202) 401-4888

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206 Grants for Agricultural Research\_Compétitive Research Grants; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Will be provided by Program at a future date. Fiscal Year 2009: Will be provided by Program at a future date. Fiscal Year 2010: Will be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula

Grant Opportunity (FGO).

### **10.205 PAYMENTS TO 1890 LAND-GRANT COLLEGES AND TUSKEGEE UNIVERSITY**

Evans-Allen Research and/or Agricultural Research at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185., 7 U.S.C 321-326 and 328.

#### **OBJECTIVES:**

To support continuing agricultural research at colleges eligible to receive funds under the Act of August 30, 1890 (26 Stat. 417-419), as amended; 7 U.S.C. 321-326 and 328), including Tuskegee University and West Virginia State University. Its purpose is to promote efficient production, marketing, distribution and utilization of products of the farm as essential to the health and welfare of people and to promote a sounds prosperous agriculture and rural life.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

This grant is used to support continuing agricultural research at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University. Funds appropriated under this section shall be used for expenses of conducting agricultural research, printing, disseminating the results of such research, contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331), administrative planning and direction, and purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting agricultural research. The eligible institutions are authorized to plan and conduct agricultural research in cooperation with each other and such agencies, institutions and individuals as may contribute to the solution to the solution of agricultural problems, and funds appropriated pursuant to section 1445 shall be available for paying the necessary expenses of planning, coordinating and conducting such cooperative research. RESTRICTIONS:

(1) Approved NIFA Evans-Allen Research Projects  
NIFA will fund the Evans-Allen Research Program for authorized activities. Funds may be used on approved Evans-Allen Research Program projects.

(2) Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise

revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities.

Please note that while Federal funds must be expended on agricultural research, the matching funds may be used for agricultural research, agricultural extension, or qualifying educational activities. NIFA may consider and approve matching waivers above the 50 percent level.

(3) Indirect Costs and Tuition Remission

In accordance with NARETPA section 1473 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Evans-Allen Research Program formula grant expenditures.

#### **Applicant Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University.

#### **Beneficiary Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this

program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

The Office of Planning and Accountability and the OEP Formula Grants Section will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current. To receive an annual allotment of funds, each eligible institution or State must first submit a plan of work to NIFA for approval. During the grant period, the Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved. The Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis.

The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Evans-Allen Research, Public Law 95-113. 7 U.S.C. 321326 and 328

The 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, are eligible for funds appropriated under this Act according to the following formula: Funds up to the total amount made available to all eligible institutions in the fiscal year ending September 30, 1978, under section 2 of the Act of August 4, 1965 (79 Stat.431; 7 U.S.C. 450i), shall be allocated among the eligible institutions in the same proportion as funds made available under section 2 of the Act of August 4, 1965, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. Of the funds in excess of that amount, 20 per cent shall be allotted among eligible institutions in equal proportions; 40 per cent shall be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institution are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and the balance shall be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated. In computing the distribution of the allocated funds, the allotments to Tuskegee University and Alabama A&M University shall be determined as if each institution were in a separate State.

Matching Requirements: Percent: 100.%. NARETPA section1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ...

Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement..

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Evans-Allen Research Program funds are fiscal year appropriated and expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one additional year. Please note there is no limitation on the amount of Federal funds that may be carried over for this one additional fiscal year. No prior approval from NIFA is required. Since this limitation is legislatively mandated, NIFA is not authorized to grant any carryover requests beyond this one additional year. Method of awarding/releasing assistance: quarterly.

**Reports:**

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Listing through the Current Research Information System at the initiation of each Evans-Allen Research project. Each eligible institution shall submit a CRIS Form AD-421, Accomplishments Report, annually.

Reports from institutions reporting on a calendar year should have been submitted by April 1, for the preceding calendar year. Reports from institutions reporting on a fiscal year should have been submitted by February 1, for the preceding fiscal year. An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project. A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and should have been submitted by February 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Grantees also are required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports: Formula Grants Section (F/S), Financial Operations Branch (FOB), Office of Extramural Programs (OEP), National Institute of Food and Agriculture (NIFA), U.S. Department of Agriculture (USDA), STOP 2298, 1400 Independence Avenue, SW, Washington, DC 20250-2298, Telephone: (202) 401-6520, Fax: (202) 690-3002, E-mail: [formulagrantquestions@nifa.usda.gov](mailto:formulagrantquestions@nifa.usda.gov). Pre-award form submissions must be submitted to the Evans-Allen Research Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) and Current Research Information System (CRIS) systems, and together satisfy all legislative and regulatory pre-award requirements. The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Section 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended NARETPA to require an approved Plan of Work for agricultural extension and research activities at 1890 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1890 Land-Grant Institution, including Tuskegee University and West Virginia State University, must submit both a Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results. Both reports are due April 1. Specific project details and pertinent information should be entered in CRIS as in prior years. CRIS is the Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part IV.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other

Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three (3) year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 08 \$38,719,803; FY 09 est \$42,926,170; FY 10 est \$43,035,408 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

FY08: Financial assistance amounts ranged from 69,020 to 500,000. Average across 18 grants was \$350,185

See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocations.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Specific details will be provided by Program Unit at a future date. Fiscal Year 2009: Specific details will be provided by Program Unit at a future date. Fiscal Year 2010: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for Evans-Allen Cooperative Agricultural Research, May 1982; (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development 1400 Independence Avenue, SW, STOP 2251, Washington , District of Columbia 20250-2251 Phone: (202) 401-2855 or (202) 690-0402 Fax: (202) 720-2030.

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.206 Grants for Agricultural Research\_Competitive Research Grants; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: An Integrated Process for Production of Ethanol and Biobased Products from Lignocellulosic Biomass

Effect of management practices on alpaca fiber production. Fiscal Year 2009: Information to be provided by Program at a future date. Fiscal Year 2010: Information to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**



Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

## **10.206 GRANTS FOR AGRICULTURAL RESEARCH\_COMPETITIVE RESEARCH GRANTS**

NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM (NRI)

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

Competitive, Special and Facilities Research Grant Act, Section 2(2)(b), [7 U.S.C. 450i] ., 7 U.S.C 450i.

### **OBJECTIVES:**

To support research, education and extension grants that address key problems of national, regional and multistate importance in sustaining all components of agriculture (farming, ranching, forestry, aquaculture, rural communities, human nutrition and obesity, food and fiber processing, etc.) Providing this support to US agriculture requires that the NRI advance fundamental. Building on these discoveries will necessitate new efforts in education and extension that deliver science-based knowledge to people, allowing them to make informed practical decisions. All grants were awarded on a competitive basis.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

NIFA Competitive Programs Unit administers the NRI. The purpose of the NRI Competitive Grants Program was to support research grants and integrated research, extension, and education grants that address key problems of National, regional, and multi-state importance in sustaining all components of agriculture (farming, ranching, forestry including urban and agroforestry, aquaculture, rural communities, human nutrition, processing, etc.). Providing this support requires that NRI advances fundamental sciences in support of agriculture and coordinates opportunities to build on these discoveries. Building on these discoveries will necessitate new efforts in education and extension that deliver science-based knowledge to people, allowing them to make informed practical decisions. Hence, the NRI accepted applications for fundamental research, mission-linked research, and integrated research, extension, and education projects. However, applicants should know that the NRI utilized no more than twenty-two percent (22%) of available funds to support integrated projects and that these funds were not distributed uniformly, but targeted to specific priorities. Targeted priorities for integrated projects were clearly identified within the detailed descriptions of program offerings [see Part II, E of the Fiscal Year (FY) 08 Request for Applications (RFAs)]. Funds may not be used for the renovation or refurbishment of research spaces (including energy retrofitting); purchase or installations of fixed equipment in such spaces; or planning, repair, rehabilitation, acquisition, or construction of buildings or facilities. Fully discretionary.

### **Applicant Eligibility:**

For research projects, the eligibility requirements for the NRI were as follows: except where otherwise prohibited by law, State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals were eligible to apply for and to receive a competitive grant. The Agricultural Research Enhancement Awards (AREA) have some notable differences from these requirements. See Part II C, 2. of Fiscal Year (FY) 08 Requests for Applications (RFAs).

For integrated projects, the eligibility requirements for the NRI were as follows: except where otherwise prohibited by law, State agricultural experiment stations, all colleges and universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies, and national laboratories were eligible to apply for and receive a competitive grant. The bridge grants have some notable differences from these requirements. See Part II, C, 3(b) of Fiscal Year (FY) 08 RFAs for details.

Unsolicited applications were not considered and applications from scientists at non-United States organizations were not accepted. Award recipients may subcontract to organizations not eligible to apply provided such organizations were necessary for the conduct of the project.

### **Beneficiary Eligibility:**

For research grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, other U.S. research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For integrated research, education and extension grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies and national laboratories. Proposals from scientists at non-U.S. organizations will not be considered for support.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the RFAs. Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but were not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one (1) time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there were factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

All RFAs were published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact

statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications were subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who were specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications were judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Reviewers were selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

094 Deadlines:

Dates for specific deadlines were announced in the RFA each fiscal year (FY).

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal, were submitted at the announced deadline. Renewals were treated in competition with all other pending proposals. Authority has been repealed Repealed per Section 7406 of the Food, Conservation, and Energy Act of 2008 The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds were awarded competitively. No formula grants were awarded under this authority.

For equipment grants Unless criteria was met to qualify for waiver by the Secretary, matching shall not exceed 50 percent of the cost of the special research equipment or other equipment acquired using funds from the grant.

For applied research if the grant was commodity-specific; and not of national scope, the grant recipient was required to match USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind

contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally, competitive research projects were supported for periods of up to four (4) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other

Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds were used for authorized purposes. Grant-related records were subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$175,778,719; FY 09 est \$0; FY 10 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years. NRI was REPEALED per Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA). The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.).

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant were established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Significant accomplishments include: (1) Genomics - Support for international efforts to complete a draft sequence of the rice and bovine genomes. The rice sequence will serve as a model system that is now greatly accelerating the understanding of all cereals. (2) Biofuels - research has resulted in the development of more efficient bioprocessing of agricultural wastes into ethanol, making the process much more economically viable. (3) Pests and Diseases - Fundamental research has led to the development of a preventative treatment for screw worm, a devastating pest of livestock. It is estimated that this development will save US agriculture over \$1 billion annually by preventing losses in production and overcoming international trade barriers related to this pest. (For more information see the program web site [www.reusda.gov/nri](http://www.reusda.gov/nri)). Fiscal Year 2009: NRI was REPEALED per Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA). The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.). Fiscal Year 2010: NRI was REPEALED per Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA). The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Competitive Programs, 1400 Independence Avenue, SW., , Washington, District of Columbia 20250-2240 Phone: (202) 401-1782.

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the

Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: FY 2008 Food Safety:

Novel pre-harvest interventions to protect antimicrobials of critical importance in human and veterinary medicine. The Impact of Dietary Distillers' Grains on Escherichia Coli O157:H7 in Cattle and Interventions to Reduce the Potential Food Safety Impact. FY 2008 Animal Protection and Biosecurity: US Veterinary Immune Reagent Network.

Live-attenuated influenza viruses (LAIIV) vaccines for the prevention and control of swine influenza. FY 2008 Integrative Biology of Arthropods and Nematodes: Functional Genomics of the Fire Ant *Solenopsis invicta*; Genomic Resources to Accelerate Western Corn Rootworm Research. FY2008 Air Quality: Integrating education and development of a biodegradable litter amendment to mitigate ammonia emissions from poultry houses. Integrated Project to Improve Moisture Control and Practical Design of Biofilters for Treating Exhaust Air from Livestock Buildings. FY 2008 Human Nutrition and Obesity: Development of a Randomized Trial Guided by the Process of PRECEDE-PROCEED for Prevention of Excessive Weight Gain in Communities of Young Adults. Family Influences to Prevent Childhood Obesity: An Integrated Research and Outreach Program for Parents of Montana 4-H Youth. Promotion of healthy eating and regular physical activity in 2- to 5-year old children attending family child care homes. Fiscal Year 2009: NRI was REPEALED per Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA). The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.). Fiscal Year 2010: NRI was REPEALED per Section 7406 of the Food, Conservation, and Energy Act of 2008 (FCEA). The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.).

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.207 ANIMAL HEALTH AND DISEASE RESEARCH**

ANIMAL HEALTH AND DISEASE RESEARCH (AHDR)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Executive Order National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended; Section 1429, Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185. , Public Law 95-113.

**OBJECTIVES:**

The purpose of this funding is to increase animal health and disease research activities at accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research.

To support animal health and disease research at eligible Schools and Colleges of Veterinary Medicine, and State Agricultural Experiment Stations whose purpose is to improve the health and productivity of food animals and horses through effective prevention, control or treatment of disease, reduction of losses from transportation and other hazards, and protect human health through control of animal diseases transmissible to people.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2009 formula grants authorized under authorized under section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) for the Animal Health and Disease Research (AHDR) Program. These grants are used to assist all states in carrying out a program of research activities designed to (1) to meet expenses of conducting animal health and disease research, publishing and disseminating the results of such research,

and contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331); (2) for administrative planning and direction; and (3) to purchase equipment and supplies necessary for conducting such research. States are eligible for funds appropriated under this Act according to the following formula: One half of the State allotment will be distributed among the States in the proportion that the value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in each State bears to the total value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in all the States, based on the most current inventory of all cattle, sheep, swine, horses, poultry, and commercial aquaculture species published by the U.S. Department of Agriculture. The remainder of the State allotment will be distributed among the States in the proportion that the animal health and disease research capacity of the eligible institutions in each State bears to the total animal health and disease research capacity in all the States, as determined by NIFA.

Research on animal health and disease of food animals and horses conducted in eligible institutions under the following categories: (1) Infectious diseases; (2) internal and external parasites; (3) noninfectious diseases, toxins, poisons, transportation losses, predators and other hazards; (4) diseases and parasites of wildlife transmissible to food animals and horses; and (5) diseases and parasites of animals transmissible to people. (1) Approved NIFA AHDR Projects AHDR Federal funding must be used on AHDR approved projects.

**(2) Matching**

7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefor, and, if there are none, the Secretary shall reapportion such difference among the other States.

**(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as AHDR formula grant expenditures.

**Applicant Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

Applications may be submitted by accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research in accordance with NARETPA section 1433(c): Auburn University, Agricultural Experiment Station; Auburn University, School of Veterinary Medicine; Tuskegee University, School of Veterinary Medicine; University of Alaska, Agricultural Experiment Station; University of Arizona, Agricultural Experiment Station; University of Arkansas, Agricultural Experiment Station; University of California-Oakland, Agricultural Experiment Station; University of California-Davis, School of Veterinary Medicine; Colorado State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Connecticut-Storrs, Agricultural Experiment Station; University of Delaware, Agricultural Experiment Station; University of Florida, Agricultural Experiment Station; University of Florida, College of Veterinary Medicine; University of Georgia, Agricultural

Experiment Station; University of Georgia, College of Veterinary Medicine; University of Hawaii, Agricultural Experiment Station; University of Idaho, Agricultural Experiment Station; University of Illinois, Agricultural Experiment Station and College of Veterinary Medicine; Purdue University, Agricultural Experiment Station and College of Veterinary Medicine; Iowa State University, Agricultural and Home Economics Experiment Station; Iowa State University, College of Veterinary Medicine; Kansas State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Kentucky, Agricultural Experiment Station; Louisiana State University, Agricultural Experiment Station; Louisiana State University, College of Veterinary Medicine; University of Maine, Agricultural Experiment Station; University of Maryland, Agricultural Experiment Station; University of Massachusetts, Agricultural Experiment Station; Tufts University, School of Veterinary Medicine; Michigan State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Minnesota, Agricultural Experiment Station; University of Minnesota, College of Veterinary Medicine; Mississippi State University, Agricultural and Forestry Experiment Station and College of Veterinary Medicine; University of Missouri, Agricultural Experiment Station; University of Missouri, College of Veterinary Medicine; Montana State University, Agricultural Experiment Station; University of Nebraska, Agricultural Experiment Station; University of Nevada, Agricultural Experiment Station; University of New Hampshire, Agricultural Experiment Station; Rutgers University, Agricultural Experiment Station; New Mexico State University, Agricultural Experiment Station; Cornell University, Agricultural Experiment Station; Cornell University, College of Veterinary Medicine; North Carolina State University, Agricultural Experiment Station; North Carolina State University, College of Veterinary Medicine; North Dakota State University, Agricultural Experiment Station; Ohio State University, Ohio Agricultural Research & Development Center; Ohio State University, College of Veterinary Medicine; Oklahoma State University, Agricultural Experiment Station and College of Veterinary Medicine; Oregon State University, Agricultural Experiment Station; Pennsylvania State University, Agricultural Experiment Station; University of Pennsylvania, College of Veterinary Medicine; University of Puerto Rico, Agricultural Experiment Station; University of Rhode Island, Agricultural Experiment Station; Clemson University, Agricultural Experiment Station; South Dakota State University, Agricultural Experiment Station; University of Tennessee, Agricultural Experiment Station; University of Tennessee, College of Veterinary Medicine; Texas A&M University, Agricultural Experiment Station and College of Veterinary Medicine; Utah State University, Agricultural Experiment Station; University of Vermont, Agricultural Experiment Station; Virginia Polytechnic Institute and State University, Agricultural Experiment Station and College of Veterinary Medicine; Washington State University, Agricultural Experiment Station and College of Veterinary Medicine; West Virginia University, Agricultural and Forestry Experiment Station; University of Wisconsin, Agricultural Experiment Station and College of Veterinary Medicine; and University of Wyoming, Agricultural Experiment Station.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

**Beneficiary Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is

the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

**Organizational Management Information** - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

Fund will be released on a quarterly basis to the institutions. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** 7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefore, and, if there are none, the Secretary shall reapportion such difference among the other States.. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation. Method of awarding/releasing assistance: quarterly.

**Reports:**

Institutions are expected to submit an annual Program of Research, a listing of all approved AHDR projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each AHDR project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year.

Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Financial reporting via the SF-269, Financial Status Report, for FY 2009 is due to the OEP Formula Grants Section on December 31, 2010. The SF-272, Federal Cash Transactions Report, or ST-425, Federal Financial Report for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) usually on the 15th day of November, February, May, and August for the preceding calendar quarter. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

Grantees also are required to submit annual and summary progress reports via NIFAS Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee. Institutions are required to submit the SF-425, Federal Financial

Report per Agency instructions. The office listed below provides agency oversight of these reports:

Financial Operations Branch (FOB)

Formula Grants Section (F/S)

Office of Extramural Programs (OEP)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2298

1400 Independence Avenue, SW

Washington, DC 20250-2298

Telephone: (202) 401-6520

Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees also are required to submit annual and summary progress reports via NIFAS Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 08 \$4,614,897; FY 09 est \$2,725,600; FY 10 est \$2,761,200 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Specific details will be provided by Program Unit at a future date. Fiscal Year 2009: Specific details will be provided by Program Unit at a future date. Fiscal Year 2010: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Continuing Animal Health and Disease Research Program, (dated March, 2000 - Manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Veterinary Science 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-4952 Fax: (202) 401-6156

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.210 FOOD AND AGRICULTURAL SCIENCES NATIONAL NEEDS GRADUATE FELLOWSHIP GRANTS**

National Needs Fellowship (NNF)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant. , 7 U.S.C 3152.

#### **OBJECTIVES:**

The purpose of the NNF Grants Program is to train students for Masters and/or doctoral degrees and provide additional postdoctoral training for Fellows who have completed their doctoral degrees at colleges and universities that have demonstrable teaching and research competencies in the food and agricultural sciences. Fellowships and IRTA awards are specifically intended to support traineeship programs that encourage outstanding students to pursue and complete their degrees or obtain postdoctoral training in areas where there is a national need for the development of scientific and professional expertise in the food and agricultural sciences. Fellowships and IRTA awards invest in graduate training and relevant international experiential learning for a cadre of diverse individuals who demonstrate their potential to successfully complete graduate degree programs in disciplines relevant to the mission of the USDA.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Competitive annual grants providing for a limited number of graduate stipends are awarded to selected U.S. institutions of higher education so as to distribute support for graduate study to promising food and agricultural scientists and professionals. Individuals selected initially by the institution must enroll in a program leading to a graduate, master's or doctoral degree in one of the targeted national needs areas of the food and agricultural sciences. Such persons may not have been enrolled previously in the program at the same degree level. Current fellows are eligible to receive supplemental grants of \$3,000 to cover travel and living expenses for special international study or thesis/dissertation research experiences. Funding for the supplemental grants will be awarded on a competitive basis using no-year funds drawn from expired fellowship grants with unspent funds remaining as set forth in the annual program guidelines. No indirect cost allowed. Institutional allowance in lieu of indirect cost. NNF stipend funds for fellowship must be used to: (1) support the same Fellow at the Masters degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of twenty-four (24) months during a thirty-month period, and/or (2) support the same Fellow at the doctoral degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of thirty-six (36) months within a forty-two-month period. Institutions must use a minimum stipend of \$18,500 per year for

Masters Fellows and \$24,500 per year for Doctoral Fellows.

If funds remain as a result of USDA Fellows completing their studies early (less than twenty-four months for a Masters degree or less than thirty-six months for a doctoral degree) or Fellowships being terminated prematurely, such funds may be used, within the time remaining on the award, to support: (1) pursuit of a doctoral degree in a TESA in the food and agricultural sciences by a Masters degree level Fellow at the grantee institution, or (2) a Replacement Fellow. The tenure of such a Replacement Fellow is limited to whatever time is remaining on the grant before it expires; however, an institution may not appoint a Replacement Fellow unless there is time for the student to complete at least one semester/quarter of study before the expiration date of the grant.

Replacement Fellows must meet all of the eligibility criteria and other requirements established for Fellow selection and are subject to the same provisions as other Fellows during their tenure in the program. Replacement Fellows are entitled, during their tenure, to the same benefits that other Fellows receive from the grant award and National Needs Graduate and Postdoctoral Fellowship Grants Program. Institutions may, but are not required to, continue a Replacement Fellow's tuition and other benefits beyond the expiration date of the grant using institutional or other funds. A Fellow may not be simultaneously supported under multiple National Needs Graduate and Postdoctoral Fellowship Grants Program awards.

Remaining funds cannot be used to increase annual Fellowship stipends provided to existing Fellows. If less than one semester/quarter remains on the award, the grantee must refund unexpended monies to CSREES. Such funds cannot be used to increase the annual stipend amounts for current USDA Graduate Fellows.

Should a USDA Fellow require additional time beyond the grant period to complete his or her degree, it is expected that the grantee will consider alternatives to continue supporting the Fellow through other means.

Tuition and fees are the responsibility of the Fellow unless an institution elects to use its cost-of-education institutional allowance for this purpose or elects to pay such costs out of non-USDA monies. No dependency allowances are provided to any USDA Graduate Fellows. Stipend payments and special international study or thesis/dissertation research travel allowances may be made to Fellows by the institution, in accordance with standard institutional procedures for graduate fellowships and assistantships.

When grants are for IRTAs that will be used by To-Be-Recruited Fellows: The IRTA funds for To-Be-Recruited fellows will be withheld until the Project Director has submitted, to the NNF Program Office, all of the required documentation for eligibility of the Graduate Fellow for the IRTA as well as the required specifics outlined in the RFA for the IRTA. The information must be submitted for approval, no less than 150 days prior to the use of the IRTA funds (see PART IV, B, 3, b, Section 1). This requirement will become a condition of the award. Fully discretionary.

#### **Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities that confer a master's or doctoral degree in at least one area of the food and agricultural sciences targeted for national needs fellowships. As defined in Section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3103), the terms "college" and "university" mean "an educational institution in any State which: (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (b) is legally authorized within such State to provide a program of education beyond secondary education; (c) provides an educational program for which a bachelor's degree or any other higher degree is awarded; (d) is a public or other nonprofit institution; and (e) is accredited by a nationally recognized accrediting agency or association." Eligibility also applies to research foundations maintained by eligible colleges or universities.

#### **Beneficiary Eligibility:**

Funds awarded in this program are used to support the training of graduate students to obtain either a master's or doctoral degree in one of the targeted specializations of the food and agricultural sciences.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant

scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants cover a five (5) year period, however, fellows are supported for three (3) years for a doctoral degree or two (2) years for a masters during that five (5) year period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance

Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$3,477,077; FY 09 est \$3,652,640; FY 10 est \$3,704,640 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**



USDA, NIFA, National Program Leader, Science and Education Resources Development 1400 Independence Avenue, SW, STOP 2251., Washington, District of Columbia 20024 Phone: (202) 401-2855 or (202) 720-1973

**Website Address:**

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

**RELATED PROGRAMS:**

10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants for fellowships support are awarded to colleges and universities determined through peer review to be characterized by excellence in the chosen targeted need area. Fiscal Year 2009: Grants for fellowships support are awarded to colleges and universities determined through peer review to be characterized by excellence in the chosen targeted need area. Fiscal Year 2010: Grants for fellowships support are awarded to colleges and universities determined through peer review to be characterized by excellence in the chosen targeted need area.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which the proposal clearly establishes that the proposed program of graduate training will result in the development of outstanding scientific/professional expertise related to the national need area and in a reasonable period of time; (2) the degree to which the proposed program of study reflects special features such as a combination-disciplinary, approach (inter-disciplinary, multi-disciplinary or cross-disciplinary), a unique collateral specialization in a related discipline, experimental learning opportunities, a unique mentoring program, seminars, or a multi-university collaborative approach; (3) the degree to which the proposal establishes that the institution's faculty, facilities and equipment, instructional support resources, and other attributes are excellent for providing outstanding graduate study and research at the forefront of science and technology related to the chosen area of national need; (4) the degree to which the institution's plans and procedures for recruitment and selection of academically outstanding fellows and for monitoring and facilitating fellow's progress through a program of study reflect excellence as documented in the proposal; (5) the degree to which supporting summary data substantiate program quality in the targeted national need area; and (6) the quality of the proposal as reflected by its substantive content, organization, clarity, and accuracy; (7) any additional evaluation criteria as cited in the annual program announcement published in the Federal Register.

**10.212 SMALL BUSINESS INNOVATION RESEARCH**

(SBIR Program - Phase I and II)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341., 15 U.S.C 638.

**OBJECTIVES:**

To stimulate technological innovation in the private sector, strengthen the role of small businesses in meeting Federal research and development needs, increase private sector commercialization of innovations derived from USDA-supported research and development efforts, and foster and encourage participation, by women-owned and socially disadvantaged small business firms in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The selected areas for research are Forests and Related Resources; Plant Production and Protection-Biology; Animal Production and Protection; Soil and Water Resources; Food Science and Nutrition; Rural and Community Development; Aquaculture; Industrial Applications; Marketing and Trade;

Wildlife; Animal Manure Management, Small and Mid-size Farms, Plant Production and Protection-Engineering. The Small Business Innovation Research Program is carried out in three separate phases: Phase I projects are supported to determine the scientific or technical feasibility of ideas submitted by proposes on the selected research areas; Phase II awards are made to firms with approaches that appear sufficiently promising as a result of Phase I studies. Only those small businesses previously receiving Phase I awards in either of the two preceding fiscal years are eligible to submit Phase II proposals. Phase II projects are limited to \$350,000 for a period normally not to exceed 24 months; Phase III is to be conducted by the small business concern (including joint ventures and limited partnerships), and will be non-SBIR funded through the exercising of a follow-on funding commitment. The purpose of Phase III is to stimulate technological innovation and the national return on investment from research through the pursuit of commercialization objectives resulting from the USDA-supported work carried out in Phases I and II. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Fully discretionary.

**Applicant Eligibility:**

Applicant Eligibility (1) is organized for profit, with a place of business located in the United States, which operates primarily within the United States, or which makes a significant contribution to the United States economy through the payment of taxes or use of American products, materials or labor; (2) is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture, there can be no more than 49 percent participation by foreign business entities in the joint venture; (3) is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, except in the case of a joint venture, where each entity in the venture must be 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in the United States; and (4) has, including its affiliates, not more than 500 employees. The term "affiliates" is defined in greater detail in 13 CFR 121.103. The term "number of employees" is defined in 13 CFR 121.106.

**Beneficiary Eligibility:**

Small businesses.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/> <http://www.grants.gov> Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Phase I applications may be revised and resubmitted during a later funding cycle, provided the subject matter of the proposal is not changed, and the topic area under which the proposal was originally submitted is still listed in the solicitation. Phase I grantees may apply for a Phase II grant only once for each Phase I project funded.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under this authority. CSREES does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Phase I grants are normally limited to 8 months. Phase II grants are normally limited to 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations). Awards Management Branch, Office of Extramural Programs National Institute of Food and Agriculture (NIFA), Department of Agriculture (USDA), STOP 2271, 1400 Independence Avenue, SW Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants and other agreements. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of the Federal Acquisition Regulations, 48 CFR Part 42, to ensure that funds have been applied efficiently, economically, and effectively.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$15,443,175; FY 09 est \$15,833,247; FY 10 est \$13,209,699 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, SBIR 1400 Independence Avenue, SW, STOP 2240,, Washington , District of Columbia 20024 Phone: 202-401-5823; 401-6852; 401-1719 Fax: (202) 401-6070

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Lactation Modeling Tools and Information Base for Dairy Herd Management and Research; Hybrid System for Ultrasound Signal, Spectral, and Image Analyses to Enhance Meat Quality Evaluation in Food Animals; and One-Step Biodiesel Production from Yellow Grease. Fiscal Year 2009: Lipid-based ELISA Test for Detection of Dairy Cattle with Johne's Disease; Solar Optical Waveguide System for Value Added Transplant Production; and Next Generation Root-Pest Resistance Research and Screening Tool. Fiscal Year 2010: It is anticipated similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

(a) The proposing firm must qualify as a small business concern as specified in the SBIR solicitation; (b) The proposal must meet the Proposal Content and Format requirements as described in subsection 3.3 of the SBIR solicitation; (c) Proposals must be limited to one research problem (see subsection 3.1 of the SBIR solicitation); (d) The proposed budget must be within the dollar limit identified in subsection 1.2 of the SBIR solicitation; (e) The proposed duration of Phase I projects should normally not exceed 8 months, except in special, justified circumstances, and the duration of Phase II projects should normally not exceed 24 months. Where a proposed research project requires more than 8 months to complete in Phase I, a longer grant period, not to exceed 20 months, may be considered. An applicant of a Phase I project with an anticipated duration beyond 8 months should specify and justify the length of duration in the proposal at the time of its submission to USDA in order for it to be considered; (f) Proposals must cover scientific research activities only (see subsection 3.1 of the SBIR solicitation); (g) The proposed Phase I research must fall within a solicited topic area; (h) A proposal must contain adequate

scientific/technical information to state clearly the research plan and objectives. USDA reserves the right not to submit for review any proposal which it finds to have insufficient scientific/technical information; (i) A resubmitted proposal must address concerns of the previous review panel. USDA reserves the right not to submit for review any proposal found not to be responsive to the previous review; and (j) Is it clear that the project director will work a minimum of 51 percent of his/her time for the small business firm during the period of the grant and that the small business firm will conduct a minimum of two-thirds of the research effort?.

**10.215 SUSTAINABLE AGRICULTURE RESEARCH AND EDUCATION**

SARE

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), P.L. No. 101-624 (7 U.S.C. 5801). , 7 U.S.C 5801; Section 1622 of FACTA (7 U.S.C. 5812), and for selected national projects. , 7 U.S.C 5812.

**OBJECTIVES:**

The purpose of the Sustainable Agriculture Research and Education Program (SARE) program is to encourage research designed to increase our knowledge concerning agricultural production systems that: (1) maintain and enhance the quality and productivity of the soil; (2) conserve soil, water, energy, natural resources, and fish and wildlife habitat; (3) maintain and enhance the quality of surface and ground water; (4) protect the health and safety of persons involved in the food and farm system; (5) promote the well being of animals; and (6) increase employment opportunities in agriculture (section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), P.L. No. 101-624 (7 U.S.C. 5801). This request for applications (RFA) is for the regional SARE host institutions to apply for funds to carry out the regional SARE programs under the direction of the SARE Regional Administrative Councils (section 1622 of FACTA (7 U.S.C. 5812)), and for selected national projects. Most SARE competitive grants are made by the SARE regions as subawards. Typically, approximately 85% of the award to a SARE regional host institution is used for subawards. Individuals and organizations interested in applying for SARE competitive grants should NOT respond to this funding opportunity; rather they should apply to the appropriate SARE regional program. (See <http://www.nifa.usda.gov/fo/sustainableagricultureresearchandeducation.cfm> ).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents.

Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3319), prohibits indirect costs.

Funds shall not be used for tuition remission.

Funds shall not be used for fixed equipment. Fully discretionary.

**Applicant Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

**Beneficiary Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Regional technical committees will review, rank and prioritize proposals received from public and private organizations and make recommendations for

funding to the regional administrative councils. Regional administrative councils will approve proposals for funding and associated plans of work and submit them to USDA. Research and education subcommittee on sustainable agriculture will review plans of work and the Department will give final approval.

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. NIFA does not require matching or cost sharing support for this program. Funds are awarded competitively. No formula grants are awarded under this authority. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$13,476,996; FY 09 est \$13,477,464; FY 10 est \$13,477,464 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Economic and Community Systems  
1400 Independence Avenue, SW, STOP 2215., Washington, District of Columbia 20024 Phone: (202) 720-5384 or (202) 720-7947

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.206 Grants for Agricultural Research\_Competitive Research Grants; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examining a More Comprehensive Understanding of Current and Emerging Family Farms; Project Planning Grant: Assessment of the use and effectiveness of ecological management practices across different cropping systems & environments; and Implementation of Plan of Work for the Southern Region. Fiscal Year 2009: Northeast Sustainable Agriculture Research and Education Program; and Western Region Sustainable Research and Education (SARE). Fiscal Year 2010: Funding is anticipated for projects similar to FYs 2008 and 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.216 1890 INSTITUTION CAPACITY BUILDING GRANTS**

1890 Capacity

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for this program is contained in section 1417 (b)(4) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) [7 U.S.C. 3152(b)(4)] (b)(4), 7 U.S.C 3152(b)(4).

**OBJECTIVES:**

To build the research and teaching capacities of the 1890 land-grant institutions and Tuskegee University through cooperative programs with Federal and nonfederal entities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For teaching grants, funds may be used in the following targeted areas:

- (1) Curricula design and materials development;
- (2) faculty preparation and enhancement for teaching;
- (3) instruction delivery systems;
- (4) scientific instrumentation for teaching;
- (5) student experiential learning; and
- (6) student recruitment and retention.

For research grants, funds may be used to address high- priority research initiatives in areas where there is a present or anticipated need for increased capabilities and in which it is feasible for applicants to develop programs recognized for their excellence.

Research areas include, but are not limited to:

- (1) Studies and experimentation in food and agricultural sciences;
- (2) centralized research support systems; and
- (3) technology delivery systems. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, or repairs are incidental to the major purpose for which a grant is issued.

Indirect Costs: Not to exceed 22% of Federal Funds awarded. Fully discretionary.

**Applicant Eligibility:**

The 1890 land-grant institutions and Tuskegee University. The 1890 land-Grant Institutions are: Alabama A&M University; Alcorn State University; University of Arkansas-Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Lincoln University (MO); Langston University; University of Maryland-Eastern Shore; North Carolina A&T State University; Prairie View A&M University; South Carolina State University; Southern University and A&M College; Tennessee State University; Virginia State University; and West Virginia State College.

**Beneficiary Eligibility:**

The seventeen 1890 land-grant institutions and Tuskegee University, non-1890 academic institutions, private industry, and the Department of Agriculture.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications

(RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program.

NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions of time as appropriate up to maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$12,798,776; FY 09 est \$14,192,980; FY 10 est \$17,137,500 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: PROGRAM ACCOMPLISHMENTS WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: PROGRAM ACCOMPLISHMENTS WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: PROGRAM ACCOMPLISHMENTS WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances Unit 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855; 690-0402 or 720- Fax: (202) 720-3945

**Website Address:**

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

**RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.217 Higher Education Challenge Grants

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Research:

An Integrated Process for Production of Ethanol and Bio-based Products from Lignocellulosic Biomass; Reducing Arsenic Uptake by Domestic Rice Plants and Integrated Approaches to Improving Ethanol Production from Pearl Millet a Crop for Marginal Lands.

Teaching:

From the Farm to the Runway; Recruitment and Retention Strategies for Educating Students for Successful Careers in Agribusiness and Development of a Master's in Environmental Studies Degree Program & Graduate Student Recruitment & Retention at Kentucky State University. Fiscal Year 2009: It is anticipated that similar projects will be funded in Fiscal Year 2009. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

## CRITERIA FOR SELECTING PROPOSALS:

Within guidelines established for the program as described in the Request for Application (RFA).

## 10.217 HIGHER EDUCATION CHALLENGE GRANTS

Challenge or HEC Grants

### FEDERAL AGENCY:

National Institute of Food and Agriculture, Department of Agriculture

### AUTHORIZATION:

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1405, 7 U.S.C 3121,1417(b)(1); 7 U.S.C 3152(b)(1).

### OBJECTIVES:

To increase institutional capacities to respond to State, regional, national, or international educational needs by strengthening college and university teaching programs in the food and agricultural sciences.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Funds may be used only in targeted areas, e.g., curricula design and materials development, faculty preparation and enhancement for teaching, instruction delivery systems, scientific instrumentation for teaching, student experiential learning, and student recruitment and retention, as cited in the annual program announcement in the Federal Register. student tuition remission, room and board, fees or other financial assistance (scholarships, fellowships, etc.). Also, funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or to plan, repair, rehabilitate, acquire, or construct buildings or facilities (i.e., greenhouses, laboratories, or other structures). Promotional items (e.g., T-shirts and other give-a-ways) and food functions (e.g., cookouts or other social meal gatherings) are considered entertainment expenses, and are also not allowed under this grants program. Federal Cost Principles governing this grant program state that items not eligible for Federal funding may also not be used as an applicants contribution toward meeting matching requirements.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal

portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

### Applicant Eligibility:

All U.S. public and private nonprofit colleges and universities offering a baccalaureate or first professional degree in at least one discipline or area of the food and agricultural sciences.

### Beneficiary Eligibility:

All U.S. colleges and universities having a demonstrable capacity to teach the food and agricultural sciences.

### Credentials/Documentation:

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:



[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal proposals should be submitted to the Proposal Services Unit, NIFA, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 100%. A grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources. Matching funds are not required to come in any particular amount from any one source. However, all matching funds pledged in this application must be accompanied by documentation. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions as appropriate up to a maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$5,140,057; FY 09 est \$5,397,840; FY 10 est \$22,227,840 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR Part 3405, Higher Education Challenge Grants, Administrative Provisions, and Grant Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.206 Grants for Agricultural Research\_Compertitive Research Grants; 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Resource Sharing for the Enhancement of Curricula in Core and Emerging Issues in the Agricultural Plant Sciences; Recruitment and Retention of a Diverse Population of Food Safety Students Using Market Research for Enhanced Programs and Student Experiential Learning in the Natural Resources Sciences through Summer Internships, Team-Based Research Projects and Professional Mentors. Fiscal Year 2009: Empowering Faculty to Deliver Graduate Distance Education Courses; Immediate and Long-term Strategies for Bringing Financial Planning to Underserved Populations through Experiential Learning and Student Recruitment and Improving Training in Rural Mental Health Care through the Innovative Use of Technology and the Application of Collaborative Care Models. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.219 BIOTECHNOLOGY RISK ASSESSMENT RESEARCH**

Biotechnology Risk Assessment Research Grants Program (BRAG)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Section 7210, Public Law 101-171, 7 U.S.C 5921; Food, Agriculture, Conservation, and Trade Act of 1990, Section 1668, 7 U.S.C 7901.

**OBJECTIVES:**

The purpose of the BRAG program is to assist Federal regulatory agencies in making science-based decisions about the effects of introducing into the environment genetically engineered organisms, including plants, microorganisms (including fungi, bacteria, and viruses), arthropods, fish, birds, mammals and other animals excluding humans. Investigations of effects on both managed and natural environments are relevant. The BRAG program accomplishes its purpose by providing Federal regulatory agencies with scientific information relevant to regulatory considerations derived from the risk assessment research that the program funds.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research objectives. Funds may not be used for purposes other than those approved in the grant award documents. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in the Office of Management and Budget (OMB) Circular No. A-21, (codified at 2 CFR 220), some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7

U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Any public or private research or educational institution or organization.

**Beneficiary Eligibility:**

Any public or private research or educational institution or organization.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of

forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to

ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$1,980,054; FY 09 est \$2,391,511; FY 10 est \$2,391,511 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Plant and Animal Systems 1400 Independence Avenue, SW., STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-5877

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.206 Grants for Agricultural Research\_Competitive Research Grants; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Aqualifying Transgene Flow in Papaya; Gene Flow Matters: Brassica Vegetable Seed Crop Production and Transgenic Canola; Assessing the Risk of Bt Plants vs Conventional Insecticides Inhibiting Biological Control and Promoting the Evolution of Resistance and Mycotoxin Risks Associated with Ethanol Co-products from Conventional vs Biotechnology-derived Corn Grain. Fiscal Year 2009: It is anticipated that similar projects will be funded in Fiscal Year 2009. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.220 HIGHER EDUCATION MULTICULTURAL SCHOLARS PROGRAM**

Minority Scholars Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Legislative authority for this program is contained in section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152). USDA/NIFA administers this federal assistance grant program to support food and agricultural sciences baccalaureate and Doctor of Veterinary Medicine (D.V.M.) degree training of the next generation of scientists, policy makers, and educators in the Food and Agricultural Sciences. USDA initiated the Higher Education Multicultural Scholars Program in FY 1994. This program, functioning collaboratively with eligible higher education institutions, is developing intellectual capital to secure the preeminence of U.S. food and agricultural systems., 7 U.S.C 3152.

**OBJECTIVES:**

To increase the ethnic and cultural diversity of the food and agricultural scientific and professional work force, and to advance the educational achievement of minority Americans, by providing grants to colleges and universities that have a demonstrable capacity to attract, educate, and graduate minority students for careers as agriscience and agribusiness professionals, and have unique capabilities for achieving the objective of full representation of minority groups in the fields of agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive annual grants to selected U.S. institutions of higher education provide for a limited number of four-year undergraduate scholarships to support minority students pursuing baccalaureate degrees in the food and agricultural sciences. Institutions also receive an annual cost-of-education allowance for each scholar supported by a grant. The scholars are selected by the institutions and students must apply for the scholarships through procedures established by the individual institutions. No scholarship grants are made directly to students and students cannot apply directly to USDA for scholarships. Scholarship monies may be used for tuition, fees, room, board, and other educational expenses as announced in a Federal Register notice inviting applications for new awards. The institutional cost-of-education allowance may be used by the selected institutions to defray program expenses including, but not limited to, travel and publications costs incurred for student recruitment, and salaries of project personnel. Pursuant to 7 U.S.C. 3152(b), no indirect costs may be recovered under the MSP Program. Funds are restricted to the clearly designated uses found within this RFA.

For Award Category No. 2 Proposals, the budget sharing criteria are: (i) no single institution may receive more than forty percent (40%) and (ii) any institution may not receive less than fifteen percent (15%) of the requested funding for the baccalaureate and/or D.V.M. degree level training project (see Part II, C).

When grant is for SEL that will be used by To-Be-Recruited Scholars: The SEL funds for To-Be-Recruited Scholars will be withheld until the Project Director has submitted, to the MSP Grants Program Office, all of the required documentation for eligibility of the MSP/SEL Scholar(s) for the SEL as well as the required specifics outlined in the RFA for the SEL. The information must be submitted for approval, no less than 150 days prior to the use of the SEL funds (see Part IV, B., 3, b, Section 1).

Indirect cost is not allowable. Fully discretionary.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities with baccalaureate or higher degree programs in agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system, including land-grant colleges and universities, colleges and universities having significant minority enrollments and a demonstrable capacity to carry out the teaching of food and agricultural sciences, and other colleges and universities having a demonstrable capacity to carry out the teaching of food and agricultural sciences.

**Beneficiary Eligibility:**

Funds awarded under this program are used to support full-time undergraduate students pursuing a baccalaureate degree in an area of the food and agricultural sciences or a closely allied field. Persons eligible to receive scholarships under this program are students who either are enrolled or have been accepted as full-time baccalaureate or DVM degree candidates, and who are members of groups traditionally under-represented in food and agricultural scientific and professional fields.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five (5) year period, however, scholars are supported for four (4) years during that five (5) year period. One (1) year of the grant period is available for student recruitment and for short interruptions of a scholar's educational advancement due to personal circumstances or emergencies. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes

and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$941,841; FY 09 est \$896,760; FY 10 est \$941,760 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY

PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Scholars Program 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-1973

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Multicultural Scholarship for Native American Students Pursuing Food Systems-Related Majors; Promoting Diversity in the Agribusiness Profession: Multicultural Scholars Program at SC State University and Auburn University Multicultural Scholars for the Pre-Veterinary Medicine. Fiscal Year 2009: It is anticipated that similar projects will be funded in Fiscal Year 2009. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.221 TRIBAL COLLEGES EDUCATION EQUITY GRANTS**

Higher Education Native American Formula and/or Higher Education Native American Institutions

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for the Tribal Colleges Education Equity Grants (TCEG) program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements., 7 U.S.C 301 note.

**OBJECTIVES:**

This grants program is designed to promote and strengthen higher education instruction in the food and agricultural sciences at the 33 Tribal Colleges designated as 1994 Land-Grant Institutions in the Equity in Educational Land-Grant Status Act of 1994, as amended. Plans of Work should focus on undergraduate and/or graduate studies in the food and agricultural sciences in one or more of the following areas: Curricula Design and Materials Development, Faculty Development and Preparation for Teaching, Instruction Delivery Systems, Student Experiential Learning, Equipment and Instrumentation for Teaching, or Student Recruitment and Retention.

The purpose of the TCEG Program is to provide funding to enhance educational opportunities for Native Americans in the food and agricultural sciences. The TCEG program is intended to strengthen institutional capacity to deliver

relevant formal education opportunities. The TCEG is intended to be a component of the applicant 1994 institutions land grant roadmap or strategic planning process. To the extent practicable, priorities should reflect the following national critical needs areas:

1. Sustainable energy
2. Global food security and hunger
3. Climate change
4. Nutrition and preventing childhood obesity
5. Food safety
6. Sustainable rural economies

Awards are made upon approval of each institutions application for a grant that relate to an institutions long-range goals. As indicated in Part 1, C. of the RFA, an application may address one (1) or more of the following program areas:

Curricula Design and Materials Development  
Faculty Development and Preparation for Teaching  
Instruction Delivery Systems  
Student Experiential Learning  
Equipment and Instrumentation for Teaching  
Student Recruitment and Retention

Recognizing that strengthening instructional programs is a long-term ongoing process, the TCEG program is interested in funding subsequent phases of previously funded projects in order to strengthen institutional capacity, and institutions are encouraged to build on a theme over several grant awards to reach institutional long-range goals.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

The Tribal College Equity Program (TCEG) provides funds to enhance educational opportunities for Native Americans by strengthening instructional programs in the food and agricultural sciences at the thirty four (34) tribal colleges designated as the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions).

Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Funding Restrictions:

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award.

Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

Indirect costs for the Equity program are not required and a 1994 institution may take less than the allowable amount or forego indirect costs altogether - adjust budgets accordingly.

Neither research nor extension projects are supported under the TCEG Program.

The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

#### **Special Notices:**

1. NIFA will withhold all funds for a TCEG award to an applicant requesting indirect costs if the applicant has not negotiated an indirect cost rate with its cognizant federal agency.
2. If a grantee is in the process of negotiating an indirect cost rate with its federal agency, NIFA will withhold all funds from that grantee until the indirect cost rate has been established.
3. If an institutions indirect cost rate has expired or will expire in the near future, a clear statement on renegotiation efforts must be included in the application. (See Part IV, B.5. of the RFA - Budget Justification.)
4. It is incumbent on all applicants to have a current indirect cost rate or begin negotiations to establish an indirect cost rate prior to the TCEG submission deadline. Because it may take several months to obtain an indirect cost rate, applicants needing an indirect cost rate are encouraged to start work on establishing these rates well in advance of submitting a TCEG application.
5. In lieu of requesting indirect costs (if the applicant does not have a negotiated rate), an applicant may prepare a budget in which all charges in the budget are included as direct costs.

NIFA does not require matching support for this program. Fully discretionary.

#### **Applicant Eligibility:**

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended. This Act, as amended in Section 533(a), requires that each 1994 Land-Grant Institution be accredited or making progress towards accreditation and be recognized as a legal entity. If accreditation is being sought, a college must demonstrate its progress towards accreditation by a letter from a nationally recognized accreditation agency affirming receipt of application for an accreditation site visit or other such documentation.

An applicants failure to meet an eligibility criterion by the time of an application deadline will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from making an award.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives.

#### **Beneficiary Eligibility:**

The 1994 Institutions--Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest Tribal College.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of

Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Requests for Applications (RFAs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications were subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who were specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications were judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Reviewers were selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or

forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no statutory formula for this program. However, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

**Current Research Information System Required Reporting:**

Grantees are required to submit initial project information and annual and summary reports to NIFA s Current Research Information System (CRIS). The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and



submission of project documentation will be provided to the applicant by the Agency Contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

**Annual Performance Report:**

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to the NIFA Current Research Information System (CRIS).

Annual performance reports must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

**Final Technical Report:**

A final technical report must be submitted to CRIS within 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. NIFA uses SF-425, Federal Financial Report to monitor cash. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

**Current Research Information System Required Reporting:**

Grantees are required to submit initial project information and annual and summary reports to NIFA's Current Research Information System (CRIS).

The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submission of project documentation will be provided to the applicant by the Agency Contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

**Annual Performance Report:**

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to the NIFA Current Research Information System (CRIS).

Annual performance reports must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

**Final Technical Report:**

A final technical report must be submitted to CRIS within 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

Are cash reports required?

&#8195; A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained

in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
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STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

**Current Research Information System Required Reporting:**  
Grantees are required to submit initial project information and annual and summary reports to NIFA's Current Research Information System (CRIS). The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submission of project documentation will be provided to the applicant by the Agency Contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

**Annual Performance Report:**  
Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to the NIFA Current Research Information System (CRIS).

Annual performance reports must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

**Final Technical Report:**  
A final technical report must be submitted to CRIS within 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

**Audits:**  
This program is excluded from coverage under OMB Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**  
In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**  
12-1500-0-1-352.

**Obligations:**  
(Project Grants) FY 08 \$3,318,606; FY 09 est \$3,342,000; FY 10 est \$3,342,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**  
Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements.

**PROGRAM ACCOMPLISHMENTS:**  
Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**  
7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**  
None.

**Headquarters Office:**  
USDA, NIFA, National Program Leader, Science and Education Resources Development 1400 Independence Avenue, SW, STOP 2250,, Washington , District of Columbia 20250-2250 Phone: (202) 401-2855 or (202) 690-0402 Fax: (202) 720-2030

**Website Address:**  
<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**  
10.222 Tribal Colleges Endowment Program

**EXAMPLES OF FUNDED PROJECTS:**  
Fiscal Year 2008: FY08:  
Nutrition and Exercise: What Every Health, Sport and Science Educator Should Know: The Next Level  
Environmental Science Program Development and Recruitment Through Community Outreach. Fiscal Year 2009: Natural Resources Recruitment and Retention Project; Institute of American Indian Arts Indigenous Food and Agriculture Science Program. Fiscal Year 2010: It is anticipated that similar

projects will be funded in FY 2010.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.222 TRIBAL COLLEGES ENDOWMENT PROGRAM**

Tribal Colleges Endowment Program  
aka 1994 Institutions Endowment Program

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Title V, Part C of the Improving Americas Schools Act of 1994, Public Law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits., 7 U.S.C 301 note.

#### **OBJECTIVES:**

To enhance educational opportunities at the thirty-four (34) Land Grant Institutions by strengthening their teaching programs in the food and agricultural sciences in targeted need areas.

The legislation designates that the interest from the endowment funds benefit the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support teaching programs in the food and agricultural sciences in addition to the above six (6) areas, to support the land-grant mission.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

The Tribal Colleges Endowment Fund benefits the 1994 land-grant institutions by promoting capacity development in teaching programs in the food and agricultural sciences. The Tribal Colleges Endowment Fund, as a teaching capacity development program, is a companion program of the Tribal Colleges Equity Grants Program. It differs primarily from the Equity Grants Program in two (2) respects, namely:

Endowment funds may be escrowed indefinitely and used for major obligations relating to the allowable activities.

As of October 1, 2001, Endowment funds also may be used for facility renovation, repair, construction, and maintenance in support of and in addition to the six (6) targeted areas of support listed below.

Interest distribution from an endowed corpus based on a formula specific to this legislation.

The legislation designates that the interest from the endowment funds benefit the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support

teaching programs in the food and agriculture sciences in addition to the above six (6) areas, to support the land-grant mission. Interest distribution from an endowed corpus based on a formula specific to this legislation.

Distribution funds received prior to October, 2001 may not be used for new construction.

Institutions that intend to use their Endowment Funds for new construction should submit their plans to USDA, NIFA, National Program Leader, Multicultural Alliances for approval. Institutions that list plans for new construction in their Planning Document will be sent specific guidelines.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 534(a)(3) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) to require that all eligible recipients of the 1994 Institutions Endowment Fund meet certain accreditation requirements in order to receive interest distributions from that fund. Those LGIs that do not meet these requirements will have their share of funds redistributed to those 1994 institutions which meet accreditation requirements.

#### **Applicant Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

#### **Beneficiary Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College,

Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one (1) free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. There is no application process. Please refer to Section :093 for specific details regarding the Award Procedure.

**Award Procedure:**

On the termination of each fiscal year, the Secretary of Agriculture withdraws the earned interest from the Endowment fund and distributes it to the 1994s on a pro rata basis. The pro rata basis formula is as follows: 60 percent is based on the Indian student count for each institution; 40 percent is distributed in equal shares.

Interest distributions are made on an annual basis.

The interest earned from the endowment corpus is distributed to each 1994 Institution based on a 60-40 percentage formula:

60 percent (60%) is based on the number of American Indian students enrolled (based on the annual Student Indian Count as defined in Section 390(3) of the Carl D. Perkins Vocational and Applied Technology Education Act) will be furnished to the agency by the American Indian Higher Education Consortium - AIHEC) and

40 percent (40%) on an equal base formula.

The computation is made by NIFA and a letter of notification is sent to each 1994 institution President.

The Endowment Interest distribution is available to the 1994 Institutions to be drawn down at their discretion through the electronic payment systems of either the Department of Health and Human Services (PMS) or through the Treasury

ASAP system.

Upon notification of their annual distribution, 1994s are required to submit a Planning Document (subject to approval) on how their Endowment funds will be spent.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382. Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Interest distributions are made on an annual basis.

The Endowment Interest distribution is no-year funds and can be used or held indefinitely. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. NIFA uses the SF-425, Federal Financial Report to monitor cash. As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grants Section (F/S)  
 Financial Operations Branch (FOB)  
 Office of Extramural Programs (OEP)  
 National Institute of Food and Agriculture (NIFA)  
 U.S. Department of Agriculture (USDA)  
 STOP 2298  
 1400 Independence Avenue, SW  
 Washington, DC 20250-2298

Telephone: (202) 401-6520  
 Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three (3) year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$3,080,640; FY 09 est \$3,669,843; FY 10 est \$3,670,080 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

The Endowment Interest distribution increases each year in proportion to the Endowment Corpus and the interest earnings for each year; as well as the number of American Indians enrolled at each institution. The highest amount awarded was in 2009 was \$299,509 and the lowest amount was \$57,866. Three Institutions received amounts over \$200,000; 11 Institutions received amounts over \$100,000 and 18 Institutions received amounts under \$99,000.

NOTE: For Fiscal Year (FY) 2009, two (2) LGIs did not meet eligibility criteria for interest distribution.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The endowment formula funds for Tribal Colleges are being used in two broad areas, building infrastructure and recruitment and retention of faculty, staff, and students. Overall, these funds provide Native American students with the infrastructure to obtain an associates degree and move on to a major four (4) year degree granting institution in the Food, Agriculture, and Natural Science area. Fiscal Year 2009: All of the 1994 land-grant institutions have experienced growth in their education programs since the implementation of the Endowment Fund. Especially noteworthy are the uses of their Endowment moneys by Turtle Mountain Community College and Haskell Indian Nations University. Turtle Mountain Community College has developed a hands-on alternative energy and energy conservation curriculum, and Haskell Indian Nations University has developed its Institute of Distance Education for delivering its curriculum to the Kansas-based Tribal Nations to promote rural development. Fiscal Year 2010: It is anticipated that similar accomplishments will be attained in Fiscal Year (FY) 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 301 note; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD), Multicultural Alliances 1400 Independence Avenue, SW, STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 690-0402 and 401-2855 Fax: (202) 720-3398

**Website Address:**

[http://www.nifa.usda.gov/nea/education/in\\_focus/multicultural\\_if\\_1994\\_endowment.html](http://www.nifa.usda.gov/nea/education/in_focus/multicultural_if_1994_endowment.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Constructing Science and Wellness Centers that focus on family and community values, food production, nutrition and resource conservation, as well as increasing staff and students through recruitment and retention. Fiscal Year 2009: New curriculum development converting a two (2) year associate degree into a baccalaureate in Environmental Science. This will increase student accessibility to four (4) year degree programs through challenging classroom and hands-on field experiences, knowledgeable instructors, accessibility to the internet, and distance learning education. Fiscal Year 2010: Funds are being escrowed to build a reserve that will be used to plan and develop curricula for

two additional degrees focusing on healthful nutrition classes; employ adequate trained staff to ensure culturally important learning styles vs. faculty instruction; and partner with an 1862 University, American Dietetic Association, local college culinary arts program, and Indian health services, to develop formal and community educational programming in diets, tourism management, Type 2 diabetes, and culinary arts.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.223 HISPANIC SERVING INSTITUTIONS EDUCATION GRANTS**

HSI Grants

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA)

(7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law 110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs., 7 U.S.C. 3241.

**OBJECTIVES:**

The objective of this program is to promote and strengthen the ability of Hispanic-Serving Institutions to carry out higher education programs in the food and agricultural sciences. These programs aim to attract outstanding students and produce graduates capable of enhancing the Nation's food and agricultural scientific and professional work force. Grants under this program will be awarded to: (1) support the activities of consortia of Hispanic-Serving Institutions to enhance educational equity for underrepresented students; (2) strengthen institutional educational capacities including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international educational needs in the food and agricultural sciences; (3) attract and support undergraduate and graduate students from underrepresented groups in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States, beginning with the mentoring of students at the high school level and continuing with the provision of financial support for students through their attainment of a doctoral degree; and (4) facilitate cooperative initiatives between two or more Hispanic-Serving Institutions, or between Hispanic-Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to support one or more of the following target areas or additional target areas as identified in the annual program announcement: Curricula design; materials development; library resources; faculty preparation and enhancement for teaching; instruction delivery systems; scientific instrumentation for teaching; student experiential learning; and student recruitment and retention. 1. Award Limitations  
For FY 2009, a lead institution may receive up to two awards. Institutions could serve as collaborators in many applications and awards.

2. Funding Limitations

Please see Part II, C.3., Award Size, for maximum budget requests for regular or collaboration project applications. For FY 2009, there is no limitation on the amount of funding a single awardee may receive either as a lead institution, a cooperating institution, a subawardee or any combination thereof. The lead institution on a Collaboration Project must retain at least 25 percent and no more than 75 percent of the funds awarded.

3. Use of Funds for Facilities

Under the Hispanic-Serving Institutions Education Grants Program, the use of grant funds to plan, acquire, or construct a building or facility is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are incidental to the major purpose for which a grant is issued.

4. Indirect Costs

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Hispanic serving institutions are eligible to receive funds under this program. "Hispanic serving institutions" means an institution of higher education which, at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students, and which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such certificate; (2) is a public or other nonprofit institutions accredited by a nationally recognized accrediting body; and (3) is legally authorized to provide a program of education beyond the secondary level for which a 2-year associate, baccalaureate, or higher degree is awarded. Applications may be submitted by, and awards may only be made to, public or other non-profit Hispanic-Serving Institutions as defined in the definitions section of this solicitation. For the purposes of this program, the individual branches of a State university system or public system of higher education that are separately accredited as degree granting institutions are treated as separate institutions eligible for awards. Accreditation must be by an agency or association recognized by the Secretary, U.S. Department of Education. Institutions also must be legally authorized to offer at least a two-year program of study creditable toward an associate's or bachelor's degree. Separate branches or campuses of a college or university that are not individually accredited as degree granting institutions are not treated as separate institutions. To be eligible for competitive consideration for an award under this program, a Hispanic-Serving Institution must at the time of application: (1) certify that it has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and (2) provide assurances that not less than 50 percent of the institution's Hispanic students are low-income individuals as defined in the definitions section of this solicitation.

**Beneficiary Eligibility:**

Hispanic serving institutions, as identified above, are eligible to receive funds under this program.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized

Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory

system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$5,777,305; FY 09 est \$5,959,520; FY 10 est \$8,867,520 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and

Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-2082 Fax: (202) 720-4924

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Project La Cena (Central) Texas Education for Nutrition Advancement; A Model to Integrate Mentoring between Community Development for Underrepresented Minorities; and Research Experience to Foster Experiential Learning and to Enhance Education in Food, Soils and Environmental Sciences. Fiscal Year 2009: English for Academic and Career Success in Agriculture: A Needs-based Curriculum; Re-Shaping a Curriculum: Environmental Science in the Urban Environment and Preparing Underrepresented Students for USDA Natural Resource Careers with Multi-Disciplinary Internships. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.225 COMMUNITY FOOD PROJECTS**

Community Food Project Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Community Food Projects Competitive Grants Program (CFPCGP) legislative authority is located in Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Pub. L. 110-246), which authorizes a program of federal grants to establish and carry out Community Food Projects., 7 U.S.C 2034.

**OBJECTIVES:**

To support the development of community food projects designed to meet the food needs of low-income people; increase the self-reliance of communities in providing for their own needs; and promote comprehensive responses to local food, farm, and nutrition issues.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Community food projects are intended to take a comprehensive approach to developing long-term solutions that help to ensure food security in communities by linking the food sector to community development, economic opportunity, and environmental enhancement. Comprehensive solutions may include elements such as: (1) Improved access to high quality, affordable food among low-income households; (2) support for local food systems, from urban gardening to local farms that provide high quality fresh food, ideally with minimal adverse environmental impact; and (3) expanded economic opportunities for community residents through local business or other economic development, improved employment opportunities, job training, youth



apprenticeship, school-to-work transition, and the like. Any solution proposed must tie into community food needs. Successful applicants must provide matching funds, either in cash or in-kind amounting to at least 50 percent of the total cost of the project during the term of the grant award. 1. Construction and Renovation:

With prior approval, and in accordance with applicable Federal cost principles, grant funds may be used to plan, acquire, or construct a building or facility, or to acquire land; and for improvements, alterations, renovations, or repairs to land or buildings, necessary to carry out a funded project under this program. However, requests to use grant funds for such purposes must demonstrate that such expenditures are essential to achieving the major purpose for which the grant request is made.

## 2. Indirect Costs:

Full Negotiated Rate.

### **Applicant Eligibility:**

Proposals may be submitted by private nonprofit entities. Because projects must promote comprehensive responses to local food, farm, and nutrition issues, applicants are encouraged to seek and create partnership among public, private nonprofit and private for-profit organizations or firms. To be further eligible for a grant, a private nonprofit applicant must meet three mandatory requirements: 1. Have experience in the area of: (a) community food work, particularly concerning small and medium-sized farms, including the provision of food to people in low-income communities and the development of new markets in low-income communities for agricultural producers; or (b) job training and business development activities in low-income communities; 2. demonstrate competency to implement a project, provide fiscal accountability and oversight, collect data, and prepare reports and other appropriate documentation; and 3. demonstrate a willingness to share information with researchers, practitioners, and other interested parties.

### **Beneficiary Eligibility:**

Low income people.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided

previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. Successful CFP applicants and PP award applicants MUST provide matching on a dollar-for-dollar basis (100%) for all federal funds awarded.

Matching funds are not required for T & TA grants.

The legislation establishing the FSLC requires that as a condition to receiving a grant from NIFA, the NGO must contribute in-kind resources toward implementing the grant. To comply with this provision, NIFA has determined that applicants must provide at least 25 percent of total project resources on an in-kind basis during the term of the grant award. The Federal share of FSLC costs can be no more than 75 percent of total project costs.

CFP, PP and FSCL grantees may provide matching funds through cash and/or in-kind contributions, including third-party in-kind contributions fairly evaluated, including facilities. The non-federal share of the funding may come from state government, local government, other non-profit entities, or private sources. Examples of qualifying matching contributions may include direct costs such as: rent for office space used exclusively for the funded project; duplication or postage costs; and staff time from an entity other than the applicant for job training or nutrition education.

**\*\*SPECIAL NOTES:**

(1) Use of Indirect Costs as In-Kind Matching Contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

(2) MATCHING FUNDS ARE NOT REQUIRED FOR TRAINING AND TECHNICAL ASSISTANCE (T & TA) GRANTS.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic,

web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$9,600,000; FY 10 est \$4,800,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The FY 09 number is \$10 million or \$9.6 million after the Federal Administration set aside. No funds were provided in FY 08 due to an issue with the dates in the authorizing legislation. However, the FY 08 funds were made available in FY 09 along with the FY 09 funds.

The FY 10 number of \$4.8 is correct. This is the amount available after the Federal Administration set aside is assessed.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A - Funds were authorized; but not appropriated for FY '08. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A

FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20024 Phone: (202) 401-1761 or 205-0241 Fax: (202) 401-6488

**Website Address:**

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

**RELATED PROGRAMS:**

10.572 WIC Farmers' Market Nutrition Program (FMNP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Time for the Harvest: Renewing Native American Food Systems; Village Gardens: Partnering with low-income People, Farmers, Government, and Business to Meet Food Needs and Organize for Lasting Change; and The Lower Eastside Girls Club of NY. Fiscal Year 2009: N/A - During FY '08 Funds were authorized; but not appropriated. Hence, no funds were available to make awards during FY '09. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

1. The applicability and merit of the proposed project in regard to its ability to: Meet the food needs of low-income people in the proposed community for providing for its own food needs; and promote comprehensive responses to local food, farm, and nutrition needs;
2. the capacity to become self-sustaining once Federal funding ends; and
3. organizational and staff qualifications and experience; and 4. additional criteria will be considered relative to the extent the proposed project contributes to:
  - (a) developing linkages between two or more sectors of the food system;
  - (b) supporting the development of entrepreneurial projects;
  - (c) developing innovative linkages between the for-profit and nonprofit food sectors;
  - (d) encouraging long-term planning activities and multi-system, interagency approaches; and (e) incorporating linkages to one or more ongoing USDA themes or initiatives referred to in the program guidelines and/or annual proposal solicitation.

**10.226 SECONDARY AND TWO-YEAR POSTSECONDARY AGRICULTURE EDUCATION CHALLENGE GRANTS**

SPECA Grants Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section

7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom, in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences., 7 U.S.C 3121; Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)), 7 U.S.C 3152 (j).

**OBJECTIVES:**

The purpose of the Secondary Education, Two-Year Postsecondary Education, and Agriculture in the K-12 Classroom Challenge (SPECA) Grants Program is to: enhance curricula in agricultural education; increase faculty teaching competencies; interest young people in pursuing higher education in order to prepare for scientific and professional careers in the food and agricultural sciences; promote the incorporation of agriscience and agribusiness subject matter into other instructional programs, particularly classes in science, business, and consumer education; facilitate joint initiatives by the grant recipient with other secondary schools, institutions of higher education that award an associate's degree, institutions of higher education that award a bachelor's degree, and nonprofit organizations supporting agriscience and agribusiness education, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve agriscience and agribusiness education; support other initiatives designed to meet local, State, regional, or national needs related to promoting excellence in agriscience and agribusiness education; and support current Agriculture in the Classroom programs for grades K-12.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, promotion of teaching competencies, promotion of agriscience and agribusiness career information, instruction delivery systems, student experiential learning, and educational activities that increase the diversity of students pursuing degrees in agriscience and agribusiness. CSREES has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Tuition remission not allowed.

Section 7132 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246), amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no

indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Beneficiary Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil

Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. A grant recipient is required to match the USDA funds awarded on a dollar-for-dollar (100%) basis from

non-Federal sources. Matching funds are not required to come in any particular amount from any one source. However, all matching funds pledged in this application must be accompanied by documentation. See Part IV, B.5. SF 424 (R&R) Budget Fed and Non-Fed, Field K-Budget Justification, for additional details.

**\*\*Note #2 - Use of Indirect Costs as In-Kind Matching Contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Cash reports are not applicable. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$925,815; FY 09 est \$925,680; FY 10 est \$17,743,680 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A Community Partnership to Teach Natural Resources Conservation; Summer Aquaculture Camp for Student Interns at the Bryant High School Aquaculture Facility; and Development of a Viticulture Curriculum for the Snake River Valley American Viticulture Area. Fiscal Year 2009: Improving Financial Planning and Management Instruction in Secondary Agricultural Education; Student Produced Monthly Agriculture Television News Magazine and Newspaper; and Swine Production Manager Certification

and Associate Degree Delivered via Distance Education. Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.227 1994 INSTITUTIONS RESEARCH PROGRAM**

Tribal Colleges Research Grants Program (TCRGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance., 7 U.S.C 301 note.

**OBJECTIVES:**

The Tribal Colleges Research Grants Program (TCRGP) (aka 1994 Institutions Research Program) is a competitive grants program supporting fundamental and/ or applied agricultural research projects that address high priority concerns of tribal, national or multi-state significance. The program funds investigative and analytical studies and experimentation in the food and agricultural sciences (as defined in section 1404 of the NARETPA (7 U.S.C. 3103) and Part VIII, E. of this RFA). TCRGP seeks to advance the body of knowledge in the basic and applied natural and social sciences within the food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This research grants program is authorized to conduct agricultural research that addresses high priority concerns of tribal, national or multi-State significance. NIFA has determined that grant funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the

indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian National University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

**Beneficiary Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Oriellese Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on

an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

- <http://www.nifa.usda.gov/>
- <http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

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

Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$1,434,184; FY 09 est \$1,505,960; FY 10 est \$1,505,960 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 Fax: (202) 720-4924

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Genetic Evaluation of Two Aquatic Invasive Plants to Mitigate Impacts on the Flathead Indian Reservation, Pablo, Montana and Research on the Lummi Traditional Foods Project. Fiscal Year 2009: Native American Consumer Perspectives: A Study of Household Assets and the Decision to Purchase and Consume Local Food Products and Culturally Important Plants; New Propagation Techniques for Declining Populations.

Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.228 ALASKA NATIVE SERVING AND NATIVE HAWAIIAN SERVING INSTITUTIONS EDUCATION GRANTS**

ANNH Grants Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii., 7 U.S.C 3242.

**OBJECTIVES:**

The purpose of this program is to promote and strengthen the ability of Alaska Native-Serving Institutions and Native Hawaiian-Serving (ANNH) Institutions to carry out education, applied research, and related community development programs. NIFA intends this program to address educational needs, as determined by each institution, within a broadly defined area of food and agricultural sciences and related disciplines.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to enhance educational equity for under-represented students in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States; to strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified educational needs in the food and agricultural sciences; and to facilitate activities and cooperative initiatives between AN/NH Serving Institutions, or between AN/NH Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or,



alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Individual public or private, non-profit Alaska Native-Serving and Native Hawaiian-Serving Institutions of higher education that meet the definitions of Alaska Native-Serving Institution or Native Hawaiian Serving Institution established in Title III, Part A of the Higher Education Act of 1965, as amended (20 U.S.C. 1059d.) are eligible institutions under this program.

**Beneficiary Eligibility:**

Alaska Native Serving Institutions and Native Hawaiian Serving Institutions.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted

organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least

three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$3,067,655; FY 09 est \$3,068,180; FY 10 est \$3,068,180 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-0384 Fax: (202) 720-4924

**Website Address:**

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

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.223 Hispanic Serving Institutions Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Drumbeats: We Will Live Well and University of Hawaii Agribusiness Education, Training and Incubator Project (AETI). Fiscal Year 2009: ACTIVE (Alaska Community Training, Instruction and Vocational Education). Fiscal Year 2010: It is anticipated that similar projects will be funded in Fiscal Year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.303 INTEGRATED PROGRAMS**

(Integrated Programs)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 2(c)(1)(B) of Public Law 89106, as amended.

, Public Law 89-106; Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a

competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information). , 7 U.S.C 7626.

#### **OBJECTIVES:**

##### **GENERAL:**

NIFA Integrated Programs provide support for integrated research, education, and extension activities. Integrated, multi-functional projects are particularly effective in addressing important agricultural issues through the conduct of problem-focused research that is combined with education and extension of knowledge to those in need of solutions. These activities address critical national, regional, and multi-state agricultural issues, priorities, or problems. Integrated Programs hold the greatest potential to produce and disseminate knowledge and technology directly to end users while providing for educational opportunities to assure agricultural expertise in future generations. See individual program Requests for Applications for additional information about the topics.

##### **SEVERAL PROGRAMS ARE FUNDED UNDER CFDA 10.303. SPECIFIC OBJECTIVES ARE AS FOLLOWS:**

###### **Integrated Research, Education, and Extension Competitive Grants Program: National Integrated Water Quality Program**

The goal of the National Integrated Water Quality Program is to improve the quality of our Nation's surface water and groundwater resources through research, education, and extension activities. Projects funded through this program will facilitate achieving this goal by advancing and disseminating the knowledge base available to agricultural and rural communities. Funded projects should lead to science-based decision-making and management practices that improve the quality of the Nation's surface water and groundwater resources in agricultural and rural watersheds. See RFA for priority areas.

###### **Integrated Research, Education, and Extension Competitive Grants Program: National Integrated Food Safety Initiative**

The purpose of the National Integrated Food Safety Initiative is to support food safety projects that demonstrate an integrated approach to solving problems in applied food safety research, education, or extension. Various models for integration of applied research, education, and extension will be considered for funding. Applications describing multi-state, multi-institutional, multidisciplinary, and multifunctional activities (and combinations thereof) are encouraged. Applicants are strongly encouraged to address at least two of the three functional areas of research, education, and extension (i.e., research and extension, research and education, or extension and education).

###### **Integrated Research, Education, And Extension Competitive Grants Program: Regional Integrated Pest Management Centers**

The goal of the Regional Integrated Pest Management Centers (IPM Centers) is to promote the development and implementation of IPM by facilitating collaboration across states, disciplines, and purposes. IPM Centers will establish and maintain information networks, build partnerships to address pest management challenges and opportunities, evaluate the impact of IPM implementation, communicate positive outcomes to key stakeholders, and manage funding resources effectively. Successful applicants to this program will demonstrate the capacity and commitment necessary to advance the goals of the National Roadmap for Integrated Pest Management ([www.ipmcenters.org/IPMRoadMap.pdf](http://www.ipmcenters.org/IPMRoadMap.pdf)), and evaluate the progress of this

advancement. The IPM Roadmap addresses pest management needs for production agriculture, natural resources and recreational environments, and residential and public areas.

###### **Integrated Pest Management: Crops at Risk Program**

The goal of the CAR program is to enhance the development and implementation of innovative, ecologically based sustainable IPM system(s). Preferably, this should involve a diversity of tactics and approaches for a single or specific food or fiber commodity in commercial production for pre- and/or post-harvest system(s). The program addresses either a major acreage or high value crop commodity such as key fruits and vegetables. The primary emphasis is on crop productivity and profitability, while addressing critical environmental quality and human health issues. The CAR program will fund integrated multifunctional/multidisciplinary research, education, and extension projects for crops with high priority IPM needs as identified by stakeholders.

###### **Integrated Pest Management: Risk Avoidance and Mitigation Program**

The goal of the Risk Avoidance and Mitigation (RAMP) program is to enhance the development and implementation of innovative, ecologically based sustainable IPM strategies and system(s) for (a) multi-crop food and fiber production systems; (b) an area-wide or a landscape scale agroecosystem; or (c) a documented pesticide impact on water, human or environmental health. RAMP applications may address major acreage agricultural production systems, high value crops such as key fruit and vegetable systems, or other agroecosystems. The primary emphasis of the application should be on productivity and profitability while addressing critical environmental quality and human health issues. The intent of RAMP is to fund medium-term projects that emphasize systems approaches.

###### **Integrated Research, Education, and Extension Competitive Grants Program:**

###### **Integrated Pest Management: Methyl Bromide Transitions Program**

The goal of the Methyl Bromide Transitions (MBT) program is to support the discovery and implementation of practical pest management alternatives to methyl bromide uses or minimize methyl bromide emissions for which the United States is requesting critical use exemptions. The program is focused on integrated commercial or field scale research that targets short- to medium-term solutions.

###### **Integrated Organic Program**

The purpose of the Integrated Organic Program is to solve critical organic agriculture issues, priorities, or problems through the integration of research, education, and extension activities. The Organic Transitions Program (ORG) funds the development and implementation of research, extension, and higher education programs to improve the competitiveness of organic producers and producers who are adopting organic practices. Funding opportunities for the ORG Program is included in the same Request for Applications (RFA) as the Organic Research and Extension Initiative (OREI).

**PLEASE NOTE: THIS PROGRAM DOES NOT FUND START UP BUSINESSES.**

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

This research, education, and extension competitive grants program provides funding for integrated, multi-functional agricultural research, extension, and education activities which addresses priorities in United States agriculture. THE FOLLOWING USES AND RESTRICTIONS ARE APPLICABLE TO:

- (1) Critical Issues (FDC 37610) and
- (2) Regional Rural Development Centers (FDC 51150) (Section 2(c)(1)(B) of Public Law 89-106, as amended):

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension

space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

THE FOLLOWING USES AND RESTRICTIONS ARE APPLICABLE TO THE FOLLOWING PROGRAMS WHICH ARE AUTHORIZED UNDER (Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality (FDC 51130)
- (2) Food Safety (FDC 51110)
- (3) Regional Pest Management Centers (FDC 51120)
- (4) Crops at Risk (FDC 51100)
- (5) Risk Mitigation Program (FDC 51101)
- (6) Methyl Bromide Transition Program (FDC 51102) and
- (7) Organic Transition - Risk Assessment (FDC 51106)

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008 (FCEA), amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space.

The maximum allowed indirect cost of 22 percent may be claimed under the Federal portion of the award, or the maximum allowed indirect cost of 22 percent may be claimed as matching contributions (if no indirect costs are requested). However, the maximum allowed indirect cost of 22 percent may not be claimed on both the Federal portion of the award and as matching contributions. (Note: An awardee may, as an example, request 11 percent of indirect costs on both the Federal portion of the award and as matching contributions. Or, an awardee may request any other, similar percentage combination that, when combined, does not exceed the 22 percent maximum indirect cost allowed.) Nevertheless, the total combined percent of requested and contributed matching indirect costs cannot exceed 22%.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed

indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

#### **Applicant Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

#### **Beneficiary Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of

Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. GENERAL RULES:  
(a) Funds are awarded competitively.  
(b) No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

**SPECIFIC PROVISIONS:**

Regarding Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89-106, as amended):

NIFA does not require matching or cost sharing support for the above-referenced programs.

However, the provisions indicated below are applicable to the following programs which are authorized under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality
- (2) Food Safety
- (3) Regional Pest Management Centers
- (4) Crops at Risk
- (5) Risk Mitigation
- (6) Methyl Bromide Transition and
- (7) Organic Transition - Risk Assessment

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

If a grant provides a particular benefit to a specific agricultural commodity, and not of national scope, the grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions. (See Part IV, B., 6. of the RFA for details.)

NIFA may waive the matching funds requirement for a grant if NIFA determines that:

- (1) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or
- (2) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Regarding the Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89-106, as amended), normally, competitive research projects will be supported for periods of up to three (3) years.

However, for the other programs (under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current

Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture(USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

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

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$53,068,294; FY 09 est \$54,021,796; FY 10 est \$54,225,456 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Water Quality, Natural Resources and Environment (NRE), 1400 Independence Avenue, SW, STOP 2210,

**ADDITIONAL CONTACTS:**

USDA, NIFA, National Program Leader; Food Science and Food Safety; Plant and Animal Systems Unit; 1400 Independence Ave., SW; STOP 2220 Washington, DC 20250-2220; Telephone: (202) 401-1954; Fax: (202) 401-1602;

**AND**

USDA, NIFA, National Program Leader, Plant Systems Section, Plant and Animal Systems Unit; 1400 Independence Ave., SW; STOP 2220; Washington, DC 20250-2220; Telephone: (202) 401-4939 or (202) 401-4891 or (202) 401-1112 or (202) 401-3356; fax: 202-401-4888; , Washington , District of Columbia 20024 Phone: (202) 401-4555 and 205-5952 and Fax: (202) 401-1706.

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Section 2(c)(1)(B) of Public Law 89106, as amended.

(a) Critical Issues:

Modeling Johnes Disease Vaccination: Impacts on the Bovine Tuberculosis Eradication and the Voluntary Bovine Johnes Disease Control Program; and Etiology and Molecular Pathogenesis of Porcine High Fever Disease (PHFD)

(b) Regional Rural Development Centers:

Integrated Activities Regional Rural Development Centers; and Northeast Regional Center for Rural Development Project.

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626)

(c) Water Quality:

Moving the Extension Volunteer Monitoring Network to the Next Level: A National Water Resources Project; Watershed Scale Evaluation in a Tri-State Region of the Water Quality Benefits of Self-Forming and Two-Stage Channel Systems; and The Northeast States and Caribbean Islands Regional Water Resource Program.

(d) Food Safety:

Preventing Food borne Illnesses Among Vulnerable Older Adults Through the

Home Delivered Meal Program: A Multifunctional Approach; Improving Hygienic and Food Preparation Practices in Child Care Centers; An Integrated Approach to Determine Salmonella Dynamics in the Niche-Market Antimicrobial-Free Swine Production System; and Minimizing Microbial Food Safety Hazards of Fresh and Fresh-Cut Fruits and Vegetables Through a Farm to Table Approach.

(e) Regional Pest Management Centers:

Northeastern Integrated Pest Management Center; North Central Integrated Pest Management Center; Western IPM Center; and Management of the Southern Region IPM Center.

(f) Crops at Risk (CAR):

Building an Area-Wide IPM Perspective for Stalk Borers Threatening Sugarcane and Rice; Preventative Pruning and Resistant Varieties for Long-Term Control of Grapevine Trunk Diseases and Relationship between Sources of Inoculum and Fungicide Resistance: The Key to Better Management of Gummy Stem Blight in Watermelon.

(g) Risk Mitigation (RAMP):

Reducing Risks Associated with Viruses Affecting Legumes in the Inland Pacific Northwest; A Reduced-Risk System for Managing Thrips and Tomato Spotted Wilt Virus in Tomato and Pepper in the Southeastern USA; and Synoptic Weather Forecasting and Web-Based Information Delivery Systems for Managing Crop Disease Risk in Multiple Regions of the U.S.

(h) Methyl Bromide Transition (MBT):

Grower Field Demonstration Trialing of Gas Impermeable Plastic Mulches, Reduced Rates of Soil Fumigants, and Optimized Irrigation and Culture; Strawberry and Ornamental Production Without Methyl Bromide Employing Grower-Directed Alternative Pest Management Research and Outreach; and Critical Analysis of Methyl Bromide, Sulfuryl Fluoride, and Heat Treatment in Disinfecting Food-Processing Facilities.

(i) Organic Transition Risk Assessment:

Whole Farm-Level Evaluation of Field Border Vegetation on Organic Management of Insect Pests and Weed Seed Banks, and on Farmland Wildlife; Impact of Organic Management on Dairy Animal Health & Well-Being; and Developing Carbon-Positive Organic Systems Through Reduced Tillage and Cover Crop-Intensive Crop Rotation Schemes. Fiscal Year 2009: Section 2(c)(1)(B) of Public Law 89106, as amended.

(a) Critical Issues:

Laurel Wilt Critical Needs Research: Disease management for Avocado and Preparation for the Incursion of UG99; and Related Races of the Wheat Stem Rust Pathogen into the US: Determining Best Application Techniques.

(b) Regional Rural Development Centers:

Western Rural Development Center; and North Central Regional Center for Rural Development.

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626)

(c) Water Quality:

Coordinated Regional Water Resources Programming for the Northern Plains and Mountain Region; and Continuing Support for the Great Lakes Regional Water Program A Regional Water Resource Project for North Central States in US EPA Region 5.

(d) Food Safety

It is anticipated that similar projects will be funded in FY 2009.

(e) Regional Pest Management Centers:

Northeastern Integrated Pest Management Center; North Central Integrated Pest Management Center; Western IPM Center; and Management of the Southern Region IPM Center.

(f) Crops at Risk (CAR):

Integrating Applied Insect Ecology into Blueberry Pest Management.

(g) Risk Mitigation (RAMP):

It is anticipated that similar projects will be funded in FY 2009.

(h) Methyl Bromide Transition (MBT):

It is anticipated that similar projects will be funded in FY 2009.

(i) Organic Transition Risk Assessment:

It is anticipated that similar projects will be funded in FY 2009. Fiscal Year 2010: It is anticipated that similar projects will be funded in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.304 HOMELAND SECURITY\_AGRICULTURAL**

FOOD AND AGRICULTURE DEFENSE INITIATIVE (FADI)  
(aka Homeland Security Program)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), Section 1472, 7 U.S.C. 3318. , 7 U.S.C 3318.

**OBJECTIVES:**

To provide funding to protect the food supply and agricultural production. This is accomplished by providing federal assistance, through existing cooperative agreements, to four (4) national agricultural homeland security networks: the National Animal Health Laboratory Network (NAHLN), the National Plant Diagnostic Network (NPDN), the Extension Disaster Education Network (EDEN), and the Pest Information Platform for Education and Extension (ipmPIPE).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

These funds are subject to the provisions of 31 U.S.C. 1301 requiring their use only for the purpose for which they were appropriated. Funding is limited to support for the four (4) aforementioned agrosecurity networks. Indirect costs are not allowable costs under this program, and no funds will be approved for this purpose. Further, costs that are a part of an institution's indirect cost pool (e.g., administrative or clerical salaries) may not be reclassified as direct costs for the purpose of making them allowable. Fully discretionary.

**Applicant Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

**Beneficiary Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You

will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). The National Institute of Food and Agriculture (NIFA) solicits proposals to fund existing and new cooperative agreements through a request for application process. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;

(3) Both animal and plant diagnostic capabilities;

(4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;

(5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and

(6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

Proposals are subject to a merit review process conducted by NIFA staff members.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year (FY).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The term of a Cooperative Agreement under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. NIFA uses SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.



Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFAs Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 08 \$9,437,472; FY 09 est \$9,435,080; FY 10 est \$9,436,800 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

It is anticipated that awards will range from \$250,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The National Animal Diagnostic Network and Plant Diagnostic Network Centers ensure timely disease detection. They also enhance

the process of producing and maintaining a timely, comprehensive catalogue of pest and disease outbreak occurrences in a nationally accessible database. Identifying new or uncommon pests and diseases accurately will allow USDA, in conjunction with the States, to expedite initial control responses, verify the physical boundaries of an outbreak and initiate regional or national containment strategies. The ultimate performance measure for these networks is their disease-detection preparation. The networks will continue to study new diseases regularly to protect the Nation from accidental or deliberate introduction of diseases.

Through the NPDN ([www.npdn.org](http://www.npdn.org)), plant disease (and insect) detection criteria have been developed for soybean rust, sudden oak death, Ralstonia stem rot, plum pox virus, pink hibiscus mealybug, potato wart, huanglongbing (citrus greening), and Potato Cyst Nematode. Soybean rust is a fungal disease that attacks the foliage of a soybean plant, causing its leaves to drop prematurely. Sudden oak death is a plant disease that attacks many types of plants and trees common to the Pacific Northwest. Plum pox virus browns the flesh and deforms stone fruit, making it unmarketable. Pink hibiscus mealybug is a serious insect threat to agricultural, ornamental and horticultural plants in tropical and sub-tropical areas. Potato wart creates ugly, warty outgrowths on potato plants. Huanglongbing (citrus greening) causes infected citrus trees to yellow, decline, and possibly die within a few years of infection. Potato Cyst Nematode is a major pest of potato crops that can cause up to 80 percent yield loss.

Through the NAHLN, animal disease-detection criteria have been developed for the following nine high-consequence diseases. Foot-and-Mouth Disease is a severe, highly contagious viral disease of cattle and swine. Exotic Newcastle Disease is a contagious and fatal viral disease affecting all birds. Classical Swine Fever, or hog cholera, is a highly contagious viral disease of swine. High Pathogen Avian Influenza and Low Pathogen Avian Influenza are viruses that can cause varying amounts of clinical illness in poultry. Bovine Spongiform Encephalopathy is a chronic degenerative disease that affects the central nervous system of cattle. Scrapie is a fatal, degenerative disease affecting the central nervous system of sheep and goats. Chronic Wasting Disease attacks the central nervous system of deer and elk. For 2008 Rift Valley Fever was added. This is a fever-causing disease that affects livestock (including cattle, buffalo, sheep, and goats) and humans. In fiscal year 2008, NAHLN laboratory personnel participated in diagnostic training to develop the diagnostic capability for this disease. NAHLN is part of a national strategy to coordinate the Nations Federal, State and university laboratory resources.

The Extension Disaster Education Network supports and supplements these efforts through agrosecurity education. The ipmPIPE provides first detectors with real time information to encourage disease discover and diagnosis. Fiscal Year 2009: It is anticipated that accomplishments will be consistent with the prior year. Fiscal Year 2010: It is anticipated that accomplishments will be consistent with the prior year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220., Washington , District of Columbia 20250-2220 Phone: (202) 401-6301 Fax: (202) 401-6156

**Website Address:**

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

**RELATED PROGRAMS:**

10.310 Agriculture and Food Research Initiative (AFRI) ; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Information about the four (4) networks funded by the program can be viewed at:

NPDN: [www.npdn.org](http://www.npdn.org)

NAHLN: [www.aphis.usda.gov/animal\\_health/nahln](http://www.aphis.usda.gov/animal_health/nahln)

EDEN: [www.eden.lsu.edu](http://www.eden.lsu.edu)

ipmPIPE: [www.ipmPIPE.org](http://www.ipmPIPE.org). Fiscal Year 2009: Information about the four (4) networks funded by the program can be viewed at:

NPDN: [www.npdn.org](http://www.npdn.org)

NAHLN: [www.aphis.usda.gov/animal\\_health/nahln](http://www.aphis.usda.gov/animal_health/nahln)

EDEN: [www.eden.lsu.edu](http://www.eden.lsu.edu)

ipmPIPE: [www.ipmPIPE.org](http://www.ipmPIPE.org). Fiscal Year 2010: Information about the four (4) networks funded by the program can be viewed at:

NPDN: [www.npdn.org](http://www.npdn.org)

NAHLN: [www.aphis.usda.gov/animal\\_health/nahln](http://www.aphis.usda.gov/animal_health/nahln)

EDEN: [www.eden.lsu.edu](http://www.eden.lsu.edu)

ipmPIPE: [www.ipmPIPE.org](http://www.ipmPIPE.org).

**CRITERIA FOR SELECTING PROPOSALS:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;
- (3) Both animal and plant diagnostic capabilities;
- (4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;
- (5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and
- (6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

### **10.305 INTERNATIONAL SCIENCE AND EDUCATION GRANTS (INTERNATIONAL SCIENCE AND EDUCATION (ISE) COMPETITIVE GRANTS PROGRAM)**

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 229 of the Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

Section 7141 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8701 note) authorized the International Science and Education Competitive

Grants Program (ISE).

, 7 U.S.C 3292b.

**OBJECTIVES:**

The purpose of ISE is to support the internationalization of food, agriculture and related programs at U.S. universities and colleges. It is intended that ISE will improve the ability of American students, business people, and community members to compete more effectively in the global world of agriculture. ISE projects are to strengthen the global competence and competitiveness of American colleges, universities and businesses in the food, agriculture, and related sectors. In addition, ISE projects must be directed to agricultural research, extension, and/or teaching activities that enhance the capabilities of American colleges and universities to conduct international collaborative research, extension and teaching. Our success in the global arena will increasingly require U.S. colleges and universities to produce graduates who can operate competently in domestic and international settings. Through their outreach efforts, universities and colleges also play a critical role in helping U.S. producers successfully operate in foreign markets.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funded projects will respond to specific needs and strengths of the university or college that will enable it to strengthen the global competence of students, faculty and staff in agriculture and related areas and enhance business performance in international agriculture and related sectors through extension, research and/or teaching programs. Each institution may submit no more than two proposals as the lead institution. No institution acting as the principal or lead institution will receive more than one grant during the current competition. Therefore, institutions are encouraged to establish on-campus quality control mechanisms to ensure that only the highest quality proposals are submitted for consideration.

Program funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities (i.e., greenhouses, laboratories, or other structures).

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by colleges and universities and defined in section 1404 of NARETPA. The terms college and university mean an

educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such State to provide a program of education beyond secondary education; (3) provides an education program for which a bachelor's degree or any other higher degree is awarded; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association.

**Beneficiary Eligibility:**

Colleges and universities; public or other nonprofit institutions.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$1,887,558; FY 09 est \$2,861,000; FY 10 est \$2,880,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development (SERD), International Programs 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 690-3852 Fax: (202) 690-2355

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.219 Biotechnology Risk Assessment Research; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Global Agriculture Leadership Incubator Project (GALIP); Collaborative International Internship Program in Nutrition, Food Safety and Agriculture; and Combating the Transmission of Antibiotic Resistance through the Global Food Chain. Fiscal Year 2009: Multicultural Perspectives on Sustainable Agriculture: Lessons from Costa Rica; Enhancing Water Sustainability in a Water Scarce Region in Africa; and Collaborative Partnerships with China in Agricultural Research and Education. Fiscal Year 2010: It is anticipated that similar projects will be funded in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.306 BIODIESEL**

(Biodiesel Fuel Education Program)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903., 7 U.S.C. 3318.

**OBJECTIVES:**

The goals of the Biodiesel Fuel Education Program as originally established in Section 9004 of the Farm Security Investment Act of 2002 (7 U.S.C. 8104) were to stimulate biodiesel consumption and to stimulate the development of a biodiesel infrastructure. The information and outreach activities to raise awareness of the benefits of biodiesel fuel use complemented the incentives provided by the Energy Policy Act of 2005 (EPAct) (Public Law 109-58), and the Energy Independence and Security Act of 2007 (Public Law 110-140). As a result of increased awareness and consumption of biodiesel over the past 5 years, the FY 2008 Biodiesel Education program will focus on educational programs which will support advances in infrastructure, technology transfer, fuel quality, fuel safety and increasing feedstock production.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This funding is used for education and outreach activities. Program funds may not be used for renovation or refurbishment or research space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition or construction of buildings or facilities. Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds may not be used for any purposes other than those approved in the grant award documents.

When preparing budgets, applicants should limit their requests for recovery of indirect costs to their institutions official negotiated indirect cost rate. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. CSREES will request an indirect cost rate proposal and provide instructions, as necessary.

An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space. Grantees electing this alternative will not be allowed to charge, as direct costs, indirect costs that otherwise would be in the grantee's indirect cost pool under the applicable Office of Management and Budget cost principles. Grantees who request no indirect costs will not be permitted to revise their budgets at a later date to charge indirect costs to grant funds.

No other indirect cost recovery caps apply to these funds.

Funds made available under Biodiesel Education shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

**Applicant Eligibility:**

Eligibility is restricted to nonprofit organizations or institution of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Beneficiary Eligibility:**

Nonprofit organizations or institutions of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform

Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made as continuation grants, and subsequent annual funding is provided based on demonstrated progress.

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years.

Same level of funding for five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's

Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$959,585; FY 09 est \$960,000; FY 10 est \$960,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems (PAS), 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20024 Phone: (202) 401-5877, 401-6443 or 401- Fax: (202) 401-5179

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Biodiesel Education Program and NBB Biodiesel Education Fuel Project. Fiscal Year 2009: Represents Continuation Awards; hence, the projects funded are the same as FY 2008. Fiscal Year 2010: Represents Continuation Awards; hence, the projects funded are the same as FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.307 ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE**

ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE (OREI)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details. , 7 U.S.C 5925b.

**OBJECTIVES:**

Facilitate the development of organic agriculture production, breeding, and processing methods. Functionally identify soil microbial communities and ways to manage microbial dynamics to enhance nutrient cycling and disease suppression; Develop systemic approaches to weed, insect and disease management; Prevent, control, and treat internal and external parasites in various livestock species; and Breed crops for disease and insect resistance, good yield in a biologically diverse system, compatibility with intercrops, good response to organic fertility sources, horizontal resistance (traits determined by multiple genes). Evaluate the potential economic benefits to producers and processors who use organic methods. Analyze potential economic costs, returns and risks of organic production systems; Use environmental valuation tools to quantify externalities of producing food, and compare externalities of producing organic and conventional food; - Analyze price and market structures, including ability of small, medium-, and large-scale growers to access different markets, in order to frame policies that minimize concentration within the industry; and Analyze marketing channels to document how organic food is distributed, what share of the organic food dollar is returned to the farmer, and the implications of large-scale manufacturers entering the organic market. Explore international trade opportunities for organically grown and processed agricultural commodities. Compare compatibility of certification standards used in different parts of the world, with the ultimate goal of harmonization and reciprocity; Undertake marketing studies of international consumer demand for U.S. produced organic goods; and Perform Welfare analyses (quantified gains and losses for producers and consumers) of trade policies affecting international competitiveness, including implementation of the National Organic Program, domestic support programs such as the Conservation Security Act, country of origin labeling, GMO labeling, etc. Determine desirable traits for organic commodities. Examine relationships between nutrients in the soil and nutrients in the food grown on that soil, including long-term soil nutrient and crop nutrient profiles under conventional and organic management; Perform comparisons of nutrient levels between organic and conventional crops and relationship, if any, between taste and nutrient profile; Investigate the role of post-harvest handling and treatment in the maintenance of quality in fresh market organic products; and Determine the reasons for consumer preferences for organic goods. Identify marketing and policy constraints on the expansion of organic agriculture. Analyze opportunities and constraints to organic agriculture resulting from provisions of the Farm Security and Rural Investment Act of 2002; Investigate specific barriers to markets, such as scale-based regulations that restrict family farm access to processors and/or markets; Study negative lender perception of organic farming and ways to change this; and Analyze regulatory barriers, such as lack of access to Federal farm programs, and developing solutions to these challenges. Conduct advanced on-farm research and development that emphasizes observation of, experimentation with, and innovation for working organic farms, including research relating to production and marketing and to socioeconomic conditions. (Note: Many topics from other goal areas can be conducted on working farms.) Develop rigorous on-farm systems research designs; and Conduct long-term, interdisciplinary systems research.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Integrated Organic Program is particularly interested in proposed projects that emphasize research and outreach that assist farmers and ranchers with whole farm planning and ecosystem integration. Projects should plan to deliver applied production information to producers. Fieldwork for both program areas must be done on certified organic land or on land in transition to organic certification, as appropriate to project goals and objectives. Refer to the USDA National Organic Program (<http://www.ams.usda.gov/nop>) for organic production standards. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 19 percent to 22 percent of total Federal funds provided under the award.

Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

#### **Applicant Eligibility:**

Applications may be submitted by State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For both ORG and OREL, all award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

#### **Beneficiary Eligibility:**

State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award

of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines: Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>



Section :095 - Range of Approval/Disapproval Time: From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 100%. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

**Cost Sharing or Matching:**

(1) General Requirement

The Secretary shall require the recipient of a grant under this section to provide funds or in-kind support from non-Federal sources in an amount at least equal to the amount provided by the Federal Government.

See R&R Budget section regarding matching funds Part IV, B., 6. of this RFA for more details.

(2) Waiver

NIFA may waive the matching funds requirement specified in the above paragraph for a grant if NIFA determines that:

(a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$2,824,688; FY 09 est \$17,221,900; FY 10 est \$19,200,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems (PAS), 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20024 Phone: (202) 401-5877 or 401-3356 Fax: (202) 401-4888

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Integrating Weed Management and Fertility in Organic Highbush Blueberry Production Systems; Best Management Practices for Organic Orchard Nutrition; and Designing Production Strategies for Stewardship and Profits on Fresh Market Organic Farms. Fiscal Year 2009: Sustainable Systems for Cucurbit Crops on Organic Farms; Practical Perennials: Partnering with Farmers to Develop a New Type of Wheat Crop; and Farmer Driven Breeding: Addressing the Needs of Southeastern Organic Field Crop Producers. Fiscal Year 2010: It is anticipated that similar projects will be funded in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.308 RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

**RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences., 7 U.S.C 3363.

**OBJECTIVES:**

In General. -The Secretary of Agriculture shall make competitive grants to eligible institutions to-

- (1) strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international education needs in the food and agricultural sciences;
- (2) attract and support undergraduate and graduate students in order to educate them in identified areas of national need in the food and agriculture sciences;
- (3) facilitate cooperative initiatives between two or more insular area eligible institutions, or between those institutions and units of State Government or organizations in the private sector, to maximize the development and use of resources such as faculty, facilities, and equipment to improve food and agricultural sciences teaching programs; and
- (4) conduct undergraduate scholarship programs to assist in meeting national needs for training food and agricultural scientists.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The purpose of the Resident Instruction Grants Program for Institutions of Higher Education in Insular Areas (RIIA) is to promote and strengthen the ability of Insular Area Institutions to carry out teaching and education programs within the broadly defined food and agricultural sciences-related disciplines. Food and agricultural sciences include programs in agriculture, food and fiber, renewable energy and natural resources, forestry, aquaculture, veterinary medicine, family and consumer sciences, home economics, nutrition and dietetics, rural human ecology, rural economic and community development, and other higher education activities and fields of study related to the production, processing, marketing, distribution, conservation, utilization, consumption, research, and development of food and agriculturally-related

products and services. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Funds may not be used for any purposes other than those approved in the grant award documents. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing. Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Beneficiary Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the

Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (SDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$712,282; FY 09 est \$765,500; FY 10 est \$765,500 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Section "Obligations (122) - Per Noah Engelberg (Base funding in FY 2010 Budget was \$800K not \$1M.) FY 2010 should be about equal to FY 2009."

Response from Christina Buch, Director, Budget Office:  
Noah is correct, the FY 09 and FY 10 numbers should be the same.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2009: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD), Higher Education Programs 1400 Independence Avenue, SW, STOP 2251,, Washington , District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: National Food and Agricultural Sciences Teaching Awards Program and Developing Resident Instruction in Food and Agriculture Related Sciences at Land-Grant Institutions in the Pacific and Caribbean. Fiscal Year 2009: It is anticipated that similar projects will be funded in FY 2009. Fiscal Year 2010: It is anticipated that similar projects will be funded in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.309 SPECIALTY CROP RESEARCH INITIATIVE**

SCRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions.

**OBJECTIVES:**

The Specialty Crop Research Initiative (SCRI) was established to solve critical industry issues through research and extension activities. SCRI will give priority to projects that are multistate, multi-institutional, or trans-disciplinary; and include explicit mechanisms to communicate results to producers and the public. Projects must address at least one of five focus areas: research in plant breeding, genetics, and genomics to improve crop characteristics; efforts to identify and address threats from pests and diseases, including threats to specialty crop pollinators; efforts to improve production efficiency, productivity, and profitability over the long term; new innovations and technology, including improved mechanization and technologies that delay or inhibit ripening; and methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops including fresh produce.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. INDIRECT COSTS:

Not to exceed 22% of Federal Funds awarded.

Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions.

**Applicant Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Beneficiary Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Notice of Intent to Submit an Application: Prospective applicants are asked to email a notification of intent to submit an application. The notification of intent to submit is not required and does not enter into the review of a subsequent application. The information it contains will be used to help program staff plan the review and estimate the potential review workload. This email should include the following information:

Descriptive (draft) title of proposed research;  
Name of the Project Director and applicant name if applicable;  
Names of other potential co-Project Directors and their affiliations, if applicable;  
Focus area(s) addressed, (see Part I(B) for specific details);  
Likely type of proposal (Coordinated Agricultural Projects, Standard Research and Extension Projects, Regional Partnerships for Innovation Projects, eXtension Projects, and Research and Extension Planning Projects); and  
Subject line of email should read: SCRI Intent to Submit. Emails should be sent to [scri@csrees.usda.gov](mailto:scri@csrees.usda.gov). All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact

statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Proposals for renewal should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 100%. Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations." This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$28,440,000; FY 09 est \$46,800,000; FY 10 est \$46,800,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220,, Washington, District of Columbia 20024 Phone: (202) 401-3356 or (202) 720-4807

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications.

**10.310 AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI)**

AFRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Competitive, Special and Facilities Research Grant Act, Section 2(2)(b), [7 U.S.C. 450i], 7 U.S.C 450i.

**OBJECTIVES:**

To establish a new competitive grant program to provide funding for fundamental and applied research, extension, and education to address food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. The competitive grants program shall address the following areas:

- A) Plant health and production and plant products;
- B) Animal health and production and animal products;
- C) Food safety, nutrition, and health;
- D) Renewable energy, natural resources, and environment;
- E) Agriculture systems and technology; and
- F) Agriculture economics and rural communities.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents. Fully discretionary.

**Applicant Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative Request for Applications for the complete eligibility requirements.

**Beneficiary Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative (AFRI) Request for Applications (RFA) for the complete eligibility requirements.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Funds are awarded competitively. No formula grants are awarded under this authority.

For equipment grants Unless criteria is met to qualify for waiver by the Secretary, matching shall not exceed 50 percent of the cost of the special research equipment or other equipment acquired using funds from the grant.

For applied research if the grant is commodity-specific; and not of national scope, the grant recipient is required to match USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

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

accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$175,778,719; FY 09 est \$175,778,719; FY 10 est \$185,251,524 - FY '08 amount for AFRI is based upon assumption of a CR in FY '09 and the amount available for the program is the same as the FY '08 amount for the National Research Initiative (NRI).

The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Competitive Programs 1400 Independence Avenue, SW., STOP 2240,, Washington, District of Columbia 20024 Phone: (202) 401-1782

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.



## **10.311 BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM**

BFRDP

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

, 7 U.S.C 3319f.

### **OBJECTIVES:**

To support the nations beginning farmers and ranchers by making competitive grants to new and established local and regional training, education, outreach, and technical assistance initiatives that address the needs of beginning farmers and ranchers.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Competitive grants are made to support:

- (A) mentoring, apprenticeships, and internships;
- (B) resources and referral;
- (C) assisting beginning farmers or ranchers in acquiring land from retiring farmers and ranchers;
- (D) innovative farm and ranch transfer strategies;
- (E) entrepreneurship and business training;
- (F) model land leasing contracts;
- (G) financial management training;
- (H) whole farm planning;
- (I) conservation assistance;
- (J) risk management education;
- (K) diversification and marketing strategies;
- (L) curriculum development;
- (M) understanding the impact of concentration and globalization;
- (N) basic livestock and crop farming practices;
- (O) the acquisition and management of agricultural credit;
- (P) environmental compliance;
- (Q) information processing; and
- (R) other similar subject areas of use to beginning farmers or ranchers.

In addition, cooperative agreements may be awarded to establish Education Teams:

#### **(1) In General:**

In carrying out this section, the Secretary shall establish beginning farmer and rancher education teams to develop curricula and conduct educational programs and workshops for beginning farmers or ranchers in diverse geographical areas of the United States.

#### **(2) Curriculum:**

In promoting the development of curricula, the Secretary shall, to the maximum extent practicable, include modules tailored to specific audiences of beginning farmers or ranchers, based on crop or regional diversity.

#### **(3) Composition:**

In establishing an education team for a specific program or workshop, the Secretary shall, to the maximum extent practicable:

- (A) obtain the short-term services of specialists with knowledge and expertise in programs serving beginning farmers or ranchers; and
- (B) use officers and employees of the Department with direct experience in programs of the Department that may be taught as part of the curriculum for the program or workshop.

#### **(4) Cooperation:**

##### **(A) In General:**

In carrying out this subsection, the Secretary shall cooperate, to the maximum extent practicable, with:

- (i) State cooperative extension services;
- (ii) Federal and State agencies;
- (iii) community-based and nongovernmental organizations;
- (iv) colleges and universities (including an institution awarding an associates degree) or foundations maintained by a college or university; and
- (v) other appropriate partners, as determined by the Secretary.

##### **(B) Cooperative Agreement:**

Notwithstanding chapter 63 of title 31, United States Code, the Secretary may enter into a cooperative agreement to reflect the terms of any cooperation under subparagraph (A).

An award also may be made to establish a Curriculum and Training Clearinghouse.

The Secretary shall establish an online clearinghouse that makes available to beginning farmers or ranchers education curricula and training materials and programs, which may include online courses for direct use by beginning farmers or ranchers.

##### **Set-Aside:**

Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:

- (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
  - (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
  - (C) farmworkers desiring to become farmers or ranchers.
- Set-Aside:**  
Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:
- (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
  - (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
  - (C) farmworkers desiring to become farmers or ranchers.

##### **Prohibition:**

A grant made under this subsection may not be used for the planning, repair, rehabilitation, acquisition, or construction of a building or facility. Fully discretionary.

##### **Applicant Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

##### **Beneficiary Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

##### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

**Organizational Management Information** - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is

engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Evaluation Criteria:**

In making grants under this subsection, the Secretary shall evaluate:

(A) relevancy;

(B) technical merit;

(C) achievability;

(D) the expertise and track record of 1 or more applicants;

(E) the adequacy of plans for the participatory evaluation process, outcome-based reporting, and the communication of findings and results beyond the immediate target audience; and

(F) other appropriate factors, as determined by the Secretary.

**Regional Balance:**

In making grants under this subsection, the Secretary shall, to the maximum extent practicable, ensure geographical diversity.

**Priority:**

In making grants under this subsection, the Secretary shall give priority to partnerships and collaborations that are led by or include nongovernmental and community based organizations with expertise in new agricultural producer training and outreach.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Funds are awarded competitively. No formula grants are awarded under Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

To be eligible to receive a grant under this program, a recipient must provide a match

in the form of cash or in-kind contributions in an amount equal to 25 percent of the funds provided by the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$17,280,000; FY 10 est

\$18,240,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA. However, the amount of the competitive grants shall not exceed \$ 250,000 for each year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Economic and Community Systems or Competitive Programs 1400 Independence Avenue, SW., STOP 2215 or STOP 2240, Washington, District of Columbia 20024 Phone: (202) 690-3162

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.312 BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE COMPETITIVE GRANTS PROGRAM (BRDI)**

BRDI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Collaboration between Department of Energy (DOE) and Department of Agriculture (USDA) on a Biomass Research and Development Initiative is directed under various statutory authorities, primarily the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-426) and the Energy Policy Act of 2005 (EPAct 2005)(Public Law 109-58; Section 941). USDAs authorization appears in Section 9008 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-426) which replaced section 9008 of the Farm Security, and Rural Investment Act of 2002 (FSRIA) (Public Law 107-171) [7 U.S.C. 8108]; thereby amending section 307 of the Biomass Research and Development Act of 2000 (BRDA) (7 U.S.C. 7624 note, and 7 U.S.C. 8101 note; Public Law 106224). Pursuant to Executive Order 13134, BRDA can be found at (7 U.S.C. 8601 et seq). BRDA authorizes the Biomass Research and Development. , Public Law 109-58, 7 U.S.C 8606.

**OBJECTIVES:**

To carry out research on and development and demonstration of (A) biofuels and biobased products; and (B) the methods, practices, and technologies, for the production of biofuels and biobased products.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. Indirect costs may not exceed 22% of Federal Funds Awarded.

**Matching Requirements:**

20% for Research and Development Projects / 50% for Demonstration and Commercial Projects. Fully discretionary.

**Applicant Eligibility:**

Eligible entities include:

- (A) an institution of higher education;
- (B) a National Laboratory;
- (C) a Federal research agency;
- (D) a State research agency;
- (E) a private sector entity;
- (F) a nonprofit organization; or
- (G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Beneficiary Eligibility:**

Eligible entities include:

- (A) an institution of higher education;
- (B) a National Laboratory;
- (C) a Federal research agency;
- (D) a State research agency;
- (E) a private sector entity;
- (F) a nonprofit organization; or
- (G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFAs for each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are announced in the RFAs for each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds are awarded competitively. No formula grants are awarded under this authority.

The minimum required recipient cost share must be at least 20% of the total allowable costs for Research and Development (R&D) projects and 50% of the total allowable costs for Demonstration projects.

Applicant cost share must come from non-Federal sources unless otherwise allowed by law.

No blending of R&D and Demonstration or associated cost share will be permitted.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

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

accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1003-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$19,200,000; FY 10 est \$26,880,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under the Biomass Research and Development Initiative, a broad range of technologies to convert biomass to biofuels, bioproducts and biopower have been optimized. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Plant and Animal Systems, 1400 Independence Avenue, S.W., STOP 2220, , Washington, District of Columbia 20024 Phone: (202) 401-3356

**Website Address:**

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

**RELATED PROGRAMS:**

10.212 Small Business Innovation Research; 10.215 Sustainable Agriculture Research and Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Biomass Gasification: A comprehensive Demonstration of a Community Scale Biomass Energy Program; High Value Chemical Production from Biodiesel-Derived Glycerol and Sustainable Forestry for Bioenergy and Biobased Products. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

### **10.314 NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM**

Rural Technology Program (RTP)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319e), 7 U.S.C 3319e.

#### **OBJECTIVES:**

To establish a competitive grants program to provide funding for technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants

#### **USES AND USE RESTRICTIONS:**

In General:

In carrying out this section, the Secretary shall establish a program to make grant funds available for approved technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce. Grant funds must be used for allowable costs necessary to conduct the program. The initiative shall support the following fields:

- (A) bioenergy;
- (B) pulp and paper manufacturing; and
- (C) agriculture-based renewable energy resources.

Grant Priority:

In providing grants under this section, the Secretary shall give preference to eligible entities working in partnership

- (1) to improve information-sharing capacity; and
- (2) to maximize the ability to meet the following requirements for funding delineated in (A), (B) and (C) of Section :081 below.

#### **Applicant Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

#### **Beneficiary Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. 091 Preapplication Coordination:

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

:092 Application Procedure:

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

Priority: In providing grants under this section, the Secretary shall give preference to eligible entities: (1) to improve information-sharing capacity; and (2) to maximize the ability to meet the requirements as delineated in (A), (B) and (C) of Section :081 above.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

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

implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$0; FY 09 est \$702,000; FY 10 est \$702,000 - Computation of estimated amount available: Appropriations \$750,000 LESS: Federal Administration \$30,000 and Small Business set-aside \$18,000 = \$ 702,000.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations and 7 CFR Part 3021, Government wide Requirements for Drug-Free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development (SERD) - Higher Education USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD) Higher Education, 1400 Independence Avenue, SW, STOP 2251, Washington, DC 20024. Telephone: (202) 720-2067 and Facsimile: (202) 720-3945. , Washington, District of Columbia 20024 Phone: 202-720-2067 Fax: 202-720-3945

**Website Address:**

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

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.315 TRADE ADJUSTMENT ASSISTANCE FOR FARMERS TRAINING COORDINATION PROGRAM (TAAF)**

Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle C of Title 1 of the Trade Adjustment Assistance Reform Act of 2002

(Public Law 107-210), amended the Trade Act of 1974 (Public Law 93-618) establishing the Trade Adjustment Assistance for Farmers (TAAF) program. The American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) reauthorizes and amends the TAAF Program to provide both technical assistance and cash benefits to eligible producers of raw agricultural commodities and fishermen impacted by increased imports contributing to a specific decrease in the national average price, or quantity of production, or value of production of, or cash receipts for the agricultural commodity or fishery products compared to the average of the three (3) preceding marketing years. ARRA amendments to the TAAF program add certain classes of fisherman, increase the reporting requirements and overall transparency of the program, clarify eligibility determinations and associated processes, and clarify the roles and responsibilities of the applicants and the Federal partners., Public Law 107-210.

#### **OBJECTIVES:**

The purpose of the TAAF program is to provide U.S. agricultural producers whose commodities have been certified as affected by imports, and who have been approved through individual application, with the knowledge, skills and tools needed to make adjustments to their operations, business plans, marketing plans for their operations, with the goal of enhancing farm profitability and ability to adjust to imports. Producers of commodities certified by the USDA Foreign Agricultural Service (FAS) and who meet the eligibility requirements by USDA Farm Service Agency (FSA) are eligible for TAAF program participation.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

General Uses:

Through this RFA NIFA requests applications for the TAAF Training Coordination Program to establish a National TAAF Training Coordination Center responsible for the development and delivery of training and technical assistance to TAAF-eligible producers for business planning, diversification of enterprises, marketing, and other beneficial subjects as needed to aid producers in adjusting to the impact of imported commodities. The National TAAF Training Coordination Center will design and administer the training requirements of TAAF, develop communications regarding TAAF training and technical assistance, and comply with reporting requirements as described under Part I(B) and in Part VI(D). The successful National TAAF Training Coordination Program applicant will enter into a cooperative agreement with NIFA for establishment of the National TAAF Training Coordination Center to coordinate and implement the training and technical assistance component of the TAAF program under section 296(b) of the Trade Act of 1974 (19 U.S.C. 2401e). Please be advised that the following components of the TAAF program will be administered by FAS/FSA: certification of agricultural commodities eligibility certifications, approval of applications for cash benefits, and payments to implement business plans.

FAS, NIFA, FSA, and the Agricultural Marketing Service (AMS) will all be involved in the TAAF outreach effort. FAS has established a website for TAAF which is now linked to USDA, FSA, NIFA, AMS websites and can be found at: <http://www.fas.usda.gov/ITP/TAA/taa.asp>. Implementing regulations governing the TAAF program (including specific requirements for the provision of training and technical assistance) are expected to be published shortly in the Federal Register (as a Final Rule).

Applicants to the National TAAF Training Coordination Program must show their capacity to provide TAAF program coordination and training as described below:

#### **1. Coordination of TAAF**

Awardee will establish a National TAAF Training Coordination Center The National TAAF Training Coordination Center will:

- o Develop rapid response implementation procedures for TAAF training and associated reporting activities;
- o Contract with or make grants to state Cooperative Extension services or other

qualified provider(s) to deliver TAAF training and technical assistance to TAAF-eligible producers;

- o Conduct regional training workshops for TAAF trainers on existing or emerging TAAF topics;
- o Develop a National and regional outreach and communication plan in concert with relevant agencies of the Department of Agriculture to promote the TAAF program;
- o Provide effective TAAF communication at intra- and inter-regional and National levels, including use of media outlets and the distribution of TAAF materials;
- o Provide a National one-stop source of TAAF information (National TAAF Training Coordination Center website).
- o Coordinate with and report to CSREES, and report training activities and performance measures into associated ARRA data management systems (as described in Part VI. (D));

#### **2. Training and Technical Assistance for TAAF**

Provide Initial Technical Assistance Training that will:

- o Help TAAF-eligible producers improve their yield and marketing of certified agricultural commodities; and/or
- o Enhance the feasibility and desirability of initiating production of one or more alternative agricultural commodities in exchange for agricultural commodities certified as eligible for TAAF.

Provide Intensive Technical Assistance Training that includes:

- o A series of courses to further assist TAAF-eligible producers in improving their competitiveness producing certified agricultural commodities with respect to which the producer was certified under this chapter; or one or more alternative agricultural commodities;
- o Assistance to TAAF-eligible producers with developing an initial business plan based on the initial technical assistance training that can be approved in accordance with the requirements that will be set out in 7 CFR 1580.32. An approved plan must reflect the skills gained by the producer through the intensive technical assistance courses, and demonstrate how the producer will apply those skills to make adjustments to its business and marketing plans and operations with the goal of enhancing its farm profitability and ability to adjust to imports; and
- o Assistance in developing a long-term business adjustment plan that meets regulatory requirements and includes steps to materially contribute to the economic adjustment of producers to changing market conditions, while taking into consideration the interests of the workers employed by the producer and demonstrating that the producer will have sufficient resources to implement the business plan. Indirect costs may not exceed ten percent (10%) of the total Federal funds provided under this award (TFFA). The recovery of indirect costs on the cooperative agreement made by NIFA under this program, as well as subawards may not exceed the lesser of the institutions official negotiated indirect cost rate or the equivalent of 10 percent of total Federal funds awarded.

NIFA has determined that funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

#### **Applicant Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

#### **Beneficiary Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note,



individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

**Organizational Management Information** - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following

factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program, and matching resources will not be factored into the review process as evaluation criteria. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Three (3) year project period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:

<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

NIFA Reports:

CRIS Reports Grantees are required to submit annual and summary evaluation reports via NIFA's Current Research Information System (CRIS) <http://cwf.uvm.edu/cris>. When access to the web is unavailable, please contact the CRIS Office at 202-690-0009 or e-mail [cdeckers@cris.csrees.usda.gov](mailto:cdeckers@cris.csrees.usda.gov). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

CRIS reports are required to include the subaward and subcontract level information as agreed to in the Terms and Conditions of Award.

PLEASE NOTE: These reports are made to NIFA by the awardee via CRIS.

#### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the USAspending.gov).

Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at: [http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to Recovery.gov on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

#### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website: TAAF Performance Measures or

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance

Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. NIFA uses the SF-425, Federal Financial Report to monitor cash. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at: <http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

#### NIFA Reports:

CRIS Reports Grantees are required to submit annual and summary evaluation reports via NIFA's Current Research Information System (CRIS) <http://cwf.uvm.edu/cris>. When access to the web is unavailable, please contact the CRIS Office at 202-690-0009 or e-mail [cdeckers@cris.csrees.usda.gov](mailto:cdeckers@cris.csrees.usda.gov). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

CRIS reports are required to include the subaward and subcontract level information as agreed to in the Terms and Conditions of Award.

PLEASE NOTE: These reports are made to NIFA by the awardee via CRIS.

#### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the USAspending.gov). Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at:

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to Recovery.gov on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

TAAF Performance Measures or

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch

Office of Extramural Programs

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:

<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to CSREES, and reporting activities into associated ARRA data management systems.

### NIFA Reports

CRIS Reports Grantees are required to submit annual and summary evaluation reports via NIFAs Current Research Information System (CRIS) <http://cwf.uvm.edu/cris>. When access to the web is unavailable, please contact the CRIS Office at 202-690-0009 or e-mail [cdeckers@cris.csrees.usda.gov](mailto:cdeckers@cris.csrees.usda.gov).

CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

CRIS reports are required to include the subaward and subcontract level information as agreed to in the Terms and Conditions of Award.

PLEASE NOTE: These reports are made to NIFA by the awardee via CRIS.

### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms

and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the [USAspending.gov](http://USAspending.gov)). Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at:

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at:

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

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[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

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PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

TAAF Performance Measures or

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Funded projects will be expected to verify program

accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:  
<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

#### NIFA Reports:

**CRIS Reports** Grantees are required to submit annual and summary evaluation reports via NIFA's Current Research Information System (CRIS) <http://cwf.uvm.edu/cris>. When access to the web is unavailable, please contact the CRIS Office at 202-690-0009 or e-mail [cdeckers@cris.csrees.usda.gov](mailto:cdeckers@cris.csrees.usda.gov). CRIS is an electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

CRIS reports are required to include the subaward and subcontract level information as agreed to in the Terms and Conditions of Award.

PLEASE NOTE: These reports are made to NIFA by the awardee via CRIS.

#### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

**1. Award Level Transaction Data Feed** Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the [USAspending.gov](http://USAspending.gov)). Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

**2. Funding Notifications** This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

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The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to [Recovery.gov](http://Recovery.gov) on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

#### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the [Recovery.gov](http://Recovery.gov) for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### Records:

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### Account Identification:

12-1408-0-1-352.

#### Obligations:

(Cooperative Agreements) FY 08 \$0; FY 09 est \$17,640,000; FY 10 est \$17,640,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The following specific details were provided by the Budget Office:  
FY 09 - Total \$19,600,000 of which federal administration set aside is \$1,960,000 and \$17,640,000 is available for award. There is no set aside for SBIR or Biotech Risk.

FY 10 - Assume the same as in FY 09. Do not know how much will be

available for sure as of now.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Information will be provided by Program staff at a future date. Fiscal Year 2009: Information will be provided by Program staff at a future date. Fiscal Year 2010: Information will be provided by Program staff at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Trade Adjustment Assistance, Economic and Community Systems (ECS) Unit; 1400 Independence Avenue, SW, STOP 2215, Washington, District of Columbia 20250-2215 Phone: (202) 720-7947 and (202) 401-218 Fax: (202) 690-3162

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.316 HEALTHY URBAN FOOD ENTERPRISE DEVELOPMENT CENTER (HUFED)**

HUFED

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246), Section (h) (9) (A), 7 U.S.C 2034.

**OBJECTIVES:**

To establish a competitive grants program to support a Healthy Urban Food Enterprise Development Center to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities. The purpose of the Center is to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Secretary shall offer to provide a grant to a nonprofit organization to establish and support a healthy urban food enterprise development center to carry out the purpose described in Section :050 - Objectives.

Assistance will be provided to support a community food project. The term community food project means a community-based project that- (A) requires a 1-time contribution of Federal assistance to become

self-sustaining; and H. R. 6124247

(B) is designed

- (i)(I) to meet the food needs of low-income individuals;
- (II) to increase the self-reliance of communities in providing for the food needs of the communities; and
- (III) to promote comprehensive responses to local food, farm, and nutrition issues; or
- (ii) to meet specific State, local, or neighborhood food and agricultural needs, including needs relating to
  - (I) infrastructure improvement and development;
  - (II) planning for long-term solutions; or
  - (III) the creation of innovative marketing activities that mutually benefit agricultural producers and low-income consumers.

The term Center means the healthy urban food enterprise development center established under Section :050 - Objectives.

The term underserved community means a community (including an urban or rural community or an Indian tribe) that, as determined by the Secretary, has (A) limited access to affordable, healthy foods, including fresh fruits and vegetables;

(B) a high incidence of a diet-related disease (including obesity) as compared to the national average;

(C) a high rate of hunger or food insecurity; or

(D) severe or persistent poverty.

**ACTIVITIES**

**TECHNICAL ASSISTANCE AND INFORMATION:**

The Center shall collect, develop, and provide technical assistance and information to small and medium-sized agricultural producers, food wholesalers and retailers, schools, and other individuals and entities regarding best practices and the availability of assistance for aggregating, storing, H. R. 6124248 processing, and marketing locally produced agricultural products and increasing the availability of such products in underserved communities.

**AUTHORITY TO SUBGRANT:**

The Center may provide subgrants to eligible entities

(i) to carry out feasibility studies to establish businesses for the purpose described in Section :050 - Objectives; and

(ii) to establish and otherwise assist enterprises that process, distribute, aggregate, store, and market healthy affordable foods.

**Grant Priority:**

In providing technical assistance and grants under the Activities section above, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and

(B) to develop market opportunities for small and mid-sized farm and ranch operations. **LIMITATION ON ADMINISTRATIVE EXPENSES.**

Not more than 10 percent of the total amount allocated for this subsection in a given fiscal year may be used for administrative expenses.

Indirect Costs:Fully negotiated rate.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the

indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Beneficiary Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Priority:**

In providing technical assistance and grants under Section :070 - Activities, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and (B) to develop market opportunities for small and mid-sized farm and ranch operations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

If applicable, information regarding renewals will be announced in the Request for Applications (RFA) each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

For each fiscal year for which the nonprofit organization described in Section :070 above receives funds, the organization shall submit to the Secretary a report describing the activities carried out in the preceding fiscal year, including (A) a description of technical assistance provided by the Center; (B) the total number and a description of the subgrants provided under Section :070 above;

(C) a complete listing of cases in which the activities of the Center have resulted in increased access to healthy, affordable foods, such as fresh fruit and vegetables, particularly for school-aged children and individuals in low-income communities; and

(D) a determination of whether the activities identified in subparagraph (C) (above) are sustained during the years following the initial provision of technical assistance and subgrants under this section. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, CSREES Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees also are required to submit annual and summary progress reports via NIFA's Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, CSREES Current Research Information System (CRIS).

CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$900,000; FY 10 est \$900,000 - Computation represents \$1,000,000 Appropriation LESS \$ 100,000 for Federal Administration (10% of Appropriation per Sec. 4402 FCEA).

**(A) IN GENERAL:**

Out of any funds in the Treasury not otherwise appropriated, the Secretary of

the Treasury shall transfer to the Secretary to carry out this subsection \$1,000,000 for each of fiscal years 2009 through 2011.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs 1400 Independence Avenue, SW, STOP 2240., Washington, District of Columbia 20024 Phone: (202) 205-0241 Fax: (202) 401-6071

**Website Address:**

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

**RELATED PROGRAMS:**

10.225 Community Food Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.410 VERY LOW TO MODERATE INCOME HOUSING LOANS**

(Section 502 Rural Housing Loans)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and

insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history. The property must be located in an eligible rural area. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD Guaranteed Housing loans or RHS Section 502 Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made to a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most Direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing. If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. Requests for guarantee loans are acted upon in 3 days of receipt of the lender's request for guarantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For direct loans, from 30 to 60 days subject to availability of funds, from the time the application is filed if no backlog of applications exists. A 'pre-qualification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. For guarantees, a decision is required within 3 days of loan package submission by the approved lender.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National

Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no matching requirements. A basic formula is used to allocate program funds to various States. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No cash reports are required. Borrowers are not required to, but should retain copies of loan-related documents. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-2081-0-1-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 08 \$1,000,062,000; FY 09 est \$1,121,488,000; FY 10 est \$1,121,487,000. (Guaranteed/Insured Loans) FY 08 \$6,979,700,000; FY 09 est \$6,350,000,000; FY 10 est \$15,100,000,000

**Range and Average of Financial Assistance:**

FY08 Average: 502 Direct Loans (\$111,920); Guaranteed Loans (\$126,276). Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550 "Direct Single Family Housing Loans and Grants." For guaranteed loans, 1980-D "Subpart D -Rural Housing Loans."

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division or Director, Single Family Housing Guaranteed Loan Division U.S. Department of Agriculture Rural Development  
1400 Independence Avenue, S.W.  
, Washington, District of Columbia 20250-0787 Phone: 202-720-1474 (direct



loans); 202

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.411 RURAL HOUSING SITE LOANS AND SELF\_HELP HOUSING LAND DEVELOPMENT LOANS**

(Section 523 and 524 Site Loans)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 523 and 524, Public Law 89-117; Public Law 89-754, 42 U.S.C. 1490 (c) and (d).

**OBJECTIVES:**

To assist public or private nonprofit organizations interested in providing sites for housing; to acquire and develop land in rural areas to be subdivided as adequate building sites and sold on a cost development basis to families eligible for low and very low income loans, cooperatives, and broadly based nonprofit rural rental housing applicants.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

For the purchase and development of adequate sites, including necessary equipment which becomes a permanent part of the development; for water and sewer facilities if not available; payment of necessary engineering, legal fees, and closing costs; for needed landscaping and other necessary facilities related to buildings such as walks, parking areas, and driveways. Restrictions: loan funds may not be used for refinancing of debts, payment of any fee, or commission to any broker, negotiator, or other person for the referral of a prospective applicant or solicitation of a loan; no loan funds will be used to pay operating costs or expenses of administration other than actual cash cost of incidental administrative expenses if funds to pay those expenses are not otherwise available. Repayment of loan is expected within two years.

**Applicant Eligibility:**

A private or public nonprofit organization that will provide the developed sites to qualified borrowers on a cost of development basis in open country and towns of 10,000 population or less and places up to 25,000 population under certain conditions. Applicants from towns of 10,000 to 25,000 population should check with local RD office to determine if agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Sites developed with Section 524 loans must be for housing low and very low income families and may be sold to families, nonprofit organizations, public agencies and cooperatives eligible for assistance under any Section of Title V of the Housing Act of 1949, or under any other law which provides financial assistance. Sites developed with Section 523 loans must be for housing to be built by the self-help method.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (1) Market analysis showing need for such services; (2) legal capacity to borrow funds and develop land for sale; (3) a sound budget; and (4) general project description. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application will be in the form of a letter to the Rural Development Manager of the Rural Development (RD). Supporting information and costs should be included as needed. This program is excluded from coverage under Departmental Regulations 3015 and 3016, and OMB Circular No. A-110.

**Award Procedure:**

After application has been reviewed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

A uniform procedure whereby an organization which is directly or adversely affected by an administrative decision by Rural Development Rural Housing Programs is found in 7 CFR 3550.4. Applicants may request reconsideration on the basis of pertinent facts concerning his application.

**Renewals:**

Applicants may reapply at any time provided there is evidence of need for the proposed building sites in the locality.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Contact Local Rural Development Office.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-2081-0-1-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 08 \$100,000; FY 09 est \$4,970,000; FY 10 est \$4,970,000 - (523 Site Loans). (Direct Loans) FY 08 \$1,700,000; FY 09 est \$5,045,000; FY 10 est \$5,045,000 - (524 Site Loans).

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

RD Instruction 444.8, "Rural Housing Site Loan Policies, Procedures, and Authorizations"; 7 CFR 1822.261-1822.278; PA-1131.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Processing Division, Rural Housing Service,  
U.S. Department of Agriculture, Washington, District of Columbia 20250  
Phone: 202-720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.415 Rural Rental Housing Loans; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.417 VERY LOW-INCOME HOUSING REPAIR LOANS AND GRANTS**

(Section 504 Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92.310, 42 U.S.C. 1474.

**OBJECTIVES:**

Section 504 loans and grants are intended to help very low-income owner-occupants in rural areas repair their properties.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to make general repairs and improvements to properties or to remove health and safety hazards. Grant funds may be used only to pay for the costs for repairs and improvements that will remove identified health and safety hazards or to repair or remodel dwellings to make them accessible for household members with disabilities. Loans and grants are typically used for repair or replacement of heating, plumbing or electrical services, roof or basic structure as well as water and waste disposal systems, and weatherization. Loans bear an interest rate of one percent and are repaid over a period up to 20 years. In addition to the above purpose, loan funds may be used to modernize the dwelling. Maximum loan amount cannot exceed a cumulative total of \$20,000 to any eligible person and maximum lifetime grant assistance is \$7,500 to any eligible person. The house must be located in an eligible rural area which does not exceed 10,000 population. Some places with populations between 10,000 and 25,000 may be eligible if not within a Metropolitan Statistical Area (MSA). Assistance is available in States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's and the Trust Territories of the Pacific Islands.

**Applicant Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Beneficiary Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for the part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Credentials/Documentation:**

Evidence of ownership and verification of income and debts. Grant recipients must provide evidence of age. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application form at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Delegated to Local or Area Loan Approval Official.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days from time applications are filed if no backlog of applications exists. Applications for assistance far exceed available funding. There is generally a waiting list for funding.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The following basic formula criteria are to allocate program loan funds to various States:  $(A \times .50 + B \times .50) \times \text{funds available} = \text{State basic formula allocation}$ . Where "A" is State's percentage of national number of rural occupied units; and "B" is State's percentage of national number of rural households below 50 percent of area median income. The formula for grants is:  $(A \times 1/3 + B \times 1/3 + C \times 1/3) \times \text{funds available} = \text{State basic allocation}$ . Where "C" is State's percentage of national rural population 62 years of age and older. The data source for each of these criteria are based on the latest census data available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of an established allocation system. Funds are usually released to borrowers/grantees as a lump sum payment for completed repairs or, as needed, for repairs in progress. See the following for information on how assistance is awarded/released: Contact regional office or headquarters as appropriate for additional information.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Borrowers and/or grantees are not required to, but should retain copies of loan or grant-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2064-0-1-604; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 08 \$28,700,000; FY 09 est \$34,400,000; FY 10 est \$36,900,000. (Project Grants) FY 08 \$30,300,000; FY 09 est \$31,877,000; FY 10 est \$30,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550, Direct Single Family Housing Loans and Grants. (no charge); Home Improvement and Repair Loans, PA-1184, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single-Family Housing Processing Division, Rural Development, Rural Housing Programs Department of Agriculture, 1400 Independence Avenue, S.W., Washington, District of Columbia 20250 Phone: (202) 720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.420 RURAL SELF-HELP HOUSING TECHNICAL ASSISTANCE**

(Section 523 Technical Assistance)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 523, Public Laws 89-117 and 89-754, 42 U.S.C. 1490c.

**OBJECTIVES:**

To provide Self-Help Technical Assistance Grants to provide financial assistance to qualified nonprofit organizations and public bodies that will aid needy very low and low-income individuals and their families to build homes in rural areas by the self help method. Any State, political subdivision, private or public nonprofit corporation is eligible to apply. Section 523 Grants are used to pay salaries, rent, and office expenses of the nonprofit organization. Pre-development grants up to \$10,000 may be available to qualified organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible organizations may use technical assistance funds to hire the personnel to carry out a technical assistance program for self-help housing in rural areas; to pay necessary and reasonable office and administrative expenses; to purchase or rent equipment such as power tools for use by families participating in self-help housing construction; and to pay fees for training self-help group members in construction techniques or for other professional services needed. Funds will not be used to hire personnel to perform any construction work, to buy real estate or building materials, or pay any debts, expenses or costs other than previously outlined for participating families in self-help projects.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation or a private nonprofit corporation. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Very low and low-income rural families, usually in groups of 6 to 10 families.

**Credentials/Documentation:**

Applicants must furnish evidence of the need for such services, have legal capacity to incur the obligation and operate the proposed project, and be unable to obtain the necessary funds from other sources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Form SF-424 is submitted to the Field office of the Rural Development (RD), including information attached to Part IV, fully documenting the applicant's experience, need for the grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to provisions of Departmental Regulation 3015 and 3016.

**Award Procedure:**

Award is made by the National office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 190 days from the time discussion begins.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time, if needed to help low-income families build homes in rural areas by the mutual self-help method is clearly evidenced.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically for a 2-year period, however, other time periods may be authorized if appropriate. Applications for assistance far exceed available funding. There is generally a waiting list for funding. See the following for information on how assistance is awarded/released: Award is made by the National Office.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are to be made to the RD-Housing Programs District Office. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Adequate operating records must be maintained by Grantee.

**Account Identification:**

12-2006-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$38,000,000; FY 09 est \$43,000,000; FY 10 est \$38,700,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Subpart I of Part 1944; Chapter XVIII; RD Instruction 1944-I, "Self-Help Technical Assistance Grants"; (PA 1254) (no charge).

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single-Family Housing Processing Division, Rural Development, Housing Programs U.S. Department of Agriculture  
1400 Independence Avenue, S.W., Washington, District of Columbia 20250  
Phone: 202-720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are the evidence of a clearly defined need in an area for mutual self-help housing and the families in the area cannot afford or obtain a modest house by customary methods, and the applicant possesses the expertise to provide the technical assistance (TA) required.

**10.427 RURAL RENTAL ASSISTANCE PAYMENTS**

(Rental Assistance)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 521, Public Laws 90-448 and 93-128, 42 U.S.C. 1490a.

**OBJECTIVES:**

To reduce the tenant contribution paid by low-income families occupying eligible Rural Rental Housing (RRH), Rural Cooperative Housing (RCH), and Farm Labor Housing (LH) projects financed by the Rural Housing Service (RHS) through its Sections 515, 514 and 516 loans and grants.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Rental assistance may be used to reduce the rents paid by low-income senior citizens or families and domestic farm laborers and families whose rents exceed 30 percent of an adjusted annual income. Tenants who may be eligible must occupy units in eligible RRH, RCH and LH projects financed by RHS.

**Applicant Eligibility:**

To be eligible to participate in the rental assistance program, borrowers must have an eligible project. All projects must convert to Interest Credit Plan II before they are eligible, except direct RRH and insured RRH loans approved prior to August 1, 1968, and LH loans and grants. For a borrower to have an eligible project, the loan must be an RRH insured or direct loan made to a broad-based nonprofit organization, or State or local agency or; an RRH insured loan made to an individual or organization who has or will agree to operate the

housing on a limited profit basis as defined in 7 CFR 3560.254 (a) or; an RCH insured or direct loan or; an LH loan, or an LH loan and grant combination made to a broad-based nonprofit organization or nonprofit organization of farm workers or a State or local public agency. New construction and/or rehabilitation projects, utilizing the Section 8 program from HUD will not be considered eligible projects, although it may be used for eligible families in existing projects utilizing Section 8 for part of the units.

**Beneficiary Eligibility:**

Any very low and low-income family, handicapped or senior citizen that is unable to pay the approved rental rate for an eligible RHS rental assistance unit within 30 percent of their adjusted monthly income. Households eligible for rental assistance are those 1) whose net tenant contribution to rent, determined in accordance with 3560.203 (a)(2), is less than the basic rent for the unit; 2) whose head of the household is a U.S. citizen or a legal alien as defined in 3560.11; 3) who meet the occupancy rules established by the borrower in accordance with 3560.155 (e); and 4) who have a signed, unexpired tenant certification form on file with the borrower.

**Credentials/Documentation:**

The applicant must be the owner or plan to become an owner of an eligible RHS RRH, RCH, or LH project operating on a limited profit or nonprofit basis. This program is excluded from coverage under 7 CFR 3015 or 3016. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible borrowers will initiate the processing by submitting Form RD 3560-25, "Request for Rental Assistance". Applications shall then be reviewed under the procedure set forth in 7 CFR 3560.255. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Award Procedure:**

After the application has been reviewed by the Rural Development Manager, it is given final approval by the State Director. The State Director will determine the number of rental assistance units to be given from the total of units that were allocated to the State. Projects may be eligible for rental assistance for up to 100 percent of the number of units in the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 90 days from the time Form RD 1944-25, "Request for Rental Assistance" is filed.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application under the provisions of RD Instruction 1900-B.

**Renewals:**

Rental assistance contracts for new as well as existing projects may be renewed for at the end of the original contract subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statistical factors used for fund allocation are: (1) State percentage of RHS rural population and the source is "2000 Census" updated by ERS; (2) State percentage of RHS rural housing units lacking plumbing and/or overcrowded and the source is "2000 Census"; and (3) State percentage of persons in poverty living in RHS rural areas and the source is "2000 Census."

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Rental assistance contracts shall be funded subject to the availability of funds and appropriation language. See the following for information on how assistance is awarded/released: See above.

**Reports:**

The borrower must initially submit Form RD 3560-8, "Tenant Certification," for each tenant. Subsequent tenant certifications must be obtained annually and submitted to the Rural Development Manager. Quarterly progress reports are to be made to the Rural Development Manager during the first year of successful operation and each quarter thereafter until discontinued by the Rural Development Manager. An annual report will also be necessary. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Borrowers not covered by OMB Circular No. A-133, are required to provide annual financial reports in accordance with 7 CFR 3560.308. This program is also subject to audit by the USDA Office of Inspector General. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-2002-0-1-604; 12-0137-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$479,000,000; FY 09 est \$902,500,000; FY 10 est \$1,092,000,000

**Range and Average of Financial Assistance:**

From 30 to 90 days from the time Form RD 3560-25, "Request for Rental Assistance is filed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3560, Direct Multi-Family Housing Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multi-Family Housing Portfolio Management Division, Rural Housing Service U.S. Department of Agriculture, Washington, District of Columbia 20250 Phone: 202-720-1615

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.433 RURAL HOUSING PRESERVATION GRANTS**

Rural Housing Preservation Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 533, Public Law 98-181, 42 U.S.C. 1480.

**OBJECTIVES:**

To assist very low- and low-income rural residents individual homeowners, rental property owners (single/multi-unit) or by providing the consumer cooperative housing projects (co-ops) the necessary assistance to repair or rehabilitate their dwellings. These objectives will be accomplished through the establishment of repair/rehabilitation, projects run by eligible applicants. This program is intended to make use of and leverage any other available housing programs which provide resources to very low and low-income rural residents to bring their dwellings up to development standards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations may use less than 20 percent of the Housing Preservation Grant funds for program administration purposes, such as to hire the personnel to carry out a project of housing rehabilitation to meet the needs of very low and low-income persons in rural areas; to pay necessary and reasonable office and administrative expenses; and to pay reasonable fees for training of organization personnel. Eighty percent or more of funds must be used for loans, grants or other assistance on individual homes, homeowners, rental properties or co-ops to pay any part of the cost for repair or rehabilitation of structures; funds may not be used to hire personnel to perform construction or to pay any debts, expenses or costs other than previously outlined and approved in the project application.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation, Indian tribal corporations, authorized to receive and administer housing preservation grants, private nonprofit corporation, or a consortium of such eligible entities. Applicants must provide assistance under this program to persons residing in open country and communities with a population of 10,000 that are rural in character and places with a population of up to 20,000 under certain conditions. Applicants in towns with population of 10,000 to 20,000 should check with local Rural Development office to determine if the Agency can serve them. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, and the territories and possessions of the United States.

**Beneficiary Eligibility:**

Very low and low-income rural individuals and families who are homeowners and need resources to bring their housing up to code standards, rental property owners, or co-ops.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in rural housing rehabilitation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In FY 09, the Section 533 program was awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register on May 11, 2009. The NOFA application period was 60 days from the date of the announcement. The NOFA deadline was July 10, 2009.

**Award Procedure:**

Award is made by the Rural Development State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notice of action taken on preapplications will be generally within 60 days of final date of acceptance of preapplication.

**Appeals:**

Applicants may request reconsideration on the basis of pertinent facts concerning their application within 30 days of notification of action taken on the preapplication or application.

**Renewals:**

Applicants may apply for an additional HPG grant when they have achieved or nearly achieved the goals established for the previous or existing grant. The grantee must file a preapplication for the current fiscal year which will be processed and compared under the project selection criteria to others submitted at that time.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 CFR 1940-L Methodology and Formulas for Allocation of Loan and Grant Funds.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for a 12-month period. Agency consent is required for grants that exceed 1 year. See the following for information on how assistance is awarded/released: Award is made by the Rural Development State Director.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grantees shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2070-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$9,593,704; FY 09 est \$10,088,166; FY 10 est \$9,400,000

**Range and Average of Financial Assistance:**

For fiscal year 2008, approximately 159 grants were obligated providing assistance for 2,215 units.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2008, applications were funded to assist 2,215 units. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944-N, Section 1944.651 through 1944.700, RD Instruction 1944-N. Regulations are available from Rural Development State offices.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Multi-Family Housing, Preservation and Direct Loan Division, Rural

Development U.S. Department of Agriculture  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: 202-720-1604

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.411 Rural Housing Site Loans and Self-Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance; 14.108 Rehabilitation Mortgage Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must provide a feasible repair rehabilitation program and serve areas with a concentration of substandard housing and very low and low-income persons. In addition, the following criteria will be considered in the selection of grant recipients. Each preapplication and its accompanying statement of activities will be evaluated on: (1) The percentage of very low-income persons assisted; (2) the percentage of use of HPG funds to total cost of housing preservation; (3) the applicant's administrative capacity and experience in (i) housing rehabilitation or weatherization, (ii) assisting very low and low-income persons attain housing assistance and (iii) prior programs no outstanding audits findings; (4) the proposed program will be undertaken in non-Metropolitan Statistical Areas identified by Rural Development as having populations below 10,000 or in remote parts of other rural areas, (i.e., rural areas contained in Metropolitan Statistical Areas with less than 5,000 population); (5) the program will minimize the use of grant funds for administrative purposes, i.e., less than 20 percent of grant funds; (6) the program will alleviate overcrowding in rural residences inhabited by very low and low-income families; and (7) if an existing grantee has met the objectives of its current grant.

**10.438 SECTION 538 RURAL RENTAL HOUSING GUARANTEED LOANS**

Rural Rental Housing Guaranteed Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 538, Public Law 106-569, 42 U.S.C. 1490p-2.

**OBJECTIVES:**

This program has been designed to increase the supply of affordable multifamily housing in rural areas through partnerships between Rural Development and major lending sources, as well as State and local housing finance agencies and bond insurers. The program provides Federal credit enhancement to encourage private and public lenders to make new loans for affordable rental properties that meet program standards.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The guarantee will encourage the construction of new rural rental housing and appropriate related facilities. Housing as a general rule will consist of projects with five or more dwellings. The guarantee may not be made for nursing, special care or industrial type housing.

**Applicant Eligibility:**

The applicant in this program is the lender. The lender must be approved and currently active with Fannie Mae, Freddie Mac, HUD/FHA insurance programs, Ginnie Mae or be a State or local Housing Finance Agency. A member of the Federal Home Loan Bank System or other lender may be able to participate if they can demonstrate satisfactory experience with multifamily lending.

**Beneficiary Eligibility:**

Occupants must be families or persons with income not in excess of 115

percent of the Median Income at the time of initial occupancy.

**Credentials/Documentation:**

Eligible borrowers include: individual partnerships; profit and not-for-profit corporations; limited liability companies; trusts; State and local agencies; and Indian Tribes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The lender originates the loan and performs the necessary underwriting and provides the documentation required by the RHS and request for guarantee to the RHS for consideration.

**Award Procedure:**

Rural Development will review all the applications for compliance with the program requirements and issue the Conditional Commitment of Guarantee with conditions. Once the conditions are met the final Contract of Guarantee will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The review and award process is established at 60 days from the end of the NOFA.

**Appeals:**

Applicants may appeal adverse decisions in accordance with 7 CFR Part 11, National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: The funding takes place as outlined in the Notice of Funding Availability.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As required by the lender and program regulations.

**Records:**

Good business records and any records required by the lender.

**Account Identification:**

12-0137-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$132,400,000; FY 09 est \$129,100,000; FY 10 est \$129,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Final Rule, 7 C.F.R. 3565, became effective January 19, 2005. Also available in the Guaranteed Rural Rental Housing Program Origination and

Servicing Handbook.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multi-Family Housing Processing Division, Rural Development U.S. Department of Agriculture, Washington, District of Columbia 20250 Phone: 202-720-1604

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Provided in the Notice of Funding Availability.

**10.442 HOUSING APPLICATION PACKAGING GRANTS**

(Section 509 Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, 42 U.S.C. 1479.

**OBJECTIVES:**

To package single family housing applications for very low- and low-income rural residents in colonias and designated counties who wish to buy, build, or repair houses for their own use and to package multi-family housing applications for organizations wishing to develop rental units for lower income families to construct new rental housing complexes or to repair and rehabilitate existing units.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants reimburse eligible organizations for part or all of the costs of conducting, administering, and coordinating an effective housing application packaging program in colonias and designated counties. Eligible organizations aid very low- and low-income individuals and families in obtaining benefit from Federal, State, and local housing programs. The following are restrictions under the housing application packaging grants: (1) These funds are available only in the areas defined in Exhibit D of RD Instruction 1944-B; (2) the packager may not charge fees or accept compensation or gratuities directly or indirectly from the very low- and low-income families being assisted under this program; (3) the packager may not represent or be associated with anyone else, other than the applicant, who may benefit in any way in the proposed transaction; (4) if the packager is compensated for this service from other sources, then the packager is not eligible for compensation from this source except as permitted by RHS; (5) grantees who are funded to do self-help housing effort; and (6) the authorized representatives must have no pecuniary interest in the award of the architectural or construction contracts, the purchase of equipment, or the purchase of the land for the housing site. Grants reimburse eligible organizations for part or all of the costs of conducting, administering, and coordinating an effective housing application packaging program in colonias and designated counties. Eligible organizations and very low- and low-income individuals and families in obtaining benefit from Federal, State, and local housing programs. The following are restrictions under the housing application packaging grants: (1) These funds are available only in the areas defined in Exhibit D of RD Instruction 1944-B; (2) the packager may not charge fees or accept compensation or gratuities directly or indirectly from the very low- and low-income families being assisted under this program; (3) the packager may not represent or be associated with anyone else, other than the applicant, who may benefit in any way in the proposed transaction; (4) if the

packager is compensated for this service from other sources, then the packager is not eligible for compensation from this source except as permitted by RHS; (5) grantees who are funded to do self-help housing effort; and (6) the authorized representatives must have no pecuniary interest in the award of the architectural or construction contracts, the purchase of equipment, or the purchase of the land housing site.

**Applicant Eligibility:**

An eligible grantee is an organization which is defined as any of the following entities which are legally authorized to work in designated counties and/or colonias and are: (1) A State, State agency, or unit of general local government; or (2) a private nonprofit organization or corporation that is owned and controlled by private persons or interests, is organized and operated for purposes other than making gains or profits for the corporation, and is legally precluded from distributing any gains or profits to its member.

**Beneficiary Eligibility:**

The targeted groups are nonprofit organizations who will serve very low- and low-income families without adequate housing in the colonias and designated counties.

**Credentials/Documentation:**

(1) Have the financial, legal, and administrative capacity to carry out the responsibilities of packaging housing applications for very low- and low-income applicants. To meet this requirement it must have the necessary background and experience with proven ability to perform responsibly in the field of housing application packaging, low-income housing development, or other business or administrative ventures which indicate an ability to perform responsibility in this field of housing application packaging. (2) legally obligate itself to administer grant funds, provide adequate account of the expenditure of such funds, and comply with RHS regulations; (3) if the organization is a private nonprofit corporation: (a) is organized under State and local laws. (b) is qualified under Section 501(c)(3) of the Internal Revenue Code of 1986. (c) has as one of its purposes assisting very-low- and low-income families to obtain affordable housing; and (d) comply with the administrative requirements in RD Instruction 1944-B, other RHS policies and regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A package will consist of the required forms for the respective loan or grant program, as listed in Exhibit C of RD Instruction 1944-B. Grantees shall submit all material requested to the local Rural Development office. In addition, an original and copy of Forms RD 400-1, "Equal Opportunity Agreement," and Form RD 400-4, "Assurance Agreement," must be submitted. A copy of a current "Certificate of Training" pertaining to the type of application will be submitted. Applicants must also provide proof of nonprofit status under Section 501 (c)(3) or Section 501 (c)(4) of the Internal Revenue Code or of their existence as a State agency or unit of government legally authorized to work in the designated county and/or colonia. An SF-270, "Request for Advance or Reimbursement," will be submitted with each package for the amount authorized for the specific loan type, as listed in Exhibit B of RD Instruction 1944-B.

**Award Procedure:**

Awards are made by the State Director.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The determination is made by the State Director. Grantees must attend training each year in order to qualify for assistance. A copy of a current "Certificate of Training" pertaining to the type of application package must be submitted. Generally, training must be completed prior to December 31 of any year.

**Appeals:**

Appeal rights are available under 7 CFR 3550.4.

**Renewals:**

Grantees may reapply and packages may be submitted after the annual housing application packaging orientation and training is held, and a "Certificate of Training" is issued.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The State Director will determine based on the housing funds available, how many applications can be processed for each program during the fiscal year. The grant period will end when sufficient packages are received for each designated county or colonias, or on September 30, of the fiscal year, whichever is earlier. See the following for information on how assistance is awarded/released: See above.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly reports must be submitted to the appropriate RD office servicing the designated county and/or colonias. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

The grantee will be required to retain records for 3 years from the date Standard Form (SF) - 269A, financial status report (short form), is submitted. These records will be accessible to RD and other Federal officials in accordance with 7 CFR Part 3015. A file of packages submitted will be established in the RD office and retained in accordance with RD Instruction 2033-A.

**Account Identification:**

12-2009-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - While current funding is not available, funding may become available in the future.

**Range and Average of Financial Assistance:**

Fees paid for Section 502 Single Family Housing Loans, Section 504 Repair Loans and grants, and Section 514 Farm Labor Housing Loans are \$500 for each acceptable package. For other programs, refer to Exhibit B of RD Instruction 1944-B.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944, subpart B, 7 CFR 3014 (for nonprofit organizations) and 7 CFR 3016 (for State and local governments).

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

USDA, Rural Development Housing Programs 14th Street & Independence Avenue, S.W., Washington, District of Columbia 20250 Phone: 202-720-1474; FTS not available.

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.410 Very Low to Moderate



Income Housing Loans; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.415 Rural Rental Housing Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.433 Rural Housing Preservation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.444 DIRECT HOUSING\_NATURAL DISASTER LOANS AND GRANTS**

(SECTION 504, Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92-310, 42 U.S.C. 1474; Public Law 104-134.

**OBJECTIVES:**

To assist qualified recipients to meet emergency assistance needs resulting from natural disaster. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). For the purpose of administering these funds, natural disaster will only include those counties identified by a Presidential declaration.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist very-low income owner- occupants to repair or replace damaged property as a direct result of a natural disaster. Loans are made in counties named by the Federal Management Agency as being eligible for Federal assistance under an emergency declaration by the President.

**Applicant Eligibility:**

Applicants must own and occupy the home in a rural area. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. The applicant's income for a loan may not exceed the very low-income limit which can be obtained in any Rural Development (RD) field office.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

Natural disasters will only include those areas identified by a Presidential declaration. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). Applicants must establish that physical damage was caused by natural disaster. For Section 504 loans/grants, there must be evidence of ownership and verification of income and debts. For grant recipients, evidence of age is required. The applicant must be unable to get credit elsewhere and demonstrate repayment for the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file Form RD 410-4 at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Final approval of the application is given by the local or area office loan approval official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days subject to the availability of funds, from the time the application is filed if no backlog of applications exist.

**Appeals:**

Applicants may request reconsideration at the local RD field office and may appeal adverse actions in accordance with 7 CFR Part 11. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan/grant applicants.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These funds are available only if the Supplemental Emergency Funding for Natural Disaster has been appropriated. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office, as appropriate for additional information.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan/grant related documents.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371; 12-1953-0-1-999.

**Obligations:**

(Direct Loans) FY 08 \$1,300; FY 09 est \$2,800; FY 10 est \$5,000. (Project Grants) FY 08 \$7,500; FY 09 est \$12,000; FY 10 est \$0 - Grant funds are now exhausted.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the number of existing houses improved through Section 504 Natural Disaster Loans and Grants was 2. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3550.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division, Rural Housing Programs U.S. Department of Agriculture  
1400 Independence Avenue, S.W., Washington, District of Columbia 20250  
Phone: 202-720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.445 DIRECT HOUSING\_NATURAL DISASTER**

(Section 502 Very Low and Low Income Loans)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq; Public Law 92- 310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100- 233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601.

**OBJECTIVES:**

To assist qualified lower income rural families to meet emergency assistance needs resulting from natural disaster to buy, build, rehabilitate, or improve dwellings in rural areas. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). For the purpose of administering these funds, natural disaster will only include those areas identified by a Presidential declaration.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Direct loans may be used for construction, repair, or purchase of housing. Payment subsidy is available to eligible low and very low-income applicants. The term payment subsidy refers to either payment assistance or interest credit. A payment subsidy reduces the borrower's scheduled payment to an amount equal to what it would be if the note were amortized to as low as one percent. Payment subsidies are subject to recapture by the government when the borrower transfers title or ceases to occupy the property.

**Applicant Eligibility:**

Applicants must be without adequate resources to obtain housing or related facilities. Applicants must be unable to secure the necessary credit from other sources at prevailing terms and conditions for residential financing.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

Natural disasters will only include those areas identified by a Presidential declaration. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). Applicants must establish that physical damage was caused by natural disaster. An applicant needs to submit evidence of inability to obtain credit elsewhere, verification of income and debts, plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file Form RD 410-4 at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Final approval of the application is approved by the Community Development Manager.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days subject to the availability of funds, from the time the

application is filed if no backlog of applications exists.

**Appeals:**

Applicants may request reconsideration at the local Rural Development field office or may appeal adverse actions in accordance with RD Instruction appeal procedure. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan applicant.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These funds are available until the Supplemental Emergency Funding for Natural Disaster is exhausted. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office, as appropriate, for additional information.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan related documents.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371.

**Obligations:**

(Direct Loans) FY 08 \$1,246,400; FY 09 est \$15,000,000; FY 10 est \$20,000,000 - (Note: Funds under this program are based on supplemental funding provided by Congress in response to a natural disaster. Hurricane Emergency Supplemental funds are not included in the projected amounts).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 10 houses were financed through the Section 502 Direct Loan (Natural Disaster) Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division, Rural Housing Programs U.S. Department of Agriculture  
1400 Independence Avenue. S.W., Washington, District of Columbia 20250  
Phone: 202-720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **10.446 RURAL COMMUNITY DEVELOPMENT INITIATIVE**

### **FEDERAL AGENCY:**

Rural Development, Department of Agriculture

### **AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2005.

### **OBJECTIVES:**

To develop the capacity and ability of private, nonprofit community-based housing and community development organizations, and low income rural communities to improve housing, community facilities, community and economic development projects in rural areas.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Rural Community Development Initiative grants may be used for but are not limited to (a) training sub-grantees to conduct a program on home-ownership education; (b) training sub-grantees to conduct a program for minority business entrepreneurs; (c) providing technical assistance to sub-grantees on how to effectively prepare a strategic plan; (d) provide technical assistance to sub-grantees on how to access alternative funding sources; (e) building organizational capacity through board training; (f) developing training tools, such as videos, workbooks, and reference guides to be used by the sub-grantee; (g) providing technical assistance and training on how to develop successful child care facilities; and (h) providing training on effective fundraising techniques.

### **Applicant Eligibility:**

Rural Community Development Initiative grants may be made to a legally qualified private or public (including tribal) organization that provides technical assistance to nonprofit community-based housing and community development organizations, and low income rural communities. The grantee must provide a program of technical assistance to the sub-grantee. The grantee must have been legally organized for a minimum of three years prior experience working with nonprofit organizations or low-income rural communities in the areas of housing, community facilities, or community and economic development. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

### **Beneficiary Eligibility:**

Subgrantees must be legally organized private, nonprofit community-based housing and community development organizations, low income rural communities, and Federally recognized Indian Tribes.

### **Credentials/Documentation:**

Have the legal, financial, administrative, and operational capacity relative to the activity for which assistance is requested. Have necessary background and experience with proven ability to perform responsibly in the areas of housing, community facilities, or community and economic development. Have the ability to work within established guidelines. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures will be announced in the Federal Register and on the Grants.gov web site.

### **Award Procedure:**

Award is made by the Administrator, Housing and Community Facilities Programs.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

As required, 90 days to 120 days.

### **Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the National Appeals Division, USDA.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The grantee must provide matching funds at least equal to the amount of the grant in the form of cash or committed funding. (No in-kind contributions).

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Proposals must be structured to utilize the Rural Community Development Initiative grant funds within 3 years from the execution of the Rural Community Development Initiative grant agreement. See the following for information on how assistance is awarded/released: Contact regional office or headquarters as appropriate for additional information.

### **Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. The grantee will perform self-evaluations by preparing quarterly financial and project performance reports in accordance with the grant agreement for RCIDI.

### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits should be made as part of the grantee's system of financial management and internal control to meet terms and conditions of the grant. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

### **Records:**

The borrower must maintain adequate records and accounts related to the technical assistance performed.

### **Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371.

### **Obligations:**

(Project Grants) FY 08 \$8,259,539; FY 09 est \$10,752,839; FY 10 est \$6,256,000

### **Range and Average of Financial Assistance:**

\$50,000 to \$261,000. Average \$234,643.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, 51 grants were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations 7 CFR 3015, 7 CFR 3016, 7 CFR 3019, 7 CFR 3052; H.R. 5426 Guidelines announced in NOFA, published in the Federal Register.

### **Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development State Office numbers. If no listing, contact the appropriate Rural Development State Office found on the internet at <http://www.rurdev.usda.gov>.

### **Headquarters Office:**

Deputy Administrator, Community Programs, U.S. Department of Agriculture  
Rural Development  
Stop 0788  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: 202-720-1490

**Website Address:**

<http://www.rurdev.usda.gov/rhs/rcdi/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Factors considered for project selection include but are not limited to median household income, rural population, and points for evaluation criteria.

**10.447 THE RURAL DEVELOPMENT (RD) MULTI-FAMILY HOUSING REVITALIZATION DEMONSTRATION PROGRAM (MPR)**

(Restructuring Program)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514/516 and 515, and The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To preserve and revitalize existing rural rental housing and farm labor housing projects financed by RHS under Section 515 and Sections 514/516 of the Housing Act of 1949 and to ensure that sufficient resources are available in order to continue to provide safe and affordable housing for low-income residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds will be used to meet the physical needs of rental and farm labor housing properties financed under Section 515 and Sections 514/516 of the Housing Act of 1949. Related soft costs are also eligible. Owners or buyers are required to agree to a Restrictive Use Covenant for 20 years or the remaining term of any loans, or the remaining term of any existing restrictive-use provisions whichever ends later. This ensures the property will be used for low income housing as defined by the Housing Act of 1949.

**Applicant Eligibility:**

Owners or buyers of financially viable Section 515 financed rental or Section 514/516 labor housing properties.

**Beneficiary Eligibility:**

Low-income rural residents needing safe, decent and sanitary rental housing.

**Credentials/Documentation:**

Applicants must provide a Capital Needs Assessment (CNA) to identify the physical needs of the property as well as the estimated cost to make the needed repairs over a 20-year period. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Multi-Family Housing Revitalization Demonstration Program (MPR) Preapplication. An electronic version of this form can be found on the Internet at <http://www.rurdev.usda.gov/rd/nofas/index.html> or obtained by contacting the RD State Office in the state where the project is located. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For FY 09, the MPR Program was awarded through a Notice of Solicitation Availability (NOSA) announced in the Federal Register on April 29, 2009. The NOSA

pre-application period was 60 days from the date of the announcement. The NOSA deadline was June 29, 2009.

**Award Procedure:**

Pre-applications will be scored on the following factors: (1) Contribution of third party funds; (2) Owner contribution sufficient to pay transaction costs; (3) Age of Project; (4) Transfer and revitalization of troubled projects; (5) Prior Agency approvals of CNAs; (6) Installation of energy generation systems; (7) Energy conservation; and (8) New tenant services to be provided by a non-profit organization at no cost to the project and that are available to all tenants.

**Deadlines:**

Jun 29, 2009

**Range of Approval/Disapproval Time:**

Within 45 days from Pre-application submission, pre-applications will be scored and ranked, eligibility will be confirmed, and applicants will be notified of selection for participation and requested to submit full applications.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Non selected applicants may reapply under the next Notice of Funding Solicitation (NOSA).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Debt deferral is the lesser of the remaining term of the existing loan or 20 years.

A balloon payment of accrued principal and interest will be due at the end of the deferral period. A revitalization grant for non-profit applicants/borrowers only, is limited to the cost of correcting health and safety violations as identified by a CNA. A revitalization zero percent loan will be amortized over 30 years. A soft-second loan with a one percent interest rate will have its interest and principal deferred, to a balloon payment, due at the time the latest maturing Section 514 or 515 loan becomes due. An additional 30-year Section 515 loan at an effective one percent interest rate amortized over a period not to exceed 50 years. An additional 33-year Section 514 loan at an effective one percent interest rate amortized over a period not to exceed 33 years. An additional Section 516 grant not to exceed the lesser of 90 percent of the total development cost, or that portion of the total development cost which exceeds the sum of any amount provided by the applicant from their own resources plus the amount of any Section 514 loans approved for the applicant. See the following for information on how assistance is awarded/released: Typically, participants compete for funding via the NOSA; a selection process ensues based upon set criteria; applications are ranked and scored nationally. Selections are made based on the project type, ranking and scoring. States are given limits on how many applications are selected with a contingency for fall out.

**Reports:**

Tracking and monitoring reports are required for Rural Rental and Farm Labor Housing. Since this is a Demonstration Program, procedures for tracking and monitoring expenditures are under development. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Quarterly or annual financial statements completed using agreed-upon procedures and performance standards described in the RHS Multi-Family Housing Audit Program.

**Records:**

Business records must be retained.

**Account Identification:**

12-2081-0-1-371.

**Obligations:**

(Project Grants) FY 08 \$126,000,000; FY 09 est \$71,000,000; FY 10 est \$71,000,000

**Range and Average of Financial Assistance:**

The underwriting guidelines include, but are not limited to, the following: The maximum soft-second loan will be limited to no more than \$5,000 per unit; revitalization grants limited to \$5,000 per unit; total assistance provided from a revitalization grant, revitalization zero percent loan, and/or a soft-second loan is limited to \$10,000 per unit; and the maximum Section 515 loan or Section 514/516 loan and grant is limited to no more than \$20,000 per unit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, 268 properties received assistance for revitalization and preservation. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the NOSA which lists contacts at the National Office and consult your local telephone directory for Rural Development District or State Office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

USDA, Rural Development, Preservation and Direct Loan Division Attention: Cynthia L. Johnson  
1400 Independence Avenue, S.W., Mail Stop 0782, Washington, District of Columbia 20250-0781 Phone: 202-720-1940

**Website Address:**

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

**RELATED PROGRAMS:**

10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be selected based on eligibility and ranking and scoring criteria listed in the NOSA.

**10.448 RURAL DEVELOPMENT MULTI-FAMILY HOUSING RURAL HOUSING VOUCHER DEMONSTRATION PROGRAM**

Rural Development Voucher Demonstration Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009 (Pub. L. 111-8) for the Rural Development Voucher Program as authorized under Section 542 of the Housing Act of 1949, as amended, 42 U.S.C. 1471 et. seq. (without regard to Section 542(b)).

**OBJECTIVES:**

The Rural Housing Voucher Demonstration program is designed to provide rental housing assistance vouchers to tenants in properties that prepay their Rural Development mortgage. The amount of this subsidy is the difference between the comparable market rent and the amount of rent being paid by the tenant when prepayment occurs. Prepaying properties may be located anywhere in the 50 states, Puerto Rico, the U.S. Virgin Islands and Guam.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The monthly housing assistance payment for the Rural Development Voucher Program is the difference between the comparable market rent for the family's former Section 515 unit and the tenant's rent contribution on the date of the prepayment. The rental unit must pass a Rural Development health and safety inspection.

The owner must be willing to accept a Rural Development voucher.

Use at HUD Section 8 or other Federally-assisted public housing, is prohibited. The Rural Development voucher may not be used in combination with the Rural Development Rental Assistance program.

**Applicant Eligibility:**

Applicants must (a) be residing in the Section 515 project on the date of the prepayment of the Section 515 loan or upon foreclosure by Rural Development; (b) the date of the prepayment or foreclosure must be after September 30, 2005; (c) as required by 42 U.S.C. 1436a the tenant must be a citizen, U.S. non-citizen national or qualified alien and will so provide proof of citizenship.

**Beneficiary Eligibility:**

Applicants must be citizens, U.S. non-citizen nationals or qualified aliens and have an adjusted household income at or below 80 percent of area median income as determined annually by the U.S. Department of Housing and Urban Development (HUD) to be eligible for a rural housing voucher.

**Credentials/Documentation:**

The applicant must furnish factual evidence that their adjusted household's income is at or below 80 percent of area median income as determined annually by HUD and furnish proof of citizenship to be eligible, or to continue to be eligible, for a rural housing voucher. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

During the prepayment or foreclosure process, Rural Development will evaluate every tenant family to determine if it is low-income. If Rural Development determines a family is low-income, immediately prior to the foreclosure or prepayment, Rural Development will send the primary tenant a letter offering the family a voucher.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The voucher is renewable, annually, subject to the availability of appropriations to the USDA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

On an annual basis. See the following for information on how assistance is awarded/released: Assistance is awarded/released on a monthly basis.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-4141-4-0-000.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$6,300,000; FY 09 est \$6,400,000; FY 10 est \$4,965,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Director, Portfolio Management Division USDA, Rural Development  
1400 Independence Avenue, S.W., Stop 0782, Washington, District of  
Columbia 20250-0782 Email: stephanie.white@wdc.usda.gov Phone:  
202-720-1615

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.500 COOPERATIVE EXTENSION SERVICE**

Cooperative Extension Service (CES)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

**SPECIAL NOTES:**

- (1) Numerous Programs are funded under CFDA 10.500.
- (2) Listed below are several programs, which are indicative of the types of projects currently funded under CFDA 10.500. However, the listing is not exhaustive.

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Sections 3(b)(1) and 8 of the Smith-Lever Act provide the basis of funding special needs agricultural extension programs at 1862 Land-grant institutions.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Section 7129 of the Food, Conservation, and Energy Act of 2008 (FCEA), re-authorizes Section 3(b) & (c) of the SmithLever Act, allowing the Secretary of Agriculture, acting through the Director of the National Institute of Food and Agriculture (NIFA), to conduct competitive grant programs to State Extension Services at 1862 Land-Grant Institutions to support innovative, education-based approaches to addressing emergency preparedness and specific responses related to natural and man-made disasters.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding, paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1949, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

Section 1444 of the National Agricultural Research, Extension, and Teaching Policy Act Of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977, is also known as the Section 1444 Program. This law provides the basis for Federal funding for agricultural extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by the U.S. Department of Agriculture to enable low-income individuals and families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University. Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish various goals as indicated in Part I.A. of the Formula Grant Opportunity (FGO).

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life Represents a new program; pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act (FORMULA)

The Renewable Resources Extension Act of 1978 (P.L. 95-306, 92 Stat. 349, 16 U.S.C. 1671 et seq.) provides for an expanded and comprehensive extension program for forest and rangeland renewable resources. The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The authority for this program is under Section 502 (i) of Title V of the Rural Development Act of 1972, as amended (7 U.S.C. 2662). The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I. The Rural Health and Safety Education Competitive Program addresses the Individual and Family Health Education component of the authorization.

(c) Extension Services at the 1994 Institutions

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 201 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act) (7 U.S.C. 341 et seq.), as amended. Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 institutions) for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving

funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Title VI Section 604 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7642) states that -The Secretary of Agriculture shall continue operation of the Food Animal Residue Avoidance Database program (referred to in this section as the FARAD program) through contracts, grants, or cooperative agreements with appropriate colleges or universities.

(f) Federal Administration

DIRECT APPROPRIATION

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447) (FORMULA)

Pursuant to the authority contained in Section 1447 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) [7 U.S.C. 3222b], and reauthorized by Section 7123 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246) grants will be awarded under the Facilities Grants Program to the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. The Omnibus Appropriations Act, 2009 appropriates funds under Division A, Title I, 7 U.S.C 341-349.

**OBJECTIVES:**

GENERAL: [As reflected in Part I.B. of the Request for Applications (RFA) or Formula Grant Opportunity (FGO)]

1. 3b & c Formula Funds

a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

These funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts (Twelfth Statutes at Large, page five hundred and three) (1862 Land-grant Institutions), for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

The purpose of this funding is to conduct agricultural extension work.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

The purpose of this funding is to increase the level of agricultural extension work. These funds are used to support extension activities identified in the eligible institutions approved 5-Year Plan of Work. Special Needs funds are allocated to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

Funds support innovative extension education approaches to addressing risks, hazards and disasters. The Cooperative Extension Service (CES) has an important role in reducing the impact of disasters through extension education. The Extension Special Needs program sponsors targeted projects that enable CES to assist in preparing for, providing an educational response to, and recovering from disasters. Education programming funded by this program will help communities, families and individuals become more self-sustaining by strengthening and increasing their resiliency to disaster. Some types of hazards

and disaster related events funded in previous years include uncertainties caused by losses of economic infrastructure, severe weather or other natural disasters, security breaches, human disease, or high consequence animal diseases and plant pests.

There has been an increase in public awareness regarding the number and severity of disaster type critical incidents involving earthquakes, tsunamis, tornadoes, wildfire, drought, contagious disease, and terrorist events. The National Academy of Sciences Committee on Environment and Natural Resources and the Subcommittee on Disaster Reduction of the National Science and Technology Council have acknowledged the many effective roles that the Cooperative Extension System (CES) has played in disaster preparedness, response and remediation.

Within the states and territories, the CES has repeatedly served as the trusted community organization that has helped to enable families, communities, and businesses to successfully prepare for, respond to and cope with disaster losses and critical incidents. Once a disaster has occurred, the local extension outreach includes: 1) Communicating practical science-based risk information, 2) Developing relevant educational experiences and programs, 3) Working with individuals and communities to open new communication channels, and 4) Mitigating losses and facilitating recovery. Never was this more evident than after hurricanes Katrina, Rita and Wilma in 2005 and during the 2008 Midwestern Summer flooding. During and after these incidents, local Extension agents served as a critical communication node throughout affected urban and rural areas, particularly when traditional communication systems were temporarily overwhelmed or destroyed.

The Extension Special Needs RFA encourages proposals that specifically address one or more of the following six key target areas:

1. Education and Technical assistance through inter-disciplinary and multi-state disaster training programs and demonstration projects for problem solving, especially those which build upon already existing strengths, contribute to or expand the EDEN and/or eXtension educational materials related to disaster preparation, mitigation, response and recovery;

2. Collaboration with Federal, state and local agencies and other disaster relief organizations to support education and service activities that enhance recovery of impacted rural communities, schools, businesses and agricultural-based activities;

3. Long range family, community and regional planning projects that will enhance implementation of programs that serve public needs in preparation for, during and after emergency situations within impacted States and across impacted regions;

4. Communication delivery of key information that meets end-users needs in a timely fashion with consideration of potentially limited communication channels due to disaster situations;

5. Dissemination of credible, science-based information that is reliable and easily accessible even if electronic access is compromised; and

6. Integrated Research and Extension Planning Projects (up to \$15,000) are intended to provide assistance to applicants in bringing together teams for the development of highly competitive grant proposals where extension personnel would apply for large grants (in excess of \$250,000) from other grant programs (e.g., the Agriculture and Food Research Initiative and etc) and lead nationally important disaster prevention, protection and mitigation projects.

Fundable projects should support education and extension activities which:

1. Reduce risk through planning, disaster preparedness and emergency response by improving communication between the public, community leaders, state and Federal agencies;

2. Develop strategies and educational materials and/or programming in the area of emergency planning, infrastructure design and disaster recovery operation;

3. Develop community networks that provide real-time disaster education information; and/or

4. Develop or expand educational materials regarding disaster issues suitable for use and distribution by the Extension Disaster Education Network (EDEN) or the eXtension Community of Practice working with disaster planning.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Formula grants authorized under the CSRS Retirement Contributions Program. These grants are used to defray the CSRS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

These grants are used to defray the FERS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

These funds are used by the University of the District of Columbia for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)  
The purpose of this funding is to support agricultural and forestry extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

These grants are used to assist all States in carrying out a program of extension activities designed to employ and train professional and paraprofessional aides to engage in direct nutrition education of low-income families and in other appropriate nutrition education programs.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination



Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

##### (a) Renewable Resources Extension Act

The purpose of the grant program is to provide funds for projects that:

- (1) Have national or regional relevancy;
- (2) Develop new and innovative projects that can be replicated at other institutions; or
- (3) Develop a strategic framework for the nationwide forest and rangeland resources extension program.

NFF priorities are those that have been identified in the FY 2005-2009 RREA Strategic Plan:

[http://www.nifa.usda.gov/nea/nre/in\\_focus/forests\\_if\\_rrea.html](http://www.nifa.usda.gov/nea/nre/in_focus/forests_if_rrea.html).

##### (b) Rural Health and Safety

As specified in 7 U.S.C. 2662, grants will be made to establish the Rural Health and Safety Education Competitive Programs carried out by the eligible organizations in rural areas. The assistance provided by these programs, to the extent practicable, shall be coordinated with and delivered in cooperation with similar services or assistance by other Federal Agencies or programs for rural residents.

##### (c) Extension Services at the 1994 Institutions

This program provides funding to (1) increase Extension program capacity at 1994 institutions; and (2) address special needs, take advantage of important opportunities, and/or demonstrate long-term sustained benefits of Extension projects at 1994 institutions. In FY 2009, funded projects will support one or more of the six NIFA Strategic Goals (see Part VIII, E., Definitions) outlined in the NIFA Strategic Plan for FY 2007-2012:

- 1) Enhance international competitiveness of American agriculture;
- 2) Enhance the competitiveness and sustainability of rural and farm economies;
- 3) Support increased economic opportunities and improved quality of life in rural America;
- 4) Enhance protection and safety of the Nation's agriculture and food supply;
- 5) Improve the Nation's nutrition and health; and
- 6) Protect and enhance the Nation's natural resource base and environment.

##### (d) Grants to Youth Serving Institutions

As specified in 7 U.S.C. 7630, grants will be made to establish pilot projects to expand the youth development programs carried out by the eligible organizations in rural areas or small towns.

Broad Purposes:

- Support and enhance the goals, objectives, and priorities of the eligible youth organizations;
- Support programs which address issues and needs of rural youth;
- Involve youth in design and implementation of their educational activities;
- Increase knowledge, skills, attitudes and behaviors necessary for rural youth to live productive, contributing, and fulfilling lives; and
- Increase economic opportunities and sustainability and improve quality of life in rural communities through enhanced human, social, civic, natural, financial, cultural, and built capital.

##### (e) Food Animal Residue Avoidance Database Program (FARAD)

The purpose of the FARAD is to provide livestock producers, extension specialists, scientists, and veterinarians with up to date information to prevent drug, pesticide and environmental contaminant residues in food animal products.

##### (f) Federal Administration

Pertinent details will be provided at a future date.

##### (g) 1890 Facilities (Section 1447)

The 1890 Facilities Grants Program provides funds for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, Tuskegee University and West Virginia State University, may participate fully in the production of

human capital in the food and agricultural sciences.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Section :070 Uses ONLY:

(See RFA or FGO Executive Summary and Part I.A. Background)

Other:

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

Other Detailed Info USES ONLY

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

These funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts (Twelfth Statutes at Large, page five hundred and three) (1862 Land-grant Institutions), for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

These funds are used to support extension activities identified in the eligible institutions approved 5-Year Plan of Work. Special Needs funds are allocated to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

Funds are allocated under this program to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

There has been an increase in public awareness regarding the number and severity of disaster type critical incidents involving earthquakes, tsunamis, tornadoes, wildfire, drought, contagious disease, and terrorist events. The National Academy of Sciences Committee on Environment and Natural Resources and the Subcommittee on Disaster Reduction of the National Science and Technology Council have acknowledged the many effective roles that the Cooperative Extension System (CES) has played in disaster preparedness, response and remediation.

Within the states and territories, the CES has repeatedly served as the trusted community organization that has helped to enable families, communities, and businesses to successfully prepare for, respond to and cope with disaster losses and critical incidents. Once a disaster has occurred, the local extension outreach includes: 1) Communicating practical science-based risk information, 2) Developing relevant educational experiences and programs, 3) Working with individuals and communities to open new communication channels, and 4) Mitigating losses and facilitating recovery. Never was this more evident than

after hurricanes Katrina, Rita and Wilma in 2005 and during the 2008 Midwestern Summer flooding. During and after these incidents, local Extension agents served as a critical communication node throughout affected urban and rural areas, particularly when traditional communication systems were temporarily overwhelmed or destroyed.

The Extension Special Needs RFA encourages proposals that specifically address one or more of the following six key target areas:

1. Education and Technical assistance through inter-disciplinary and multi-state disaster training programs and demonstration projects for problem solving, especially those which build upon already existing strengths, contribute to or expand the EDEN and/or eXtension educational materials related to disaster preparation, mitigation, response and recovery;
2. Collaboration with Federal, state and local agencies and other disaster relief organizations to support education and service activities that enhance recovery of impacted rural communities, schools, businesses and agricultural-based activities;
3. Long range family, community and regional planning projects that will enhance implementation of programs that serve public needs in preparation for, during and after emergency situations within impacted States and across impacted regions;
4. Communication delivery of key information that meets end-users needs in a timely fashion with consideration of potentially limited communication channels due to disaster situations;
5. Dissemination of credible, science-based information that is reliable and easily accessible even if electronic access is compromised; and
6. Integrated Research and Extension Planning Projects (up to \$15,000) are intended to provide assistance to applicants in bringing together teams for the development of highly competitive grant proposals where extension personnel would apply for large grants (in excess of \$250,000) from other grant programs (e.g., the Agriculture and Food Research Initiative and etc) and lead nationally important disaster prevention, protection and mitigation projects.

Fundable projects should support education and extension activities which:

1. Reduce risk through planning, disaster preparedness and emergency response by improving communication between the public, community leaders, state and Federal agencies;
2. Develop strategies and educational materials and/or programming in the area of emergency planning, infrastructure design and disaster recovery operation;
3. Develop community networks that provide real-time disaster education information; and/or
4. Develop or expand educational materials regarding disaster issues suitable for use and distribution by the Extension Disaster Education Network (EDEN) or the eXtension Community of Practice working with disaster planning.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

These grants are used to defray the CSRS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.

Funds are provided for the retirement costs of the former Schedule A Appointments at the 1862 land-grant institutions. These funds are allocated based on each institutions relative share of the total payments to OPM during the previous year.

The separate allocation of funds for this purpose is being phased out over a 10-year period, beginning in FY 2007. The amount available for this program is reduced each fiscal year by \$1,473,658 and the same amount is added to the funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

The Schedule A 213.3113 (a) (1) was issued by the U.S. Office of Personnel

Management (OPM) for the United States Department of Agriculture (USDA) to employ individuals in the Cooperative Extension Service (CES) as a joint appointment between USDA and the land grant institution. The official title of Schedule A appointees includes the title Agent (e.g., Agent/Cooperative Extension Director; Agent/Cooperative Extension Educator) as by law only agents with a Schedule A appointment were eligible to participate in the Federal benefit plan(s).

Employment is dependent upon an individuals appointment in the CES at the university. The appointment must be a regular position with at least 50 percent of the staffs time dedicated to extension projects, and the appointee must work and be paid over a 12-month period.

Agents in the Cooperative Extension program are not classified under the General Schedule (GS) classification system or any other Federal pay system. The positions are classified by the employing land grant institution, and the salary is established according to policies and procedures at the institution. The OPM has the authority and responsibility for issuing rules and regulations covering Schedule A appointments and resulting benefits. OPM has delegated to the USDA the responsibility for overseeing and managing Cooperative Extension Schedule A appointments and the accompanying Federal benefits, (e.g., retirement and insurance plans). The Human Resources Division (HRD)/Cooperative Extension Service (CES) Team within Administrative and Financial Management (AFM) of the Agricultural Research Service (ARS) carries out this function for USDA.

Effective January 31, 2003, the authority to grant Schedule A Excepted Appointments to CES employees was terminated. Public Law 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, Section 7220, terminated the Schedule A appointing authority used by USDA to grant a companion Federal appointment and Federal benefits to state/university employees of the Cooperative Extension Service. The law allowed the CES Federal appointees that were employed on the day before the date of the enactment of the Act, (i.e., May 12, 2002) to: a) continue to accrue Federal creditable service for retirement; and b) participate in the following benefits as long as the employees continued their employment with the Cooperative Extension Service:

- 1) the Federal Employees Health Benefits Program (FEHB);
- 2) the Federal Employees' Group Life Insurance Program (FELGI);
- 3) the Civil Service Retirement System (CSRS);
- 4) the Federal Employee Retirement System (CSRS);
- 5) the Thrift Savings Plan (TSP); and
- 6) the Federal Long Term Care Insurance Program (FLTCIP).

The Federal Office of Workers Compensation Program (OWCP) is the only Federal program that will not continue as it is not a program that the dual appointee was vested in. Claims already on file with the Department of Labor (DOL) Office of Workers Compensation Office will continue to be processed by the DOL. Using a formula based in the prior years injury or illness claims, NIFA will pay these claims on behalf of each institution and charge that institution by reducing its annual retirement allocation by the amount remitted. If the amount of claims paid exceeds the institutions annual retirement allocation, NIFA will bill the institution for any OWCP costs in excess of the annual retirement allocation.

Changes and new features for the current Federal Benefits programs such as FEHB, FELGI, TSP and FLTCIP will be offered to the CES organizations and employees that are eligible to participate in the affected program(s). However, former Federal appointees cannot participate in new Federal benefit programs that were not in effect as of May 12, 2002.

Effective January 31, 2003, CES can no longer grant Schedule A Federal appointments to new employees because they no longer have a Federal appointment authority available to make new Federal appointments. Former CES Schedule A appointees may be reappointed to another CES organization and continue their benefits as long as they do not have a break in service.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are provided for the retirement costs of the former Schedule A Appointments at the 1862 land-grant institutions. These funds are allocated to the 1862 land-grant institutions with former Schedule A Appointments based on each institutions relative share of the total payments to OPM during the previous year.

The separate allocation of funds for this purpose is being phased out over a

10-year period, beginning in FY 2008. The amount available for this program is reduced each year by \$376,826 and this same amount is added to the funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

The Schedule A 213.3113 (a) (1) was issued by the U.S. Office of Personnel Management (OPM) for the United States Department of Agriculture (USDA) to employ individuals in the Cooperative Extension Service (CES) as a joint appointment between USDA and the land-grant institution. The official title of Schedule A appointees includes the title Agent (e.g., Agent/Cooperative Extension Director; Agent/Cooperative Extension Educator) as by law only agents with a Schedule A appointment were eligible to participate in the Federal benefit plan(s).

Employment is dependent upon an individual's appointment in the CES at the university. The appointment must be a regular position with at least 50 percent of the staff's time dedicated to extension projects, and the appointee must work and be paid over a 12 month period.

Agents in the Cooperative Extension program are not classified under the General Schedule (GS) classification system or any other Federal pay system. The positions are classified by the employing land-grant institution, and the salary is established according to policies and procedures at the institution. The OPM has the authority and responsibility for issuing rules and regulations covering Schedule A appointments and resulting benefits. OPM has delegated to the USDA the responsibility for overseeing and managing Cooperative Extension Schedule A appointments and the accompanying Federal benefits, (e.g., retirement and insurance plans). The Human Resources Division (HRD)/Cooperative Extension Service (CES) Team with Administrative and Financial Management (AFM) of the Agricultural Research Service (ARS) carries out this function for USDA.

Effective January 31, 2003, the authority to grant Schedule A Excepted Appointments to CES employees was terminated. Public Law 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, Section 7220, terminated the Schedule A appointing authority used by USDA to grant a companion Federal appointment and Federal benefits to state/university employees of the Cooperative Extension Service. The law allowed the CES Federal appointees that were employed on the day before the date of the enactment of the Act, (i.e., May 12, 2002), to: a) continue to accrue Federal creditable service for retirement; and b) participate in the following benefits as long as the employees continued their employment with the Cooperative Extension Service:

- 1) The Federal Employees Health Benefits Program (FEHB);
- 2) The Federal Employees' Group Life Insurance Program (FEGLI);
- 3) The Civil Service Retirement System (CSRS);
- 4) The Federal Employee Retirement System (FERS);
- 5) The Thrift Savings Plan (TSP); and
- 6) The Federal Long Term Care Insurance Program (FLTCIP).

The Federal Office of Workers Compensation Program (OWCP) is the only Federal program that will not continue as it is not a program that the dual appointee was vested in. Claims already on file with the Department of Labor (DOL) Office of Workers Compensation Office will continue to be processed by the DOL. Using a formula based in the prior years injury or illness claims, NIFA will pay these claims on behalf of each institution and charge that institution by reducing its annual retirement allocation by the amount remitted. If the amount of claims paid exceeds the institutions annual retirement allocation, NIFA will bill the institution for any OWCP costs in excess of the annual retirement allocation.

Changes and new features for the current Federal Benefits programs such as FEHB, FELGI, TSP and FLTCIP will be offered to the CES organizations and employees that are eligible to participate in the affected program(s). However, former Federal appointees cannot participate in new Federal benefit programs that were not in effect as of May 12, 2002.

Effective January 31, 2003, CES can no longer grant Schedule A Federal appointments to new employees because they no longer have a Federal appointment authority available to make new Federal appointments. Former CES Schedule A appointees may be reappointed to another CES organization and continue their benefits as long as they do not have a break in service.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

These funds are used by the University of the District of Columbia for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1949, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA) Funds appropriated under this section shall be used for expenses of conducting extension programs and activities, and for contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3040, as amended; 7 U.S.C. 331). No portion of the funds allocated under this grant will be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college course teaching, lectures in college, or any other purpose not specified in NARETPA section 1444.

### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by

the U.S. Department of Agriculture to enable low-income individuals and families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

Renewable Resources Extension Act-National Focus Fund Projects provide for expanded and comprehensive extension programs for forest and rangeland renewable resources programs at a national, regional, or multi-institutional level.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The Rural Health and Safety Education Competitive Grants Program is designed to meet national goals for addressing the health and access needs of rural Americans. Rural Health and Safety Education Programs will focus on issues related to aging in one or more of three areas: 1) population aging in rural areas; 2) eldercare or caregiving and its impact on rural and farm families; and/or 3) related issues of rural health care to provide older individuals and families with:

Information as to the value of good health in an era of population aging;

Information to increase the older adult individual or family's motivation to take more responsibility for their own health;

Access by older adults to health promotion and educational activities;

Trained health and allied health professionals or paraprofessionals committed to rural health and care of aging population; and

Training for volunteers and health services providers concerning health promotion and

health care services for rural older adult populations, in cooperation with the Department of

Health and Human Services.

(c) Extension Services at the 1994 Institutions

The Tribal Colleges Extension Program (TCEP) provides funding for the 1994 Land-Grant Institutions to conduct non-formal education and outreach activities to help meet the needs of the Native American people. Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

The Rural Youth Development Grants (RYD) Program supports the expansion of effective, high quality youth development programs for youth in rural areas and small towns. The overarching theme of this grant program is Youth Build Strong Rural Communities. The sub-theme is Rural youth learn and apply leadership, citizenship, and life skills to improve their own lives and the communities in which they live. This philosophy undergirds the program design and methodologies of this grant program.

(e) Food Animal Residue Avoidance Database Program (FARAD)

No specific information provided

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Facilities awards will be made for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, including Tuskegee University and West Virginia State University may participate fully in the production of human capital in the food and agricultural sciences. Priorities for the eligible institutions are set in the facilities plan that is submitted to NIFA for review and approval. Section :070 RESTRICTIONS (ONLY):

See RFA or FGO: Part IV.E. Funding Restrictions and Part III.B. Cost-Sharing and Matching.)

Other

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

Other Detailed Info RESTRICTIONS ONLY

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Funding Restrictions

(1) Program and Extension Activities

Smith-Lever Act sections 3(b) and 3(c) Federal funding must be used for extension programs and activities identified in the institutions approved 5-Year Plan of Work.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (& U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year

2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Mariana Islands,] and the Virgin Islands of the

United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section.... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

NIFA may consider and approve matching waivers submitted by Insular 1862 Land-grant Institutions (American Samoa, Guam, Micronesia, Northern Marianas Islands, Puerto Rico, and the Virgin Islands).

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Sections 3(b) and 3(c) of the Smith-Lever Act formula grant expenditures.

(4) Other Restrictions

No portion of these funds may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Funding Restrictions

(1) Approved NIFA Special Needs Projects

Special Needs Federal funding must be used on extension activities identified in the institutions approved 5-Year Plan of Work.

(2) Matching

The Special Needs program requires that Federal funds be fully matched (i.e., 100 percent) by 1862 Land-grant Institutions.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Special Needs formula grant expenditures.

(4) Other Restrictions

No portion of Federal funds allotted under Special Needs grant may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in the Smith-Lever Act.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

Funding Restrictions

Indirect costs and tuition remission are not allowable and no funds will be approved for these purposes. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Funding Restrictions

(1) Approved NIFA CSRS Retirement Contributions Program Costs

NIFA CSRS retirement allocations must be used to support CSRS retirement costs for former Schedule A Appointments.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the

Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

NIFA may consider and approve matching waivers submitted by 1862 land-grant Institutions in insular areas.

Please note that these matching funds may be used for any extension activity identified in the state plan of work.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as CSRS retirement contribution formula grant expenditures.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Funding Restrictions

(1) Approved NIFA FERS Retirement Contributions Programs

NIFA FERS retirement allocations must be used to support FERS retirement costs for former Schedule A Appointments.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year. NIFA may consider and approve matching waivers submitted by 1862 land-grant Institutions in insular areas.

Please note that these matching funds may be used for any extension activity identified in the state plan of work.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as FERS retirement contribution formula grant expenditures.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Funding Restrictions

(1) Approved NIFA DCPPERA Projects

DCPPERA Federal funding must be used to support extension activities identified in the approved 5-Year Plan of Work.

(2) Matching

There is no matching requirement for these funds.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as DCPPERA formula grant expenditures.

(4) Other Restrictions

No portion of these funds may be applied, directly or indirectly, to the purchase,

erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act.

## 2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

### Funding Restrictions

#### (1) Approved NIFA Section 1444 Projects

Section 1444 Program funding must be used to support agricultural extension activities identified in the approved 5-Year Plan of Work.

#### (2) Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities. Please note that while Federal funds must be expended on agricultural extension, the matching funds may be used for agricultural research, agricultural extension, or qualifying educational activities. NIFA may consider and approve matching waivers above the 50 percent level. See Part IV.B.6. for additional information.

#### (3) Indirect Costs and Tuition Remission

In accordance with NARETPA section 1473, indirect costs and tuition remission are unallowable as Section 1444 Program formula grant expenditures.

## 3. SMITH-LEVER 3(d):

### (a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

### Funding Restrictions

#### (1) Approved NIFA EFNEP Projects

EFNEP Federal funding must be used on NIFA approved EFNEP projects.

#### (2) Matching

There is no cost-sharing or matching requirement for this program.

#### (3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as EFNEP formula grant expenditures.

#### (b) Youth at Risk

Pertinent details will be provided at a future date.

#### (c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

#### (d) Farm Safety

Pertinent details will be provided at a future date.

#### (e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

#### (f) Pest Management

Pertinent details will be provided at a future date.

#### (g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

#### (h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

#### (i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

#### (j) EIPM Support

Pertinent details will be provided at a future date.

#### (k) EIPM Coordination

Pertinent details will be provided at a future date.

## 4. OTHER EXTENSION ACTIVITIES:

### (a) Renewable Resources Extension Act

The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state. Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

### (b) Rural Health and Safety

The Rural Health and Safety Education Competitive Grants Program provides funds to meet national goals for addressing the health and access needs of rural Americans.

NIFA does not require matching or cost sharing support for this program and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

(c) Extension Services at the 1994 Institutions

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

NIFA does not require matching support for this program, and matching resources will not be factored into the review process as evaluation criteria.

Under the TCEP, the use of grant funds to plan, acquire, or construct a building or facility, or to acquire land, is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, grant funds may be used to purchase equipment, or for improvements, alterations, renovations, or repairs to land, buildings, or equipment, deemed necessary to retrofit existing spaces and resources in order to carry out a funded project under this grant. However, requests to use grant funds for such purposes must demonstrate that such expenditures are incidental to the major purpose for which the grant request is made and no more than twenty-five percent of the project budget may be used to purchase equipment. Any equipment purchased with Federal funds is the property of the grantee or the subgrantee, as appropriate. Indirect costs are unallowable costs, and no funds will be approved for this purpose. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

There are no matching requirements associated with the Rural Youth Development program, and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of facility space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Pursuant to Sec. 604 of the Agricultural research extension and Education Reform Act of 1998 [7 USC 7642(d)], applicants requesting recovery of

indirect costs should limit their requests to the lesser of their institutions official negotiated indirect costs rate or the equivalent of 19 percent of total Federal funds awarded.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

In Fiscal Year (FY) 09 NIFA assessed four percent (4%) of the appropriated amount for Federal Administration, distributed sixty percent (60%) of the balance equally, and distributed the remaining forty percent (40%) based on the formula found in Section 1444 of NAREPTA of 1977, as amended (Pub. L. No. 95-113).

Within each institution, the research, teaching and extension programs must each receive at least 20 percent of the annual allocation. The remaining 40 percent may be allocated based on institutional needs for research, teaching, or extension. No more than 60 percent of the total allocation should be directed to research, teaching, or extension. However, if there are unique situations in your institution which warrant a deviation from these guidelines, we will consider requests for reallocation. Such reallocations must be justified by the submission of a situation statement which describes the research, teaching, and extension facilities needs in your institution and how previously available Federal funds were utilized.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. The obligation and expenditure of funds awarded under these grants are limited to equipment, land, buildings and other related costs which are or will be used in the administration and conduct of approved research, teaching and extension activities. In accordance with NAREPTA Section 1447 (e), funds provided for this program may not be used for the payment of any overhead costs of the eligible institutions. Some funds are Fully Discretionary. Some funds are Mandatory.

**Applicant Eligibility:**

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Applications may be submitted by the following 1862 Land-grant Institutions: Auburn University, University of Alaska-Fairbanks, American Samoa Community College, University of Arizona, University of Arkansas, University of California, Colorado State University, University of Connecticut, University of Delaware, University of Florida, University of Georgia, University of Guam, University of Hawaii, University of Idaho, University of Illinois, Purdue University, Iowa State University, Kansas State University, University of Kentucky, Louisiana State University, University of Maine, University of Maryland-College Park, University of Massachusetts, Michigan State University, College of Micronesia, University of Minnesota, Mississippi State University, University of Missouri, Montana State University, University of Nebraska, University of Nevada-Reno, University of New Hampshire, Rutgers University, New Mexico State University, Cornell University, North Carolina State University, North Dakota State University, Northern Marianas College, Ohio State University, Oklahoma State University, Oregon State University, Pennsylvania State University, University of Puerto Rico, University of Rhode Island, Clemson University, South Dakota State University, University of Tennessee, Texas A & M University, Utah State University, University of Vermont, Virginia Polytechnic Institute & State University, University of the Virgin Islands, Washington State University, West Virginia University, University of Wisconsin, and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Applications may be submitted by the following 1862 Land-grant Institutions: University of Alaska-Fairbanks, University of Arizona, Colorado State University, University of Idaho, Kansas State University, Montana State University, University of Nebraska, University of Nevada-Reno, New Mexico State University, North Dakota State University, Oregon State University, South Dakota State University, Texas A & M University, Utah State University,

University of Vermont, and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Applications may be submitted with the approval of Extension Directors of 1862 Land-grant Institutions in the 50 states, American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the U.S. Virgin Islands.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicant's failure to meet an eligibility criterion by the time of an application deadline will result in NIFA not accepting the application or, even though an application may be reviewed, will preclude NIFA from making an award.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Applications may be submitted by 1862 land-grant institutions that are making payments to the U.S. Office of Personnel Management for CSRS retirement costs for the former Schedule A Appointments. See Appendix A for the list of eligible institutions.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
Applications may be submitted by 1862 land-grant institutions that are making payments to the U.S. Office of Personnel Management for FERS retirement costs for the former Schedule A Appointments. See Appendix A of the Formula Grant Opportunity (FGO) for the list of eligible institutions.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
The University of the District of Columbia, as the 1862 Land-Grant Institution, is the only applicant eligible for funding under the DCPPERA.

The award recipient may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.  
2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

#### A. Eligible Applicants

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University, that conduct agricultural extension activities in accordance with NARETPA section 1444(a)(1): Alabama A&M University; Tuskegee University; University of Arkansas - Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Southern University; University of Maryland Eastern Shore; Alcorn State University; Lincoln University; North Carolina A & T State University; Langston University; South Carolina State University; Tennessee State University; Prairie View A&M University; Virginia State University; and West Virginia State University. Institutions may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

#### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)  
Applications may be submitted by State colleges and universities in accordance with Section 3(d) of the Smith-Lever Act: Auburn University; Alabama A & M University; Tuskegee University; University of Alaska; American Samoa Community College; University of Arizona; University of Arkansas; University of Arkansas Pine Bluff; University of California; Colorado State University; University of Connecticut; University of Delaware; Delaware State University; University of the District of Columbia; University of Florida; Florida A & M University; University of Georgia; Fort Valley State University; University of Guam; University of Hawaii; University of Idaho; University of Illinois; Purdue University; Iowa State University; Kansas State University; University of Kentucky; Kentucky State University; Louisiana State University; Southern

University; University of Maine; University of Maryland (College Park); University of Maryland (Eastern Shore); University of Massachusetts; Michigan State University; College of Micronesia; University of Minnesota; Mississippi State University; Alcorn State University; University of Missouri; Lincoln University; Montana State University; University of Nebraska; University of Nevada; University of New Hampshire; Rutgers University; New Mexico State University; Cornell University; North Carolina State University; North Carolina A & T University; North Dakota State University; Northern Marianas College; Ohio State University; Oklahoma State University; Langston University; Oregon State University; Pennsylvania State University; University of Puerto Rico; University of Rhode Island; Clemson University; South Carolina State University; South Dakota State University; University of Tennessee; Tennessee State University; Texas A&M University; Prairie View A & M University; Utah State University; University of Vermont; University of the Virgin Islands; Virginia Polytechnic Institute and State University; Virginia State University; Washington State University; West Virginia University; West Virginia State University; University of Wisconsin; and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(b) Youth at Risk  
Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life  
(c) Improve Rural Quality of Life  
Pertinent details will be provided at a future date.

(d) Farm Safety  
Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension  
Pertinent details will be provided at a future date.

(f) Pest Management  
Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)  
Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.

(j) EIPM Support  
Pertinent details will be provided at a future date.

(k) EIPM Coordination  
Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act  
Applications may be submitted by 1862 and 1890 land-grant institutions. Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicant's failure to meet an eligibility criterion by the time of an application deadline will preclude NIFA from making an award.  
(b) Rural Health and Safety  
Land-grant colleges and universities that are eligible to receive funds under the Act of July 2, 1862 (7 U.S.C. 301 et seq.), and the Act of August 30, 1890 (7 U.S.C. 321 et seq.), including Tuskegee University, West Virginia State University and the University of the District of Columbia.

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant



Status Act of 1994, as amended.

Award recipients may subaward to other organizations provided such organizations are necessary for the conduct of the project. Failure to meet an eligibility criterion by the application deadline will disqualify an applicant from consideration and will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from reviewing the application and making an award.

(c) Extension Services at the 1994 Institutions

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives. An applicant's failure to meet an eligibility criterion by the time of an application deadline will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from making an award.

(d) Grants to Youth Serving Institutions

Pursuant to 7 U.S.C. Section 7630, only the Girl Scouts of the United States of America, the National 4-H Council, the Boy Scouts of America, and the National FFA Organization are eligible to apply. NIFA will accept only one application from each organization. The application must be developed and submitted by the national office of each respective organization. Rural Youth Development awards will be distributed to each of the four (4) eligible organizations that submits an application in accordance with RFA requirements, if the application is found to be worthy of support through the peer review process. The amount awarded to each organization will be determined based on review and recommendations of a peer review panel.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. If an applicant fails to meet an eligibility criterion by the time of the application deadline, the application will be at risk of being excluded from NIFA review and will preclude NIFA from making an award.

(e) Food Animal Residue Avoidance Database Program (FARAD)

The Secretary shall offer to enter into a contract, grant, or cooperative agreement with 1 or more appropriate colleges and universities to operate the FARAD program.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Eligible applicants under this RFA are the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. They are: Alabama A&M University, Tuskegee University, University of Arkansas-Pine Bluff, Delaware State University, Florida A&M University, Fort Valley State University, Kentucky State University, Southern University, University of Maryland-Eastern Shore, Lincoln University, Alcorn State University, North Carolina A&T State University, Langston University, South Carolina State University, Tennessee State University, Prairie View A&M University, Virginia State University, and West Virginia State University.

**Beneficiary Eligibility:**

Extension Programs at the State and county level are available to the general public.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an

individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

**SPECIFIC DETAILS:**

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Pre-award form submissions must be submitted to the Cooperative Extension Programs at 1862 Land-grant Institutions program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Pre-award form submissions must be submitted to Special Needs Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require

approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Pertinent info to be determined at a later date.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Pre-award form submissions must be submitted to the CSRS Retirement Contributions Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) System, and together satisfy all legislative and regulatory pre-award requirements.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Pre-award form submissions must be submitted to the FERS Retirement Contributions Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) System, and together satisfy all legislative and regulatory pre-award requirements.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Pre-award form submissions must be submitted to the DCPPERA program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted in the Formula Grant Opportunity (FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 105 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require an approved Plan of Work for extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. As stated in the Preface to the Federal Register Notice at 71 FR 4107, Although the District of Columbia receives extension funds under the District of Columbia Postsecondary Education Reorganization Act, Public Law 93471, as opposed to the Smith-Lever Act, NIFA has determined that it should be subject to the POW requirements imposed under these guidelines except where expressly excluded. Therefore, the University of the District of Columbia must submit both a 5-Year Plan of Work Update (i.e., submitted as an annual update) and an Annual Report of Accomplishments and Results. Both reports were due April 1.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)  
Pre-award form submissions must be submitted to the Section 1444 Program as a new application on the [www.grants.gov](http://www.grants.gov) website. These application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended NARETPA to require an approved Plan of Work for agricultural extension and research activities at 1890 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1890 land-grant institution, including Tuskegee University and West Virginia State University, must submit both a 5-Year Plan of Work Update and an Annual Report of Accomplishments and Results. Both reports are due April 1.

### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

No Standard Form (SF) 424-A, Budget Information for Non-Construction Programs, and no Budget Narrative Attachment Form are required for either the initial or the final submissions in FY 2009. However, the EFNEP-specific forms will be required.

Initial Submission:

Pre-award form submissions must be submitted to EFNEP as a new application on the [www.grants.gov](http://www.grants.gov) website. The SF-424M Application Package should include:

Application for Federal Assistance (Standard Form (SF) 424M (Mandatory)  
NIFA Supplemental Information Form  
Key Contacts Form

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

Pertinent details will be provided at a future date.

(b) Rural Health and Safety

Pertinent details will be provided at a future date.

(c) Extension Services at the 1994 Institutions

Pertinent details will be provided at a future date.

(d) Grants to Youth Serving Institutions

Pertinent details will be provided at a future date.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Pertinent details will be provided at a future date.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Pertinent details will be provided at a future date. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be

submitted as outlined in the Request for Applications (RFA) or Formula Grant Opportunity (FGO). Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA or FGO.

**SPECIFIC DETAILS:**

**1. SMITH-LEVER 3(b) & (c):**

- (a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Further information will be provided at a later date.

- (b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)  
Pertinent details will be provided at a future date.

- (c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Pertinent details will be provided at a future date.

- (d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Pertinent details will be provided at a future date.

- (e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
Pertinent details will be provided at a future date.

- (f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
Pertinent details will be provided at a future date.

**2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)**

The Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

**3. SMITH-LEVER 3(d):**

- (a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Pertinent details will be provided at a future date.

- (b) Youth at Risk

Pertinent details will be provided at a future date.

- (c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

- (d) Farm Safety

Pertinent details will be provided at a future date.

- (e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

- (f) Pest Management

Pertinent details will be provided at a future date.

- (g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

- (h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

- (i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

- (j) EIPM Support

Pertinent details will be provided at a future date.

- (k) EIPM Coordination

Pertinent details will be provided at a future date.

**4. OTHER EXTENSION ACTIVITIES:**

- (a) Renewable Resources Extension Act

Pertinent details will be provided at a future date.

- (b) Rural Health and Safety

Pertinent details will be provided at a future date.

- (c) Extension Services at the 1994 Institutions

Pertinent details will be provided at a future date.

- (d) Grants to Youth Serving Institutions

Pertinent details will be provided at a future date.

- (e) Food Animal Residue Avoidance Database Program (FARAD)

Pertinent details will be provided at a future date.

- (f) Federal Administration

Pertinent details will be provided at a future date.

- (g) 1890 Facilities (Section 1447)

Pertinent details will be provided at a future date.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the Request for Applications (RFA) or Formula Grant Opportunity (FGO) each fiscal year (FY).

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) or Formula Grant Opportunity (FGO) each fiscal year (FY).

**Formula and Matching Requirements:**

Statutory Formula: Title Various. Several Formula programs are represented under CFDA 10.500. Specific details will be forthcoming at a future date.

Matching Requirements: (See RFA or FGO - Part I.A Legislative Authority & Background; Part III.B Cost Sharing or Matching and/or Part IV.D Funding Restrictions)

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

States are eligible for funds appropriated under this Act according to the following formula: Out of each annual allocation, each State will be entitled to receive a sum of money equal to the sums available from Federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue available for use on the same basis. Further, the University of Guam and the University of the Virgin Islands will receive \$100,000 each in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of sections 3(b) and 3(c) of the Smith-Lever Act. Of the remainder so appropriated for each fiscal year 20 per cent will be paid to the several States in equal proportions, 40 per cent will be paid to the several States in the proportion that the rural population of each bears to the total rural population of the several States as determined by the census, and the balance will be paid to the several States in the proportion that the farm population of each bears to the total farm population of the several

States as determined by the census. Any appropriation made under sections 3(b) and 3(c) of the Smith-Lever Act will be allotted in the first and succeeding years on the basis of the decennial census current at the time the appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

Cost Sharing or Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year

2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

Cost Sharing or Matching

1862 Land-grant Institutions in the 50 States must match 100 percent of the Special Needs funds they receive with funds from non-Federal sources such as State or county appropriations. The matching must be in the form of cash. Matching funds must be used for extension activities approved in the eligible institutions 5-Year Plan of Work.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

**Cost Sharing or Matching**

Pursuant to rules and policies governing Section 3(b) & (c) of the Smith-Lever Act, as amended through Public Law 107-293, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work.

1. To comply with the matching requirements of the Special Needs Program, applicants are required to provide 100 percent matching funds from non-federal sources for all proposed federal funds sought in the application. In-kind and third party contributions are not allowed for the Smith-Lever Special Needs program. Grant awards cannot be issued until ALL required matching has been documented and verified.

2. Matching Alternative. Extension Directors may certify an offset of guaranteed non-Federal funds to your application. The signed certification of offset must be scanned and included as a PDF attachment (see Part IV.,B.,2.,c.,(1) for specific instructions).

3. Matching Exception. Insular Areas: In lieu of the matching funds requirement, the insular areas of the Commonwealth of Puerto Rico, Guam, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the grants awarded. The Secretary may waive this matching fund requirement for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year. Insular applicants may submit a waiver request as a PDF attachment to the application (see Part IV.,B.,2.,c.,(2) for specific instructions).

For all projects:

Matching: Applications shall include written verification of commitments of matching support from non-federal sources. Written verification means: The sources and the amount of all matching support from outside the applicant organization should be summarized on a separate page and placed in the application as a part of the Budget

Justification attachment (see Field K on the Form SF 424 (R&R) Budget). Include the matching amount, the budget category for the match, and detail how the matching support, from each source, will be used (e.g., salary and position supported). Additionally, all pledge agreements must be included as a PDF attachment in Field K as well.

The value of applicant contributions to the project shall be established in accordance with the applicable cost principles. Applicants should refer to OMB Circulars A-21, Cost Principles for Educational Institutions; A-87, Cost Principles for State, Local, and Tribal Governments; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A110); for further guidance and other requirements relating to allowable costs.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Federal funding is distributed according to an administrative formula described in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

NIFA CSRS retirement allocations must be used to support CSRS retirement costs for former Schedule A Appointments.

Cost Sharing or Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico,

Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are distributed according to an administrative formula described in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

Cost Sharing or Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

There is no matching requirement for these funds.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

The 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, are eligible for funds appropriated under this Act according to the following formula: Any funds annually appropriated under NARETPA section 1444 up to the amount appropriated for the fiscal year ending September 30, 1978, pursuant to section 3(d) of the Act of May 8, 1914, as amended, for eligible institutions, will be allocated among the eligible institutions in the same proportion as funds appropriated under section 3(d) of the Act of May 8, 1914, as amended, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. Of the funds in excess of that amount, 20 per cent will be allotted among the eligible institutions in equal proportions; 40 per cent will be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and the balance will be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated. For purposes of computing the distribution, the allotments to Tuskegee University and Alabama A&M University will be determined as if each institution were in a separate State.

Cost Sharing or Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish the following:

Notwithstanding section 3(d) of the Smith-Lever Act of May 8, 1914 (7 U.S.C. 343(d)) for administration, technical, and other services for coordinating the extension work of the Department and the several States, Territories, and possessions the remainder shall be allocated among the States as follows:

1. 1862 Institutions shall receive a base in an amount equaling their FY 1981 allocation.

2. Four percent (4%) shall be available for administrative expenses.

3. \$100,000 will be distributed to each 1862 and 1890 Land-Grant Institution including the University of the District of Columbia.

4. For fiscal year (FY) 2009 10 percent of funds appropriated for EFNEP in excess of funds appropriated in FY 2007 will be allocated to the 1890 Institutions in an amount that bearing the same ratio to the population living at or below 125 percent of the poverty level (as prescribed by the Office of Management and Budget and as adjusted pursuant to section 673(2) of the Community Services Block Grant Act (42 U.S.C.9902(2))) in the State where the 1890 Institution is located; bears to the total population living at or below 125 percent of the poverty level in all States where 1890 Institutions are located; as determined by the most recent decennial census at the time when the appropriated amount first exceeds levels appropriated for EFNEP in FY 2007. This FY 2009 rate of 10 percent is to increase by 1 percentage point annually until FY 2014 maxing out at 15 percent and remaining at that level for every year thereafter.

5. The remainder will be allocated to each 1862 Land-Grant Institutions in an amount that bears the same ratio to the total amount allocated as the population living at or below 125 percent of the poverty level in the State; bears to the total population living at or below 125 percent of poverty level in all States; as determined by the most recent decennial census at the time at which each such additional amount is first appropriated.

Cost Sharing or Matching

There is no cost-sharing or matching requirement for these funds.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state. Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

(b) Rural Health and Safety

The Rural Health and Safety Education Competitive Grants Program provides funds to meet national goals for addressing the health and access needs of rural Americans.

NIFA does not require matching or cost sharing support for this program and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

(c) Extension Services at the 1994 Institutions

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for

Extension work and funds are to be distributed on the basis of a competitive application process.

NIFA does not require matching support for this program, and matching resources will not be factored into the review process as evaluation criteria.

Under the TCEP, the use of grant funds to plan, acquire, or construct a building or facility, or to acquire land, is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, grant funds may be used to purchase equipment, or for improvements, alterations, renovations, or repairs to land, buildings, or equipment, deemed necessary to retrofit existing spaces and resources in order to carry out a funded project under this grant. However, requests to use grant funds for such purposes must demonstrate that such expenditures are incidental to the major purpose for which the grant request is made and no more than twenty-five percent of the project budget may be used to purchase equipment. Any equipment purchased with Federal funds is the property of the grantee or the subgrantee, as appropriate. Indirect costs are unallowable costs, and no funds will be approved for this purpose. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

There are no matching requirements associated with the Rural Youth Development program, and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of facility space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Pursuant to Sec. 604 of the Agricultural research extension and Education Reform Act of 1998 [7 USC 7642(d)], applicants requesting recovery of indirect costs should limit their requests to the lesser of their institutions official negotiated indirect costs rate or the equivalent of 19 percent of total Federal funds awarded.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

NIFA assessed four percent (4%) of the appropriated amount for Federal Administration, distributed sixty percent (60%) of the balance equally, and distributed the remaining forty percent (40%) based on the formula found in Section 1444 of NAREPTA of 1977, as amended (Pub. L. No. 95-113). Within each institution, the research, teaching and extension programs must each receive at least 20 percent of the annual allocation. The remaining 40 percent may be allocated based on institutional needs for research, teaching, or extension. No more than 60 percent of the total allocation should be directed to research, teaching, or extension. However, if there are unique situations in your institution which warrant a deviation from these guidelines, we will consider requests for reallocation. Such reallocations must be justified by the submission of a situation statement which describes the research, teaching, and extension facilities needs in your institution and how previously available Federal funds were utilized.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. The obligation and expenditure of funds awarded under these grants are limited to equipment, land, buildings and other related costs which are or will be used in the administration and conduct of approved research, teaching and extension activities. In accordance with NAREPTA Section 1447 (e), funds provided for this program may not be used for the payment of any overhead costs of the eligible institutions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

(See RFA or FGO: Part II.A. Available Funding; also can be posted in other sections of the RFA/FGO)

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

Funds appropriated under sections 3(b) and 3(c) of the Smith-Lever Act are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Special Needs funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Special Needs projects have typically ranged from \$30,000 to \$120,000 in award size, however, the amount requested may vary depending on the urgency of the need(s) needs being addressed by the proposed project. Special Needs Program encourages applications that specifically address one or more of the following six key target areas:

1. Education and Technical assistance applications may be for project periods of up to 5 years;

2. Collaboration applications may be for project periods of up to 5 years;

3. Long range family, community and regional planning applications may be for project periods of up to 5 years;

4. Communication delivery applications may be for project periods of up to 5 years;

5. Dissemination of credible, science-based information applications may be for project periods of up to 5 years; and

6. Integrated Research and Extension Planning Projects applications may be for project periods of up to 1 year with proposed budgets not to exceed \$15,000 per proposal.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

CSRS Retirement Contributions Program funds are expected to be fully expended in the fiscal year of appropriation; however, funds allocated may be carried over for up to four years from the year end for which they were appropriated.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

FERS Retirement Contributions Program funds are expected to be fully expended in the fiscal year of appropriation; however, funds allocated may be carried over for up to four years from the year end for which they were appropriated.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

DCPPERA funds are expected to be fully expended in the fiscal year of appropriation; however funds may be carried over for up to four (4) years after the end of the year for which they were appropriated.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

Section 1444 Program funds are expected to be fully expended in the fiscal year of appropriation; however, no more than 20 per cent of the funds received by an institution in any fiscal year may be carried forward to the succeeding fiscal year. No prior approval from NIFA is required. Since these limitations are legislatively mandated, NIFA is not authorized to approve any carryover requests beyond the 20 percent and one-year limitations.&#8195;

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

EFNEP funds are expected to be fully expended in the fiscal year of appropriation; however funds may be carried over for up to four (4) years after the end of the year for which they were appropriated.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

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4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

The project period ranges from 18-24 months, and may be extended by NIFA without additional financial support for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project. In no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

(b) Rural Health and Safety

The project period shall not exceed 1 year. Project period may be extended by NIFA without additional financial support for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project. In no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

(c) Extension Services at the 1994 Institutions

Continuation grants to Increase Extension Program Capacity may be funded for up to four years for competitively-selected proposals, one from each eligible institutions. Applicants may request up to \$85,000 for each year of funding requested. Funding is awarded on an annual basis (within that specified time period) and subject to the availability of annual appropriations and satisfactory progress of the project.

All 1994 Institutions are invited to submit applications under the Extension Special Emphasis Project type. There is no limit to the number of applications a 1994 Institution, or a consortium of 1994 Institutions, may submit under the Extension Special Emphasis Project type. Each application submitted by a single institution or multiple institutions may request up to \$100,000. The project period may not exceed three years. These will not be awarded as continuation grants.

(d) Grants to Youth Serving Institutions

A proposal may request a grant for a duration of 18 months. The project period may be extended by NIFA without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

(e) Food Animal Residue Avoidance Database Program (FARAD)

The term of the contract, grant or cooperative agreement shall be three (3) years, with options to extend the term triennially.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

This RFA is for renewal applications only. Eligible applicants must submit a renewal application. This is a project application that requests additional funding to continue the project that was approved in an original or amended award. Applicants should request funding for an additional year at the amount for their eligible organization.

Section 1447 of NARETPA of 1977 [7 U.S.C. 3222b] designates distribution of these funds. The program was reauthorized through FY 2012 by Section 7123 of FCEA (Pub. L. 110-246). Future funding will be strictly subject to new appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results were due by April 1, and should have been submitted online at the web address: <http://pow.nifa.usda.gov>.

Financial reporting via the SF-269, Financial Status Report, or SF-425, Federal Financial Report is due to the Formula Grants Section, Financial Operations Branch of the Office of Extramural Programs on April 1st of each year until the formula grant is closed. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) on the 15th day of November, February, May, and August for the preceding calendar quarter (see the DHHS-PMS website for specific dates). DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results were due April 1, and should have been submitted online at the web address: <http://pow.nifa.usda.gov>.

Financial reporting via the SF-269, Financial Status Report or SF-425 Federal Financial Report is due to the Formula Grants Section, Financial Operations Branch, of the Office of Extramural Programs on April 1st of each year until the formula grant is closed. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) on the 15th day of November, February, May, and August for the preceding calendar quarter (see the DHHS website for specific dates). DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

(NOTE: Expected Outcomes and Reporting Requirements are NOT reflected in the RFA. Hence, standard reporting will be utilized.)

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Financial reporting via the SF-269, Financial Status Report or SF-425, Federal Financial Report is due to the Formula Grants Section, Financial Operations Branch within the Office of Extramural Programs on April 1. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) on the 15th day of November, February, May, and August for the preceding calendar quarter. See the DHHS-PMS website for specific dates. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Financial reporting via the SF-269, Financial Status Report or SF-425 Federal Financial Report is due to the Formula Grants Section, Financial Operations Branch within the Office of Extramural Programs on April 1. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) on the 15th day of November, February, May, and August for the preceding calendar quarter. See the DHHS-PMS website for specific dates. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

The Plan of Work Update and Annual Report of Accomplishments and Results must be submitted by April 1, online at the web address: <http://pow.nifa.usda.gov>.

Form NIFA-REPT (Revised) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, should have been submitted to the OEP Formula Grants Section by April 1, for each fiscal year (FY).



Financial reporting via the SF-269, Financial Status Report or SF-425, Federal Financial Report is due to the Formula Grants Section, Financial Operation Branch of the Office of Extramural Programs on April 1st of each year until the formula grant is closed. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) on the 15th day of November, February, May, and August for the preceding calendar quarter. See the website for specific dates. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1, 2009 online at the web address: <http://pow.nifa.usda.gov>.

Financial reporting via the SF-269, Financial Status Report or SF-425 Federal Financial Report is due to Formula Grants Section of the Office of Extramural Programs on April 1st of each year until the formula grant is closed. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) usually on the 15th day of November, February, May, and August for the preceding calendar quarter. See the website for specific dates. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

States must provide a state program report, using the State Reporting System version 5 (SRS5) which was due November 1.

Financial reporting via the SF-269, Financial Status Report or SF-425, Federal Financial Report is due to the OEP Formula Grants Section, Financial Operations Branch of the Office of Extramural programs by April 1. The SF-272, Federal Cash Transactions Report, for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) usually on the 15th day of November, February, May, and August for the preceding calendar quarter. See website for specific dates. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

Grantees are required to submit initial project information and annual and summary reports to NIFA's Current Research Information System (CRIS). The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submitting project documentation will be provided to the applicant by the agency contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

Annually, each grantee must submit a CRIS AD-421 Progress Report (OMB No. 0524-0042) and a one-page popular accomplishment report, prepared in Word or PDF format. The format and guidelines regarding the content of the popular report will be provided by the RREA Program Managers to the Project Directors of funded projects.

Additionally, when the project is complete, the grantee is required to submit a Final Technical Report to the NIFA National Program Leaders, Renewable Resources Extension Act. The Final Technical Report should summarize all work conducted and detail the outcomes, accomplishments and outputs of the funded project. This report should not exceed 15 single-spaced, typed pages.

At a minimum, Project Directors are expected to attend and present their projects and accomplishments as submitted papers to the appropriate Biennial Conference of the Association of Natural Resources Extension Professionals (ANREP). Additional conference presentations may also be utilized, but not substituted for the ANREP Conference without submitting a specific request to do so to the Program Contact.

Additional annual reports may be requested to provide timely information for the Secretary of Agriculture and Congress. The agency contact below will request additional reports as needed.

(b) Rural Health and Safety

Grantees are required to submit initial project information and annual and summary reports to NIFAs Current Research Information System (CRIS). In addition, grantees are required to submit quarterly progress reports to the Agency contact. The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submitting project documentation will be provided to the applicant by the agency contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

(c) Extension Services at the 1994 Institutions

Grantees are required to submit initial project information and annual and summary reports to

NIFAs Current Research Information System (CRIS). The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submission of project documentation will be provided to the applicant by the Agency Contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>.

Project Directors are required to attend a NIFA Project Directors' meeting and/or the NIFA Administrative Officers Meeting at least once during the duration of the project. Reasonable travel expenses for such annual NIFA

Project Director Meeting and/or NIFA Administrative Officers Meeting should be included as part of the project budget.

#### Annual Performance Report

In the case of Increase Extension Program Capacity continuation grants, annual performance reports are due 90 days prior to the anniversary date of the award and should be submitted to the NIFA Current Research Information System (CRIS). In the case of Extension Special Emphasis projects, annual performance reports are due 90 days after the anniversary date of the award and should be submitted to CRIS. Annual performance reports must include the following information: (a) a comparison of actual accomplishments with the goals established for the reporting period (where the output of the project can be expressed readily in numbers, a computation of the cost per unit of output should be submitted, if the information is considered useful); (b) if established goals were not met, the reasons; and (c) additional pertinent information including, when appropriate, analysis and explanation of cost overruns or unexpectedly high unit costs.

#### Final Technical Report

A final technical report must be submitted to CRIS within 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including: (a) a review of project objectives and accomplishments; (b) a description of outcomes resulting from the project and activities undertaken to disseminate these outcomes; (c) an explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project; (d) a description of the projects impact on the PD(s), the institution(s) involved, and the community; and (e) any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

#### (d) Grants to Youth Serving Institutions

Previously funded Rural Youth Development applicants must prepare an annual report to NIFA that details all significant activities towards achieving the outputs and outcomes of the project as supported by evaluation methodologies. Provide tables, graphs and figures to facilitate comparing targeted results with actual results. Include success stories and pictures. Reports should include sections that will report:

Outcomes for youth, adults and community stakeholders as indicated in the Rural Youth Development program Logic Model (See RFA) and other organization specific outcomes.

Location of funded projects (could be shown on a map of the United States).

Summarized outputs of participants and programs as contained in the Output Measures Report that was developed and used by funded organizations

Examples (program descriptions) of community capital built in one or more areas of human, social, civic, natural, built (infrastructures), financial, and cultural. Information can be used from the Community Action report that was developed and used by the funded organizations.

Anecdotal quotes from participants and supporting information.

Summary reports shall be by year and cumulative.

At the end of the grantee's final year, the grantee must prepare a final report to NIFA that summarizes all significant activities towards achieving the outcomes of the project, while providing final population demographics and trends in the evaluation results. Final reports should include the same bulleted information shown immediately above. Provide tables, graphs, pictures, and other figures to facilitate comparing targeted results with actual results, aggregated for the entire project. List all educational materials produced by the project. Include success stories. Reports must be received within 90 days of the termination of the award.

Projects shall submit program results to the NIFA Current Research Information System (CRIS) data base.

#### (e) Food Animal Residue Avoidance Database Program (FARAD)

Grantees are required to submit an analysis of program strengths and opportunities in meeting national food safety priorities, and steps to be taken, if any, to strengthen program planning and execution.

Grantees are also required to submit initial project information and annual and summary reports to NIFAs Current Research Information System (CRIS). The Cris database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparation and submission of project documentation will be provided to the applicant by the agency contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required.

(f) Federal Administration (DIRECT APPROPRIATION)  
Pertinent details will be provided at a future date.

#### (g) 1890 Facilities (Section 1447)

NIFA expects the awarded funds to be used for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, including Tuskegee University and West Virginia State University, may participate fully in human capital development in the food and agricultural sciences.

#### 1) Performance Reports:

Awardees of Federal funds are responsible for monitoring day-to-day project performance to ensure that project goals and performance schedules are met, contain costs, and accurately report progress to NIFA. An annual performance report is due in NIFA 90 days after completion of the first 12 months of the initial grant award and annually thereafter during the project period. Please report all work performed during the previous 12-month period, including any funded or unfunded time extensions. The performance report is to be submitted through the CRIS system as described below and should not exceed five (5) pages in length and shall include the following information:

A comparison of actual accomplishments against the goals and/or objectives established for the facilities program during the reporting period, including relevant percentage-of-completion data and a computation of square footage costs for all projects undertaken;

The reason for slippage if approved goals were not met;

Include additional pertinent information including for example, analysis and explanation of cost overruns or unexpectedly high unit costs. Report and explain any favorable or adverse conditions, changes, or situations which are expected to impact the scope, size, cost, or completion schedule for the project, along with a discussion of proposed or actual actions taken by your institution to resolve any problems encountered;

In subsequent years, if the proposal represents any changes to your approved Five-Year Plan, please provide a description of, and justification for, the change so that our records can be updated;

A summary of activities to be undertaken during the next 12-month period;

A listing of architectural, engineering, and construction contracts entered into during this reporting period only for each program component in the format provided in the RFA and/or FGO.

#### 2) Additional Performance Report Emphasis:

Additionally, performance reports should include the following:

##### A. New Facilities Constructed:

1. Facility Name, Cost, Square Footage, and Funds Leveraged if any
2. Facility Uses for Teaching, Research and Extension
3. Narrative of Programs Supported and Emphasis Areas
4. Photographs

##### B. Facilities Renovated

1. Facility Name, cost
2. Facility Uses for Teaching, Research, and Extension
3. Narrative of Programs Supported and Emphasis Areas
4. Photographs

##### C. Major Land Purchases

1. Size and Cost

2. Facility Uses for Teaching, Research, and Extension
3. Photographs of Any Farm Activities
- D. Major Laboratory, and Farm Equipment and Miscellaneous
- E. Impact

1. Describe how the facilities program for FY 2008 impacted the programs in food and agricultural sciences (Teaching, Research, and Extension).

3). Current Research Information System (CRIS) Reports:

Grantees are required to submit initial project information and semi-annual performance reports via the NIFA Current Research Information System (CRIS). The CRIS database contains narrative project information, progress/impact statements, and final technical reports that are made available to the public. For applications recommended for funding, instructions on preparing and submission of project documentation will be provided to the applicant by the agency contact. Documentation must be submitted to CRIS before NIFA funds will be released. Project reports will be requested by the CRIS office when required. For more information about CRIS, visit <http://cris.nifa.usda.gov>. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees also are required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
Cooperative State Research, Education,  
and Extension Service  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986

**FOR FORMULA GRANTS:**

Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grants Section (F/S)  
Financial Operations Branch (FOB)  
Office of Extramural Programs (OEP)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298

Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees also are required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Project Grants) FY 08 \$433,701,675; FY 09 est \$453,461,047; FY 10 est \$465,245,580 - CFDA Funds include FORMULA APPORTIONMENTS AND PROJECT GRANTS. However, CFDA system only allowed one (1) option to be selected.

The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Specific detail will be provided by Program at a future date.  
Fiscal Year 2009: Specific detail will be provided by Program at a future date.  
Fiscal Year 2010: Specific detail will be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Various Programs (Numerous Individuals) 1400 Independence Avenue, SW, STOP 2210, Washington, District of Columbia 20250-2210 Phone: (202) 401-4555 and 205-5952 and

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.025 Plant and Animal Disease, Pest Control, and Animal Care; 10.053 Dairy Indemnity Program; 10.153 Market News; 10.155 Marketing Agreements and Orders; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act;

10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.477 Meat, Poultry, and Egg Products Inspection; 10.652 Forestry Research; 10.902 Soil and Water Conservation; 15.611 Wildlife Restoration; 23.009 Appalachian Local Development District Assistance; 93.103 Food and Drug Administration\_Research

#### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: 1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for specific allocations.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for specific allocations.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) FY 08:

Special Needs for Iowa Extension Flood and Tornado Response and Recovery

Hawaii's Volcanic Eruption - Impacts on Hawaii Agriculture

FY 09

Increasing Citizen Involvement in Hazard Mitigation Planning and Implementation

University of Minnesota Extension Response to Red River Flooding in Spring 2009

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Federal funding is distributed according to an administrative formula described above in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are distributed according to an administrative formula described in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Details will be provided by Program Unit at a future date.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

See Appendix A of the Formula Grant Opportunity (FGO) for actual listing of distributions.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (FORMULA)

See Appendix A of the Formula Grant Opportunity (FGO) for actual listing of distributions.

(b) Youth at Risk

FY 08:

Partners in Parenting: Couples, Communities and University

Passport To The Future: Developing Positive Lives for Children From the Time They Are Born Until They Enter kindergarten.

FY 09:

Partners in Parenting: Couples, Communities and University

Children, Youth, and Families Education and Research Network - Program Component

(c) Improve Rural Quality of Life

Specific details will be provided at a future date.

(d) Farm Safety

FY 08:

Michigan AgrAbility Project is a statewide support network that brings new and existing services to those in agriculture with disabilities.

California AgrAbility Project: Reducing the Impacts of Disability Through Accessibility for Farmers & Farmworkers

FY 09:

AgrAbility for Pennsylvanians

Wyoming AgrAbility: Promoting Success in Agriculture for People with Disabilities and their Families

(e) New Technologies at Ag Extension (only one award)

FY 08:

eXtension: The Transformation of Cooperative Extension

FY 09:

eXtension: The Transformation of Cooperative Extension

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(f) Pest Management (RIPM Extension)

FY 08:

Facilitating Real World Crop Production Research through Experimental Design and Data Collection and Analysis Training

1994 and 1862 Land Grant Institutions Working Together to Address IPM Issues on Tribal Lands

FY 09:

Teamwork and Technology Deliver IPM Strategies and Resources to Homeowners by Empowering Master Gardener Volunteers

Implementing the IPM3 Training Program to Provide Distance Education in Integrated Pest Management

(g) Sustainable Agriculture (SARE-PD)

FY 08:

Sustainable Agriculture Research and Education Professional Development Program (SARE-PDP)

USDA National Sustainable Agriculture Research & Education Program Support for the 2008 NACAA Professional Improvement Conference

FY 09:

Northeast Region Sustainable Agriculture Research and Education Professional Development Program

Western Region Sustainable Agriculture Research and Education (SARE) Professional Development Program

(h) Federally Recognized Tribes

FY 08:

Federally Recognized Tribes Extension Program (FRTEP) on Ft. Berhold Indian Reservation

Gizhaazh ani-mino-bimaadizimid Gidinawemaaganag: Protect a bright future for your relatives

FY 09:

Improving Quality of Life for the Seminole Tribe of Florida by Increasing Knowledge of Agricultural Practices and Alternative Energy for Adu

Arizona Indian Country Extension Programs: The Navajo Nation - Tuba City

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(i) Youth Farm Safety Education & Certification

FY 08:

Youth Safe Farm

A Pilot Program to Bring Farm Safety Training to Hispanic Youth

FY 09:

The Development, Evaluation and Implementation of an Online Safety Course for Youth Working on Equine Facilities

Developing Cultural- and Age-Appropriate Farm Safety Resources for Anabaptist Children and their Families

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

FY 08:

Creation of a Forest-Based Bioenergy Community of Practice

FREMO: A Peer-to-Peer Networking Approach

FY 09:

Managing Wild Pigs in the United States: A Multi-tiered Educational Approach

Creation of an eXtension Community of Practice for Forests Climate Change

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

FY 08:

Creation of a Forest-Based Bioenergy Community of Practice

FREMO: A Peer-to-Peer Networking Approach

FY 09:

Managing Wild Pigs in the United States: A Multi-tiered Educational Approach

Creation of an eXtension Community of Practice for Forests Climate Change

(b) Rural Health and Safety

FY 08:

Otter Tail County Health Aging Collaborative

Mastery of Aging Well Online Series of E-Courses

FY 09:

Helping Rural Older Adults Develop Plans to Reach Help Quickly in Emergencies

55 Plus: Guam's approach to improving our manamko's health through nutrition, fitness and leadership

(c) Extension Services at the 1994 Institutions

FY 08:

Expansion of Financial Literacy Training Activities

Fort Belknap College Extension Program: Promoting Community Well-Being through Health, Agriculture and Education

FY 09:

NIFA Special Emphasis War on Noxious Weeds Extension Project Native

Foods Nutrition Project: Promoting Wellness among Native Americans through

Culturally-based Healthy Food Behaviors

United Tribes Obesity and Diabetes Education Program

(d) Grants to Youth Serving Institutions

FY 08:

Living to Serve- Developing a Habit of the Heart: FFA, Leadership & Civic Engagement

Engaging Youth, Serving Community

FY 09:

Girl Scouts in Rural Communities

(e) Food Animal Residue Avoidance Database Program (FARAD)  
(No FDC Detail for FY 08)

FY 09:

FOOD ANIMAL RESIDUE AVOIDANCE DATABANK, FARAD

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

FY 08:

Developing and Supporting New and Existing Research and Extension Programs and Facilities at West Virginia State University

Purchase Farm Land to Support Research, Teaching and Extension Programs

FY 09:

Enhancement of Teaching, Research and Extension Facilities at North Carolina A&T State University (2009)

Kansas City Outreach Center Continued/Various Capital Improvements. Fiscal Year 2009: Examples of Projects funded in Fiscal Year (FY) are comparable to projects funded in FY 2008. See specific details provided above. Fiscal Year 2010: It is anticipated that similar projects will be funded in FY 2010.

#### CRITERIA FOR SELECTING PROPOSALS:

Within guidelines established for the program as described in the Request for Application (RFA) or Formula Grant Opportunity (FGO).

#### 10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM SNAP

##### FEDERAL AGENCY:

Food and Nutrition Service, Department of Agriculture

##### AUTHORIZATION:

Food Stamp Act of 1977, as amended, Public Law 95- 113, 91 Stat. 958, 7 U.S.C. 2011 et seq.; Public Law 95-348, Public Law 96-58, Public Law 96-249, Public Law 97-35; Public Law 97-98; Public Law 97-253, Public Law 98-204, Public Law 98-369; Public Law 99-198, Public Law 99-425; Public Law 99-498, Public Law 99-603, Public Law 100-77, Public Law 100-175, Public Law 100-232, Public Law 100-387, Public Law 100-435, Public Law 100-503, Public Law 100-707, Public Law 101-202; Public Law 101-392; Public Law 101-508; Public Law 101-624; Public Law 102-237; Public Law 102-265; Public Law 102-325; Public Law 103-31; Public Law 103-66; Public Law 103-225; Public Law 103-286; Public Law 103-296; Public Law 104-66; Public Law 104-127; Public Law 104-193; Public Law 104-208; Public Law 105-18; Public Law 105-33; Public Law 105-185; Public Law 105-379; Public Law 106-171; Public Law 106-387; Public Law 107-171; Public Law 110-161.

##### OBJECTIVES:

To improve the health of low-income households by increasing their food purchasing ability.

##### TYPES OF ASSISTANCE:

DIRECT PAYMENTS FOR A SPECIFIED USE

##### USES AND USE RESTRICTIONS:

Households receive Supplemental Nutrition Assistance Program (SNAP) benefits (Formally known as Food Stamp Program benefits) which vary according to household size and income. The maximum allotment is based on the USDA Thrifty Food Plan adjusted for household size; household allotments are based on Thrifty Food Plan amounts reduced by 30 percent of the available income after deducting certain expenses. SNAP benefits are issued via electronic debit cards (Electronic Benefit Transfer) and for use in participating retail stores to buy food for home consumption. The program is available to a limited number of institutionalized persons: drug addicts and alcoholics who are participating in approved rehabilitation centers, disabled or blind persons receiving benefits under Titles I, II, X, XIV, or XVI of the Social Security Act living in certain group living arrangements, residents of shelters for battered women and children, and homeless persons living in authorized shelters. Recipients may purchase only food with their benefits; and only from authorized retailers.

**Applicant Eligibility:**

The State or U.S. Territory agency responsible for Federally aided public assistance programs submits requests for funding to USDA's Food and Nutrition Service.

**Beneficiary Eligibility:**

Households eligibility and benefit amounts are determined by local social service agencies. Eligibility is based on family size, income, and resources. A gross income test is based on 130 percent of the poverty line, and the net income (after expenses) test is based on 100 percent of the poverty line. Households with elderly and disabled members need only meet the net income test. The resource limit is \$2,000 (\$3,000 for a household with an elderly or disabled member). Able-bodied adults with certain limited exceptions must meet a work requirement. Eligibility is limited to citizens and, most but not all, immigrants granted permanent legal status.

**Credentials/Documentation:**

Households are certified by local social service offices based on National eligibility standards. Regulations require key eligibility factors to be verified. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Food Stamp Act of 1977, as amended (Public Law 95-113), requires each State agency to submit to the Food and Nutrition Service for approval, a plan of operation specifying the manner in which the Supplemental Nutrition Assistance Program will be conducted in every political subdivision within the State.

**Award Procedure:**

The Secretary of Agriculture approves State plans of operation submitted by the State agency that operates public assistance programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Full implementation of the Nationwide mandate was completed in fiscal year 1975, except for certain Indian reservations which continued in the Food Distribution Program.

**Appeals:**

Other - Not Specified.

**Renewals:**

Program continues once approved, unless there is a substantial failure to comply with regulations or withdrawal on the part of the State.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Administrative funds are matched by State agencies at a 50/50 rate. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of assistance period varies and time phasing is not applicable. See the following for information on how assistance is awarded/released: Monthly allotments are made available to eligible individuals and families through on line debit cards.

**Reports:**

Annual budget summary statements; monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report are all required. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; and cumulative totals for the fiscal year. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year.

**Audits:**

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

**Records:**

Records of households certified, benefits issued, and records relating to any financial transaction are required and must be maintained for 3 years.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$37,456,100,041; FY 09 est \$56,490,967,000; FY 10 est \$64,620,320,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), the SNAP funding level for Federal Fiscal Year 09 has been increased by \$4,804,524,000. (The FY 09 ARRA total shown here includes \$964,000 specifically for American Samoa Benefits.) The supplemental funding added to SNAP for Federal Fiscal Year 10 is \$5,647,247,000.

**Range and Average of Financial Assistance:**

Varies by income and family size. Averaged \$101.53 per month, per person in FFY 08.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2008, every area in every State operated a SNAP. Participation per month averaged 28.4 million persons. Fiscal Year 2009: Unavailable at this time. Fiscal Year 2010: \$64,620,320,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 271-282. Available from the national office and the regional offices: "Facts About the Food Stamp Program," PA-1340 (English) and PA-1340-S (Spanish); "Official Food List," FNS-110 (English), FNS-110-S (Spanish), FNS-110-K (Korean), FNS-110-V (Vietnamese), FNS-110 (English/Chinese), FNS-110-Alaska; FNS-136 EBT Do's and Don'ts/Penalties for Violations of the FSP; "USDA Food Assistance" (poster) FNS-200, fns-200-S (Spanish); "USDA Food Assistance" (flyer), FNS-182 (English), FNS-182-S (Spanish); Food Stamp Rights Poster, FNS-183 (English) and FNS-183-S (Spanish); Using Food Stamps Poster, FNS-283 (English) and FNS-283-S (Spanish); Team Nutrition Series of flyers (English/Spanish); "We Accept Food Stamps" (poster), FNS-132; "We Accept Food Stamps" (decal); FNS-1325, "We Accept Food Stamps" (Spanish), (poster and decal); FNS-240 (English) Report Abuse Poster.

Additional publications related to outreach and nutrition education may be available at [www.fns.usda.gov/snap](http://www.fns.usda.gov/snap).

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jessica Shahin Supplemental Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, 3101 Park Center Dr., Alexandria, Virginia 22302 Email: [Jessica.Shahin@fns.usda.gov](mailto:Jessica.Shahin@fns.usda.gov) Phone: 703-305-2022 Fax: 703-305-2454

**Website Address:**

<http://www.fns.usda.gov/snap/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.553 SCHOOL BREAKFAST PROGRAM**

School Breakfast Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1773, 1779, Public Laws 104-193, 100-435, 99-661, 97-35. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations.

**TYPES OF ASSISTANCE:**

Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

Federally appropriated School Breakfast Program funds are available to reimburse participating public and nonprofit private schools, of high school grade and under and residential child care institutions, for breakfasts, meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. The rates of reimbursement are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for all Urban Consumers. For the period July 1, 2009 through June 30, 2010, the rates of reimbursement are 26.0 cents for paid breakfasts, 116.0 cents for each reduced price breakfast, and 146.0 cents for each free breakfast. The maximum reduced price charged for breakfast is 30 cents. Schools serving 40 percent or more free and reduced price lunches in the second preceding school year get up to 144.0 cents and 174.0 cents for each breakfast served to children qualifying, respectively, for a reduced price and a free breakfast. All participating schools must agree to serve free and reduced price meals to eligible children, and to operate the program on a nonprofit basis for all children regardless of race, sex, color, National origin, age, or disability. School aged children receive one of three benefit levels based on an application used to determine need.

Please refer to Program Regulations (CFR)

Part 210 -- National School Lunch Program

Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

State and U.S. Territory agencies; (except territories subject to the requirements to the Compact of Free Association) public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care

institutions, except Job Corps Centers. Schools desiring to participate must agree to operate a nonprofit breakfast program that is available to all children regardless of race, sex, color, National origin, age, or disability.

**Beneficiary Eligibility:**

All children attending schools where the breakfast program is operating may participate. Breakfast is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the federal poverty line, respectively. Meals served to non-needy children also get cash assistance. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary prescribes these income eligibility guidelines by July 1; the statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP), the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, and migrant children are automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Public schools in all States make application to the State Educational Agency unless the State applies or is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency in most States. In some States, however, the State Educational Agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

When application is approved, schools make agreements with appropriate agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency or FNSRO, where applicable.

**Appeals:**

None. The State Agency or Food and Nutrition Service regional office, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Federal funds are made available for breakfast assistance in accordance with Section 4 of the Child Nutrition Act on a performance basis by: (1) multiplying the number of paid breakfasts served to eligible children during the fiscal year by a National Average Payment (NAP) prescribed by the Secretary; (2) multiplying the number of breakfasts served free to eligible children by a NAP prescribed by the Secretary for free breakfasts; and, (3)

multiplying the number of reduced price breakfasts served to eligible children by a NAP prescribed by the Secretary for reduced-priced breakfasts. The amount of Federal funds given the grantee is the sum of the products obtained from these three computations, plus an additional 6 cents for every breakfast served. Schools with a high percentage of needy may receive additional payments. The statistical factors used in this formula are: (1) The NAP's; (2) the number of paid breakfasts served; and (3) the number of breakfasts served free or at reduced price to eligible children. The NAP's are prescribed by the Secretary and adjusted each July 1, in accordance with the Food Away From Home component of the Consumer Price Index for All Urban Consumers. The source of this adjustment factor is the Bureau of Labor Statistics. The source of the numbers of breakfasts served, including the number served free or at reduced price, is the monthly programmatic reports submitted to Food and Nutrition Service. This program has no maintenance of effort (MOE) requirements.

Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State Agencies, schools and institutions file monthly reports on the number of meals served, by type, to claim for reimbursement. Schools and institutions must submit final meal claims to the State no later than 60 days after claiming month. States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. States must submit a final fiscal year grant closeout report to the Food and Nutrition Service no later than 120 days after the end of the fiscal year to which they pertain. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Schools must maintain full and accurate records of the breakfast program. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, records shall be retained beyond the 3 year period until audit findings have been resolved.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$2,393,028,000; FY 09 est \$2,633,048,000; FY 10 est \$2,866,683,000

**Range and Average of Financial Assistance:**

Federal cash assistance for school year 2009 ranged from 26.0 to 279.0 cents per meal depending on income levels of the individual participant and upon the number of free and reduced price meals served by the school. Individual State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The number of schools and children participating in the breakfast program has been increasing. In fiscal year 2008, over 1.81 billion breakfasts were served, 80.4 percent to needy children. School breakfasts must provide, over a school week, 1/4 of the Recommended Dietary Allowances for key nutrients and 1/4 of the calories needed by growing children. They also must conform to the recommendations of the Dietary Guidelines for Americans, including limitations on calories from fat (no more than 30 percent of total calories) and saturated fat (less than 10 percent of total calories). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 220-School Breakfast Program regulations, 7 CFR Part 245-Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

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

**RELATED PROGRAMS:**

10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.555 NATIONAL SCHOOL LUNCH PROGRAM**

(School Lunch Program)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1751 1760, 1779.

**OBJECTIVES:**

To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federally appropriated National School Lunch Program funds are available to each State agency to reimburse participating public and nonprofit private schools, of high school grades or under, including residential child care institutions, for lunches meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Schools meeting eligibility criteria may be reimbursed for snacks served to children enrolled in eligible after school hour care programs. Participating schools are reimbursed at rates that are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers. For the period July 1, 2009, through June 30, 2010, the rates of reimbursement are 25.00 cents general cash assistance for paid lunches, 228.00 cents reduced price lunches and 268.00 cents for each free lunch. The maximum reduced price charge for lunch is 40 cents. Schools that served 60 percent or more free or reduced price lunches in the second preceding school year received an additional 2 cents general cash assistance for all lunches served. The reimbursement for snacks in after school care programs is 74.00 cents for each free snack, 37.00 cents for each reduced price snack and 6.00 cents for each paid snack. In addition to cash reimbursement, the national average value of donated commodities for each lunch is 19.50 cents, for the period July 1, 2009, through June 30, 2010, and is adjusted annually to reflect changes in the Price Index for Food Used in Schools and Institutions. All participating schools must agree to serve free and reduced price meals to eligible children. Refer to Program Regulations (CFR)

Part 210 -- National School Lunch Program

Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**



State and U.S. Territory agencies (except territories subject to the Compact of Free Association), public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers, residential summer camps that participate in the Summer Food Service Program for children and private foster homes. Schools and residential child care institutions desiring to participate must agree to operate a nonprofit food service that is available to all children regardless of race, sex, color, National origin, age, or disability.

**Beneficiary Eligibility:**

All children enrolled in schools where the lunch program is operating may participate. Lunch is served free to children who are determined by local educational agencies to have household income levels at or below 130, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the poverty line respectively. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary announces these income eligibility guidelines by July 1. The statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP) benefits, the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, and migrant children are also automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application forms as furnished by FNS or the State agency, as applicable, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the State applies and is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State educational agency in most States. In some States, however, the State educational agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application should be submitted to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

The State agency, or Food and Nutrition Service Regional Office (FNSRO) where applicable, reviews the written application of a school or a residential child care institution and, upon determination of eligibility, makes a written agreement with the school or institution for participation in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time Agreements become effective upon approval by the State agency or FNSRO, where applicable.

**Appeals:**

The State agency or FNSRO, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

**Statutory Formula:** The funding formula for the general cash for food assistance phase of the program is set forth in Section 4 of the National School Lunch Act, as amended; the formula for special cash assistance is described in Section 11 of the Act. The program is funded on a performance basis. For every lunch served during the applicable fiscal year, the State receives a payment from funds made available under Section 4. In addition, the State receives a payment from Section 11 funds for each lunch served to a child eligible for free or reduced price lunches. The amounts of such per-lunch payments are determined by "National Average Payment" (NAP) factors. The amount due the State under this program is obtained by: (1) multiplying the total number of eligible paid lunches and free and reduced price lunches served during the fiscal year by the Section 4 NAP factor for lunches; (2) multiplying the number of free lunches served by the Section 11 NAP factor for free lunches; (3) multiplying the number of lunches served at reduced price by the Section 11 NAP factor for reduced price lunches; (4) multiplying the total number of lunches served during the fiscal year in school food authorities which served 60 percent or more free or reduced price lunches in the second preceding school year by \$.02; and (5) adding together the four products obtained thereby. The NAP factors are prescribed by the Secretary in accordance with Sections 4 and 11, respectively, of the Act; the numbers of lunches are obtained from programmatic reports submitted to Food and Nutrition Service. In addition, the funding formula for snacks in after school care programs is described in Section 17 A of the Act. Section 11(a)(3) of the Act requires that the NAP factors be adjusted annually, according to changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers; the source is the Bureau of Labor Statistics. Each State must appropriate from State revenues and use, for program purposes, an amount equal to 30 percent of the Section 4 funds made available to the State in the 1980-81 school year. Also, commodity schools are eligible to receive donated commodities equal in value to the sum of section 6 and section 4 assistance rates, except that up to 5 cents of this amount may be received in cash for processing and handling commodities. In addition, commodity schools are eligible for Section 11 free and reduced price meal reimbursements.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies and schools file monthly reports on the number of meals served, by type, to claim program funds. School food authorities must submit final meal claims to the State no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. No cash reports are required. No progress reports are required. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

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

**Records:**

Schools must maintain full and accurate records of their lunch programs. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$8,097,726,000; FY 09 est \$8,472,755,000; FY 10 est \$9,821,347,000 - \$100,000,000 was added to this program for FY 09 pursuant to the ARRA.

**Range and Average of Financial Assistance:**

State grants vary according to participation in the program. For school year 2009-2010, reimbursements for meals range from 6.0 cents for "paid" snacks to 437.00 for free lunches in school districts serving more than 60 percent free and reduced price lunches.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 5.20 billion lunches were served. School lunches must provide, over a school week, 1/3 of the Recommended Dietary Allowances for key nutrients and 1/3 of the calories needed by growing children. They also must conform to the recommendations of the Dietary Guidelines for Americans, including limitations on calories from fat (no more than 30 percent of total calories) and saturated fat (less than 10 percent of total calories) averaged over the school week. To support nutrition education USDA has established Team Nutrition to provide nutrition information to children and their families and technical assistance for local school food service professionals. Fiscal Year 2009: Unavailable at this time. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

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

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.556 SPECIAL MILK PROGRAM FOR CHILDREN****FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1772 and 1779.

**OBJECTIVES:**

To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies to encourage the consumption of fluid milk by children in public and private nonprofit schools of high school grade and under, public and private nonprofit nursery schools, child-care centers, settlement houses, summer camps, and similar nonprofit institutions devoted to the care and training of children, except Job Corps Centers, provided that these schools and institutions do not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. The Child Nutrition Amendments of 1986 expanded eligibility in the program to include children in split session kindergarten and pre-kindergarten programs in nonprofit schools and institutions who do not have access to the

Federal meal service program operating in schools the children attend. Disbursement to States is made on the basis of the number of half pints of milk served to non-needy children, using a reimbursement rate specified by law. Milk served free to eligible needy children is reimbursed at the average cost of a half pint of milk. Please refer to Program Regulations (CFR):  
Part 215 -- Special Milk Program  
Part 235 -- State Administrative Expense  
Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

Any State or U.S. Territory (except territories subject to the requirements of the Compact of Free Association). Any public and nonprofit private school of high school grade or under, and public and private nonprofit residential and nonresidential child care institutions, except Job Corps Centers, may participate in the Special Milk Program upon request if it does not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. This generally includes nonprofit nursery schools, child-care centers, settlement houses and summer camps. Schools with split session kindergarten and pre-kindergarten programs can receive subsidies for milk served to children in the split session kindergartens and pre-kindergartens who do not have access to another meal service program operating in the school. All schools and child care institutions which participate must agree to operate the program on a nonprofit basis for all children without regard to race, sex, color, National origin, age or disability.

**Beneficiary Eligibility:**

All children enrolled in schools and institutions in which the Special Milk Program is in operation who do not have access to other Child Nutrition Programs, may participate in the program.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the state applies and is approved a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. In most cases, nonprofit private schools and institutions also apply to the State educational agency. However, in some States, the State educational agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools and institutions. In such instances, the application will be referred to the appropriate alternate State agency or the appropriate Food and Nutrition Service regional office (FNSRO).

**Award Procedure:**

The State agency or the FNSRO, where applicable, reviews the written application of school or child care institution and, upon determination of eligibility, makes a written agreement with school or sponsor for participation in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements are effective upon approval of the State Agency or the FNSRO, where applicable.

**Appeals:**

None. State Agencies or the Food and Nutrition Service Regional Offices, where applicable, are responsible for determining eligibility of a school or

institution.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: The reimbursement rate for each paid half pint of milk served to children with household income levels above 130 percent of the poverty line in schools and institutions that participate in the Special Milk Program during school year 2009-10 is 16.0 cents, and the reimbursement rate for each 1/2 pint of milk served free (in pricing programs with a free milk option) to children with household income levels at or below 130 percent of poverty is the average cost of 1/2 pint of milk. This rate is adjusted each school year to correspond to the change in the Producer Price Index for Fluid Milk Products published by the Bureau of Labor Statistics. The statistical factor used for beneficiary eligibility for free milk is 130 percent of the poverty line and the source is the Federal income poverty guidelines. There is no matching guideline. The cost of milk in excess of the Federal reimbursement must be borne by sources within the States (7 CFR Part 215). Disbursement to States is based on the number of half pints served to children. This program has no maintenance of effort (MOE) requirement.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies, schools and institutions file monthly reports on program operations to claim for reimbursement. Schools must submit final claims to the State agency no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No cash reports are required. No progress reports are required. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

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

**Records:**

Schools and institutions must maintain full and accurate records of Special Milk Program operations. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain except that, if audit findings have not been resolved, the records shall be retained as long as required for their resolution. This program is subject to periodic audits.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$15,120,000; FY 09 est \$14,941,000; FY 10 est \$13,590,000

**Range and Average of Financial Assistance:**

For fiscal year 2009, average Federal assistance is 16.0 cents for each half-pint of milk served to children with income levels above 130 percent of poverty. State grants vary according to participation in the program. Average Federal assistance for half-pints served free is 16.0 cents.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 215, "Special Milk Program for Children," and 7 CFR Part 245, "Determining Eligibility of Free and Reduced Price Meals and Free Milk in Schools."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.557 SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN**

WIC Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, Section 17, 42 U.S.C. 1786.  
American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide low-income pregnant, breastfeeding and postpartum women, infants, and children to age five determined to be at nutritional risk, at no cost, supplemental nutritious foods, nutrition education, and referrals to health and social services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State health departments or comparable agencies, Indian tribes, bands, or intertribal councils, or groups recognized by the Bureau of Indian Affairs, Department of the Interior, or the Indian Health Service of the U.S. Department of Health and Human Services. These agencies distribute funds to participating local public or nonprofit private health or welfare agencies. Funds are expended to pay for supplemental foods, nutrition education and health care referrals for participants, as well as specified administrative costs, including certification services. State agencies are provided Federal funds according to legislative and regulatory formulas. Only local agencies qualifying under State agency applications with formal agreements may operate WIC programs.

**Applicant Eligibility:**

A local agency is eligible to apply to deliver locally the services of the WIC Program, provided that: (1) it serves a population of low-income women, infants, and children at nutritional risk; and (2) it is a public or private nonprofit health or human service agency. All local agencies must apply through the responsible State, Indian Tribal Organization or U.S. Territory agency.

**Beneficiary Eligibility:**

Pregnant, breastfeeding and postpartum women, infants, and children up to 5 years of age are eligible if: (1) they are individually determined by a competent professional to be in need of the special supplemental foods supplied by the program because of nutritional risk; and (2) meet an income standard, or receive or have certain family members that receive benefits under the Food Stamp, Medicaid or Temporary Assistance for Needy Families Programs. They must also reside in the State in which benefits are received.

**Credentials/Documentation:**

Individuals are certified as meeting an income standard, or as participating in certain other means-tested Federal programs. Certification regarding nutritional need for supplemental foods is determined by local level professionals. As of April 1999, all State agencies were using uniform criteria to determine nutrition risk. Costs are determined in accordance with OMB Circular No. A-87 for State and local governments. The State designated official responsible for ensuring that the program is operated in accordance with program requirements must sign the State Plan and Federal-State Agreement pursuant to program regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Local agencies must apply to the State agency in writing. Individual participants apply for WIC benefits at an approved local agency.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies for distribution to approved local agencies subject to available funds.

**Deadlines:**

Aug 15, 2009 A State plan for the next fiscal year is required by August 15. Only substantive changes to the currently approved State plan must be submitted.

**Range of Approval/Disapproval Time:**

Approval determination is made within 30 days of submission of a completed plan or amendment.

**Appeals:**

Local agency or food vendor appeals: The State agency provides a hearing appeal procedure for a food vendor or local agency adversely affected by certain State or local agency actions. The adverse action may be postponed until a hearing decision is reached. Participant appeals: The State agency provides a hearing appeal procedure for any individual that receives a State or local agency action that results in a claim for repayment of the cash value of improperly issued benefits, denial of participation, or disqualification from the WIC Program.

**Renewals:**

The program is authorized through September 30, 2009; it presently operates under the authority of the Child Nutrition Act of 1966, as amended.

**Formula and Matching Requirements:**

Statutory Formula: Title Child Nutrition Act of 1966. Grants are allocated on the basis of formulas determined by the Department of Agriculture which allocate funds for food benefits, and nutrition services and administration costs. This program has no matching requirements. No matching funds are required, but some States contribute nonfederal funds in support of a larger WIC Program in their State.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are released for the fiscal year using an electronic transfer system. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: quarterly.

**Reports:**

Monthly report of participation, value of food or food instruments issued. Recovery Act Funds require separate reporting requirements which are being developed for tracking and accounting for FY 09.. Operating expenses, and funds withdrawn from the Federal letter of credit. Monthly report of participation. Operating expenses, and funds withdrawn from the Federal letter of credit. Financial Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments and Nonprofit organizations that expend a total amount of Federal awards equal to or in excess of \$500,000 in any fiscal year shall have either a single audit or (in certain cases stated in the Circular) a program-specific audit made for such fiscal year. Audit rules provided by OMB Circular A-133 must be applied for audits of grantee and subgrantee fiscal years that began on or after July 1, 1996. Authority to conduct such audits less frequently than annually is limited to: (1) State or local governments required by constitution or statute, in effect on January 1, 1987, to undergo audits less frequently than annually; and (2) nonprofit organizations that had biennial audits for all biennial periods ending between July 1, 1992 and January 1, 1995. If a biennial audit is authorized, the audit must cover the two year period.

**Records:**

Full and complete records concerning program operations including financial operations, food delivery systems, food instrument issuance and redemption, equipment purchases and inventory, certification, nutrition education, civil rights and fair hearing procedures.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 08 \$6,006,400,000; FY 09 est \$7,346,400,000; FY 10 est \$7,763,400,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), WIC's funding level for Federal Fiscal Year 09 has been increased by \$400,000,000 bringing the programs total funding Level to \$7,746,400,000.

**Range and Average of Financial Assistance:**

For fiscal year 2007, FNS approved the operation of the WIC Program in 90 State agencies. This figure includes 50 States, 34 Indian agencies, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Marianas and the District of Columbia. As of September 2007, an average of approximately 8,285,249 women, infants and children received WIC benefits every month. Although food package costs varied widely among the States, the monthly average food package cost as of September 2007 was approximately \$39.09 per person. Even though Recovery Act funds are provided to advance the mission of this program, it is up to the grantee to determine how best to use this money. And, the application of these funds will be tracked and reported separate from normal financial reporting requirements, therefore calculations reported here do not include supplemental funding totals for FY 09.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Unavailable. Fiscal Year 2009: Unavailable. Fiscal Year 2010: Unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 246; "WIC State Plan Guidance" is available at no charge from FNS.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Special Supplemental Food Program Division Supplemental Food Programs Division, Food and Nutrition Service, Department of Agriculture  
3101 Park Center Drive  
, Alexandria, Virginia 22302 Email: Debbie.Whitford@fns.usda.gov Phone: 703-305-2746 Fax: 703-305-2196

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP); 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In its continuing effort to advance new technologies, FNS awarded approximately \$5.2 million in Electronic Benefits Transfer (EBT) grants to 6 WIC State agencies in FY 2007, in support of EBT projects. The WIC Program State Agency Model (SAM) Project is a FNS initiative to plan, develop and deploy model information systems (IS) in WIC State agencies. The SAM project was initiated by FNS at the request of the Office of Management and Budget, with the expectation that these modern, state-of-the-art systems will be transferred to other WIC State agencies at a lower cost than regular development/transfer efforts. FNS has awarded funding to 3 State Agency Model (SAM) consortia across the country. Funding in FY 2006 totaled \$20,214,463; an additional \$553,433 was awarded in FY 2007. As part of its efforts to revitalize quality nutrition services, in FY 2007 FNS continued to take steps to increase training and technical assistance opportunities and facilitate communication among its partners. In collaboration with the National Agricultural Library-Food and Nutrition Information Center, FNS continues to enhance the WIC Works Resource System (WWRS), an on-line system for WIC educators to talk, share successes, receive training on counseling strategies, and find educational materials and tools for assessment, and review current research. A new feature of WWRS is the WIC Bulletin Board Exchange; a database of ideas collected from WIC local agencies. The data base contains over 40 ideas many with photos from the waiting rooms and offices. The goal is to allow WIC staff to share ideas on how to reinforce nutrition messages through bulletin board displays. The on line staff learning modules were enhanced with the addition of 3 modules on the topic of infant feeding (Infant Formula Basics, Feeding Infants 0-6 Months, and Feeding Infants 6-12 Months). Additionally a series of Web pages were created to post resources that assist State and local agencies in planning, developing and implementing the Value Enhanced Nutrition Assessment initiative. As part of our ongoing commitment to promote breastfeeding to WIC participants and their families through the USDA national breastfeeding promotion campaign, Loving Support Makes Breastfeeding Work, a marketing project, Partnering with WIC for Breastfeeding Success, was launched. This project invites stakeholders and health care professionals to partner with WIC to create a national environment that encourages mothers to breastfeed. Fiscal Year 2009: Unavailable. Fiscal Year 2010: Unavailable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.558 CHILD AND ADULT CARE FOOD PROGRAM**

CACFP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children and elderly or impaired adults enrolled in nonresidential day care facilities, children attending afterschool care programs in low-income areas, and children residing in emergency shelters.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible institutions to reimburse their costs in providing meals and snacks to children and adults enrolled in nonresidential day care, children attending afterschool care programs, and

children residing in emergency shelters. Disbursement is made on the basis of the number of breakfasts, lunches, suppers, and snacks served, using annually adjusted reimbursement rates specified by law. The program allows reimbursement for up to two meals and one snack served each day to children through the age of 12, children of migrant workers through the age of 15, and persons with disabilities, in child care centers and day care homes. Adult day care centers receive reimbursement for up to three meals served each day to enrolled adults who are functionally impaired or 60 and older. The program also provides reimbursement to emergency shelters for up to three meals served to residents through age 18. In at-risk afterschool care programs, reimbursement is available for one snack served each day to children through age 18. Reimbursement may also be available for one additional meal in afterschool care programs in eligible states. All program meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for administrative expenses related to program staffing and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for disbursement. Where the State does not currently administer the program, an applicant institution may sign an agreement and receive funds directly from USDA.

**Beneficiary Eligibility:**

Approved institutions providing nonresidential day care services may participate in the program. Eligible public and nonprofit private organizations may include day care centers, outside-school-hours care centers, settlement houses, family and group day care homes, Head Start programs, and institutions providing day care services to children with disabilities. Private for-profit centers may also participate if at least 25 percent of the children in care (enrolled or licensed capacity, whichever is less) are eligible for free or reduced price school meals or receive benefits under Title XX (of the Social Security Act). Also eligible for participation are nonprofit centers which provide nonresidential adult day care, and private for-profit centers if the center receives compensation under Title XIX (of the Social Security Act) or Title XX, and at least 25 percent of the adults enrolled in the center receive benefits under Title XIX, Title XX, or a combination of both. Emergency shelters which provide shelter and meals to children experiencing homelessness, and at-risk afterschool care programs in low-income areas are also eligible. Any eligible institution may participate in the Child and Adult Care Food Program upon request with State agency approval.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). Applicants that are not public or proprietary institutions must furnish evidence of tax-exempt status under the Internal Revenue Code of 1986. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Institutions apply to the responsible State agency. Where the State does not administer the program, the application is submitted to the USDA Food and Nutrition Service (FNS) Regional Office. This program is subject to the provisions of USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When the application is approved, the institution signs an agreement with the administering agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The administering agency must provide a hearing procedure for local institution grievances.

**Renewals:**

Not less frequently than every three years.

**Formula and Matching Requirements:**

Statutory Formula: Program funds are provided to the States through letters of credit to reimburse institutions for costs of food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled participants, represent the basic program payment that an institution receives for each meal served. The assigned rates of reimbursement are adjusted annually on July 1. For child care centers, adult day care centers, emergency shelters, and at-risk afterschool care programs, the annual adjustment reflects changes in the Food Away from Home series of the Consumer Price Index for All Urban Consumers. For day care homes, the adjustment reflects changes in the Food at Home series of the Consumer Price Index for All Urban Consumers. Donated foods or cash in lieu of donated foods are also made available. Program payments to child care or adult day care centers depend on the number and types of meals served to enrolled participants, multiplied by the appropriate rate of reimbursement. Rates for meals served to enrolled children and eligible adults in day care centers are determined by the participants' eligibility for free, reduced price, or paid meals using USDA Income Eligibility Guidelines. All resident children through age 18 in eligible emergency shelters receive free meals without application. At-risk afterschool care programs, which must be located in low-income areas, are reimbursed at the free rate for all snacks--and meals in eligible States--served to children through age 18. Sponsoring organizations of day care homes are reimbursed at a gradational administrative rate based on the number of homes they operate. The level of reimbursement for meals served to enrolled children in day care homes is determined by economic need based on either the location of the day care home, the income of the day care provider, or the income of an individual child's household. Meals served in day care homes to the provider's own children are reimbursable only if those children are determined eligible for free and reduced price meals, and at least one other nonresident child is participating in the meal service. The reimbursement for food service is passed on by the sponsoring organization to the day care facility. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Institutions file monthly reports on program operations to claim reimbursement for meals served. They must submit final meal claims no later than 60 days after the claiming month. States must then submit final program reports to FNS no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained

until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 08 \$139,715,100; FY 09 est \$160,430,000; FY 10 est \$162,818,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 226 Regulations and the Child and Adult Care Food Program fact sheet are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

<http://fns.usda.gov>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.559 Summer Food Service Program for Children; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.559 SUMMER FOOD SERVICE PROGRAM FOR CHILDREN**  
SFSP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as amended, 42 U.S.C. 1758, 1761 and 1762a.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible service institutions (sponsors) which provide free meals to children in areas where at least 50 percent of the children meet the income eligibility criteria for free and reduced price lunches. Meals may be served to children 18 and younger, and to individuals over 18 who participate in State-approved school programs for persons with disabilities. The program generally operates during the months of May through September at site locations where regularly scheduled food services are provided for children. Sites may also participate in the program from September through May if an area school is closed because of an emergency situation. Sponsors operating food programs for children on school vacation under a continuous year-round calendar may apply for participation in other months. Reimbursement may be paid for one meal and one snack or two meals per child each day. Camps and sites primarily serving children of migrant workers may be approved to serve up to three reimbursable meals each day. Meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for

administrative expenses related to program staffing and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for reimbursement. Where the State does not currently administer the program, an applicant institution may sign an agreement and receive funds directly from USDA.

**Beneficiary Eligibility:**

A service institution that conducts a regularly scheduled program for children from areas in which poor economic conditions exist is eligible to participate as a sponsor in the program. Sponsors include public or private nonprofit school food authorities; public or private nonprofit colleges or universities operating the National Youth Sports Program during the months of May to September; and units of local, municipal, county, or State governments. Other private nonprofit organizations are eligible to participate under certain conditions. Sponsors which develop food service programs for children during school vacations under a continuous school calendar may also participate. Public or private nonprofit residential or nonresidential summer camps may also participate; however, at camps, reimbursement will only be paid for meals served to enrolled children who are individually determined to be eligible for free and reduced price school meals under USDA Income Eligibility Guidelines.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the Program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Service institutions may apply directly to the responsible State agency. Where the State does not administer the program, the application is directed to the USDA Food and Nutrition Service regional office. This program is subject to the provisions of USDA's Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When an application is approved, the sponsor enters into an agreement with the administering agency.

**Deadlines:**

Feb 15, 2009 A State Management Administration Plan is annually due on February 15. States establish the deadline date for acceptance of sponsor applications.

**Range of Approval/Disapproval Time:**

Not applicable to States. The administering agency must make a decision within 30 calendar days of receiving a complete and correct sponsor application. If an incorrect application is received, the State agency must notify the applicant within 15 days and provide technical assistance to complete the application.

**Appeals:**

The administering agency must have a hearing procedure for local institution grievances.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program does not have MOE requirements. Program funds are earned by the States and institutions on a per meal reimbursement basis with rates adjusted annually on January 1, to reflect changes in the "Food Away from Home" series of the Consumer Price Index for All Urban Consumers.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Sponsors file monthly reports on program operations to claim reimbursement for meals served. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Service institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 08 \$312,203,000; FY 09 est \$357,984,000; FY 10 est \$377,752,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 225 regulations and the Summer Food Service Program fact sheet, are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

<http://fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.560 STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1776, 1779.

**OBJECTIVES:**

To provide each State agency with funds for its administrative expenses in supervising and giving technical assistance to local schools, school districts and institutions in their conduct of Child Nutrition Programs. State agencies that administer the distribution of USDA donated commodities to schools or child or adult care institutions are also provided with State Administrative Expense (SAE) funds.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

SAE funds must be used for purposes specified in the legislation, consistent with the cost principles and constraints on allowable and unallowable costs, and indirect cost rates as prescribed in OMB Circular No. A-87. These funds may be used, under certain conditions, for the procurement of supplies, equipment, and services.

**Applicant Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA donated commodities to schools, and/or child or adult care institutions, including agencies in the U.S. Territories.

**Beneficiary Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA donated commodities to schools, and/or child or adult care institutions, including agencies in the U.S. Territories.

**Credentials/Documentation:**

Costs are to be determined and documented in accordance with agency regulations (7 CFR 235) and USDA Uniform Federal Assistance Regulations (7 CFR Parts 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The State agency enters into a written agreement with the Food and Nutrition Service (FNS) on a form prescribed by the FNS. The standard application forms as furnished by the Federal agency must be used for this program.

**Award Procedure:**

Release of funds to a State agency is contingent upon receipt and approval of their plan for disbursement of SAE funds. A State agency must submit an initial Plan in fiscal year 1997 and their estimated funding needs for the duration of fiscal year 1997. Thereafter, in accordance with Public Law 104-193 which deleted the requirement for an annual plan unless there are substantive changes, a State agency would only submit revisions to the initial plan.

**Deadlines:**

May 01, 2010 Data on additional funds needed or funds not needed and to be returned as applicable, are due by May 1 of each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

Statutory Formula: For the National School Lunch Program, the School

Breakfast Program, and the Special Milk Program, funds are allocated on the basis of an amount equal to one percent of the total funds used in the State for these programs during the second preceding year based on FNS program and fiscal data. However, no State receives less than \$200,000 or the amount it received in fiscal year 1981, whichever is larger. For the Child and Adult Care Food Program, a sliding grant is made based on FNS program and fiscal data. In addition, the Secretary has discretionary authority to provide funds to States for program improvement, based on FNS program and fiscal data. The authorizing legislation which establishes eligibility for SAE funds is the Child Nutrition Act of 1966, as amended, Section 7 (42 U.S.C. 1776). This program has a State Funding Requirement (SFR). See funding agency for details. Any reduction of funds from State sources below the fiscal year 1977 level will result in a withdrawal of Federal funds under this grant. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funded each fiscal year during the period covered by the agreement. A State agency may carry over up to twenty percent of SAE funds allocated to it for obligation and expenditure during the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each State agency shall report information on the use of SAE funds. Cash reports are not applicable. Progress reports are not applicable. Each State agency shall submit quarterly financial status information on SAE funds on forms provided by FNS and will continue to report information on the use of SAE funds, after the end of the fiscal year to which they pertain, until all unpaid obligations have been liquidated. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Each State agency shall keep records on administrative expenses conforming with the applicable SAE plan and shall maintain current accounting records of SAE funds that shall adequately identify fund authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$174,134,000; FY 09 est \$178,994,000; FY 10 est \$193,268,000

**Range and Average of Financial Assistance:**

From \$332,98 to 22,708,344; \$3,559,765.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The availability of SAE funds has enabled State agencies to be more effective in meeting their administrative responsibilities under the National School Lunch, School Breakfast, Special Milk, Child and Adult Care Food Program, and Food Distribution Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 235, "State Administrative Expense Funds."

**Regional or Local Office:**

None. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

<http://www.fns.usda.gov/cnd>



**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM**

SNAP Administrative Matching Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food Stamp Act of 1977, as amended, Section 16, Public Law 95-113, 91 Stat. 958, 7 U.S.C. 2025; Public Law 99-198, Public Law 105-33, Public Law 105-185. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide Federal financial aid to State agencies for costs incurred to operate the Supplemental Nutrition Assistance Program (SNAP). Formally known as the Food Stamp Program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To provide Federal funding for administrative costs incurred by State and local agencies to operate SNAP. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs. Submission of claims for payments of administrative costs shall be in accordance with 7 CFR 277 of the SNAP Regulations. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs.

**Applicant Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.).

**Beneficiary Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.).

**Credentials/Documentation:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR part 3016, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the

State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State governments may apply for Federal financial aid in accordance with requirements outlined in 7 CFR Parts, 271 and 277.

**Award Procedure:**

Food and Nutrition Service funds State cooperator. No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Deadlines:**

Aug 15, 2009 Budgets are due to FNS August 15.

**Range of Approval/Disapproval Time:**

30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annually, as of October 1.

**Formula and Matching Requirements:**

Statutory Formula: Title Food Stamp Act of 1977 (7 U.S.C. 2025)., Chapter Section 16. Federal agency funds 50 percent of State administrative costs, including the costs of SNAP benefit fraud investigations and prosecutions costs of developing certain computer systems as provided for in 7 CFR 277, and the cost incurred in the verification of alien status. Administrative cost-sharing is authorized by Section 16 of the Food Stamp Act of 1977 (7 U.S.C. 2025). By April 1, 1987 all States were to implement an Employment Training (E&T) Program mandated by Public Law 99-198. States' E&T programs are funded by individual grants requiring no State matching; should a State's costs exceed the grant allocation, additional funding is available on a 50 percent basis. The Federal agency shall also pay 50 percent of States' costs of reimbursing participants' costs of dependent care as a result of E&T participation, not to exceed the applicable local market rate and other reimbursable participant expenses, not to exceed \$25 per month per participant, and 50 percent of costs for case management or casework to facilitate the transition from economic dependency to self-sufficiency through work. The Balanced Budget Act (Public Law 105-33) provides additional funding for grants to States (which do not require a State match) for work/training programs generally targeted for non-working able-bodied adults without dependents. These funds were reduced by Public Law 105-185. Nutrition education grants (authorized by Public Law 105-33 to private nonprofit organizations or State agencies are available with the Federal share of costs limited to 50 percent.

Matching Requirements: Percent: 50.%. Federal agency funds 50 percent of State administrative costs, including the costs of SNAP benefit fraud investigations and prosecutions costs of developing certain computer systems as provided for in 7 CFR 277, and the cost incurred in the verification of alien status. Administrative cost-sharing is authorized by Section 16 of the Food Stamp Act of 1977 (7 U.S.C. 2025). By April 1, 1987 all States were to implement an Employment Training (E&T) Program mandated by Public Law 99-198. States' E&T programs are funded by individual grants requiring no State matching; should a State's costs exceed the grant allocation, additional funding is available on a 50 percent basis. The Federal agency shall also pay 50 percent of States' costs of reimbursing participants' costs of dependent care as a result of E&T participation, not to exceed the applicable local market rate and other reimbursable participant expenses, not to exceed \$25 per month per participant, and 50 percent of costs for case management or casework to facilitate the transition from economic dependency to self-sufficiency through work. The Balanced Budget Act (Public Law 105-33) provides additional funding for grants to States (which do not require a State match) for work/training programs generally targeted for non-working able-bodied adults

without dependents. These funds were reduced by Public Law 105-185. Nutrition education grants (authorized by Public Law 105-33 to private nonprofit organizations or State agencies are available with the Federal share of costs limited to 50 percent.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annually by fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Financial Management Reviews, Management Evaluations, and Quality Control Reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of State Local Governments, and Nonprofit Organizations," State and local government, and Nonprofit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all records pertinent to a grant program shall be retained for a period of 3 years. Additionally, those record retention requirements outlined in 7 CFR Part 3016, apply to this program.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 08 \$3,033,011,317; FY 09 est \$3,344,888,000; FY 10 est \$3,458,769,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), SNAP Administrative Grants funding level for Federal Fiscal Year 09 has been increased by \$145,000,000 bringing the programs total funding Level to \$3,485,388,000. The supplemental funding added to SNAP Admin. Grants for Federal Fiscal Year 10 is \$150,000,000.

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 275, 276, 277 and 3016.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Jessica Shahin Supplemental Nutrition Assistance Program  
3101 Park Center Dr., Alexandria, Virginia 22302 Email:  
Jessica.Shahin@fns.usda.gov Phone: 703-305-2026 Fax: Unavailable

**Website Address:**

<http://www.fns.usda.gov/fsp/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.565 COMMODITY SUPPLEMENTAL FOOD PROGRAM**

Commodity Supplemental Food Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture and Consumer Protection Act of 1973, Sections 4(a) and 5, as amended, Public Law 93-86, 7 U.S.C. 612c (note); Food and Agriculture Act of 1977, as amended, Public Law 95-113, 91 Stat. 980 (7 U.S.C. 612c note); Public Law 97-98, 95 Stat. 1293 (7 U.S.C. 612c note); Public Law 98-8, 97 Stat. 35 (7 U.S.C. 612c note); Public Law 98-92, 97 Stat. 611 (7 U.S.C. 612c note); Public Law 99-198, 99 Stat. 1590 (7 U.S.C. 612c note); Public Law 100-202; Public Law 101-624, 101 Stat. 3806 (7 U.S.C. 612c note); Public Law 104-127, 110 Stat. 1028 (7 U.S.C. 612c note); Public Law 107-171, 116 Stat. 134 (7 U.S.C. 7901 note); Public Law 110-246, 122 Stat. 1886 (7 U.S.C. 612c note).

**OBJECTIVES:**

To improve the health and nutritional status of low-income pregnant, postpartum and breastfeeding women, infants, and children up to age of 6, and elderly persons age 60 years and older through the donation of supplemental USDA foods.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

USDA foods and administrative grants are made to State agencies, Indian tribes or tribal organizations recognized by the Department of the Interior, or, the appropriate area office of the Indian Health Service of the Department of Health and Human Services. These agencies distribute USDA foods and funds to participating local public or private nonprofit agencies. Federal funding for administrative costs may only be used in making these donated foods and nutrition education available to eligible beneficiaries. USDA foods can only be made available to eligible beneficiaries and cannot be sold, exchanged, or otherwise disposed of without prior specific approval by the Department.

**Applicant Eligibility:**

Agreements are made between the Department and the State agency or an Indian tribe or tribal organization recognized by the Department of the Interior for the administration of the program or the appropriate area office of the Indian Health Service of the Department of Health and Human Services.

**Beneficiary Eligibility:**

To be certified as eligible to receive USDA foods through the program, each applicant must be categorically eligible as an infant, child up to age six, a pregnant, postpartum or breastfeeding woman, or an elderly person 60 years of age or older, residing in an area where the program operates. States establish income eligibility guidelines for women, infants, and children, which must be set between 100 and 185 percent of Federal poverty income guidelines. At State discretion, women, infant, and children participants may be considered income eligible if participating in existing Federal, State, or local food, health, or welfare programs for low-income persons if the income eligibility limits for the program are equal to or lower than the established limits for the Commodity Supplemental Food Program. Women, infants, and children who receive Supplemental Nutrition Assistance Program benefits, Temporary Assistance for Needy Families, or Medicaid are considered automatically eligible for CSFP. States establish income guidelines for elderly persons, which must be set at or below 130 percent of Federal poverty income guidelines. States may require that participants be at nutritional risk, as determined by a physician or local agency staff. States may also require that an individual reside within the service area of the local agency at the time of application for program benefits. However, States may not require that the individual reside within the area for any fixed period of time.

**Credentials/Documentation:**

Participants are provided donated foods by local agency personnel or its designee. Costs will be determined in accordance with 2 CFR Part 225 (OMB Circular No. A-87) and 2 CFR Part 230 (OMB Circular No. A-122). OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State agency must require each agency that desires approval as a local agency to submit an application that contains sufficient information to enable the State agency to make a determination of eligibility for that agency. Individual participants may apply for program benefits at an approved local agency.

**Award Procedure:**

USDA foods and administrative funds are awarded by the Department to State agencies in accordance with the priorities and funding formulas set forth in program regulations and legislation. State agencies, in turn, distribute USDA foods and administrative funds to the local level.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A determination will be made within 30 days of submission of a completed plan.

**Appeals:**

Local agency appeals: The State agency provides a hearing appeal procedure for a local agency adversely affected by a State agency action. The right to appeal is granted whenever an action would adversely affect participation. Individual participant appeals: The State agency provides a hearing appeal procedure for any individual who receives an adverse action which may include the denial or discontinuance of program benefits, disqualification from the program, or a claim to repay the value of USDA foods received as the result of fraud.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Administrative Funds: Public Law 107-171 requires the USDA to provide State agencies with a grant per assigned caseload slot to pay for administrative program costs.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

USDA Foods are made available on an ongoing basis. Administrative funds are provided to States annually, each fiscal year. Method of awarding/releasing assistance: Lump sum.

**Reports:**

FNS153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report the number of program participants by population category, the receipt and distribution of commodities, including inventory and other data, and on a quarterly basis information on administrative funds expenditures. SF-269A - Financial Status Report. State agencies must submit the SF269A to report the financial status of the program at the close of the fiscal year. This report must be submitted within 90 days after the end of the fiscal year. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provision of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," State and local governments, and nonprofit organizations that expend Federal financial assistance of \$500,000 or more within any FY must have either a single or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Each State agency must maintain accurate and complete records of all receipts and dispositions as detailed in 7 CFR 247.29(a). Records must be retained for 3 FYs from the end of the FY to which they pertain, or if they are related to unsolved claims, actions, audits or investigations until those activities have been resolved.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$140,806,821; FY 09 est \$164,579,000; FY 10 est \$162,818,000

**Range and Average of Financial Assistance:**

On average, \$853,222 in appropriated administrative funding was allocated to each State for FY08. Funding ranged from \$6,204 to \$4,861,625 per State.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Average monthly participation was 30,927 women, infants, and children, and 444,380 elderly persons. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 247 is available without charge from the Department.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Cathie McCullough, Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302, Alexandria, Virginia 22302-1594 Phone: (703) 305-2680.

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/csfp/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.566 NUTRITION ASSISTANCE FOR PUERTO RICO (NAP)**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1981, as amended, Title 1, Section 116; Public Law 97-35; Public Law 97-253; Public Law 98-204; Public Law 99-114; Public Law 99-157; Public Law 99-182; Public Law 99-198; Public Law 101-624; Public Law 103-66; Public Law 104-127; Public Law 106-387; Public Law 107-171. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

A cash grant alternative to the Special Nutrition Assistance Program (SNAP) (Formally known as the Food Stamp Program) to improve diets of needy persons residing in the Commonwealth of Puerto Rico.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Households receive money to purchase food.

**Applicant Eligibility:**

The Commonwealth of Puerto Rico alone is eligible.

**Beneficiary Eligibility:**

Low-income individuals and families are eligible for benefits as determined by the Commonwealth.

**Credentials/Documentation:**

The Commonwealth is required to document the classes of households that receive benefits and the level of those benefits. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Commonwealth is required to submit an annual plan of operation to the Food and Nutrition Service for approval. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Secretary of Agriculture designates the Commonwealth agency or agencies to operate the program upon submission of the request.

**Deadlines:**

Jul 01, 2009 July 1 for plan submission.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Program continues once approved unless there is a substantial failure to comply with regulations or withdrawal on the part of the Commonwealth.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Department of Agriculture pays 100 percent of the cost of benefits and 50 percent of administrative costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for one fiscal year at a time. Assistance is provided through the electronic transfer system, consistent with Treasury Fiscal Requirement Manual, Volume I, Part 6, Section 2030. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. Financial Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commonwealth is required to conduct an audit of expenditures at least once every two years, and is subject to audit by the Office of Inspector General, USDA.

**Records:**

The content and maintenance of records is specified by the Commonwealth's plan of operation.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 08 \$1,622,521,000; FY 09 est \$1,760,435,000; FY 10 est \$1,873,103,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 09 has been increased by \$240,133,000 bringing the programs total funding Level to \$2,000,568,000. The supplemental funding added to NAP. for Federal Fiscal Year 10 is \$127,465,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not available at this time. Fiscal Year 2009: Not available at this time. Fiscal Year 2010: ARRA is 127,465,000 for FFY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Mid-Atlantic Regional Office, Food and Nutrition Service, Department of Agriculture, Robbinsville, NJ 08691-1598. Contact: Cathie McCullough. Telephone: (609) 259-5025, FTS: (609) 259-5025.

**Headquarters Office:**

Cathie McCullough, Mid-Atlantic Regional Office, Mercer Corporate Park, 300 Corporate Boulevard, Robbinsville, New Jersey 08691-1518 Email: Cathie.mccaullough@fns.usda.gov Phone: (609) 259-5025 Fax: (609) 259-5185

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Only Puerto Rico may apply.

**10.567 FOOD DISTRIBUTION PROGRAM ON INDIAN RESERVATIONS**

FDPIR

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Food and Nutrition Act of 2008, Public Law 110-246. American Recovery and Reinvestment Act of 2009, Public Law 111-5, 7 U.S.C 2011-2036.

**OBJECTIVES:**

Indian Tribal Organizations and State Distributing Agencies make USDA donated food available for distribution to qualifying households. Households may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to meet

expenses incurred in operating the Food Distribution Program on Indian Reservations. These funds may not be used to purchase real property (land or buildings).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Indian Tribal Organizations and State Distributing Agencies make USDA donated food available for distribution to qualifying households. Households may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to meet expenses incurred in operating the Food Distribution Program on Indian Reservations. These funds may not be used to purchase real property (land or buildings). Indian Tribal Organizations and State Distributing Agencies make USDA donated food available for distribution to qualifying households. Households may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to meet expenses incurred in operating the Food Distribution Program on Indian Reservations. These funds may not be used to purchase real property (land or buildings). Federal administrative funds must be used for allowable expenses incurred in operating FDIPIR. ITOs and State agencies must follow national policies in certifying eligible households and issuing USDA donated foods. Indian Tribal Organizations and State Distributing Agencies make USDA donated food available for distribution to qualifying households. Households may not be charged. Donated foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of the Department. FNS administrative funds must be expended to meet expenses incurred in operating the Food Distribution Program on Indian Reservations. These funds may not be used to purchase real property (land or buildings).

**Applicant Eligibility:**

Authorized Indian Tribal Organizations (ITO) and State agencies designated by the Governor, legislature, or other authority may receive and distribute USDA foods. ITOs/State agencies that administer the program are eligible to receive Federal cash assistance (administrative funds) to assist in meeting operating expenses incurred in administering the program. ITOs may be their own State agency for the administration of the program on reservations if determined capable by FNS.

**Beneficiary Eligibility:**

Households must be living on an Indian reservation, or be Indian households living in a designated area near an Indian reservation or in an approved service area in Oklahoma, and must be certified by local authorities as having inadequate income and resources. Upper limits of allowable income vary with family size. Household resources for all household sizes are set by FNS.

**Credentials/Documentation:**

Households are individually certified by local administering offices based upon Federal eligibility standards. Administrative costs will be determined in accordance with OMB Circular No. A-87 for administering agencies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State agencies and Indian Tribal Organizations that want to administer the Food Distribution Program on Indian Reservations must submit a completed Form SF-424 (application) to the appropriate FNS regional office in their area, as well as a Plan of Operation.

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program.

**Award Procedure:**

Administrative funding is provided by the Department to ITOs and State agencies for use in administering the program. Program benefits for eligible households (USDA foods) are provided to the ITOs/State agencies based on orders they place.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. FNS must determine within 30 days of the receipt of a completed application if an ITO/State agency is capable of administering the program.

**Appeals:**

Not Applicable.

**Renewals:**

Program continues unless withdrawal is requested or required because of program irregularities, or funding is unavailable. Households are recertified periodically, depending on household circumstances. Household certification periods may not exceed one year.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 253.11.

Matching Requirements: Percent: 25%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Food donations for household distribution are continuous. Administrative funding for ITOs/State agencies expires at the end of each fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Form FNS-152, Monthly Distribution of Donate Food to Family Units, captures, on a monthly basis, the number of households certified and number of households/individuals participating. Also captures food inventory (i.e., receipts, distributions, and remaining inventory at end of month). Form FNS-101, Participation in Food Program-by Race, captures racial ethnic data for the month of July each year. No cash reports are required. No progress reports are required. Form SF-425, Federal Financial Report, captures, on a quarterly basis, Federal funding authorized, obligated, and obligated but not liquidated. Also captures non-federal funds used for the program. No performance monitoring is required.

**Audits:**

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

**Records:**

Each ITO and State agency must maintain accurate and complete records of all receipts and dispositions. Records must be retained for 3 years following the close of the fiscal year or until any outstanding audit, claim or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 08 \$88,338,924; FY 09 est \$119,914,000; FY 10 est \$112,656,000 - American Recovery and Reinvestment Act funding for 2009-2010 is \$5 million.

**Range and Average of Financial Assistance:**

In FY 2009, the monthly per person food package was approximately \$61. Federal administrative funding to the ITOs and State agencies varies based on

number of persons served in each program and the unique operational needs of each program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 253; 7 CFR Part 254; 7 CFR Part 250.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nancy L. Theodore 3101 Park Center Drive, Room 506, Alexandria, Virginia 22302 Email: nancy.theodore@fns.usda.gov Phone: 7033052675 Fax: 7033051410

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/fdpi/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.568 EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COSTS)**

TEFAP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Section 204, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7508; Federal Supplemental Compensation Act of 1982 Amendments, Section 2, as amended, Public Law 98-92, 97 Stat. 608; Food Security Act of 1985, as amended, Section 1569, Public Law 99-198, 99 Stat. 1354; Public Law 100-77, 101 Stat. 536; Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330.

**OBJECTIVES:**

To help supplement the diets of low-income persons by making funds available to States for processing, storage and distribution costs incurred by State agencies and local organizations in providing food assistance to needy persons.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Administrative funds are provided to State agencies to cover administrative costs incurred at the State and local level in the operation of the program. Funds may only be used for approved administrative expenses, and the State agency is required to pass-through at least 40% of the funds to emergency feeding organizations.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive these administrative funds to support the distribution of commodities to the needy.

**Beneficiary Eligibility:**

Public or private non-profit organizations which provide food assistance to the needy, such as food banks, food pantries, and soup kitchens.

**Credentials/Documentation:**

State agencies and local organizations are required to document their use of the administrative funds, and only those administrative costs permitted under OMB Circular No. A-87, as implemented at 2 CFR Part 225, for State and local governments will be allowed. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Administrative funds are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60%) and of unemployed persons (40%). At a minimum, States must make at least 40% of the administrative grant available to emergency feeding organizations, or expend such funds on their behalf. In addition, the States must match, either in cash or in-kind, the amount of administrative funds not passed-through to emergency feeding organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Local organizations receiving administrative funds must have an agreement with the State agency or with another local organization participating in the program. Such agreements are ongoing and amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251.3.

Matching Requirements: Percent: 100%. States are required to pass-through to emergency feeding organizations at least 40 percent of the administrative funds allocated to the State. States are required to match, either as cash or in-kind, 100 percent of the administrative funds not passed-through to emergency feeding organizations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are provided through the electronic transfer system as they are needed for actual expenditures on a fiscal year basis. Any funds which are made available through the initial allocation or a subsequent reallocation that are not used are turned back to the Federal government, and reallocated according to the legislatively mandated formula. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Quarterly and annual financial reports are made on FNS-667. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$49,650,000; FY 09 est \$49,500,000; FY 10 est \$49,500,000. (Formula Grants) FY 08 \$0; FY 09 est \$50,000,000; FY 10 est \$0 - \$25,000,000 was made available to States in Fiscal Year 2009; the remaining \$25,000,000 will be made available to States in Fiscal Year 2010.

**Range and Average of Financial Assistance:**

In Fiscal Year 2009, the range for assistance was from \$8,110 to \$6,159,182; the average amount of assistance was \$900,000. For American Reinvestment and Recovery Act funding, the range for assistance was \$4,096 to \$3,110,696; the average amount of assistance was \$454,545.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites. Fiscal Year 2009: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites. Fiscal Year 2010: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Cathie McCullough USDA Food and Nutrition Service  
Food Distribution Division  
Room 500, Park Office Center  
3101 Park Center Dr. , Alexandria, Virginia 22302 Email:  
cathie.mccullough@fns.usda.gov Phone: 7033052680 Fax: 7033052964

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program; 10.569 Emergency Food Assistance Program (Food Commodities)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.569 EMERGENCY FOOD ASSISTANCE PROGRAM (FOOD COMMODITIES)**

TEFAP, USDA Foods, Commodities

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7501; Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330.

**OBJECTIVES:**

To help supplement the diets of low-income persons by making donated foods available to the State agencies that are responsible for the distribution of commodities within the States.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Commodities can only be used to provide food assistance to needy persons. Commodities may be provided for household consumption or for congregate feeding. The State agency must give priority to local organizations that provide

nutrition assistance to relieve situations of emergency and distress.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive and distribute these donated food commodities. States can distribute these foods to eligible recipient agencies, such as food banks, food pantries, soup kitchens, and other eligible agencies.

**Beneficiary Eligibility:**

Low-income and needy individuals, including persons that are homeless, unemployed, underemployed, or receiving public assistance. The State agency must establish income based eligibility criteria to ensure the commodities are provided to the needy. Persons interested in receiving TEFAP should contact their State agency (<http://www.fns.usda.gov/fdd/contacts/SdaContacts.htm>) for more information on how to access the program.

**Credentials/Documentation:**

Needy individuals receiving commodities for home consumption must establish eligibility to participate in the program on the basis of State eligibility standards. All individuals seeking food assistance at sites which serve prepared meals are presumed to be eligible to receive meals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All States are eligible to participate; the State does not need to complete an application.

**Award Procedure:**

Food commodities are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60 percent) and of unemployed persons (40 percent).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Individuals receiving food for home consumption are recertified periodically. Persons receiving commodities in the form of meals from sites which serve prepared meals are presumed to be eligible.

**Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251. Commodities are allocated among the States based on a legislatively-mandated formula. The allocation formula is based in part (60%) on the number of people whose income is below the poverty level and in part (40%) on the number unemployed persons.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$100,000,000; FY 10 est \$0. (Formula Grants) FY 08 \$189,935,658; FY 09 est \$250,000,000; FY 10 est \$248,000,000

**Range and Average of Financial Assistance:**

In Fiscal Year 2009, the range of awards was from \$40,618 to \$30,847,887; the average award was \$4,507,596. For the American Recovery and Reinvestment Act funding, the range of awards was \$16,343 to \$12,411,681; the average award was \$1,813,636.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2009: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2010: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Cathie McCullough USDA Food and Nutrition Service  
Food Distribution Division,  
Room 500, Park Office Center  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
cathie.mccullough@fns.usda.gov Phone: 703-305-2680 Fax: 703-305-2964

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/default.htm>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.568 Emergency Food Assistance Program (Administrative Costs)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.572 WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)**

Farmers' Market Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

WIC Farmers' Market Nutrition Act of 1992, Public Law 102-314, 106 Stat. 281; Child Nutrition Act of 1966, as amended, Section 17(m), 42 U.S.C. 1786.

**OBJECTIVES:**

To provide fresh, nutritious unprepared locally grown fruits and vegetables from farmers markets to women, infants, and children who participate in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC); and to expand the awareness and use of farmers' markets and increase sales at such markets.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State health, agriculture and other agencies (or Indian tribes, bands, or intertribal councils or groups recognized by the Department of the Interior, or the Indian Health Service of the Department of Health and Human Services.) Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs. Federal FMNP benefits (coupons) may be issued only to participants in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) or to persons who are on a waiting list to receive WIC benefits. Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs.

**Applicant Eligibility:**

All State agencies that desire to receive a FMNP grant must submit, for each fiscal year, a State plan to the Food and Nutrition Service (FNS), USDA. States that received Federal assistance under the Farmers' Market Coupon Demonstration Project, which was administered by FNS from 1989-1992, were "grandfathered" into the FMNP by Public Law 102-314. Other States interested in participating in the FMNP must first submit a State plan to the appropriate FNS regional office for approval. Approved plans are then reviewed and evaluated by the National office (Supplemental Food Programs Division). New State agencies are then selected based on the evaluation and the availability of funds. Local FMNP sites are selected by participating State agencies based on concentration of eligible WIC participants and access to farmers' markets.

**Beneficiary Eligibility:**

WIC participants (i.e., pregnant, postpartum or breastfeeding women; infants over 4 months of age; and children up to 5 years of age) and (at the State's discretion) those who are on a waiting list to receive WIC benefits are eligible to receive FMNP coupons. State agencies may also designate subcategories of WIC participants, e.g., pregnant and breastfeeding women only, to be FMNP recipients.

**Credentials/Documentation:**

WIC participants (except infants under 4 months of age) and persons on WIC waiting lists certified for WIC eligibility who live in areas with a FMNP are eligible to receive benefits. A signed and executed Federal/State Agreement is necessary before funds can be allocated to a participating FMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Farmers or farmers' markets (depending on whether State agencies have agreements with farmers or markets) located in communities with WIC Program sites may apply to be authorized to accept FMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for FMNP benefits at approved local WIC agencies.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies.



**Deadlines:**

Nov 15, 2009 A State plan for the next fiscal year is required by November 15.

**Range of Approval/Disapproval Time:**

An eligibility determination will be made within 30 days of submission.

**Appeals:**

Farmer/farmers' market appeals: The State agency shall provide a hearing procedure whereby a farmer/farmers' market adversely affected by a State agency action may appeal the action. The right of appeal shall be granted when a farmer/farmers' market is denied or, during the course of the contract or agreement, when a farmer/farmers' market is disqualified or any other adverse action which affects participation is taken.

**Renewals:**

This Program is authorized through September 30, 2009.

**Formula and Matching Requirements:**

Statutory Formula: Statutory formula can be found at Section 17(m)(3) of the Child Nutrition Act. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Indian Tribal Organizations may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. State contributions for similar programs may satisfy the State matching requirement. Provided that sufficient funds are available, each current State agency will be funded at its most recent year's level. Remaining funds are divided between current States for expansion and new States, based on a 75 to 25 percent ratio, respectively.

Matching Requirements: Percent: 10.%. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Indian Tribal Organizations may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. State contributions for similar programs may satisfy the State matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants have been released for the duration of the fiscal year using Federal Reserve Bank letters of credit. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and nonfederal); number of authorized farmers, farmers' markets, and farm or roadside stands; value of coupons issued and redeemed; and financial expenditure data. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. State and local agencies shall obtain either a single audit or a program-specific audit in accordance with 7 CFR 3016.26 or 3019.26 and 3052, as applicable.

**Records:**

State agencies must maintain full and complete records including recipient and financial data; coupon issuance and redemption data; equipment purchases and inventory; nutrition education and civil rights procedures.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 08 \$19,860,000; FY 09 est \$19,800,000; FY 10 est \$20,000,000

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FNS has approved the operation of the FMNP in 46 State agencies, which include 37 States, the District of Columbia, Guam, Puerto Rico and 5 Indian Tribal Organizations for fiscal year 2006, thereby increasing the consumption of fresh fruits and vegetables from farmers' markets by many more WIC recipients. This is consistent with the nutrition goals of WIC and FMNP to motivate WIC participants to make healthy food choices. Fiscal Year 2009: Unavailable. Fiscal Year 2010: Unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 248.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service updated regional office listed in Appendix IV.

**Headquarters Office:**

Debra Whitford Food and Nutrition Service, Supplemental Food Programs Division  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
Debbie.Whitford@fns.usda.gov Phone: 703-305-2746 Fax: unavailable

**Website Address:**

<http://www.fns.usda.gov/wic/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.565 Commodity Supplemental Food Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: None available. Fiscal Year 2009: None available. Fiscal Year 2010: None available.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be in the solicitation.

**10.574 TEAM NUTRITION GRANTS**

(Team Nutrition Training Grants)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National School Lunch Act, Section 6(a)(3) Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1996; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1997, Public Law 104-280; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1998, Public Law 105-86; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1999, Public Law 105-277; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2000, Public Law 106-78; Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001, Public Law 106-387. Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2002, Public Law 107-229 for 2003.

**OBJECTIVES:**

Team Nutrition Training Grants for Healthy School Meals have been identified in USDA's national Strategic Plan for Training and Technical Assistance as one of the anchor delivery systems for supporting the implementation of USDA's nutrition requirements and the Dietary Guideline for Americans in school meals. Team Nutrition's (TN) goal is to improve children's lifelong eating and physical activity habits by using the principles of the Dietary Guidelines for Americans and the Food Guide System. TN Training Grants offer funding to state agencies to establish or enhance sustainable infrastructures for implementing TN using three behavior-focused strategies: (1) provide training and technical assistance to child nutrition food service professionals to enable them to prepare and serve nutritious meals that appeal to students; (2) promote nutrition curriculum and education in schools through multiple communication channels (i.e., food services initiatives, classroom activities, school wide events,

home activities, community programs and events, and media events and coverage) to reinforce positive nutrition messages and encourage students to make healthy food physical activity choices as part of a healthy lifestyle; (3) build school and community support for creating healthy school environments that are conducive to healthy eating and physical activity.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans. States may award sub-grants to local school districts following the established oversight procedure as well as the Guidance for Interpreting Cost Principles of Sub-Grants. Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans.

**Applicant Eligibility:**

State agencies that administer the National School Lunch Program and/or Child and Adult Care Food Program may apply for a TN Training Grant. States may apply individually, or apply as a coalition within their State if there is an alternate State agency, or may establish a network and apply as a coalition of two or more different States.

**Beneficiary Eligibility:**

School and child care decision makers and caregivers, school and child care food service staff, and children, parents and teachers/educators.

**Credentials/Documentation:**

State agencies must administer the National School Lunch Program and/or Child and Adult Care Food Program. Applicants must prove ability to provide a competent experienced staff and other resources to assure adequate development, supervision and execution of TN Training Grant activities. In addition, applicants are required to submit a written proposal which includes a description of the training issue or issues to be add on of the training issue or issues to be addressed, the proposed project approach, the rationale for it, specific program objectives, activities and budget. A properly executed Federal/State Agreement between the Food and Nutrition Service and the State agency is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State agencies are furnished with a copy of the Request for Applications (RFA) package on how to apply for a TN Training Grant. Additionally, the complete RFA is posted on the FNS Team Nutrition web site. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to the Food and Nutrition Service by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of Food and Nutrition Service staff which convenes to determine the technical merit of each grant application, provide a numerical score and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Once the application is received from the State agency, it is approximately 3 months before announcement of the TN Training Grant awards.

**Appeals:**

The solicitation will provide information on appeals.

**Renewals:**

The solicitation will provide information on renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Within the Federal Fiscal Year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of TN Training Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 08 \$4,968,619; FY 09 est \$5,846,941; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021 and 7 CFR Part 3052.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lisa Johnson Food & Nutrition Service, Financial Management  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
Lisa.Johnson@fns.usda.gov Phone: 703-305-2848 Fax: 703-605-0363

**Website Address:**

<http://teamn nutrition.usda.gov/grants.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Technical Review Criteria, which are furnished to all applicants in the Request for Applications package are used by the review panel to score and rank TN Training Grant applications.

**10.576 SENIOR FARMERS MARKET NUTRITION PROGRAM**

Senior Farmers Market

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Public Law 107-171, 116 Stat. 334; Section 4402, 7 U.S.C. 3007.

**OBJECTIVES:**

(1) To provide fresh, nutritious, unprepared, locally grown fruits, vegetables and herbs from farmers markets, roadside stands and community supported agriculture programs to low-income seniors, and (2) to increase the consumption of agricultural commodities by expanding, developing, or aiding in the development and expansion of domestic farmers markets, roadside stands, and community supported agriculture programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State departments such as health, agriculture and aging, United States territories and Federally-recognized Indian tribal governments, or any other agency approved by the chief executive officer of the State. Grant funds may be used only to support the costs of the foods that are provided under the SFMNP; no administrative funding is available. Grant funds may be used only to support the costs of the foods that are provided under the SFMNP; no administrative funding is available.

**Applicant Eligibility:**

All States, United States territories, and federally recognized Indian tribal governments are eligible to apply for a grant.

**Beneficiary Eligibility:**

Persons eligible for the program are low-income seniors, generally defined as individuals who are at least 60 years old and who have household incomes of not more than 185% of the federal poverty income guidelines (published each year by the Department of Health and Human Services). Some State agencies accept proof of participation or enrollment in another means-tested program, such as the Commodity Supplemental Food Program or Food Stamps, for SFMNP eligibility.

**Credentials/Documentation:**

In addition to submitting an application based on the requirements of the grant solicitation, potential grantees must submit a standard SF-424, Application for Federal Assistance, form. In addition, potential grantees must submit forms in which they agree to comply with USDA regulations and Office of Management and Budget circulars, including: Uniform Federal Assistance Regulations, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, Government-wide Debarment and Suspension; Government-wide Requirements for Drug-free Workplace; and, New Restrictions on Lobbying. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each State applying for a SFMNP grant must designate a lead State agency. Each State may only submit one application on behalf of all interested State agencies, local governments, and non-profit organizations in the State. However, the lead State agency may make subgrants to other State agencies, Indian tribal governments, local governments, and non-profit organizations. Also, Indian tribal governments may make subgrants to local governments and non-profit organizations in the areas they serve. Interested agencies are encouraged to contact the Governor's office or Indian tribal governments to work together on an application. If multiple applications are received from more than one agency within the same State, FNS reserves the right to contact the Governor's office in that State for a final designation of the lead State agency. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Under the competitive grant process, FNS announces the opportunity for States, including territories and Federally recognized Indian tribal governments, to submit grant applications for the SFMNP for each fiscal year in which funds are available. All applications are due by a specified date to FNS Headquarters.

**Award Procedure:**

Applications are reviewed and evaluated by a panel of FNS staff to determine the technical merit of each grant application. Two separate panels evaluate applications; one panel reviews applications from current State agencies that are seeking expansion funds and another panel reviews applications from new State agencies. In the event that all available SFMNP funds for a given year are needed to provide base grants to currently participating State agencies, applications for program expansion or new programs will not be solicited by FNS. If the available funds are insufficient to meet the base grant levels for current SFMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating SFMNP State agencies. If additional funds become available for the SFMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In general, FNS will announce SFMNP awards, and notify each State agency that did not receive an award, approximately 60 days after the date applications are due to FNS.

**Appeals:**

All decisions by the FNS selecting officials are final. However, unsuccessful applicants are offered a debriefing to discuss the strengths and weaknesses of their proposals.

**Renewals:**

Current State agencies are required to submit updated information annually. Will be discussed in the announcement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

SFMNP funds are provided using Federal Reserve Bank letters of credit, for a program period that begins when the grant agreement is signed by FNS and ends on November 30 of each year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The progress reports must indicate the number of outlets authorized to receive coupons (i.e., farmers, farmers markets, roadside stands and/or community supported agriculture programs) by category and the number of recipients who have been issued coupons. Cash reports are not applicable. Grantees are required to submit two financial status reports and two progress reports to FNS. Grantees are required to submit two financial status reports. No performance monitoring is required.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the SFMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Project Grants) FY 08 \$206,000,000; FY 09 est \$206,000,000; FY 10 est \$20,600,000

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 08 unavailable.

In FY 06, base grant levels to State agencies totaled \$16.2 million. Unspent funds from FY 2006 were reallocated on a proportionate basis to participating SFMNP grantees in the spring of 2007. In FY 2007, 46 State agencies and federally recognized Indian tribal governments operated the SFMNP. In FY 06, 825,691 seniors were served by the SFMNP by 14,574 farmers at 2,911 markets, 2,323 roadside stands, and 260 community supported agriculture programs. In December 2006, FNS published a final rule for the SFMNP, which would make the program a permanent nutrition assistance. Fiscal Year 2009: Unavailable. Fiscal Year 2010: Unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

None.

**Headquarters Office:**

Supplemental Food Program Division Food and Nutrition Service,  
Supplemental Food Program Division  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
Debbie.Whitford@fns.usda.gov Phone: 703-305-2746 Fax: unavailable

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.565 Commodity Supplemental Food Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: None. Fiscal Year 2009: None. Fiscal Year 2010: None.

**CRITERIA FOR SELECTING PROPOSALS:**

None available.

**10.578 WIC GRANTS TO STATES (WGS)**

(WIC Grants To States)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, Section 17(h)(10)(A) of the Child Nutrition Act of 1966, as amended. Section 17(h)(10)(B) of the Child Nutrition Act of 1966, as amended.

**OBJECTIVES:**

To provide grants to WIC State agencies for Electronic Benefit Transfer projects and pilots to explore the feasibility both technical and financial of providing WIC benefits electronically. To provide grants to WIC State agencies and Indian Tribal Organizations (ITOs) to fund, implement, and evaluate innovative projects that improve WIC service provision and impact the nutrition and health of WIC participants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are used to plan, develop and implement pilot projects for WIC EBT. Grant funds are used to improve WIC service provision and impact the nutrition and health of WIC participants. State agencies that administer the WIC Program are eligible to apply for WIC EBT grant funds. States may apply individually or as a coalition of States.

**Applicant Eligibility:**

State agencies that administer the WIC Program are eligible to apply for WIC EBT grant funds. States may apply individually or as a coalition of States.

**Beneficiary Eligibility:**

WIC participants ultimately will receive their benefits through electronic benefit transfer smart debit cards. Benefits will be loaded into each card and transacted via smart card terminals at authorized vendors. Transactions will limit purchases to only WIC authorized foods.

**Credentials/Documentation:**

Only State agencies and Indian Tribal Organizations that administer the WIC Program are eligible. Applicants must prove through the grant application process that adequate resources are available for project success. Applicants are required to submit a written proposal, which includes a description of the EBT pilot, budget documents, feasibility studies, cost allocation plans, and other required documents. A properly executed Federal/State agreement between FNS and the State agency is necessary before funds can be allocated. To compete, applicants are required to submit a written proposal which includes a description of the proposed project, staffing, and budget documents for review by a technical panel. Upon selection for award, a properly executed Federal/State agreement between FNS and the State agency or Indian Tribal Organization is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

WIC State agencies and Indian Tribal Organizations are given a grant solicitation package outlining the process and deadlines related to the grant application process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to FNS by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the solicitation package. Grants are awarded by a competitive process via a review panel composed of FNS staff, who make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 3 to 6 months.

**Appeals:**

Not applicable.

**Renewals:**

Will be covered in the solicitation and the cooperative agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From 3-5 years, depending on project timeline. From 1-3 years depending on project schedule. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports and financial status reports must be submitted as outlined in the cooperative/agreements. Cash reports are not applicable. Progress reports and financial status reports must be submitted as outlined in the cooperative/agreements. Progress reports and financial status reports must be submitted as outlined in the cooperative/agreements. Performance monitoring is not applicable.

**Audits:**

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

year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of EBT grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 08 \$8,257,616; FY 09 est \$13,600,000; FY 10 est \$13,600,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), the WIC Infrastructure Grants funding level for Federal Fiscal Year 09 has been increased by \$100,000,000 bringing the programs total funding Level to \$113,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Successful EBT pilots have been launched in 6 WIC State agencies, with two States, Wyoming and New Mexico, issuing WIC benefits through EBT statewide. Seven other State agencies that were in the process of design and development of WIC EBT projects experienced staffing and budget problems and decided in FY 2006 to cancel their EBT project. Another State, Ohio, found EBT to be too costly and reverted to paper benefit issuance in FY 2005. Successful WIC Special Project Grants have been conducted in many states. Every year, awards are made to selected States ranging from one to three years. Between FY 1995 and FY 2000, twenty five awards were made to States and ITOs, which have either all been completed or are near completion. Since FY 2001, seventeen more projects have been awarded, most of which are currently in progress. Fiscal Year 2009: EBT contracts will be awarded in more states. Fiscal Year 2010: Benefit integrity will continue to grow.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Greg Walton, Food and Nutrition Service, Financial Management, 3101 Park Center Dr. , Alexandria, Virginia 22302 Email: Greg.Walton@fns.usda.gov Phone: (703) 305-1575 Fax: (703) 305-0363.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EBT Projects: The Wyoming and New Mexico EBT system is operational statewide. In addition, several other States are proceeding with EBT projects, including Nevada and the Inter Tribal Council of Nevada (ITCN), which launched its EBT pilot in June 2000; New Mexico began its pilot in FY 2003; Texas began its pilot in FY 2004; and Michigan began its pilot in FY 2005; and Kentucky plans to launch its pilot in FY 09/FY 10. WIC Special Project Grants: One project currently funded under these grants is testing the effectiveness of motivational interviewing in a WIC clinic setting in North Dakota. The goal of the project is to study the effectiveness of motivational interviewing in nutrition education, and to determine its impact on nutritional behavioral change among WIC participants in North Dakota. A second project seeks to strengthen Massachusetts WIC services by utilizing a behavioral approach to connect with the emotions and values of WIC participants, to help families to adopt healthy dietary, parenting, and physical activity behaviors. A third project is focused on increasing infant breastfeeding among American Indians in Osage County, Oklahoma, as a way of

reducing/preventing obesity and diabetes which are highly prevalent in this population. Fiscal Year 2009: Unavailable. Fiscal Year 2010: \$13,600,000.

**CRITERIA FOR SELECTING PROPOSALS:**

Technical review criteria, which are furnished to all applicants in the grant solicitation package, are used by the review panel to score and rank EBT Grant applications.

**10.579 CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY**

Child Nutrition Discretionary Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP).

**OBJECTIVES:**

NSLP: To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities. SBP: To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations. SMP: To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children. CACFP: To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children, elderly or impaired adults in nonresidential day care facilities and children in emergency shelters. SFSP: To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Determined by the legislation providing the grants. Examples of grants in this category include the Child Nutrition and WIC Reauthorization Act of 2004 (Public Law 108-265) which authorized funds for State agencies to perform administrative reviews and training of selected local education agencies participating in the NSLP. The purpose of these funds is to improve program integrity and administrative accuracy by decreasing administrative errors in those local education agencies identified by the States as having problems or where problems are likely to arise. The funds cannot be used to replace or augment funding allocated for existing review requirements and they cannot be used for local level expenses associated with administrative reviews or training activities. In addition, Public Law 108-265 authorized funding for grants under the SFSP to increase participation at congregate feeding sites through innovative approaches for overcoming limited transportation resources in rural areas. These multi-year grants were awarded in December 2005 on a competitive basis to Mississippi (6 sponsors), New York (7 sponsors), Oregon (8 sponsors), Texas (2 sponsors), and West Virginia (7 sponsors). The projects may not comprise pre-award costs associated with the development of a grant application or the cost of obtaining food. Over the course of 3 years, \$4 million will be available to the 5 States. Additional examples of grants in this category include the Consolidated Appropriations Resolution for Fiscal Year 2003 (Public Law 108-7) which provided funds for eligible schools to cover costs associated with implementing the SBP. The purpose of these grants was to increase the number of schools participating in the SBP, particularly those serving low-income children. The grants were used for State level costs associated with the administration of the SBP grant activities and local level costs that were allowable, reasonable, and necessary for an approved school to implement the SBP. The State agency could retain no more than 17.5 percent of the grant award for State level costs associated with the administration of the grant activities.

**Applicant Eligibility:**

State agencies administering Child Nutrition Programs, and other determinations made by legislation.

**Beneficiary Eligibility:**

Determined by the legislation providing the grants.

**Credentials/Documentation:**

Determined by the legislation providing the grants. For example, the SBP Grants under Public Law 108-7 earmarked funds for a specific State, with the remaining funds to be awarded competitively. Eleven States were identified that had less than 60 percent of their NSLP Schools participating in the SBP over the past 3 years. These States received an Application for SBP Start-up Grant Funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Instructions provided in Request for Application. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package may be submitted electronically via [www.grants.gov](http://www.grants.gov) <http://.grants.gov>.

**Award Procedure:**

A grant review technical panel objectively reviews all complete applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined by the legislation providing the grants.

**Appeals:**

Determined by the legislation providing the grants.

**Renewals:**

Determined by the legislation providing the grants. For example, a due date was established for the SBP and grants were awarded after review of all submissions by a selection panel from FNS and receipt of a Letter of Intent from the selected States. All State and local level SBP Grant funds had to be obligated by September 30, 2005 and expended by December 15, 2005.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Determined by the legislation providing the grants. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 08 \$3,206,404; FY 09 est \$628,313; FY 10 est \$7,000,000 - Availability limited based on eligibility requirements or duration by current year appropriations or authorizing legislation language and Agency priorities, determined by the legislation providing the grants.

**Range and Average of Financial Assistance:**

None available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not available at this time. Fiscal Year 2009: To be determined. Fiscal Year 2010: To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018. Determined by the legislation providing the grants.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Charles Okal, Food and Nutrition Service, Financial Management Grants Management Branch  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
[Charles.Okal@fns.usda.gov](mailto:Charles.Okal@fns.usda.gov) Phone: (703) 305-2854. Fax: (703) 605-0363.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not available. Fiscal Year 2009: None available. Fiscal Year 2010: None available.

**CRITERIA FOR SELECTING PROPOSALS:**

Determined by the legislation providing the grants.

**10.580 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM, OUTREACH/PARTICIPATION PROGRAM**

Outreach/Participation Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Section, 17a(1), Food Stamp Act of 1977, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

Outreach Grants: The purpose of these grants is to study effective strategies to inform and educate eligible low-income people not currently participating in the Supplemental Nutrition Assistance Program (SNAP) (Formally known as the Food Stamp Program) about the nutrition benefits of the program, eligibility rules, and how to apply so that they can make an informed decision about whether to participate in the program. Program Participation Grants: The purpose of the Program Participation grants is to support efforts by State agencies and their community-based and faith-based partners to develop and implement: 1) Simple SNAP application and eligibility systems; or 2) Measures to improve access to SNAP benefits by eligible applicants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program Participation Grants: Funds for program participation projects are to be used to improve the quality and efficiency of operations within SNAP offices and no more than 25 percent of the grant funds may be used for outreach activities. Applications must comply with criteria listed in the Request for Application package. Outreach Grants: Funds are used for research into SNAP

outreach strategies to one or more of the targeted groups of people who are eligible for the program but traditionally underused food stamp benefits. Applications must comply with criteria listed in the Request for Application package. Applications must comply with criteria listed in the Request for Application package.

**Applicant Eligibility:**

Outreach Grants: Public organizations, with the exception of State and local SNAP agencies; and Private, nonprofit organizations; specific instructions provided in Request for Application. Program Participation Grants: State agencies that administer the SNAP, State or local governments; agencies that provide health or welfare services; public health or educational entities and private nonprofit entities such as community-based or faith-based organizations, food banks, or other emergency feeding organizations.

**Beneficiary Eligibility:**

Persons potentially eligible for SNAP benefits (low-income individuals or families).

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions. Nonprofits must also submit an IRS Determination Letter, Form 501C (3). Specific instructions provided in Request for Application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Instructions provided in Request for Application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package should be prepared in accordance with instructions in a specific Request for Application (RFA) and sent to the grant officer identified in the RFA.

**Award Procedure:**

A Grant Review Technical Panel objectively reviews all complete and timely applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Provided in Request for Application.

**Appeals:**

Instructions provided in Request for Application.

**Renewals:**

Instructions provided in Request for Application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Provided in Request for Application. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of SNAP Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 08 \$5,970,709; FY 09 est \$8,983,189; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Unavailable. Fiscal Year 2009: Unavailable. Fiscal Year 2010: Unavailable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Outreach Grants: 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018. Program Participation Grants: 7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3021, 7 CFR Part 3019.

**Regional or Local Office:**

None. Grants Management Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2867. Contact: Leslie Byrd, Grant Officer for Outreach Grants, or Lisa Johnson, Grant Officer for Program Participation Grants.

**Headquarters Office:**

Leslie Byrd, Food and Nutrition Service, Financial Management, Grants Management Branch, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Leslie.Byrd@fns.usda.gov Phone: (703) 305-2867 Fax: (703) 605-0363.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants: <http://www.fns.usda.gov/fsp/outreach/grants/2004/2005-summary.htm> and <http://www.fns.usda.gov/fsp/outreach/grants/2004/summary.htm>. Program Participation Grants: <http://www.fns.usda.gov/fsp/government/participation-grants.htm>. [www.fns.usda.gov/fsp/government/06-participation-grants.htm](http://www.fns.usda.gov/fsp/government/06-participation-grants.htm). [www.fns.usda.gov/fsp/government/pdf/2007-participation-grants.pdf](http://www.fns.usda.gov/fsp/government/pdf/2007-participation-grants.pdf). Fiscal Year 2009: None available. Fiscal Year 2010: None available.

**CRITERIA FOR SELECTING PROPOSALS:**

The review panel to score and rank applications uses Technical Review Criteria, which are furnished to all applicants in the Request for Applications package.

**10.582 FRESH FRUIT AND VEGETABLE PROGRAM**

(FFVP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1769.

**OBJECTIVES:**

To assist States, through cash grants, in providing free fresh fruits and vegetables to school children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under Section 19 of the National School Lunch Act, Federally appropriated Fresh Fruit and Vegetable Program funds are available to State agencies to operate during the school year. Selected low-income public and nonprofit

private elementary schools are reimbursed for produce served to school children outside of the lunch or breakfast food service periods. All participating schools must agree to serve fresh fruits and vegetables free to all enrolled children, and to publicize fresh fruit and vegetable availability within the school. State agencies may select low-income public and nonprofit private elementary schools to participate.

**Applicant Eligibility:**

State agencies may select low-income public and nonprofit private elementary schools to participate.

**Beneficiary Eligibility:**

All elementary school children enrolled in schools participating in the Fresh Fruit and Vegetable Program.

**Credentials/Documentation:**

Applicant organizations must be currently participating in the National School Lunch Program. Must be an elementary school as defined by the State agency. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The school-level application prototype form was furnished by FNS and/or modified by the State agency. An applicant should consult the State office or official designated as the single point of contact in his or her State for the National School Lunch Program for more information on the process the State requires to be followed for the FFVP. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Public or private nonprofit elementary schools make application to the State Agency.

**Award Procedure:**

The elementary schools with the highest percentages of free and reduced price enrollment will be selected. The State agency then enters into an agreement with the selected schools for their participation in the program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency.

**Appeals:**

None. The State agency is responsible for selecting schools based on high free and reduced price enrollment percentages.

**Renewals:**

Annual; amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Permanent, amended as necessary, described by law. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies must ensure that each school food authority with participating schools maintains and submits reimbursement claim forms to the State agency in order to receive reimbursement. State agencies must submit expenditure data quarterly via the SF-425. States must submit final fiscal year grant close out reports within 120 days after the end of the grant period. No cash reports are required. A yearly progress report is required. Program is reviewed and reported on during the regular oversight activities in the National School Lunch Program. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in A-133. The FFVP is subject to audits.

**Records:**

Schools must maintain full and accurate records of the FFVP. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants) FY 08 \$40,000,000; FY 09 est \$65,000,000; FY 10 est \$101,000,000 - Funding will be allocated based on a funding formula. The minimum grant to each of the 50 states and the District of Columbia will equal 1 percent of the funds made available to carry out the Program for school year. The remaining funds will be allocated to each of the 50 States, the District of Columbia, Guam, Puerto Rico and the Virgin Islands based on the proportion of the state population to the U.S. population.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640 , Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.666 SCHOOLS AND ROADS - GRANTS TO COUNTIES**

Schools and Roads - Grants to Counties

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 75-210, 7 U.S.C. 1010-1012, Bankhead-Jones Farm Tenant Act.

**OBJECTIVES:**

To share receipts from the National Grasslands and Land Utilization Projects (LUP) with the Counties in which the National Grasslands and LUP's are situated.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

To be used for the benefit of public schools and public roads of the county or counties in which the National Grassland or LUP's are situated.

**Applicant Eligibility:**

Eligible applicants are counties of the United States containing National Grassland or a LUP.



**Beneficiary Eligibility:**

Counties within the United States.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 U.S.C. 1010-1012, Public Law 75-210.

This program has no matching requirements. The amount paid shall represent 25 percent of all moneys received during the preceding calendar year from each National Grassland or LUP. When a National Grassland or LUP is in more than one State or county, the distributive share to each shall be proportional to its area therein. The term "moneys received" includes: all collections under the Act of June 9, 1930 (Knutson-Vandenberg Act); all moneys collected into the National Grassland Fund from the sale of permits or contracts for timber values, grazing fees, powerline fees, land use fees, recreational special use fees, mineral fees, and recreation user fees.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The payments will be made in March of each year. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

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

**Records:**

n/a.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Formula Grants) FY 08 \$15,718,200; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Bankhead Jones Farm Tenant Act of 1937 (7 USC 1010-1012)

**Regional or Local Office:**

None.

**Headquarters Office:**

Winona Gleason, Albuquerque Service Center, Budget and Finance, All Service Receipts, FS USDA, 110 B Sun Avenue, NE, Albuquerque, New Mexico 87109  
Email: wgleason@fs.fed.us Phone: (505) 563-7467.

**Website Address:**

http://www.fs.fed.us/srs

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.675 URBAN AND COMMUNITY FORESTRY PROGRAM**

(UCF)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Title 16, Part 2105, Section 9, Public Law 95-313, 92 Stat. 365.

**OBJECTIVES:**

To plan for, establish, manage and protect trees, forests, green spaces and related natural resources in and adjacent to cities and towns. The urban forestry program provides ecosystem services, social and economic benefits and links governmental, private and grassroots organizations and resources to improve the quality of life in these cities and towns.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist State Foresters, equivalent State agencies, interested members of the public and private non-profit organizations in urban and community forestry programs in cities and communities.

070a. To provide a national competitive urban and community forestry challenge cost share grant program to assist urban and community forestry efforts across the country and address strategic urban forestry-related issues and opportunities as identified by the National Urban and Community Forestry Advisory Council. Total annual appropriations are reduced by approximately \$1,000,000 to support activities under the national competitive challenge cost share grant program identified in 070a, above.

**Applicant Eligibility:**

State Foresters or equivalent State agencies, interested members of the public, private non-profit organizations and others. All States, as well as the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa and Guam, and other territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

State Foresters or equivalent State agencies, local governments, tribes, and non-profit organizations, and other State, local and private agencies acting through State Foresters, equivalent State agencies or other official representatives as agreed by the State Forester, equivalent State agency, and the Secretary.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 For State and local governments, as implemented by 7 CFR Part 3016.

83a. For the national competitive challenge cost share grant program. Costs will be determined in accordance with OMB Circulars: No. A-87 for State and Local government, as implemented by 7 CFR part 3016; A-102, Grants and Agreements with State, Local and Tribal governments; A-21 Cost Principals for Educational Institutions; and A-110 Grants and Agreements with Universities,

as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Area/Station/IITF offices provide states and territories with program funding advice each year. 91a. For the national competitive challenge cost share grant program. A Request for Proposals (RFP) is advertised with the criteria and eligibility. The RFP is available in hard copy, is published in the Federal Register and is posted on [www.grants.gov](http://www.grants.gov). An electronic mailing list is also maintained by the Washington Office Headquarters Staff. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by OMB Circular A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424). Contact Regional, Area or Institute Office listed in [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

92a. For the national competitive challenge cost share grant program. Eligible applicants prepare grant proposal narratives for submittal to [www.grants.gov](http://www.grants.gov) or via electronic means or hardcopy to the Forest Service contact person noted on the RFP, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by the OMB Circulars.

**Award Procedure:**

Established by the Washington, Regional, Area and Institute offices.

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

93a. For national competitive challenge cost share grant program. Established by the Washington Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established by the Washington, Regional, Area, and Institute offices.

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

Range of Approval/Disapproval varies between Forest Service offices depending on availability of funding.

95a. For the national competitive challenge cost share grant program. Established by the Washington Office.

**Appeals:**

Not Applicable.

**Renewals:**

Amended SF-424 (a) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Washington, Regional, Area or Institute offices.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicant matching requirements are determined by the Washington, Regional and Area offices. If matching funds are required, the funds cannot come from Federal Sources. Cooperator matches may be cash, in-kind and non-cash contributions. Matching requirements may range from 0 percent to 50 percent of the total award amount. 101a. For the national competitive challenge cost share grant program. Applicant match requirements are determined by the Statutory authority which requires a 50:50 match. Matching funds cannot come from other federal sources. The non-Federal share of the match may be in the form of cash, services or in-kind contributions. This program does not have MOE requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Electronic transfer of payments are required. Grants are normally awarded for a period of 12 months. A no cost extension justification must be received and approved by the Forest Service. See the following for information on how assistance is awarded/released: Recipients submit invoices based on actual expenditures on a monthly, quarterly or bi-annual basis as established in the award terms.

**Reports:**

Annual accomplishment reports are required. No cash reports are required. For the national competitive challenge cost share grant program. Narrative progress reports are required at mid-year and year-end. SF-269s are required quarterly. Invoices should provide sufficient additional detail to explain the amount requested for reimbursement. Forest Service program managers will conduct program monitoring for awards under this CFDA.

**Audits:**

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

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 08 \$25,354,000; FY 09 est \$23,912,000; FY 10 est not reported. - FY 2010 estimates are not available at this time.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program assisted 177,600,000 people living in 7,139 communities. The following national performance measures were used to measure how well communities are managing their urban forests: (1) hired professional staff, (2) adopted tree ordinances and policies, (3) implemented an urban forest management plan, and (4) established a local advocacy/advisory organization. 130a. The national competitive challenge cost share grant program. In 2008, the Council recommended and the Secretary approved eight national grants with a total project cost of \$687,000. The Council conducted their second listening forum on Tropical Forestry. The Storms and Urban Forests special report of findings and recommendations, based on the FY 2007 Storms and Urban Forests listening session, was published and submitted to the Secretary. Many of the recommendations are being implemented. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For all grant awards under this CFDA: OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees. Available online at:

<http://www.whitehouse.gov/omb/circulars/index.html>.

<http://www.fs.fed.us/ucf>

**Regional or Local Office:**

See Regional Agency Offices. For Forest Service, State and Private Forestry office addresses and telephone numbers. Visit:

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

**Headquarters Office:**

Paul Ries, 1400 Independence Avenue, SW MAILSTOP 1123 , Washington, District of Columbia 20250 Email: [pries@fs.fed.us](mailto:pries@fs.fed.us) Phone: (202) 205-1602 Fax: (202) 690-5792.

**Website Address:**

<http://www.fs.fed.us/ucf/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples include but are not limited to planning for, establishing, managing and protecting trees, forests, green spaces and related natural resources in and adjacent to cities and towns. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. UCF community grants are based on local needs and resources.

**10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC)****FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 USC 2101 et, seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 USC 1600-1614.

**OBJECTIVES:**

To provide funds, on a cost-share basis, for projects that focus on enhancing opportunities for sustained forest products production for primary and secondary hardwood industries located in the eastern hardwood forest region. In order to maintain and improve the health and stewardship of our eastern hardwood forests, local wood-using industries need to be vibrant and able to utilize a wide variety of resources from the forest. Priorities include: Maintain the economic competitiveness of hardwood industries. Examples include encouraging the adoption of new technology to improve competitiveness and profitability. Bring information and technology about processing, marketing and business-related skills to existing and emerging businesses involved in the development and manufacturing of wood products. Bring information and technology to existing and emerging businesses that focus on urban wood utilization, hazardous fuels reductions, utilization options geared to improving stewardship, forest health, or the use of low value woody biomass. Develop technology and markets to address emergency (global or domestic) issues including: 1. Phytosanitation of wood packaging materials, firewood and similar products to eliminate these pathways for the transport of insect and disease pests, and 2. Development of markets for and utilization of unpredicted increases in volume of urban and rural wood due to incidents like new pest introductions (e.g., Emerald ash borer) and weather events (e.g., tornados, ice storms). Increase the sustainable use of woody biomass to meet our nation's energy and raw materials needs. Examples include public/private partnerships for the use of woody biomass in heating and cooling, process energy, cogeneration, district energy systems, and solid and liquid fuel production. Projects may also develop or maintain local markets and forest industry infrastructure through the increased utilization of woody biomass for both energy and value-added products. Provide key information to address the economic, social and ecological aspects of woody biomass production and use: including sustainable supplies, harvesting techniques, forest management, plantation development, and environmental implications.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects need to compliment existing activities and/or focus on niches that are not being met by either industry or service providers. In addition, projects need to clearly document industry support and involvement. 100%.

**Applicant Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others.

**Beneficiary Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others located in the 35 states of the eastern hardwood forest region including: AL, AR, CT, DE, FL, GA, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, NE, NH, NJ, NY, NC, OH, OK, PA, RI, SC, TN, TX, VT, VA, WV, WI.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An application package (including instructions, application and electronic location of financial forms) is developed each year that provides guidelines for applicants to follow in developing their proposal. Standard financial assistance application forms (SF-424, SF-424A and applicable Certifications) are required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

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**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. SF-424A with SF-424 application is required to amend the awarded amount or length of commitment. Unsuccessful applications can be resubmitted in future years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally awarded for a period of 18 months. See the following for information on how assistance is awarded/released: Established in award terms.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are not applicable. Invoices should provide sufficient detail to document the amount requested for reimbursement. Forest Service program managers will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

No audits are required for this program.

**Records:**

All recipients need to maintain records adequate to collect and report statistical data. Forest Service or its designated representatives will have access to recipient records upon request.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$1,600,000; FY 09 est \$1,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Range varies from \$10,000 to \$100,000. Average grant award is approximately \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Between FY 05 and FY 08, 121 grants have been funded.

Grant details can be viewed at <http://www.na.fs.fed.us/werc/projects.shtm>.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. The program is announced through the Wood Education and Resource Center website and Grants.Gov website.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Patricia S. Palmer 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia  
22209 Email: patriciapalmer@fs.fed.us Phone: 7036054776

**Website Address:**

http://www.na.fs.fed.us/werc/.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

An evaluation panel is convened on an annual basis to evaluate and rate proposals received. Proposals are evaluated on a number of criteria including alignment with WERC's mission and goals, focus on yearly priority items, clear deliverables, industry support, minimal duplication, length of time, multi-state project, training.

**10.682 NATIONAL FOREST FOUNDATION**

National Forest Foundation

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

National Forest Foundation Act, Public Law 101-593-Title IV-Nov. 16, 1990, as amended by Public Law 103-106 Oct. 12, 1993.

**OBJECTIVES:**

The purposes of the Foundation are to- encourage, accept, and administer private gifts of money, and of real and personal property for the benefit of, or in connection with, the activities and services of the Forest Service of the Department of Agriculture; undertake and conduct activities that further the purposes for which units of the National Forest System are established and are administered and that are consistent with approved forest plans; and undertake, conduct and encourage educational, technical and other assistance, and other activities that support the multiple use, research, cooperative forestry and other programs administered by the Forest Service.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To aid conservation partnership projects in support of the Forest Service mission, without regard to when the Foundation incurs expenses, for administrative expenses or projects on or benefitting National Forest System lands or related to Forest Service programs: Provided, That the Foundation shall obtain, by the end of the period of Federal financial assistance, private contributions to match on at least one-for-one basis funds made available by the Forest Service: Provided further, That the Foundation may transfer Federal funds to Federal or a non-Federal recipient for a project at the same rate that the recipient has obtained the non-Federal matching funds.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NFF shall submit a Federal Financial Assistance application SF-424 and SF-424 annually based on the amount of Congressionally appropriated funds each FY

**Award Procedure:**

not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. 50% matching funds to be provided from private contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Accomplishment reports as set forth in the annual award letter are required. No cash reports are required. No progress reports are required. Actual expenditures are detailed on each request for reimbursement and/or advance liquidation request. The Forest Service program manager shall conduct monitoring activities to track program accomplishments.

**Audits:**

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

**Records:**

NFF shall maintain programmatic and accounting records applicable to each annual award for a period of not less than 3 years after the completion of all activities thereunder.

**Account Identification:**

12-1105-0-1-302 - Multiple account codes are used including: 1103, 1104, 1106, 1106, 1115.

**Obligations:**

(Direct Payments for Specified Use) FY 08 not reported.; FY 09 est \$3,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2008 and prior accomplishments: Our joint efforts have led to impressive cumulative conservation results that benefit our National Forests and Grasslands. The following are a few of the cumulative accomplishments made possible by \$62-million of federal and non-federal funds invested in over 500 projects:

345,724 trees planted  
2,933 trail miles repaired, improved and maintained  
49,515 acres of wildlife habitat restored and/or maintained  
13,756 acres of fire-risk reduction  
45,493 acres treated for noxious weeds  
58 collaborative, community-based organizations nurtured and sustained  
33,617 volunteers engaged  
471,564 volunteer hours, equal to almost 59,000 volunteer days. Fiscal Year

2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. National Partnership Office,.

**Headquarters Office:**

Patricia S. Palmer 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia  
22209 Email: patricia.palmer@fs.fed.us Phone: 7036054776

**Website Address:**

<http://www.nationalforests.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.683 NATIONAL FISH AND WILDLIFE FOUNDATION**

National Fish and Wildlife Foundation (NFWF)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Section 2(b)(2) of Public Law 98-244.

**OBJECTIVES:**

Created by Congress in 1984, NFWF directs public conservation dollars to the most pressing environmental needs and matches those investments with private funds. The Foundations method is simple and effective: to work with a full complement of individuals, foundations, government agencies, nonprofits, and corporations to identify and fund the nations most intractable conservation challenges.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To aid cost-share conservation projects, without regard to when expenses are incurred, on or benefitting National Forest System lands or related to Forest Service programs: Provided, That such funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Federal Assistance Application, SF-424 and SF-424A, must be submitted annually based on the amount established in the Forest Service FY appropriation

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 98-244.

Matching Requirements: Percent: 50%. Funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual accomplishment reporting is required. No cash reports are required. No progress reports are required. Actual expenditure detail is required in requests for reimbursement and/or liquidation of advances. The Forest Service program manager will conduct monitoring activities to track accomplishments against goals established in the award terms.

**Audits:**

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

**Records:**

Retain all programmatic and accounting records for a period of not less than three (3) years from the completion date of awards for review by the Forest Service or its designated representative, as required.

**Account Identification:**

12-1103-0-1-302 - Multiple account codes are used including: 1103, 1104, 1105, 1106, 115.

**Obligations:**

(Direct Payments for Specified Use) FY 08 not reported.; FY 09 est \$3,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To date, the Foundation has undertaken over 820 projects in partnership with the FS and has grown roughly \$22 million in FS funds into more than \$88 million for on-the-ground conservation. These projects have focused on the restoration of National Forests, and adjacent private lands, with a goal of improving water quality and enhancing habitat for fish and wildlife species dependant on these forested lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. USDA, Forest Service, National Forest System, Watershed, Fish, Wildlife, Air and Rare Plants, 201 14th Street, SW Washington, DC 20024 (street address and express mail).

**Headquarters Office:**

Patricia S. Palmer 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia  
22209 Email: patricia.palmer@fs.fed.us Phone: 7036054776

**Website Address:**

<http://www.nfwf.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: <http://www.nfwf.org/AM/Template.cfm?Section=FS>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data

Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.685 COMMUNITY WOOD ENERGY PROGRAM**

Farm Bill, Title IX Energy, Section 9013

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, Title IX, Section 9013, Public Law 110-146.

**OBJECTIVES:**

Encourage the development of community wood energy plans and/or acquire or upgrade community wood energy systems.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A community wood energy system acquired with grant funds or receiving technical assistance shall not exceed an output of 50 million Btu per hour for heating and/or 2 megawatts for electric power production. see above. competitive grants, demonstrations, contracts for services, and direct technical assistance are anticipated.

**Applicant Eligibility:**

No additional Information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applicants will submit SF 424 forms as applicable, a proposal, budget and budget narrative along with other information specifically required in the public announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

not applicable.

**Renewals:**

not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. At least 50 percent match is required from Non-Federal funds for grants. Technical Assistance will be based on previous work and commitment to future work demonstrated by the applicant. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not established at this time, although no more than three years. See the following for information on how assistance is awarded/released: reimbursement and/or advance payment on a monthly, quarterly or bi-annual basis.

**Reports:**

The recipient will complete programmatic reports, including an annual report, as indicated in OMB Circulars and award terms. No cash reports are required. This requirement is not fully established at this time. However, programmatic reporting is required and may include progress to date requirements. The recipient will complete required financial reports as indicated in OMB Circulars and award terms. The Forest Service will monitor the progress of recipient perform under awards.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. none at this time

**Records:**

The recipient shall make all program and financial records pertaining to an award available for Forest Service or other designated federal agency auditors for a period of 3 years from the date of award completion.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 08 not reported.; FY 09 est \$5,000,000; FY 10 est \$5,000,000 - FY 2011 estimated funding, \$5,000,000.

**Range and Average of Financial Assistance:**

Not established at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.fpl.fs.fed.us>

**Regional or Local Office:**

See Regional Agency Offices. Eastern US - Lew R. McCreery, Biomass Coordinator, USFS Northeastern Area, 180 Canfield Street, Morgantown, WV 26505, 304-285-1538 FAX: 304-285-1537 [lmccreery@fs.fed.us](mailto:lmccreery@fs.fed.us)  
Western US - Dave Atkins, Forest Service Fuels for Schools Program Manager, 200 E. Broadway, Box 7669, Missoula, MT 59807, 406-329-3134, FAX: 329-3132, [datkins@fs.fed.us](mailto:datkins@fs.fed.us).

**Headquarters Office:**

Steven Yaddof One Gifford Pinchot Drive, Madison, Wisconsin 53726-2398  
Email: [syaddof@fs.fed.us](mailto:syaddof@fs.fed.us) Phone: 608-231-9200 Fax: 608-231-9310

**Website Address:**

<http://www.fpl.fs.fed.us>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Community wood energy systems have been in operation in Vermont since the early 1980s. In the past 7 years, western states have taken this technology and created the "Fuels for Schools and Beyond" program to promote and encourage the use of renewable and sustainable woody biomass to provide reliable heat to schools, hospitals and prisons. Interest continues to grow in many other states. Examples can be found at: <http://www.fuelsforschools.info/projects.html#Case%20Studies>. Fiscal Year 2009: none to report at this time. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

National merit based criteria will be set for competitive grants. State, Tribal or local government request for technical assistance will be competitively selected based on established criteria.

**10.686 FOREST BIOMASS FOR ENERGY**

Forest Biomass for Energy

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, 7 USC 8701, Title IX, Section 9012, Public Law 110-246.

**OBJECTIVES:**

To encourage the use of woody biomass for energy. Priority will be given to projects that: (a) develop technology and techniques to use low-value forest biomass, such as byproducts of forest health treatments and hazardous fuels reduction, for the production of energy; (2) develop processes that integrate production of energy from forest biomass into biorefineries or other existing manufacturing streams; (3) develop new transportation fuels from forest biomass; and (4) improve the growth and yield of trees intended for renewable energy production.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Research and Development activities. 100%.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-proposals will be used for initial screening, using a peer review panel of scientific and technical experts in the field. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Full proposals will be requested from those that are selected in the pre-proposal review. Detailed evaluation criteria will be posted on a Forest Service website, and proposals will be evaluated by a peer review panel of scientific and technical experts in the field. Primary application requirements will include relevance to priorities identified in the announcement for proposals; scientific quality and contribution of the proposed research; evidence of external collaboration; clearly defined outcomes, deliverables, and benefits that can be reported annually; and appropriateness/adequacy of proposed budget.

**Award Procedure:**

Applicants will be required to submit applications using the SF 424 Application for Assistance forms located at [www.grants.gov](http://www.grants.gov); additional application requirements will be contained in the request for proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal requests must be submitted as a new proposal.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 106/113.

Matching Requirements: Percent: 30%. Payments to a named governmental entity are determined as established in Public Law 106-113.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards can be made for multiple-year funding up to three years with second- and third-year funding dependent on available funding. Single-year funding

can have a 2-year term. Either multiple- or single-year funding awards can have a no-cost extension up to one year. See the following for information on how assistance is awarded/released: As stated in the award terms.

**Reports:**

A final report is required for all funded awards. This report can be in the form of a final report or in publications that result from the project. The recipient must be able to report on the fund expenditures. Cash reports are not applicable. Progress reports, if required, will be specified in the award document. Expenditure reports are required using SF 425 Federal Financial Report. This report will replace the SF 269 and SF 272 for financial/expenditure reporting as of 10/1/2009. Performance monitoring activities will be conducted by the Forest Service program manager to measure performance against established award goals.

**Audits:**

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

**Records:**

Complete financial records must be made available to Federally appointed persons upon request.

**Account Identification:**

12-1106-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 08 not reported.; FY 09 est \$15,000,000; FY 10 est \$15,000,000 - Per the authorizing legislation, this program is authorized \$15,000,000 for each of fiscal years 2009 through 2012.

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. USDA Forest Service Research and Development Resource Use Sciences/Forest Management Sciences 1400 Independence Avenue, SW Washington, DC 20250.

**Headquarters Office:**

Patricia S. Palmer 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia 22209 Email: [patriciapalmer@fs.fed.us](mailto:patriciapalmer@fs.fed.us) Phone: 7036054776 Fax: 7036055100

**Website Address:**

<http://www.fs.fed.us/research/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated according to the criteria specified in the program solicitation. All proposals are reviewed competitively by a peer review panel consisting of scientific and technical experts in the field. The agency uses the peer review process to ensure fair and knowledgeable evaluation of pre-proposals and proposals.

**10.687 RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE**

Recovery Act of 2009: CIM

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 ("Recovery Act"): For partnership agreements: Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Section 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154, (Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198(Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements: Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D).

**OBJECTIVES:**

For priority road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

Nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals are eligible. Beneficiary eligibility: nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals and the American Public at large.

**Beneficiary Eligibility:**

In addition to project grants and cooperative agreements, mutual benefit partnership agreements such as Challenge Cost Share Agreements, Participating Agency Agreements, Cooperative Forest Road Agreements will be awarded.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals may be submitted on an unsolicited basis or in response to solicitation opportunities as posted on <http://www.grants.gov>. Competitive and noncompetitive grant or cooperative agreement proposals must be submitted using Standard Form (SF)-424 forms located at: [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**Award Procedure:**

Selection of individual proposals for funding will be based on the capacity of

proposals to create the largest number of jobs in the shortest period of time and which creates lasting value for the American public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approvals/disapprovals notification timing may vary depending upon the release of overall larger area program approvals and related ARRA funding availability.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. Matching requirements as required under specific statutory authority (as cited above) or as may be specifically waived under the terms of the Recovery Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding available under this program are available for obligation through September 30, 2010. See the following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorize by the specific authority under which the awards are being amde.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards.. The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

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

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1102-0-1-302.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$65,000,000; FY 10 est \$65,000,000 - N/A.

**Range and Average of Financial Assistance:**

\$25,000 - \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide the potential recipient with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements. All potential recipients are urged to read and understand the requirements of ARRA funding prior to submission of their application.

**Regional or Local Office:**

See Regional Agency Offices. Please direct inquires regarding implementation of the Recovery Act by the Forest Service to ARRA Senior Accountable Agency Official Dave Dillard, 1400 Independence Avenue, SW, Washington, DC 20250-0003.

**Headquarters Office:**

David Dillard 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: [EconomicRecovery@fs.fed.us](mailto:EconomicRecovery@fs.fed.us) Phone: (800) 832-1355

**Website Address:**

<http://fsweb.wo.fs.fed.us/economicrecovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of individual proposals for funding will be based on the capacity of proposals to create the largest number of jobs in the shortest period of time and which creates lasting value for the American public. Competitive proposals are evaluated according to the criteria specified in the program solicitation by a peer review panel consisting of experts in the field.

**10.688 RECOVERY ACT OF 2009: WILDLAND FIRE MANAGEMENT**

ARRA WFM

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act)

For partnership agreements:

Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Sec. 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154, (Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198(Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended.

For project grants/cooperative agreements:

Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D).

**OBJECTIVES:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote

increased utilization of biomass from Federal, State and private lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote increased utilization of biomass from Federal, State and private lands. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

See 70 above for specific project areas under this CFDA. Applicant eligibility: Nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals

Beneficiary Eligibility: Nonfederal agencies, State and local governments, non-profit organizations, tribal nations, individuals and the American Public at large.

**Beneficiary Eligibility:**

In addition to project grants and cooperative agreements, mutual benefit partnership agreements such as Challenge Cost Share Agreements, Participating Agency Agreements, Cooperative Forest Road Agreements will be awarded.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals may be submitted on an unsolicited basis or in response to solicitation opportunities as posted on <http://www.grants.gov> . Competitive and noncompetitive grant or cooperative agreement proposals must be submitted using Standard Form (SF)-424 forms located at: [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**Award Procedure:**

Selection of individual proposals for funding will be based on the capacity of proposals to create the largest number of jobs in the shortest period of time and which creates lasting value for the American public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approvals/Disapprovals notification timing may vary depending upon the release of overall larger area program approvals and related ARRA funding availability.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. Depending on the authority under which an award is made, matching requirements may exist. Partnership agreements generally require a minimum 20 percent contribution. Awards provided for activities on State and private lands shall not be subject to matching or cost share requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding available under this program are available for obligation through September 30, 2010. See the following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or

cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorized by the specific authority under which the awards are being made.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards. American Recovery and Reinvestment Act (ARRA)-Sections 1512 and 1609 Reporting Requirements: The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

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

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1118-0-1-302.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$50,000,000; FY 10 est \$50,000,000 - no other information.

**Range and Average of Financial Assistance:**

\$25,000 - \$2 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide the potential recipient with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements. All potential recipients are urged to read and understand the requirements of ARRA funding prior to submission of their application.

**Regional or Local Office:**

See Regional Agency Offices. Please direct inquiries regarding implementation of the Recovery Act by the Forest Service to the ARRA Senior Accountable Agency Official David Dillard, 1400 Independence Avenue, SW, Washington, DC 20250-0003.

**Headquarters Office:**

David Dillard, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: [EconomicRecovery@fs.fed.us](mailto:EconomicRecovery@fs.fed.us) Phone: (800) 832-1355.

**Website Address:**

<http://fsweb.wo.fs.fed.us/economicrecovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of individual proposals for funding will be based on the capacity of proposals to create the largest number of jobs in the shortest period of time and which creates lasting value for the American public. Competitive proposals are evaluated according to the criteria specified in the program solicitation by a peer review panel consisting of experts in the field.

**10.689 COMMUNITY FOREST AND OPEN SPACE CONSERVATION PROGRAM (CFP)**

Community Forest Program (CFP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, which amends the Cooperative Forestry Assistance Act of 1978 (16 USC 2103d), Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651.

**OBJECTIVES:**

The purpose of the CFP is to competitively award grants to enable local governments, Indian Tribes, and nonprofit organizations to establish community forests by acquiring and protecting private forest lands that will provide continuing and accessible community benefits. Community benefits provided by community forests established through this program include, but are not limited to: economic benefits through sustainable forest management; environmental benefits such as clean water and wildlife habitat; benefits from forest-based educational program, including vocational education program in forestry and serving as models to guide stewardship on private forest lands; and recreational benefits, including hunting and fishing. Public access to the community forests is required and intended to enhance public health and well-being.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of conveying land to achieve conservation objectives. 100%.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regional/Area/IITF Offices and the State Foresters can be a resource for assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To be determined.

**Award Procedure:**

To be determined.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

To be determined.

**Appeals:**

To be determined.

**Renewals:**

To be determined.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Funds reimbursed by the Federal Government may not exceed 50 percent of the total project budget expended by the grantee. The non-Federal share of the match may be in the form of cash, services, or in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

To be determined. See the following for information on how assistance is awarded/released: As determined by the award terms.

**Reports:**

To be determined. Cash reports are not applicable. To be determined. SF 425 Federal Financial Report will be used to report total program expenditures that clearly reflect the established 50% match. The Forest Service program manager will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

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

**Records:**

Access to financial reports shall be provided to Forest Service or its designees as requested.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Annual funding levels to be determined.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars are applicable to awards under this program.

**Regional or Local Office:**

None. Forest Service S&PF, Cooperative Forestry  
1400 Independence Avenue, SW  
Stop Code 1123  
Washington, DC 20250.

**Headquarters Office:**

Patricia S. Palmer 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia  
22209 Email: patriciapalmer@fs.fed.us Phone: 7036054776

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Community benefits to be achieved from the establishment of the community forest, which may include the following: (1) Any economic benefits through sustainable forest management; (2) The environmental benefits, including clean water and wildlife habitat; (3) Forest-based educational program, including vocational education programs in forestry; (4) Benefits from serving as a model of effective forest stewardship for private landowners; and (5) Type of public access and recreational benefits, including hunting and fishing.

**10.690 LAKE TAHOE EROSION CONTROL GRANT PROGRAM**

Lake Tahoe Erosion Control Grant Program

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Lake Tahoe Restoration Act, Public Law 106-506, as amended by Department of the Interior and Related Agencies Appropriations Act for Fiscal Year 2004, Public Law 108-108.

**OBJECTIVES:**

Make annual payments to the governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin to be used primarily for erosion control and water quality projects. The goal of the program is to provide federal assistance to address urban stormwater runoff pollution, the primary source of pollutants (fine sediment and nutrients) affecting the clarity of Lake Tahoe. This program addresses urban runoff from public roads and right of ways.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Only after water quality and soil conservation thresholds have been achieved, funds may be used to address other environmental threshold categories. Payments shall be used only to carry out a project or proposed project that is part of the environmental improvement program adopted by the Tahoe Regional Planning Agency in 1998. Funds require a 1:1 match by the states of California and Nevada. 100%.

**Applicant Eligibility:**

Eligible applicants: Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Beneficiary Eligibility: Governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Submission of an annual list of priority projects, along with written proposals for each of the identified priority projects. The USFS has chosen to adopt the State guidelines for these proposals, since they meet all the needs for project narratives for federal grant considerations, with one additional requirement. That additional requirement is clear identification of sources and amounts of proposed match funding. Implementation of construction projects under awarded grants are not allowed until a signed project decision under NEPA has been made, allowing the use of federal grant funds for implementation. Local Office monitors grant awards to assure compliance of this restriction. Planning, design, and monitoring grants do not require an environmental impact assessment. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Project narratives submitted through the pre-application process are reviewed by an interagency technical advisory committee convened by the Federal grants program managers. Projects are then identified for selection for award, along with instructions for any needed revisions to the project narratives. At that time, eligible applicants submit revised narratives along with standard application forms and assurances to the Local Office, as furnished by the Federal agency.

**Award Procedure:**

Award letter sent to grantee, with identification of grant requirements, in letter from Local Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Extensions can be made for individual grants as long as end dates do not exceed five years post award date.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Matching requirements are specified in Public Law 106-506, as amended, Public Law 108-108, Section 337. Match must be provided on a 1:1 basis from the states of California and Nevada. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period not to exceed 5 years. Invoices may be submitted no more frequently than monthly. See the following for information on how assistance is awarded/released: As per award terms.

**Reports:**

Bi-annual accomplishment reports are required by Local Office. No cash reports are required. No progress reports are required. Financial expenditures reporting is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial and programmatic records must be retained for three years from the date of submission and approval of final financial reports.

**Account Identification:**

12-5232-0-1-302 - 1214X5232.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$8,665,148; FY 09 est \$9,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

In FY 08, \$229,575 to \$2,600,000. Average award: \$1,237,878.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: It is anticipated that five applications will be received and five awards will be granted in FY 2009 for a total of approximately \$9 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Barb Shanley or Genevieve Villemarie, U.S. Forest Service, 35 College Drive, South Lake Tahoe, CA 96150, Telephone: (530) 543-2657 or 2783, Fax: (530) 543-2693, email: bshanely@fs.fed.us or gvillemarie@fs.fed.us.

**Headquarters Office:**

Patricia S. Palmer, 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia 22209 Email: patriciapalmer@fs.fed.us Phone: (703) 605-4776.

**Website Address:**

<http://www.fs.fed.us/r5/Itbmu/ecgp/index.shtml>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past funded projects include planning, design, and construction of a variety of projects to reduce sources of erosion, and convey

and treat urban runoff within public right of ways, prior to discharge to Lake Tahoe. Funded projects have also included stream environment zone and stream channel restoration projects located within urban area boundaries, as well as select monitoring of urban storm water treatment BMPs implemented in these projects, to evaluate BMP effectiveness and improve the design of future projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants must address planning, construction, or monitoring of projects identified in the Tahoe Regional Planning Agency environmental improvement program. For this, primary criteria projects are selected based on direction provided in the LTRA to provide to the maximum extent practicable that each political subdivision receives some funding and to allocate funding based on the relative need for and merits of projects.

**10.691 GOOD NEIGHBOR AUTHORITY**

Good Neighbor Authority

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Appropriations Act of 2009, Public Law 111-8; FY 2005 Interior and Related Agencies Appropriation Act, Public Law 108-447, 118 Stat. 3012, as amended by Consolidated Security, Disaster Assistance and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

To permit the State Forester of the states of Utah and Colorado to perform forest, rangeland and watershed restoration services on National Forest System lands in the states of Utah and Colorado.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Restoration services provided are on a project-by-project basis as planned or made ready for implementation under existing Forest Service authorities. Types of projects include treatment of insect infected trees, reduction of hazardous fuels, and other activities to restore or improve forest, rangeland and watershed health including fish and wildlife habitat. Projects may be completed by the state of Utah or the state of Colorado or subcontracts utilizing State contract procedures. 100%.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental documentation by the Forest Service is completed prior to inclusion under an award. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Forest Service and the states of Utah and Colorado mutually agree to projects that are appropriate under this authority.

**Award Procedure:**

The law authorizes sole source award of included projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Submit written request with SF-424 application and SF-424A (as applicable) to amend budget amounts or length of commitment; other requirements may be established by the affected Forest Service Supervisor's Office in consultation with the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As specified in award terms, but not to exceed 5 years. See the following for information on how assistance is awarded/released: As specified in award terms.

**Reports:**

The states of Utah and Colorado shall submit a performance report annually. No cash reports are required. No progress reports are required. Financial reports shall be submitted in accordance with award terms. No performance monitoring is required.

**Audits:**

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

**Records:**

All related data, information, records and accounts shall be retained for a period of 3 years beyond the date of submission of final financial reports. Financial and programmatic records will be made available to the Forest Service or its designated agent upon request.

**Account Identification:**

12-1106-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$425,466; FY 09 est \$900,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000. Average: \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Offices in Colorado and Utah for more information.

**Headquarters Office:**

Patricia S. Palmer, 1621 N. Kent Street, Suite 707 RPE, Arlington, Virginia 22209 Email: patriciapalmer@fs.fed.us Phone: (703) 605-4776.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fifty-three projects were conducted under Good Neighbor authority through fiscal year 2008, including 38 in Colorado and 15 in Utah, with most of the projects (44 of 53) conducted on U.S. Forest Service land. These projects included hazardous fuel reduction on about 2,700 acres of national forest and about 100 acres of BLM land, mostly in Colorado, and the repair of fire-damaged

trails and watershed protection and restoration in Utah. Although most projects involved contracting for services such as fuel reduction, some projects involved timber sales in which contractors purchased timber resulting from their fuel reduction activities. These timber sales occurred only in Colorado and totaled about \$26,000. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved and the relationship to regional forest health issues, priorities and needs.

**10.700 NATIONAL AGRICULTURAL LIBRARY**

**FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

5 U.S.C. 301, 552, 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265, and 3318.

**OBJECTIVES:**

To serve as the Nation's Chief Agricultural information resource by providing agricultural information products and services through traditional library functions and through modern electronic dissemination to agencies of the USDA, public organizations, and individuals.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Anyone can use the services. Publications in the library collection are available through interlibrary loan or photo-reproduction, and the library facilities are open to anyone wishing to use them.

**Applicant Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Apply by letter to the Office of Associate Director, Public Services Division, National Agricultural Library, Beltsville, MD 20705.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Grants and Cooperative Agreements.

**Reports:**

Performance Reports. No cash reports are required. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 08 \$23,970,337; FY 09 est \$22,697,472; FY 10 est \$22,697,472

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Resources number over 3.3 million items. Fiscal Year 2009: Resources number over 3.3 million items. Fiscal Year 2010: Resources number over 3.3 million items.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide to the Services of the National Agricultural Library."

**Regional or Local Office:**

See Regional Agency Offices. Office of the Director, National Agricultural Library, Beltsville, MD 20705-2351. Telephone: (301) 504-6780. Use the same number for FTS. Contact: Extramural Agreements Division.

**Headquarters Office:**

Kathleen S. Townson 5601 Sunnyside Ave  
MS-5110  
, Beltsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: 3015041702

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.759 PART 1774 SPECIAL EVALUATION ASSISTANCE FOR RURAL COMMUNITIES AND HOUSEHOLDS PROGRAM (SEARCH)**

SEARCH Grant Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)). , Title 110, Part 234, Section 306(a)(2) , 7 U.S.C 1926 (a)(2)).

**OBJECTIVES:**

To make predevelopment planning grants for feasibility studies, design assistance, and technical assistance, to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants for water and waste disposal projects.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

May fund up to 100 percent of the eligible grant costs, not to exceed \$30,000. Grants can only be made to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants for water and waste disposal projects. Grants can only be made to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants.

**Applicant Eligibility:**

State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals), Public nonprofit institution/organization (includes institutions of higher education and hospitals), U.S. Territories and possessions (includes institutions of higher education and hospitals, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations).

**Beneficiary Eligibility:**

State (includes District of Columbia, public institutions of higher education and hospitals), Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals), Public nonprofit institution/organization (includes institutions of higher education and hospitals), U.S. Territories and possessions (includes institutions of higher education and hospitals, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations).

**Credentials/Documentation:**

Evidence of legal existence and authority, organizational documents, certified list of directors, evidence of tax exempt status, current audit. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public bodies or non-profit organizations may file applications with the RD State Office for the state in which the organization's headquarters is located. Addresses may be found on the web site of the Water and Environmental Programs <http://www.usda.gov/rus/water>.

Intermediaries headquartered in the District of Columbia may file the application with the National Office, USDA, Rural Utilities Service, Water and Environmental Programs, STOP 1570, 1400 Independence Avenue SW, Washington, DC 20250-1570.

All required forms may be found on the RUS Water Programs web page at <http://www.usda.gov/rus/water/program.htm>; on that page, select Revolving Fund Program.

- (1) Application for Federal Assistance: Standard Form 424;
- (2) Budget Information Non-Construction Programs: Standard Form 424A;
- (3) Assurances Non-Construction Programs: Standard Form 424B;
- (4) Certification of Compliance with Federal Requirements/Laws (see Exhibit E);
- (5) Evidence of applicants legal existence and authority in the form of certified copies of organizational documents and a certified list of directors and officers with their respective terms;
- (6) Evidence of tax exempt status from the Internal Revenue Service;
- (7) Current audit of the organization;
- (8) Explanation of budget and accounting system in place or proposed, with the administrative cost for operating the fund expressed as a percentage of the overall budget;
- (9) Form AD1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transaction.
- (10) Form AD 1049, Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative I For Grantees Other Than Individuals.
- (11) Form AD 1048, Certification Regarding Debarment.
- (12) Attachment regarding assistance provided to Rural Development

Employees as required by RD Instruction 1900D.  
(13) Form RD 4004, Assurance Agreement.  
(14) Form RD 4001, Equal Opportunity Agreement."

**Award Procedure:**

Selected applicant(s) will be notified by Form AD 622.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Generally, you have the right to appeal adverse decisions, but certain RUS decisions cannot be appealed. In the case where you are denied grant funding due to a lack of funds available for the grant program, this decision cannot be appealed. However, you may write the Area Supervisor, National Appeals Division, to review the accuracy of our finding that the decision cannot be appealed. The address for the Area Supervisor will be provided with the Form AD-622 informing you that you were eligible but not selected for funding. Your letter to the Area Supervisor must be postmarked no later than 30 days from the date of the Form AD-622 notification.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Quarterly or semi-annual narrative reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Not Applicable.

**Account Identification:**

12-1980-0-1-072.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$5,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

Up to \$30,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1774; RUS Instruction 1780; OMB Circular A87, OMB Circular A110, OMB Circular A102 or OMB Circular A122; Executive Order 12866; and Executive Order 12988

**Regional or Local Office:**

None.

**Headquarters Office:**

Anita O'Brien 1400 Independence Ave., SW

Stop 1570, Washington, District of Columbia 20005 Email:  
anita.obrien@wdc.usda.gov Phone: 202-690-3789

**Website Address:**

http://http://www.usda.gov/rus/water

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be selected based primarily on the funding priorities in Section 1780.17 of RUS Instruction 1780. The State Program Official discretionary points stated in Section 1780.17 (e) of RUS Instruction 1780 can also include consideration of the following criteria:

- (a) Systems with limited resources.
- (b) Smallest systems with lowest incomes.
- (c) Funds availability.

**10.760 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: a poverty rate that is 60 percent of market 4.5 percent rate when the loan is required to meet health or sanitary standards and the median household income of the service area is below the higher of the poverty line or 80 percent of the statewide nonmetropolitan median household income; an intermediate rate that is 80 of halfway between 4.5 percent and market rate if the median household income of the service area is not more than 100 percent of the nonmetropolitan median household income of the State; and a market rate for those applicants that do not qualify for 4.5 percent the poverty rate or the intermediate rate. The interest rate on guaranteed loans is negotiable between the applicant and the lender.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Facilities shall primarily serve rural residents and rural businesses. The service area shall

not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median household incomes (MHI) for the applicant service area: 0.5 percent when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's non-metropolitan household income (NMHI); 1.0 percent when the NMHI of the service area exceeds the 0.5 percent requirement but is not more than 100 percent of the State's NMHI; no RUS grant funds will be used in any project when the MHI of the service area is above the poverty line and more than 100 percent of the State's NMHI. The RUS grant may not exceed 75 percent of the eligible project development cost when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's NMHI and the project is necessary to alleviate a health or sanitary problem; 45 percent when the MHI of the service area exceeds the 75 percent requirements, but is not more than 100 percent of the State's NMHI. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. Funds are allocated to States based upon rural population, number of households in poverty, and unemployment. This program has no matching

requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-4155-0-3-452; 12-0400-0-1-452.

**Obligations:**

(Direct Loans) FY 08 \$1,261,000,000; FY 09 est \$857,000,000; FY 10 est \$857,000,000. (Guaranteed/Insured Loans) FY 08 \$18,402,000; FY 09 est \$75,000,000; FY 10 est \$75,000,000. (Project Grants) FY 08 \$427,000,000; FY 09 est \$286,000,000; FY 10 est \$286,000,000

**Range and Average of Financial Assistance:**

(FY 2008) (Direct Loans) \$5,000 to \$17,000,000; \$1,424,000; (Grants) \$10,000 to \$8,000,000; \$702,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008 there were 886 direct, 17 guaranteed loans, and 608 grants made. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants, 7 CFR 1779, Water and Waste Disposal Program Guaranteed Loans.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Water and Environmental Programs Department of Agriculture, Rural Utilities Service, Washington, District of Columbia 20250 Phone: (202) 690-2670

**Website Address:**

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

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;  
14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following areas received funds for specified projects: Construct new water system consisting of water lines, pumping stations, wells, storage tanks and treatment plants; water system improvements consisting of additional water lines, new water treatment facility and booster pump; renovation of existing water system which includes new distribution lines, wells and pressure tanks; construct new waste water collection and treatment systems; replace waste water treatment plant and improve waste water collection lines; rehabilitate waste water collection lines and construct lift station; purchase site for landfill; and purchase trucks and equipment for solid waste disposal. Fiscal



Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

#### **10.761 TECHNICAL ASSISTANCE AND TRAINING GRANTS**

TAT Grants

#### **FEDERAL AGENCY:**

Rural Development, Department of Agriculture

#### **AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Sections 306(a)(16)(A), Public Law 99-198, 7 U.S.C. 1926(a).

#### **OBJECTIVES:**

To identify and evaluate solutions to water and waste disposal problems in rural areas; to assist applicants in preparing applications made in accordance with 7 CFR 1780; to improve operation and maintenance of water and waste disposal facilities in rural areas.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used to pay expenses associated with providing technical assistance and/or training (TAT) to identify and evaluate solutions to water problems relating to source, storage, treatment, and distribution, and to waste disposal problems relating to collection, treatment, and disposal; assist applicants that have filed a preapplication with RUS in the preparation of water and/or waste disposal loan and/or grant applications; and to provide training that will improve the management, operation and maintenance of water and waste disposal facilities. Grant funds may not be used to recruit applications, duplicate current services such as those performed by a consultant in developing a project, fund political activities, pay for capital assets, purchase real estate or vehicles, improve and renovate office space or repair and maintain privately owned property, pay construction or O&M costs, and pay costs incurred prior to the effective date of grants made.

#### **Applicant Eligibility:**

Private nonprofit organizations that have been granted tax exempt status by the Internal Revenue Service of the United States. Applicants must have proven ability, background, experience, legal authority and actual capacity to provide technical assistance and/or training on a regional basis to associations.

#### **Beneficiary Eligibility:**

Entities that may be eligible for water and waste disposal loans and grants (10.760) such as municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, or private corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

#### **Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-110 and A-122. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular Nos. A-110 and A-122. Preapplication form SF 424.1, will be filed with the appropriate Rural Development (RD), formerly

FMHA, State or Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

#### **Award Procedure:**

Preapplications received by an RD State office will be reviewed and forwarded with any written comments within 7 working days to the RUS National Office, Washington, DC.

#### **Deadlines:**

Oct 01, 2009 to Dec 31, 2009 Preapplications must be filed between October 1 and December 31 of each fiscal year.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Form AD-622 "Notice of Preapplication Review Action" will normally be issued within 45 days after December 31 of each year. SF 424.1 "Application for Federal Assistance (for Non-construction)," will be submitted by the applicant upon notification of funding eligibility.

#### **Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the technical assistance and/or training grant project is 12 months or less. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

All grantees will submit quarterly reports to the RUS National Office through the appropriate RD State Office. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

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

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

#### **Account Identification:**

12-0400-0-1-452.

#### **Obligations:**

(Project Grants) FY 08 \$18,370,500; FY 09 est \$19,000,000; FY 10 est \$19,000,000

#### **Range and Average of Financial Assistance:**

\$80,000 to \$10,300,000. Average: \$1,800,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 10 grants were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1775, Technical Assistance and Training Grants.

#### **Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD district office number. If no listing, get in touch with the appropriate RD State

Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Water and Environmental Programs Department of Agriculture, Rural Utilities Service, Washington, District of Columbia 20250 Phone: (202) 690-2670

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Recipients of this program received funds to administer technical assistance and training to small communities experiencing water and waste disposal problems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Assistance will be directed to those applicants who: (1) Have demonstrated ability to provide technical assistance and/or training to rural associations; (2) propose to serve multi-state, regional, or nationwide areas; (3) maximize use of grant funds for direct staffing of activities that are delivered to the associations; and (4) the population of the associations served have low income.

**10.763 EMERGENCY COMMUNITY WATER ASSISTANCE GRANTS**

Emergency Community Water Assistance Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306A; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Through the Emergency Community Water Assistance Grant Program, the Rural Utilities Service (RUS) is authorized to help rural residents who have experienced a significant decline in quantity or quality of water to obtain adequate quantities of water that meet the standards of the Safe Drinking Water Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to extend waterlines on existing systems; to construct new water lines; to repair existing systems; to perform significant maintenance on existing systems; to construct new wells, reservoirs, transmission lines, treatment plants, storage tanks, etc.; to replace equipment; to provide connection and/or tap fees; to pay costs incurred within six months of the date an application was filed with USDA to correct an emergency situation that would have been eligible for funding under this program; to provide funds for any other appropriate related purposes, such as, legal fees; engineering fees; recording costs; environmental impact analyses; archaeological surveys; possible salvage or other mitigation measures; planning, establishing, or acquiring rights associated with developing sources of treating, storing, or distributing water; and to assist rural water systems in complying with the requirements of the Federal Water Pollution Control Act or the Safe Drinking Water Act, when failure to comply is directly related to a recent decline in quality of potable water. Grants provided under this program shall not be used to assist a rural area or community with a population in excess of 10,000; to assist a rural area that has a median household income in excess of the statewide nonmetropolitan median household income according to the most recent decennial census of the U.S.; to finance facilities which are not modest in size, design, and cost; to pay loan or grant finder's fees; to pay any annual recurring costs considered to be operational expenses; to pay rental for the use of equipment or machinery owned by the rural community; to purchase existing systems; to refinance existing indebtedness; and to make reimbursement for projects developed with other grant funds. Grants made to alleviate a significant decline in quantity or quality of water available from the water supplies in rural areas that occurred within two years of filing an application with USDA cannot exceed \$500,000. Grants for repairs, partial replacement, or

significant maintenance on an established system cannot exceed \$150,000.

**Applicant Eligibility:**

Rural Development Utilities Programs may make grants to public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Rural Development (RD) State Director will administer the program on the local level. This program is subject to the provisions of 7 CFR Parts 3015 and 3016. Application Form SF-424 will be filed with the appropriate RD District office.

**Award Procedure:**

Applications received will be reviewed and scored for funding priority by the RD State office. The RD State Director will request funds from the National office. Projects must compete on a national basis for available funds.

**Deadlines:**

Nov 01, 2009: All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year. All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 60 days of receipt of complete application.

**Appeals:**

From 30 to 60 days. If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the higher management level of RUS.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$6,832,100; FY 09 est \$4,539,600; FY 10 est \$4,539,600

**Range and Average of Financial Assistance:**

\$90,000 to \$500,000. Average: \$302,640.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 24 grants were awarded, and in fiscal year 2009, 15 grants were made. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1778.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under United States Government, Department of Agriculture for Rural Development District Office number. If no listing, contact appropriate Rural Development State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Water and Environmental Programs Rural Development, Rural Utilities Service, Washington, District of Columbia 20250 Phone: (202) 690-2670

**Website Address:**

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

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities; 10.766 Community Facilities Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Rural communities can use these funds to correct drinking water problems that have been created by a significant decline in quantity or quality of their water supply. The communities use the funds for new systems, waterline extensions, construction of water sources and treatment facilities, storage tanks, and repairs or renovation of existing systems. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The proposed projects designed to serve a rural area with a population of 5,000 or less that has a median household income of not more than 70 percent of the statewide nonmetropolitan household income and had a significant decline in quantity of water available from private individually owned wells will be given priority. Preference also will be given to proposed projects that will assist an established water system or remedy an acute shortage of quality water. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding.

**10.766 COMMUNITY FACILITIES LOANS AND GRANTS**

Community Facilities Loans and Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act.

**OBJECTIVES:**

To construct, enlarge, extend, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Community facilities include, but are not limited to, those providing or supporting overall community development such as child care facilities, food recovery and distribution centers; assisted-living facilities; group homes, mental health clinics, and shelters; and education facilities. Projects comprise community, social, cultural, transportation, industrial park sites, fire and rescue services, access ways, and utility extensions. All facilities financed in whole or in part with RHS funds shall be for public use. Applicant Eligibility: City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Applicant Eligibility:**

City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

Evidence of legal capacity and financial responsibility of the applicants and the economic feasibility of the project relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as provided by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires in applying for assistance if the State has selected the project for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at the local Rural Development Area Office. For guaranteed loans, the lender must file For RD 3575-1 and supporting documentation.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed. Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching funds are not required but may be used in connection with the funds provided from the applicant or other sources. Funds are allocated to States based upon rural population, number of households below the poverty level, and rural unemployment. The statistical factor for eligibility is cities, towns or incorporated areas under 20,000 population for direct and guaranteed loans and 20,000 population for grants. The source is "Latest Decennial Census."

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of Community Facilities loan or grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by RHS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: See Above.

**Reports:**

Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**

12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 08 \$362,549,980; FY 09 est \$302,584,980; FY 10 est \$294,961,832. (Guaranteed/Insured Loans) FY 08 \$228,658,188; FY 09 est \$226,107,782; FY 10 est \$206,417,445. (Project Grants) FY 08 \$20,443,499; FY 09 est \$20,725,892; FY 10 est \$20,373,000

**Range and Average of Financial Assistance:**

Direct Loans: \$5,000 to \$9,000,000. Average: \$665,229. Guaranteed Loans: \$25,000 to \$18,000,000. Average: \$1,772,544. Grants: \$415-\$173,000. Average \$29,415.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Direct Loans - 545; Guaranteed Loans - 129; Grants - 695. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, subpart A, Community Facilities Loans; 7 CFR 1942, subpart C,

Fire and Rescue Loans; 7 CFR 3575, subpart A, Community Facilities Guaranteed Loans; 7 CFR 3570, subpart B, Community Facilities Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, Stop 0788  
1400 Independence Avenue, SW , Washington, District of Columbia  
20250-0788 Phone: (202) 720-1490.

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service; 10.664 Cooperative Forestry Assistance; 15.124 Indian Loans\_Economic Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Loans were made to: (1) establish rural health clinics in medically underserved areas; (2) purchase fire fighting, rescue, and public safety equipment for rural areas; (3) construct new municipal buildings; (4) build new schools to serve rural communities; and (5) renovate hospitals to meet current life/safety codes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendations. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

**10.770 WATER AND WASTE DISPOSAL LOANS AND GRANTS (SECTION 306C)**

Water and Waste Disposal Loans and Grants (Section 306C)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306C, 7 U.S.C. 1926(c), as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Provide water and waste disposal facilities and services to low income rural communities whose residents face significant health risks.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for 100 percent of costs to: Construct, enlarge, extend, or otherwise improve a community water or waste system; extend service lines and connect individual residences to a system. Allow applicant to make grants directly to individuals to: Extend service lines, connect resident's plumbing to system, pay reasonable charges and fees for connecting to system, installation of plumbing and related fixtures, and construction in dwelling of a bathroom.

**Applicant Eligibility:**

Local level governments, federally recognized Indian tribes, U.S. Territories and possessions, and nonprofit associations can receive assistance under this program. Except for rural areas known as "Colonia" along the U.S./Mexico border, the projects funded under this program must primarily provide water and/or waste disposal services to residents of a county where the per capita income of the residents is not more than 70 percent of the most recent national average per capita income, as determined by the U.S. Department of Commerce, and unemployment rate of the residents is not less than 125 percent of the most recent national average unemployment rate, as determined by the Bureau of Labor Statistics. Also the residents must face significant health risks

due to not having access to an affordable community water and/or waste disposal system.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, cooperatives, political subdivisions of a State, and Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to file a application Form SF-424 with the appropriate Rural Development (RD) Office.

**Award Procedure:**

Applications will be reviewed and scored for funding priority by the RD State Office. Applications must compete on a national basis for available funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Applicants that are determined to be not eligible may request review of this decision at a higher management level of Rural Development Utilities Programs.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Requests for funds are granted as needed.

**Reports:**

Required to maintain records and accounts to assure funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Required to maintain records and accounts to assure funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Direct Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Only grant funds for

Colonies have been appropriated for this program. (Project Grants (Discretionary)) FY 08 \$23,383,934; FY 09 est \$24,500,000; FY 10 est \$24,500,000 - Colonias Grants. (Project Grants (Discretionary)) FY 08 \$21,604,466; FY 09 est \$16,000,000; FY 10 est \$16,000,000 - American Tribe Grants.

**Range and Average of Financial Assistance:**

(Colonias Grants) FY 08 \$66,364 to \$2,395,000 Average: \$806,342.

(Native American Tribe Grants) FY 08 \$ 70,000 to \$1,000,000 Average: \$864,178.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1777.

**Regional or Local Office:**

See Regional Agency Offices. Consult local telephone directory under United States Government, Department of Agriculture, for Rural Development office number. If no listing contact appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Water and Environmental Programs Department of Agriculture, Rural Utilities Service, Washington, District of Columbia 20250 Phone: (202) 690-2670

**Website Address:**

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

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A proposed project servicing a rural area with a population not in excess of 1,500, a median household income not in excess of 50 percent of the statewide no metropolitan median household income and servicing residents of a Colonia along the U.S./Mexico border will be given priority. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding. Fiscal year 2000 funding is limited to the Colonias.

**10.780 COMMUNITY FACILITIES LOANS AND GRANTS**

Community Programs

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926 (a)(1) and (a)(19). American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The objective of the Community Facilities (CF) direct loan and grant program is to provide loan and/or grant funds to rural communities to construct, enlarge, expand, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Essential community facilities are fire, rescue, and public safety, health services, community, social and cultural services, and transportation facilities. Funds are used to pay reasonable fees and costs associated with the loan, interest on loans until the facility is self-supporting, and the costs of acquiring interest in land and rights. Funds may also be used to construct or renovate facilities, purchase equipment, and pay initial operating expenses. Loan funds may not be used to finance; (a) on-site utility systems or businesses; (b) industrial buildings in connection with industrial parks; (c) community antenna television services; (d) electric generation (except for hydroelectric) or

transmission facilities; (e) telecommunication systems; (f) facilities which are not modest in size, design, or cost; and (g) loan or grant finder's fees.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act and Buy American requirements. Contact your Rural Development State Office to determine the eligible interest rate for your area.

**Applicant Eligibility:**

Eligibility for CF direct loan assistance is based on; (a) the type of organization applying for the loan (public body, non-profit organization, or federally recognized Indian tribe); (b) whether the applicant can demonstrate that it is unable to finance the proposed project from its own resources or from commercial credit at reasonable rates and terms; (c) whether the applicant has authority to develop, own and operate the proposed facility; and (d) whether the applicant can legally borrow money and make payments on debts obligated.

Grant assistance may be provided to an essential community facility that must be located and primarily serve a rural area(s) and where the median household income of the service area is below the higher of the poverty line or eligible percentage (60, 70, 80, 90) of the State non metropolitan median household income. Projects are selected based on a priority point system. Projects that received priority are those that serve small or low-income communities and those that provide health care, public safety, or public and community services.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

The applicant must certify in writing and provide evidence that credit for the project is not available from commercial sources at reasonable rates and terms. Other supporting documentation necessary to make an eligibility determination should include financial statements, audits, and copies of organizational documents or existing debt instruments. The loan and/or grant docket should also include related forms, materials, and information. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All applications requesting assistance through the American Recovery and Reinvestment Act of 2009 (ARRA) funds are to be clearly identified when the applications are submitted to the USDA Rural Development Area Office. State Directors have the authority to approve loans and award grants as long as it is within the State Director's approval authority.

The Area Office will normally be the entry point for preapplications and serve as a local contact point. Applications will be filed with the Area Office and loans will be processed to the maximum extent possible by the Area Office staff. The Agency should issue Form AD-622 inviting an application within 45 calendar days from receipt of the preapplication.

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. For direct loans and grants, applications are made and processed at the Rural Development field office serving the county where the facility is or will be located. Applicants must file Standard Form SF-424 and provide supporting documentation at the local Rural Development Area Office.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Contact the State Office for Range of Approval/Disapproval Time.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision. Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Request for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of Community Facilities loan or grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. See the following for information on how assistance is awarded/released: Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. Recipients must also comply with reporting requirements established in Division A of the American Recovery and Reinvestment Act (Public Law 111-005).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**

12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est \$1,100,000,000; FY 10 est not reported. (Project Grants) FY 08 not reported.; FY 09 est \$63,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Direct Loans range from \$3,000 to \$11,000,000. An average of \$847,971. Grants range from \$570 to \$120,750. An average of \$36,753.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations, administrative notices, and other program literature can be found at the USDA website at <http://www.rurdev.usda.gov/regs>.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development local field office or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Deputy Administrator, Community Programs U.S. Department of Agriculture  
1400 Independence Avenue, S.W.  
Mail Stop 0788, Washington, District of Columbia 20250-0788 Phone:  
202-720-1490

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendation. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

**10.781 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES - ARRA****FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: a poverty rate that is 60 percent of market rate when the loan is required to meet health or sanitary standards and the median household income of the service area is below the higher of the poverty line or 80 percent of the statewide nonmetropolitan median household income; an intermediate rate that is 80 of market rate if the median household income of the service area is not more than 100 percent of the nonmetropolitan median household income of the State; and a market rate for those applicants that do not qualify for the poverty rate or the intermediate rate. The law authorizing the program allows a maximum repayment period of 40 years. However, the repayment period cannot exceed the useful life of the facilities financed or any statutory limitation on the applicants borrowing authority.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median household incomes (MHI) for the applicant service area: 0.5 percent when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's non-metropolitan household income (NMHI); 1.0 percent when the NMHI of the service area exceeds the 0.5 percent requirement but is not more than 100 percent of the State's NMHI; no RUS grant funds will be used in any project when the MHI of the service area is above the poverty line and more than 100 percent of the State's NMHI. The RUS grant may not exceed 75 percent of the eligible project development cost when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's NMHI and the project is necessary to alleviate a health or sanitary problem; 45 percent when the MHI of the service area exceeds the 75 percent requirements, but is not more than 100 percent of the State's NMHI. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A102 must be used for this program. An environmental assessment is required for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110

**Award Procedure:**

the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Sep 28, 2009 to Sep 30, 2010

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009. See Section 1512 of The American Recovery and Reinvestment Act of 2009. Progress reports are not applicable. See Section 1512 of The American Recovery and Reinvestment Act of 2009. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-0400-0-1-452 - ARRA; 12-0400-0-1-452 - ARRA.

**Obligations:**

(Direct Loans) FY 08 \$0; FY 09 est \$1,000,000,000; FY 10 est \$1,700,000,000. (Project Grants) FY 08 \$0; FY 09 est \$580,000,000; FY 10 est \$344,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator Department of Agriculture, Rural Utilities Service, Water and Environmental Programs, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

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

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;

14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The following areas received funds for specified projects: Construct new water system consisting of water lines, pumping stations, wells, storage tanks and treatment plants; water system improvements consisting of additional water lines, new water treatment facility and booster pump; renovation of existing water system which includes new distribution lines, wells and pressure tanks; construct new waste water collection and treatment systems; replace waste water treatment plant and improve waste water collection lines; rehabilitate waste water collection lines and construct lift station; purchase site for landfill; and purchase trucks and equipment for solid waste disposal. Fiscal Year 2010: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.783 RURAL BUSINESS ENTERPRISE GRANTS - ARRA**

RBEG - ARRA

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 92-419, 7 U.S.C. 1989, Public Law 101-624, Public Law 102-142, 7 U.S.C. 1932.

**OBJECTIVES:**

To facilitate the development of small and emerging private business, industry, and related employment for improving the economy in rural communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Rural business enterprise grant (RBEG) funds may be used to create, expand or operate rural distance learning networks or programs that provide educational or job training instruction related to potential employment or job advancement to adult students; develop, construct or acquire land, buildings, plants, equipment, access streets and roads, parking areas, utility extensions, necessary water supply and waste disposal facilities; refinancing; services and fees; and to establish a revolving loan fund. All uses must assist a small and emerging private business enterprise except for the TDG program.

**Applicant Eligibility:**

Applicants eligible for RBEG funds are public bodies and nonprofit corporations serving rural areas such as States, counties, cities, townships, and incorporated towns and villages, boroughs, authorities, districts and Indian tribes on Federal and State reservations which will serve rural areas. Applicants eligible for TDG funds are statewide, private, nonprofit, public television systems whose coverage is predominantly rural. Rural area for this program is defined as a city, town, or unincorporated area that has a population of 50,000 inhabitants or less, other than an urbanized area immediately adjacent to a city, town, or unincorporated area that has a population in excess of 50,000 inhabitants.

**Beneficiary Eligibility:**

A small and emerging private business enterprise which will employ 50 or less new employees and has less than \$1.0 million in projected gross revenue. Public bodies, private nonprofit corporations, and Federally recognized Indian tribes receive the grant to assist a business. Grants are not made directly to the business.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility



relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF-424 is filed at the Rural Development local office.

**Award Procedure:**

After the application has been reviewed by the RD local office, it is forwarded to the RD State Office for review and processing instructions. Following approval by the State Office, funds are made available to the local office for final delivery. Notification of awards must be made to the designated State Central Information Reception Agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. Applicant may request a review of this decision from the next higher management level of Rural Business-Cooperative Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds to be available through September 30, 2010. Method of awarding/releasing assistance: quarterly.

**Reports:**

Forms SF-269, "Financial Status Report," and a Project Performance Activity Report are required of all grantees on a quarterly basis (due 15 working days after end of quarter). A final Project Performance Report is required with the last SF-269. The final report may serve as the last quarterly report. Grantees shall constantly monitor performance to ensure that time schedules are being met, projected work by time periods is being accomplished, and other performance objectives are being achieved. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipients systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$54,612,299; FY 09 est \$38,227,000; FY 10 est

\$38,227,000

**Range and Average of Financial Assistance:**

Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, Subpart G

**Regional or Local Office:**

See Regional Agency Offices. A listing of RD State Offices can be found at <http://www.rurdev.usda.gov/scrty/sdirs.html>.

**Headquarters Office:**

Director, Specialty Programs Division Rural Business-Cooperative Service, Department of Agriculture  
1400 Independence Ave., SW , Washington, District of Columbia 20250 Phone: 2027201400

**Website Address:**

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

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.768 Business and Industry Loans; 10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A \$100,000 grant to train small businesses focusing on strengthening the workforce, foster development and removing barriers. Fiscal Year 2009: A \$30,000 grant was made to provide an extensive training program for prospective rural entrepreneurs and managers, as well as existing small business owners. Fiscal Year 2010: Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects selected for funding should, as much as practical, adhere to the following priorities: (1) Projects which will be located in communities having a large portion of their population with low incomes; (2) projects which will save existing jobs; (3) projects which will create jobs; and (4) projects located in areas with high unemployment rate. In addition to meeting the requirements of the RBEG Program, applicants must also comply with applicable provisions of the ARRA and any related regulations and guidance.

**10.787 BROADBAND INITIATIVES PROGRAM**

Broadband Initiatives Program (BIP)

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009.  
, Public Law 111-5, 123 Stat. 115, 7 U.S.C 901.

**OBJECTIVES:**

The purpose of the Broadband Initiatives Program (BIP) to make loans and grants for the purpose of facilitating broadband deployment in rural communities.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Under BIP, RUS will award grants, loans, and loan/grant combinations for broadband infrastructure. Grants under BIP are to be used to fund applications proposing to exclusively serve remote, unserved, rural areas. BIP loan and loan/grant combination funds are to be used to provide funding to applications proposing to serve non-remote and underserved rural areas. Projects which include non-remote and remote areas will be funded by loans or loan/grant combinations. The size of the grant portion of any loan/grant combination award is determined by the applicant, but cannot exceed the amount of the loan portion of the award. RUS will favor applications that propose a higher percentage of loan funds. Applicants may request 100 percent loan funding. RUS will seek to make the extension of broadband infrastructure into difficult-to-serve areas affordable a key objective of BIP funding through

substantial grant funds and attractive loan terms with reasonable security requirements. The following terms shall apply to the loans, as well as other terms that are specified in the loan documents:

i. Interest rate. Loans shall bear interest at a rate equal to the cost of borrowing to the Department of Treasury for obligations of comparable maturity. The applicable interest rate will be set at the time of each advance.

ii. Repayment period. Unless the applicant requests a shorter repayment period, broadband loans must be repaid with interest within a period that, rounded to the nearest whole year, is equal to the expected Composite Economic Life of the assets to be financed, as determined by RUS based upon acceptable depreciation rates.

iii. Amortization period. Interest begins accruing on the date of each loan advance and interest payments are due monthly. Upon completion of the buildout, or a date certain that is determined at closing, whichever occurs first, monthly principal payments will be established in an amount that amortizes the outstanding balance over the remaining term of the loan.

iv. Fidelity bonding. Applicants must agree to obtain a fidelity bond for 15 percent of the loan amount. The fidelity bond must be obtained as a condition of loan closing. RUS may reduce the percentage required if it determines that 15 percent is not commensurate with the risk involved.

v. Security. The loan portion of the award must be adequately secured, as determined by RUS.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance, or will comply, with the Department of Agriculture assurances included in the standard application. Applicants must also provide assurances that they will substantially complete funded projects in accordance with project timelines. BIP applicants must commit to the following Nondiscrimination and Interconnection Obligations: i. Adhere to the principles contained in the FCC's Internet Policy Statement (FCC 05151, adopted August 5, 2005); ii. not favor any lawful Internet applications and content over others; iii. display any network management policies in a prominent location on the service providers web page and provide notice to customers of changes to these policies (awardees must describe any business practices or technical mechanisms they employ, other than standard best efforts Internet delivery, to allocate capacity; differentiate among applications, providers, or sources; limit usage; and manage illegal or harmful content); iv. connect to the public Internet directly or indirectly, such that the project is not an entirely private closed network; and v. offer interconnection, where technically feasible without exceeding current or reasonably anticipated capacity limitations, on reasonable rates and terms to be negotiated with requesting parties. This includes both the ability to connect to the public Internet and physical interconnection for the exchange of traffic. Applicants must disclose their proposed interconnection, nondiscrimination, and network management practices with the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance to potential applicants regarding the requirements of the Broadband Initiatives Program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria as established in the Notice of Funding Availability.

**Deadlines:**

Jul 14, 2009 to Aug 14, 2009

**Range of Approval/Disapproval Time:**

From 90 to 120 days. All awards under BIP must be made no later than September 30, 2010.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

While the completion time will vary depending on the complexity of the project, award recipients must substantially complete projects supported by this program no later than two years, and projects must be fully completed no later than three years, following the date of issuance of the award. See the following for information on how assistance is awarded/released: Financial assistance is generally released as required during the award.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. RUS may establish additional reporting and information requirements for any recipient of an award. No cash reports are required. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to RUS ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from RUS.
2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
  - a. The name of the project or activity;
  - b. A description of the project or activity;
  - c. An evaluation of the completion status of the project or activity;
  - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment.No cash reports are required. See above reporting requirements. See above reporting requirements.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted or the Loan is Paid in Full.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. (Project Grants (Discretionary)) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Up to \$1,200,000,000 is available for Last Mile projects. These projects may consist of Remote Area projects or Non-Remote projects.

Up to \$400,000,000 is available for grants for Remote Area projects.

Up to \$800,000,000 is available for loans or loan/grant combinations for Non-Remote projects.

Up to \$800,000,000 is available for loans or loan/grant combinations for Middle Mile projects.

Funds made available but not used during the first NOFA round may be directed to subsequent NOFAs.

All awards under BIP must be made no later than September 30, 2010.

**Range and Average of Financial Assistance:**

To Be Determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The application package containing the Notice of Funding Availability, application forms and guidelines are available at [www.broadbandusa.gov](http://www.broadbandusa.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, 1400 Independence Avenue, SW, Stop 1599 , Washington, District of Columbia 20250 Email: [bip@wdc.usda.gov](mailto:bip@wdc.usda.gov) Phone: (202) 690-0525.

**Website Address:**

<http://www.broadbandusa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the loan, loan/grant combination or grant, RUS will consider the project's conformance with the program purposes and funding criteria set forth in the legislation and the Notice of Funding Availability.

**10.788 VERY LOW TO MODERATE INCOME HOUSING LOANS - DIRECT**

Section 502 Rural Housing Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq.; Public Law 92-310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100-233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist very low, low income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD RHS Guaranteed Housing loans or Section 502 Direct Housing Loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act requirements.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-incomes between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principle, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made with a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. A 'prequalification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. Requests for guaranteed loans are acted upon within three days of receipt of the lender's request for guarantee.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are found at 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no matching requirements. A basic formula is used to allocate program funds to various states. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan-related documents.

**Account Identification:**

12-2081-0-1-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est \$322,000,000; FY 10 est not reported. (Guaranteed/Insured Loans) FY 08 not reported.; FY 09 est \$3,352,228,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

FY08 Average: 502 Direct Loans (\$112,068). Guaranteed Loans (\$109,807). Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Maximum loan restricted by area loan limits. In FY08, the average direct loan was \$112,068, while the average guaranteed loan for home purchase was \$109,807. Loans in high cost areas may be higher. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Direct Loans -- 7 CFR Part 3550, Direct Single Family Housing Loans and Grants. Guaranteed Loans -- 7 CFR Part 1980-D, Rural Housing Loans.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division; Director, Single Family Housing Guaranteed Loan Division USDA, Rural Development  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0787 Phone: 202-720-1474; 202-720-1452

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.789 VERY LOW TO MODERATE INCOME HOUSING LOANS - GUARANTEED**

Section 502 Rural Housing Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq.; Public Law 92-310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100-233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD RHS Guaranteed Housing loans or Section 502

Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act requirements.

**Applicant Eligibility:**

Applicants must have very low-, low-or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-incomes between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principle, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 20 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made with a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. A 'prequalification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. Requests for guarantee loans are acted upon within 3 days of receipt of the lender's request for guarantee.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are found at 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. A basic formula is used to

allocate program funds to various states. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan-related documents.

**Account Identification:**

12-2081-0-1-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est \$322,000,000; FY 10 est not reported. (Guaranteed/Insured Loans) FY 08 not reported.; FY 09 est \$3,352,228,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

FY08 Average: Section 502 Direct Loans (\$112,068). Guaranteed Loans (\$109,807). Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Maximum loan restricted by area loan limits. In FY 2008, the average direct loan was \$112,068; the average guaranteed loan for home purchase was \$109,807. Loans in high cost areas may be higher. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guaranteed Loans -- 7 CFR Part 1980-D, Rural Housing Loans. Direct Loans - 7 CFR Part 3550 Direct Single Family Housing Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Guaranteed Loan Division; Director, Single Family Housing Direct Loan Division USDA, Rural Development 1400 Independence Avenue, S.W., Washington, District of Columbia 20250 Phone: 202-720-1452; 202-720-1474

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.850 RURAL ELECTRIFICATION LOANS AND LOAN GUARANTEES**

(RUS)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to electric services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Long-term, direct loans and loan guarantees to qualified organizations for the purpose of supplying or improving inadequate or unreliable electric services on a continuing basis in rural areas.

**Applicant Eligibility:**

Rural electric cooperatives, public utility districts, power companies, municipalities, and other qualified power suppliers including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Persons in rural areas who do not have electric service, have inadequate or unreliable electric service, or those currently served through RUS financing. Rural areas are defined in the Rural Electrification Act as any area of the United States not included within the boundaries of any urban area as defined by the Bureau of the Census. Such term shall be deemed to include both the farm and nonfarm populations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for direct loan and loan guarantees are made by resolution of the board of directors of the borrowing organization. Information on submitting applications is contained in 7 CFR Part 1710 and 1714.

**Award Procedure:**

Depending on the amount of the application, the RUS Administrator, Assistant Administrator, or appropriate Regional Director makes the final decision on approval of the loan upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Direct loans are approved generally on an average of 3 to 6 months as funding becomes available. Loan guarantees are approved generally on an average of 9 to 12 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under certain conditions, obtaining a municipal rate will require obtaining a concurrent loan (of 10, 20, or 30 percent of the total amount required) from a supplemental financing source. The factors used for determining the amount of concurrent financing required are set forth in 7 CFR 1710.110.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct loans are generally made for a period up to 35 years, that approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval. See the following for information on how assistance is awarded/released: Direct loans are generally made for a period up to 35 years, that approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for utility companies by the RUS uniform system of accounts, and by sound business practices.

**Account Identification:**

12-4230-0-3-271; 12-1230-0-1-271.

**Obligations:**

(Direct Loans) FY 08 \$99,300,000; FY 09 est \$100,000,000; FY 10 est \$100,000,000. (Guaranteed/Insured Loans) FY 08 \$6,500,000,000; FY 09 est \$6,500,000,000; FY 10 est \$6,500,000,000

**Range and Average of Financial Assistance:**

Direct Loans: \$772,000 to \$1,000,000,000 \$23,664,000 Average. Guaranteed FFB: \$334,600 to \$82,448,000 \$12,924,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR XVII. RUS publishes and issues upon request bulletins bearing on the financing, construction, operation, and maintenance of rural electric systems. Also available are annual statistical summaries; and the Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rural Utilities Service Department of Agriculture, Washington, District of Columbia 20250-1500 Phone: (202) 720-9540

**Website Address:**

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

**RELATED PROGRAMS:**

10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.851 RURAL TELEPHONE LOANS AND LOAN GUARANTEES**

(Rural Telephone Loans and Loan Guarantees)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to telecommunications services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Long-term direct and guaranteed loans to qualified organizations for the purpose of financing the improvement, expansion, construction, acquisition, and operation of telephone lines, facilities, or systems to furnish and improve Telecommunications service in rural areas. "Rural area" is defined as any area of the United States, its territories and insular possessions (including any areas within the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population exceeding 5,000 inhabitants. The population figure is obtained from the Bureau of Census. For purposes of the "rural area" definition, the character of an area is determined at the time the initial loan for the system is made.

**Applicant Eligibility:**

Telephone companies or cooperatives, nonprofit associations, limited dividend associations, mutual associations or public bodies including those located in the U.S. Territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide telecommunications service to meet the needs of rural areas.

**Beneficiary Eligibility:**

Residents of rural areas, and others who may also receive telephone service as a result of service provided to a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The completed loan application consists of four parts: an RUS Form 490; Application for Telephone Loan or Loan Guarantee; a market survey called Area Coverage Survey (ACS); the plan and associated costs for the proposed construction called the Loan Design (LD); and other various supplementary information specified in 7 CFR 1737.22. Detailed information on applying for an RUS telephone loan or loan guarantee is in 7 CFR Part 1737, available from RUS upon request.

**Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator, Assistant Administrator, or appropriate Area Director makes the final decision on approval of the loan or loan guarantee upon a finding that it is economically feasible and serves the

purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Sep 30, 2009 Applications are processed on a first-come, first-serve basis through out the fiscal year ending September 30.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Normal loan processing time is from 2 to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct and guaranteed loans can be made not to exceed the economic life of facilities and equipment. (average loan maturity is 18 yrs). Provision is normally made for advances to be completed within 5 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-RUS lender, subject to RUS approval. See the following for information on how assistance is awarded/released: Provision is normally made for advances to be completed within 5 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

); RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No.A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for telephone companies by the State regulatory body having jurisdiction, or by the Federal Communications Commission if there is no such regulatory body.

**Account Identification:**

12-1230-0-1-271; 12-4230-0-3-271.

**Obligations:**

(Direct Loans) FY 08 \$374,238,000; FY 09 est \$250,000,000; FY 10 est \$250,000,000 - Cost of Money Loans. (Direct Loans) FY 08 \$143,985,000; FY 09 est \$145,000,000; FY 10 est \$145,000,000 - Hardship Loans. (Guaranteed/Insured Loans) FY 08 \$156,743,000; FY 09 est \$295,000,000; FY 10 est \$295,000,000 - FFB Treasury Loans.

**Range and Average of Financial Assistance:**

For FY 2008: Direct loans: \$1,094,000 to \$90,181,000; Average: \$15,703,727. Loan Guarantees: \$794,000 to \$43,906,000; Average: \$17,415,889.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 29 borrowers received loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR-XVII. RUS publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation and maintenance of rural telephone systems. Also available are annual statistical summaries; and Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Telecommunications Program, Rural Utilities Service Department of Agriculture, 1400 Independence Avenue, SW., STOP 1590, Room 5151, Washington, District of Columbia 20250 Phone: (202) 720 - 9554 Fax: (202) 720 - 0810

**Website Address:**

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

**RELATED PROGRAMS:**

10.886 Rural Broadband Access Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.855 DISTANCE LEARNING AND TELEMEDICINE LOANS AND GRANTS**

Distance Learning and Telemedicine Loans and Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Title VII, Public Law 104-127, 7 U.S.C 950.

**OBJECTIVES:**

To encourage and improve the use of telemedicine, telecommunications, computer networks, and related advanced technologies to provide educational and medical benefits through distance learning and telemedicine projects to people living in rural areas and to improve rural opportunities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Telecommunications, computer networks and related advanced technologies that provide educational and/or medical benefits to students, teachers, medical professionals and rural residents. Eligible costs depend on the type of financial assistance being requested; i.e., grant or loan. See 7 CFR Part 1703 for details.

**Applicant Eligibility:**

To be eligible to receive a grant, loan and grant combination, or loan, the applicant must be legally organized as an incorporated organization or partnership, an Indian tribe or tribal organization, a state or local unit of government, a consortium, or other legal entity. The applicant must have legal capacity to contract with RUS. The applicant also must propose to utilize the financing to: (i) operate a rural community facility; or (ii) deliver distance learning or telemedicine services to entities that operate a rural community facility or to residents of rural areas at rates calculated to ensure that the benefit of the financial assistance is passed through to such entities or to residents of rural areas. The applicant must not be delinquent on any Federal debt. RUS electric and telecommunications borrowers are not eligible for grants. Generally, applicants are organizations such as schools, libraries, hospitals, medical centers, or other eligible organizations that will be users of a telecommunications, computer network, or related advanced technology system to provide educational and/or medical benefits to rural residents.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities, particularly in the areas of education, training and medical services.

**Credentials/Documentation:**

See 7 CFR Part 1703 for details. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit application Form 424; non-delinquent on any Federal obligations; consultation with USDA State Director (for grant applicants); evidence of legal existence and authority to perform the proposed grant activities; a comprehensive rural telecommunications plan; scope of work plan, executive summary for the project; financial information; a statement of experience; funding commitment from other sources; compliance with Federal statutes and regulations (compliance with scoring criteria) and environmental impact; supplemental information and required additional RUS information.

**Award Procedure:**

Based on a determination that the loan is economically feasible and serves the purposes of the Rural Electrification Act, loans are approved. For grants, RUS rates the applicants based on specified scoring criteria and determines awards based on those ratings.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

Applications that have not been approved may be resubmitted each year for consideration.

**Appeals:**

A grant applicant may appeal the numerical scoring to the Administrator in writing within 10 days after applicant is notified of the scoring level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 15%. No matching is required for applicants requesting loans.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes. Applicants generally have three years to spend funds.

One extensions may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is required annually. Project performance activity reports are required annually.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. For a grant recipient, an audit report is required for the years in which funds are received. For a loan recipient, an audit report is required annually until all RUS loans have been repaid.

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 08 \$13,092,850; FY 09 est \$16,265,779; FY 10 est \$0 - Estimates are not available at this time for FY 2010. It is anticipated that there



will be funding in FY 2010. (Project Grants) FY 08 \$30,148,963; FY 09 est \$34,966,000; FY 10 est \$30,255,000

**Range and Average of Financial Assistance:**

The minimum grant, loan, or loan/grant combination is \$50,000. The maximum varies and is not to exceed the amount established by the RUS Administrator.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During Fiscal Year 2008, 110 applicants received grants or loan/grant combinations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1703, subparts D through G. Distance Learning and Telemedicine Program Grant Application Guide - For grants - Distance Learning and Telemedicine Program -Grant Application Guide - Fiscal Year 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Telecommunications Program Department of Agriculture  
Rural Utilities Service  
1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554

**Website Address:**

<http://www.usda.gov/rus/telecom/dlt/dlt.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Depending on the type of financial assistance: interactive rural education networks, remote health care unit linkups, computer terminals that are required for a distance learning or telemedicine system, video and audio equipment, site development and alteration of buildings, telecommunications transmission facilities, and other telemedicine or distance learning projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR Part 1703, subparts D through G.

**10.857 STATE BULK FUEL REVOLVING FUND GRANTS**

(RUS)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

To provide grants to State entities for revolving funds to promote more cost-effective fuel purchases for communities where fuel cannot be shipped by surface transportation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to establish and support a revolving fund to provide a more cost-effective means of purchasing fuel where fuel cannot be shipped by means of surface transportation. Not more than 4 percent of the funds made available under the grant may be used for planning and administrative expenses.

**Applicant Eligibility:**

Applicants are limited to State entities and to entities of any Territory, possession or other area authorized to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended. Entities must be in existence as of November 9, 2000.

**Beneficiary Eligibility:**

Assistance must be used to improve the cost-effectiveness of fuel purchasing for communities that are dependent on fuel deliveries by water or air.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register. Requirements for applications are described in the Federal Register notice and may be requested from the Agency. Unsolicited applications may also be considered at the request of a State. Eligible State entities should provide expressions of interest in applying for grants to the Assistant Administrator, Electric Programs.

**Award Procedure:**

Grants are awarded competitively.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Grant approvals will generally be made within 60 days of the application closing date.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for a period of three years. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds will be disbursed on request of the Grantee.

**Reports:**

Grantee will be required to provide periodic financial and performance reports. Cash reports are not applicable. Progress reports are not applicable. Grantee will be required to provide periodic financial and performance reports. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records must be kept as required under USDA and State regulations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Grants to States have ranged from \$350,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants allowed expansion of existing State revolving fund programs to fully fund requests for assistance to secure adequate winter fuel supplies. Grantee State of Alaska reports that more than 60 remote communities benefitted from lower fuel costs through bulk purchase discounts and lower finance costs under three grant awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-9540. Use the same num

**Website Address:**

<http://www.usda.gov/rus/electric/hecgp/index.htm>

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected competitively based on total scores received on evaluation criteria in grant announcement. Unsolicited applications from State Governments are considered on a case by case basis according to criteria in regulations.

**10.858 DENALI COMMISSION GRANTS AND LOANS**

(RUS)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Grants and loans to the Denali Commission for the benefit of rural communities in Alaska with extremely high household energy costs exceeding 275 percent of the national average.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used for energy generation, transmission, or distribution facilities serving rural communities where average residential energy expenditures are at least 275 percent of the national average. Grant must be in coordination with State rural development initiatives. Planning and administrative expenses must not exceed 4 percent of the grant amount.

**Applicant Eligibility:**

The Denali Commission, a Federal Agency is the only eligible applicant.

**Beneficiary Eligibility:**

Beneficiaries are residents of rural communities in Alaska with extremely high energy costs. Eligible beneficiary communities must apply for assistance directly to the Denali Commission and eligible projects must be on Denali Commission Annual Approved Work Plan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Denali Commission submits a letter of application under a Memorandum of Understanding with USDA.

**Award Procedure:**

Approval of the Denali request for grant funds is made by the Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds are for three years and may be extended. See the following for information on how assistance is awarded/released: .

**Reports:**

The Denali Commission will provide a summary of projects approved, rural communities served, and an accounting of expenditures made under each grant in its annual report. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Denali Commission is subject to audit requirements for Federal agencies and maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Records:**

The Denali Commission maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$10,000,000; FY 09 est \$8,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Grant awards have ranged from \$8,500,000 to \$18,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Denali Commission reports that more than 100 communities in rural Alaska have benefitted from USDA grant funds supporting the Denali rural power system and bulk fuel storage tank replacements and upgrade program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rural Utilities Service Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-9540 Use the same num

**Website Address:**

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

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded by the Denali Commission through this grant were selected from approved projects on the Denali Commission Work Plan and include improvements and replacements of bulk fuel storage and handling facilities and electric distribution system improvements in remote Alaskan villages. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Agency Administrator makes a grant award based on Denali Letter of Request and Denali Annual Work Plan.

**10.859 ASSISTANCE TO HIGH ENERGY COST RURAL COMMUNITIES**

(RUS High Energy Cost Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Assistance to rural communities with extremely high energy costs.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to acquire, construct, extend, upgrade, and improve energy generation, transmission, or distribution facilities serving communities in which the average annual expenditure for home energy costs is at least 275 percent of the national average. Energy efficiency and on-grid and off-grid renewable energy systems are eligible. Not more than 4 percent of amounts made available in grant funds may be used for planning and administrative expenses. Funds may not be used to pay utility bills, fuel costs, or operating expenses.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States, for-profit and non-profit businesses, cooperatives, associations, organizations, and other entities organized under the laws of States, Indian tribes, tribal entities, and individuals. The governments and entities located in any U.S.

Territory/possession or other area authorized by law to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended, are also eligible.

**Beneficiary Eligibility:**

Projects must serve rural communities in which the annual average residential expenditure for home energy is at least 275 percent of the national average. Energy cost eligibility benchmarks are included in the published Notice of Funding Availability.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register and Grants.gov. Application requirements are described in the published notice and on the agency web site. Application materials may also be requested from the Agency.

**Award Procedure:**

Grants will be awarded based on competitive ranking of applications according

to published evaluation criteria for technical merit, community need, economic hardship, and rurality.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Selection of grant finalists will be announced approximately 90 to 180 days after the application deadline. Final Grant awards will be approved after completion of environmental review and other pre-award requirements.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709. Applicants may not appeal numerical rankings of competitive grant applications.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for the period of time necessary to complete the project and provide at least one year of operating data, generally about three years. Extensions may be granted. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Grant recipients will be required to file periodic financial and performance reports specified in the grant agreement and program regulations. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Grantee must maintain records in accordance with requirements of program regulations and the grant agreement.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$4,687,415; FY 09 est \$18,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Minimum award is \$75,000 and maximum is \$5,000,000. Individual grant awards have ranged from approximately \$175,000 to \$3,775,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 76 eligible applications were submitted and 9 projects were selected. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-9545.

**Website Address:**

<http://www.usda.gov/rus/electric/heceg/index.htm>

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A total of 57 grant projects are currently active and include electric generation, transmission, and distribution upgrades and replacements, energy efficiency improvements, and on-grid and off-grid renewable energy systems. The projects benefit local consumers by preserving reliable service and reducing or limiting rate increases. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be ranked competitively based on published evaluation criteria. All projects must serve rural communities with extremely high energy costs.

**10.861 PUBLIC TELEVISION STATION DIGITAL TRANSITION GRANT PROGRAM**

(Public Television Station Digital Transition Grant Program)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006; Title III, Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 109-97.

**OBJECTIVES:**

The Federal Communications Commission (FCC) has ordered all television broadcasters to initiate the broadcast of a digital television signal and to cease analog television broadcasts. The result of this conversion will be a new, high performance television system that is highly efficient in its use of the radio spectrum. This will free spectrum to enable the introduction of new wireless telecommunications services such as mobile wireless Internet access. Before spectrum can be reallocated to new uses, all television stations must make the transition to the new broadcast system. Lagging far behind in this transition are the rural public television stations, which depend on viewer donations and public funds to buy the expensive digital equipment. A significant number of stations have not completed the transition, and many are rural stations that have no funding to proceed. The deadline for initiating digital broadcasting was May 2003, and all waivers of that date have expired. These stations are in violation of their FCC licenses. On February 17, 2009, all analog broadcasting is scheduled to cease, meaning that stations that have not transitioned will stop broadcasting any television signal. In addition to the public losing the benefits of public television programming, this will leave many school systems without educational programming they count on for curriculum compliance. This grant program assists rural public television stations in making the transition to digital television signal broadcasting.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to install digital television facilities through purchase or lease (up to three years of lease costs); and for associated engineering and environmental studies. All broadcast facilities acquired under this program must be capable of delivering both digital television (DTV, sometimes called standard definition) and high definition television (HDTV) at both the interim and final channel power authorizations. Grant funds may be used to fund facilities directly connected to the digital transition of the broadcast signal such as: digital transmitters; digital translators; transmitting antennas; new towers or improvements to existing towers necessary for antenna installation; tower ground infrastructure such as land, buildings, fencing, standby power, and where commercial power is unreliable, power generation and conditioning facilities; studio to transmitter/translator communication links; television program production and management equipment; datacasting equipment; and subject to RUS approval, other facilities directly necessary for the digital

transition of the broadcast signal. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits; for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants.

**Applicant Eligibility:**

The applicant must be a public television station that serves a rural area regardless of whether they also serve an urban area. (Rural area means any area of the United States not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population in excess of 20,000 inhabitants.) The applicant must also be required to convert from analog to digital transmission under the rules of the FCC. For the purpose of this grant program, a public television station must be an organization which (1) qualifies for Federal funding under Section 396(k) of the Public Broadcasting Act of 1967, and (2) which is either: (a) under the rules and regulations of the FCC in effect on November 2, 1978, eligible to be licensed as a noncommercial educational broadcast station and which is owned and operated by a public agency or nonprofit private foundation, corporation, or association; or (b) owned and operated by a municipality and which transmits only noncommercial programs for education purposes.

**Beneficiary Eligibility:**

Anyone who receives the improved digital television signal from a rural public television station or attends an educational institution that uses public television in its curriculum.

**Credentials/Documentation:**

The applicant must provide evidence demonstrating that it meets the definition of a public television station in section 81, above. The applicant must also provide evidence that the FCC has authorized the initiation of digital broadcasting at each of the Applicant's transmitter and translator sites. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An applicant must submit an application in accordance with the Program's application guide. In addition to Government-wide requirements, the applicant shall provide a description of the project including: an executive summary, a project cost spreadsheet, broadcast coverage maps, a complete narrative description, and an environmental assessment.

**Award Procedure:**

All complete applications from eligible applicants that meet the application deadline will be scored in a competitive process to determine which projects are funded. There are three scoring categories. The first is rurality, a measure of the rural character of the applicant's digital television coverage area. Up to 50 points can be earned in this category. The second uses the National School Lunch Program eligibility percentage as a measure of the economic need of the people in the applicant's coverage area. This category earns up to 25 points. Finally, up to 25 points can be awarded based on critical need.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A recipient generally has three years to spend funds. RUS may approve one extension. See the following for information on how assistance is awarded/released: RUS will advance funds as needed (but no more frequently than once every 30 days) to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The performance and financial reports must be submitted to RUS on a quarterly basis throughout the project construction period. The recipient must provide periodic financial reports to RUS. The recipient must provide periodic performance reports and permit periodic inspection by RUS of the project. The recipient must constantly monitor performance to ensure that it is meeting time schedules, accomplishing projected work by time periods, and achieving other performance objectives.

**Audits:**

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

**Records:**

The recipient must maintain all records needed to identify the purposes for which, and the manner in which, grant and other funds were expended on the project. The recipient must maintain such records for three years after the project is completed. The recipient must provide reasonable access to these records to RUS.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$4,965,000; FY 09 est \$5,086,460; FY 10 est \$4,965,000

**Range and Average of Financial Assistance:**

The maximum grant for an individual public television station is \$750,000. In fiscal year 2008, the average grant amount was \$261,316. The 19 grants ranged from \$20,085 to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2008, 16 applicants received grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1740 - Public Television Station Digital Transition Grant Program (Interim final rule with request for comments)

**Regional or Local Office:**

None.

**Headquarters Office:**

Telecommunications Program, Department of Agriculture, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554

**Website Address:**

<http://www.usda.gov/rus/telecom/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The grant will enable the purchase of a full power transmitter, translators, master control equipment, and standby power. It will also fund purchase and installation of a DTV video distribution system to mirror the programming storage functions of a similar system. In addition, the grant will fund a digital media server and automation system. Funding will

cover a new tower, building, transmission equipment, and associated processing, monitoring, and test equipment. The grant will fund an emergency backup power generation system to provide a reliable broadcast during power outages. The grant will fund a microwave system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete, eligible applications that meet the application deadline are scored to determine which projects are funded. There are three scoring categories: rurality, up to 50 points; economic need, up to 25 points; and critical need, up to 25 points.

**10.863 COMMUNITY CONNECT GRANT PROGRAM**

Community Connect Grant Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Appropriations Act, 2005; Title III: Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 108-447.

**OBJECTIVES:**

To encourage community-oriented connectivity by providing grants to eligible applicants who will deploy broadband transmission service in rural communities where such service does not currently exist; who will connect all critical community facilities such as local schools, education centers, libraries, hospitals, health care providers, law enforcement agencies, public safety organizations, fire, and rescue services, as well as residents and businesses; and who will operate a community center which provides free and open access to area residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will be made available, on a competitive basis, for the deployment of broadband transmission services to critical community facilities, rural residents, and rural businesses and for the construction, acquisition, expansion, and/or operation of a community center which would provide free access to broadband transmission services to community residents for at least two years. Funding is also available for end-user equipment, software, and installation costs. See 7 CFR Part 1739 for details.

**Applicant Eligibility:**

To be eligible for a grant, the applicant must: (a) be legally organized as an incorporated organization, an Indian tribe or tribal organization, a state or local unit of government, or other legal entity, including cooperatives or private corporations or limited liability companies organized on a for profit or not-for profit basis, and (b) have the legal capacity and authority to own and operate the broadband facilities as proposed in its application, to enter into contracts and to otherwise comply with applicable federal statutes and regulations.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities through the availability of access to high speed broadband networks.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit an application in accordance with 7 CFR 1739 and its accompanying application guide.

**Award Procedure:**

Grants are awarded on a competitive basis to applicants receiving the highest number of points.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 15%. The grant applicant must contribute a matching contribution which is at least 15 percent of the grant amount requested.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants generally have three years to spend funds. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is report required annually. Project performance activity reports are required annually.

**Audits:**

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

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$15,684,046; FY 09 est \$18,806,000; FY 10 est \$13,406,000

**Range and Average of Financial Assistance:**

The minimum grant amount is \$50,000. The size of grants varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 21 applicants received a total of 26 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1739; Notice of funds availability and solicitation of applications in the Federal Register; Vol. 74, No. 74; Monday, April 20, 2009. Community Connect Broadband Program Grant Application Guide - Fiscal Year 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Telecommunications Program Department of Agriculture  
Rural Utilities Service  
1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554

**Website Address:**

<http://www.usda.gov/rus/telecom/commconnect.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The grant funds will establish a broadband path to the Internet over an existing microwave route. Broadband will be delivered to homes and businesses using DSL technology. Internet traffic will be handled economically and efficiently by equipping the community with equipment to enable it to interface with the applicant's satellite mesh technology. Demographic barriers to broadband adoption will be overcome by equipping a community center with computers and Internet access free of charge for 2 years. The project will provide wireless broadband internet service to the community. The project will connect all community critical facilities, businesses, the elementary school, and homes on the reservation. The community center will be accessible to residents for information research, education, marketing and promotion, and personal or business communications using high-speed internet. All center workstations will have GED and other self paced interactive learning software installed and the center will also provide basic computer and internet skill training to end-users. The project will create a tribal website and digital community bulletin board to enhance communication within the tribal organization and with community members. In addition to providing residential access, the project will enable the local government to enhance and streamline core public services including Head Start, tribal courts, cultural and social services, and community health outreach efforts. The grant will address community challenges including the lack of a library, hospital, and police department by providing broadband Internet access to the community. High-speed online connections will establish online city services to benefit the residents, including the remote monitoring of water resources, and a Web presence to assist with economic development efforts. The community will have access to computer training and education in e commerce; students will have access to distance learning programs and enhanced curricula. The applicant, a local telephone carrier, will also provide a fiber to the premises (FTTP) network for the town, in an effort to bolster economic development opportunities, as the area's economy transitions away from complete reliance on production agriculture. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.864 GRANT PROGRAM TO ESTABLISH A FUND FOR FINANCING WATER AND WASTEWATER PROJECTS**

(RFP Program)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 6002, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to establish a revolving loan fund to make small, short term loans for pre-development or small capital water or waste disposal projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to finance pre-development costs associated with proposed water and wastewater projects or with existing water and wastewater systems, and short-term costs incurred for replacement equipment, small-scale extension of services, or other small capital projects that are not part of the regular operations and maintenance activities of existing water and wastewater systems.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in making and servicing loans.

**Beneficiary Eligibility:**

Municipalities, counties, and other political subdivisions of a State, such as districts and authorities, associations, cooperatives, corporations operated on a

not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The loan recipient must be unable to finance the proposed project from their own resources or through commercial credit at reasonable rates and terms. The loan recipient must have or will obtain the legal authority necessary for owning, constructing, operating and maintaining the proposed service or facility, and for obtaining, giving security for, and repaying the proposed loan.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are stated fully. The applicant may request a review of this decision at the RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Applicants must provide funds from other sources equal to at least 20 percent of the RFP grant. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the RUS grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. See the following for information on how assistance is awarded/released: Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

Periodic reports are to be made to the RUS servicing official. Cash reports are not applicable. Periodic reports are to be made to the RUS servicing official. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133 or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$496,500; FY 09 est \$49,700; FY 10 est \$49,700

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1783, Grant Program to Establish a Fund for Financing Water and Wastewater Projects; The Revolving Fund Program 2005 Grant Application Guide.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Water and Environmental Programs Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 690-2670

**Website Address:**

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

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as; population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.868 RURAL ENERGY FOR AMERICA PROGRAM**

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title IX, Section 9007 Public Law version 6124 of the Farm Bill.

**OBJECTIVES:**

(1) Provision of grants and loan guarantees to farmers, ranchers (agricultural producers) and rural small businesses to promote energy efficiency improvements and renewable energy systems development in rural areas. The program provides grants of up to 25% of project costs and/or loan guarantees of up to 75% of project costs to purchase and install energy efficiency improvements and renewable energy systems. (2) Provision of grants to agricultural producers and rural small businesses to help fund up to 25% of the cost for a feasibility study for a renewable energy system. (3) Provision of grants to government entities, educational institutions, rural electric cooperatives and public power entities to assist with the cost of performing energy audits and renewable energy development assistance for agricultural producers and rural small businesses. (Recipients of energy audits or renewable energy development assistance must pay at least 25% of the cost of the service).

**TYPES OF ASSISTANCE:**

Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

For renewable energy systems and energy efficiency improvements, the amount of a grant shall not exceed 25 percent of eligible project costs. The maximum amount of combined grant and loan made or guaranteed shall not exceed 75 percent of eligible project costs. For a feasibility study, the amount of a grant shall not exceed 25 percent of the costs of the study. For Energy Audit and Renewable Energy Assistance, the recipient must pay 25% of the cost of the service.

**Applicant Eligibility:**

To be eligible for renewable energy systems or energy efficiency improvement assistance, an applicant must be an agricultural producer or small business located in a rural area. Individual applicants must be citizens of the United States (U.S.) or reside in the U.S. after being legally admitted for permanent residence. The applicant or owner must not have an outstanding judgment, delinquent on any Federal debt or debarred from receiving Federal assistance. Under the Energy Audit and Renewable Energy Development Assistance programs eligible applicants include governmental entities, educational institutions, rural electric cooperatives and public power entities.

**Beneficiary Eligibility:**

Farmers, ranchers and rural small businesses.

**Credentials/Documentation:**

For applicants seeking renewable energy systems or energy efficiency improvement assistance: Agricultural Producers must be directly engaged in the production of agricultural products, including crops, livestock, forestry products, hydroponics, nursery stock, or aquaculture, whereby 50 percent or greater of their gross income is derived from the operations. A small business must meet the Small Business Administration's Business Size Standards including all parent, affiliate, or subsidiary entities at other locations. For the Energy Audit and Renewable Energy Development Assistance Program the entity applying must have experience in providing this service to qualify for the grant. All other application requirements and competitive benchmarks must be met in accordance with published Notices. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants for Renewable Energy Systems and Energy Efficiency Improvement assistance must submit a complete application to the Rural Energy Coordinator in their respective State. A complete application includes standards forms 424, 424C and 424D plus Rural Development forms, feasibility studies, energy audits, environmental assessment (form RD 1940-20), and written technical requirements as published in Notices of Funding Availability (NOFA). Applicants for Energy Audit and Renewable Energy Development Assistance must meet requirements of the NOFA published annually.

**Award Procedure:**

For the Renewable Energy Systems and Energy Efficiency Improvement program, Rural Development (RD) State Office personnel will review all applications. Ineligible and incomplete applications may be returned to the applicant and not evaluated further. RD State Offices will score applications based on published evaluation criteria. A second review and nationwide ranking will be conducted by the RD National Office. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with RBS dependent on the number of funding cycles offered per year.

**Appeals:**

Adverse actions made on applications are appealable, pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: For Renewable Energy Systems and Energy Efficiency Improvement assistance: The applicant must provide at least 75 percent of leveraged funds if the request is for grant only funds. For a combination grant and loan guarantee and loan guarantee only, the applicant must provide at least 25 percent of leveraged funds. In-kind contributions and other Federal grants may not be used to meet the 75 percent requirement for the grant. For Energy Audit and Renewable Energy Development Assistance: The recipient of the energy audit or renewable energy development assistance must pay at least 25% of the cost of the service. For feasibility studies the applicant must provide at least 75 percent of the funds required to complete the audit. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance: Grant funds will be provided on a reimbursement basis. Guarantees on loan will be provided once the project is complete and operational. Project should typically be completed within two year from the awarding. Method of awarding/releasing assistance: lump sum.

**Reports:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance: A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Accounting records prepared in accordance with generally accepted accounting principles (GAAP) or financial statement in a format typically accepted by a commercial agricultural lender and supported by source documentation will be required for financial statements. For Energy Audit and Renewable Energy Development Assistance: To Be Determined. For Feasibility Study projects, To Be Determined

**Records:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance applicant will provide a financial management system in accordance with 7 CFR Part 3015. The applicant will also retain financial records, supporting documents, statistical records, and other records pertinent to the award for a period of at least three years after final disbursement, except that the records shall be retained beyond the three-year period if audit findings have not been resolved.

**Account Identification:**

12-1908-0-1-451.

**Obligations:**

(Loan Guarantees/Grants) FY 08 \$0; FY 09 est \$303,014; FY 10 est \$284,507 - Funding estimates have been updated.

**Range and Average of Financial Assistance:**

Grant Range \$2,500 to \$500,000; Average \$45,000 Guaranteed Loan Range \$5,000 to \$25,000,000; Average \$85,000.

**PROGRAM ACCOMPLISHMENTS:**



Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Funds Availability will be published in the Federal Register each fiscal year. Application, construction and serving requirements are outlined in 7 CFR 4280-B.

**Regional or Local Office:**

None. For general information, write to:  
US Department of Agriculture, Rural Development, Specialty Lenders  
Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250,  
or telephone  
202-720-1400. For specific information, contact the RD State Energy  
Coordinator in your respective state. Names and contact information are  
published annually in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Specialty Lenders Division MS 3225, 1400 Independence Avenue, SW,  
Washington, District of Columbia 20250 Phone: 202-720-1400

**Website Address:**

<http://www.rurdev.usda.gov/rbs/>

**RELATED PROGRAMS:**

10.768 Business and Industry Loans; 10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current  
Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1) a \$20,000 grant for the purchase and installation of a small solar system. (2)  
a \$224,000 grant for the purchase of a large wind turbine. (3) a \$50,000 grant to  
make energy efficiency improvements by replacing an old inefficient grain  
dryer. (4) a \$171,386 grant for an anaerobic digester.

**10.870 RURAL MICROENTREPRENEUR ASSISTANCE PROGRAM**

Rural Microentrepreneur Assistance Program (RMAP)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 of the Farm Bill, Title VI, Section  
6022.

**OBJECTIVES:**

Provide rural microentrepreneurs with the skills necessary to establish new rural  
microenterprises and to provide continuing technical and financial assistance  
related to the successful operation of rural microenterprises. (1) Make direct  
loans to Microenterprise Development Organizations (MDO), which may be a  
non-profit entity, Indian Tribe or public institution of higher education for the  
purpose of capitalizing microloan revolving funds to provide fixed interest rate  
business loans of the lesser of \$50,000 or 20 percent of the amount loaned to an  
MDO for startup and growing rural microenterprises. The maximum loan  
amount an MDO may borrow under this program will not exceed \$500,000.  
(2) Make grants to MDOs to support rural microenterprise development. These  
grants are known as operational enhancement activities or services grants.  
These grants will be used to seek training and other enhancement services to  
strengthen their own organizations. These grants will not exceed \$25,000 or 10  
percent of available funding, whichever is less in any given year. (3) Any  
MDO that receives a loan under this program is eligible for a grant to assist  
microentrepreneurs who have received or are seeking a microloan from an  
MDO. These grants are known as technical assistance (TA) grants and may be  
used by an MDO to provide marketing, management, and other technical  
assistance to microentrepreneurs. TA grants will provide assistance specifically  
tailored to the needs of one or more microentrepreneurs.

Make direct loans to Microenterprise Development Organizations (MDO),  
which may be a non-profit entity, Indian Tribe or public institution of higher  
education for the purpose of capitalizing microloan revolving funds to provide  
fixed interest rate business loans of \$50,000 or less to microentrepreneurs as  
defined for startup and growing rural microenterprises. (2) Make grants to  
MDOs to support rural microenterprise development.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Loans to MDO's will be for the purpose of capitalizing microloan revolving  
funds to provide fixed interest rate business loans of \$50,000 or less to  
microentrepreneurs as defined for startup and growing rural microenterprises.  
The maximum loan amount an MDO may borrow under this program will not  
exceed \$500,000.

Grants will be used to provide training, operational support, business planning,  
market development assistance, other related services to rural  
microentrepreneurs, and to fund other such appropriate projects and activities.  
A 10 percent non-federal cash match will be required against any technical  
assistance grant awarded. A 15 percent match will also be required which may  
be in the form of non-federal cash, in-kind goods, services, or indirect costs.  
These two sets of matching contribution will be combined for a total matching  
requirement of 25 percent of the grant amount.

Any MDO that receives a loan under this program is eligible for a grant to  
assist microentrepreneurs who have received or are seeking a microloan from  
an MDO. These grants are known as technical assistance (TA) grants and may  
be used by an MDO to provide marketing, management, and other technical  
assistance to microentrepreneurs. TA grants will provide assistance specifically  
tailored to the needs of one or more microentrepreneurs. TA grants will be not  
more than the lesser of 25 percent of the total outstanding balance of  
microloans or \$100,000. A 10 percent non-federal cash match will be required  
against any technical assistance grant awarded. A 15 percent match will also be  
required which may be in the form of non-federal cash, in-kind goods, services,  
or indirect costs. These two sets of matching contribution will be combined for  
a total matching requirement of 25 percent of the grant amount. TA grants will  
be in an amount equal to not more than the lesser of 25 percent of the total  
outstanding balance of microloans or \$100,000. The term of a loan made to an  
MDO will not exceed 20 years. The interest rate to an MDO will be at a  
minimum 1 percent and may adjust, after the 2-year deferral, depending on the  
performance of the MDO as published in the anticipated Final Rule. The Grant  
Agreement will be effective until such time the purpose of the grant is fulfilled.

**Applicant Eligibility:**

To be eligible to apply for Microlender status under the Rural  
Microentrepreneur Assistance Program, an applicant must be a non-profit  
entity, an Indian tribe, or a public institution of higher education. Applicants  
must be at least 51 percent controlled by persons who are either (i) citizens of  
the United States, the Republic of Palau, the Federated States of Micronesia, the  
Republic of the Marshall Islands, or American Samoa; or (ii) legally admitted  
permanent residents residing in the U.S. The applicant or owner must not have  
an outstanding judgment, be delinquent on any Federal debt or debarred from  
receiving Federal assistance.

**Beneficiary Eligibility:**

Microentrepreneur is defined as an owner and operator, or prospective owner  
and operator, of a rural microenterprise who is unable to obtain sufficient  
training, technical assistance, or as determined by the Secretary. All  
microentrepreneurs must be located in a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from  
coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Applicant Non-Profit organizations must submit a  
complete application to the USDA as called for in the final rule, which is  
planned for publication early in 2010. It is anticipated that the requirement will  
include Standard Forms 424, 424A and 424B plus program specific  
requirements as stated in the final rule.

**Award Procedure:**

For the Rural Microentrepreneur Assistance Program, Rural Development (RD) personnel will review, score, and rank applications. It is anticipated that this will take place on a quarterly basis based on published evaluation criteria. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards. The National Office will transfer funds to the appropriate State office for obligation of successful awards. Unsuccessful applicants will be notified.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Adverse actions made on applications from MDO's are appealable pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount.

A five percent (5%) match is required against any loan awarded, which will be used to establish a loan loss reserve fund. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For the Rural Microentrepreneur Assistance Program: Grant funds will be provided on a reimbursement basis. MDOs must make one or more microloans within 30 days of any disbursement it receives. MDOs may receive additional disbursements no more than quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made. Cash reports are not applicable. As part of the reporting, MDOs will be required to provide evidence that the sum of the unexpended amount in the Rural Microentrepreneur Revolving Fund, plus the amount in the Loan Loss Reserve Fund, plus debt owed by the microborrowers is equal to a minimum of 105% of the amount owed by the MDO to the Agency. Expenditure reports are not applicable. Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Accounting records are to be prepared by or on behalf of borrowers and grantees in accordance with generally accepted accounting principles (GAAP) or audited financial statements. Source documentation will be required for financial statements.

**Records:**

Participating MDOs will be required to maintain loan portfolio and training records, to the extent that the Agency may conduct inspections and audits as needed.

**Account Identification:**

00-0000-0-0-000 - Not Available at This Time.

**Obligations:**

(Direct Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$30,000 - New program for FY 2010. No funding for FY 2008 or FY 2009.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulatory guidelines (7 CFR Part 4280 subpart D), Notice of Solicitation of Applications, or Notice of Funds Availability will be published in the Federal Register each fiscal year. Application and servicing requirements will be outlined in applicable RD Instruction 4280-D once fully promulgated.

**Regional or Local Office:**

See Regional Agency Offices. For general information, write to: US Department of Agriculture, Rural Development, Specialty Programs Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250, or telephone 202-720-1400.

Regional or Local Office and phone numbers of the contacts for each State. Names and contact information are published annually in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Lori Washington 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: [Lori.Washington@wdc.usda.gov](mailto:Lori.Washington@wdc.usda.gov) Phone: 202-720-1400

**Website Address:**

<http://www.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.886 RURAL BROADBAND ACCESS LOANS AND LOAN GUARANTEES**

Rural Broadband Access Loans and Loan Guarantees

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb.

**OBJECTIVES:**

To assure that people in eligible rural communities have access to broadband service comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

RUS makes long term direct and guaranteed loans to eligible entities for the purpose of financing the construction, improvement, and acquisition of telecommunications facilities and equipment to provide broadband service in eligible rural communities. Eligible rural communities are defined as any area of the United States (which includes its territories and insular possessions, including the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); that is not contained in an incorporated city or town with a population in excess of 20,000 inhabitants, based on the most recent available information of the Bureau of the Census. Broadband Service means any technology having the capacity to transmit at a minimum transmission speed of 200 kbps both from and to a residential subscriber. The rate of data transmission is subject to annual review and will be published in the Notice of Funds Availability at the beginning of each fiscal year. Loans maturities are equal to the composite economic life of the facilities financed.

The interest rate for the Cost-of-Money program is equal to the cost of borrowing to the Department of Treasury for a comparable maturity. The 4-Percent program interest rate is 4 percent and the maximum loan amount for the 4-Percent program is \$7.5 million. The interest rate for the Guarantee program is set by the lender.

**Applicant Eligibility:**

Cooperative, nonprofit, limited dividend or mutual associations, limited liability companies, commercial organizations, Indian tribes, tribal organizations, state government, local government, including those located in the U.S. territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide broadband services in eligible rural communities. The following are not eligible: individuals, partnerships, limited liability partnerships, and any entity serving more than 2 percent of the telephone subscriber lines installed in the United States. Applicants must meet a credit support requirement; see 7 CFR 1738.20.

**Beneficiary Eligibility:**

Residents of eligible rural communities and others who may receive service as a result of service provided to a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The completed loan application consists of twenty-one schedules. Form 532, Rural Broadband Access Loan and Loan Guarantee Application, serves as the official application document and as a checklist to assure all relevant information is included. The major sections of an application include: business plan, market research, historical and 5 year pro forma financial statements, system design and project costs. The instructions for completing an application are outlined in RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide. The bulletin and application are available from RUS on request and on our website: [www.usda.gov/rus/telecom/broadband.htm](http://www.usda.gov/rus/telecom/broadband.htm).

**Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator or Assistant Administrator Telecommunications, makes the final decision on approval of the loan or loan guarantee. There must be a finding that the project is economically feasible, capable of delivering Broadband Service, and services the purposes of the program. Borrowers and member of Congress are notified directly of the approval of a loan or loan guarantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. Normal processing time is four to five months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan funds must be used within a five year period from the date of loan closing. A one time extension is permitted. See the following for information on how assistance is awarded/released: Funds dispersed on an as requested basis.

**Reports:**

The borrower must submitted quarterly financial statements within 30 days of the end of each calendar quarter. The statements must consist of a balance sheet, income statement, and statement of cash flows. The borrower must submitted quarterly financial statements within 30 days of the end of each calendar quarter. The statements must consist of a balance sheet, income statement, and statement of cash flows. The borrower must submitted quarterly financial statements within 30 days of the end of each calendar quarter. The statements must consist of a balance sheet, income statement, and statement of cash flows. Expenditure reports are not applicable. The borrower must submitted quarterly financial statements within 30 days of the end of each calendar quarter. The statements must consist of a balance sheet, income statement, and statement of cash flows.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All borrowers must have their books audited annually by a Certified Public Accountant. Information on audits is contained in 7 CFR Part 1773.

**Records:**

Not applicable.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 08 \$43,875,000; FY 09 est \$6,042,000; FY 10 est \$43,800,000 - Cost of Money Loans. (Direct Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Four (4) Percent Loans. (Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

The minimum loan amount for the program is \$100,000. There is no maximum loan amount except for 4 Percent loans (that amount is published by RUS in the Federal Register at the beginning of each fiscal year). The smallest loan approved to date is \$362,000; the largest, \$267,298,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Years 2008 and 2007, RUS approved 3 and 13 Cost of Money loans, respectively. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1738 - Rural Broadband Access Loans and Loan Guarantees Notice of funds availability, Federal Register, March 4, 2005 (Volume 70, Number 42)  
RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Telecommunications Program Department of Agriculture  
Rural Utilities Service  
1400 Independence Avenue, S.W., STOP 1590  
, Washington, District of Columbia 20250 Phone: (202) 720-9554

**Website Address:**

<http://www.usda.gov/rus/telecom/broadband.htm>.

**RELATED PROGRAMS:**

10.851 Rural Telephone Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: ) Loans have been approved to construct wireless, DSL, cable modem, broadband over power line, and fiber to the premises (FTTP) broadband systems. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR 1738.

**10.901 RESOURCE CONSERVATION AND DEVELOPMENT****FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural and Food Act of 1981, Public Law 97-98, 95 Stat. 1213.

**OBJECTIVES:**

To encourage and improve the capability of State and local units of government and local nonprofit organizations in rural areas to plan, develop and carry out programs for resource conservation and development.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is available only to RC&D sponsors within areas authorized by the Secretary of Agriculture for assistance. Technical assistance is available for the planning and installation of approved projects specified in RC&D area plans, for land conservation, water management, community development and environmental enhancement elements.

**Applicant Eligibility:**

State and local governments and nonprofit organizations with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas. This program is also available in Puerto Rico, the Virgin Islands, Guam and Mariana Islands.

**Beneficiary Eligibility:**

State and local governments and nonprofit organizations within areas designated as RC&D areas by the Secretary of Agriculture with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas.

**Credentials/Documentation:**

Applicant agency(ies) and nonprofit organizations must document that application is made as a result of official action of the governing body. Applications are honored only from agencies for which applicant eligibility has been established. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Written application must be in the form suggested in the National Resource Conservation and Development Manual.

**Award Procedure:**

Details of the procedure are available from State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Oct 01, 2009 October 1.

**Range of Approval/Disapproval Time:**

Indeterminate. Authorization of applications is dependent upon the level of appropriations for the program each year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: When financial assistance is available, local or State agencies must provide land rights needed for the installation of all projects. RC&D grant assistance (up to 25 percent not to exceed \$50,000 of the total project cost) may be provided for a project. Local or State agencies generally must provide ten percent of the total cost and be responsible for any needed operation and maintenance. Loan assistance may be provided for the local share of project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. No cash reports are required. Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

None.

**Account Identification:**

12-1010-0-1-302.

**Obligations:**

(Salaries) FY 08 \$50,372,077; FY 09 est \$50,576,137; FY 10 est \$50,730,000

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Assistance available from the Natural Resources Conservation Service," AIB-345; "Resource Conservation and Development Manual, 390 - V, Third Ed.

**Regional or Local Office:**

See Regional Agency Offices. State and field offices of the Natural Resources Conservation Service are listed in Appendix IV of the Catalog. For loans, contacts should be made with the Rural Development office serving the county in which the RC&D project is located.

**Headquarters Office:**

Ed Burton, Resource Conservation Development Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20013 Phone: (202) 720-2847

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: NRCS and the Two Rivers RC&D Council in Georgia created a program to help utility companies cut maintenance expenses on more than 150,000 acres of utility transmission rights-of-way while protecting and enhancing the environment. Project WINGS (Wildlife Incentives for Nongame and Game Species) is a utility-based wildlife initiative offering technical and financial incentives to

groups and individuals interested in creating wildlife habitat along electrical transmission rights-of-way. The use of customized management plans prepared by resource management professionals offers WINGS participants an opportunity to transform eroded brush land into productive wildlife lands. To date, more than 1000 individuals have been awarded corporate grants to convert over 7,000 acres of rights-of-way brush land to productive habitat. WINGS is a project that can be replicated, and has already been started in South Carolina where it is called Powerful Wildlife. The Rolling Hills RC&D in partnership with Georgia Department of Human Resources, Department of Family and Children's Services, and Department of Rehabilitative Services has implemented an innovative program called "Wheels to Work" that is helping people get off public assistance (welfare) and back to work. Many of these individuals who participate are single mothers that have never been independent before, never owned a vehicle, and are unable to obtain credit in order to purchase a vehicle of their own. The Rolling Hills RC&D Council has placed 110 vehicles with clients in the nine county region. These individuals are now off of the welfare roles and back to work. The funding for these clients was obtained through an appropriation from the Georgia General Assembly and the Lieutenant Governor. Rolling Hills received over \$582,000 to purchase vehicles, pay staff, and other needed expenses. These funds were offset by car donations, assistance from local businesses and partners, and volunteer assistance. In Idaho homes that lie on the fringe of forests and rangeland face a continuing threat of fire that knows no boundary between private property and wildland. The West Central Highlands RC&D Council obtained funds to develop a Fire Education Corps. Five RC&Ds areas contracted with the Student Conservation Association (SCA) to put the Corps together. Fire Education Corps teams spent the summer of 2001 conducting home safety evaluations and providing homeowners with fire prevention techniques, using the nationally recognized FIREWISE protocol, a program for fire education sponsored by a coalition of state and federal agencies. The teams concentrated their efforts in interface areas where fires might start and spread to homes that were surrounded by dense dry fuels. The Northeast Iowa Resource Conservation and Development (RC&D) Council obtained \$105,000 for Spectrum Industries, Inc to provide quality vocational training. Spectrum Industries, Inc., is a wood workshop serving over 135 physically and mentally challenged people from throughout the Northeast Iowa and Southern Minnesota area. This project has provided quality jobs for persons with disabilities, added value to the lower quality hardwoods in the area, and provided a model that can be replicated anywhere in the United States. The goal of Spectrum Industries is to have this woodworking program continue to grow in ways that allow individuals to move into competitive jobs, and provide high quality products. The RC&D Council worked with many different partners to implement the project. The overall value of the project including grant funds, matching funds, and in-kind contribution is estimated at \$300,000 dollars. The Central Mississippi RC&D Council, City of Carthage, NRCS, MS Department of Environmental Quality, and a group of consulting engineers teamed up to help the City of Carthage meet current water quality standards for the State of Mississippi. Carthage has a population of 4,300 and a watershed that drains into the Pearl River. Wastewater treatment for the city was inadequate to meet new water quality standards. Expensive options were provided that were not feasible for a small rural town. Traditional methods needed to meet new water quality standards for the city were estimated to cost \$1.8 million, resulting in increased taxes for the local citizens. Through assistance from the Central Mississippi RC&D Council, another cost-effective alternative was provided to the city. The alternative was a natural wastewater treatment system costing approximately \$650,000. This system saved the town more than \$1.1 million and provides clean water releases into the Pearl River. The Erie Basin RC&D Council in Ohio has been managing a Revolving Loan Fund for several years. The success of this ongoing project has resulted in three other RC&D Areas in Ohio establishing revolving loan funds to serve the citizens in their areas. These revolving loan funds provide money to new and existing businesses primarily in the area of natural resource development. They are designed to create private sector job opportunities and to boost the economy of an area. Partnerships were established with USDA Rural Development, local planning agencies and banks in RC&D areas. Loans have been made to a variety of businesses including a campground in Huron County for improvements which resulted in higher use of the facilities; a company which recycles 1,000,000 pounds of plastic a week which would otherwise be headed for the landfill; and a charter boat service on Lake Erie which is equipped to handle physically and mentally disadvantaged individuals. These

loans have helped businesses in the RC&D areas and have helped create new jobs. This is a project that can be easily duplicated throughout the country. In Pennsylvania NRCS, along with seven RC&D Councils, local Conservation Districts, the Pennsylvania Department of Environmental Protection (DEP), and 27 landowners collaborated with solar component suppliers to demonstrate the use of photovoltaic (PV) solar technology on livestock farms. Twenty-seven solar pump systems were installed on a variety of livestock operations. The primary objective was to advance the concept of intensive rotational grazing and reduce the need for mechanical harvesting and its inherent consumption of fossil fuels. Water is available on most Pennsylvania farms, but it is seldom located where it will support properly designed and managed grazing systems. Therefore it must be moved via pipelines using either gravity or mechanical means. Water for use in most rotational grazing systems in Pennsylvania generally needs to be pumped. Since most under-utilized grazing lands are often very remote and at great distances from grid-power sources, alternative energy sources must be used to power the pumps. Solar arrays proved to be very durable and dependable for production of power to pump water despite Pennsylvania's intermittent overcast skies. It was found that solar power is a cost effective and a viable alternative to conventional power sources for water pumping in remote areas if it is properly designed, installed, and maintained. Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects are judged on relevance of the project to the individual RC&D's area plan goals and objectives. Criteria for setting priorities are usually published in the RC&D area plan or are available from the local sponsors of the RC&D area. Proposals for projects should be submitted to the local USDA designated RC&D area. If an area does not exist, contact the field or state office of the Natural Resources Conservation Service.

#### **10.902 SOIL AND WATER CONSERVATION**

##### **FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

##### **AUTHORIZATION:**

Soil and Moisture Conservation Act of 1935, Public Law 74-76, Stat. , 16 U.S.C 590 a-f, as amended by Soil Conservation and Domestic Allotment Act of 1936, Public Law -, Stat.

##### **OBJECTIVES:**

Provide conservation technical assistance to private landowners, conservation districts, tribes, and other organizations through a national network of locally-respected, technically-skilled, professional conservationists and assist them in conserving, improving and sustaining our natural resources and environment.

##### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

##### **USES AND USE RESTRICTIONS:**

Technical assistance to the general public in planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments. Technical assistance to decision-makers on lands in agriculture, forestry and related uses for planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments.

##### **Applicant Eligibility:**

The CTA Program is delivered to private individuals, groups of decision makers, tribes, units of governments, and non-governmental organizations in all 50 States, the District of Columbia, Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of Palau, and the Marshall Islands.

##### **Beneficiary Eligibility:**

General public, State governments, and local governments.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Contact the local Natural Resources Conservation Service office in nearly all counties. Preapplication coordination of this program is not required.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 08 \$727,353,190; FY 09 est \$715,905,779; FY 10 est \$739,437,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NRCS provided conservation technical assistance to nearly 1.1 million customers, in fiscal year 2008. Of the customers assisted, over 25,915 were members of minority groups. As a result of CTA Program conservation planning services, a total of 8.5 million acres of cropland and 13 million acres of grazing land were treated to resolve natural resource concerns and achieve sustainable management. Overall, NRCS provided conservation planning assistance on more than 42.3 million acres of land in all uses and application assistance on more than 49.7 million acres. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Conquest of the Land," AIB99; "Soil Erosion by Water," AIB513; "Assistance Available from the Natural Resources Conservation Service," AIB345; "Controlling Erosion on Construction Sites," AIB347; "Community Improvement Through Resource Conservation and Development," PA1077; "Save Soil Systematically," PA1366. "List of Published Soil Surveys;" "Going Wild with Natural resource Conservation," PA1363; "Conversation Planning-You and Your Land," PA 1376, "Farming and Maintaining Terraces," LN570.

**Regional or Local Office:**

See Regional Agency Offices. State and local Natural Resources Conservation Service offices (see Appendix IV of the Catalog).

**Headquarters Office:**

Ed Burton, 1400 Independence Ave, SW, South Building, Room 6238 , Washington, District of Columbia 20013 Phone: (202) 720-4527.

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.500 Cooperative Extension Service; 10.901 Resource Conservation and Development; 10.903 Soil Survey; 10.904 Watershed Protection and Flood Prevention; 10.905 Plant Materials for Conservation; 10.906 Watershed Surveys and Planning; 10.907 Snow Survey and Water Supply Forecasting; 10.910 Rural Abandoned Mine Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.903 SOIL SURVEY**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1935 , Public Law 74-46, 16 U.S.C 590 ; The Soil Information Assistance for Community Planning and Resource Development Act of 1966 , Public Law 89-560.

**OBJECTIVES:**

To produce and maintain up to date soil survey information (maps, data sets, soil interpretations, and reports) of the United States for widespread use by interested agencies, organizations, and individuals and to assist in the use of this information.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Scientists and policy makers use soil survey information in studying global climate change and evaluating the sustainability and environmental impacts of land use and management practices. Soil Surveys provide input data that computer simulation models use to predict the dynamics of carbon, nutrients, and water in soils. Soil surveys are used by planners, engineers, zoning commissions, tax commissions, homeowners, farmers, ranchers, developers, landowners, and operators to evaluate soil suitability for home sites, subdivisions, commercial and industrial sites, farms, wildlife and recreational areas, prime agricultural land, hydric soils, highly erodible lands, highways, and airports and to select and implement appropriate use and management of those soils.

**Applicant Eligibility:**

All individuals and groups that have a need for soil survey information can access it on the Web Soil Survey at [websoilsurvey.nrcs.usda.gov](http://websoilsurvey.nrcs.usda.gov) or by contacting the local Natural Resources Conservation Service Office.

**Beneficiary Eligibility:**

All individuals and groups that have a need for soil survey information are eligible to receive assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may access the Web Soil Survey or request information from the local office of the Natural Resources Conservation Service, local Conservation Districts, Extension Service, the State Office of the Natural Resources Conservation Service, State Agricultural Experiment Station. Local units of

government submit requests to State Conservationist, Natural Resources Conservation Service, see Appendix IV in the Catalog for addresses. Conservation District cooperators submit requests to their Conservation District board of supervisors.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Technical Assistance.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 08 \$90,169,680; FY 09 est \$88,744,563; FY 10 est \$92,229,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For fiscal year 2007, progress was 12,245,126 acres of new surveys and 24,878,556 acres of outdated surveys. For fiscal year 2008, progress was 12,111,223 acres of new surveys and 23,425,890 acres of outdated surveys. Fiscal Year 2009: Estimated production for fiscal year 2009 is 36,000,000 acres. In fiscal year 2009 the Web Soil Survey has been averaging 1,260,000 hits per day. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"List of Published Soil Surveys;" "Know the Soil You Build On," AIB 320; "Know Your Soil," AIB 267; "Soil Surveys Can Help You," PA-1054. These publications are available from the Office of Public Affairs, NRCS-USDA, P.O. Box 2890, Washington, DC 20013, at no charge.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service; see Appendix IV of the Catalog for addresses.

**Headquarters Office:**

Paul W. Benedict USDA, Natural Resources Conservation Service, Soils Survey Division, 14th and Independence Ave., SW, Washington, District of Columbia 20250 Email: Paul.Benedict@wdc.usda.gov Phone: 202-720-1824 Fax: 202-720-5493

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.904 WATERSHED PROTECTION AND FLOOD PREVENTION**

(Watershed Program; Public Law 566 Operations Phase)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide technical and financial assistance in carrying out works of improvement to protect, develop, and utilize the land and water resources in watersheds.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in designing, and installing watershed works of improvement. Financial assistance is provided for sharing costs of measures for watershed protection, flood prevention, agricultural water management, sedimentation control, public water based fish, wildlife, recreation; municipal and industrial water supply; and in extending long term credit to help local interests with their share of the costs. Watershed area must not exceed 250,000 acres. Capacity of a single structure is limited to 25,000 acre-feet of total capacity and 12,500 acre-feet of floodwater detention capacity.

**Applicant Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, the Virgin Islands, Guam, American Samoa, the Mariana Islands and the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, Guam, American Samoa, the Mariana Islands, and the Trust Territories of the Pacific Islands.

**Credentials/Documentation:**

Applications must designate the proposed project area, be properly signed and attested to by all applicants, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms and information are available in all NRCS offices and from designated State agencies.

**Award Procedure:**

Details of the procedure are available from the State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Formula and Matching Requirements (101): Technical and financial assistance under which program funds provide certain prescribed services and costs and a percentage of other costs on the basis of a contract vary according to purpose of the works of improvement. For example, for construction costs under the Act, program funds provide 100 percent for flood prevention; up to 50 percent of agricultural water management, public recreation and fish and wildlife purposes; and none of the costs for certain other nonagricultural water management purposes. All of the applicants' installation costs are eligible for program loans. Reimbursable advances are available for preservation of sites and future municipal water supply. Sponsors are required to obtain all land and water rights and permits prior to installation of project measures, and for operation and maintenance.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report. Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

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

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$5,108,013; FY 10 est \$24,877,449. (Salaries) FY 08 \$23,585,519; FY 09 est \$26,739,110; FY 10 est \$0. (Salaries) FY 08 \$13,358,563; FY 09 est \$13,658,573; FY 10 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$34,949,777; FY 10 est \$80,064,761

**Range and Average of Financial Assistance:**

(per State) \$0 to \$2,164,000; \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In fiscal year 2009, 5 projects were approved for operations. A total of 305 projects in construction. Projects installed as planned under the program totaled 1048.

Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"What is a Watershed," PA-420; "Flood Plain Management - Why We Need It," PA-1276; "Multiple- Purpose Watershed Projects," PA-575; and "Small Watershed Projects," PA- 1354.

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Marvin Brown P.O. Box 2890 , Washington, District of Columbia 20013-2890  
Email: MarvinBrown@wdc.usda.gov Phone: (202) 720-3413.

**Website Address:**

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

**RELATED PROGRAMS:**

10.664 Cooperative Forestry Assistance; 10.902 Soil and Water Conservation; 10.903 Soil Survey; 10.905 Plant Materials for Conservation; 10.906 Watershed Surveys and Planning; 10.907 Snow Survey and Water Supply Forecasting; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: To date, Federal assistance for installation has been authorized on 1,744 watershed projects. This program provides technical and financial assistance to State agencies and units of local government in solving problems caused by flooding, erosion and sediment damage, conservation, development, utilization, and disposal of water, including the development of multipurpose facilities for such uses as recreation, improvement of fish and wild-life habitat, irrigation, and water supply to municipal and industrial users. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The watershed must meet the requirements of the law; (2) an approved watershed plan has been prepared; (3) the local sponsors should indicate willingness to carry out a watershed project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio; and (5) no critical environmental issues exist.

**10.905 PLANT MATERIALS FOR CONSERVATION**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1936.

**OBJECTIVES:**

To assemble, evaluate, select, release, and introduce into commerce, and promote the use of new and improved plant materials for soil, water, and related resource conservation and environmental improvement programs. To develop technology for land management and restoration with plant materials. To transfer technology on plant materials.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Plant materials are used in all phases of the soil and water conservation program. This program emphasizes field testing to determine the plant's value and restoration techniques. It is limited to the properties of conservation cooperators properties in conjunction with soil conservation districts, State Agricultural Experiment Stations, State Crop Improvement Associations and other Federal and State agencies. The program also provides commercial seed growers with breeder and foundation quality seed or propagules through state Crop Improvement Associations or Foundations Seed Services. Other plants or seed are not provided to the general public. Large-scale production is conducted by cooperating commercial producers. Free plants, seed and/or grants are not available to nurseries or the public.

**Applicant Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts where structured evaluations are conducted and commercial seed growers and nurserymen interested in the commercial production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands. The general public is not eligible to participate in this program.

**Beneficiary Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation



districts and commercial seed growers and nurserymen interested in the production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the local Natural Resources Conservation Service office.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 08 \$11,334,618; FY 09 est \$12,171,163; FY 10 est \$12,628,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: About 450 releases of grasses, legumes, forbs, shrubs, and trees have been developed and made available for commercial increase through this program. Uses include erosion control and sediment reduction, roadside and stream bank protection, wetlands restoration, buffer strip establishment, surface-mined land reclamation, biofuels, pollinator habitat, and wildlife food and cover. The annual commercial production of NRCS released grasses, legumes and woody plants by commercial seed growers and nurserymen is equivalent to the amount required to establish vegetative cover on over 2,000,000 acres of land per year. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"National Plant Materials Manual" provides overall guidance on the operation, policy and procedures of the Plant Materials Program. Over 2,500 technical and informational documents on a wide variety of plant related topics may be found on the Programs Web site at: <http://plant-materials.nrcs.usda.gov>.

**Regional or Local Office:**

See Regional Agency Offices. NRCS State offices and field offices. See Appendix IV.

**Headquarters Office:**

John Englert Ecological Sciences Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20013 Email: [JohnEnglert@wdc.usda.gov](mailto:JohnEnglert@wdc.usda.gov) Phone: (202) 720-0536.

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.907 SNOW SURVEY AND WATER SUPPLY FORECASTING**

(Snow Surveys)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act of 1936.

**OBJECTIVES:**

To provide reliable, accurate and timely forecasts of surface water supply to water managers in the water users and water managers in the west. To efficiently obtain, manage, and disseminate high quality data and information on snow, water, climate, and hydrologic conditions. To provide climate data to support NRCS conservation planning tools.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The information is used by the owners and operators of the 30,000,000 irrigated acres in the mountain States, and the far West; as well as help farm operators, rural communities, and municipalities which use the water supply forecasts to manage water resources. The data are also used in administering international and interstate river flow distribution contracts and agreements, and in the regulation of hundreds of small and large reservoirs for irrigation, flood control, power generation, recreation, industry, and municipal supplies. The data also provide soil moisture/temperature and climate data which supports drought assessments, flood assessment, fire hazard assessment, wildlife management and climate change research. Cooperators include other Federal agencies, State agencies, municipalities, irrigation districts, water associations and private utilities, and water management officials of Canada and Mexico.

**Applicant Eligibility:**

General public, including those located in the U.S. Territories.

**Beneficiary Eligibility:**

General public, including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Individuals can make requests for reports from NRCS Field and State offices that issued them, and from the NRCS National Water and Climate Center at Portland, OR.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 08 \$10,550,590; FY 09 est \$12,327,242; FY 10 est \$12,506,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Daily snow and precipitation data is gathered from approximately 790 automated Snow Telemetry (SNOTEL) sites and another approximately 950 manual snow courses in West U.S. and Alaska. These data and the approximately 12,000 forecasts of seasonal volume stream flows at approximately 700 stream gaging points are provided to water users via the internet address "<http://www.wcc.nrcs.usda.gov>". Climate analyses are performed for soil surveys and for wetland determinations nationally. Soil moisture analysis has been done to more effectively evaluate potential runoff conditions and for drought and flood potential. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Snow Surveys, AIB 536.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service in Alaska, Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, and the National Water & Climate Center, Portland, OR. See Appendix IV of the Catalog for addresses. California's Department of Water Resources, which coordinates and issues snow surveys for that State, and the British Columbia Department of Lands, Forests and Water Resources, supply data for the monthly west-wide summaries.

**Headquarters Office:**

Douglas Lawrance Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, , Washington, District of Columbia 20013 Phone: 202-720-4630

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.912 ENVIRONMENTAL QUALITY INCENTIVES PROGRAM (EQIP)**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 , Public Law 110-246.

**OBJECTIVES:**

Promotes agricultural production, forest management, and environmental quality as compatible national goals and optimizes environmental benefits on eligible land with farmers, ranchers, and non-industrial private forest land owners. It is a voluntary program using partnerships with local, State, Tribal and Federal agencies, producer associations, and nonprofit organizations to provide flexible technical and financial assistance to install and maintain conservation practices include those related to organic production, that sustain food and fiber production. The purpose of this program is achieved through the implementation of structural, vegetative, and land management practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices. Sixty percent of the funding available for technical assistance, cost-share payments, incentive payments, shall be targeted at practices relating to livestock production.

**Applicant Eligibility:**

Agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands or non-industrial forestlands. Limited resource producers, small-scale producers, social disadvantaged individuals, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program

participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance, and conservation payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the conservation EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. These criteria can be found at [http://www.nrcs.usda.gov/programs/eqip/EQIP\\_signup/2007%20EQIP%20Signup/2007\\_EQIP.html](http://www.nrcs.usda.gov/programs/eqip/EQIP_signup/2007%20EQIP%20Signup/2007_EQIP.html).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the State Conservationist.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 75%. Conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. This program has MOE requirements, see funding agency for further details. None.

**Length and Time Phasing of Assistance:**

A 2008 Farm Bill EQIP contract expires one year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 08 \$267,200,339; FY 09 est \$296,659,663; FY 10 est \$306,670,000. (Direct Payments for Specified Use) FY 08 \$925,990,053; FY 09 est \$757,388,939; FY 10 est \$873,330,000

**Range and Average of Financial Assistance:**

Conservation payments are limited to a maximum payment limitation of \$300,000 for the life of the 2008 Farm Bill. Average contract payments are estimated to be \$19,600.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 90,000 applications were received in fiscal year 2008. NRCS estimates that it would require over \$1.8 billion to fully fund all of the applications received last year. After NRCS ranked the applications based on criteria developed at the local and State level 48,116 contracts were approved with farmers and ranchers totaling over \$943,407 million. Fiscal Year 2009: It is estimated that these contracts will treat conservation resource concerns on over 25 million acres of farmland. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

Tim Beard Financial Assistance Programs Division  
Natural Resources Conservation Service  
Department of Agriculture  
PO Box 2890, Washington, District of Columbia 20113 Email:  
TimBeard@wdc.usda.gov Phone: 202-690-2621

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

**10.913 FARM AND RANCH LANDS PROTECTION PROGRAM**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Public Law 99-198, as amended by Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, 110 Stat. 888; Farm Security and Rural Investment Act of 2002., Public Law 107-171, 116 Stat. 134; The Food, Conservation, and Energy Act of 2008, Public Law 110-246, 122 Stat. 1651.

**OBJECTIVES:**

To provide funding to eligible entities to purchase conservation easements to

limit conversion to non-agricultural uses of farm and ranch lands that contain prime, unique, or important soils; that contain historical and archaeological resources; or that support the policy of a state or local farmland protection program.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are provided to purchase conservation easements in partnership with States, Tribes, or local government entities, or eligible nongovernmental organizations (eligible entities). The Federal share for any easement acquisition is limited to a maximum of 50 of the appraised fair market value of the conservation easement. A conservation plan is required for highly erodible lands enrolled under an FRPP easement. Conservation easements are perpetual easements. A right of enforcement is incorporated in the conservation easement deed for the protection of the Federal investment. A failure of title would require the eligible entity to reimburse the United States for the Federal share of the easement value.

**Applicant Eligibility:**

An eligible entities is any local or State agency, county or groups of counties, municipality, town or township, soil and water conservation district, or Indian tribe or tribal organization, that has a farmland protection program that purchases conservation easements for the purpose of protecting agricultural use and related conservation values by limiting conversion to non- agricultural uses of land, and that has pending offers may apply for funds. This program is available in all 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoas, the Mariana Islands, and the Trust Territories of the Pacific Islands. Individual landowners must apply through the local agency or organization that handles farmland protection program. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Landowners must be in compliance with the Wetland Compliance (WC) and Highly Erodible Land (HEL) provisions of the Farm Bill and met the Adjusted Gross Income (AGI) limitations in the Farm Bill.

**Credentials/Documentation:**

Entities must prove their eligibility by providing documents indicating their commitment to long-term conservation of agricultural lands through legal devices, such as right-to-farm laws, agricultural districts, zoning, or land use planning; uses of voluntary approaches to protect farmland from conversion to non-agricultural uses; and their capability to acquire, manage, and enforce conservation easements. Programs must have a systematic plan for acquiring conservation easements, have a proven commitment to agricultural land protection, and sufficient funds and staff to monitor and enforce conservation easements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Entities must submit an application form and supporting data for each parcel to the appropriate State Office of the Natural Resources Conservation Service (NRCS). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are accepted on a continuous basis by the State Offices of the Natural Resources Conservation Service (NRCS). The application form and supporting information required for the application are available from the State Offices of the (NRCS) and USDA NRCS home page.

**Award Procedure:**

NRCS State Offices will rank parcels individually and award funding to the highest-ranked parcels. NRCS State Offices will obligate funds to the eligible entities associated with the highest-ranked parcels.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined by each State Office of the Natural Resources Conservation Service (NRCS).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. Each eligible entity is required to contribute cash towards the conservation easement acquisition. The eligible entity must contribute a minimum of 25 percent of the purchase price of the easement (appraised fair market value minus the landowner donation). Each eligible entity is required to fund its own administrative costs in acquiring easements, such as appraisals, surveys, title searches, and costs incurred in managing and enforcing the easements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easements must be closed within 18 months of the end of the fiscal year in which the cooperative agreement is signed. Federal funds must be disbursed within two to five years after signing the cooperative agreement. Technical assistance to maintain the conservation plan, however, is provided by NRCS through the life of the easement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual monitoring reports on the status of each easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records of easements acquired will be maintained for the life of the easements by the cooperating entity and NRCS.

**Account Identification:**

12-4336-0-1-302; 12-1804-0-1-302.

**Obligations:**

(Salaries) FY 08 \$5,660,446; FY 09 est \$5,851,009; FY 10 est \$5,873,000. (Direct Payments for Specified Use) FY 08 \$90,520,279; FY 09 est \$112,915,161; FY 10 est \$114,127,000

**Range and Average of Financial Assistance:**

\$2,700 to \$1,000,000 per landowner. Average: \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, Volume 74, Number 11, January 16, 2009  
Interim Final Rule, Correction, Federal Register, Volume 76, Number 126, July 2, 2009.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Robert Glennon, Easement Programs Division, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20013 Email: Robert.Glennon@wdc.usda.gov Phone: (202) 720-9476 Fax: (202) 720-9689.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: (1) California Department of Conservation's Agricultural Land Stewardship Program; (2) Florida St. Johns River Water Management District's Georgia-Pacific Project; (3) Massachusetts Department of Food and Agriculture's Agricultural Preservation Restriction Program; (4) Rhode Island Department of Environmental Management's Farmland Purchase of Development Rights Program; (5) Vermont Housing and Conservation Board's Farmland Conservation Easement Program; (6) The Nature Conservancy; (7) Iowa Natural Heritage Foundation. The Farm and Ranch Lands Protection Program provides an opportunity to expand Federal partnerships with States, Tribes, and local government entities and nongovernmental organizations to protect farm and ranch land for future generations; to protect strategic agricultural land from conversion to nonagricultural uses; maintain, restore, and enhance ecosystem function; protect historic landscapes, scenic beauty, and open space; and sustain rural economic stability. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting proposals are: the percent of prime, unique, and important farmland in the parcel to be protected; percent of cropland, pastureland, grassland, and rangeland in the parcel to be protected; ratio of the total acres of land in the parcel to be protected to average farm size in the county according to the most recent USDA Census of Agriculture; decrease in the percentage of acreage of farm and ranch land in the county in which the parcel is located between the last two USDA Censuses of Agriculture; percent population growth in the county as documented by the United States Census; population density (population per square mile) as documented by the most recent United States Census; proximity of the parcel to other protected land, such as military installations land owned in fee title by the United States or a State or local government, or by an entity whose purpose is to protect agricultural use and related conservation values, or land that is already subject to an easement or deed restriction that limits the conversion of the land to nonagricultural use; and the proximity of the parcel to other agricultural operations and infrastructure.

**10.914 WILDLIFE HABITAT INCENTIVE PROGRAM**

(WHIP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Section 2502, Public Law 107-171; Food, Conservation, and Energy Act of 2008, Section 2602, Public Law 110-246; Federal Agriculture Improvement and Reform Act of 1996, Section 387, Public Law 104-127, 110 Stat. 888, 16 U.S.C 3836a.

**OBJECTIVES:**

To help participants protect, restore, develop or enhance habitat for upland wildlife, wetland wildlife, threatened and endangered species, fisheries, and other types of wildlife.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical assistance is provided to develop a WHIP Plan of Operation (WPO) for eligible participants. Cost-share payments may be made to implement fish and wildlife habitat conservation practices. Up to seventy-five percent cost-share is available from NRCS to reimburse participants for installing conservation practices beneficial to wildlife.

**Applicant Eligibility:**

Applicant must meet Highly Erodible Land and Wetland Conservation (HEL/WC) requirements, Adjusted Gross Income (AGI) requirements, verification that applicant will be in control of land for the duration of a contract. A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, Pacific Islanders, State, county, or local government owned lands are

encouraged to apply.

**Beneficiary Eligibility:**

A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small-scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable Wildlife Habitat Development Plan for the land unit of concern that incorporates needed wildlife habitat conservation practices. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies at the local USDA service center or found at <http://www.sc.egov.usda.gov> on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant, With the Natural Resources Conservation Service develops a WPO for the land unit of concern. The participant's plan serves as the basis for the WHIP cost-share agreement. Technical assistance and cost-share payments may be provided to apply the needed wildlife habitat conservation practices within a time schedule specified by the plan. A participant may apply one or more wildlife habitat conservation practices in a cost-share agreement.

**Award Procedure:**

NRCS may designate a wildlife habitat type or a region of special wildlife habitat concern as a priority. The priorities are designated by the State Conservationist based on recommendations of local working groups which are convened by the local conservation district with recommendations from the State Technical Committee. NRCS will give special consideration to applicants who have WPOs that address wildlife habitat concerns consistent with National and state priorities. Applications will be ranked and selected for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A participant may appeal any adverse determination to NRCS.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. Installation of cost-share practices to develop wildlife habitat can be funded by cost-sharing up to 75 percent of the total cost of establishing the conservation practice by NRCS. Program participants or nonfederal partners provide the remaining 25 percent. Other conservation practices may be required to be installed without program payments.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The WHIP cost-share agreement period is a minimum of 1 to 10 years. Obligations for assistance are tied to the schedule for applying wildlife habitat conservation practices included in the WPO used as the basis for cost-share agreement. Payments are made when the participant and NRCS certify that a conservation practice is completed in accordance with the cost-share agreement. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. NRCS makes periodic random reviews of the operation and maintenance of the cost-share agreement items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in the NRCS state office and Federal records centers for specified number of years.

**Account Identification:**

12-3322-0-1-302.

**Obligations:**

(Salaries) FY 08 \$26,395,884; FY 09 est \$20,596,887; FY 10 est \$20,543,000. (Direct Payments for Specified Use) FY 08 \$57,106,833; FY 09 est \$52,146,044; FY 10 est \$21,457,000

**Range and Average of Financial Assistance:**

Average contract payments are estimated to be \$4,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States began implementing WHIP in fiscal year 1998. Over 4.7 million acres are enrolled in the program. The average agreement encompassed 158 acres. Of all acres enrolled, 95 percent are designed for upland habitat, 3 percent for wetland habitat, 2 percent were riparian habitat, and nearly 1 percent in-stream aquatic habitat. It is estimated that approximately 15 percent of the total acreage enrolled in WHIP will benefit threatened and endangered species. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 636. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS and FSA.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. NRCS, FSA, and many local conservation districts are located in USDA service centers. For a list of NRCS State Office telephone numbers and addresses, see Appendix IV of the Catalog or visit the NRCS National Website at <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

Albert Cerna, Department of Agriculture, Natural Resources Conservation Service, P.O. Box 2890, Attn: Director, Financial Assistance Programs Division, Washington, District of Columbia 20113 Email: [Albert.Cerna@wdc.usda.gov](mailto:Albert.Cerna@wdc.usda.gov) Phone: (202) 720-9358.

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.921 Conservation Security Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Restoring native grasslands; improving aquatic habitat with obstruction removal, fish passages and streambank stabilization; estuarine habitat improvement; cave closures for bat habitat; native tree planting; invasive plant control. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be ranked and selected for funding based on: The wildlife habitat benefits derived and the extent the cost-share agreement will assist in achieving the wildlife habitat priority goals and objectives in the area the land unit is located.

**10.916 WATERSHED REHABILITATION PROGRAM**

(Watershed Rehabilitation; PL-566 Watershed Program)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide technical and financial assistance to rehabilitate dams originally constructed with assistance of USDA Watershed Programs. Rehabilitation must extend the life of the dam and meet applicable safety and performance standards. Priority is given to dams that could result in loss of life if the dam should fail.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property. Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property.

**Applicant Eligibility:**

Sponsoring local organizations for existing watershed projects that include dams that were originally constructed with assistance from one of the following water resource programs: Public Law 78-534, Section 13 of the Flood Control Act of 1944; Public Law 156-67, the pilot watershed program authorized under the heading Flood Prevention of the Department of Agriculture Appropriation Act of 1954; Public Law 83-566, the Watershed Protection and Flood Prevention Act of 1954; and Subtitle H of Title XV of the Agriculture and Flood Act of 1981, commonly known as the Resource Conservation and Development Program.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may become a sponsoring local organization for a watershed rehabilitation project.

**Credentials/Documentation:**

Applications must designate the proposed dam to be rehabilitated, be properly signed and attested to by all sponsoring local organizations of the existing watershed, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The

standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statement are required for all projects. An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are evaluated by analyzing the condition of the dam and consequences of failure of the dam. The State Dam Safety Agency is also consulted for input. Details of the procedure are available from the State Offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Federal funds may be available for 65 percent of the total rehabilitation project cost, but shall not exceed 100 percent of the actual construction cost incurred. The total rehabilitation project cost includes land acquisition, easements, construction, and non-federal technical assistance and project administration. The cost of technical assistance provided by the natural Resources Conservation Service is not considered as part of the total rehabilitation project cost. The sponsoring local organizations shall be responsible for the cost of all water, mineral, and other resource rights, and cost of permits which are not part of the total rehabilitation project cost. Costs associated with adding new purposes to the watershed rehabilitation project may be cost-shared according to provisions of the Watershed Protection and Flood Prevention Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report. Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

Not Applicable.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1002-0-1-301.

**Obligations:**

(Salaries) FY 08 \$8,461,060; FY 09 est \$34,173,048; FY 10 est \$33,211,000. (Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$14,325,000; FY 10 est \$25,675,000. (Cooperative Agreements (Discretionary Grants)) FY 08 \$12,474,354; FY 09 est \$10,733,977; FY 10 est \$6,950,000

**Range and Average of Financial Assistance:**

\$0 to \$6,451,000; \$770,000 average per state.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: 86 Dams rehabilitated or removed through fiscal year 2009. Fiscal Year 2010: No

Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy for implementation of this program is contained in the National Watershed Manual and NRCS General Manual. Program fact sheets, case studies, and guidelines are available from NRCS State Offices and can also be accessed through the NRCS website ([www.nrcs.usda.gov](http://www.nrcs.usda.gov)).

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Stuart Simpson Natural Resources Conservation Service, Department of Agriculture,  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
[Stuart.Simpson@wdc.usda.gov](mailto:Stuart.Simpson@wdc.usda.gov) Phone: (202) 720-3413

**Website Address:**

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

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.906 Watershed Surveys and Planning; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Since 2002, Federal assistance has been provided to complete 86 dam rehabilitation projects. This program provides technical and financial assistance to State agencies and units of local government in addressing public health and safety concerns with homes and businesses downstream from the dams. These projects also reduce flooding and sediment damage some projects also include the development of multipurpose facilities for such uses as recreation, improvement of fish and wild-life habitat, irrigation, and water supply to municipal and industrial users. Examples: watershed rehabilitation projects protect public health and safety of residents in the communities of Gwinnett County, Georgia (Yellow River Watershed); McKinney, Texas (East Fork Above Lavon Creek Watershed); Ramon, Oklahoma (Double Creek Watershed), and Carlsbad, New Mexico (Hackberry Draw Watershed). Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The existing watershed project must meet the requirements of the law; (2) operation and maintenance of the existing dam must be current; (3) the local sponsors must agree to carry out the watershed project including acquiring land rights, permits, local cost-share, and operating and maintaining the rehabilitated dam for the life of the project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio.

**10.917 AGRICULTURAL MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Risk Protection Act of 2000, Section 133, Public Law 106-224.

**OBJECTIVES:**

To provide cost-share assistance to producers on private lands through contracts to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible producers in approved states may receive cost-share assistance to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**Applicant Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years. The land must be in one of the 16 following eligible states: Connecticut, Delaware, Hawaii, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years.

**Credentials/Documentation:**

Evidence that the applicant has control over the land for the life of the proposed contract. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential applicants must submit documents to the appropriate local NRCS or Conservation District office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms are available in USDA Service Centers and conservation district offices as well as in an automated format on the Internet on the USDA NRCS homepage.

**Award Procedure:**

Participants must sign a contract running a minimum duration of one year after completion of the last practice, but not more than 10 years based on the conservation plan to receive financial assistance. Financial assistance payments are made directly to the applicant upon satisfactory completion on identifiable units of work. Approval of contracts are made by an authorized representative of the Commodity Credit Corporation (CCC).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Variable, no specified time. Approval will depend on volume of applications received and available funds.

**Appeals:**

Any participant shall have the right to appeal final adverse or potentially adverse decisions made by NRCS.

**Renewals:**

Contracts that are scheduled for less than 10 years may be extended up to the ten-year contract limit, in order for the participant to complete the practices scheduled in the contract. However, the participant must apply all practices within ten years of signing the contract.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. AMA participants are eligible for financial assistance payments of up to 75 percent of the estimated incurred cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Long term contracts are to be a minimum of duration of one year after completion of the last practice, but not more than 10 years. Financial assistance is paid when the practice is performed. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Program activities are subject to audit by the Office of Inspector General, USDA.

**Records:**

The records for all expired or terminated contracts will be kept for 10 years following expiration or termination of the contracts.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 08 \$1,493,672; FY 09 est \$1,196,696; FY 10 est \$1,230,000. (Direct Payments for Specified Use) FY 08 \$5,756,087; FY 09 est \$6,181,433; FY 10 est \$3,770,000

**Range and Average of Financial Assistance:**

Financial assistance payments are not to exceed \$50,000 per fiscal year. The total financial assistance payments paid per participant must not exceed \$50,000 for any fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since program inception in FY 2001 through FY 2008, a total of 3,234 contracts valued at over \$41,800,000 on over 513,000 acres have been approved in the sixteen designated States. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1465 regulations in the Federal Register, Volume 73, No. 225, page 70245, November 20, 2008; USDA/NRCS Internet homepage under Programs.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Dave Mason, Financial Assistance Programs Division, Natural Resources Conservation Service  
Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20113  
Email: Dave.Mason@wdc.usda.gov Phone: (202) 720-1873 Fax: (202) 720-4625.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A State developed ranking process and ranking criteria will be used. The ranking criteria will emphasize: the construction or improvement of water management structures or irrigation structures; planting of trees for windbreaks or to improve water quality; and mitigating financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**10.920 GRASSLAND RESERVE PROGRAM**

(Grassland Reserve Program (GRP))

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002., Public Law 107-171, 16 U.S.C 3838n-3838q; The Food, Conservation, and Energy Act of 2008, Public Law 110-246.

**OBJECTIVES:**

To assist landowners and operators in restoring and protecting eligible grazing lands, including rangeland, pastureland and certain other lands through rental contracts and easements.



**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

GRP easements and rental contracts emphasize support for working grazing lands. All participants are subject to the Adjusted Gross Income Provision set forth in 7 CFR Part 1400. This limitation provides that individuals and entities that have an average adjusted gross income exceeding \$1 million for the three tax years immediately preceding the year the contract is approved are not eligible to receive program benefits, unless 66.6 percent of the adjusted gross income is derived from farming, ranching, or forestry operations. Easements and rental contracts will (1) permit grazing on the land in a manner that is consistent with maintaining the viability of the native and natural grass, shrub, forest, and wildlife species adapted to the locality; (2) permit haying, mowing, or harvesting for seed production, except during the nesting and brood-rearing seasons for birds in the area that are in significant decline; (3) allow for fire rehabilitation and construction of firebreaks, fences, watering facilities and practices that protect and restore the grasslands functions and values; and (4) prohibit the production of row crops, fruit trees, vineyards, or any other agricultural commodities. Both easements and rental contracts will require that the land is managed to maintain the viability of the plant community as described in the conservation or grazing management plan.

**Applicant Eligibility:**

GRP is available on privately owned lands. Eligible land includes grassland, land that contains forbs, or shrubs (including rangeland and pasture land; or land that is located in an area that has historically been dominated by grassland, forbs, and shrubs; and has potential to provide habitat for animal or plant populations of significant ecological value. Incidental lands, in conjunction with eligible land, may also be considered for enrollment to allow for the efficient administration of an easement or rental contract.

**Beneficiary Eligibility:**

Only landowners may submit applications for easements; landowners and others who have general control of the acreage may submit applications for rental contracts. Easements may also be acquired by eligible entities based on a 50 percent cost-share with the Federal government. Eligible entities are defined as units of State, local or Tribal government or nongovernmental organizations that have a charter describing a commitment to conserving ranchland, agricultural land, or grassland for grazing and conservation purposes.

**Credentials/Documentation:**

Eligible entities must demonstrate it has the relevant experience and resources to administer a GRP easement. Its charter or mission describes its long term commitment to conserving ranchland, agricultural land, or grassland for grazing and conservation purposes. NRCS evaluates an entity's capacity to acquire, manage and enforce easements; its staffing and the ability of an entity to provide matching funds before entering into a cooperative agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner or operator or tenant meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA service centers at any time. USDA will establish criteria to evaluate and rank applications for easement and rental contract enrollment. Ranking criteria will emphasize support for high quality grasslands and shrublands; grazing operations; plant and animal biodiversity; and grasslands under threat of conversion to cropping or development. Individual project selection will be made by State level USDA officials. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are accepted in local USDA service centers at any time. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e. permanent easement or maximum allowed by State law, 10-year, 15-year, or 20-year rental contract). Applications can be obtained through local USDA service centers or the website of the

Natural Resources Conservation Service Office. See [www.nrcs.usda.gov](http://www.nrcs.usda.gov). Select Programs from the menu, then select Grassland Reserve Program.

**Award Procedure:**

NRCS State Offices rank the individual parcels in the applications based on ranking criteria established by the State Technical Committee. The ranking factors are developed based on national and state priorities.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

Applicants or participants may appeal decisions regarding this program in accordance with 7 CFR Part 614 and Parts 11 and 780.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. For GRP acquisitions made through a Cooperative Agreement, each eligible entity is required to provide, in cash, at least 50 percent of the purchase price of the conservation easement. Purchase price is defined as the appraised fair market value minus any landowner donation. The landowner donation is not a cash donation, but is merely the reduction in value the landowner will accept as payment for the sale of the conservation easement. Each eligible entity is required to fund its own administrative costs in acquiring easements, such as surveys, appraisals, deed preparation, title searches, and costs incurred in restoring, managing and enforcing the easements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easement duration is either perpetual, or the maximum duration permitted by State law. Financial assistance for easement acquisition is provided at closing. For rental contracts, payments are made annually on the agreement anniversary date of USDA approval. For both easements and rental contracts, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or rental contract. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual reports on the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. No cash reports are required. Annual reports on the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An audit may be made in accordance with the Office of Management and Budget (OMB) Circular No. A-102 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local governments and other related Circulars.

**Records:**

Records of easements acquired will be maintained for the life of the easements by the eligible entity and NRCS.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 08 \$1,003,006; FY 09 est \$6,615,595; FY 10 est \$6,793,000.  
(Direct Payments for Specified Use) FY 08 \$1,810,086; FY 09 est \$41,042,508;  
FY 10 est \$47,207,000

**Range and Average of Financial Assistance:**

The 5 year average estimated cost per acre for easement acquisition was approximately \$400, ranging from \$65 per acre to over \$30,000 per acre. The average estimated cost per acre for rental contracts was \$134 per acre over the life of the rental contract. Program Accomplishments (130):  
Over 250 GRP easements were acquired on over 117,000 acres.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 250 GRP easements were acquired on over 117,000 acres. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

GRP rental contracts are limited to \$50,000 per person per year. GRP restoration agreements are also limited to \$50,000 per person per year. Grassland Reserve Program Website; [www.nrcs.usda.gov/programs/grp](http://www.nrcs.usda.gov/programs/grp).

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Ed Burton, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20013 Email: [Liz.Crane@wdc.usda.gov](mailto:Liz.Crane@wdc.usda.gov) Phone: (202) 720-0242.

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.921 CONSERVATION SECURITY PROGRAM**

(CSP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Executive Order, Title XII, Part Chapter 2, Section Subchapter A, Public Law 99-198, 19 U.S.C 3801et.seq., as amended by Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

The CSP sets forth a mechanism to provide financial and technical assistance to promote the conservation and improvement of soil, water, air, energy, plant and animal life, and other conservation purposes on Tribal and private working lands. Working lands include cropland, grassland, prairie land, improved pasture, and range land, as well as forested land that is an incidental part of an agriculture operation. The goal of CSP is to identify and reward those farmers and ranchers who are meeting the highest standards of conservation and environmental management on their operations and to support ongoing stewardship of private agricultural lands by providing payments for maintaining and enhancing natural resources.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible applicants may offer eligible land on a portion of their agricultural operation to enter into a five year contract, or entire agricultural operation for a five to ten year contract. Subject to the acceptance of an offer by the Federal Government, the participant shall agree to participate as outlined in the CSP stewardship plan and contract. The contract will include appropriate

stewardship, new practice, existing practice, and enhancement payments. Subject to the availability of funds, CCC will make stewardship, existing practice, new practice or enhancement payments at the rates specified in this contract after a determination by CCC that an eligible practice or activity has been established in compliance with the CSP plan of operations and in accordance with appropriate standards and specifications.

**Applicant Eligibility:**

Applicants must have applied prior to Oct. 1, 2008. An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means an owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. An applicant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Beneficiary Eligibility:**

An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means and owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. A participant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Conduct a CSP self-assessment and benchmark condition inventory, and submit an intention to enroll to the local NRCS office that serves the area in which the agricultural operation is located during the designated sign-up period.

**Award Procedure:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS.

**Appeals:**

An applicant or a participant may obtain administrative review of an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

The conservation security contract may be renewed, as appropriate, for an additional period of not less than 5, nor more than 10 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** Payments may have as many as four components including a base conservation stewardship payment, existing practice payment, new practice cost-share payment, and enhancement payment. Payments will be made as described in the contract in return for the implementation and/or maintenance of a specified level of conservation treatment on all or part of the agricultural operation.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The schedule of payments will be specified in the conservation stewardship contract based on calculations identified in the rule and sign up notice. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained by the participant, as appropriate and in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 08 \$44,588,776; FY 09 est \$29,883,504; FY 10 est \$23,443,000. (Direct Payments for Specified Use) FY 08 \$272,461,959; FY 09 est \$246,120,977; FY 10 est \$210,520,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2008 1,967 contracts covering 2,107, acres. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media, local conservation districts, and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV. the Catalog.

**Headquarters Office:**

Dwayne Howard, Financial Assistance Programs Division, Natural Resources Conservation Service, Department of Agriculture, PO Box 2890, Washington, District of Columbia 20113 Email: Dwayne.Howard@wdc.usda.gov Phone: (202) 720-3524.

**Website Address:**

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

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.914 Wildlife Habitat Incentive Program; 10.917 Agricultural Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**10.922 HEALTHY FORESTS RESERVE PROGRAM (HFRP)**

Healthy Forests Reserve Program (HFRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Healthy Forest Restoration Act of 2003, Title V, 16 U.S.C 6571-6578.

**OBJECTIVES:**

To assist landowners in restoring and enhancing forest ecosystems to: promote the recovery of threatened and endangered species; improve biodiversity; and enhance carbon sequestration.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

HFRP restoration agreements and easements are designed for working Agricultural lands. HFRP is a voluntary program to assist landowners in restoring, enhancing and maintaining forest ecosystems on private lands through easements, contracts and restoration agreements. Easements, contracts, and restoration agreements shall be maintained in accordance with HFRP goals and objectives for the duration of the restoration agreement and easement including the restoration, protection, enhancement, maintenance, and management of habitat for listed species within a forest ecosystem's functions and values. For the duration of its term, the easement shall require, at a minimum, that the landowner, and the landowner's heirs, successors and assigns, shall cooperate in the restoration, protection, enhancement, maintenance, and management of the land in accordance with the easement and with the terms of the HFRP restoration plan. In addition, the easement shall grant to the United States, through the NRCS: a right of access to the easement area; the right to permit compatible uses of the easement area, if such use is consistent with the long-term protection and enhancement of the purposes for which the easement was established; the right to determine compatible uses on the easement area and specify the amount, method, timing, intensity and duration of the compatible use; the rights, title and interest to the easement area as specified in the conservation easement deed; and the right to perform restoration, protection, enhancement, maintenance, and management activities on the easement area. The landowner shall convey title to the easement which is acceptable to the NRCS. The landowner shall warrant that the easement granted to the United States is superior to the rights of all others, except for exceptions to the title which are deemed acceptable by the NRCS.

**Applicant Eligibility:**

To be eligible to enroll an easement or restoration agreement in the HFRP, a person must: be the landowner of eligible private land for which enrollment is sought; agree to provide such information to the Natural Resources Conservation Service (NRCS) as the Agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes.

**Beneficiary Eligibility:**

Only landowners.

**Credentials/Documentation:**

Be the landowner of eligible land for which enrollment is sought; and agree to provide such information to NRCS as the agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up periods. USDA will establish criteria to evaluate and rank applications for easement and restoration agreement enrollment, criteria will be detailed in the sign-up notice. NRCS will identify through a sign-up notice process the geographic scope and ranking priorities for that particular sign-up. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up dates. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e., 10 year restoration agreement, 30 year easement or 99 year easement). Applications can be obtained through local USDA Service Center.

**Award Procedure:**

NRCS will not acquire any easement unless the landowner accepts the amount of the easement payment which is offered by NRCS. The easement payment may or may not equal the fair market value of the interests and rights to be conveyed by the landowner under the easement. By voluntarily participating in the program, a landowner waives any claim to additional compensation based on fair market value.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

A person participating in the HFRP may obtain a review of any administrative determination concerning eligibility for participation utilizing the administrative appeal regulations provided in 7 CFR Part 614.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Easement payments may be made in a single payment or not more than 10 annual payments of equal or unequal size, as agreed to between NRCS and the landowner.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Land may be enrolled in HFRP in accordance with a 10-year restoration cost-share agreement, a 30-year easement, a 30-year contract, or a permanent easement or the maximum duration permitted by State law. 30-year contracts are only available to acreage owned by Indian Tribes. Financial assistance for easement acquisition is provided at closing. For restoration agreements, payments are made annually on the agreement anniversary date of USDA approval. For easements, contracts, and restoration agreements, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or restoration agreement. See the following for information on how assistance is awarded/released: None.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be recorded in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 08 \$188,861; FY 09 est \$1,364,547; FY 10 est \$1,927,216.  
(Direct Payments for Specified Use) FY 08 \$522,865; FY 09 est \$1,256,457; FY 10 est \$5,186,630

**Range and Average of Financial Assistance:**

In FY 2006, NRCS had \$2.3 million available to fund the program in three

states. The average estimated cost per acre for easement acquisition was approximately \$1,048.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2007, NRCS enrolled approximately 196,000 acres in the program in Arkansas, Maine, and Mississippi. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HFRP Regulations are published in the Federal Register and 7 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Ed Burton Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20013 Email: [Patricia.Engler@wdc.usda.gov](mailto:Patricia.Engler@wdc.usda.gov) Phone: 202-720-1836

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.913 Farm and Ranch Lands Protection Program; 10.920 Grassland Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Maine is one of three states nationally where the original pilot program was available. HFRP is now available nationwide. The primary focus of HFRP in Maine is to enhance the management of Spruce-Fir and Northern Hardwood-Spruce forests to promote the recovery of the federally-threatened Canada lynx and to enhance the biodiversity and environmental quality using sustainable forests management practices. Maine developed three contracts from fiscal year 2006 applications addressing 494,000 acres with landowners who agreed to develop and implement forest management plans which incorporate management guidelines specifically designed to benefit the Canada lynx. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary of Agriculture shall give priority to the enrollment of land that provides the greatest conservation benefit to primarily, species listed as endangered or threatened under 16 U.S.C. 1533; and secondarily, species that are not listed as endangered or threatened under 16 U.S.C. 1533; but are candidates for such listing, State-listed species, or special concern species. The Secretary of Agriculture shall also consider the cost-effectiveness of each agreement or easement, and associated restoration plans, so as to maximize the environmental benefits per dollar expended. Specific criteria to determine how individual proposals satisfy the statutory criteria mentioned above will be set forth in the sign-up announcement.

**10.923 EMERGENCY WATERSHED PROTECTION PROGRAM**

(Emergency Watershed Protection (EWP) Program )

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Section 216 of the Flood Control Act of 1950, Public Law 81-516; the Agricultural Credit Act of 1978, Section 403, Public Law 95-334, 33 U.S.C 701B-1, as amended by the Federal Agriculture Improvement and Reform Act of 1996,, Section 382, Public Law 104-127, 16 U.S.C 2203.

**OBJECTIVES:**

The objective of the EWP Program is to assist sponsors, landowners, and operators in implementing emergency recovery measures for runoff retardation and erosion prevention to relieve imminent hazards to life and property created by a natural disaster that causes a sudden impairment of a watershed.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

All EWP work must reduce threats to life and property and must be economically, environmentally, and socially defensible and sound from a technical standpoint. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the U.S. Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services. EWP funds have restrictions. EWP cannot solve problems that existed before the disaster or to improve the level of protection above that which existed before a disaster. It cannot fund operation and maintenance work or repair private or public transportation facilities or utilities. The work cannot adversely affect downstream water rights and funds cannot be used to install measures not essential to the reduction of hazards. In addition, funds cannot be used to perform work on measures installed by another federal agency.

### Applicant Eligibility:

Public and private landowners are eligible for assistance but must be represented by a project sponsor. Project sponsor means a State government or a State agency or a legal subdivision thereof, local unit of government, or any Native American tribe or tribal organization as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), with a legal interest in or responsibility for the values threatened by a watershed emergency; is capable of obtaining necessary land rights, and permits; and is capable of carrying out any operation and maintenance responsibilities that may be required. Sponsors are also responsible for furnishing the local cost share and for accomplishing the installation of work. Work can be done either through Federal or local contracts. Emergency watershed protection is authorized in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

### Beneficiary Eligibility:

None.

### Credentials/Documentation:

Sponsors must submit a formal request to the State Conservationist for assistance within 60 days of the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. Requests must include a statement that the sponsors understand their responsibilities and are willing to pay its cost-shared percentage as well as information pertaining to the natural disaster, including the nature, location, and scope of the problems and the assistance needed. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential sponsors submit formal requests for assistance to the NRCS state conservationist.

### Award Procedure:

Project sponsors seeking EWP assistance must apply to the STC in writing within 60 days of the natural disaster occurrence. Project sponsors may use SF 424 Application for Federal Assistance but must ensure that following information is provided: (1) A description of the problems encountered; (2) Assistance needed, including the following: Nature of the problem; Location; Scope of the problem; Commitment by the sponsor to assume the following responsibilities: local cost-share; Land rights; acquisition; Permits; Operations and Maintenance (O and M), A statement indicating that funds have either been exhausted or are insufficient to provide adequate recovery measures from the applicable hazards; A statement identifying any other State or Federal funding received or application submitted. On receipt of a formal request for EWP assistance, the State Conservationist or designee shall immediately investigate the emergency situation to determine whether EWP is applicable and to prepare an initial cost estimation for submission to the NRCS Chief or designee. The

cost estimation will be submitted no later than 60 days from receipt of the formal request from the sponsor. NRCS may not commit funds until notified by the Chief, or designee, of the availability of funds. Before the release of financial assistance, NRCS will enter into a Cooperative Agreement with a sponsor that specifies the responsibilities of the sponsor under this part, including any required operation and maintenance responsibilities. NRCS will not provide funding for activities undertaken by a sponsor prior to the signing of the agreement between NRCS and the sponsor.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Timeline is dependent upon when funding is appropriated. The EWP program is not a line-item funded program and is reliant upon emergency supplemental appropriations.

### Appeals:

Only NRCS decisions relating to eligibility for the EWP Program can be appealed. These decisions may be appealed in accordance with 7 CFR Part 614 and 7 CFR 11, as applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 75%. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the US Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Continues until all EWP Program recovery measures are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Final reports are prepared for each project within 90 days of completion. A benefit and accomplishment report is prepared for the fiscal year based upon final reports. Expenditure reports are not applicable. No performance monitoring is required.

### Audits:

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

### Records:

Records of operation are maintained for the life of the project.

### Account Identification:

12-1072-0-1-301.

### Obligations:

(Salaries) FY 08 \$27,614,927; FY 09 est \$45,769,915; FY 10 est \$37,475,231. (Salaries) FY 08 \$0; FY 09 est \$5,093,694; FY 10 est \$23,906,306. (Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$74,729,331; FY 10 est \$41,270,769. (Cooperative Agreements (Discretionary Grants)) FY 08 \$147,393,731; FY 09 est \$244,240,385; FY 10 est \$200,022,769

### Range and Average of Financial Assistance:

Disaster Events Funded: FY 06 range \$22,211 to \$6,047,723, average \$955,410.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: For FY 2006: Disaster Events Funded, 87; Disaster Events Unfunded, 25; Completed Projects, 47; Costs: Technical Assistance, \$8,109,137; Financial Assistance, \$44,904,270; Local Contribution, \$9,967,235; Floodplain Easements, 0; Total Costs, \$62,980,642; Benefits: Outcomes: Public Buildings Protected, 259; Private Buildings Protected, 6,342; Road Protected, 487 miles Utilities Protected, 369; Value of Property Protected, \$709,495,022; Outputs: Debris Removed, 1,241,135 feet; Streambank Stabilized 58,469 feet; Land Protected, 84,981 acres; Easements Purchased, 0 acres; People Benefited: Elderly 27,863; Minority, 274,043; Other, 518,018; Total, 819,924; 8(a)Contracts 99; Value of 8(a) Contracts, \$10,512,629; Total Benefits: Economic, \$267,379,988; Cost/Benefit Ratio, 1.0:4.2. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 624; National Emergency Watershed Protection Program Manual.

#### **Regional or Local Office:**

See Regional Agency Offices. For the list of NRCS state offices with telephone numbers and addresses, see the web site: <http://www.nrcs.usda.gov/contact/>.

#### **Headquarters Office:**

Fred Reaves 1400 Independence Ave  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
[fred.reaves@wdc.usda.gov](mailto:fred.reaves@wdc.usda.gov) Phone: (202) 690-0793

#### **Website Address:**

<http://www.nrcs.usda.gov/programs/ewp/>.

#### **RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: NRCS made a major effort to accelerate the work during fiscal year 2006. The objective for NRCS and our local, State and federal partners is to finish all dead tree removal work in the priority areas by the end of calendar year 2007. This has been communicated to all our partners and plans are being put into place to accomplish this goal. Alabama: Hurricane Recovery Efforts -- Alabama has been very aggressively responding to municipalities and local units of government to assist with repair of damages caused by recent hurricanes, Dennis and Katrina. For traditional Emergency Watershed Protection Program (EWP) efforts, Alabama received and approved requests from 34 sponsors for \$18,893,975 to address damages at 205 sites. The potential fire hazards resulting from downed timber from hurricane damage needed to be addressed. For removal of downed timber resulting from hurricane damage from Hurricanes Dennis and Katrina, Alabama recently obligated \$14.6 million dollars to implement emergency measures to relieve imminent hazards to life and property. Alabama received requests from 1,050 landowners to address damages on 295,114 acres. Priority was given in areas with a high risk for wildfire and associated smoke concerns near transportation corridors and fire concerns near urban interface areas. Five counties designated as limited resource areas were assisted with the Program. In addition, the Poarch Band of Creek Indian Reservation has EWP contracts totaling \$779,000 to repair 16 hurricane-damaged sites. This is the first time the tribe has participated in the EWP Program. Florida: Hurricane Recovery Efforts -- Hurricane Charley - City of Punta Gorda: On October 24, 2005 Hurricane Wilma hit Broward County. With over 2,000 miles of canals and waterways in Broward County, most were damaged from debris and erosion. NRCS provided financial and technical assistance to 31 local units of government to remove debris from waterways and repair erosion damage to streambanks. Several sites are completed with the remainder of the work in progress. Massachusetts: Whittenton Pond Dam, Taunton -- NRCS used EWP funding to alleviate the threat to public safety and property through a controlled draw-down of water due to the high risk of dam failure due to flooding The wooden portion of the dam was removed as part of the draw-down and rock was used to stabilize the site to stop further erosion. Without immediate action by NRCS the dam could have failed flooding business and residences in Taunton. Massachusetts: Millpond Dam, Rockport -- A dam in Rockport partially collapsed after heavy rain and was in jeopardy of failing. NRCS immediately responded and place rock to stabilize the dam until sponsors could inspect and determine the best course of action to rebuild or remove the dam. Without NRCS action the dam could have failed damaging water and sewer lines immediately downstream along with other businesses and residences. Since the dam is in close proximity of Rockport Harbor rupture of

the sewer line could have caused serious contamination. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

EWP projects are eligible when it is determined that the current condition of the land or watershed impairment poses a threat to health, life, and property. Assistance includes EWP practices that provide runoff retardation and soil erosion prevention, safeguard lives and property, and relieve an imminent threat that is a result of a sudden impairment of a watershed due to a natural disaster.

### **DEPARTMENT OF COMMERCE**

#### **11.008 NOAA MISSION-RELATED EDUCATION AWARDS**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Navigation and Navigable Waters, 33 U.S.C 893 a(a).

##### **OBJECTIVES:**

The objectives of the overall program are to facilitate educational activities related to NOAA's mission.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

To provide funds to support educational activities and studies related to NOAA's mission. Funds may not be used for construction of facilities. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

##### **Applicant Eligibility:**

None

##### **Beneficiary Eligibility:**

None

##### **Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including standard and special award conditions for financial assistance. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications, and in some cases preliminary applications, are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the applications package and instructions. Application package will then be submitted directly to the Program Office. This program is subject to the provisions of 15 CFR 24, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 15 CFR 14, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. For guidelines, see the specific funding opportunity.

##### **Award Procedure:**

Applications will undergo an administrative review and a technical review based on NOAA standardized evaluation criteria. For each project recommended for funding under this program, NOAA must analyze the potential environmental impacts of a projects as required under the provisions of the National Environmental Policy Act, 40 CFR 1500. See the funding opportunity announcement for further NEPA guidance. NOAA reserves the right to withhold the awarding of a grant or cooperative agreement to any individual or organization delinquent on a debt to the Federal government until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approval time is expected to range from 180 to 240 days from the time of receipt of a complete application. This timeframe includes processing the award through NOAA and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce/NOAA and contingent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Programs vary with regard to the required level of cost-sharing. Requirements are provided in the Federal Funding Opportunity announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to five years. The funding is spent during the award's period of performance unless otherwise negotiated between the recipient and NOAA and approved by the NOAA Grants Management Division. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports are submitted semi-annually or as otherwise required under special award conditions. Performance reports summarize work accomplished, relate the progress to the original approved application and timeliness, explain situations where expected work has not been completed, and request modifications to the project plan as necessary. Reports will be submitted through NOAA's Grants Online System.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained in accordance with the terms of the award. The recipient must retain records for 3 years from the date with the final financial status report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

We expect awards to range from \$10,000 to \$1,000,000 under the competitive process. We expect average award to be approximately \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Commerce Grants and Cooperative Agreements Regulations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for non-profit and for-profit organizations; OMB Circular A-21 for institutions of higher education. Financial assistance management will be in accordance with

15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Education HCHB 6863  
1401 Constitution Avenue, NW, Washington, District of Columbia 20230  
Phone: 202-482-3384

**Website Address:**

<http://www.oesd.noaa.gov>

**RELATED PROGRAMS:**

11.481 Educational Partnership Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will undergo an administrative review and a technical merit review based on NOAA standardized evaluation criteria. NOAA standardized selection factors may also be used in making the final selection.

**11.009 TV CONVERTER BOX COUPON PROGRAM CONSUMER EDUCATION AND TECHNICAL ASSISTANCE**

Coupon Program Consumer Education

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115.

**OBJECTIVES:**

This funding will help educate the public about the digital television transition and the availability of \$40 coupons that are available toward the purchase of a digital TV converter box for analog television sets. Funds are also available to organizations that assist vulnerable populations who require technical assistance with the purchase and installation of converter boxes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The funds can be used by eligible entities for costs associated with consumer education and technical assistance.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Beneficiary are vulnerable populations that requires assistance with the digital television transition.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Not Applicable.

**Award Procedure:**

These are non-competitive awards to continue with work already authorized under existing grants.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grants ended on August 31, 2009. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit quarterly progress reports. Recipients must submit quarterly financial reports. The program will regularly monitor the grants and be in close contact with the recipients.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Not Applicable.

**Records:**

Records retention requirements are identified in the award document.

**Account Identification:**

13-0556-0-1-376.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$2,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wayne A. Ritchie U.S. Department of Commerce  
1401 Constitution Ave. NW  
Room 4812, NTIA/OTIA, Washington, District of Columbia 20230 Email:  
writchie@ntia.doc.gov Phone: 2024825515

**Website Address:**

<http://www.ntia.doc.gov>

**RELATED PROGRAMS:**

11.556 TV Converter Box Coupon Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.010 COMMUNITY TRADE ADJUSTMENT ASSISTANCE**

Community Trade Adjustment Assistance (CTAA)

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Chapter 4, Title II of the Trade Act of 1974, as amended, 19 U.S.C. 2371 et seq., (Trade Act).

**OBJECTIVES:**

The purpose of the Community TAA Program is to assist communities impacted by trade with economic adjustment through the: (1) coordination of federal, State, and local resources; (2) creation of community-based development strategies; and (3) development and provision of programs that help communities adjust to trade impacts. The Community TAA Program is designed to provide a wide range of technical, planning, and infrastructure assistance and respond adaptively to pressing trade impact issues.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Strategy investments help organize and carry out a planning process in order to develop a strategic plan tailored to the community's specific economic problems and opportunities, including amendments to existing Comprehensive Economic Development Strategy (CEDS) to address trade related challenges.

Implementation investments support one or more activities identified in an EDA-approved strategic plan. Awards may be used for activities such as developing and updating a strategic plan and for implementing the plan by carrying out projects for site acquisition and preparation, construction, rehabilitation, and equipping facilities, technical assistance, market or industry research and analysis, and other activities set out in 13 CFR 313.7. To receive assistance, a community must petition to be designated as an Impacted Community, meaning that the community is significantly affected by trade impacts. A community may receive such designation from the Secretary of Commerce if the community demonstrates that: (1) the community has a Cognizable Certification, that is Secretary of Labor has certified a group of workers in the community as eligible for TAA for Workers benefits, the Secretary of Commerce has certified a firm in the community as eligible for TAA for Firms benefits, or a group of agricultural producers in the community has been certified to receive benefits under the TAA for Farmers and Fishermen program; and (2) the Secretary determines that the community is significantly affected by the threat to, or the loss of, jobs associated with that certification. All EDA grants are discretionary. EDA does not award any formula grants.

**Applicant Eligibility:**

Eligible applicant for EDA investment assistance under the Community TAA program include cities, counties, or other political subdivisions of a State or a consortium of political subdivisions of a State.

**Beneficiary Eligibility:**

Eligible beneficiaries of EDA investment assistance under the Community TAA program include cities, counties, or other political subdivisions of a State or a consortium of political subdivisions of a State.

**Credentials/Documentation:**

In accordance with section 273 of the Trade Act (19 U.S.C. 2371b), to receive assistance under the Community TAA Program, a community must have one or more of the Cognizable Certifications (See also the definition of Cognizable Certification set out as 13 C.F.R. 313.2). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are evaluated by EDA Regional Office staff and approved by the Regional Director.

**Deadlines:**

Oct 01, 2009 to Jul 31, 2010 Applications must be received by July 31, 2010 at



5:00 pm local time to allow time for processing since program funds expire September 30, 2010.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Normally, two months are required for a final decision after the receipt of a completed application invited by EDA that meets all statutory and regulatory requirements.

**Appeals:**

NA.

**Renewals:**

NA.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. The Federal share of a grant to develop a strategic plan may not exceed 75 percent and the local share must be at least 25 percent. The federal share of an implementation grant may not exceed 95 percent of the cost of the project and the community's share may not be less than 5 percent. Implementation grants may not exceed \$5,000,000.

Priority shall be given to grant applications submitted by small and medium-sized communities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

Assistance will be awarded/released to recipients in accordance with the grant terms and conditions.

**Reports:**

Periodic reporting of operating results and progress, financial statements, and summary of funds spent, consistent with EDAs Government Performance Results Act (GPRA) reporting requirements and those that may be added to assess the impact of the assistance on the community, its economic resilience, and international competitiveness. When funds are advanced to recipients the DoC shall require each recipient to submit the SF272 and, when necessary, its continuation sheet, SF272a. The DoC shall use this report to monitor funds advanced to recipients and to obtain disbursement information for each agreement with the recipients. If construction is included in the project, quarterly reports on the progress of construction are required. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, recipients that are States, local governments, nonprofit organizations, and institutions of higher education are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.). Commercial organizations shall be subject to the audit requirements as stipulated in the award documents. States, local governments, and nonprofit organizations that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year.

**Records:**

Records are required to be maintained for three years from the date of submission, unless otherwise provided. All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the grant award agreement. The recipient must retain records for three years after submission of the final financial report, and have them readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$0; FY 10 est

\$34,100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR part 313

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

Jamie Lipsey 1401 Constitution Avenue, NW, Washington, District of Columbia 20230 Email: jlipsey@eda.doc.gov Phone: 202-482-3467

**Website Address:**

<http://www.eda.gov>

**RELATED PROGRAMS:**

11.313 Trade Adjustment Assistance for Firms

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Planning proposals

Planning proposals that are intended to (1) diversify and strengthen the community's economy; (2) identify impediments to economic development that result from the impact of trade; and (3) develop a community strategic plan to address economic adjustment and workforce dislocation in the community. Preference shall be given to plans submitted by EDAs existing partnership planning grantees and that identify other federal, State and local resources available to assist the community.

Implementation proposals:

Preference shall be given to proposals that arise from CTAAs planning activities and that promise to benefit indigenous populations, diversify the economy, and address global competition.

**11.011 OCEAN EXPLORATION**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Omnibus Public Lands Management Act of 2009, Title XII, Public Law 111-11.

**OBJECTIVES:**

To explore the Earth's largely unknown oceans in all their dimensions for the purpose of discovery and the advancement of knowledge, using state of the art technologies in evolutionary and revolutionary ways within Oceanic and Atmospheric Research (OAR).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Cooperative agreements and grants may be used for research and development, education and training, and advisory services. They may also be used for operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants and cooperative agreements are evaluated on an individual program basis. TBD.

**Applicant Eligibility:**

As stated in NOAA special announcements or applicable reports in support of NOAA's mission.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's ocean exploration resources.

**Credentials/Documentation:**

: Proposals with statements of work and estimated budgets. Costs will be determined in accordance with applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range varies from 90 to 180 days from the time of proposal submission to NOAA.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are conducted by negotiation with the OAR/OER and subject to availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available one to three years based on availability of funding. Restrictions are contained in the DOC Grants and Cooperative Agreements Manual. See the following for information on how assistance is awarded/released: For those organizations not having ASAP capability, direct deposit to banking institution is allowed.

**Reports:**

Progress reports require program information. Required every six months. Progress interim reports every six months and a final report at the end of the award period. Required as part of the interim and final progress reports. No performance monitoring is required.

**Audits:**

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

**Records:**

Recipients are expected to maintain complete records for each grant and/or cooperative agreement to ensure funds are used for the purpose for which the award was made.

**Account Identification:**

13-6145-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$18,607,000

**Range and Average of Financial Assistance:**

Grants and cooperative agreements are awarded as applicable. For example, the Ocean Exploration Science Program sponsors competitive, peer-reviewed exploration projects to collaborate with and augment NOAA intramural research programs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: Grants and cooperative agreements are awarded as applicable. For example, the Ocean Exploration Science Program sponsors competitive, peer-reviewed exploration projects to collaborate with and augment NOAA intramural research programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NOAA Grants and Cooperative Agreements Policy Manual. Allowable cost will be determined in accordance with 2 CFR 225 for State and local governments and Indian Tribes; 2 CFR 230 for nonprofit and for-profit organizations; 2 CFR 220 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Satellite Offices in Narragansette, Rhode Island; Charleston, South Carolina; Seattle, Washington.

**Headquarters Office:**

Director 1315 East-West Highway, Room 10210, Silver Spring, Maryland 20910 Phone: (301) 734-1010

**Website Address:**

<http://www.explorer.noaa.gov>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.449 Independent Education and Science Projects and Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**11.012 INTEGRATED OCEAN OBSERVING SYSTEM (IOOS)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Integrated Coastal and Ocean Observation System Act of 2009, 33 U.S.C 3601-3610.

**OBJECTIVES:**

To support projects aimed at the development and sustainability of a national and international integrated ocean observing system designed to collect, monitor and disseminate marine environment data in an interoperable, reliable, timely and user-specified manner by leveraging federal, regional and private-sector partnerships.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

: IOOS is working to link national and regional observations, data management and modeling to provide required data and information on local to global scales.

Assistance will be used to deliver the data and information needed to increase understanding of our oceans, coasts and great lakes, so decision makers can take action to improve safety, enhance the economy, and protect the environment. Uses will be in the following areas (1) Observations; (2) Data Management; (3) Modeling; (4) Research and Development; and (5) Education and Outreach. TBD.

**Applicant Eligibility:**

Organizations and individuals with professional expertise in the sciences, engineering and economics that demonstrate how participation in the IOOS effort builds on and furthers the progress of observing system development funded by this agency.

**Beneficiary Eligibility:**

Organizations and individuals with professional expertise in the sciences, engineering and economics that demonstrate how participation in the IOOS effort builds on and furthers the progress of observing system development funded by this agency.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars (1) A-21 for agreements with education institutions; (2) A-87 for State and local governments; and (3) A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

: Approximately 150 to 210 days after the proposal submission deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Extension requests will be considered by the federal program office only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with their federal program officer expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by the federal program office 45 days prior to the end date of the award. The federal program office will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should make every effort to submit one extension request for all projects needing an extension (when possible, multiple extension requests should be avoided). With sufficient justification, the federal program office will recommend approval of a six-month extension for the first extension request. First time or cumulative extension requests for more than six months but less than 12 months, will need more compelling justification as to why the project was not completed on time or could not be completed within the first six-month extension. Although the federal program office discourages extensions of more than 12 months, the federal program office will recommend approval in cases where the funds are already obligated. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 5 years in annual increments. See the following for information on how assistance is awarded/released: Funds are released as required and agreed to in the Standard Terms and Conditions document applicable to each grant.

**Reports:**

No program reports are required. No cash reports are required. The Federal Financial Report, Standard Form (SF) 425, and Performance Progress Reports are required semi-annually. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Records will be retained in accordance with 15 CFR Parts 14 and 24 for institutions of higher education, other non-profit organizations, and for State and local government.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$14,555,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. Further guidelines are outlined in Department Administrative Order 203-36, dated May 15, 1985 (Department of Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Zdenka Willis Zdenka Willis, Director, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2420

Suzanne Skelley, Deputy Director, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2424

Capt. James. Verlaque, Director, Regional and External Affairs Division, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2443

Regina Evans, Federal Program Officer, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2422

Gabrielle Canonico, Technical Program Officer, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2428  
, Silver Spring, Maryland 20910 Phone: 301-427-2420

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.429 Marine Sanctuary Program; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.440 Environmental Sciences, Applications, Data, and Education; 11.449 Independent Education and Science Projects and Programs; 11.455 Cooperative Science and Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (Under other CFDA's) NOAA initiated a merit-based funding process in 2007 to develop and enhance regional coastal ocean observing systems and to achieve three long-term outcomes: establishing coordinated regional observing and data management infrastructures, developing applications and products for regional stakeholders, and crafting regional and national data management and communications protocols. Funds are provided annually to regional partners to meet these objectives.

For example, The Alliance for Coastal Technologies (ACT) is a NOAA-funded partnership of research institutions, resource managers, and private sector companies dedicated to fostering the development and adoption of effective and reliable sensors and platforms. ACT priorities include: transitioning emerging technologies to operational use rapidly and effectively; maintaining a dialogue among technology users, developers, and providers; identifying technology needs and novel technologies; documenting technology performance and potential, and; providing the Integrated Ocean Observing System (IOOS) with information required for the deployment of reliable and cost-effective networks.

The Great Lakes Observing System (GLOS), also a NOAA-funded initiative, focused on four tasks that support regional observation priorities: 1) implementation of prototype nearshore buoys on lakes Superior, Michigan, Erie and Ontario to collect meteorological, wave information, and vertical lake temperature observations; 2) development of public domain 3D hydrodynamic modeling for the lakes Huron-to-Erie Corridor (HEC), including Lake St. Clair; 3) expansion of the development, user assessments and market analysis of customized integrated harbor specific products (Great Lakes HarborView), and; 4) implementation of the Great Lakes Modeling and Assessment Center (GLMAC).

The Alaska Ocean Observing System (AOOS) is focused on four key issues: climate change and its impacts, sustainability of fisheries and marine ecosystems, mitigation of natural hazards, especially coastal erosion, and safety of marine operations and health of coastal communities. Priorities in FY09 include continued development of the Prince William Sound (PWS) Ocean Observing System pilot project that collects observations for use by stakeholders and develops and tests forecast models as a demonstration of an end-to-end observing system in Alaska. The high-resolution wind, wave, and ocean current forecast products provide improved marine safety for recreational and commercial vessel operators and enhance the security to oil tanker traffic in PWS, and will ultimately be expanded to the northern Gulf of Alaska. In addition, AOOS will work to establish its data and web portal as the regional coastal and ocean information system for Alaska, furthering statewide capacity in data management, modeling, and product visualization. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the relevant federal program office.

**11.013 EDUCATION QUALITY AWARD AMBASSADORSHIP**

**FEDERAL AGENCY:**

National Institute of Standards and Technology (NIST), Department of Commerce

**AUTHORIZATION:**

Stevenson-Wydler Technology Innovation Act, 15 U.S.C 3706; Stevenson-Wydler Technology Innovation Act, 15 U.S.C 3711a.

**OBJECTIVES:**

Support Baldrige National quality Program (BNQP) award winners in conducting outreach, serving as role models, and encouraging other organizations to practice effective quality control in the provision of their services.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant money will be used for non-commercial award recipients to share information on their successful performance and quality strategies with other U.S. organizations. Principal mechanisms to share information are attendance at the Quest for Excellence Conference, regional conferences, and hosting and speaking at different conferences, workshops/meetings. Grant money will be used for non-commercial award recipients to share information on their successful performance and quality strategies with other U.S. organizations. Principal mechanisms to share information are attendance at the Quest for Excellence Conference, regional conferences, and hosting and speaking at different conferences, workshops/meetings.

**Applicant Eligibility:**

Anyone/general public - Business/Commerce, Elementary/Secondary Education, Health/Medical, Higher Education (includes Research), Vocational Education.

**Beneficiary Eligibility:**

Anyone/general public.

**Credentials/Documentation:**

Proposals with statements of work and detailed budgets. Costs will be determined in accordance with applicable federal cost principles. Grants are limited to recipients of the Baldrige National Quality Award. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals are submitted in response to education award recipients financial requirements pursuant to 15 CFR 14.4.

**Award Procedure:**

Award process based upon published selection criteria.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Future or continued funding will be at the discretion of NIST, based on such factors as availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory Formula: Chapter 15, Part 14.

Matching Requirements: Percent: 25%. The applicant must match with a cost share 25% of the grant award.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually one to three years in length. See the following for information on how assistance is awarded/released: Dependent on when appropriation is received dictates when authorization is dispersed either in lump sum or quarterly.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of all recipients shall be conducted in accordance with Government Auditing Standards issued by the Comptroller General of the United States (the Yellow Book). Recipients covered under OmB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, should have an audit performed in accordance with the requirements of the OMB Circular.

**Records:**

Pursuant to 15CFR 14.53(b)(2), all financial and programmatic records are required to remain available to the federal government for 3 years after final disposition.

**Account Identification:**

13-0500-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 08 \$100,000; FY 09 est \$100,000; FY 10 est \$100,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Recipient shared best practices on its successful performance and quality strategies with other U.S. organizations. Principal mechanisms to share information are attendance at the Quest for Excellence Conference, regional conferences, and the hosting and speaking at different conferences, and the hosting and speaking at different conferences/workshops/meetings about the organizations quality journey. Through these mechanisms, non-proprietary information is shared with others who want to learn and pursue performance excellence best practices. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of CFR 15 part 14.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Standards and Technology 100 Bureau Drive, Bldg. TRF A143  
Mail Stop 1650, Gaithersburg, Maryland 20899-1650 Phone: 301-975-6329

**Website Address:**

<http://www.nist.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.300 INVESTMENTS FOR PUBLIC WORKS AND ECONOMIC DEVELOPMENT FACILITIES**

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (42 U.S.C. Section 3121 et seq.).

**OBJECTIVES:**

Public Works grants support the construction or rehabilitation of essential public infrastructure and facilities necessary to generate or retain private sector jobs and investments, attract private sector capital, and promote regional competitiveness, innovation, and entrepreneurship, including investments that expand and upgrade infrastructure to attract new industry, support technology-led development, accelerate new business development, and enhance the ability of regions to capitalize on opportunities presented by free trade.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Characteristic projects include investments in facilities such as water and sewer systems, industrial access roads, industrial and business parks, port facilities, rail spurs, skill-training facilities, business incubator facilities, brownfield redevelopment, eco-industrial facilities, and telecommunications and broadband infrastructure improvements necessary for business creation, retention and expansion. A project must be located in or benefit a region that, on the date EDA receives an application for investment assistance, satisfies one or more of the economic distress criteria set forth in 13 CFR 301.3(a). All investments must be consistent with a current EDA-approved Comprehensive Economic Development Strategy (CEDS) or equivalent strategic economic development plan for the region in which the project will be located, and the applicant must have the required local share of funds committed, available, and unencumbered. Applicants must be able to start and complete proposed projects in a timely manner consistent with award terms and conditions. Recipients must award contracts in accordance with proper procurement procedures and ensure that contractors pay Davis-Bacon wage rates. Indirect costs are not allowed. All grants awarded are discretionary grants. EDA does not award formula grants.

**Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a State, city, county, or other political subdivision of a State, including a(n): (a) District Organization as defined in 13 CFR 304.2; (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. Projects eligible for Public Works investment assistance include those located in regions meeting "Special Need" criteria as defined in 13 CFR 300.3. For-profit, private-sector entities do not qualify for Public Works assistance under PWEDA. EDA may not provide investments directly to individuals or for-profit entities seeking to start or expand a private business. Such requests may be referred to State or local agencies, or to non-profit economic development organizations. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Beneficiary Eligibility:**

Not applicable. Public Works and Economic Development investments are intended to help recipients in the nation's most distressed communities to revitalize, expand, or upgrade their physical infrastructure to attract new industry, encourage business expansion, diversify their local economies, and generate or retain long-term private sector jobs and capital investments.

**Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must first submit a complete EDA application package. If EDA determines that the proposed Public Works project merits further consideration, EDA will request: a copy of the region's Comprehensive Economic Development Strategy (CEDS); letters of commitment to document matching funds; a USGS map of the site; letter of commitment from private beneficiaries of the project; comments from the metropolitan area review/clearinghouse agency; a legal opinion and other documentation, as necessary, verifying the applicant's answer to questions regarding project ownership, operation, maintenance, and management; an engineering report; an environmental narrative (and possibly an Environmental Impact Statement if deemed necessary); and documented approval from the State Historic Preservation Officer (SHPO). Non-profit applicants will be required to submit additional documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For information on the application process you may access the applicable federal funding opportunity (FFO) announcement for Public Works investment assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for Public Works investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO.

**Award Procedure:**

Staff in the applicable EDA regional office review applications for eligibility and compatibility with EDA's mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDA's mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding determination and sends a recommendation to EDA Headquarters for concurrence.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. Generally, applicants will either receive notification that their request for assistance has been declined or receive a notification that EDA has determined that their project merits further consideration within 120 days. The length of time that elapses between the notification that a project merits further consideration and actual grant award varies considerably based on the time required for the applicant to gather and submit the requested additional materials (e.g. environmental narrative, engineering reports, etc.) and the time required for EDA to assess this information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. In the case of EDA investment assistance to a(n) (i) Indian Tribe, (ii) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (iii) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Public Works investments, which are disbursed for eligible costs incurred, are generally not disbursed until after all contracts for construction have been awarded. Project periods are specified in the grant award documents, but generally these do not exceed five years. See the following for information on how assistance is awarded/released: Funds are disbursed on a reimbursement basis.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required. These progress reports specify any discrepancies between expected and actual performance, particularly in terms of schedule and cost, and explain the reasons behind any such discrepancies. EDA requires the submission of the SF-425 Federal Financial Report. EDA reviews progress and financial reports for compliance with all award terms and conditions, as well as EDA regulations. EDA reserves the right to conduct site visits on an as-needed basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single or program-specific audits shall be performed. The applicant is reminded that EDA or the Department of Commerce Office of Inspector General also may conduct an audit of an award at any time.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the grant agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$169,919,000; FY 09 est \$129,280,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The average size of a Public Works investment in FY 2008 was \$1.32 million. However, this average is informational only and is not intended to restrict the size of future awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 13 CFR Chapter III, Parts 300-302, 305, 310, and 314.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Maureen V. Klovers, 1401 Constitution Avenue, NW, Room 7019, Washington, District of Columbia 20230 Email: [mklovers@eda.doc.gov](mailto:mklovers@eda.doc.gov) Phone: (202) 482-2785

**Website Address:**

[www.eda.gov](http://www.eda.gov)

**RELATED PROGRAMS:**

11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: See EDA's website at <http://www.eda.gov/NewsEvents/NewInvestments.xml> for a list of new EDA grants and a brief description of each grant. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all applications for investment assistance for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the affected region in which the proposed project will be located, or the region which the project will serve, as well as the capability of the proponent to implement the proposed project. Furthermore, EDA will select applications competitively based on strategic areas of interest and priority considerations identified in the applicable announcement of federal funding opportunity (FFO). EDA also may consider the degree to which an investment in the proposed project will satisfy one or more of the following criteria: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment. Public Works investment applications must meet EDA's investment policy guidelines as set out in 13 CFR 301.8 and other requirements as provided in the applicable FFO.

### **11.302 ECONOMIC DEVELOPMENT\_SUPPORT FOR PLANNING ORGANIZATIONS**

Planning Investments and Comprehensive Economic Development Strategies  
**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3121 et seq.).

**OBJECTIVES:**

The Economic Development Administration (EDA) provides Planning assistance to provide support to Planning Organizations (as defined in 13 CFR 303.2) for the development, implementation, revision, or replacement of a Comprehensive Economic Development Strategy (CEDS), short-term planning efforts, and State plans designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the nation's most economically distressed regions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Planning investment assistance helps bear the direct and indirect costs incurred by a Planning Organization in developing and implementing a CEDS. Alternatively, it can be used by a State for statewide planning purposes, or it may be used for short-term planning activities to include updating a portion of a CEDS, economic analysis, development of economic development policies and procedures, and development of economic development goals. Planning activities supported by these Investments must be part of a continuous process involving the active participation of Private Sector Representatives, public officials and private citizens, and include:

- (a) Analyzing local economies;
- (b) Defining economic development goals;
- (c) Determining Project opportunities; and
- (d) Formulating and implementing an economic development program that includes systematic efforts to reduce unemployment and increase incomes.

In addition, for grants to States, (1) the State must have or develop a CEDS that meets the requirements of 303.7; and (2) any State plan developed with Planning Investment Assistance must, to the maximum extent practicable, be developed cooperatively by the State, political subdivisions of the State, and the Economic Development Districts located wholly or partially in the State. All EDA grants are discretionary grants. EDA does not award any formula grants.

**Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private

non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. As used in this paragraph, State includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. See 13 CFR 300.3 and 301.2.

**Beneficiary Eligibility:**

Not applicable. EDA Planning investments provide support to Planning Organizations for the development, implementation, revision, or replacement of a CEDS. They also may provide support for related short-term planning investments and State plans designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the nation's most economically distressed regions.

**Credentials/Documentation:**

To be considered for EDA assistance, applicants must first submit a complete EDA application package. The applicant must provide a list of its proposed Strategy Committee members. The Committee must represent the main economic interests of the Region and must include Private Sector Representatives as a majority of its membership. The applicant should ensure that the Strategy Committee includes public officials, community leaders, representatives of workforce development boards, institutions of higher education, minority and labor groups, and private individuals. The Strategy Committee representing Indian Tribes or States may vary. Applicants must also submit documentation of matching fund availability. Finally, non-profit applicants will be asked to provide additional documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For information on the application process, you may access the federal funding opportunity (FFO) announcement for planning assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for planning investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO. Applications are subject to the intergovernmental review process authorized under Executive Order 12372. See 13 CFR 302.9 and 15 CFR Part 13.

**Award Procedure:**

Staff in the applicable EDA regional office review applications for eligibility and compatibility with EDA's mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDA's mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding determination and sends a recommendation to EDA Headquarters for concurrence.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

EDA accepts new applications on a rolling basis and announces awards throughout the year. For continuation awards, regional offices may impose their own deadline for submission based on the previous award's period of performance.

**Appeals:**

Not Applicable.

**Renewals:**

For continuation awards, regional offices may impose their own deadline for submission based on the previous award's period of performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The minimum EDA investment rate for planning projects is 50 percent, and the maximum allowable EDA investment rate may not exceed 80 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most grants are for 36-month periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Recipients receiving CEDS assistance must submit an updated CEDS at least once every 5 years. In addition, they must submit a CEDS performance report once a year. For State Planning assistance, the State must submit an annual report to EDA. EDA requires the submission of the SF-425 Federal Financial Report. EDA may elect to conduct site visits.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients must be maintained according to the terms of the investment award.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$27,985,293; FY 09 est \$30,920,885; FY 10 est \$31,000,000

**Range and Average of Financial Assistance:**

It varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-303.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Maureen V. Klovers 1401 Constitution Avenue, NW  
Room 7019  
, Washington, District of Columbia 20230 Email: mklovers@eda.doc.gov  
Phone: 2024822785

**Website Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: For a list of recent investments, see EDA's website at <http://www.eda.gov/NewsEvents/NewInvestments.xml>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluating applications based on EDA's mission, funding priorities, and the evaluation criteria laid out in the applicable FFO, EDA also considers:

- (1) The proposed scope of work for the development, implementation, revision or replacement of the CEDS, or the relation of the CEDS to the proposed short-term planning activities or the State plan;
- (2) The qualifications of the applicant to implement the goals and objectives resulting from the CEDS, short-term planning activities or the State plan;
- (3) The involvement of the Region's business leadership at each stage of the preparation of the CEDS, short-term planning activities or State plan;
- (4) The extent of broad-based representation and involvement of the Region's civic, business, labor, minority and other interests in the proposed economic development activities; and
- (5) The feasibility of the proposed scope of work to create and retain higher-skill, higher-wage jobs through implementation of the CEDS.

In addition, for continuation awards, funded recipients are evaluated on the basis of the extent of continuing economic distress within the Region, their past performance, and the overall effectiveness of their CEDS.

For Planning Investment awards to a State, EDA will also consider the extent to which the State will integrate and coordinate its CEDS with local and Economic Development District plans.

**11.303 ECONOMIC DEVELOPMENT TECHNICAL ASSISTANCE**

National Technical Assistance; Local Technical Assistance; University Centers

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3121 et seq.).

**OBJECTIVES:**

EDA oversees three technical assistance programs (National, Local and University Center) that promote economic development and alleviate unemployment, underemployment, and out-migration in distressed regions. These programs provide grants or cooperative agreements ( to: (1) invest in institutions of higher education to establish and operate University Centers to provide technical assistance to public and private sector organizations with the goal of enhancing local economic development; (2) support innovative approaches to stimulate economic development in distressed regions; (3) disseminate information and studies of economic development issues of national significance; and (4) finance feasibility studies and other projects leading to local economic development. These programs aid the long-range economic development of regions with severe unemployment and low per capita income.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Technical assistance is used to provide information, data, and know-how in evaluating, shaping and implementing specific projects and programs that promote economic development in economically distressed regions. EDA may identify specific training, research or technical assistance Projects it will fund under National Technical Assistance, which will be subject to competition. Ordinarily, these Projects are specified in an FFO, which will provide the specific requirements, timelines and the appropriate points of contact and addresses.

EDA-sponsored University Centers conduct research; provide technical assistance to tribal entities, local governments, and public and private sector organizations; and undertake other activities with the goal of enhancing regional economic development by promoting a favorable business environment to attract private capital investment and higher-skill, higher-wage jobs. University Center recipients specialize in a diverse spectrum of services, ranging from a legal clinic for entrepreneurs to a horticultural institute focusing on linking organic producers to the worldwide marketplace to a center focused on commercializing research in the field of alternative energy. Others focus on technology transfer programs or services for manufacturers. EDA University Center competitions are held once every three years in each EDA Region. The



project must be consistent with the CEDS of the region in which it is located, if applicable.

At least eighty (80) percent of EDA funding under a University Center Economic Development award must be allocated to direct costs of program delivery; unrecovered indirect costs are not chargeable to the award without EDAs express approval. All EDA grants are discretionary. EDA does not award formula grants.

**Applicant Eligibility:**

Most technical assistance recipients are private or public nonprofit organizations and educational institutions. As defined in 13 CFR 300.3, 'eligible recipients' include a State, city, county, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivision, an institution of higher education or a consortium of institutions of higher education, an Economic Development District organization, a private or public nonprofit organization or association, including a faith-based nonprofit organization, acting in cooperation with officials of a political subdivision of a State, or an Indian Tribe, or a consortium of Indian Tribes. Individuals, companies, corporations, and associations organized for profit are not eligible. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. Program funds cannot be awarded to individuals and for profit organizations to start or expand a private enterprise.

**Beneficiary Eligibility:**

None. Investments are intended to finance projects that would be useful in alleviating or preventing conditions of excessive unemployment or underemployment.

**Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must first submit a complete EDA application package. Additional documentation requirements are set forth in the applicable FFO, but generally include the resumes of key personnel on research/training projects. For University Center competitions, these generally also include a project narrative; budget, budget narrative, and staffing plan; and organizational summary. Non-profit applicants applying for technical assistance will be asked to provide additional documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Except for applications that have a national or multi-regional focus, applications are subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs" and implementing regulations at 13 CFR 302.9.

**Award Procedure:**

EDA will award investment assistance in accord with the procedures set forth in the applicable announcement of federal funding opportunity (FFO).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For National Technical Assistance and University Center competitions, the deadlines are set forth in the applicable FFO. For Local Technical Assistance, regional offices accept applications on a rolling basis. Approval or disapproval of an application is generally made within 4 months; in many cases, the timeline for award announcement is set forth in the applicable FFO.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year, two EDA regional offices will provide a three-year project period for each University Center selected for funding under the requisite competition, with the initial award being made for the first year of the project period. Funding beyond the initial year is dependent upon the availability of funds and satisfactory performance, as determined by EDA and expressed in written notice. The servicing EDA regional office will contact current University Center operators regarding the procedures for applying for continuation funding. National and Local Technical Assistance projects are typically funded for a single project period without any pre-set expectation of renewal. Renewal of an award to increase funding or extend the period of performance is at EDA's sole discretion.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally, the amount of the EDA award may not exceed fifty (50) percent of the total cost of the project. Projects may receive an additional amount that shall not exceed thirty (30) percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See section 204(a) of PWEDA (42 U.S.C. 3144) and 13 C.F.R. 301.4(b)(1). The Assistant Secretary of Commerce for Economic Development has the discretion to establish a maximum EDA investment rate of up to one-hundred (100) percent where the project (i) merits and is not otherwise feasible without an increase to the EDA investment rate; or (ii) will be of no or only incidental benefit to the recipient. See section 204(c)(3) of PWEDA (42 U.S.C. 3144) and 13 C.F.R. 301.4(b)(4). In-kind contributions, fairly evaluated by EDA, may provide the non-federal share of the total project cost. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, the University Center Program funds applications on a three-year basis with continuation awards made for each of the three years within a project period. The length of the project period for National and Local Technical Assistance projects varies, but is usually for a period of one year. Funds are disbursed as required. See the following for information on how assistance is awarded/released: In accordance with the grant terms and conditions.

**Reports:**

No program reports are required. No cash reports are required. As specified in the terms and conditions of the award, and as stated in the applicable FFO. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits as required. In addition, University Centers are subject to an annual peer review.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The applicant is reminded that EDA or the Department of Commerce's Office of Inspector General also may conduct an audit of an award at any time.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$10,783,974; FY 09 est \$9,666,027; FY 10 est \$13,400,000

**Range and Average of Financial Assistance:**

It varies. See applicable FFO.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-302, 306.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Maureen V. Klovers 1401 Constitution Avenue, NW  
Room 7019  
, Washington, District of Columbia 20230 Email: mklovers@eda.doc.gov  
Phone: 2024822785

**Website Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: For a list of recent investments, see EDA's website at <http://www.eda.gov/NewsEvents/NewInvestments.xml>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria are set forth in the applicable FFO.

**11.307 ECONOMIC ADJUSTMENT ASSISTANCE**

Economic Adjustment

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Section 209 of the Public Works and Economic development Act of 1965, as amended (PWEDA), (42 U.S.C. 3149).

**OBJECTIVES:**

To address the needs of distressed communities experiencing adverse economic changes that may occur suddenly or over time, and generally result from industrial or corporate restructuring, new Federal laws or requirements, reduction in defense expenditures, depletion of natural resources, or natural disaster. Economic Adjustment Assistance grants are intended to enhance a distressed community's ability to compete economically by stimulating private investment in targeted areas. Current investment priorities include proposals that a) enhance the competitiveness of regions in the global economy by supporting existing industry clusters, developing emerging new clusters, or attracting new regional economic drivers; (b) support technology-led economic development and reflect the important role of linking universities and industry and technology transfers; and (c) advance community-and faith-based social entrepreneurship in redevelopment strategies for regions of chronic economic distress.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Economic Adjustment Assistance Program provides a wide range of technical, planning and public works and infrastructure assistance in regions experiencing adverse economic changes that may occur suddenly or over time. This program is designed to respond flexibly to pressing economic recovery issues and is well suited to help address challenges faced by U.S. communities and regions. Indirect costs are not allowed. All EDA grants are discretionary. EDA does not award federal grants.

**Applicant Eligibility:**

Eligible applicants for EDA investment assistance include a State, city, county, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivision, an institution of higher education or a consortium of institutions of higher education, an Economic Development District organization, a private or public nonprofit organization or association, including a faith-based non-profit organization, acting in

cooperation with officials of a political subdivision of a State, or an Indian Tribe, or a consortium of Indian Tribes. Individuals, companies, corporations, and associations organized for profit are not eligible. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Beneficiary Eligibility:**

None. Investments are intended to alleviate long-term deterioration and sudden and severe economic dislocation in distressed communities and regions.

**Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must submit a completed EDA application package.

For all projects deemed to merit further consideration, the applicant will be required to submit a copy of the region's CEDS and letters of commitment to document local match. For EA projects involving construction, the applicant will also be required to submit: a USGS map of the project site, letters of commitment from private beneficiaries of the proposed project; comments from the metropolitan area review/clearinghouse agency; a legal opinion documenting project ownership, operation, maintenance, and management; an engineering report; an environmental narrative; and documented approval from the State Historic Preservation Officer (SHPO). For requests for Revolving Loan Fund assistance which EDA deems to merit further consideration, EDA will request an RLF Plan. Non-profit applicants will be required to submit additional paperwork. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Staff in the applicable EDA regional office review applications for eligibility and compatibility with EDA's mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDA's mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding determination and sends a recommendation to EDA Headquarters for concurrence.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Requests for Economic Adjustment Assistance that do not contain a construction component will generally receive a response within 4 months. For projects involving construction, applicants will generally receive notification that their request for assistance has been declined or receive a notification that EDA has determined that their project merits further consideration within 120 days. The length of time that elapses between the notification that a project merits further consideration and actual grant award varies considerably based on the time required for the applicant to gather and submit the requested additional materials (e.g. environmental narrative, engineering reports, etc.) and the time required for EDA to assess this information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA.

In the case of EDA investment assistance to a(n) (i) Indian Tribe, (ii) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (iii) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance is as stated in the award terms and conditions, although it rarely exceeds five years. See the following for information on how assistance is awarded/released: As stated in the award terms and conditions. Construction assistance is always on a reimbursement basis.

**Reports:**

No program reports are required. No cash reports are required. As stated in the award terms and conditions. If construction is included in the project, quarterly reports on the progress of construction are required. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$48,051,464; FY 09 est \$185,849,918; FY 10 est \$135,000,000 - Current Fiscal Year, 2009, estimate includes American Recovery and Reinvestment Act (ARRA) obligations.

**Range and Average of Financial Assistance:**

The average size of an Economic Adjustment investment in FY 2008 was approximately \$468,150. However, this average is informational only and is not intended to restrict the size of future awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-302, 307.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Maureen Klovers 1401 Constitution Ave, N.W. Room 7019, Washington, District of Columbia 20230 Email: mklovers@eda.doc.gov Phone: 202-482-2785

**Website Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities; 11.302 Economic Development\_Support for Planning Organizations; 11.303 Economic Development\_Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: For a list of recent investments, see EDA's website at <http://www.eda.gov/NewsEvents/NewInvestments.xml>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all investment applications for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the region in which the proposed project is located, as well as the capacity of the applicant to implement the proposed project. Furthermore, EDA will select proposals competitively based on strategic areas of interest and priority considerations identified in the applicable announcement of federal funding opportunity (FFO).

**11.312 RESEARCH AND EVALUATION PROGRAM**

Research and Evaluation Program

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (42 U.S.C. Section 3121 et seq.).

**OBJECTIVES:**

The Research and Evaluation Program of the Economic Development Administration (EDA) supports rigorous, practitioner accessible research of leading, world class economic development practice that advances our understanding of economic development. Current funding priorities include proposals that enhance regional competitiveness by focusing on entrepreneurship and innovation strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Research and Evaluation Program funds research, including evaluative research, and national technical assistance projects to promote competitiveness and innovation in urban and rural regions throughout the United States.

**Applicant Eligibility:**

In accordance with PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR Part 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, a city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR Part 300.3. For-profit, private-sector entities do not qualify for investment assistance under this program.

**Beneficiary Eligibility:**

Not applicable. Research and Evaluation investments are designed to finance projects for research into techniques that promote competitiveness and innovation in urban and rural regions throughout the United States.

**Credentials/Documentation:**

Researcher qualifications are considered in the application review process. Applicants must have demonstrated expertise in the proposed area of study. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should submit applications in accordance with the requirements of 13 CFR Part 306 and the applicable federal funding opportunity (FFO) announcement. EDA Headquarters can provide assistance in connection with proposed Research and Evaluation projects. This program is not subject to Executive Order 12372. This program is subject to provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations or provisions of 15 CFR Part 24 for State, local and Indian Tribal governments, as applicable. Costs will

be determined in accordance with applicable federal cost principles and uniform administrative requirements.

**Award Procedure:**

The Assistant Secretary of Commerce for Economic Development (Assistant Secretary) is the selecting official for Research and Evaluation projects. EDA will award investment assistance in accord with the procedures set forth in the applicable FFO.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally, two months are required for EDA to reach a final decision after receipt of a completed application that meets all requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 13, Chapter 3, Part 306, Subpart A, Public Law 108-373.

Matching Requirements: Percent: 50%. All matching shares must be allowable based on cost principles applicable to award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of time of a project period varies, but is generally one year. Grant funds are disbursed as required and justified. See 13 CFR Part 306.3. See the following for information on how assistance is awarded/released: Awards are released by disbursement based on project expenses.

**Reports:**

Periodic reporting of operating results and progress, financial statements, and summary of funds spent, consistent with EDAs reporting requirements. No cash reports are required. Grantees are required to submit bi-annual and annual reports on the progress. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained pursuant to the terms of investment award.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$856,141; FY 09 est \$30,000; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

Generally awards range between \$100K and \$400K.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR parts 300-302, 306.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

John M. Thompson, 1401 Constitution Ave., NW , Washington, District of Columbia 20230 Email: [jthompson@eda.doc.gov](mailto:jthompson@eda.doc.gov) Phone: (202) 482-4924.

**Website Address:**

[www.eda.gov](http://www.eda.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all Research and Evaluation applications for the feasibility of the budget presented and conformance with EDA statutory and regulatory requirements. EDA will assess the economic development needs of the region served by the proposed project, as well as the applicants capacity to implement the proposed project. Further, EDA will select proposals competitively based on strategic areas of interest and priority considerations identified in the applicable FFO. EDA also may consider the degree to which a proposed project: (a) is market-based and results driven; (b) has strong organizational leadership; (c) advances productivity, innovation and entrepreneurship; (d) looks beyond the immediate economic horizon, anticipates economic changes and diversifies the local and regional economy; and (e) demonstrates a high degree of local commitment. Applications must meet EDA's investment policy guidelines as set forth in 13 CFR Part 301.8, the requirements of 13 CFR Part 306, as applicable, and other requirements as provided in the applicable FFO.

**11.313 TRADE ADJUSTMENT ASSISTANCE FOR FIRMS**

Trade Adjustment Assistance for Firms

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Trade Act of 1974, as amended (19 U.S.C. 2341 et seq.).

**OBJECTIVES:**

To provide trade adjustment assistance to firms and industries adversely affected by increased imports.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Under Chapter 3 of Title II of the Trade Act of 1974, a firm may apply to the Economic Development Administration (EDA) of the Department of Commerce for certification of eligibility to apply for trade adjustment assistance (TAA). Interested firms that believe they meet the requirements set forth in 13 CFR part 315 may contact EDA or one of the EDA-funded Trade Adjustment Assistance Centers (TAACs). TAACs will assist firms, at no cost, in completing and submitting a petition (Form ED-840P or any successor form) to EDA. Before a firm receives technical assistance under the program, the firm must have an adjustment proposal approved by EDA. Usually the adjustment proposal, which includes an unbiased diagnostic of the firm's strengths, weaknesses, opportunities and threats, is prepared by the TAAC in cooperation with the certified firm. The adjustment proposal also identifies technical assistance tasks, which when implemented, will guide the firm toward economic recovery. The adjustment proposal must also demonstrate that the implementation of the technical assistance tasks has a reasonable chance helping the firm recover. The firm must pay at least 25 percent of the cost of preparing the adjustment proposal. After a firm's adjustment proposal is accepted by EDA, the firm is authorized to apply for technical assistance to implement the recovery strategy. The technical assistance is usually provided by a private consultant, who is jointly hired by the certified firm and the TAAC. The certified firm and the TAAC each typically pay one half of the consultant's fees. Actual provision of TAA will depend on the feasibility of the firm's adjustment proposal, compliance with the requirements of the Trade Act, EDA's regulations and guidelines, and the availability of funds. Organizations representing trade-injured industries are eligible under the Trade Act to apply to EDA for industry-wide assistance.

**Applicant Eligibility:**

Section 253 of the Trade Act (19 U.S.C. 2343(b)) provides that grants may be

awarded to "intermediary organizations (including Trade Adjustment Assistance Centers)" to provide assistance to trade-injured firms. For an industry association or other organizations to be eligible for industry assistance under section 265 of the Trade Act (19 U.S.C. 2355(a)), the applicant must submit evidence demonstrating that the industry faces import competition and includes a substantial number of Trade Act-certified firms or worker groups.

**Beneficiary Eligibility:**

Only firms certified by EDA on behalf of the Secretary of Commerce are eligible for assistance under the TAA program. Industries that can demonstrate they have been injured by imports and have a substantial number of Trade Act certified firm or worker groups may also benefit. The principal benefit is cost-shared technical assistance: the TAA program pays up to one-half of the cost of assistance by private-sector consultants and contractors for operational improvements at certified firms.

**Credentials/Documentation:**

The TAACs act as intermediaries for this program between EDA and the firm. Entities seeking industry-wide assistance must contact EDA staff to discuss their needs, describe the import injury and determine if funding is available for industry-wide projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The nationwide network of 11 TAACs apply to EDA each year for funding for the coming fiscal year. Industry associations or other organizations seeking industry assistance must submit an application (SF-424) if invited to do so by EDA.

**Award Procedure:**

Awards to TAACs are made based upon submitted applications, previous performance under cooperative agreements with EDA, and the availability of funds. Acceptance of an application or amended application for a cooperative agreement does not ensure funding by EDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

Not Applicable.

**Renewals:**

EDA Cooperative Agreements are renewed annually.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, one year for TAAC investments and the amount of time needed to complete the project for industry grants. The TAA program is a nationwide federal program designed to help U.S. firms that have experienced business decline and loss of employment due to imports of like or directly competitive products. See the following for information on how assistance is awarded/released: Generally, grants are awarded annually. Grantees receive awards either in advance or monthly reimbursement.

**Reports:**

Periodic reporting of operating results and progress, financial statements, and summary of funds spent, consistent with EDAs Government Performance Results Act (GPRA) reporting requirements. No cash reports are required. Grantees are required to submit annual reports on the progress. EDA requires the submission of a SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

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

**Records:**

Records are required to be maintained for three years. All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the agreement. The recipient must retain records for three years after submission of the final financial report, and have them readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Cooperative Agreements) FY 08 \$14,209,654; FY 09 est \$13,904,052; FY 10 est \$15,800,000

**Range and Average of Financial Assistance:**

Awards range between \$1M-\$1.6M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, EDA, through TAACs, provided assistance to petitioning firms as follows: 173 petitions were certified as eligible to receive Trade Adjustment Assistance; 139 adjustment proposals were accepted. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of pertinent regulations (13 CFR Part 315), guidelines, and forms are available from EDA, the TAACs or the TAAC website at [www.taacenters.org](http://www.taacenters.org). Allowable costs will be determined in accordance with OMB Circular A-87 for State, local, and Indian Tribal governments; OMB Circular A-122 for nonprofit organizations; OMB Circular A-21 for educational institutions; and 48 CFR Part 31 for commercial organizations. Uniform administrative requirements will be in accordance with 15 CFR Part 14 for institutions of higher education and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

John M. Thompson, 1401 Constitution Ave., NW, Washington, District of Columbia 20230 Email: [jthompson@eda.doc.gov](mailto:jthompson@eda.doc.gov) Phone: (202) 482-4924.

**Website Address:**

[www.eda.gov](http://www.eda.gov) and [www.taacenters.org](http://www.taacenters.org)

**RELATED PROGRAMS:**

17.245 Trade Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA invites existing (currently funded) TAACs to submit either new or amended applications provided they have performed successfully and complied with previous conditions in their cooperative agreements with EDA and contingent upon the availability of funds. EDA also may invite new TAACs to submit applications through an applicable Federal Funding Opportunity (FFO) announcement. EDA generally evaluates existing (currently funded) TAACs based on: (i) performance under cooperative agreements with EDA and compliance with terms and conditions if such cooperative agreements; (ii) proposed scope of work, budget and application or amended application; and (iii) availability of funds.

**11.400 GEODETIC SURVEYS AND SERVICES (GEODESY AND APPLICATIONS OF THE NATIONAL GEODETIC REFERENCE SYSTEM)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coast and Geodetic Survey Act., Public Law 80-373, 33 U.S.C 883 (a,d,e);  
Coast and Geodetic Survey Act., Public Law 80-373, 33 U.S.C 892; Commerce and Trade, 15 U.S.C 1525.

**OBJECTIVES:**

To provide national, coordinated spatial reference system at various specified intervals which provide scale, orientation, coordinated positions, and elevations of specific points for use in surveying, boundary delineations and demarcation, mapping, planning, and development; to provide assistance to State, local, municipal, and regional agencies in the development and implementation of Multipurpose Land Information Systems (MPLIS)/Geographic Information Systems (GIS) pilot projects and spatial reference system development and/or enhancement, and Height Modernization. For the Joint Hydrographic Center (JHC) improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Extend National Spatial Reference System into areas not adequately covered to meet infrastructure needs. Use of basic data for survey system in local densification is unrestricted. Spatial Reference System coordinates and elevations describe baselines from which restricted coastal boundaries are delineated and other boundaries are marked. The National Spatial Reference System forms the standard of measurement on which State plane coordinate systems, land and utility records, and boundary delineations are based. Federal funding (grants) are restricted to those State, local, municipal, or regional, and or universities specifically selected by the U.S. Congress, in annual Federal appropriations legislation. To conduct research and carry out development programs at the Joint Hydrographic Center at the University of New Hampshire to improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping, and to conduct bathymetric research in support of delineation of an extended continental shelf.

**Applicant Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC, limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

**Beneficiary Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

**Credentials/Documentation:**

Annual Congressional appropriations legislation. An official of the State, local, municipal, university and/or regional agency should certify as the official authorized, in accordance with State, local, municipal, or regional agency law, to commit the State, local, municipal, university and/or regional agency to participate in the grant program, to sign project documents, and to receive payments. Eligibility of costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For the JHC, an approved official of the University of New Hampshire should certify the application to commit the University to participate in the cooperative agreement and to receive payments in accordance with OMB circulars A-110 and A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity number and/or CFDA number to access the application package and instructions. Submission of grant application on Standard Form 424 to the Director, National Geodetic Survey listed in Appendix IV of the Catalog. This program is subject to the provisions of 15 CFR Part 24, and OMB Circular No. A-110. For the JHC, submission of grant application on Standard Form 424 to the NOAA Co-Director, Joint Hydrographic Center.

**Award Procedure:**

Applications are reviewed by the National Geodetic Survey and processed and awarded by the NOAA Grants Division. For the JHC, Applications are reviewed by the NOAA National Ocean Service and processed and awarded by the NOAA Grants Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 working days from date of receipt of proposal in the National Geodetic Survey. For the JHC, from 45 to 90 working days from date of receipt of proposal in the Joint Hydrographic Center.

**Appeals:**

No formal appeal procedure for grant applications. If grant applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit grant applications, projects must be revised in accordance with recommended changes.

**Renewals:**

No renewal, however, an approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding, providing the request for extension is received 60 days prior to the end of the award period. For the JHC, An approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally issued for a 12-month period. For JHC, the cooperative agreement is normally issued for a one to five year period. The funds are released as required. See the following for information on how assistance is awarded/released: The funds are released as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual and final progress reports are required for Federally financed multi-year pilot projects. Progress reports may be in the form of a manuscript. Quarterly financial reports are also required. For JHC, semi-annual and final progress reports and financial reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$10,282,804; FY 09 est \$14,435,000; FY 10 est \$6,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The number of states increased to 18 using a competitive method of selection of awards: Alabama, Arizona, California, Colorado, Illinois, Kentucky, Louisiana, Michigan, Minnesota, Mississippi, Montana, New Mexico, North Carolina, North Carolina A&T, South Carolina, Texas, Washington State, and Wisconsin. In addition granted funds for a study to be completed by the National Academy of Sciences. Continued grant for Red Snapper breeding facility. For the current year only hard earmarks are available with not specific funding for competitive grants to continue work started in prior years. No expectation of future funding considering funding source this year. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. For JHC, allowable cost will be determined in accordance with OMB Circular A-21 for institutions of higher education.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Grant Program Office/Geodetic Service Division, National Geodetic Survey, National Ocean Service, National Oceanic and Atmospheric Administration, Silver Spring, Maryland 20910 Phone: (301) 713-3228

**Website Address:**

<http://www.ngs.noaa.gov/>, for the JHC: <http://chartmaker.ncd.noaa.gov/>

**RELATED PROGRAMS:**

11.003 Census Geography

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Leveling, CORS projects, Data analysis, Red Snapper Breeding Facility, Spatial Reference Centers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected by Congress. The State, local, municipal, universities and/or regional agency designated to conduct the project is specified. The Joint Hydrographic Center was established by funding specifically designated by Congress. The University designated to conduct the project is specified.

**11.407 INTERJURISDICTIONAL FISHERIES ACT OF 1986****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Interjurisdictional Fisheries Act of 1986, Title 3, Public Law 99-659, 16 U.S.C 4106.

**OBJECTIVES:**

To assist States in managing interjurisdictional fisheries resources.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used for research and enforcement of interjurisdictional fishery resources, for the development of Fishery Management plans, and for restoration of resources damaged by a natural resource disaster.

**Applicant Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries, and the Pacific, Atlantic, and Gulf Interstate Marine Fisheries Commissions.

**Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries.

**Credentials/Documentation:**

The Governor of each State shall notify the Secretary of Commerce which State agency is authorized to regulate commercial fisheries. An official of the State agency shall certify as the official(s) authorized in accordance with State law to commit the State to participation under the Act, to sign project documents, and to receive payments. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications reviewed by the National Marine Fisheries Service Regional Program Office and processed by the NOAA Grants Management Division (OA32).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 75 days or less.

**Appeals:**

No formal appeal procedure. If application is unacceptable the reasons are fully stated to the applicant. If the applicant desires to resubmit application, project must be revised in accordance with recommended changes.

**Renewals:**

No renewal. However, an approved on-going project can be extended by submission of an amendment request.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Apportionment to States is based on average value and volume of raw fish landed by domestic commercial fishermen. No State that qualified for funding may receive less than 1/2 of 1 percent or more than 6 percent of funds appropriated in any fiscal year based on conditions of the act. Federal funding is not to exceed 75 percent of approved project costs, except where a project supports an approved interstate or Federal Fishery Management Plan, up to 90 percent Federal funding may apply. The statistical factors used for fund allocation are: (1) Three year average of value of commercial fish landed, the source is the "Fishery Statistics of the U.S."; and (2) volume of fish landed, the source is the "Fishery Statistics of the U.S." No matching requirements for commission grants. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12

months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: According to grant agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the six-month period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Formula Grants) FY 08 \$3,087,522; FY 09 est \$2,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Sample in the Northeast include: Continuation of controlling of non-indigenous species in the Great Lakes; monitoring of American lobster, horseshoe crab and blue crab population off Long Island Sound, and documentation and quantification of alosids utilizing fish passage ways. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253 available from Director, Office of Sustainable Fisheries (F/SF), National Marine Fisheries Service, 1315 East West Highway, Silver Spring, MD 20910. or from regional offices without cost.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office:

Potential applicants should make initial contact relative to this program at the region or area offices of the National Marine Fisheries Service listed. Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. Email: barbara.fosburg@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: grants.information@noaa.gov. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349. Telephone: (206) 526-6115 or 6113). E-mail Kevin.Ford@naoo.gov or Stephen Freese@noaa.gov. Pacific Islands Region: Scott Bloom, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. E-mail: scott.bloom@noaa.gov Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824- 5324.. Fax: (727) 824-5364 E-mail: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200,

Long Beach, CA 90802- 4213. Telephone: (310) 980- 4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov.

**Headquarters Office:**

Steve Meyers Office of Sustainable Fisheries, National Marine, Fisheries Service, 1315 East-West Highway, , Silver Spring, Maryland 20910 Email: steve.meyers@noaa.gov Phone: (301) 713-2334 Fax: (301) 713-0596

**Website Address:**

Southeast Region: <http://sero.nmfs.noaa.gov.grants.htm>. Northeast Region: <http://www.nero.noaa.gov/sttefedoff/>. Northwest Region: <http://www.nwr.noaa.gov/Isusfisth>. Pacific Islands Region <http://swr/nmfs.noaa.gov/pir/index.htm>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.474 Atlantic Coastal Fisheries Cooperative Management Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fisheries monitoring, assessment and evaluation, extension services, enforcement, construction, collection, compilation and evaluation of fisheries statistics, aquaculture experiments, etc. Northeast: Unassessed Catch and Harvest of Nearshore Species in IL Waters of Lake Michigan, A Partnership Approach for Controlling non-indigenous Aquatic species in the Great lakes, Monitoring of the American Lobster Resource Fishery in New Hampshire, Fishery Dependent Monitoring of the American Lobster, Horseshoe Crab and Blue Crab populations in the Marine District of Long Island Sound, Documentation & Quantification of Alosids Utilizing Fish Passage Facilities & Collection of Biological Data on Adult American Shad, Rhode Island Lobster Research and Management Project, and Great Lakes Commercial Fisheries Licensing and Harvest Statistics Information Systems. Southeast: Development, monitoring, implementation and revision of fishery management plans for blue crab, menhaden, striped mullet, shrimp, striped bass, oyster, black drum, red drum, etc. Research addressing stock assessment, stock identification, stock status, life history characteristics, and gear impacts has continued to provide valuable information for effective management of important marine resources. Commercial landings statistics and biostatistics provide vital data for the management of Caribbean resources. Southwest Region: Monitoring and Management of California Commercial Coastal Pelagic Species. Alaska Region: Determine domestic groundfish landings; Collect biological data on key species; continue longline, dinglebar troll and trawl logbook programs; Conduct resource assessment surveys; implement closures for fisheries in state waters and state-managed fisheries in federal waters as needed. The Pacific Island Regional Office in Hawaii: includes grants to Guam, CNMI, Hawaii, American Samoa. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.408 FISHERMEN'S CONTINGENCY FUND**

(Title IV)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Outer Continental Shelf Lands Act Amendments of 1978, Title IV, Section 402.

**OBJECTIVES:**

To compensate U.S. commercial fishermen for damage/loss of fishing gear and 50 percent of resulting economic loss due to oil and gas related activities in any area of the Outer Continental Shelf.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Applicant must be a U.S. commercial fisherman.

**Beneficiary Eligibility:**



U.S. Commercial fishermen.

**Credentials/Documentation:**

Financial statements, records, logbooks, receipts, and estimates which establish that the applicant is a fisherman and owned the property for which compensation is claimed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit applications to Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Award Procedure:**

Review and approval by Financial Services Division, NMFS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For two months.

**Appeals:**

Assistant Administrator, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: As determined in contract.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507).

Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

None.

**Account Identification:**

13-5120-0-2-376.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$227,900; FY 09 est \$230,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from Chief, Financial Services Division, National Marine Fisheries Service. 43 U.S.C. 1841 et seq; 50 CFR Part 296.

**Regional or Local Office:**

None. See Appendix IV of the Catalog.

**Headquarters Office:**

Charles Cooper Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-1306

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/fcf.htm](http://www.nmfs.noaa.gov/mb/financial_services/fcf.htm).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.413 FISHERY PRODUCTS INSPECTION AND CERTIFICATION**

(Inspection and Grading of Fishery Products)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, Public Law 79-733, 7 U.S.C 1324-1627; Fish and Wildlife Act of 1956, Public Law 84-1024, 16 U.S.C 742(a-j); Reorganization Plan No. 4, 1970.

**OBJECTIVES:**

To ensure that the hygienic aspects of seafood harvesting and processing operations meet the minimum public health requirements and to determine and certify the identity, condition, and distributing quality, and quantity of seafood products.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The voluntary inspection, grading and certification of seafood is made at the processing plant, or at other locations depending upon the inspection services desired. Funds are derived from fees charged for the services provided.

**Applicant Eligibility:**

Any individual, Federal, State, county, or municipal agencies, or carrier having a financial interest in the commodity.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Applicants must stipulate that they have a financial interest in the product. Applicants for in-plant inspection service must furnish a surety bond or other guarantee of payment. Applicants for other types of services may be required to furnish a surety bond or make payment prior to the receipt of services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants for in-plant inspection services must do so in writing to the nearest regional inspection office. Requests for other types of services may be made orally or in writing to the Regional Inspection Office.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. See the following for information on how assistance is awarded/released:

Funds are released or reimbursed as agreed in the Standard Terms and

Conditions required by each grant.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Provision of Specialized Services) FY 08 \$22,000,000; FY 09 est \$22,000,000;

FY 10 est not reported. - Funding estimate for FY10 is not currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of December 2004, over 325 official establishments were

under contract inspection. Over 175 of those contract establishments participate

in the voluntary NMFS HACCP quality management program. Fiscal Year

2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter II, Parts 260 to 267; Inspection Services Brochure, USDC

approved list of fish establishments and products, free. Also available on the

Internet at <http://seafood.nmfs.noaa.gov/>. Service fees are established annually.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

n/a Inspection Services Division, National Marine Fisheries Services, 1315

East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2355

**Website Address:**

<http://seafood.nmfs.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.415 FISHERIES FINANCE PROGRAM****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Merchant Marine Act, 46 U.S.C 1271 et seq.

**OBJECTIVES:**

Provides direct loans for certain fisheries costs. Vessel financing available for the purchase of used vessels or the reconstruction of vessels (limited to reconstructions that do not add to fishing capacity). Refinancing available for existing debt obligations. FFP loans are not issued for purposes which could contribute to over capitalization of the fishing industry. Finance or refinance fisheries shore side facilities or Aqua cultural facilities. Provides Individual Fishing Quota (IFQ) financing (at the request of a Fishery Management Council). IFQ financing available at this time to first time purchasers and small vessel operators in the Halibut Sablefish fisheries. Provides long term fishery buy back financing (at the request of a Fishery Management Council or Governor) to purchase and retire fishing permits and/or fishing vessels in overcapitalized fisheries.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Direct loans for up to 80 percent of actual cost, for reconstruction or reconditioning of fishing vessels, renovation, repair or construction of fisheries shore side facilities, (including aquaculture facilities) and financing and refinancing the cost of certain IFQs. Maximum maturity up to 25 years. Funds from this program are not used for purposes which contribute to over capitalization of the fishing industry.

**Applicant Eligibility:**

Applicant must possess the ability, experience, financial resources, and other qualifications necessary to operate successfully and repay the debt.

**Beneficiary Eligibility:**

Commercial fishermen, processors or distributors of fishery products.

**Credentials/Documentation:**

Financial statements, records, business history, and tax returns. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Maximum term is 25 years. Financing based on the economic useful life of the asset financed. See the following for information on how assistance is awarded/released: Funds are released or reimbursed as agreed upon in the Standard Terms and Conditions required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress

reports are not applicable. Annual Financial Statements and associated financial information as needed. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Agency has the right to inspect all relevant financial documents and records.

**Account Identification:**

13-4417-0-3-376.

**Obligations:**

(Direct Loans) FY 08 \$37,857,682; FY 09 est \$67,000,000; FY 10 est not reported. - Funding estimate for FY10 is not currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Direct traditional loans: 31 loans for \$59 million. QS loans: 27 loans for \$5 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Leo Erwin Financial Services Division, National Marine Fisheries Service, Department of Commerce, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: leo.erwin@noaa.gov Phone: 3017132390 Fax: 3017131306

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/ffp.htm](http://www.nmfs.noaa.gov/mb/financial_services/ffp.htm) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Vessel loans, aquaculture, Quota share, buyback. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.417 SEA GRANT SUPPORT**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Sea Grant College Program Improvement Act of 1976, Public Law 94-461, 33 U.S.C 1121; National Sea Grant College Program Act, Public Law 100-220.

**OBJECTIVES:**

To support the establishment and operation of major university centers for marine resources research, education, and training and to support marine advisory services. Some individual efforts in these same areas also receive funding.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, education and training, and advisory services. Coherent area, institutional and Sea Grant College support is provided to some institutions. Grant money cannot be used to purchase, or construct ships or facilities.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any public or private corporation, partnership, or other association or entity; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with professional interest in marine affairs.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in a proposal to Headquarters Office or local Sea Grant program fully documenting need for grant and proposed amount. This program is excluded from coverage under OMB Circular No. A- 102.

**Award Procedure:**

Awards are made competitively on the basis of proposal evaluation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with Sea Grant Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: n/a.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status reports and performance reports required quarterly. Final reports are required at the end of the support period.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$28,802,725; FY 09 est \$28,000,000; FY 10 est \$28,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 600-635; Literature: Suggestions for Submission of Proposals and Administration of Grants, National Sea Grant Program (no charge). Federal Register Vol. 43, No. 70 dated April 1978 and Vol. 43, No. 153 dated August 8, 1978, Part III, Title 15, Chapter IX, Part 917. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

na Director, National Sea Grant College Program, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2448

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.430 Undersea Research; 20.806 State Maritime Schools; 20.807 U.S. Merchant Marine Academy; 47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cardiovascular, Anticancer, and Central Nervous System Drugs from Marine Organisms; Marine Fouling and Corrosion in seawater; Fisheries Oceanography; Population Dynamics; Fish Habitat relationship; Marine Finfish and shellfish aquaculture; Effect of pollutants on marine resources and Ecosystems; Seafood quality and safety; and coastal erosion. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged on the degree to which they contribute to the purposes of the Act, along with their relevance to the oceans, Great Lakes, and the marine environment. They are also judged on expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

**11.419 COASTAL ZONE MANAGEMENT ADMINISTRATION AWARDS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coastal Zone Management Act Amendments of 1986, Public Law 99-272; Coastal Zone Act Reauthorization Amendments of 1990, Public Law 101-508; Coastal Zone Management Act Amendments of 1984, Public Law 98-620; Coastal Zone Management Act of Amendments 1980, Public Law 96-464; Coral Reef Conservation Act of 2000, Section 6403, Public Law 106-562; Coastal Zone Management Act of Amendments 1976, Section 306, Public Law 94-370; Coastal Zone Management Act of 1972, Public Law 92-583, 16 U.S.C 1451.

**OBJECTIVES:**

To assist States in implementing and enhancing Coastal Zone Management and related programs that have been approved by the Secretary of Commerce.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreements may be used only to implement and enhance the States' approved Coastal Zone Management programs. This includes personnel salaries, travel and other related costs required to support the administration of the program. Ten to twenty percent of Section 306 funds are available annually to develop new program requirements under Section 309 in the areas of coastal wetlands management and protection; natural hazards management (including potential sea and Great Lakes level rise); public access improvements; reduction of marine debris; assessment of cumulative and secondary impacts of coastal growth and development; special area management planning; impacts of coastal growth and development; special area management planning; ocean resource planning; and citing of coastal energy and Government facilities. and program development grants as authorized by section. Section 310 can be used to provide grants for technical assistance and to address coastal issues such as Coastal Nonpoint Source Pollution Program Implementation and Coral Reef conservation activities. CELP can be used to provide grants for protecting important coastal and estuarine areas that have significant conservation, recreation, ecological, historical, or aesthetic values, or that are threatened by conversion from their natural or recreational state to other uses (16 USC 33 Section 1456d).

**Applicant Eligibility:**

Any coastal State, including those that border the Great Lakes, and including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce. The Governor shall designate the State agency or entity that is to be the applicant.

**Beneficiary Eligibility:**

Any coastal State, including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce.

**Credentials/Documentation:**

Letter from Governor designating the applicant. Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.gov. The Application for Federal Assistance (Non-construction Programs) SF-424 is to be submitted in original and two copies. This program is subject to provisions of 15 CFR Part 24 for State and local governments. CELP and Coral Reef conservation awards are competitively selected through a peer review process.

**Award Procedure:**

Applications are approved by the Office of Ocean and Coastal Resource Management.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 150 days.

**Appeals:**

No formal procedure. If application is unacceptable the applicant is fully informed and applicant may revise application.

**Renewals:**

Continuation grants on an annual basis are available. Individual grants may be extended, however, all funds must be obligated within the fiscal year following the fiscal year of the original award.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for 18 months. Funds are released as required. See the following for information on how assistance is awarded/released: Funds are released as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status and performance reports are required semi-annually. Final financial status reports are required within 90 days of award ending date.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$87,873,223; FY 09 est \$85,476,767; FY 10 est \$89,150,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Thirty-four coastal States and U.S. island territories, covering 99 percent of U.S. coastline, participate in this voluntary partnership. The nature and structure of CZM programs vary widely from State to State. Some States have passed comprehensive coastal management legislation while others have used existing land use legislation. CELP has protected 35000 acres of land. Coral has addressed coral bleaching, awarded \$3.5 million annually in coral reef management grants, launched a training program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 923. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Chief, Coastal Programs Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, 11th Floor, Silver Spring, Maryland 20910 Phone: 3017133155

**Website Address:**

<http://coastalmanagement.noaa.gov/czm/>, <http://coastalmanagement.noaa.gov/land/>, [www.coralreef.noaa.gov](http://www.coralreef.noaa.gov)

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Coastal management programs have been actively involved in protecting wildlife and fisheries habitats, and regulating land use impacts on water quality. In addition, coastal programs have taken the leadership of nationwide beach clean-ups; marshes are protected in South Carolina and development along the State's 2,876 mile shoreline is now subject to pollution and storm water guidelines; CZM studies led to State bonds to rebuild coastal fishing piers and facilities; in California, the permit for a marina was conditioned to provide at least 80 percent of berthing for commercial fishing vessels, thus assuring them a permanent base. Coastal land valued acquired for public access in the ten States and territories cited; land obtained for recreation in California, Massachusetts, and Guam; access ways to the water have been designated in Rhode Island and California. Coral funded programs include the creation of the East End Marine Park in St. Croix, USVI and abatement of land based sources of pollution in Florida. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

While 80 to 90 percent of the appropriated funds are allocated to States through a formula based on coastal population and shoreline mileage, the tasks in the State application are reviewed for relevance to program objectives and cost effectiveness. The remainder of the funds are allocated according to criteria published by the Coastal Program Division. CELP and Coral Reef funds are distributed through a competitive process, subject to availability of funds for competitive awards.

**11.420 COASTAL ZONE MANAGEMENT ESTUARINE RESEARCH RESERVES**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coastal Zone Act Reauthorization Amendments of 1990, Stat. 508; Coastal Zone Management Act Amendments of 1987, Section 315, Public Law 94-370; Coastal Zone Management Act of 1972, Section 312, Public Law 92-583, 16 U.S.C 1451; Coastal Zone Management Act Amendments of 1984, Public Law 98-960; Coastal Zone Management Act Amendments of 1980., Public Law 96-464.

**OBJECTIVES:**

To assist States in the development, acquisition, monitoring, research, education, operation and facilities construction for National Estuarine Research Reserves for the purpose of creating natural field laboratories to gather data and make studies of, and educate people about the natural and human processes occurring within the estuaries of the coastal zone.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to cover the costs of land acquisition, development, research, education, operation and facilities construction for National Estuarine Research Reserves. Development and operation costs may include the administrative expenses necessary for implementing reserve programs. Grants are available to states for education projects at reserves. Competitive research grants are also available.

**Applicant Eligibility:**

Land acquisition, development, operation, and facilities construction grants are available to any coastal State and, in some cases, public or private person, including those bordering the Great Lakes. For the purposes of the Coastal Zone Management Act, the coastal State also applies to Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Governor shall designate the State agency or

entity to be the applicant. Competitive research grants are available to any coastal State or qualified public or private person. Education grants are available to any coastal State entity.

**Beneficiary Eligibility:**

Any coastal State including those bordering the Great Lakes, as well as Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible for reserve operation, land acquisition, or construction awards where a reserve has been designated and for development awards for designating new reserves. Also qualified students are eligible to apply for research fellowship grants.

**Credentials/Documentation:**

(1) For development grants: A letter from the Governor designating the lead agency for new reserve development; (2) for competitive research grant proposals which do not come from the lead agency: A letter from the reserve manager indicating formal support of the application by the lead agency; (3) for reserve operations, land acquisition, and construction: An application from the reserve lead agency or its designee. For all grants, a statement of work and budget estimate must be submitted. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.gov. For development (construction) awards, the Application for Federal Assistance (For Construction Programs) SF-424, as furnished by NOAA is to be submitted in original plus two copies. For operation and management, education and research, acquisition and non-construction development awards, the application for Federal assistance (For Non-Construction Programs) SF-424 is to be used. This program is subject to the provisions of 15 CFR Part 24 for State and local governments.

**Award Procedure:**

Applications are approved by the Office of Ocean and Coastal Resource Management and Grants Management Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 150 workdays.

**Appeals:**

No formal procedure. If application is unacceptable the applicant is fully informed and may revise application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Range from 0 to 50 percent of the total project cost provided by the applicant depending upon the type of project. The Federal share for each reserve shall not exceed \$5,000,000 for acquisition of lands, waters or interests therein, unless using Congressionally-directed funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, 18 months. Land acquisition and construction may be longer. Funds are released as required. See the following for information on how assistance is awarded/released: As required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress

reports are not applicable. Expenditure reports are not applicable. All financial status and performance reports are required semi-annually.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

**Account Identification:**

13-1460-0-1-306; 13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$22,664,549; FY 09 est \$28,542,977; FY 10 est \$20,412,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: By the end of fiscal year 2005, there were 27 designated estuarine research reserves. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 921 National Estuarine Research Reserve System Program Regulations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief of Estuarine Resources Division Chief, Estuarine Reserves Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, N/ORM5, 10th Floor, Silver Spring, Maryland 20910 Phone: (301) 713-3155

**Website Address:**

<http://www.nerrs.noaa.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.429 Marine Sanctuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Generic projects/activities funded under the National Estuarine Research Reserve system consist of: acquisition of lands to be included in the reserve; site selection procedures and management plan development; construction projects; operation of the reserve; and resource stewardship, research, and educational activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

There are five types of awards to coastal States under the National Estuarine Research Reserve Program: (1) land acquisition; (2) development; (3) operation, education, monitoring; (4) research; and (5) facilities construction. Detailed criteria for the State's development of these awards and criteria for reviewing each award are provided in the regulations for the National Estuarine

Research Reserves Program (15 CFR Part 921). Final regulations were published in the Federal Register, July 15, 1993.

## **11.426 FINANCIAL ASSISTANCE FOR NATIONAL CENTERS FOR COASTAL OCEAN SCIENCE**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act of 1972, Title II, Section 201, Public Law 095-532; National Ocean Pollution Planning Act of 1978, Section 6, Public Law 095-273; Executive Order 13158.

### **OBJECTIVES:**

To determine the long-term consequences of human activities which affect the coastal and marine environment; to assess the consequences of these activities in terms of ecological, economic, and social impacts upon human, physical and biotic environments, and to define and evaluate management alternatives which minimize adverse consequences of human use of the coastal and marine environments and resources. Executive Order 13158 directs Federal agencies to work collaboratively with public and private interests to develop a science-based framework for the national system of marine protected areas (MPAs). To insure compliance with this order, NCCOS is intending to conduct an integrated assessment (IA) examining the impacts of various marine resources uses on sustainable fisheries, biodiversity, and submerged cultural artifacts and looking at how a network of MPAs can be used to manage those impacts. The assessment is intended to provide scientific information that can be used to evaluate the existing system, evaluate options for future potential action, and identify gaps in our understanding of this issue. The IA will give stakeholders in the area a process for evaluating alternative methods of implementing E.O. 13158 and a product that 1) identifies objectives and priorities for marine protection and habitat enhancement, 2) outlines agreed-upon actions and implementation plans to achieve marine protection and habitat enhancement benefits, 3) serves as a tool for subsequent IAs, and 4) maintains or improves ecosystem health and the health of high priority, at-risk species. This assessment will be conducted in collaboration with NOAA's MPA Center, National Marine Sanctuaries (NMS), Non-Governmental Offices (NGO) and academic partners. Integrated assessments serve as a formal bridge between science and management to integrate the best existing scientific information for use by coastal managers. Integrated assessments 1) document status and trends of ecosystem and cultural resource conditions, 2) relate those trends to their environmental and economic causes and consequences, 3) predict outcomes of alternative management actions, and 4) review means to implement those alternatives. A successful IA is responsive to policy-relevant questions, based on peer review and public participation, broadly integrated and synthetic, based on high-quality existing information, and predictive.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

None.

### **Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories, State and local government agencies, public or private profit or nonprofit entities or individuals.

### **Beneficiary Eligibility:**

Organizations and individuals with demonstrated professional expertise in determining, assessing and portraying the temporal and spatial distribution of chemical contaminants and their impact upon physical, biotic and human environments, particularly coastal ecosystems. With regard to the IA competitive program element, organizations and individuals with interests in a national system of marine protected areas (MPAs).

### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A standard application form (SF-424) should be submitted with a statement of work and estimated budget to the National Ocean Service, National Centers for Coastal Ocean Science (N/SCI,) 1305 East-West Highway, Silver Spring, MD 20910. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Nonprofit and Commercial Organizations, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Applicable administrative requirements and cost principles are identified in each award and are incorporated into the award by reference. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the National Centers for Coastal Ocean Science Office. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

### **Award Procedure:**

Awards are made on the basis of proposal evaluation. For the IA competitive program element, awards are made on the basis of competitive peer review of proposals.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 210 days from the time of proposal receipt.

### **Appeals:**

Not Applicable.

### **Renewals:**

By application to the National Centers for Coastal Ocean Science, 1305 East-West Highway, Silver Spring, MD 20910. Attn: Gary Matlock.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 5 years in annual increments. See the following for information on how assistance is awarded/released: Funds are released as required.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual and final performance reports; quarterly and final financial reports, and other special reports as may be required on a case-by-case basis. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations, and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single

Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement (OMB Circular No. A110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments). The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,696,305; FY 09 est \$3,787,710; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

\$20,000 to \$550,000. Average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Accomplishments vary from year to year based on the specific mix of cooperative agreements actually funded. Programs under this CFDA conduct ecosystem and targeted research studies on Great Lakes and marine ecosystems to understand, describe, monitor, assess, model and predict the response of these systems to natural and human induced changes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary Matlock National Ocean Service  
National Center for Coastal Ocean Science (N/SCI)  
1305 East-West Highway, Silver Spring, Maryland 20910 Phone:  
301-713-3020

**Website Address:**

<http://www.nccos.noaa.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Assessments of estuarine and marine contaminants, harmful algal blooms, habitats, and natural resources, as they pertain to coastal ecosystems health and biodiversity. Development of a data set of characteristics of the Nation's coasts and oceans including erosion rates, coastal vulnerability indices and coastal hazards for incorporation into a geographic Information System and other microcomputer desktop information systems for further analysis. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants/cooperative agreements, criteria for selecting proposals is contained in the individual program solicitation. For non-competitive grants, applications received by NCCOS are reviewed for completeness, accuracy, and compliance with all program requirements. Final funding decisions will be constrained by the actual amount of agency funding available and changes in programmatic priorities.

**11.427 FISHERIES DEVELOPMENT AND UTILIZATION RESEARCH AND DEVELOPMENT GRANTS AND COOPERATIVE AGREEMENTS**

**PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Saltonstall-Kennedy Act, 15 U.S.C 713c 3(c).

**OBJECTIVES:**

To increase greatly the Nation's wealth and quality of life through sustainable fisheries that support fishing industry jobs, safe and wholesome seafood, and recreational opportunities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Proposals must respond to funding priorities in the annual solicitation. Applicants should demonstrate an awareness of the fisheries resources in the region over which the resource extends as well as the issues/problems involving such fisheries. Issues/problems addressed in the project should be supported by industry experience.

**Applicant Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments, except that employees of Federal agencies, and Regional Fishery Management Councils and their employees, are not eligible.

**Beneficiary Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments.

**Credentials/Documentation:**

Proposal with statement of work and budget estimate. See annual solicitation published in the Federal Register for details. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A listing of State single points of contact under E.O. 12372 is available at [www.hhs.gov/grantsnet/lawsregs/eo.htm](http://www.hhs.gov/grantsnet/lawsregs/eo.htm). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit Standard Form 424, project proposal and budget following the format specified by the funding office in the annual solicitation. Proposals are submitted through [Grants.gov](http://Grants.gov). Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to NOAA. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are reviewed after the submission deadline in competition with all other proposals submitted. To the extent that funds are available, those proposals judged to best meet priorities are funded. Either grants or cooperative agreements will be awarded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.



**Appeals:**

Not Applicable.

**Renewals:**

Projects of up to 24-month durations will be considered. Proposals for continuing work must be competed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are not to exceed 24 months. Financial status reports are completed and submitted. See the following for information on how assistance is awarded/released: As determined in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress and financial reports shall be due within 30 days after the end of the 6-month period. Final reports shall be submitted within 90 days after the end of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and NonProfit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an agreement shall be retained for a period of three years.

**Account Identification:**

13-5139-0-2-376.

**Obligations:**

(Project Grants) FY 08 \$2,423,878; FY 09 est \$7,891,800; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For costs principles, see OMB Circular No. A-87 (State and local governments) and OMB Circular No. A-122 for other recipients. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117.; Telephone: (978)281-9243; Fax: (978) 281-9117; Email: Harry.Mears@noaa.gov.  
Southeast Region: Robert Sadler, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Ave S., St. Petersburg, FL 33701. Telephone: (727)824-5324. Fax (727)824-5364. E-Mail: Robert.Sadler@noaa.gov.

**Headquarters Office:**

Dan Namur Headquarters Office: Dan Namur, NOAA National Marine Fisheries Service,, Office of Management and Budget, 1315 East-West Highway, Rm. 14358, Silver Spring, MD 20910 .  
, Silver Spring, Maryland 20910 Email: Dan.Namur@noaa.gov Phone: (301) 713-2259 Fax: (301) 713-1306.

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/skhome.htm](http://www.nmfs.noaa.gov/mb/financial_services/skhome.htm)

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.417 Sea Grant Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Northeast Region: Safety Training for Commercial Fishermen. The primary goals of this project are to reach as many commercial fishermen as possible on a voluntary basis to provide them with hands-on safety and survival skills that will give them enough knowledge and experience to know what to do in case of emergencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Significance of the issue addressed in the proposal, methodology proposed, responsiveness to published priorities, cost proposed, etc.

**11.429 MARINE SANCTUARY PROGRAM****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act of 1972, Title 3, Public Law 92-532, 16 U.S.C 1431, as amended by Marine Sanctuaries Amendments of 1988, Public Law 100-627, as amended by Marine Sanctuaries Amendments of 1984, Public Law 98-498, as amended by National Marine Sanctuaries Program Amendments Act of 1992, Public Law 102-587; National Marine Sanctuaries Amendments Act of 2000, Public Law 106-513; National Marine Sanctuaries Preservation Act of 1996 , Public Law 104-283.

**OBJECTIVES:**

To identify areas of the marine environment of special national significance due to their resource or human-use values; to provide authority for comprehensive and coordinated conservation and management of these marine areas that will complement existing regulatory authorities; to support, promote, and coordinate scientific research on, and monitoring of, the resources of these marine areas; to enhance public awareness, understanding, appreciation, and wise use of the marine environment; and to facilitate, to the extent compatible with the primary objective of resource protection, all public and private uses of the resources of these marine areas not prohibited pursuant to other authorities; and to support organizations that provide environment-based education to students, teachers and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into for the purpose of conducting research and educational programs; for the solicitation of private donations for the support of such activities in the Marine sanctuary system; to conduct enforcement activities at Marine sanctuary sites; and for other activities to carry out the purposes of the National Marine Sanctuaries Act. Scholarships are provided for masters and doctorate level studies particularly by women and minorities who are pursuing degrees in Marine Biology, Maritime Archaeology and Oceanography.

**Applicant Eligibility:**

States, local governments, regional agencies, interstate agencies, k-through-12 public and independent schools and school systems, institutions of higher education, commercial and nonprofit organizations, Indian tribal Governments, or other persons. Agreements to solicit private donations may only be made with nonprofit organizations. Scholarships are awarded to individuals who are U.S. citizens and have been admitted to a masters or doctorate program for studies in Marine Biology, Maritime Archaeology, and Oceanography.

**Beneficiary Eligibility:**

Financial assistance is made for a public purpose. The ultimate beneficiary is the public. The scholarship program benefits individuals who do not have the financial means of pursuing graduate level studies and, in turn, ensures that women and minorities are representative in the areas supported by the scholarship program.

**Credentials/Documentation:**

Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is excluded from coverage under E.O. 12372. For the scholarships to individuals, there is no preapplication requirement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. For cooperative agreements and competitive awards, the application package will be submitted directly to the National Marine Sanctuary Program. For scholarships, the application package will be submitted directly to the NOS Office of the assistant Administrator. This program is subject to the provisions of OMB Circular No. A-110, for institutions of higher education and other nonprofit organizations, and with 15 CFR Part 24 for State and local governments. Monterey Bay Watershed Education and Training Program Awards are competitively selected. The application process is described in the annual Federal Register Notice. For the scholarship program, the application process is described in the annual Federal Register Notice.

**Award Procedure:**

The cooperative agreement and competitive grants awards are approved by the National Marine Sanctuary Program. Scholarship awards are approved by NOS Associate Assistant Administrator for Management.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

No formal procedure.

**Renewals:**

The National Marine Sanctuary Program may renew funding for existing grants that were funded in the previous application process. New grants may be awarded pending successful review of a new application package, and adequate progress reports and/or site visits.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually made for a 1 year period. Funds are released as required. See the following for information on how assistance is awarded/released: as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial

Status Reports and Performance Reports are required quarterly or semi-annually. For the scholarships, an annual Progress Report is required and a final Progress Report is required at the end of the award. For the competitive awards, Financial and Performance Reports are semi-annually and a comprehensive final Progress Report is required at the end of the award.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$7,471,346; FY 09 est \$8,551,500; FY 10 est \$7,185,500

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There are currently 13 designated marine sanctuaries, including the Papahānaumokuākea Marine National Monument located in Hawaii. This monument is the single largest conservation area under the U.S. flag, encompassing 139,792 square miles of the Pacific Ocean - an area larger than all the country's national parks combined. Management Plan Reviews are underway at seven sites. In fiscal year 2004, the National Marine Sanctuary Program (NMSP) launched the Sanctuary integrated Monitoring Network (SIMoN) that enables researchers to monitor the sanctuary effectively by integrating existing monitoring programs and identifying gaps in information; ground was broken on a new Maritime Heritage Center at Thunder Bay; working in conjunction with the NMS Foundation, a suite of outreach activities have been conducted to achieve the goals of increasing visibility and/or educational efforts related to the NMSP. National Science Teachers Association (NSTA) has completed and will present three Science Guides (formal education professional development tools) on corals, estuaries, and the effects of the ocean on weather and climate as well as a symposium for 80 middle and high school level educators on coral ecosystems in cooperation with NOAA. In FY 08 The Monterey Bay Watershed Education and Training Program funded 36 competitive; and emergency response tools and capabilities were expanded across the program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 922. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None. Regional or Local Office. Local Offices at each sanctuary.

**Headquarters Office:**

Priti Brahma NOAA Office of Education, Route: OED, Bldg SSMC3 Room 10725, 1315 East West Highway, Silver Spring, Maryland 20910 Phone: 3017139437 x118 Fax: priti.brahma@noaa.gov

**Website Address:**

[http://www.oesd.noaa.gov/scholarships\\_opps.html](http://www.oesd.noaa.gov/scholarships_opps.html)

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.457 Chesapeake Bay Studies; 11.473 Coastal Services Center

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Long-term management efforts at Fagatele Bay National Marine Sanctuary; Educational programming and interpretation to create greater public awareness of the significance of marine sanctuaries; building the infrastructure to bring live video from a sanctuary site to the American public; Jason Foundation to support an innovative science and technology education program for middle-school students and teachers; Co-sponsor National Geographic Society's Oceans for Life/Field Studies Project for teacher-student pairs at the Florida Keys and Channel Islands National Marine Sanctuaries. The second annual Alligator Symposium was held in Norfolk, VA on October 30-31, 2004. The Monterey Bay Watershed Education and Training Program awarded a grant to allow students to investigate the factors that influence the health of invertebrates by assessing the sand crab population and by measuring the environmental factors that impact the sand crab population at a local beach. Scholarships were awarded to graduate students studying Marine Biology, Oceanography, and Maritime Archeology. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A set of ranking criteria was developed to establish the priority of proposed efforts funded through the National Marine Sanctuary Program. The criteria include: (1) importance of the information or transaction for sanctuary management decisions; (2) date of the available information or accomplishment for which funds are expended; (3) status of information or accomplishment; and (4) generic applicability of information or techniques receivable from effort. Criteria for scholarships include financial need, academic record, recommendations, organizational, analytical, and written communications skills based on the statement of intent, and research and career goals and objectives as described in the statement of intent. Criteria for Monterey Bay Watershed Education and Training Program competitive awards include: (1) Importance and/or relevance and applicability of proposal to the program goals; (2) Technical Merit; (3) Overall qualifications for applicants; (4) Project costs, and (5) Financial need of student.

**11.430 UNDERSEA RESEARCH****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Outer Continental Shelf 1978, Section 21E; Coast and Geodetic Survey Act, Public Law 80-373.

**OBJECTIVES:**

To place man safely undersea to conduct research in support of National Oceanic and Atmospheric Administration (NOAA) and national science requirements.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development and to purchase and/or lease technology in support of program goals.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any State, political subdivision of a State, or agency or office thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with professional interests in marine science engineering.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit

organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Formal proposal to the headquarters office that documents fully the grant requirements and requested support with application for Federal Assistance (SF 424). This program is subject to the requirements of 15 CFR Part 24, Grants and Cooperative Agreements with State and Local Governments and OMB Circular No. A-110, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 150 days from time of proposal submission.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with the office of Undersea Research.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: as stated in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status reports and performance reports are required quarterly. Final reports are required at the end of the grant period.

**Audits:**

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

**Records:**

Grantees are required to maintain complete records for each grant to ensure funds are used pursuant to the statement of work.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$8,094,963; FY 09 est \$8,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Symposia Series for Undersea Research; National Solicitation of Research Proposals; Annual Report. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular

A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Director of Undersea Research Director, Office of Undersea Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2427

**Website Address:**

<http://www.nurp.noaa.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Nutrient Cycling and Primary Productivity of Marine Ecosystems; Recruitment Processes of Fish and Invertebrates; Diving safety and physiology research; submarine venting of liquids and gases. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the degree to which they contribute to the goals and objectives of NOAA along with their relevance to national science requirements for the marine environment, and the extent of expected benefits, scientific quality, cost effectiveness, and other factors.

**11.431 CLIMATE AND ATMOSPHERIC RESEARCH**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

National Climate Program Act, 15 U.S.C 2931-2934; Weather Service Organic Act, 15 U.S.C 2904; Federal Aviation Act, 49 U.S.C 4720; Navigation and Navigable Waters, 33 U.S.C 883d.

**OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate fluctuations and trends.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, advisory services, and operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Institutions of higher education, other nonprofits, commercial organizations, international organizations, state, local and Indian tribal governments.

**Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, and climate research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 100 to 200 days from time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with Climate Program Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost Sharing is only required in one program element competition which is the NOAA Climate Transition Program (NCTP) where the Cost Share Percentage must be at least 5 percent of the total costs. The other competitions have no cost sharing requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant award period ranges one to five years with annual funding for one year. See the following for information on how assistance is awarded/released: As stated in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Annual performance and financial reports are required. Final reports are due 90 days after expiration of award. Annual performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$35,086,473; FY 09 est \$35,000,000; FY 10 est \$35,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director Director, Climate Program Office, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Suite 12860, Silver Spring, MD 20910. Telephone: (301) 734-1263. , Silver Spring, Maryland 20910 Phone: (301) 427-2089

**Website Address:**

<http://www.climate.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Numerical Weather Prediction using Global Weather Experiment data; (2) Prediction of Planetary Circulation; (3) Implementation of Sea Level Network in Indian Ocean; (4) Dynamical Forecast of El Nino/Southern Oscillation; and (5) Circulation of the S.W. Tropical Pacific Ocean. Fiscal Year 2009: (1) Remote and Regional Forcing of US Drought; (2) Mapping the Terrestrial Tracks of Hurricane and Tropical Cyclones Towards Elucidating Water Resources Ecosystem Impacts Recovery; (3) Understanding Bias in Modeled ENSO Variability; (4) Data Fusion to Determine North American Sources and Sinks of Carbon Dioxide at High Spatial and Temporal Resolution from 2004 to 2008; (5) Multi-Scale Modeling of the Indirect Impact of Atmospheric Aerosols on Climate and (6) Towards a Better Understanding of the Relationship Between Climate Change and Tropical Cyclones. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.432 OFFICE OF OCEANIC AND ATMOSPHERIC RESEARCH (OAR) JOINT AND COOPERATIVE INSTITUTES****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Cooperative Agreements/Reimbursement to Further NOAAs Mission, 15 U.S.C 1540; Weather Service Organic Act, 15 U.S.C 313; Navigation and Navigable Waters, 33 U.S.C 883d; National Climate Program Act, 15 U.S.C 2904; Navigation and Navigable Waters, 33 U.S.C 1442; Department of Commerce Appropriation Act of 1999; Federal Aviation Act, 49 U.S.C 44720(b); Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Fish and Wildlife Act, 16 U.S.C 753a; National Climate Program Act, 15 U.S.C 2901 et seq.

**OBJECTIVES:**

To increase the effectiveness of research and develop innovative approaches to education in the environmental sciences by facilitating cooperation between government, university, and nonprofit research institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program authorizes funds to be used for research and development, education and training, advisory services and operational systems as they relate to specific NOAA programs. Specific restrictions, other than those mandated for cooperative agreements, are evaluated on an individual program basis. Most Cooperative Institutes (CIs) operate under a Memorandum of Understanding/Memorandum of Agreement and are geographically located near a NOAA Research laboratory or a NOAA facility. In addition, 118 Stat. 71 (2004) authorizes the Secretary to designate (delegated to the Under Secretary of NOAA) CIs to use the personnel, services, or facilities of such organizations for research, education, training, and outreach to further NOAA's mission under a cooperative agreement.

**Applicant Eligibility:**

University or nonprofit research institution usually located near a NOAA Research Laboratory or other NOAA facility. Single or multiple non-federal public and private non-profit universities, colleges and research institutions that collectively offer accredited graduate level degree-granting programs in NOAA related sciences.

**Beneficiary Eligibility:**

Organizations and individuals with interests in oceanographic research, atmospheric research, limnology, solar environment research, near-space research, and Arctic research. Organizations with interests in support of the NOAA mission to understand and predict changes in Earth's environment and conserve and manage resources to meet the nations' economic, social, and environmental needs.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circular Nos. A-21 for agreements with educational institutions, A-87 for State and local governments, and A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular Nos. A-21 and A-110 must be used for this program. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable.

**Award Procedure:**

Accepted applications are subject to peer review by a review panel assembled by the Cooperative Institute Program Manager. All applicants are notified whether or not their proposal was funded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

Not Applicable.

**Renewals:**

Initial awards are for five years; renewals may be made for a period of up to five additional years, based upon the availability of funds and the results of an extensive scientific and administrative review, typically occurring in the fourth year of the first five-year award..

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, five years with funding approved on individual and group proposal basis throughout the five years in accordance with DOC approval. See the following for information on how assistance is awarded/released: As described in Standard Terms and Agreement.

**Reports:**

In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. In accordance with applicable report or announcement published in the Federal Register and/or

Federal Funding Opportunities in Grants.gov. In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov.

**Audits:**

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

**Records:**

Recipients are expected to maintain complete records for each cooperative agreement to insure funds are used for the purposes that the cooperative agreement was made. Records must be retained for three years; records shall be retained beyond the three-year period if audit findings have not been resolved.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$210,000; FY 09 est \$145,000,000; FY 10 est \$145,000,000

**Range and Average of Financial Assistance:**

Total annual funding at current Cooperative Institutes ranges from \$2,000,000 to \$22,000,000. Average funding is \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 21 NOAA Cooperative Institutes supported over 1,000 research and research support staff and over 380 undergraduate and graduate students. In addition, CI researchers published over 1,500 peer-reviewed scientific publications. In FY 2008, 13 OAR Cooperative Institutes supported 933 research and research support staff and 344 undergraduate and graduate students. In addition, OAR CI researchers published over 1,472 peer-reviewed scientific publications. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None. OAR, Dr. John Cortinas - CI Program Manager, NOAA Research, R/LCX2, 1315 East-West Highway, Room 11308, Silver Spring, MD 20910. Telephone: 301-734-1090. E-mail: John.Cortinas@noaa.gov. NESDIS, Ingrid Guch, Chief, Cooperative Research Programs Division, World Weather Building, Suite 701, 5200 Auth Road, Camp Springs, MD 20746. Telephone: (301) 763-8282 x152. E-mail: Ingrid.Guch@noaa.gov. NMFS, Kathleen Jewett, 2725 Montlake Blvd East, Seattle, WA 98112-2097. Telephone: (206) 860-3208. E-mail: Kathleen.Jewett@noaa.gov.

**Headquarters Office:**

John Cortinas, 1315 East-West Highway, Room 11308, Silver Spring, Maryland 20910 Phone: (301) 734-1090.

**Website Address:**

<http://www.nrc.noaa.gov/ci/index.html>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.440 Environmental Sciences, Applications, Data, and Education; 11.455 Cooperative Science and Education Program; 11.459

Weather and Air Quality Research; 11.460 Special Oceanic and Atmospheric Projects; 11.462 Hydrologic Research; 11.468 Applied Meteorological Research; 11.473 Coastal Services Center

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: : Cooperative Institute for Oceanographic Satellite Studies; Cooperative Institute for Climate Applications Research; Cooperative Institute for Climate Science; Cooperative Institute for Alaska Research; Cooperative Institute for Limnology and Ecosystem Research; Northern Gulf Institute. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to peer-review evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into primary consideration scientific merit and application to the mission goals of NOAA.

**11.433 MARINE FISHERIES INITIATIVE**

(MARFIN)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson Fishery Conservation and Management Act, 16 U.S.C 1854e; Fish and Wildlife Act of 1956, 16 U.S.C 753a; Saltonstall-Kennedy Act, 16 U.S.C 713 c-3d.

**OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the full and wise use and enhancement of fishery resources in the Southeast U. S. Gulf of Mexico and the South Atlantic beginning with the State of North Carolina south to Florida. In addition, beginning in Fiscal Year 1998 similar assistance is provided for the coastal New England states.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to develop harvest methods, economic analyses of fisheries, processing methods, fish stock assessment and fish stock enhancement. Projects are restricted to the fisheries in the Southeast Region including the U.S. Gulf of Mexico and the South Atlantic beginning with North Carolina, South Carolina to Florida. Funds are not used for loans. Also, projects in the coastal New England States will be considered. In the Northeast, project priorities have varied during the first two years of funding availability. During Fiscal Year 1999, the area of emphasis was new methods or techniques to improve the ability of scientists to identify the stock structure of selected species of fish and shellfish to improve fisheries management.

**Applicant Eligibility:**

States or local governments, universities, private enterprise, individuals or any other entity, nonprofit or otherwise, if such entity is a citizen of the United States within the meaning of Section 2 of the Shipping Act, 1916, as amended, 46 U.S.C. 802.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, private enterprise, nonprofit or profit organizations, and the general public.

**Credentials/Documentation:**

Applications must include resumes of qualifications and experience of the principal investigators. They are expected to demonstrate expertise in the proposed area of study. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals will be reviewed, evaluated and ranked by the National Marine Fisheries Service (NMFS). The ranking is divided into two groups; (a) recommended; and (b) not recommended. They are then presented to a panel of fishery experts and to the MARFIN Panel. The Panel will individually submit their funding recommendations to the Regional Administrator of the appropriate Region. The Regional Administrator in consultation with the Assistant Administrator for Fisheries will determine funding availability and select the projects to be funded. The selected proposals will be reviewed and negotiated by the appropriate Regional Office and the assigned Technical Monitor. A complete application will be forwarded to the NOAA Grants Officer for approval and award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will be selected generally within 180 days. Awards will be made normally within 240 days after the date of publication of the Federal Register.

**Appeals:**

Not Applicable.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The money must be spent during the award period. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,064,592; FY 09 est \$2,200,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Recent accomplishments include: using high-technology underwater video cameras to fine tune bycatch reduction devices in shrimp trawl nets; development of a horseshoe crab management program in South Carolina as a result of reproductive biology research; and delineation of important nursery habitat for red snapper in the northern Gulf of Mexico. Numerous multi-year projects were funded in the out years that reduced the level of funding for new cooperative agreements in FY 06. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A description of MARFIN activities is available and published in an "Annual Report." A copy may be obtained from the Southeast Regional Office. There is no funding history in the Northeast Region prior to FY 1998. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Southeast: Robert Sadler, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: robert.sadler@noaa.gov. Kenneth L. Beal, National Marine Fisheries Service, Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Southeast fisheries-independent reef fish monitoring; development of bycatch reduction devices; fishing community research; and studies on stock assessment modeling, reef fish nursery habitat, SEAMAP archival samples, and continental shelf fishery abundances. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority in program emphasis will be placed upon funding projects that have the greatest probability of recovering, maintaining, improving, or developing fisheries, improving our understanding of factors affecting recruitment success, generating increased values from fisheries, and generating increased recreational opportunity and harvest potential. Projects will be evaluated as to the likelihood of achieving these benefits through both short-term and long-term research projects with consideration of the magnitude of the eventual economic benefit that may be realized.

**11.434 COOPERATIVE FISHERY STATISTICS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C 753 a.

**OBJECTIVES:**

To maintain a cooperative State and Federal partnership to provide a continuing source of fisheries dependent statistics to support fishery management in the States' Territorial Sea and the U.S. Exclusive Economic Zone.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to support cooperative State and Federal programs to collect statistics on commercial and recreational fisheries in support of the Magnuson-Stevens Fishery Conservation Management Act.

**Applicant Eligibility:**

Eligible applicants are the Marine Fisheries Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, U.S. Virgin Islands and the Gulf States Marine Fisheries Commission.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to be expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$923,500; FY 09 est \$6,600,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: GulfFIN: Collecting, managing, and disseminating marine recreational fisheries data; head boat port sampling in Texas, Louisiana, and Florida; menhaden data collection; development and implementation of a FIN data management system; trip ticket program development, implementation, and operation; and biological sampling of commercial and recreational catches. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**



See Regional Agency Offices. Southeast: Jeffrey Brown, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: jeff.brown@noaa.gov. For GulfFIN: Kelly Donnelly, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: kelly.donnelly@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://sero.nmfs.noaa.gov/grants/csp.htm>

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.435 Southeast Area Monitoring and Assessment Program; 11.474 Atlantic Coastal Fisheries Cooperative Management Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All projects are NMFS/State (U.S. territory/commonwealth) cooperative fisheries statistics, agreements, for the collection, analysis and distribution of statistical information and for research into better methods for those tasks. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of Cooperative Statistics and Fisheries Information Network (FIN) committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on Cooperative Statistics and Fisheries Information Network (FIN) committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.435 SOUTHEAST AREA MONITORING AND ASSESSMENT PROGRAM**

(SEAMAP)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C 753 a.

**OBJECTIVES:**

To maintain a cooperative program which engages State and Federal agencies in the coordinated collection, management, and dissemination of fishery - independent information on marine fisheries in support of State Territorial Sea and U.S. Exclusive Economic Zone fisheries management programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding through cooperative agreements involve regional member organizations in fishery - independent sampling projects. Projects are restricted to fisheries of the Gulf of Mexico, South Atlantic and U.S. Caribbean. Cooperators are State and territorial governments, Interstate Marine Fishery Commissions.

**Applicant Eligibility:**

Eligible applicants are the Marine Fishery Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, the U.S. Virgin Islands, the Atlantic and Gulf States Marine Fishery Commissions.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research

groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

In FY 2003, the SEAMAP program changed to multi-year grants. Funding continues to be awarded annually, however, grant recipients submit three year proposals, that are reviewed and evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval. Subsequent years of the grant do not require proposals. All requirements for funding are worked by the Program Officer. Recipients receive notification when funding has been approved for the current fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 30 to 90 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures. Subsequent funding for the multi-year grant is typically awarded 30 days after the Program Officer completes all funding requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to

be expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$3,716,304; FY 09 est \$4,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$71,500 - \$1,372,023. Average: \$337,845.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This Program provides an integrated, cooperative State/NMFS program that collects fishery-independent information on stocks of finfish and shellfish that are interjurisdictional in management and conservation need. This information is used by all Southeast fishery management authorities to develop, implement and monitor the effectiveness of fishery management plans and programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations.

**Regional or Local Office:**

See Regional Agency Offices. Kelly Donnelly, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: kelly.donnelly@noaa.gov.

**Headquarters Office:**

N/A N/A, N/A, Non-U.S. N/A Phone: N/A

**Website Address:**

<http://caldera.sero.nmfs.gov/grants/programs/seamap.htm>.

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.434 Cooperative Fishery Statistics

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds have been used for a variety of fishery-independent studies, including: surveys of shrimp and ground fish, and reef fish resources in the Gulf of Mexico; ichthyoplankton; physical oceanographic parameters; trawl

surveys of fish and invertebrate resources along the South Atlantic Bight; and lobster and conch resources in the Caribbean. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of SEAMAP committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on SEAMAP committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.436 COLUMBIA RIVER FISHERIES DEVELOPMENT PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Mitchell Act, Public Law 79-676, 16 U.S.C 756-757.

**OBJECTIVES:**

This program uses the facilities and personnel of State and Federal fisheries agencies and Tribal governments in the Pacific Northwest to protect and enhance the salmon and steelhead resources in the Columbia River Basin.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to develop and implement measures to protect and enhance salmon and steelhead resources in the Columbia River Basin.

**Applicant Eligibility:**

State governments and quasi-public nonprofit institution/organizations.

**Beneficiary Eligibility:**

Federal, Interstate, State, and Quasi- public nonprofit entities.

**Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Northwest Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a sole-source basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,741,548; FY 09 est \$14,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Northwest Region: Federal, State and Tribal fisheries agencies in Oregon, Washington, and Idaho involved in the program operate eighteen salmon hatcheries and rearing ponds, over seven hundred irrigation diversions screens, and more than forty fish ladders, and conduct hatchery improvement studies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Mitchell Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24

for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Northwest Region: Robert Z. Smith, Director, Columbia River Fisheries Development Program, NOAA/NMFS, Salmon Recovery Division, Hatcheries and Inland Fisheries Branch, 1201 NE Lloyd Blvd., Portland, OR 97232-1274. Telephone: (503) 231-2009. Fax: (503) 872-2737. E-mail: rz.smith@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://www.noaa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Northwest Region: All projects are State, Federal and Tribal cooperative efforts to protect and enhance the salmon and steelhead resources in the region. Examples of project activities include: Operation and maintenance of fish hatcheries, fish ladders, fish screens, and other fish passage facilities; fish passage and water flow planning and input to involved agencies; and studies on irrigation screens, stream improvement, and hatchery improvement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to projects that directly relate to NOAA statutory responsibilities (Mitchell Act) and to court actions and Federal treaties. Special consideration is given to Columbia Basin Watershed planning activities and activities impacting Federal responsibilities under the Endangered Species Act.

**11.437 PACIFIC FISHERIES DATA PROGRAM****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act, , Public Law 94-265, 16 U.S.C 1854e.

**OBJECTIVES:**

This cooperative program provides support to State fishery agencies to enhance their data collection and analysis systems to respond to coast wide and insular area fisheries management needs. The program supports fisheries data collection and analysis projects that provide catch, effort, economic and biological data on federally managed species to the Fishery Management Councils as needed for continuing management of Pacific fisheries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to enhance State fishery data collection and analysis systems to respond to Federal fisheries management needs.

**Applicant Eligibility:**

State governments (including territories of Guam and American Samoa and the Commonwealth of the Northern Mariana Islands) and quasi-public nonprofit institution/organizations.

**Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial and recreational fisheries.

**Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the receiving National Marine Fisheries Service Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally requires that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$18,412,514; FY 09 est \$0; FY 10 est \$0 - No estimate for future funding is currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Southwest Region: Document the large-scale movements and behaviors of Atlantic and Pacific bluefin tuna in relation to oceanographic features. Use of a range of electronic tagging technologies to document the movements and behaviors of Atlantic and Pacific bluefin tuna. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Magnuson Fishery Conservation and Management Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Alaska: Alaska Regional Office, Shawn Carey, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. Email: shawn.carey@noaa.gov. Northwest Regional Office, Stehpen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113. Email Stephen .Freese@noaa.gov. Northwest Center, Northwest: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov. Pacific Islands Region: Scott Bloom, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 944-2218. Email: scott.bloom@noaa.gov. Southwest: Martha Kawai, Federal Program Officer, Southwest Center, Telephone: (858) 546-7007. Email: Martha.kawai@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

Alaska: <http://www.st.nmfs.gov/st1/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All: Program funds State projects that enhance State systems to respond to coast wide and Pacific islands fisheries management needs under the Magnuson-Stevens Fishery Conservation and Management Act. Examples include sampling of landings to determine species composition, special processing of State-collected fisheries data to conform to specifications of regional fishery data management systems, and monitoring domestic shore side ground fish landings in Alaska, as well as foreign tuna transshipment activities in Guam, providing catch and effort data necessary to monitor in-season harvest quotas by species, group, gear type and regulatory area, to evaluate the effectiveness of fisheries management programs in the western Pacific region, and to update the historic ground fish catch database, as well as Year-round data collection for groundfish fisheries off Washington, Oregon and California. Santa Cruz: California Habitat Restoration Data Projects. In Alaska, 7 fisheries data collection and management projects. Hawaii: Fishery Data Collection to Guam, CNMI, Hawaii, American Samoa. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State projects that provide the Fishery Management Councils with the timely information needed to make the management decisions required under fishery management plans.

## **11.438 PACIFIC COAST SALMON RECOVERY\_PACIFIC SALMON TREATY PROGRAM**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

Pacific Coastal Salmon Recovery, Public Law 106-113, 16 U.S.C 3634; Pacific Coast Salmon Treaty Act: Public Law , Public Law 99-5, 16 U.S.C 3641.

### **OBJECTIVES:**

This is a cooperative program that assists the States in salmon restoration and in fulfilling responsibilities under the Pacific Salmon Treaty by providing administrative management. Support is provided to treaty Indian tribes for salmon recovery and to meet the needs of the Pacific Salmon Commission and U.S. international commitments under the treaty.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds may be used by State agencies and treaty Indian tribes to assist in salmon recovery and in fulfilling Federal responsibilities under the Pacific Salmon Treaty.

### **Applicant Eligibility:**

State government agencies and treaty Indian tribes.

### **Beneficiary Eligibility:**

This program benefits the State governments, treaty Indian tribes, Federal government, international relationships, and conservation of a public resource by ensuring that State agencies and tribal governments participate in the recovery and international management of salmon on the west coast.

### **Credentials/Documentation:**

Proposal from a State agency or treaty Indian tribe should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

### **Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional Offices and processed by the NOAA Grants Management Division. Under Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Within 75 calendar days from the receipt of a complete and acceptable application.

### **Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, applications must be revised in accordance with recommended changes.

### **Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For the Pacific Coast Salmon Recovery Program, States are required to provide a matching amount of 25 percent. Treaty Indian tribes are not required to provide a match for Pacific Salmon Recovery Program funds. The Pacific Salmon Treaty funds have no statutory formula; projects are funded at up to 100 percent Federal share.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

### **Audits:**

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

### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

### **Account Identification:**

13-1450-0-1-306.

### **Obligations:**

(Project Grants) FY 08 \$68,385,751; FY 09 est \$80,000; FY 10 est not reported. - Est for FY10 not available.

### **Range and Average of Financial Assistance:**

Pacific Coast Salmon Recovery:

Range: \$30,000 to \$30,000,000

Average: To Be Advised

Pacific Salmon Treaty:

\$25,000 - \$985,000

FY 2009 Average: \$661,031.00.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Pacific Salmon Treaty, Alaska Region: Since implementation of the Pacific Salmon Treaty in 1985, the State of Alaska has provided the necessary support to and has been involved with the Pacific Salmon Commission in accordance with the treaty. Pacific Salmon Treaty, Northwest Region: Awards are made on annual basis to the states of Washington, Idaho and Oregon to participate in the implementation of the 1985 Pacific Salmon Treaty. The Pacific Coastal Salmon Recovery Fund (PCSRF) was established in FY 2000 to provide Grants to the States and tribes to assist State, tribal and local salmon conservation and recovery efforts. The fund supplements existing State, tribal and federal programs to foster development of federal-state-tribal-local partnerships in salmon and steelhead recovery and conservation;

promotes efficiencies and effectiveness in recovery efforts through enhanced sharing and pooling of capabilities, expertise and information. Significant contributions are being made through this program to the conservation, restoration, and sustainability of Pacific salmon and steelhead runs and the habitats on which they depend. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Pacific Salmon Treaty; 16 U.S.C. 3631 et seq. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

See Regional Agency Offices. Pacific Salmon Treaty - Northwest Region: Dave Cantillon, NOAA/NMFS, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-4140, Fax: (206) 526-6534. E-mail: Dave.Cantillon@noaa.gov.

Pacific Coast Salmon Recovery Program

Northwest Region: Nicolle Hill, NOAA/NMFS, 7600 Sand Point Way NE, Seattle, WA 98115. Telephone: (206) 526-4358, Fax: (206) 526-6426, E-mail: Nicolle.Hill@noaa.gov

Alaska Region: Shawn Carey, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS.

E-mail: Shawn.Carey@noaa.gov.

Southwest Region: Patricia Culver, NOAA/NMFS, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4239, E-mail: Trisha.Culver@noaa.gov.

#### **Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

#### **Website Address:**

NMFS Northwest Region - <http://www.nwr.noaa.gov>, NMFS Alaska Region - <http://www.fakr.noaa.gov>, NMFS Southwest Region - <http://swr.nmfs.noaa.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Alaska: Pacific Coast Salmon Recovery projects will provide support for salmon habitat restoration, salmon enhancement and salmon research. Northwest: Since the inception of this program, grantees have provided funds (primarily as subgrants) to support over 2,600 individual projects in Washington, Oregon and Idaho. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State and tribal programs that directly address salmon recovery or the information needs of the Pacific Salmon Commission for international management of salmon fisheries stocks under the Pacific Salmon Treaty.

### **11.439 MARINE MAMMAL DATA PROGRAM**

#### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

#### **AUTHORIZATION:**

Marine Mammal Rescue Assistance Act of 2000, 16 U.S.C 1421f-1; Marine Mammal Act of 1972,, 16 U.S.C 1361.

#### **OBJECTIVES:**

Nondiscretionary funding under this authorization provides support to State agencies for the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. Information collected is used by the State and Federal governments to conserve marine mammals, address or resolve conflicts

between marine mammals, fisheries and living marine resources, and to improve their understanding of the health of individual marine mammals as well as marine mammal populations. Discretionary funds may be announced in the Federal Register under competitive programs to undertake research in subjects which are relevant to the protection and conservation of marine mammals.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Nondiscretionary funds may be nondiscretionary and appropriated for a particular recipient for a particular purpose such as the Marine Mammal cooperative agreements in Alaska (16 U.S.C. 1388) or allocated to State agencies for collection of information on marine mammals that occur in State waters and interact with fisheries and other marine resources. Discretionary funds announced in the Federal Register under competitive programs may restrict the use of funds or include additional program restrictions based on the appropriation language.

#### **Applicant Eligibility:**

State governments and quasi-public nonprofit institutions or organizations. U.S. Marine Mammal Stranding Network participants, including state and local governments, academia, aquaria, non profits, private individuals and organizations. Eligibility may vary under programs announced in the Federal Register.

#### **Beneficiary Eligibility:**

This program benefits the States that have marine mammals in waters under State jurisdiction and supports Federal requirements for conservation of marine mammals, and other public resources. The program also benefits the active volunteer U.S. marine mammal stranding network members throughout coastal states.

#### **Credentials/Documentation:**

Proposal from a State fishery agency or an Interstate Fisheries Commission, or an eligible stranding network member, should be submitted in accordance with 15 CFR Part 14; 15 CFR Part 24 and the applicable Federal Register notice. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional or Headquarters Offices and processed by the NOAA Grants Management Division. Pursuant to Section 404 of Public Law 102- 567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a non- discretionary basis for projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. For discretionary funds including Stranding Networks, a competitive award process is announced in the Federal Register for projects related to stranding network activities. A small percentage of discretionary funds will be available to be provided on a non-competed basis for catastrophic stranding events.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 75 calendar days after a complete and acceptable application is received.

**Appeals:**

No formal appeal procedure.

**Renewals:**

For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, continuation grants can be made on an annual basis for approved multi-year projects. For projects related to stranding network activities, grants or cooperative agreements will be awarded for a maximum award period of three years; however the total Federal share of each award is fixed at a maximum of \$100,000 regardless of the funding period requested. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, the program has no statutory formula. Projects are funded at up to 100 percent Federal share. For projects related to stranding network activities the maximum Federal award for each project will be \$100,000, and a minimum cost share of 25 percent of total project costs is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained in accordance the terms and conditions of the Financial Assistance Award. The grantee must maintain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$9,605,008; FY 09 est \$0; FY 10 est \$0 - No estimate for future funding.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Programs support marine mammal research and management efforts relative to marine mammal health and strandings and fulfill commitments under Title IV of the Marine Mammal Protection Act. Several

programs contribute to the United States participation in the International Whaling Commission and the fulfillment of native subsistence co-management commitments under section 119 of the Marine Mammal Protection Act. Northwest: Information is provided to state and federal fishery managers to support regulatory decisions. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Marine Mammal Protection Act, as amended. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Discretionary: Stranding Network  
Contacts-Alaska Region: Aleria Jensen, Alaska Region, NMFS, Federal Building, 709 West 9th Street, 14th Floor, Juneau, AK 99802-1668. Telephone: (907) 586-7248 or aleria.jensen@noaa.gov. Northeast Region: Dana Hartley, NMFS, 1 Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9328 or dana.hartley@noaa.gov. Northwest Region: Brent Norberg, NMFS, Brent Norberg, 7600 Sand Point Way, N.E., Building 1, Seattle, WA 98115. Telephone: (206) 526-6733 or brent.norberg@noaa.gov; Southeast Region: Laura Engelby, NMFS, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5312 or laura.engeleby@noaa.gov; Southwest Region: Joe Cordaro, Southwest Region, NMFS, 501 West Ocean Boulevard, Suite 4200, Long Beach, CA: 90802-4213. Telephone: (562) 980-4017 or joe.cordaro@noaa.gov. Nondiscretionary: Alaska Regional Office: Barbara Fosburg, NOAA/NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Northwest Regional Office: Joe Scordino, NOAA, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6150, Fax: (206) 526-6426, E-mail: Joe.Scordino@noaa.gov. Pacific Islands Area Office: Margaret Akamine, NMFS, 1601 Kapiolani Blvd., Suite 1110, Honolulu, HI, 96814-4700. Telephone: (808) 973-2935 or margaret.akamine@noaa.gov. Headquarters Office: Budget Officer, Administrative and Budget Processes Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910. Telephone: (301) 713-2245. Fax: (301) 713-2299.

**Headquarters Office:**

Teri Rowles Office of Protected Resources, NMFS, Teri Rowles, 1315 East West Highway, Silver Spring, Maryland 20910 Phone: 3017132322 ext 178

**Website Address:**

[http://www.nmfs.noaa.gov/prot\\_res/PR2/](http://www.nmfs.noaa.gov/prot_res/PR2/)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Nondiscretionary: Northwest - funds are provided annually to an interstate fishery commission to collect data on the expanding west coast pinniped population and its impact on fish populations. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Nondiscretionary: For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, priority consideration is given to proposals for the collection of information on marine mammals involved in interactions with fisheries and other marine resources, and on activities impacting marine mammals such as native subsistence; Discretionary: For projects involving stranding network activities, priorities are published in the Federal Register Notice soliciting applications for financial assistance. Unsolicited proposals may also be submitted outside of the competitive process for response to catastrophic stranding events.

**11.440 ENVIRONMENTAL SCIENCES, APPLICATIONS, DATA, AND EDUCATION**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Navigation and Navigable Waters, U.S.C 883d; Organic Act of 1890, 15 U.S.C 313; Navigation and navigable Waters, 33 U.S.C 1442; Meteorological Services, 49 U.S.C 44720(b); National Climate Program Act, 15 U.S.C 2901.

**OBJECTIVES:**

To advance and promote applied research, data assimilation and management, technology development, and education in environmental science.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to support a wide variety of atmospheric and oceanographic research, development, data distribution and assimilation programs, education, advisory services, and to support long-term partnerships between the Federal government, universities, and institutions of research and higher education for cooperative science and education in environmental science.

**Applicant Eligibility:**

Any State university, college, institute or laboratory; any public or private nonprofit institution or consortium.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

None. Costs are determined in accordance with applicable OMB circulars and applicable Federal Register notices. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit Standard Form 424, project proposal and budget following the format specified by the funding office in the annual solicitation. Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to NOAA. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluations, technical and administrative reviews, and external reviews, if applicable. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of receipt of the proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Future or continued funding will be at the discretion of the Federal government based upon satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally from one to five years. See the following for information on how assistance is awarded/released: Funds will be released or reimbursed as agreed upon in the Standard Terms and Conditions required by each grant.

**Reports:****Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other related records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure and technical reports are submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$4,453,731; FY 09 est \$23,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2009, NESDIS expects to continue funding amendments to the cooperative agreements for their three Institutes (CICS, CIMSS, and CIOSS). NESDIS will also continue to provide funding to other NOAA Cooperative Institutes (CIRA, CIRES, CIMMS, CICOR and JIMAR). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments. Department Administrative Order 203-36 dated May 15, 1985 (Department of Commerce Grants Administration) and the NOAA Grants and Cooperative Agreement Interim Policy Manual dated February 2002.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ingrid Gulch Cooperative Research Program  
DOC/NOAA/NESDIS/STAR, 5200 Auth Road, Room 701,

, Camp Springs, Maryland 20746 Phone: 3017638252 Fax: 3017138108

**Website Address:**

NOAA Homepage: [www.noaa.gov](http://www.noaa.gov); NESDIS Homepage: [www.nesdis.noaa.gov](http://www.nesdis.noaa.gov), STAR Homepage <http://www.star.nesdis.noaa.gov/star/index.php>; Grant opportunities and request for applications at <http://grants.gov>

**RELATED PROGRAMS:**

11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cooperative Institute for Meteorological Satellite Studies (CIMSS), University of Wisconsin; Cooperative Institute for Climate Studies



(CICS), University of Maryland; Cooperative Institute for Oceanographic Satellite Studies (CIOSS), Oregon State University; Cooperative Institute for Research in the Atmosphere (CIRA), Colorado State University; satellite meteorological research and development in atmospheric, oceanic, and land sciences; marine bio-optical calibration of ocean color satellite-derived data; application of earth satellite data to oceanographic processes, structure, and events; environmental risk assessment integrative systems approach with GIS/RS; ground-based demonstration of instrumentation for measuring wind profiles from space, satellite data assimilation for numerical and climate prediction models. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated technically and administratively primarily for scientific merit and application to the goals and objectives of NOAA. The qualifications of the principal investigator are considered and costs are subject to negotiation.

#### **11.441 REGIONAL FISHERY MANAGEMENT COUNCILS**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act., 16 U.S.C 1852.

##### **OBJECTIVES:**

The objectives of the eight Regional Fishery Management Councils are to prepare, monitor and revise fishery management plans and data collection programs for domestic and foreign fishing within the 200-mile U.S. Exclusive Economic Zone (EEZ). This is done with approval and implementation by the Secretary of Commerce who has stewardship responsibility for living marine resources in the EEZ under the MSFCMA.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds are used by the eight Regional Fishery Management Councils to prepare plans and amendments to recommend to the Secretary of Commerce, under the MSFCMA.

##### **Applicant Eligibility:**

Eight Regional Fishery Management Councils (New England, Mid-Atlantic, South Atlantic, Gulf of Mexico, Caribbean, Pacific, North Pacific and Western Pacific) as established by the MSFCMA. These councils can best be described as "quasi-government" because they are sponsored by the Federal government, specifically funded by Congress but the members are appointed by the Secretary of Commerce from the private sector; they are not Federal employees.

##### **Beneficiary Eligibility:**

This program benefits commercial and recreational fishing enterprises in the EEZ. Foreign fishing enterprises may also benefit from this program if authorized to conduct fishing operations. U.S. consumers will benefit as a result of availability of seafood. Imports may be reduced and exports may be increased.

##### **Credentials/Documentation:**

Generally a work plan for the funding year. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the

requirements of 15 CFR Parts 14 and 24, as applicable.

##### **Award Procedure:**

Applications are initially evaluated by the respective National Marine Fisheries Service Regional Administrators and are forwarded to NMFS Headquarters for final approval. They are then forwarded for processing to the Grants Management Division, Office of Administration, NOAA.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Multi-year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards can be approved for one year due to annual Congressional appropriation schedule. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: As agreed to in the Standard Terms and Conditions document for each grant.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in 50 CFR Part 605, Guidelines for Council Operation/Administration. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

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

##### **Records:**

Records will be retained in accordance with provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

##### **Account Identification:**

13-1450-0-1-306.

##### **Obligations:**

(Project Grants) FY 08 \$22,928,589; FY 09 est \$27,000,000; FY 10 est not reported.

##### **Range and Average of Financial Assistance:**

\$890,400 to \$2,451,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants focus on NEPA; Ecosystem Management; Fisheries Management; Database and Information Processing; Marine Protected Areas & Sanctuaries; Strategic Planning & Outreach; Capacity Reduction; Research, Planning and Coordination; Marine Turtle Conservation; and Coral Reef. Fiscal

Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter 6; the Statement of Organization, Practices, and Procedures, and 50 CFR Part 605 Operational Guidelines for Council Operations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

#### **Regional or Local Office:**

See Regional Agency Offices. Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. Email: barbara.fosburg@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113). Email Kevin.Ford@noaa.gov or Stephen.Freese@noaa.gov. Pacific Islands Region: 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. Email: scott.bloom@noaa.gov Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824-5324. Fax: (727) 824-5364 Email: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802-4213. Telephone: (310) 980-4239. Fax: (562) 980-4047. Email: trisha.culver@noaa.gov.

#### **Headquarters Office:**

None None, Silver Spring, Maryland 20910 Phone: None

#### **Website Address:**

[http://www.nmfs.noaa.gov/sfa/domes\\_fish/index.htm](http://www.nmfs.noaa.gov/sfa/domes_fish/index.htm).

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cooperative Research; Administrative Cooperative Agreement; Ecosystem Management. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This program is non-competitive. It is Congressionally mandated.

### **11.443 SHORT TERM CLIMATE FLUCTUATIONS**

#### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

#### **AUTHORIZATION:**

Federal Aviation Act, 49 U.S.C 1463; Federal Grant and Cooperative Agreement Act, Public Law 95-224, 15 U.S.C 313.

#### **OBJECTIVES:**

To support studies relevant to the diagnosis and prediction of short-term climate fluctuations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The program at the National Weather Service/National Centers for Environmental Prediction/Climate Prediction Center (CPC) is based on the availability of funds and the relevance of a proposal to CPC's mission: "To maintain a continuous watch on short-term climate fluctuations and to diagnose and predict them." Potential applicants may submit a written proposal with a

budget sheet for review and consideration. The proposal must follow application procedures, set by the NOAA/Grants Management Division. Cost-sharing by each recipient is usually 5 percent.

#### **Applicant Eligibility:**

Public and private educational institutions, and other persons in institutions qualified to conduct climate-related studies to provide climate-related services.

#### **Beneficiary Eligibility:**

The ultimate benefit will go to the general public through improved methods and knowledge of the climate system and potentially improved forecasts.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for Federal Assistance (SF-424) with the proposal and budget estimate are required.

#### **Award Procedure:**

Applications are approved within NOAA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

New applications: 120 days (30 days for review/evaluations, 90 days for processing). Renewals: 90 days (30 days for review/evaluations, 60 days for processing).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals are available, subject to project performance and availability of funds. The procedure is the same as a new application.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Awards are generally made for 1-year periods. See the following for information on how assistance is awarded/released: Funds are released as needed by recipient, usually once a month.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly expenditure reports and final reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients that are States, local governments, non-profit organizations (including hospitals), and institutions of higher learning are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial

organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations, and with 10 CFR 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - No obligations were recorded for FY08. Estimates for future funding are not currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

n/a Climate Prediction Center, National Centers for Environmental Prediction, National Weather Service, World Weather Building, 5200 Auth Rd, Camp Springs, Maryland 20746 Phone: (301) 763-8000 Ext. 7512.

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) University of Maryland - Cooperative Institute, Climate Studies; (2) UCAR - Scientific Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals reviewed and approved on basis of relevance to program objectives, potential for service, cost effectiveness, and availability of funds.

**11.444 HAWAII SUSTAINABLE FISHERIES DEVELOPMENT (AQUACULTURE PROGRAM)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Executive Order 13-089., 13 U.S.C 758b.

**OBJECTIVES:**

The development of commercially feasible technology for high-value marine finfish in the United States. The ultimate goal of the Hawaiian Fisheries Development project is to increase the availability of marine finfish for aquaculture and stock enhancement purposed in the U.S., with the secondary goal of promoting the development of a sustainable commercial aquaculture industry for high-value species.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Establish a consistent source of supply to satisfy the growing market for marine finfish. Funds are appropriated by Congress for the Oceanic Institute.

**Applicant Eligibility:**

Private nonprofit institution operating for scientific purposes.

**Beneficiary Eligibility:**

The beneficiaries of the aquaculture program would be anyone/general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Projects approved for funding will be submitted to the NOAA Grants Office for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time for awards is expected to range from 90 to 150 days. That includes processing of the award through the NMFS, NOAA Grants and DOC.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally awarded for a 12-month period. Financial status reports are completed and submitted. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress and financial reports are due 30 days after each calendar half. An annual report is due 90 days after each award period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents statistical reports, and other records of grantees or subgrantees are required to be retained in accordance with provisions of 15 CFR Part 14 for institutions of higher education or other nonprofit organizations, and with 15 CFR Part 24 for State and local governments from the date of the financial report. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$750,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Average \$654,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The goal of the Hawaiian Fisheries Development (HDF) Project is the generation and transfer of aquaculture information, technologies and products that can be applied to restoration and maintenance of sustainable fish production, reef ecosystems, and fisheries of the United States. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pacific Island Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Regional or Local Office:**

None. Pacific Island Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Headquarters Office:**

N/a n/a, Silver Spring, Maryland 20910 Phone: n/a

**Website Address:**

<http://www.pifsc.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.445 HAWAII STOCK MANAGEMENT PROGRAM**

(SEMFISH)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson Fishery Conservation and Management Act, 16 U.S.C 1854 e.

**OBJECTIVES:**

Multi-year effort to develop and test the technology of a marine stock management program in Hawaii. The marine hatchery- and-release stock enhancement concept may afford the State of Hawaii a powerful management option for protecting and enhancing some of Hawaii's depleted nearshore fishery resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to develop and test the technology for a marine stock management program in Hawaii. This Hawaii Stock Management project is developing and testing technology for replenishing depleted near shore (marine) populations.

**Applicant Eligibility:**

Private nonprofit institutions operating for scientific purposes.

**Beneficiary Eligibility:**

The beneficiaries of the Hawaiian stock management program would be anyone/general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Projects approved for funding will be submitted to the NOAA Grants Office for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time for awards is expected to range from 90 to 150 days. That includes processing of the award through the NMFS, NOAA Grants and DOC.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period. Financial status reports are completed and submitted. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress and financial reports are due 30 days after each calendar half. An annual report is due 90 days after each award period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education or other nonprofit organizations and with 15 CFR Part 24 for State and local governments. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - No estimate for future funding is currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The long-term goals of the Hawaii Stock Management program is to evaluate marine stock enhancement technology to replenish depleted populations of near shore fish in Hawaii. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Islands Fisheries Science Center: Bruce Mundy, Pacific Islands Fisheries Science Center, National Marine Fisheries Service, 2570 Dole Street, Honolulu, HI 96822. Telephone: (808) 983-5374. Fax: (808) 983-2902. E-mail: Bruce.Mundy@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://www.pifsc@noaa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.450 AUTOMATED FLOOD WARNING SYSTEMS (AFWS)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Commerce and Trade, 15 U.S.C 313; Navigation and Navigable Waters, 33

U.S.C 883d.

**OBJECTIVES:**

The objective of the Automated Flood Warning Systems Program is to provide funding to communities with flood or flash flood problems that affect safety of life and property to assist them in creating, renovating, or enhancing Automated Flood Warning Systems (AFWS).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are used by entities who can demonstrate they have significant flood and flash flood risk, and ability to operate and maintain an AFWS. Data received by the NWS will be redistributed to the public without restrictions.

**Applicant Eligibility:**

Eligible applicants are States, counties, municipalities, educational institutions, and non-profit organizations.

**Beneficiary Eligibility:**

Since the basic goal of the AFWS program is to effectively reduce loss of life and damage resulting from flooding, benefits accrue to the general public.

**Credentials/Documentation:**

The applicant must describe the organizational entity that will administer the AFWS on a long-term basis. Documentation may also include a copy of by-laws for non-profit organizations, or other supporting documentation that affirms the viability of the organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

An initial administrative review/screening will be conducted to determine compliance with requirements/completeness. All proposals will then be evaluated and individually ranked in accordance with the assigned weights of published evaluation criteria by an independent peer panel review. Three to seven NOAA/NWS experts may be used in this process. The merit reviewers ratings are used to produce a rank order of the proposals. The Selecting Official then makes final award recommendations after considering the peer panel reviews, selection factors listed in the Federal Register Notice, and funding availability. The Selecting Official's recommendations will be in rank order unless the proposal is selected out of rank order based upon one or more of the selection factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to be about four months, which includes processing the award through NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Grant period is up to 12 months for this program. Award of a grant does not

preclude the applicant from applying for subsequent grants.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The award period shall not exceed 12 months. Funds are disbursed through the U.S. Treasury Payment System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual technical and financial progress reports are due within 30 days of the end of the evaluation period. Final reports are due within 90 days of the expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - No estimate available for future funding.

**Range and Average of Financial Assistance:**

No new awards were made during the period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None. AFWS Operations Manager, Hydrologic Services Division, National Weather Service Eastern Region - W/ER2, Airport Corporate Center, 630 Johnson Avenue, Bohemia, NY 11716. Telephone: (631) 244-0112.

**Headquarters Office:**

AFWS Operations Manager Hydrologic Services Division, National Weather Service Eastern Region - W/ER2, Airport Corporate Center, 630 Johnson Avenue, Bohemia, New York 11716 Phone: 6312440112

**Website Address:**

<http://www.noaa.nws.gov>

**RELATED PROGRAMS:**

11.462 Hydrologic Research; 11.467 Meteorologic and Hydrologic Modernization Development; 11.468 Applied Meteorological Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past awards included the following: Three Rivers Wet

Weather of Pittsburgh was awarded \$100,000 to upgrade an existing gauge network with radio telemetry and integrate its data stream with that from other flood warning systems. The City of Fort Wayne, IN, was awarded \$95,000 to upgrade the city's existing AFWS with new hardware. The County of Augusta, VA., was awarded \$48,135 to add additional rainfall and stream gauges. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria are flood risk, technical merit, qualification of applicants, and cost effectiveness.

**11.452 UNALLIED INDUSTRY PROJECTS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Saltonstall-Kennedy Act, 15 U.S.C 713c-3(d); Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661-666c; Department of Commerce Appropriation Act of 1999, Public Law 103-211.

**OBJECTIVES:**

To provide grants and cooperative agreements for biological, economic, sociological, public policy, and other research and administration projects to benefit U.S. fisheries industries and contribute to the economic and social welfare of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for ensuring the safety, quality and integrity of U.S. fishery products; also, to provide funds to the five States bordering the Gulf of Mexico, for projects or other measures designed to alleviate the long-term effects of disasters on the Gulf's fishery resources and associated habitat. To facilitate the administration, coordination and implementation of the research activities of the Cooperative Institute for Fisheries Molecular Biology (FISHTEC). The goal of FISHTEC is to develop, test, and apply new technology in molecular biology for use in management of commercial and recreational marine fisheries. Emphasis of the research program is placed on development of molecular genetics techniques to identify and evaluate the status of fish stocks/populations subject to fishing pressure and/or environmental impacts. To support the implementation of community-based demonstration projects in the U.S. western Pacific that promote the development of fishery-related industries and the economic self-sufficiency of native Pacific islanders and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research and management activities for high-priority marine and estuarine resources, especially for species and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; Federal and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS office/region/science center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approval time is expected to range for 90 to 120 days, which includes processing of the award through the NMFS, NOAA and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding, extend the period of an award to increase funding, or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period. In some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi annually. Progress reports summarize work accomplished and explain situations where expected work has not been. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi annually. Progress reports summarize work accomplished and explain situations where expected work has not been.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$9,239,991; FY 09 est \$0; FY 10 est \$0 - Estimates for future funding not currently available.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: \$50,000 to \$1,361,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Southeast: Restoration of the bay scallop in Florida - an integrated approach to stock enhancement and evaluation of benefit; Mississippi's shellfish restoration and enhancement project; Monitoring the impact of environmental perturbations on commercial fishermen; Restoration and research of Alabama marine fisheries affected by natural disaster. Develop methods to restore Louisiana oyster habitat by recycling oyster shell and comparing alternative cultch materials for restoring oyster reefs. Provide funding for marketing domestic shrimp. Pacific Island: Native Fishery Observer Program; Hawaii Seafood Program; Western Pacific Demonstration Program Projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for Institutions of Higher Education, A-87 for State and Local Governments, and with A-122 for Nonprofit Organizations. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Shawn Carey, NMFS, Alaska Regional Office, P.O. Box 12668, Juneau, AK 99802. Telephone: (907) 586-7280. E-mail: shawn.carey@noaa.gov  
Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov  
Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526-4461. Email: Kevin.Ford@noaa.gov  
Southeast: Jeffrey Brown, State/Federal Liaison Branch, 263 13th Avenue South, St. Petersburg, FL 33701. Telephone: (727) 824-5364. Fax: (727) 824-5364. E-mail: jeff.brown@noaa.gov  
Southwest: Patricia Culver, Federal Program Officer, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4033. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov  
PIRO: Scott Bloom, 1601 Kapiolani Blvd, Suite 1110, Honolulu, HI 96814. Telephone: (808)944-2218. Fax: (808)973-2941. E-mail: scott.bloom@noaa.gov

**Headquarters Office:**

Dan Namur Office of Management and Budget, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: (301) 713-1364 Fax: (301) 713-2258

**Website Address:**

<http://sero.nmfs.noaa.gov/grants/uiip.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Southeast: Funded research to restore bay scallops in Florida through stock enhancement and funded projects to eradicate exotic plants from shorelines to reduce beach erosion. Provided funds to restore oyster beds in Louisiana, Mississippi, and Alabama that were damaged as a result of hurricanes and flooding. Funded removal of underwater obstacles to navigation and fishing that were left after hurricanes. Direct financial assistance to shrimp fishers and blue crab fishers in the Southeast U.S. and development of programs to market shrimp and blue crabs. PIRO: Hawaii Seafood Safety and Marketing; Fishery Observer Program, Longline Vessel Procurement and Training, Skip Jack Fishing Training, Fishpond Revitalization Project, Fishermans Cooperative Market, By-catch Utilization Projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals may be selected from several sources, e.g., unsolicited proposals, Congressionally-mandated projects, applications received as a result of notices published in the Federal Register. Recipients and sub recipients are subject to all applicable Federal laws and Federal and Departmental policies, regulations, and procedures applicable to Federal financial assistance awards.

**11.454 UNALLIED MANAGEMENT PROJECTS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Department of Commerce Appropriation Act of 1999.  
; Magnuson Fishery Conservation and Management Act, 16 U.S.C 1854e; Fish and Wildlife Coordination Act of 1956,, 16 U.S.C 661; National Fisheries Research and Development Program, 15 U.S.C 713c3(d).

**OBJECTIVES:**

Projects provide economic, sociological, public policy, and other information needed by Federal and State natural resource administrators for conserving and managing fishery resources and protected species and their environment in Federal, State, and U.S. territorial waters. Information derived from project studies may consist of econometric data, user profiles, sociological case studies, policy and systems analyses, and other knowledge, and is used in such decisions as resource allocations, total and zonal harvest determinations, and initial apportionment of harvesting rights under controlled access management regimes. Primary users of project information include the National Marine Fisheries Service, Regional Fishery Management Councils, Interstate Marine Fisheries Commissions, State, and other Federal resource management agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of management activities for high-priority marine and estuarine resources, especially for species and/or their habitat currently under or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and state recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month or 18-month period, but in some instances, award periods may extend beyond these periods, or may be completed in less time. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. Funds are requested through the Financial Management System as part of the Department of Treasury's Automated Standard Application for Payment System (ASAP). See [http://www.fms.treas.gov/asap/pr\\_gettingstarted.html](http://www.fms.treas.gov/asap/pr_gettingstarted.html). See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**



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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$115,706,448; FY 09 est not reported.; FY 10 est not reported. - Funding estimates for future years are not currently available.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: \$146,500 to \$1.27 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Alaska Region: Development of programs seeking to stabilize and restore fisheries access to the Gulf of Alaska community-based small boat fleets and assist in the creation of new fisheries opportunities. Provide research assistance to aid in run forecasting and restoration of Yukon River salmon. These activities are carried out by 5 grants to Alaska recipients. Northeast Region: Work in 2005 focused on: A 6-day research video cruise to the northern portion of Nantucket Lightship Closed area (NLCA). The survey concentrated on both high and low density of scallops. A multistage centric systematic survey on two spatial scales was compared to a simple random survey with 300 stations. This work allows for statistical comparisons between the two survey designs including comparisons of densities and size frequencies of sea scallops, other macroinvertebrate and sediment compositions; Conduct research on a turtle excluder dredge in two phases. In phase 1, design and fabricate a prototype scallop dredge frame, field test the frame on commercial trips, and modify the design as appropriate. The dredge will consist of two components; (1) a chain mat that had previously designed and tested that prevents turtles from entering the bag dredge and (2) a new concept for construction of the dredge frame to keep turtles from snagging on top of the dredge. The second phase will commence when an acceptable design has been achieved and will consist of extensive scientific field testing of the dredge. Southeast Region: Development of programs to better document fishing effort in the shark fishery, south Atlantic snapper-grouper fisheries, and the U.S. Virgin Islands commercial fisheries. Development of a Gulf of Mexico shrimp trawl bycatch device testing project. Continuation of king mackerel stock research. Cooperative research to study the life histories of various reef fish in the Southeast. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular Nos. A-21 (educational institutions), A-87 (State and local governments) or A-122 (nonprofit organizations). For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS.

E-mail: shawn.carey@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117.

Telephone: (978) 281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Regional Office, 7600 Sand Point Way NE.,

Seattle, WA 98115. Telephone: (206)526-6150. Fax: (206) 526-6426. E-mail: Joe.Scordino@noaa.gov. Southeast: Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727)551-5760. Fax: (727) 824-5364. E-mail: Robert.sadler@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802-4213. Telephone: (562) 980-4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov. Pacific Island: Scott Bloom. Telephone (808) 944-2218. E-mail: scott.bloom@noaa.gov.

**Headquarters Office:**

Dan Namur Office of Management and Budget,, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: (301) 713-1364 Fax: (301) 713-2258

**Website Address:**

Alaska: <http://www.fakr.noaa.gov>, 1Southeast:CRP: <http://sero.nmfs.noaa.gov/grants/crp.htm>, All other Unallied Management: <http://sero.nmfs.noaa.gov/grants/ump.htm>, Northwest:: <http://nwfsc.noaa.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Alaska: Alaska Coastal Communities Coalition; Support efforts to stabilize and restore fisheries access to Gulf of Alaska Community-based small-boat fleets. Create and activate plans to do run forecasting and restoration of Yukon River salmon. Support program reports on current events in the fisheries arena of the major fishing nations of the Pacific Rim. Northeast: Examining the Effect of the 2004 Pulse Fishing Event on the Georges Bank and Closed Area Benthic Community, Development of an Interactive Video Map Detailing the Georges Bank and Mid-Atlantic Benthic Community, 2005 Fishery Independent Survey of Selected Hard Bottom Areas in Southern New England, Continued Investigation of Marine Biotoxins in the Atlantic Sea Scallop Resource. Southeast: Improved data collection for discards of shark, and south Atlantic snapper-grouper. Cooperative research to better estimate king mackerel stock mixing and abundance. Pilot projects to collect U.S. Virgin Islands reef fish data, test shrimp trawl bycatch devices, and to test reef fish gear in the eastern Gulf of Mexico. Improved collection of life history data on hogfish, goliath grouper, and Gulf of Mexico vermilion snapper and red grouper. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register, FedBizOpps, or Congressionally mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.455 COOPERATIVE SCIENCE AND EDUCATION PROGRAM**

Cooperative Marine Education and Research Programs (CMER); Joint Institute for Marine Observation (JIMO); Cooperative Unit of Fisheries Education and Research (CUFER); Cooperative Institute of Fishery Oceanography (CIFO); Cooperative Education and Research Program (CERP); Cooperative Institute Agreement (CIA); Cooperative Institute for Marine Resources Studies (CIMRS); Cooperative Institute for Marine and Atmospheric Studies (CIMAS); and Cooperative Institute for Arctic Research (CIFAR); Joint Institute for the Study of the Atmosphere and Oceans (JISAO).

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act, 16 U.S.C 753a; Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Department of Commerce Appropriation Act of 1999.

**OBJECTIVES:**

To support through grants and cooperative agreements, enduring partnerships between the Federal government and institutions of research and higher education for cooperative science and education on marine issues, especially

living marine resources and their habitat, that confront local, regional, and national resources managers; also, to award grants and cooperative agreements to develop innovative approaches and methods for marine and estuarine science and education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research and higher education projects on high-priority marine and estuarine resource issues, especially resources and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance are State, U.S. territorial, and private institutions of higher learning and education, especially universities and colleges, with which the National Marine Fisheries Service or the National Oceanic and Atmospheric Administration has entered into, or may enter into, an enduring partnership for purposes of research and education on the marine environment. Also included are private and public research organizations affiliated with institutions of higher learning, and national and international organizations and programs dedicated to marine and estuarine research, education, and outreach.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conversation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the appropriate NMFS Science and Research Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional research and education goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 150 days, which includes processing of the award through the NMFS and NOAA.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi-annually.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,950,692; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Alaska Center: Through support of JISAO work was carried out on an atlas of the occurrence and distribution of eggs and larvae of north Pacific fishes sampled during fisheries oceanography cruises; study of biological and physical factors affecting survival of walleye pollock eggs and larvae in the Gulf of Alaska and their recruitment to the commercially fished population; groundfish stomachs were read to determine the importance of different Bering Sea and Gulf of Alaska prey species; research cruises were conducted to place and recover Atka mackerel tags; and a research cruise was conducted to determine the effects of fishing on the distribution of pollock. Northeast Center: Cooperative programs with universities were supported, primarily for training graduate students: University of Massachusetts, Rutgers University, Virginia Institute of Marine Science and the University of Rhode Island. Northwest Center: Undergraduate and graduate internships; Salmon survival and life-stages research: disease and anthropogenic factors, estuarine influences, ocean ecology, predation, and genetics; Ground fish research: stock assessment and habitat Southeast Center: Coastal fisheries habitat management research. Southwest Center: Grants were awarded to the University of Hawaii

and the University of California to support undergraduate and graduate student research, support of educational programs in fisheries research, marine satellite data processing and research vessel support. Cooperative research studies are between NMFS/JIMAR and JIMO. Research on highly migratory fish species in the Atlantic. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

See Regional Agency Offices. Program contacts: Alaska: Mr. James M. Coe, Deputy Director, Alaska Fisheries Science Center, 7600 Sand Pt. Way NE., Bldg. 4, Seattle, WA 98115-6349. Telephone: (206) 526-4000. Fax: (206) 526-4004. E-mail: jim.coe@noaa.gov. Northeast: Dr. Ken Sherman, Chief, Office of Marine Ecosystem Studies, Northeast Fisheries Science Center, 28 Tarzwell Drive, Narragansett, RI, 02882. Telephone: (401) 782-3211. Fax: 401-782-3201. E-mail: Kenneth.Sherman@noaa.gov. Northwest: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. E-mail: Bob.Iwamoto@noaa.gov. Southeast: Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701, Telephone (727) 824-5324. Fax: (727) 824-5364. Southwest: Dr. Richard Neal, Deputy Science Director, Southwest Fisheries Science Center, 8604 La Jolla Shores Drive, La Jolla, CA 92038-1508. Telephone: (858) 546-7066. Fax: (858) 546-7003. E-mail: Richard.A.Neal@noaa.gov.

#### **Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

#### **Website Address:**

Alaska Center: <http://www.afsc.noaa.gov/>. Northeast Center: CMER: <http://www.nefsc.nmfs.gov/cmcr/>. Southwest Center: <http://swfsc.nmfs.noaa.gov/>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: . View Imported Data Alaska Center: JISAO at the University of Washington was supported to provide for the study of biological and physical factors affecting the recruitment of walleye pollock in the Gulf of Alaska and Bering Sea to improve our ability to predict year class recruitment to the commercial fishery; to study the acoustic properties of fish of the north Pacific, develop visualization tools to increase the understanding of using sound to survey fish populations, investigate equipment and methods used to acoustically enumerate, size, and map fish distributions, and to foster the training of students and researchers in the use of acoustics to assess fish populations; and to provide for the study of food habitats of groundfish, the effects of fishing on the distribution of pollock in the Gulf of Alaska and the distributional behavior of Atka mackerel. Research at CIFAR was conducted on the use of genetic markers to describe the population structure of Pacific Ocean Perch and to use genetics to study the possibility of two species of rougheye rockfish. Northeast Center: Research to support the management of living marine resources. Evaluating the potential effects of habitat alterations and determine if benthic fish assemblages and biomass differ at and away from sand ridges. Documenting and understanding the behavioral interactions between cetaceans and trawl fishing gear in the Western Atlantic. Also, research aimed at studying the decline of Atlantic bluefish stocks. Focus on investigating the relationship between bluefish and striped bass populations, changes in bluefish food stocks, whether the bluefish have declined or migrated elsewhere, and other factors which bear upon the status of bluefish and striped bass stocks. Continuation of a program which has developed an extensive database on Western North Atlantic right whales and other protected marine species. A cooperative agreement was established to conduct Atlantic Salmon Communication Network Assessment to Focus Education, Outreach and

Collaboration. A fish habitat study to be carried out by undergraduate students applying fishery techniques, water quality monitoring and GIS methodology in characterizing selected fish habitats in an urbanized tributary of the Chesapeake Bay estuarine system. Southeast Center: Characterizing conditions under which fisheries and cetaceans co-occur along the eastern U.S. coast. Funded research to verify and improve age determination in endangered marine turtle species. Establishing a web-based resource to expand opportunities for under-represented groups in the marine and environmental sciences. Northwest Center: Feeding and growth of juvenile salmonids off the Oregon and Washington coasts; ocean survival of salmonids relative to migrational timing, fish health, predation and oceanographic conditions in the Columbia River plume and adjacent coastal waters; disease and survival of juvenile salmon in the estuarine and nearshore ocean environment; undergraduate and graduate research, groundfish stock assessment and habitat research. Southwest Center: JIMO at the University of California was supported to provide satellite data processing; research vessel for "Egg and larval fish production from marine ecological reserves" cruise; genetic population structure of central California coastal Salmonid populations; cooperative studies of Pacific Coast salmon; ocean and estuarine physiological ecology of salmon. JIMAR at the University of Hawaii was supported to provide pelagic fisheries visiting scientists program; tropic ecology and structured-associated aggregation behavior in Bigeye and Yellowfin Tuna in Hawaii-based commercial longline fishery; distribution, histories, and recent catch trends with six fish taxa taken as incidental catch by the Hawaii-based commercial longline fishery; recreational fisheries meta data preliminary steps; development of oceanographic atlases for Pelagic and insular fisheries and resource management of the Pacific basin; pop-Off satellite archival tags to chronicle the survival and movements of blue sharks following release from longline gear; developing biochemical and physiological predictors of long term survival in released blue shark; survivorship, migration, and diving patterns of sea turtles released from commercial longline gear determined with pop-up satellite archival transmitters; pelagic fisheries research program management; pelagic fisheries research management-modeling and tag design; and Hawaii regional tuna tagging project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected following consultation between NMFS fisheries centers scientists and universities with established memoranda of understanding or agreement, and subject to availability of funds. Proposals may be reviewed by coordinating or technical committees, based on joint determination by these reviewers and in consideration of the informational needs of the State regional and Federal marine resource management agencies, and on peer-review comments related to the technical quality of the proposal. All proposals must comply with all OMB, DOC, and NOAA grants policies and procedures.

#### **11.457 CHESAPEAKE BAY STUDIES**

(Chesapeake Bay Studies)

#### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

#### **AUTHORIZATION:**

Commerce and Trade, 15 U.S.C 1540; Department of Commerce and Related Agencies Appropriations Act of 2002, Public Law 102-567; NOAA Authorization Act of 1992; Fish and Wildlife Act of 1956, 16 U.S.C 753a; Fish and Wildlife Coordination Act, 16 U.S.C 661-666c.

#### **OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the living marine resources of Chesapeake Bay. In addition, assistance is provided for the Chesapeake Bay Watershed Education and Training Initiative (B-WET). The B-WET Program will work with and support organizations that provide environment-based education to students, teachers, and communities throughout the Chesapeake Bay watershed. In addition, assistance is provided for research and restoration of Submerged Aquatic Vegetation (SAV) in the Chesapeake Bay.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to improve surveys and fisheries statistics, investigate living marine resource linkages with dependent habitats and conduct research in support of fisheries stock assessments in conjunction with cooperative, long-term data collection programs for the Bay's living marine resources. Funding can also be used to support environmental-based education, expand student Chesapeake Bay or stream outdoor experiences, improve opportunities for teachers to receive professional training in the area of environmental education, and promote internship opportunities for students and teachers in the field of environmental education.

**Applicant Eligibility:**

Eligible applicants are institutions of higher education, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, State, local and Indian tribal governments.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, independent school divisions, nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the NOAA Chesapeake Bay Office, and then are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national and regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for Department of Commerce clearance and processing procedures. In addition, funds may be provided on a sole source basis for priority projects for the stewardship of Chesapeake Bay resources.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If an application is unacceptable, the reasons are fully stated to the applicant.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years, however proposals may be subject to a technical evaluation. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants/cooperative awards are normally made for one year. Assistance is released via the NOAA Financial Assistance Disbursement System (FADS). Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12-months, or may be completed in less than 12-months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$7,717,411; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1) Valuable information has been obtained under this program. All projects are State and Federal cooperative efforts to implement and develop fishery stock assessment programs in Chesapeake Bay. The following are a few of the highlights: Developed a randomized sampling design for the blue crab recreational fishery in Chesapeake Bay; Developed and implemented the Baywide winter dredge survey for blue crab; Designed and field-tested multiple species monitoring program to be conducted on a Baywide scale; Developed a multispecies modeling approach for Management of the Coastal fishery for Atlantic menhaden; Verified techniques to biochemically measure the age of blue crab, and; completed stock assessments for blue crab, oyster, and hard clam. Planted 15 acres of eelgrass (SAV) from seed on the Piankatank (VA) and Patuxent (MD) rivers 2) Educated more than 35,000 students about the Chesapeake Bay watershed and their greater environment. Provided more than 6,700 teachers with professional development opportunities in the field of environmental education. Developed strong partnerships among environmental education organizations. Forged partnerships with the Departments of. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Act of 1956. Allowable cost will be determined in

accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. NOAA Chesapeake Bay Office, 410 Severn Avenue, Suite 107A, Annapolis, MD 21403. Contact: Derek Orner, Fishery Biologist or Shannon Sprague, Education Coordinator. Telephone: (410) 267-5660. Fax: (410) 267-5666. E-mail: Derek.Orner@noaa.gov or Shannon.Sprague@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://noaa.chesapeakebay.net/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Developed better methods to collect and plant eelgrass (SAV) seeds; set up facilities to increase the availability of seeds and other planting materials for planting lower salinity SAV species; conducted site assessments to choose sites for future large scale SAV planting projects. Developed better methods to collect and plant eelgrass (SAV) seeds; set up facilities to increase the availability of seeds and other planting materials for planting lower salinity SAV species; conducted site assessments to choose sites for future large scale SAV planting projects For the B-WET Program, all projects support the education and outreach goals of the Chesapeake 2000 agreement. The following are examples of funded projects in fiscal year 2004. School Leadership in Urban Runoff Reduction (Living Classrooms Foundation); the Teachers Training Institute at Hard Bargain Farm (Alice Ferguson Foundation); Bay Grasses in Classes (MD DNR); Chesapeake Connections (Arlington Echo Outdoor School); and Chesapeake Classrooms (Chesapeake Bay Foundation). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Consideration is given to projects that directly relate to the interstate/governmental Chesapeake Bay 2000 Agreement. Consideration is measured amongst several criterion including: project description and conceptual approach for resolution; soundness of project design/technical approach; project management and experience and qualification of personnel; justification and allocation of the budget in terms of the work to be performed; demonstration of project partnerships; and continued teacher involvement and communication.

**11.459 WEATHER AND AIR QUALITY RESEARCH**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Clean Air Act Amendments of 1990, 42 U.S.C 7403; National Climate Program Act, 15 U.S.C 2901; Federal Aviation Act, 49 U.S.C 1463; Weather Service Organic Act, 15 U.S.C 313.

**OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate and air quality fluctuations and trends. To develop the base of scientific knowledge for better informed decisions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, science assessments, advisory services, and operational systems as they relate to specific programs.

Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis. Grants and contracts currently exist with National Acid Precipitation Assessment Program (NAPAP) participants.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutions, laboratories; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, climate, and air-quality research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with OAR.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally for a period of one year. See the following for information on how assistance is awarded/released: As described in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Quarterly performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for the purpose for which the grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$436,269; FY 09 est \$500,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: One to three contracts per year are anticipated. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

na Director, Office of Weather and Air Quality, Office of Oceanic and Atmospheric Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-9397

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Numerical weather prediction using global weather experiment data; (2) prediction of planetary circulation; (3) implementation of sea level network in Indian Ocean; (4) dynamical forecast of El Nino/Southern Oscillation; (5) circulation of the SW tropical Pacific Ocean; and (6) analysis of the effects of atmospheric deposition of nitrates and sulfates on surface water chemistry. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.460 SPECIAL OCEANIC AND ATMOSPHERIC PROJECTS**

Ocean Exploration

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Omnibus Public Lands Management Act of 2009, Public Law 111-11.

**OBJECTIVES:**

To explore the Earth's largely unknown oceans in all their dimensions for the purpose of discovery and the advancement of knowledge, using state of the art technologies in evolutionary and revolutionary ways within Oceanic and Atmospheric Research (OAR).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements and grants may be used for research and development, education and training, and advisory services. They may also be used for operational systems as they relate to specific programs. Specific restrictions,

other than those mandated for grants and cooperative agreements are evaluated on an individual program basis.

**Applicant Eligibility:**

As stated in NOAA special announcements or applicable reports in support of NOAA's mission.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations, technical reviews, administrative reviews, and external reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from the time of proposal submission to NOAA/OAR.

**Appeals:**

None anticipated.

**Renewals:**

By negotiation with the OAR and subject to availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In accordance with the applicable NOAA Report or special NOAA announcement and in accordance with FARB approvals. See the following for information on how assistance is awarded/released: In accordance with the applicable NOAA Report or special NOAA announcement and in accordance with FARB approvals.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial and performance reports will be required quarterly at a minimum.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as

stipulated in the award document.

**Records:**

Recipients are expected to maintain complete records for each grant and/or cooperative agreement to ensure funds are used for the purpose for which the award was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$11,485,564; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants and cooperative agreements are awarded as applicable. For example, the Ocean Exploration Science Program sponsors competitive, peer-reviewed exploration projects to collaborate with and augment NOAA intramural research programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NOAA Grants and Cooperative Agreements Policy Manual. Allowable cost will be determined in accordance with 2 CFR 225 for State and local governments and Indian Tribes; 2 CFR 230 for nonprofit and for-profit organizations; 2 CFR 220 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. OAR, Laboratory, or Sea Grant offices, depending upon the particular program. 1335 East-West Highway, Silver Spring, MD 20910.

**Headquarters Office:**

n/a Director, Ocean Exploration and Research, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-1010

**Website Address:**

<http://www.explorer.noaa.gov>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.449 Independent Education and Science Projects and Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Smithsonians Sant Ocean Hall; Lophelia II Deepwater Coral Expedition for Reefs, Rigs, and Wrecks; Search for the Slave Ship Trouvadore and the US Navy Ships Chippewa and Onkahey; Exploring Coral Reef Sustainability with New Technologies in Bonaire; Exploring the Inner Space of the Celebes Sea ; Cumberland Club Education Enrichment Program; and the Submarine Ring of Fire, Titanic and Black Sea Expeditions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**11.462 HYDROLOGIC RESEARCH**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Meteorological Services to Aviation, 49 U.S.C 44720; Weather Service Organic

Act, 15 U.S.C 313.

**OBJECTIVES:**

To maintain a cooperative university/Federal partnership to conduct joint research and development on pressing surface water hydrology issues common to National, regional, local operational offices, private consulting hydrologists, and academics.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to support research and development on issues related to the forecasting of surface hydrologic conditions. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis. The program office may support non-competitive awards by direction from legislative language or unsolicited projects that are individually qualified.

**Applicant Eligibility:**

Eligible applicants are Federally recognized institutions of higher learning, agencies of State or local governments, quasi-public institutions such as water supply or power companies, hydrologic consultants and companies involved in using and developing hydrologic forecasts (either for reducing flood damages or for water management decisions).

**Beneficiary Eligibility:**

Since the benefits of the overall program are for a reduction in loss of life and damage resulting from flooding and drought, and improved utilization of water supply and water dependent industries, benefits accrue from these projects to: (1) Federal agencies responsible to forecast, assess, manage, disperse, project economic conditions based on projections of water supply for agriculture and industry, and control water resources; (2) interstate commissions to control and allocate surface waters; (3) State agencies responsible for allocating and controlling water resources and for making projections for the use of water for industry and agriculture and for planning and developing infrastructure within the State that is impacted by rivers and lakes; (4) local agencies dependent on water for economic planning, emergency preparedness, and public water supply; (5) all businesses and industries depending all or in part upon surface water supplies or adequate water in lakes for recreation, in rivers to generate power, or in production or dispersion of products or who must take action in order to ameliorate damage during flood situations, (6) wildlife interests at all levels that are dependent upon water management for managing the environment; (7) homeowners or farmers who must plan for proper responses to flooding or inadequate water supply; and (8) academic institutions which are funded for programs dealing with the studies of hydrologic science.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit and for-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are made on the basis of proposal evaluations and technical and

administrative reviews. Proposal will be submitted to the NOAA Grants Management Division for review and approval. Cooperative activities and funding amounts are determined through an evaluation conducted in coordination with the Director of the Office of Hydrologic Development by the Senior Scientist of the Hydrology Laboratory, and the technical experts of the Laboratory.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days, which includes processing of the award through the NWS and NOAA financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiations with the Office of Hydrologic Development. Cooperative activities are normally continuing subject to the availability of funding for subsequent budget periods. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12-months. The funding is spent in the award's budget period unless an extension is requested by the principal investigator and approved by NOAA Grants Office. Since many cooperative projects with universities depend upon student labor there are times when unfunded extensions are required. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted quarterly or semiannually.

**Audits:**

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

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$634,735; FY 09 est \$1,101,599; FY 10 est \$1,100,000

**Range and Average of Financial Assistance:**

\$80,162 to \$124,999. Average: \$105,789.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program has developed an improved method for automatic calibration of hydrologic models to river basins, made definite progress in the development of distributed rainfall/runoff models; demonstrated improved flash flood models for urbanizing environments; develop new methods for estimation of uncertainty in hydrologic forecasts and display of those probabilistic forecasts; develop new techniques of probabilistic forecast verification; demonstrated the improvements in forecasts from coupled estuary-river models; improve data assimilation techniques. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Senior Scientist Senior Scientist Hydrology Laboratory  
National Weather Service - W/OHD-1,  
1325 East-West Highway, Silver Spring, Maryland 20910 Phone: 3017130640

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.467 Meteorologic and Hydrologic Modernization Development; 11.468 Applied Meteorological Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Project to further automate the calibration of hydrologic models; (2) development of procedure to enhance flash flood guidance; (3) development and testing of distributed rainfall/runoff models using radar-derived rainfall data; (4) demonstration project to show practical benefits from extended streamflow predictions in a probabilistic framework; (5) investigations of flash flood models in arid climates; (6) determination of uncertainty bounds around probabilistic performance measures; (7) assimilation of snow observations; (8) design of user interface for dissemination of probabilistic information;. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

**11.463 HABITAT CONSERVATION**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Title II, Public Law 111-5; Magnuson-Stevens Fishery Conservation and Management Reauthorization Act of 2006, 16 U.S.C 1891a; Department of Commerce Appropriation Act of 1999; Marine Debris Research, Prevention, and Reduction Act, 33 U.S.C 1951; Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Coral Reef Conservation Act, 16 U.S.C 6401 et seq; Coral Reef Conservation Act of 2000, 16 U.S.C 6403; Coastal Zone Management Act of 1972, 16 U.S.C 1451; Department of Commerce Appropriation Act of 1999; Coastal Wetlands Planning, Protection and Restoration Act, 16 U.S.C 3951 et seq; National Marine Sanctuaries Act, 16 U.S.C 1431; Marine Mammal Protection Act, 16 U.S.C 1382; Endangered Species Act, 16 U.S.C 1535; Act to



Prevent Pollution from Ships, 16 U.S.C 1901 et seq.

**OBJECTIVES:**

To provide grants and cooperative agreements for habitat conservation activities including coastal and marine habitat restoration and protection. Projects are funded to carry out public policy pertaining to protection and restoration of the Nation's wetlands and other coastal habitats (including Great Lakes habitats), pursuant to the Fish and Wildlife Coordination Act, Magnuson Fishery Conservation and Management Act as reauthorized in 2006, Endangered Species Act, Estuary Restoration Act, Marine Mammal Protection Act, Marine Plastic Pollution Research and Control Act of 1987, Coastal Wetlands Planning, Protection and Restoration Act (CWPPRA), Coral Reef Conservation Act, Marine Debris Research, Prevention, and Reduction Act, and other legislation. In 2009, projects will also be funded pursuant to the American Recovery and Reinvestment Act (ARRA) of 2009. Research and management includes determining the effects of habitat modifications and contaminants on populations of living marine resources, restoring depleted stocks that have been adversely impacted by habitat modifications, determining if artificial or restored habitat fulfills essential habitat needs of living marine resources, and quantifying contaminants and debris that pose a hazard to populations of these animals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of habitat restoration, coral reef conservation, construction, management, public education activities, and research for marine and estuarine habitats, especially for species currently under, or proposed for, Federal or inter-jurisdictional management. Restoration includes, but is not limited to, activities that contribute to the return of degraded or altered marine, estuarine, coastal, and freshwater (diadromous fish) habitats to a close approximation of their function prior to disturbance. Habitat restoration activities that produce significant ecological habitat features to create buffers or green infrastructure that serve to protect coastal communities from sea level rise, coastal storms and flooding, or that provide adaptation to climate change are also included. Projects funded under this CFDA primarily support NOAA's Ecosystems mission support goal of Protect, Restore, and Manage Use of Coastal and Ocean Resources through Ecosystem-Based Management.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations, and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. Territories and Freely Associated States; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted

through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the Office of Habitat Conservation, or NOAA Coral Conservation Program lead, as appropriate. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the appropriate NMFS Office/Region/Science Center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 150-180 days, which includes processing of the award through NMFS and NOAA.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas, if any, are specific to programs that fall under this CFDA number. Project costs are funded at up to 100 percent. Grantee matching contributions vary by specific funding opportunity.

CWPPRA projects require a 15 percent match by the State of Louisiana at this time. Under the Community-based Restoration Program guidelines, projects are encouraged to demonstrate a minimum nonfederal match of 50 percent of the total cost needed to complete the proposed project to be most competitive. A 1:1 match is required for the General and International Coral Reef Conservation Grant Programs and grants under the Marine Debris Research, Prevention, and Reduction Act, although the MDRPR Act allows the NOAA Administrator to waive all or part of the matching requirement in certain instances. The ARRA has no statutory matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for 12-24 month periods, and vary by specific funding opportunity. Award funds must be spent in the indicated budget period and expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released as needed through the automated treasury process (ASAP) or by reimbursement, as indicated in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions may require that financial and performance reports be submitted semi-annually or on some other agreed upon schedule. For grants funded under the ARRA, recipients will be required to meet quarterly reporting requirements under Title XV Section 1512 of the ARRA. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$50,553,994; FY 09 est \$218,291,552; FY 10 est \$56,380,000

**Range and Average of Financial Assistance:**

\$15,000 to \$36,000,000. Typical award: \$35,000 to \$200,000; CWPPRA and ARRA awards are among the largest, typically in the millions. Awards made under the ARRA in FY09 are expected to be \$1.5 million to \$10 million per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, cooperative agreements for coastal restoration projects in Louisiana under the CWPPRA program resulted in funding engineering and design for the Bioengineered Oyster Reef Demonstration and the Bayou Dupont Ridge and Marsh Creation Project. The program continued to fund crevasse cuts through the Delta Wide Crevasse Project. Under the NOAA Community-based Restoration Program (CRP) and the Open Rivers Initiative, 9 awards were funded in FY 08 ranging from \$40,000 to \$240,000 for a total of \$935,000. Over \$7 million went to the continued support of 17 national and regional habitat restoration partnerships (funded between \$100,000 and \$1.6 million) that provide subawards for individual habitat restoration projects. These projects leverage between \$3 and \$5 for every NOAA dollar invested, have significant community support and hands-on participation, and typically have an associated outreach or informal education component. In 2008 the Community-based Marine Debris Prevention and Removal Project Grants funded 10 applications ranging from \$40,000 to \$175,000 for a total of 868,700. NOAA's Coral Reef Conservation Grant Program launched a new international coral reef program in 2002, pursuant to the Coral Reef Conservation Act of 2000. During Fiscal Year 2008, the International Coral Reef Conservation Grant Program invested \$ 437,321 in 10 projects in 10 countries that leveraged \$ 488,785 in matching funds. Funds were distributed among the following four themes: (1) Promote Watershed Management in the Wider Caribbean, Brazil, and Bermuda; (2) Regional Enhancement of Marine Protected Area Management Effectiveness ; (3) Encourage the Development of National Networks of Marine Protected Areas in the Wider Caribbean, Bermuda, Brazil, Southeast Asia, and the South Pacific; and (4) Promote Regional Socio-Economic Training and Monitoring in Coral Reef Management in the Wider Caribbean, Brazil, Bermuda, the Western Indian Ocean, the Red Sea, the South Pacific, South Asia, and Southeast Asia. In 2008, the General Coral Reef Conservation Grant Program funded 12 applications ranging from \$35,000 to \$50,000 for a total of \$503,024. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations. For grants management administrative requirements, see 15 CFR 24 (state and local governments) and 2 CFR 215 for other recipients. All recipients will adhere to Department of Commerce Financial Assistance Standard Terms and Conditions and NOAA Administrative Standard Award Conditions available at [http://www.ago.noaa.gov/ago/grants/external\\_links.cfm](http://www.ago.noaa.gov/ago/grants/external_links.cfm). For awards under the ARRA, recipients will also follow regulations and guidelines stated in Title XV Sec. 1512 of the ARRA.

**Regional or Local Office:**

None. See Appendix IV.

**Headquarters Office:**

n/a NOAA Fisheries, Office of Habitat Conservation, 1315 East West Highway, Silver Spring, MD 20910. CWPPRA: Ms. Cecelia Linder; Telephone (301)713-0174; Fax (301)713-0184; E-mail [Cecelia.Linder@noaa.gov](mailto:Cecelia.Linder@noaa.gov). Community-based Restoration Program (CRP): Ms. Robin Bruckner; Telephone (301)713-0174; Fax (301)713-0184; E-mail [Robin.Bruckner@noaa.gov](mailto:Robin.Bruckner@noaa.gov). General Coral Reef Conservation Grant Program: Ms. Jennifer Koss; Telephone (301) 713-4300; Fax (301) 713-1043; Email [Jennifer.Koss@noaa.gov](mailto:Jennifer.Koss@noaa.gov). International Coral Reef Conservation Grant Program: Scot Frew; 1315 East West Highway, 5th Floor, Room 5826, Silver Spring, MD 20910; Telephone (301) 713-3078; Fax 301-713-4263; E-mail [Scot.Frew@noaa.gov](mailto:Scot.Frew@noaa.gov), Silver Spring, Maryland 20910 Phone: n/a

**Website Address:**

<http://www.nmfs.noaa.gov/habitat/ecosystem/index.htm>.

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.441 Regional Fishery Management Councils; 11.457 Chesapeake Bay Studies; 11.469 Congressionally Identified Awards and Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: NOAA's restoration programs provide funding to implement a wide variety of on-the-ground habitat restoration projects to benefit marine, estuarine and riparian habitats, including but not limited to salt marshes, seagrass beds, coral reefs, mangrove forests, and freshwater habitat important to diadromous fisheries, predominantly in coastal areas around the United States. The Office of Habitat Conservation also provides funding for coral reef conservation activities. The General Coral Reef Coral Grant Program supports on-the-ground efforts that: (1) help preserve, sustain and restore the condition of coral reef ecosystems, (2) promote the wise management and sustainable use of coral reef resources, (3) increase public knowledge and awareness of coral reef ecosystems and issues regarding their conservation and (4) develop sound scientific information on the condition of coral reef ecosystems and the threats to such ecosystems. For the International Coral Reef Conservation Grant Program Examples of funded projects include: Initiating a Marine Protected Area Management Effectiveness System in Indonesia; Development of a Network of MPAs Combining Community Based Management Initiatives for the Island Province of Kadavu, Fiji; Socioeconomic Monitoring for Coastal Resource Management Projects in Vietnam & Cambodia; and Promoting Management of the APA da Barra do Rio Mamanguape Watershed (NE Brazil). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received and projects selected from several sources: Unsolicited proposals; responses to special solicitations in the Federal Register and Grants.gov; or congressionally directed projects. For CWPPRA, the projects to be funded are selected through an annual, publicly-vetted process and ultimately approved by a multi-agency Task Force. Applications submitted through competitions are reviewed based on NOAA's standard criteria which are weighted as announced in specific funding opportunities. These criteria include: Importance and Applicability; Technical/Scientific Merit; Overall Qualifications of Applicants; Project Costs; and Outreach and Education. Regardless of source, applications must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures. Any financial assistance announcements must be made in the Federal Register; announcement on Grants.gov only is not sufficient.

**11.467 METEOROLOGIC AND HYDROLOGIC MODERNIZATION DEVELOPMENT**

(Hydrometeorological Development)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C 313; Meteorological Services to Aviation, 49 U.S.C 44720.

**OBJECTIVES:**

To maintain a cooperative university and Federal partnerships to conduct meteorological training, education, professional development, and research and development on issues common to the hydrometeorological community.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Dissemination of Technical Information; PROJECT GRANTS; Training

**USES AND USE RESTRICTIONS:**

The funds are used by recipients to implement programs described in proposals submitted and selected in response to calls for proposals from the program office or NOAA. The program office may support non-competitive awards in case specific instances or by direction from legislative language or unsolicited projects that are individually qualified.

**Applicant Eligibility:**

Eligible applicants are accredited Federally recognized institutions of higher learning, consortia of these institutions, agencies of State or local governments including school systems, quasi-public institutions, consultants, and companies involved in using and developing meteorological or hydrologic forecasts or forecast methodology.

**Beneficiary Eligibility:**

The benefits of the overall program are for reduction in loss of life and damage which the general public can realize from improvement in weather forecasts, watches, and warnings of hazardous weather and resultant flooding. For the improvements from the modernization of the Nation's weather and hydrologic services to be realized, there must be significant involvement of the entire hydrometeorological community. Thus, benefits will accrue to: (1) General public through higher quality weather products and information; (2) State and local agencies responsible for the planning and implementation of emergency services, fire prevention, allocation and control of water resources, and those agencies who project economic conditions based on weather and water resource availability; (3) educational institutions (0-13+) which need to incorporate the information which will result from modernization of the weather services into their curricula; (4) scientists and developers who will be using the new information to enhance the State of the knowledge of the atmosphere and improve present system safety and reliability; and academic institutions which are funded for programs dealing with studies of the atmospheric and hydrologic science.

**Credentials/Documentation:**

Proposals will be considered if applicants meet the qualifications listed in solicitations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication coordination is required. However, since proposals are frequently required to demonstrate high levels of collaboration with operational NWS components, it is recommended that applicants discuss potential interactions with relevant NWS personnel prior to submission. Consultation and assistance is available through the NWS program manager. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management

Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are selected by the program office and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time for grants is expected to range from 90 to 180 days, which includes processing of the award through the NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are for a 12-60 month period, although only one year is funded at a time. Outyears are funded based on availability of funds and adequate progress. Funds are disbursed through the U.S. Treasury Payment System. See the following for information on how assistance is awarded/released: One year funded at a time.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Technical and financial progress reports are due within 30 days of the end of the evaluation period. Final reports are due within 90 days of the expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$7,348,084; FY 09 est \$14,939,054; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

\$6,000 to \$2,783,042. Average: \$409,810.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects awarded have produced web-based hydro-meteorological training modules and other education material, conducted research on improving the performance of numerical weather prediction

models, established graduate fellowships for students studying the atmospheric and related sciences, and worked toward developing communities better prepared for tsunamis. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Leroy Spayd Chief, Training Division  
National Weather Service/OS6  
1325 East West Highway, Silver Spring, Maryland 20910 Email:  
leroy.spayd@noaa.gov Phone: 3077130280 Fax: 3017131598

#### **Website Address:**

<http://www.noaa.gov>.

#### **RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.462 Hydrologic Research; 11.468 Applied Meteorological Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Cooperative Program for Meteorological Education and Training; Alaska Tsunami Hazard/Ready Program; American Meteorological Society/National Weather Service Graduate Fellowships; A Cooperative Agreement to Establish a Numerical Prediction Developmental Testbed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

#### **11.468 APPLIED METEOROLOGICAL RESEARCH**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C 313; Meteorological Services to Aviation, 49 U.S.C 44720.

##### **OBJECTIVES:**

"Through the Collaborative Science, Technology, and Applied Research (CSTAR) program, NOAA/NWS provides funding to the university community for highly collaborative applied research hydro-meteorological activities to create a cost-effective transition from basic and applied research to operations and services. The NOAA/NWS Minority Serving Institution (MSI) Program presents an effort to promote and increase diversity in the atmospheric and related sciences through collaborative research between operational forecasters and academic institutions which have expertise in the environmental sciences in support of the NOAA Weather and Water mission goal. The Remote Community Alert Systems (ALERT) Program represents an effort to provide for outdoor alerting technologies in remote communities effectively underserved by commercial mobile service for the purpose of enabling residents of those communities to receive emergency messages. "

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

The funds are used by recipients to implement programs described in proposals submitted and selected in response to calls for proposals from the program office or NOAA. The program office may support non-competitive awards in case specific instances or by direction from legislative language or unsolicited projects that are individually qualified.

##### **Applicant Eligibility:**

College and universities in the United States.

##### **Beneficiary Eligibility:**

Colleges and universities with interests in atmospheric and related sciences.

##### **Credentials/Documentation:**

Proposals will be considered if applicants meet the qualifications listed in solicitations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

No preapplication coordination is required. However, since proposals must demonstrate high levels of collaboration with operational NWS components, it is recommended that applicants discuss potential interactions with relevant NWS operational personnel prior to submission. Consultation and assistance is available through the NWS program manager. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or [grants.gov](http://grants.gov). These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

##### **Award Procedure:**

Awards are selected by the program office and are made on the basis of proposal evaluations and technical and administrative reviews.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approval time is expected to be about four months, which includes processing the award through NWS, NOAA, and DOC financial assistance functions.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are for a 12-60 month period, although only one year is funded at a time. Outyears are funded based on availability of funds and adequate progress. Funds are disbursed through the U.S. Treasury Payment System. See the following for information on how assistance is awarded/released: One year funded at a time.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual technical and financial progress reports are due within 30 days of the end of the

evaluation period. Final reports are due within 90 days of the expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,891,234; FY 09 est \$12,478,103; FY 10 est \$10,425,000

**Range and Average of Financial Assistance:**

\$10,000 to \$5,084,742. Average: \$409,267.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects awarded through the CSTAR program are leading to a deeper understanding of meteorological factors involved in the NWS warning and forecasting programs, which, in turn, will benefit the U.S. public with more responsive warning and forecast programs. The MSI program has engaged in studies seeking to improve estimation of quantitative precipitation estimation used in hydrologic forecasts with algorithms derived from satellite data. Alert warning systems are being implemented in remote areas as a result of the ALERT program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None. N/A.

**Headquarters Office:**

Samuel Contorno CSTAR and MSI Program  
1325 East-West Highway  
SSMC2, Room 15326  
Mailcode W/OST12

"ALERT Program

Craig Hodan 1325  
East-West Highway SSMC2, Room 3348, Mailcode W/OPS17 Silver  
Spring, MD 20910. Telephone: (301) 713-9480 x187.

Email: craig.hodan@noaa.gov

"

, Silver Spring, Maryland 20910 Phone: 301-713-557 x150

**Website Address:**

<http://www.noaa.nws.gov>.

**RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.462 Hydrologic Research; 11.467 Meteorologic and Hydrologic Modernization Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Awards are related to topics of regional and national

importance such as developing an operational system for probabilistic quantitative precipitation forecasts in the U.S., improving the prediction of warm- and cool-season heavy precipitation events, improving forecasts of topographically-forced weather systems, and improving operational radar and satellite-based algorithms. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

**11.469 CONGRESSIONALLY IDENTIFIED AWARDS AND PROJECTS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act.

**OBJECTIVES:**

The objectives of the overall program are to facilitate education, research and development in the fields of marine and atmospheric science, and to provide a provision of assistance for the construction of suitable facilities for these activities, as specified by Congress.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide appropriated funds to facilitate education, research and development in the fields of marine and atmospheric science. Appropriated funds can also be used for construction of facilities and construction-related activities to support education, research and development associated with issues of atmospheric or marine sciences. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations and/or individuals. Typically those specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Through the awarding of financial assistance to facilitate education, research and development in the fields of marine and atmospheric science, and for the construction of educational, research and development facilities, this program benefits Federal, State, local governments, public and private universities and colleges, profit and nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submission of an application on Standard Form 424 as furnished by NOAA, including all required certifications, to the Program Officer, Congressionally Identified Awards, Office of Finance and Administration, Acquisitions and Grants Office. This program is subject to the provisions of 15 CFR 24, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local

Governments, and 15 CFR 14, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. NOAA reserves the right to withhold the awarding of a grant or cooperative agreement to any individual or organization delinquent on a debt to the Federal government until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

**Award Procedure:**

Applications reviewed by NOAA and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days from the time of receipt of a complete application. This timeframe includes processing of the award through the NOAA and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce/NOAA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12 months. The funding is spent in the award's budget period unless otherwise negotiated between the recipient and NOAA and approved by the NOAA Grants Management Division. See the following for information on how assistance is awarded/released: As described in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted semi-annually or as otherwise required under special award conditions. Progress reports summarize work accomplished, relate the progress to the original approved proposal and timelines, explain situations where expected work has not been completed, and request modifications to the project plan as necessary.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained in accordance with the terms of the award. The recipient must retain records for three years from the date when the final financial status report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$19,592,419; FY 09 est \$43,951,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NOAA grant recipients receiving funding have developed projects fostering a wide range of public benefits in the fields of marine and atmospheric science as specified by Congress in Appropriations Acts. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional appropriations, Public Law (for FY 1998, Public Law 105-119, Nov. 13, 1997; for FY 1999, Public Law 105-277, October 19, 1998). Costs will be determined in accordance with OMB Circular No.A-21 for institutions of higher education, OMB Circular No.A-87 for State and local governments, and OMB Circular No.A-122 for nonprofit organizations. Grants management will be in accordance with provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations or 15 CFR 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Chief, Grants Management Division, OFA62, SSMC2, 1325 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-0926

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Bronx Zoo Construction Project. Land Acquisition in Maine, Various Environmental Literacy project such as, Science on the Sphere Projects with Bishop Museum, National Maritime Museum, National Model Earth, National Ocean Science Bowl, and PRIDE Environmental Enhancement Initiative. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.472 UNALLIED SCIENCE PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act, 16 U.S.C 753a; Fish and Wildlife Coordination Act of 1956., 16 U.S.C 661.

**OBJECTIVES:**

To provide grants and cooperative agreements of biological, socio-economic and physical science research on the stocks of fishery and protected resources of the United States and their environment that will contribute to their optimal management for the benefit of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for marine and estuarine science.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research on high-priority marine and estuarine resource issues, especially for resources and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 150 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding and/or extend the period of an award is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for

information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,540,052; FY 09 est \$0; FY 10 est \$0 - No estimate for future funding is currently available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Protected Resources: Recovery of protected marine and anadromous species in states and territories. Alaska Region: Carry out marine research activities in the North Pacific, Bering Sea, and Arctic Ocean. Southwest Region: Investigating the efficacy of using cultured juvenile marine fish to complement wild stock to speed recovery of depleted populations. Northeast Region: Contributions to enhance data collection for the American lobster resource along the coasts of Maine, New Hampshire and Massachusetts, and to provide improved information for stock assessments and management; and an ocean haul seine survey for striped bass in coastal New York State was conducted. Southeast Region: Development of genetic tools to assess the population structures of major commercial and recreational species, such as swordfish, tunas and sharks. Conservation and management of threatened and endangered marine species in Georgia, South Carolina, and North Carolina including development of an early warning system to reduce right whale/vessel collisions; U.S. Gulf of Mexico marine stock enhancement program; Contributions to the biology of the red drum in South Carolina; funded research to examine the biological and hydrographic characteristics of the Charleston Bump; provided support for research into pathogens affecting shrimp in the southeastern United States; developed an index of sea turtle abundance along the southern U.S. Atlantic coast. Completed a sea turtle abundance index for the Southeastern United States. NOS: The goal of FISHTEC is to develop, test and apply new technologies in molecular biology to enhance fisheries management policies and actions. This long term project was focused initially on the development of genetic tools to determine population structures of major commercial and recreational species such as swordfish, tunas and sharks. Emphasis has now been shifted to deal with broader issues of management such as multi-species assemblages or habitats, and detection of pathogens and/or diseases affecting marine organisms. Ongoing research is organized into two major components dealing with molecular genetics of pelagic fish populations,

and stock structure of coastal marine fisheries of the southeastern U.S. The results of FISHTEC research may be found in numerous peer reviewed publications. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

#### **Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845, Fax: (907) 586-7255. Use the same numbers for FTS. Email: peter.d.jones@noaa.gov Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526-4461. Email: Kevin.Ford@noaa.gov. Northwest Center: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov. Southeast: Jeffrey Brown, State/Federal Liaison Staff, Southeast Regional Office, 9721 Executive Center Drive, North, St. Petersburg, FL 33702-2432. Telephone: (727) 570-5324. Fax: (727) 570-5364. Email: jeff.brown@noaa.gov. Southwest Region: Patricia Culver, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA. 90802. Telephone: (562) 980-4239. Email: trisha.culver@noaa.gov.

#### **Headquarters Office:**

Dan Namur National Marine Fisheries Services, Office of Management and Budget, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: 301) 713-1364 Fax: (301) 713-2258

#### **Website Address:**

AAAlaska: <http://www.fakr.noaa.gov/omi/grants/default.htm>. Southeast Region: <http://www.nwfsc.noaa.gov/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Alaska: Cooperative Fisheries Research in Alaska. Northeast: Maine Lobster Resource Assessment, Monitoring of New Hampshire's Fishery for Shell Disease in the American Lobster, Post Stratification and Calibration of a Random

Stratified Lobster Ventless Trap Survey in Buzzards Bay and Vineyard Sound, A Study of the Striped Bass in the Marine District of New York State - Ocean Haul Seine Survey. Northeast Center: The Northeast Consortium is used encourage

and fund collaborative research and monitoring projects within the Gulf of Maine and Georges Bank, which involve effective, equal partnerships among fishermen, scientists, and other stakeholders. Examine the population biology and dynamics of the multispecies fishery of the Northeast USA, with specific focus on the groundfish assemblage and American lobster, in support of the development of a fisheries management decision support system. Examine the population biology and dynamics of the sea scallop, from Virginia to the Hague line, USA in support of the development of a decision support system. A research and monitoring program to provide information required to sustainably manage the horseshoe crab resource for the benefit of all resource users. North Atlantic Right Whale Research Grant Program (RWRGP) is used for funding research or other activities that can provide information useful to management of

North Atlantic right whales, with emphasis on understanding or mitigating factors inhibiting the species recovery. Southeast Region: Funded a cooperative

program that investigated the technical, economic and commercial feasibility of farm raising marine finfish in cages in the northern Gulf of Mexico utilizing oil and gas production platforms as operation centers. Provided funds to refine, field-test and demonstrate a successful marine fisheries stock management program for the Gulf of Mexico that blends aquaculture technology with traditional fishery management practices. Georgia, South Carolina, and North Carolina were funded for their endangered species programs on sea turtles. Funded research in red drum biology to better understand survival rates in the wild. South Carolina was funded to create a taxonomic center to identify and archive marine specimens. Cooperative Institute for Fisheries Molecular Biology (FISHTEC). Northwest region: Ballard High School Maritime Academy/Seattle Public Schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

#### **11.473 COASTAL SERVICES CENTER (CSC)**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Navigation and Navigable Waters, 33 U.S.C 1442; Commerce and Trade, 15 U.S.C 1540; Coastal Zone Management Act of 1972, 16 U.S.C 1456c.

##### **OBJECTIVES:**

To support projects aimed at developing a science-based, multi-dimensional approach that will allow for the maintenance or improvement of environmental quality while at the same time allowing for economic growth.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Uses will be in the following federal program areas: The Coastal Services Center's (CSC) goal is to build leadership skills and capabilities to meet the changing needs within the coastal community. CSC's Coastal Learning Services (CLS) program will develop a training program for coastal managers and scientists. Coastal Learning Services (CLS) program will work with cooperators to collect and analyze physical, social, and environmental indicator data and the Center will provide technical assistance and training on performance measures. The CSC Human Dimensions Program will provide competitive grants for the development of tools, methods, and information resources to promote and support the application of social sciences to coastal resource management. The CSC Geographic Information Systems Integration and Development Program (GIS I&D) program will provide relevant, easily accessible spatial data, tools, and support services to the coastal resource management community by working with nationally networked organizations on geospatial solutions to issues related to coastal hazards. The CSC Pacific Services Center (PSC), located in Honolulu, provides competitive grants through the Bay Watershed Education and Training (B-WET) Hawai'i program to foster the development of innovative science programs, partnerships and products throughout the State of Hawai'i, as well as support environmental education efforts that align with national and state education standards. B-WET Hawai'i projects focus on providing meaningful outdoor experiences for students and professional development opportunities for teachers that target understanding earth system sciences, hazards, community resilience, and climate change. The Integrated Ocean Observing System Program Office links national and regional observations, data management, and modeling to provide required data and information on local to global scales. The Oceans and Human Health Initiative Program Office is aimed at improving the understanding and management of the oceans, coasts and Great Lakes to enhance benefits to human health and reduce public health risks.

##### **Applicant Eligibility:**



Institutions of higher education, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and state, local and Indian tribal governments.

**Beneficiary Eligibility:**

Institutions of higher education, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and State, local and Indian tribal governments.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars Nos. A-21 for agreements with education institutions, A-87 for State and local governments and A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals should be submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the application package and instructions. Application packages will then be submitted directly to the applicable federal program. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 150 to 210 days after the proposal submission deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Extension requests will be considered by the federal program office only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with their federal program officer expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by the federal program office 45 days prior to the end date of the award. The federal program office will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should make every effort to submit one extension request for all projects needing an extension (when possible, multiple extension requests should be avoided). With sufficient justification, the federal program office will recommend approval of a six-month extension for the first extension request. First time or cumulative extension requests for more than six months but less than 12 months, will need more compelling justification as to why the project was not completed on time or could not be completed within the first six-month extension. Although the federal program office discourages extensions of more than 12 months, the federal program office will recommend approval in cases where the funds are already obligated. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1-3 years with funding approved annually on individual and group proposals. See the following for information on how assistance is awarded/released: Funds are released as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial Status Reports and Performance Reports are required semi-annually.

**Audits:**

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

**Records:**

Records will be retained in accordance with 15 CFR Parts 14 and 24 for institutions of higher education, other non-profit organizations, and for State and local government.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Will vary depending on when announcements are published. Contact the relevant federal program for details.

Proposals tend to range from \$50,000 to \$1,700,000 under the competitive process. For Congressional directed grants (non-competitive process) funding tends to range from \$380,000 to \$2,800,000 per proposal.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Through a 2007 grant recommended by the Coastal Services Center/Pacific Services Center, the Hawaii Nature Center developed a watershed education program for Title I students on Maui, Oahu, and Kauai under the Bay Watershed and Education Training (B-WET) Hawai'i Program. Through this innovative program, students participated in a day-long cultural and ecological program featuring hands-on activities related to the aspects of island watersheds. Students participated in three modules: the forests role in the watershed; the unique role of wetlands and marshes; and the role of humans in altering the natural environment from the mountains to the sea. More than 2500 Title I students have participated in the Nature Centers watershed program since 2004. The NOAA Integrated Ocean Observing System (IOOS) Program has funded a number of competitive awards supporting the Regional Coastal Ocean Observing Systems and Regional Associations that are working to integrate national and regional ocean and coastal observations, data, and models. These efforts provide the data, information, and products needed to address estuarine and coastal issues of importance to the nations ocean and coastal regions and the Great Lakes. In addition, they are intended to address regional and national priorities, such as climate change, alternative energy, harmful algal bloom forecasting, coastal marine ecosystem assessments, and coastal inundation modeling. The Oceans and Human Health Initiative (OHHI) Program has funded a variety of projects targeted toward development of early warning indicators for ocean health threats. For example, in the Great Lakes, OHHI researchers developed a hydrodynamic models focused on how particles play a role in transporting biological contaminants and how sediments may serve as either a reservoir or final sink for pathogens. In the Gulf of Mexico, OHHI-supported researchers have identified, modeled, and mapped key environmental factors related to risk of pathogenic bacteria (*Vibrio parahaemolyticus*) in oysters in the Mississippi Sound. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department Administrative Order 203-36, dated May 15, 1985 (Department of

Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual.

**Regional or Local Office:**

See Regional Agency Offices. Jeffrey L. Payne, Deputy Director, NOAA Coastal Services Center, 2234 South Hobson Ave., Charleston, SC 29405-2413. Telephone: (843) 740-1207 or contact James Lewis A. Free, Grants Coordinator, NOAA Coastal Services Center, Telephone: (843) 740-1185. Suzanne Skelley, Deputy Director, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2424 or contact Gabrielle Canonico, Federal Program Officer, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2428. Paul A. Sandifer, Senior Scientist, NOAA, Oceans and Human Health Initiative, Hollings Marine Laboratory, 331 Fort Johnson Road, Charleston, SC 29412. Telephone (843) 762-8814.

**Headquarters Office:**

John Dunnigan NOS, 1305 East-West Highway, Silver Spring, Maryland 20910 Phone: 3001-713-3074

**Website Address:**

<http://www.csc.noaa.gov>, <http://ioos.noaa.gov/program/>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.429 Marine Sanctuary Program; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.440 Environmental Sciences, Applications, Data, and Education; 11.449 Independent Education and Science Projects and Programs; 11.455 Cooperative Science and Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Coastal Services Center, Geographic Information Systems Integration and Development Program (GIS I&D) program, supported a grant entitled, Developing a Dynamic and Distributed GIS to Support Coastal Management Along the Lake Superior Coast of Wisconsin to serve spatial data relevant to coastal management along the Lake Superior coast of Wisconsin. Spatial data is served under:  
<[http://maps.aqua.wisc.edu/lscmp/wlscmp\\_index.htm](http://maps.aqua.wisc.edu/lscmp/wlscmp_index.htm)>.

Through a 2008 Pacific Services Center, Bay Watershed and Education Training competitive grant entitled, Kauai Watershed Project: Kapaa Community for Sustainability--Understanding the Past, Connecting to the Present, and Leading the Future funding was provided to: 1) assist in the development of new programs; 2) encourage innovative partnerships among environmental education programs throughout Hawaii; and 3) support geographically targeted programs to advance environmental education efforts that complement appropriate school requirements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the relevant federal program office.

**11.474 ATLANTIC COASTAL FISHERIES COOPERATIVE MANAGEMENT ACT**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Atlantic Coastal Fisheries Cooperative Management Act, 16 U.S.C 5107.

**OBJECTIVES:**

To provide assistance to eligible States and the Atlantic States Marine Fisheries Commission in order to support and encourage the development, implementation, and enforcement of effective interstate conservation and

management of Atlantic Coastal resources. Activities conducted under projects will be used to collect information necessary for the preparation, implementation and enforcement of coastal fisheries management plans and State activities required within such plans. Primary users of the information would be the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast States, the National Marine Fisheries Service, and the U.S. Fish and Wildlife Service.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are restricted to "coastal fishery resources" which means any fishery, any species of fish, or any stock of fish that moves among, or is broadly distributed across, waters under the jurisdiction of two or more Atlantic Coastal States or waters under the jurisdiction of one or more Atlantic Coastal States and the exclusive economic zone. Funds can be provided to the Commission and to the specified States for the preparation, implementation and enforcement of coastal fishery management plans and State activities required within such plans. Funds can also be used for program activities to support and enhance State cooperation in collection, management and analysis of fishery data; law enforcement; habitat conservation; fishery research including biological and socioeconomic research; and fishery management planning.

**Applicant Eligibility:**

Eligible applicants for assistance are the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast State governments which are Maine, New Hampshire, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Pennsylvania, Delaware, Maryland, Virginia, North Carolina, South Carolina, Georgia, Florida, the Potomac River Fisheries Commission, and the District of Columbia.

**Beneficiary Eligibility:**

This program benefits State, and interstate marine resource conservation agencies, the marine fishing industries and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The application processing time is 75 days as required by 15 U.S.C. 1539 (sole source selection).

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are generally approved on an annual basis, but may be continued beyond the initial project period, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. The Department of Commerce has the discretion to renew the award to increase funding, or extend the period of performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$7,037,464; FY 09 est \$7,195,300; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$38,000 to \$1,900,000. Average: \$330,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Activities include the development and monitoring of interstate fishery management plans; fishery research and stock assessment; habitat conservation; and law enforcement. Others include restoration and maintenance of shared fisheries of the Atlantic Coast, with the principal emphasis on the conservation and restoration of migratory marine and diadromous fishery resources and their habitat, as well as the maintenance, enhancement, and improvement of public uses and benefits from these resources. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No

Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations.

**Regional or Local Office:**

See Regional Agency Offices. Northeast: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service, Northeast Regional Office, One Blackburn Dr., Gloucester MA 01930. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: Grants.Information@noaa.gov. Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. Email: cynthia.binkley@noaa.gov.

**Headquarters Office:**

n/a Director, Office of Sustainable Fisheries, National Marine Fisheries Service, 1315 East-West Highway., Silver Spring, Maryland 20910 Phone: (301) 713-2334 Fax: (301) 713-0596

**Website Address:**

Southeast: <http://sero.nmfs.noaa.gov/grants.htm>. Northeast: <http://www.nero.noaa.gov/statefedoff/>

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Northeast Region: A Cooperative State-Federal Program for Conservation of Atlantic Coastal Fisheries; Marine Recreational Fishery Statistics Survey; Interstate Fisheries Management Support Program; Implementation of the Atlantic Coastal Cooperative Statistics Program; and Biomonitoring and Assessment Project for American Shad and River Herring. Southeast Region: Florida Atlantic Coast Stock Assessments; Interstate Fisheries Management Planning and Implementation; Implementation of the Atlantic Coastal Cooperative Statistics Program; Interstate Fisheries Management Program Implementation for North Carolina; and Fisheries Conservation Programs and Management Plans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are solicited from eligible coastal States and other eligible applicants by notification from the National Marine Fisheries Service, Northeast and Southeast Regional Offices. Proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.478 CENTER FOR SPONSORED COASTAL OCEAN RESEARCH\_COASTAL OCEAN PROGRAM**

(CSCOR/(COP))

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coastal Zone Management Act of 1972, as amended, 16 U.S.C 1456c; Navigation and Navigable Waters, 33 U.S.C 1442; Harmful Algal Bloom and Hypoxia Research and Control Act of 1998, Public Law 105-383; Commerce and Trade, 15 U.S.C 1540; Navigation and Navigable Waters, 33 U.S.C 883d.

**OBJECTIVES:**

NOAA's Coastal Ocean Program in the Center for Sponsored Coastal Ocean Research (CSCOR/COP) is a unique Federal- academic partnership designed to provide predictive capability for managing coastal ecosystems. COP seeks to deliver the highest-quality science in a timely manner for important coastal policy decisions by supporting high-priority research and interagency initiatives related to NOAA's mission in three goal areas: coastal ecosystem oceanography, cumulative coastal impacts and coastal forecasting/natural

hazards. COP supports research on critical issues which exist in the Nation's estuaries, coastal waters and the Great Lakes; and translates its findings into accessible information for coastal managers, planners, lawmakers and the public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund research and interagency initiatives under specific CSCOR/ COP programs related to NOAA's mission in coastal ecosystem oceanography, cumulative coastal impacts, and coastal forecasting/natural hazards.

**Applicant Eligibility:**

Institutions of higher education, not-for-profit institutions, State, commercial organizations, local and Indian tribal governments and Federal agencies. CSCOR/COP will accept proposals that include foreign researchers as collaborators with researchers who are affiliated with a U.S. academic institution, Federal agency, or other nonprofit organization. Nonfederal and Federal applicants will be competed against each other. For the Oceans and Human Health Initiatives Program, eligible applicants are: Institutions of higher education, hospitals and other not-for-profit institutions, commercial organizations, State, local and Indian tribal governments. Federal agencies are not eligible to receive federal assistance under this program.

**Beneficiary Eligibility:**

Organizations and individuals with interests in coastal oceanography. And for the OHHI program, organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Send an application for financial assistance (Standard Form 424) to CSCOR/COP with statement of work to be performed and proposed amount in response to a current funding announcement only. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of High Education, Hospitals, Other Nonprofit and Commercial Organization, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or the CFDA number to access the application package and instructions. Application package will then be submitted directly to the Center for Sponsored Coastal Ocean Research/Coastal Ocean Program. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of competitive peer review of proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 210 days from the time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with the CSOR/COP Office. Multi-year awards of two to five years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years, with funding approved annually. See the following for information on how assistance is awarded/released: Funds are released or reimbursed as agreed upon in the Standard Terms and Conditions required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Implementation plans are required annually. Progress reports are due annually.

Financial status reports are required semi-annually. Final reports are due ninety days after expiration of award. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients and subrecipients that are State and local governments, institutions of higher education or other nonprofit organizations shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (3 U.S.C. 7501-7507) and revised OMB Circular No. A-133. Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$9,513,702; FY 09 est \$12,000,000; FY 10 est \$11,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Coastal Ocean Program is currently funding over 58 competitively awarded ongoing extramural research funding commitments to over 60 external marine science institutions. This cutting-edge research has already and will in the future benefit the management of U.S. coastal resources and increase our understanding of the coastal ocean. Projects are underway to unravel the ecology and oceanography of harmful algal blooms and help coastal states manage HAB associated health and economic risks; understand the effects of human impacts on coral reef ecosystems in the Caribbean and Micronesia; assess the potential impacts of the Everglades restoration project on South Florida ecosystems understanding the effects of climate variability on

fish stocks in the Northwest Pacific and Northwest Atlantic; and detecting and assessing the extent of the hypoxic area in the Northern Gulf of Mexico. CSCOR studies will also examine the impacts of multiple stressors on coastal ecosystems in Louisiana and integrate the findings of recently completed east coast research projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Rob Magnien NOAA/CSCOR/COP, 1305 East-West Highway, Silver Spring, Maryland 20910 Phone: 3017133338 Fax: 3017134044

#### **Website Address:**

<http://www.cop.noaa.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Coastal Ocean Program uses a regional, multi-disciplinary approach to understanding and predicting the impacts of natural and anthropogenic variability on coastal ecosystems, communities, and economies. The main goal of the Coastal Ocean Program (COP) is to improve predictions for coastal management through research to understand and describe coastal systems, data synthesis and modeling to assess and predict ecosystem conditions, and translation of scientific results to engage, inform, and advise the public. The COP sponsors competitive, peer-reviewed research to collaborate with and augment NOAA-based research programs focused on the coastal ocean, estuaries, and coastal margins. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated by competitive peer review taking into consideration primarily scientific merit and applicability to COP's research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

### **11.481 EDUCATIONAL PARTNERSHIP PROGRAM**

#### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

#### **AUTHORIZATION:**

Executive Order 13256, 13230, 13021 and 13339, 33 U.S.C 893 a(a); Executive Order 13256, 13230, 13021 and 13339, 15 U.S.C 1540.

#### **OBJECTIVES:**

To continue development of a program aimed at increasing education and research partnerships between NOAA and Minority Serving Institutions. Partnerships are achieved through collaboration with NOAA Cooperative Science Centers in atmospheric, oceanic, environmental sciences, environmental technology, and remote sensing. The Environmental Entrepreneurship Program supports restoration projects in environmentally depleted zones and program development in NOAA-related sciences at minority serving institutions.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used to support a distinguished professor, research, development programs and students undertaking course work and/or research in NOAA related sciences at minority serving institutions.

#### **Applicant Eligibility:**

Applicants are defined as qualified minority serving institutions based on the 2003 United States Department of Education definition of minority serving institutions. Non-minority institutions may also participate in this program when partnered with a minority serving institution. Institutions applying to be

considered a designated Cooperative Science Center in atmospheric, oceanic and environmental sciences, environmental technology and remote sensing must have a graduate program in the respective category.

#### **Beneficiary Eligibility:**

The benefits to the Nation are an increased number of academic institutions capable of providing services and products in support of the agency's mission to describe and predict changes in the environment, and to conserve and manage the nation's coastal and marine resources to ensure sustainable economic opportunities. Collaboration among NOAA and academic institutions will not only increase the number of trained professionals in the NOAA related sciences, it will also lead to a larger number of institutions participating in collaborative research and co-management of the nation's natural resources with State, local and tribal governments.

#### **Credentials/Documentation:**

Applicants are required to satisfy all DoC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submission of an application package which includes the Standard Form SF-424 Application for Federal Assistance, SF-424A Budget Information Non-Construction Programs, SF-424B Assurances Non-Construction Programs, statement of work, budget and supporting details, and CD-511 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug Free Workplace Requirements, and Lobbying must be used when applying for Federal funds. This program is subject to the provisions of 15 CFR Part 14.

#### **Award Procedure:**

Awards are made on the basis of proposal evaluation, technical review and administrative review.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approval time is anticipated to range from 90 to 150 days, which includes processing of the award through NOAA Education, NOAA and DoC financial assistance functions.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Cooperative activities are generally approved on an annual fiscal year basis, but may be continued for up to five years, subject to approved time frame, program development plan, satisfactory progress, and availability of funds.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

From one to five years with funding approved annually. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic progress and financial reports are required. However, the reporting frequency may be changed to be more or less frequent progress reports should summarize work accomplished and explain situations where expected work has not been completed. Financial reports must indicate use of funds during the semi-annual period. Final reports are due ninety days after expiration of the award.

Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients will be subject to the provisions of the Single Audit Act Amendments of 1996 and revised OMB Circular A-133, "Audits of States and Local Governments and Nonprofit Organizations".

**Records:**

Financial records and support documents and all other records, i.e., property, performance, work products, patents etc. pertinent to the agreement shall be maintained for a period of three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 08 \$12,219,165; FY 09 est \$14,900,000; FY 10 est \$14,400,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NOAA funded five Cooperative Science Centers established at minority serving institutions in the areas of atmospheric, oceanic and environmental sciences remote sensing and environmental technology. In addition, NOAA funded proposals in support of environmental restoration and high school training in the full range of natural and social sciences that support the agency's mission. To date, NOAA has hired 42 students from underrepresented communities in FTE positions since the program began in FY 2001. Twenty of these hires are Ph.D., and twenty-two are MS students. In addition, 41 Ph.D., 148 MS and 393 BS degree students have graduated from the designated Cooperative Science Centers with degrees in NOAA related sciences. There are currently 105 Ph.D. 107 MS and 263 BS students in training at the Science Centers sponsored by NOAA's Educational Partnership Program with Minority Serving Institutions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular No. A-21, "Cost Principles for Educational Institutions". For grants administration requirements, see 15 CFR Part 14, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqueline Rousseau National Oceanic And Atmospheric Association, Office of Education, Educational Partnership Program  
1315 East-West Highway, SSMC 3, Room 10600., Silver Spring, Maryland  
20910 Phone: (301) 713-9437

**Website Address:**

<http://www.epp.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (a) Cooperative Science Centers (b) High School Pipeline Projects Enhancement Projects (c) Demonstration Research Projects (d) Student Scholarship Programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to a review process taking into consideration the applicant(s) Performance Plan, research plans, scientific merit, investigator's qualifications, cost and available funds. Proposals must undergo a rigorous technical review and comply with all OMB, DoC and NOAA grant policies and procedures. Specific information about the selection process will be included in the solicitation.

**11.553 SPECIAL PROJECTS**

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

Varies, includes American Reinvestment and Recovery Act, Public Law 111-5, 123 Stat. 115.

**OBJECTIVES:**

To assist various organizations identified by Congress or through non-competitive grants to achieve agency objectives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress or through non-competitive grants.

**Applicant Eligibility:**

Organizations specifically identified by Congress in agency appropriations legislation or other authority that provides for non-competitive grants.

**Beneficiary Eligibility:**

Beneficiaries are those served by the organizations receiving awards.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. None.

**Award Procedure:**

Submit all standard forms (SF-424 Series Forms), project proposal and budget following the format specified by the Department of Commerce.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies depending on project. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for 3 years from the date on which the final expenditure report is submitted to NIST.

**Account Identification:**

13-0515-0-1-376; 13-0556-0-2-376; 13-0500-0-1-376.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$2,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wayne A. Ritchie U.S. Department of Commerce  
1401 Constitution Ave. NW  
Room 4812, NTIA/OTIA, Washington, District of Columbia 20230 Email:  
writchie@ntia.doc.gov Phone: 2024825515

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.557 BROADBAND TECHNOLOGY OPPORTUNITIES PROGRAM (BTOP)**

**FEDERAL AGENCY:**

Department of Commerce

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.

**OBJECTIVES:**

The purposes of the Broadband Technology Opportunities Program (BTOP) include accelerating broadband deployment in unserved and underserved areas and ensuring that strategic institutions which are likely to create jobs or provide significant public benefits have broadband connections.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants under the Broadband Technology Opportunities Program will be awarded to: (1) provide access to broadband service to U.S. consumers in unserved areas; (2) provide improved access to broadband in underserved areas; (3) provide broadband support and services to strategic institutions; (4) improve broadband access by public safety agencies; and (5) stimulate broadband demand, economic growth, and job creation. Competitive grants under the Broadband Technology Opportunities Program will be awarded to:

(1) provide access to broadband service to U.S. consumers in unserved areas; (2) provide improved access to broadband in underserved areas; (3) provide broadband support and services to strategic institutions; (4) improve broadband access by public safety agencies; and (5) stimulate broadband demand, economic growth, and job creation.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance, or will comply, with the Department of Commerce assurances included in the standard application. Applicants must also: provide assurances that they will substantially complete funded projects in accordance with project timelines, not to exceed two years following an award; provide a detailed explanation of how any amount received under the program will be used to carry out the purposes of the Program in an efficient and expeditious manner; show that the project would not have been implemented during the grant period without Federal grant assistance; demonstrate that it is capable of carrying out the project or function to which the application relates in a competent manner in compliance with all applicable Federal, State, and local laws; demonstrate that it will appropriate (if the applicant is a State or local government agency) or otherwise unconditionally obligate, from non-Federal sources, funds required to meet the requirements of Section 6001, subsection (f); disclose the source and amount of other Federal or State funding sources from which the applicant receives, or has applied for, funding for activities or projects to which the application relates; and provide such assurances and procedures as may be required to ensure that grant funds are used and accounted for in an appropriate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance to potential applicants regarding the requirements of the Broadband Technology Opportunities Program. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office, or official, designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as approved by the Office of Management and Budget (OMB) and provided by NTIA must be used for this program, including the Standard Form 424 (Rev 4-92) and the required certifications.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria as established in the Notice of Funding Availability. The Assistant Secretary, or its designate, may select an application for funding, in whole or in part, and will notify the applicant of final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The NTIA Administrator shall select and publish in the Federal Register the date by which new applications must be filed in order to be considered for funding in the referenced fiscal year.

Awards for the Program will be announced no later than September 30, 2010.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Public Law 111-5-February 17, 2008.

The Federal share of any project may not exceed 80 percent unless a waiver is granted to applicant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The award period for successful applicants is not to exceed two years as specified in Public Law 111-5. Financial assistance is generally released as required during the award. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. The NTIA Assistant Secretary, or its designate, may establish additional reporting and information requirements for any recipient of an award.

As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to the NTIA ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from NTIA.
2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
  - a. The name of the project or activity;
  - b. A description of the project or activity;
  - c. An evaluation of the completion status of the project or activity;
  - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment. No cash reports are required. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to the NTIA ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from NTIA.
2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
  - a. The name of the project or activity;
  - b. A description of the project or activity;
  - c. An evaluation of the completion status of the project or activity;
  - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment. Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. The NTIA Assistant Secretary, or its designate, may establish additional reporting and information requirements for any recipient of an award. Progress reports and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with the terms and conditions of the award and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 2

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-0554-0-1-376.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$892,000,000; FY 10 est \$3,307,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The application package containing the Notice of Funding Availability, application forms and guidelines will be available at [www.ntia.doc.gov/recovery](http://www.ntia.doc.gov/recovery). Cost will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and for-profit organizations; and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura Breeden Broadband Technology Opportunities Program  
Office of Telecommunications Applications  
1401 Constitution Avenue, NW  
Room 4812  
, Washington, District of Columbia 20230 Email: [lbreedden@ntia.doc.gov](mailto:lbreedden@ntia.doc.gov)  
Phone: 202-482-5032

**Website Address:**

<http://www.ntia.doc.gov/recovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the grant, the NTIA Assistant Secretary, or its designate, will consider the projects conformance with the program purposes and funding criteria set forth in the legislation and the Notice of Funding Availability.

**11.558 STATE BROADBAND DATA AND DEVELOPMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Commerce

**AUTHORIZATION:**

The Broadband Data Services Improvement Act, Public Law No. 110-385, 122 Stat. 4100 (October 10, 2008) and The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.



**OBJECTIVES:**

To establish a competitive grant program to develop and implement statewide initiatives to identify and track the availability and adoption of broadband services within each State.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding under the State Broadband Data and Development Grants Program will be awarded to provide for the collection of mapping data and the creation of a geographic broadband inventory map, within each state, so as to promote the development and maintenance of a comprehensive nationwide inventory map of existing broadband service capability and availability in the United States.

Though priority will be given to mapping-related uses, other uses provided for by the statute include: identification and tracking of low broadband deployment levels, broadband adoption rates, and possible broadband suppliers; identification of barriers to adoption of broadband and related technology services; identification of broadband connection speeds; creation and facilitation of technology planning teams; facilitation of collaborations between providers and information technology companies to encourage broadband deployment and use; establishment of programs to improve computer ownership and Internet access; collection and analysis of market data on broadband use and demand; and facilitation of information exchange between public and private sectors regarding broadband use and demand. Funding under the State Broadband Data and Development Grants Program will be awarded to provide for the collection of mapping data and the creation of a geographic broadband inventory map, within each state, so as to promote the development and maintenance of a comprehensive nationwide inventory map of existing broadband service capability and availability in the United States. Though priority will be given to mapping-related uses, other uses provided for by the statute include: identification and tracking of low broadband deployment levels, broadband adoption rates, and possible broadband suppliers; identification of barriers to adoption of broadband and related technology services; identification of broadband connection speeds; creation and facilitation of technology planning teams; facilitation of collaborations between providers and information technology companies to encourage broadband deployment and use; establishment of programs to improve computer ownership and Internet access; collection and analysis of market data on broadband use and demand; and facilitation of information exchange between public and private sectors regarding broadband use and demand. Up to \$350 million.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance or will comply with the Department of Commerce requirements as provided in the Notice of Funds Availability (NOFA) and as included in the standard application and that they have been designated by the State as the single eligible entity designated by the State to receive a grant under this Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance to potential applicants regarding the requirements of the State Broadband Data and Development Grant Program in preparing application forms.

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as approved by OMB and provided by NTIA must be used for this program, including the Standard Form 424 (Rev 4-92) and the

required certifications.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria as established in the NOFA. The Secretary of Commerce, or its designate, may select an application for funding, in whole or in part, and will notify the applicant of final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Secretary of Commerce, or its designate, shall select and publish in the NOFA the date by which new applications must be filed in order to be considered for funding in the referenced fiscal year.

Awards for the Program will be announced within 60 days from the filing of an application.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Public Law 110-385-Oct. 10, 2008.

To be eligible to receive a grant an eligible entity shall contribute matching non-Federal funds in an amount equal to not less than 20 percent of the total amount of the grant.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Successful applicants will implement their initiatives in the most efficient and expeditious manner practicable while complying with all applicable Federal, state and local laws and accounting for grant funds in an appropriate manner. The actual time will vary depending on the complexity of a particular project, although all projects must be completed before such deadline as the Secretary of Commerce, or its designate, shall select and publish in the NOFA. No-cost extensions may be requested in writing if circumstances require additional time, and extensions must be approved by the Grants Officer. Financial assistance is generally released as required during the award. See the following for information on how assistance is awarded/released: Financial assistance is generally released as required during the award.

**Reports:**

No program reports are required. No cash reports are required. Financial and progress reports are to be submitted in accordance with the terms and conditions of the award and as required pursuant to section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law No. 111-5. Grant recipients are also required to make such reports available for posting on the Department of Commerce website. Grant recipients shall provide collected data of such type and in such format as required in the NOFA and shall make such data available to the Department of Commerce, or its designate, for processing and posting on the Internet. The NTIA Assistant Secretary may establish additional reporting and information requirements. Financial and progress reports are to be submitted in accordance with the terms and conditions of the award and as required pursuant to section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law No. 111-5. Grant recipients are also required to make such reports available for posting on the Department of Commerce website. Grant recipients shall provide collected data of such type and in such format as required in the NOFA and shall make such data available to the Department of Commerce, or its designate, for processing and posting on the Internet. The NTIA Assistant Secretary may establish additional reporting and information requirements. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with the terms and conditions of the award and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-0554-0-1-376.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$170,000,000; FY 10 est \$18,000,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The application package containing the NOFA, application forms and guidelines can be obtained at [www.ntia.doc.gov/recovery](http://www.ntia.doc.gov/recovery). Cost will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and for-profit organizations; and 15CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Edward "Smitty" Smith National Telecommunications and Information Administration, Room 4812, Department of Commerce, 1401 Constitution Avenue NW, Washington, District of Columbia DC 20230 Email: [esmith@ntia.doc.gov](mailto:esmith@ntia.doc.gov) Phone: (202) 482-1830

**Website Address:**

<http://www.ntia.doc.gov/recovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the grant, the Secretary of Commerce, or its designate, will consider the projects conformance with the Program purposes and funding criteria set forth in the statute and the NOFA.

**11.559 LOW-POWER TELEVISION AND TRANSLATOR UPGRADE PROGRAM**

**FEDERAL AGENCY:**

Department of Commerce

**AUTHORIZATION:**

Communications Act of 1934, 47 U.S.C.309(j)(8)(E) as amended, Public Law 109-171 Deficit Reduction Act of 2005, Title III - Digital Television Transition and Public Safety, February 8, 2006.

**OBJECTIVES:**

The Low-Power Television and Translator Upgrade Program (Upgrade Program) reimburses licensees of eligible low-power television stations for equipment to upgrade low-power television stations from analog to digital in

eligible rural communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Provides reimbursement toward the cost of equipment to upgrade low-power television stations from analog to digital broadcasting. The program will provide reimbursement for equipment to upgrade low-power stations in eligible rural communities from analog to digital.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

All applicants must supply proof of eligibility. Applicants must certify proof of Federal Communications Commission (FCC) license. Applicants must provide assurances required under Program Rules and Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms as furnished by the Federal Agency/LPTV and approved by OMB must be used for this program. The Application Kit can be retrieved from the web-site at [www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv). By the deadlines, applicants must file a completed application form and required certifications. Applications postmarked or received after the deadline will be held until the next grant round.

**Award Procedure:**

Applications are reviewed for completeness and verified with FCC data. Priority compensation shall be given to eligible low-power television stations in which the license is held by a non-profit corporation or eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**Deadlines:**

May 12, 2009 to Jul 13, 2009: The Priority Round Closing Date. After August 10, 2009, applications for the next grant round must be received at NTIA by 5 p.m., Eastern Time, the first business day of each subsequent month as long as funds are available (Closing Dates). Applications received after any of the monthly Closing Dates will be held until the next grant round.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Program will conduct a grant round for those applicants that qualify for priority reimbursement, then will conduct grant rounds on a continuing basis until all funds are awarded.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are generally within 90 days. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits may be conducted in accordance with the terms and conditions of the

award and Department of Commerce Financial Assistance Standard Terms and Conditions.

**Records:**

Grant recipient must retain records for three years.

**Account Identification:**

13-5396-0-2-376.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$41,370,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$6,000-\$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from [www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv)

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. William Cooperman Office of Telecommunications and Information Applications/NTIA  
1401 Constitution Avenue, NW  
Room 4812  
, Washington, District of Columbia 20230 Email: [lptv@ntia.doc.gov](mailto:lptv@ntia.doc.gov) Phone: 202 482-5802 Fax: 202 482-2156

**Website Address:**

<http://www.ntia.doc.gov/lptv>

**RELATED PROGRAMS:**

11.554 Low-Power Television and Translator Digital-to-Analog Conversion;  
11.559 Low-Power Television and Translator Upgrade Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority reimbursement shall be given to eligible low-power television stations in which the license is held by a non-profit corporation and eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**11.609 MEASUREMENT AND ENGINEERING RESEARCH AND STANDARDS**

**FEDERAL AGENCY:**

National Institute of Standards and Technology (NIST), Department of Commerce

**AUTHORIZATION:**

National Institute of Standards and Technology (NIST) Act, 15 U.S.C 271 - 282a; Trade Act, 19 U.S.C 2343 - 45.

**OBJECTIVES:**

To provide scientific research and technology transfer for measurement and engineering research and standards.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Grant money will be used to further scientific research and technology transfer, in areas of fire research, building research, precision measurement, automation manufacturing, materials science, chemistry, physics, biotechnology, electronics, optical technologies, mathematics, neutron research, nanoscale science and technology, manufacturing engineering, communications and information science and technology and other areas of specific research. Under the Recovery Act, research grants and cooperative agreements will be used to support measurement science and engineering research proposals in the following six focus areas: energy, environment and climate change, information technology/cybersecurity, biosciences/healthcare, manufacturing, and physical infrastructure.

**Applicant Eligibility:**

Institutions of higher education (e.g. universities and colleges), professional institutes and associations, nonprofit organizations, State and local governments, laboratories, and commercial organizations.

**Beneficiary Eligibility:**

Universities, colleges, professional institutes and associations, nonprofit organizations, State and local governments, and commercial organizations.

**Credentials/Documentation:**

Applicants must have and demonstrate scientific competence in areas of research for which grants are requested. Costs will be determined in accordance with applicable cost principles found at 2 CFR Part 220, Cost Principles for Education Institutions (OMB Circular A-21), 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87), 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122), 48 CFR 31 for Commercial Organizations, 45 CFR 74, Appendix E for Hospitals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should reply to notices published as Federal funding opportunities at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Award process based upon published selection criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regular programs approval times are from 6 to 9 months. Recovery Act programs approval/disapproval times are approximately 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Future or continued funding will be at the discretion of NIST, based on such factors as satisfactory performance and the availability of funds. Renewals are competed whereas continuations of multi-year agreements are not subject to further competition.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually one to five years in length. Recovery Act awards are from one to three years. See the following for information on how assistance is awarded/released:  
Automated Standard Application for Payment System (ASAP).

**Reports:**

Semi-annual and final program and financial status reports are required; unless specified in award document. For Recovery Act, reporting requirements are quarterly. Semi-annual and final program and financial status reports are required; unless specified in award document. For Recovery Act, reporting requirements are quarterly. Semi-annual and final program and financial status reports are required; unless specified in award document. For Recovery Act, reporting requirements are quarterly. Semi-annual and final program and financial status reports are required; unless specified in award document. For Recovery Act, reporting requirements are quarterly. Semi-annual and final program and financial status reports are required; unless specified in award document. For Recovery Act, reporting requirements are quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

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

**Records:**

All records of accounts and supporting documents will be retained by recipient and subcontractors for a period of three years from the date of submission of final expenditure report.

**Account Identification:**

13-0525-0-1-376; 13-0500-0-1-376; 13-4650-0-4-376; 13-0515-0-1-376 - American Recovery Act; 13-0549-0-1-376 - American Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$39,043,000; FY 09 est \$118,048,000; FY 10 est \$9,897,000 - Assistance Type also includes PROJECT GRANTS/Project Grants. (Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$35,000,000 - American Recovery Act. Assistance Type also includes PROJECT GRANTS/Project Grants.

**Range and Average of Financial Assistance:**

Dependent upon nature and type of grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Five hundred forty nine grants, cooperative agreements, and amendments were funded in fiscal year 2008. Fiscal Year 2009: It is estimated that approximately the same level will be funded in fiscal year 2009. Fiscal Year 2010: Approximately the same level will be funded in fiscal years 2010 under the regular program, and approximately 20-60 awards under the Recovery Act in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 15 CFR 24 and 15 CFR 14.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Institute of Standards and Technology Regular program - 100 Bureau Drive, Mail Stop 1650  
Recovery Act program -100 Bureau Drive, Bldg.101, Room A1001, Mail Stop 1060, Gaithersburg, Maryland 20899 Phone: 301-975-2667;ARRA 301-975-4455

**Website Address:**

<http://www.nist.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include: Development and Study of Strong and Ductile Magnesium Alloys; Experimental Investigation of Vitiated Flame Behavior and Self-Extinction in Fires; Interaction of Laser and Synchrotron Radiation with Semiconductor Photodetectors; Measurements of Molecular Assemblies on Surfaces; and Ultra-Thin Oxide Metrology and Reliability. Fiscal Year 2009: Development of an Indoor Intelligent and Automated Construction Job Site Testbed; Metal/Oxide Catalytic Effects on Mg-Based Metal Hydride Hydrogen Storage; NanoParticle Characterization for NanoMedicine Applications; Ambient, Dry State Preservation of Therapeutic Macromolecules Materials Dynamics and Protein Stability Studies; The Development of Next Generation Simulation Tools to Evaluate Cementitious Barriers and Materials Used in Nuclear Applications. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria vary with competition. Specific criteria listed in the Federal Funding

Opportunities posted at [www.grants.gov](http://www.grants.gov).

**11.611 MANUFACTURING EXTENSION PARTNERSHIP**

**FEDERAL AGENCY:**

National Institute of Standards and Technology (NIST), Department of Commerce

**AUTHORIZATION:**

Omnibus Trade and Competitiveness Act of 1988, 15 U.S.C 278K, as amended by American Technology Preeminence Act of 1991; Technology Administration Act of 1998

, Public Law 10-418; America Competes, Public Law 110-69.

**OBJECTIVES:**

To establish, maintain, and support manufacturing extension centers and services, the functions of which are to improve the competitiveness of firms accelerating the usage of appropriate manufacturing technology by smaller U.S. based manufacturing firms, and partner with the States in developing such technical assistance programs and services for their manufacturing base.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Federal funding provided under this program shall be used for the creation and support of manufacturing extension services, or used by the States to plan for and pilot test state-wide extension services. It may also be used to plan for and pilot test services within a multi-state region which has sufficient regional linkages to justify such services. Extension service providers shall be affiliated with a U.S. based nonprofit institution or organization or group thereof. Funds may be used for the purpose of demonstrations, technology deployment, active transfer and dissemination of research findings and extension service expertise to a wide range of companies and enterprises, especially small manufacturers with fewer than 500 employees. Congressional funding has been provided annually since fiscal year 1988 (under Manufacturing Technology Centers and the State Technology Extension Program, which were combined into the Manufacturing Extension Partnership in fiscal year 1993).

**Applicant Eligibility:**

For extension services, eligible applicants shall be U.S.-based nonprofit institutions or organizations or groups thereof. Applicants must contribute 50 percent or more of the proposed service's capital, annual operating and maintenance costs. At least 50 percent of the applicant's share must be as cash or full-time personnel. For extension service planning and pilot services agreements, eligible applicants shall be State governments and State affiliated nonprofit organizations. For multi-state regional planning and pilot services agreements, eligible applicants shall be State and local governments, representing either themselves or a consortium of States, and appropriate private or public nonprofit organizations, operating on behalf of a consortium of States or as a representative of States.

**Beneficiary Eligibility:**

Beneficiary shall be U.S.-based manufacturing firms, especially smaller companies.

**Credentials/Documentation:**

An applicant for manufacturing extension centers must submit a proposal in accordance with 15 CFR 290, which provides assurances that they will contribute 50 percent or more of the proposed center's capital, annual operating and maintenance costs unless otherwise indicated in formal program announcements. Proposals also must contain sufficient information regarding management, technical, and technology strengths sufficient for a formal merit review of the proposal. Applicants must have and demonstrate competence in areas for which financial assistance is requested. Costs will be determined in accordance with applicable cost principles found in 2 CFR Part 225 for State and local governments, 2 CFR Part 220 for educational institutions, 2 CFR Part 230 for nonprofit organizations, 48 CFR 31 for commercial organizations, and 45 CFR 74, Appendix E for hospitals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The extension service planning and pilot testing portion of this program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs". An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. For manufacturing extension centers, no formal preapplication is required, although applicants are advised to discuss their proposal during the early stages of development with NIST MEP regional managers. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit proposals in accordance with deadlines and other details as published in formal program announcements including Standard Form 424 and Commerce Department Form 511. Applicants for manufacturing extension centers must follow the format set out in 15 CFR 290.

**Award Procedure:**

All timely submitted and qualified proposals are reviewed by a NIST selection panel. For proposals for manufacturing extension centers, the finalists' proposals are selected on the basis of NIST evaluations and judgments based on published evaluation criteria, and may undergo a site visit.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicants should be notified within 60 to 90 days of the application deadline for extension service planning/pilot testing agreements, and 120 days for manufacturing extension centers.

**Appeals:**

Not Applicable.

**Renewals:**

Future or continued funding will be based on availability of funds, and will be based on satisfactory performance, and may be subject to competition.

**Formula and Matching Requirements:**

Statutory Formula: Chapter 15, Part 290. A State may be required to provide adequate assurances that it will increase its spending on technology extension by an amount at least equal to the amount of Federal assistance requested. For manufacturing extension centers, the program has no statutory formula.

Matching Requirements: For years 1-3, applicants must provide at least 50 percent of the capital, annual operating and maintenance funds required to create and maintain the center. For year 4, applicants must provide 60 percent, and 66.7 percent for year 5 and beyond. Funds may be provided by any non-Federal source. A minimum of 50 percent of the applicant's share must be as cash or full-time personnel.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For extension service planning and pilot-testing agreements, one year. For manufacturing extension centers, duration of support is based upon positive evaluation every two years, and availability of funds. See the following for information on how assistance is awarded/released: On a reimbursable basis as expenses are incurred by the center.

**Reports:**

Quarterly progress and financial reports are required. Each request for reimbursement must be accompanied by a report of applicant's cost-share contribution. Quarterly progress and financial reports are required. Each request for reimbursement must be accompanied by a report of applicant's cost-share contribution. Quarterly progress and financial reports are required. Each request for reimbursement must be accompanied by a report of applicant's cost-share contribution. Quarterly progress and financial reports are required. Each request for reimbursement must be accompanied by a report of applicant's cost-share contribution. Each awardee receives an annual performance review prior to renewal of federal funding. In addition, 15 USCS 278k requires each awardee to be reviewed by an external panel during years three and six and every two

years thereafter.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of awardees or subawardees are required to be maintained by the terms of the agreement. The awardees must retain records for 3 years after completion of the project or submission of the final financial report, whichever is later, and be readily available for inspection and audit.

**Account Identification:**

13-0525-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 08 \$71,750,000; FY 09 est \$92,000,000; FY 10 est \$100,950,000 - Dissemination of Technical Information.

**Range and Average of Financial Assistance:**

Individual awards for extension service planning and pilot testing agreements should range between \$25,000 and \$100,000. Awards for manufacturing extension centers fall in the range of \$200,000 to \$6,500,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: MEP Client impacts as a direct result of MEP activities (FY2007)

New and retained sales: \$10.5 billion

Cost Savings: \$1.4 billion

New Investment: \$2.2 billion

Jobs created and retained: 57,079. Fiscal Year 2009: In fiscal year 2009, the MEP program will continue to increase U.S. manufacturers productivity and competitiveness as well as to ensure reliable and secure supply chains. NIST MEP will leverage the manufacturing extension infrastructure by cooperating with other federal agencies to encourage innovative practices, to develop a workforce ready to meet the demands of our nation's high growth industries and to expand manufacturers participation in the global economy. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are codified at 15 CFR 290-92. A Federal Register Notice announcing the request for proposals from qualified organizations will be published when funds are available. This program is subject to the provisions of 15 CFR 24 and 15 CFR 14.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. Roger Kilmer 100 Bureau Drive Stop 4800, Gaithersburg, Maryland 20899-4800 Phone: (301) 975-5020

**Website Address:**

<http://www.mep.nist.gov>.

**RELATED PROGRAMS:**

11.303 Economic Development\_Technical Assistance; 43.002 Technology Transfer; 59.037 Small Business Development Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A map of the current funded MEP centers is available at <http://www.mep.nist.gov/about-mep/center-info.html>. Fiscal Year 2009: A map

of the current funded MEP centers is available at <http://www.mep.nist.gov/about-mep/center-info.html>. Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected on the basis of merit. Selection criteria are published in the Federal Funding Opportunity, and for manufacturing extension centers, appear in 15 CFR 290.

#### **11.616 TECHNOLOGY INNOVATION PROGRAM (TIP)**

(TIP)

##### **FEDERAL AGENCY:**

National Institute of Standards and Technology (NIST), Department of Commerce

##### **AUTHORIZATION:**

The America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, Section 3012, Public Law 110-69, 15 U.S.C 278n.

##### **OBJECTIVES:**

Technology Innovation Program (TIP), is a cost-shared federal financial assistance program to support, promote, and accelerate innovation in the United States through high-risk, high-reward research in areas of critical national need.

##### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

##### **USES AND USE RESTRICTIONS:**

Single small or medium sized company recipients can receive up to a total of \$3 million in TIP funding for R and D activities spanning up to 3 years. TIP funds may only be used to pay direct costs. Single company recipients are responsible for funding all of their indirect/overhead costs. Small and medium sized companies applying as single company proposers must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs). A large-sized company is not eligible to apply for TIP funding. Joint venture recipients can receive up to a total of \$9 million for R and D activities spanning up to 5 years. TIP funds may only be used to pay direct costs. Joint ventures are responsible for funding all of their indirect/overhead costs. Joint ventures must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs). A joint venture is a business arrangement that includes (1) at least two separately owned small-sized or medium-sized for-profit companies that are both substantially involved in the project and both of which are contributing to the cost-sharing requirement, with the lead entity of the joint venture being an eligible company as defined in the TIP regulations (15 CFR Part 296); or (2) at least one eligible company and one institution of higher education or other organization, such as a national laboratory, governmental laboratory (not including NIST), or nonprofit research institute, that are both substantially involved in the project and both of which are contributing to the cost sharing requirement, with the lead entity of the joint venture being either the eligible company or the institution of higher education.

##### **Applicant Eligibility:**

A U.S.-owned, single, small-sized or medium-sized company doing a majority of its business in the United States or a joint venture may apply for TIP funding. Members of joint ventures that are companies must also be doing a majority of their business in the United States. In addition, a company incorporated in the United States that has a parent company incorporated in another country may apply as either a single applicant or a joint venture member provided that certain requirements are met. Institutions of higher education, national laboratories, governmental laboratories (not including NIST), and nonprofit research institutions may also participate as a member of a joint venture.

##### **Beneficiary Eligibility:**

A U.S.-owned, single, small-sized or medium-sized company doing a majority of its business in the United States or a joint venture may apply for TIP funding. Members of joint ventures that are companies must also be doing a majority of their business in the United States. In addition, a company incorporated in the United States that has a parent company incorporated in another country may apply as either a single applicant or a joint venture member provided that certain requirements are met. Institutions of higher education, national laboratories, governmental laboratories (not including NIST), and nonprofit

research institutions may also participate as a member of a joint venture.

##### **Credentials/Documentation:**

Proposals require statements of work and detailed budgets. Costs will be determined in accordance with applicable federal cost principles found in OMB Circular Nos. A-21 for institutions of higher education, A-122 for nonprofit organizations, 48 C.F.R. 31 for commercial organizations, and 45 C.F.R. 74, Appendix E for hospitals. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted in response to formal competition announcements and requests for proposals published in the Federal Register and Grants.gov. Proposals must be prepared in accordance with the instructions in the TIP Proposal Preparation Kit.

##### **Award Procedure:**

Competitive award process based upon published evaluation and award criteria.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

TIP awards may be renewed within the statutory time limitation based on satisfactory performance and availability of funds.

##### **Formula and Matching Requirements:**

Statutory Formula: Chapter 15, Part 296.

Matching Requirements: Percent: 50%. Recipients must cost share at least 50 percent of the yearly total project costs (direct plus all of the indirect costs). This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Single recipients may receive TIP funding for up to 3 years. Joint venture recipients may receive funding for up to 5 years. See the following for information on how assistance is awarded/released: Automated Standard Application for Payment System (ASAP).

##### **Reports:**

Quarterly technical performance, impact assessment, and financial reports. Quarterly and financial reports. Quarterly technical performance, impact assessment reports. Quarterly financial reports. Quarterly technical performance and impact assessment reports.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of all recipients shall be conducted in accordance with Government Auditing Standards (GAS) issued by the Comptroller General of the United States (the Yellow Book). TIP recipients covered under OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, should have an audit performed in accordance with the requirements of the OMB Circular.

##### **Records:**

All financial and programmatic records are required to remain available to the federal government for 3 years from the date of submission of the final financial status report.

**Account Identification:**

13-0525-0-1-376.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$0; FY 09 est \$10,572,000; FY 10 est \$34,127,000

**Range and Average of Financial Assistance:**

New program; therefore, no range and average available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: TIP funded 9 new projects as a result of its FY 2008 competition for funding. These 9 projects will be funded with \$42.5 million of TIP investment and \$45.6 million of awardee cost share over up to 5 years, for a total investment of \$88 million in high-risk, innovative R&D. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations are published at 15 C.F.R. Part 296. The TIP Proposal Preparation Kit is available at [www.nist.gov/tip/helpful.html](http://www.nist.gov/tip/helpful.html). This program is also subject to the provisions of 15 C.F.R. Part 14.

**Regional or Local Office:**

See Regional Agency Offices. Technology Innovation Program, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4701, Gaithersburg, MD 20899-4701. Telephone: 1 (888) 847-6478. Fax: (301) 926-9524. Email: [tip@nist.gov](mailto:tip@nist.gov).

**Headquarters Office:**

Lorel Wisniewski 100 Bureau Drive, Stop 4700, Gaithersburg, Maryland 20899-4700 Email: [lorel.wisniewski@nist.gov](mailto:lorel.wisniewski@nist.gov) Phone: (301) 975-5187 Fax: (301) 975-1150

**Website Address:**

[www.nist.gov/tip](http://www.nist.gov/tip).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: TIP funded 9 projects during its 2008 competition in the area of Advanced Sensing Technologies for Infrastructure: Roads, Highways, Bridges and Water Systems. See project details on the TIP website at <http://tipex.nist.gov/tippb/prjbriefs/listmaker.cfm>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected for funding based on the evaluation criteria listed in 15 C.F.R. 296.21 and the award criteria listed in 15 C.F.R. 296.22. Additionally, no proposal will be funded unless TIP determines that it has scientific and technical merit and that the proposed research has strong potential for addressing a societal challenge within the TIP-identified areas of critical national need.

**11.618 NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY CONSTRUCTION GRANT PROGRAM****FEDERAL AGENCY:**

National Institute of Standards and Technology (NIST), Department of Commerce

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law 111-5; The Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

To provide competitively awarded grant funds for research science buildings through the construction of new buildings or expansion of existing buildings. For purposes of this program, "research science building" means a building or facility whose purpose is to conduct scientific research, including laboratories, test facilities, measurement facilities, and/or observatories.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the construction of new or expansion of existing research science buildings whose purpose is to conduct scientific research, including laboratories, test facilities, measurement facilities, and observatories. Projects to construct or expand a building not intended for performing research or that will predominately be equipped with routine office equipment and/or lecture/class room furnishings are ineligible. Unallowable/Ineligible Costs. The following items, regardless of whether they are allowable under the Federal cost principles, are unallowable under this program:

- (1) Any equipment used for research or otherwise that is not an integral part of the buildings structure, e.g., MRI, portable air conditioners, etc.
- (2) Costs or charges associated with routine maintenance, operation, interior decorating, or landscaping of any building.
- (3) Purchase of land.
- (4) Costs incurred prior to award are not eligible for reimbursement or as cost share.

Limit on Letters of Intent and Proposals per Applicant. Letters of Intent and full proposals are limited to one per applicant organization. Distinct academic campuses (that award their own degrees, have independent administrative structures, admission policies, alumni associations, etc.) within multi-campus systems qualify as separate institutions.

**Applicant Eligibility:**

Institutions of higher education and nonprofit organizations are eligible to apply.

**Beneficiary Eligibility:**

Institutions of higher education and nonprofit organizations are eligible to apply.

**Credentials/Documentation:**

Proposals with statements of work and detailed budgets. Costs will be determined in accordance with applicable federal cost principles found in: 1) Institutions of Higher Education: 2 CFR Subtitle A, Chapter II, Part 220 (OMB Circular A-21); 2) Nonprofit organizations: 2 CFR Subtitle A, Chapter II, Part 230 (OMB Circular A-122); and Hospitals: 45 CFR Part 74, Appendix E. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted in response to formal competition announcements and requests for proposals published in the Federal Register and Grants.gov. Proposals must be prepared in accordance with the instructions in the Announcement of Federal Funding Opportunity (FFO) published on the Grants.gov Web site.

**Award Procedure:**

Competitive award process based upon published evaluation criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately nine months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Statutory formulas are not applicable to this program. Although cost sharing is not required it is encouraged for a proposal to be competitive. A minimum of 25 percent would be viewed favorably; 50 percent even more favorably.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to five years. See the following for information on how assistance is awarded/released: Automated Standard Application for Payment System (ASAP).

**Reports:**

Quarterly technical performance and financial reports. Additionally, grant recipients under the Recovery Act must also subject Recovery Act reports. No cash reports are required. Quarterly technical performance and financial reports. Additionally, grant recipients under the Recovery Act must also subject Recovery Act reports. Quarterly financial reports. Quarterly technical performance reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of all recipients shall be conducted in accordance with Government Auditing Standards (GAS) issued by the Comptroller General of the United States (the Yellow Book). Recipients covered under OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, should have an audit performed in accordance with the requirements of the OMB Circular.

**Records:**

Pursuant to 15 CFR 14.53.(b)(2), all financial and technical performance records are required to remain available to the federal government for 3 years after final disposition.

**Account Identification:**

13-0515-0-1-376 - The Omnibus Appropriations Act, 2009 ; 13-0514-0-1-376 - The American Recovery and Reinvestment Act of 2009 (Recovery Act).

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$30,000,000; FY 10 est \$30,000,000.  
(Project Grants) FY 08 \$0; FY 09 est \$60,000,000; FY 10 est \$120,000,000 - American Recovery Act.

**Range and Average of Financial Assistance:**

\$10 million to \$15 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 15 CFR Part 14.

**Regional or Local Office:**

See Regional Agency Offices. Barbara Lambis, Construction Grant Program Manager, National Institute of Standards and Technology, 100 Bureau Drive, Stop 4700, Gaithersburg, MD 20899-4700. Telephone: (301) 975-4447. Fax: (301) 869-1150. E-mail: barbara.lambis@nist.gov.

**Headquarters Office:**

Barbara Lambis National Institute of Standards and Technology  
100 Bureau Drive, Stop 4700  
. Gaithersburg, Maryland 20899-4700 Email: barbara.lambis@nist.gov Phone:  
(301) 975-4447 Fax: (301) 869-1150

**Website Address:**

www.nist.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Build-out and outfitting of an integrated precision and quantum measurement facility, construction of a marine ecosystem sensing observation and modeling laboratory, and construction of an aquatic animal health facility and expansion of a new aquatic pathobiology laboratory. Fiscal Year 2010: No Current Data

Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected for funding based on the evaluation criteria published in the Federal Register and Grants.gov notices.

**DEPARTMENT OF DEFENSE**

**12.400 MILITARY CONSTRUCTION, NATIONAL GUARD**

**FEDERAL AGENCY:**

National Guard Bureau, Department of Defense

**AUTHORIZATION:**

Military Construction, Veterans Affairs and Related Agencies Appropriations Act, 10 U.S.C 1803.

**OBJECTIVES:**

Provide for the acquisition, by purchase, transfer, construction, expansion, rehabilitation or conversion of facilities necessary for the training and administration of Army National Guard (ARNG) units in the 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Military Construction, National Guard are projects that create a complete and usable facility and encompasses one or more of the following: (1) Erection, installation or assembly of new facility. (2) Addition, expansion, extension, alteration, conversion (in the sense of facility modification caused by a change in facility utilization), or complete replacement of an existing facility. (3) Relocation of a facility from one installation to another. (4) Installed building equipment made a part of the facility. (5) Related site preparation, excavation, filing, landscaping or other land improvements. (6) Foundations, site work and utility work associated with the setup of relocatable buildings in accordance with Army Regulation 420-18. (7) Demolition of existing facilities when associated with one on of the actions listed above. Restrictions are listed in National Guard Regulation 415-5, paragraph 1-5, Statutory and Regulatory Limitations.

**Applicant Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Guam, and the territories. The State National Guard unit must be federally recognized. States must provide real estate for armory projects.

**Beneficiary Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Guam, and the territories. The State National Guard unit must be federally recognized. States must provide real estate for armory projects.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental assessments or environmental impact statements are required as appropriate to the project. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The State Adjutant General submits proposed projects in accordance with DOD and NGB construction criteria guidelines to the National Guard Bureau. This program is excluded from coverage under OMB Circular No. A-110 and No. A-102.

**Award Procedure:**

Congress authorizes, approves, and appropriates funds in the Military Construction, Veterans Affairs and related Agencies Appropriations Act and the National Guard Bureau reviews and approves all necessary plans, specifications, bidding documents, contracts and other documentation, before the award can be made.

**Deadlines:**



Sep 30, 2009 September 30 annually.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 6 to 9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. The Federal government contributes no more than 75 percent of the total cost of construction (including the cost of architectural, engineering and design services) for readiness centers. The Federal government contributes 100 percent for construction of other facilities. The State must provide all necessary real estate and the remainder of the funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be used during the performance period approved for each assistance award. See the following for information on how assistance is awarded/released: State requests an advance or reimbursement of funds based on project phases and execution.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are not applicable. States submit reports as directed by NGB. Final accounting and settlement must be accomplished in accordance with National Guard Regulation 5-1. Performance monitoring and review is done by the Facilities Management Office in each State.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States are responsible for obtaining an audit in accordance with the Single Audit Act of 1984, as amended, and OMB Circular A-133.

**Records:**

States are required to maintain records adequate to reflect the nature and extent of their cost and expenditures and to insure that the required costs of participation is achieved. Records must be maintained for 3 years following the date of submission of final requests for services rendered.

**Account Identification:**

21-2085-0-1-051.

**Obligations:**

(Cooperative Agreements) FY 08 \$101,700,000; FY 09 est \$134,500,000; FY 10 est \$66,100,000

**Range and Average of Financial Assistance:**

\$300,000 and up.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For specific program accomplishments, contact the State Adjutant General office in each State. Fiscal Year 2009: Construction of Joint Force Readiness Centers, Field Maintenance Shops and utility and energy saving improvements to ARNG facilities in various States. This also includes American Recovery and Reinvestment Act 2009 projects. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Guard Regulation 5-1, Grants and Cooperative Agreements and National Guard Regulation 415-5, Army National Guard Military Construction Program Execution.

**Regional or Local Office:**

See Regional Agency Offices. State Adjutant General office in each State.

**Headquarters Office:**

Elver Crow, 111 South George Mason Drive, Arlington, Virginia 22204 Email: elver.crow@us.army.mil Phone: (703) 601-7941. Fax: -

**Website Address:**

<http://www.ngb.dtic.mil/indexshtml/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.401 NATIONAL GUARD MILITARY OPERATIONS AND MAINTENANCE (O&M) PROJECTS**

**FEDERAL AGENCY:**

National Guard Bureau, Department of Defense

**AUTHORIZATION:**

Defense Appropriations Act 2009.

**OBJECTIVES:**

Provide funding for the States through cooperative agreements to support the operations and maintenance of Army National Guard (ARNG) and Air National Guard (ANG) facilities and provide authorized service support activities to National Guard units and personnel through assistance awards listed below. a. ARNG Real Property O&M Projects (RPOMA) - provide support for authorized facilities for leases, real property services, real property maintenance, and O & M minor construction projects. b. ARNG Environmental Programs Resources Management - for services provided to accomplish environmental actions such as Environmental Compliance/Corrective Projects, Environmental and Program Management. c. ARNG Security Guard Activities for security services provided at authorized facilities. d. ARNG Electronic Security System Installation - services to maintain Joint Services Interior Intrusion Detection Systems (J-SIIDS), Commercial Intrusion Detection Systems (CIDS), Exterior Intrusion Detection Systems and Closed Circuit Television (CCTV) used for security surveillance and associated on site and off site remote monitoring equipment at authorized facilities. e. ARNG Telecommunications - services provided for installation telecommunication activities. f. ARNG Aviation Training Base Operation - services provided for Air Traffic Control (ATC), Airport Agreements management and Aircraft Rescue Fire Fighting (AFF). g. ARNG Sustainable Range Program - services provided for range operations, range maintenance, leases, rentals and equipment at authorized ranges and training lands. h. ARNG Full Time Dining Facility Operations - services provided for Food Service Operations at authorized ARNG training sites. i. Office of the Chief - Administrative Services Activities - services provided for printing and duplication, mail distribution and records management services. j. ARNG Surface Petroleum support services provided for ARNG surface vehicle and equipment fuel. k. ARNG Aviation Reimbursable Maintenance Operations - support provided for aviation reimbursable maintenance operations to include the maintenance, fabrication, and/or repair of aircraft, aircraft subassemblies, and systems. l. ARNG Distributed Learning Program- services provided for the operation and management of linked Distance Learning centers using information technology (audio/video telecommunications) to train National Guard personnel. m. ARNG Anti-Terrorism Program Manager Activities- services provided in support of security and anti-terrorism prevention measures in State ARNG facilities. n. ANG Facilities Operations & Maintenance (FOMA) Activities - services provided at authorized facilities for leases, real property operations, real property maintenance and repair, and O & M minor construction costs. o. ANG Environmental Program Management- services provided to accomplish environmental compliance/corrective projects, environmental services, program management, hazardous waste management, environmental planning activities and natural resources actions. p. ANG Security Guard - services in rendering security guard activities at authorized facilities. q. ANG Fire Protection Activities - services provided for authorized fire protection activities. r. ANG Natural and Cultural Resources Management - for

Natural and Cultural resource Management projects to comply with environmental laws, conserve and restore the environment. s. ANG Air Traffic Control Activities - service provided to perform non-approach control air traffic control and aviation weather observing/reporting. t. ANG Logistics Facilities - services provided for painting NG aircraft and related administrative support. u. ANG Services Resources Management services provided by employees for training, lodging and food service activities (cooks, custodial support and food service accounting) at authorized locations. v. ANG Combat Readiness Training Center (CRTC) Base Operating Support- services provided for CRTC operations at authorized ANG centers. w. State Family Program Activities- services provided to ARNG and ANG families preparing for deployment, during deployment and upon return from deployment to include orientation workshops, conferences and social service activities briefings, counseling and assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

O&M Projects support Army and Air National Guard activities approved by NGB and executed in accordance with National Guard Regulation (NGR) 5-1, NG Grants & Cooperative Agreements.

**Applicant Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam. The State National Guard unit must be federally recognized.

**Beneficiary Eligibility:**

The 50 States, District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, and Guam. The State National Guard must be federally recognized.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The State Adjutant General annually submits proposed projects/activities in accordance with National Guard Bureau criteria guideline and directives.

**Award Procedure:**

Congress authorizes, approves and appropriates funds for National Guard Operations & Maintenance in the Defense Appropriations Act. NGB reviews and approves requests for project/activity execution.

**Deadlines:**

Jun 30, 2009 to Sep 30, 2009

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 1 to 2 months.

**Appeals:**

Not Applicable.

**Renewals:**

Requires submission of a budget proposal to NGB each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: State matching funds vary depending on the assistance activity. Required State matching amount is identified in each agreement.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Twelve month funding. See the following for information on how assistance is awarded/released: NGB Cooperative Agreements do not go through an award process. Agreements are funded at the beginning of the Fiscal Year or through quarterly allotments.

**Reports:**

Reports are required as directed by NGB. Final accounting and settlement must be accomplished in accordance with NGR 5-1. No cash reports are required. Report requirements are specified in each activity agreement. Expenditure reports are required as specified in each activity agreement and in accordance with the Finance Chapter, NGR 5-1. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single Audit Act of 1984, OMB A-133 Compliance Supplement and Chapter 4, NGR 5-1.

**Records:**

States are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure required costs of participation are achieved. Records must be maintained for 3 years following the request for payment date the service was rendered.

**Account Identification:**

57-3840-0-1-051 - For all ANG projects.; 21-2065-0-1-051 - For all ARNG projects.

**Obligations:**

(Salaries) FY 08 \$1,353,255,689; FY 09 est \$1,500,000,000; FY 10 est \$1,700,000,000 - ARRA of 2009 funded projects for O&M are covered under this CFDA.

**Range and Average of Financial Assistance:**

\$100,000 and up.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For specific program/activity accomplishments contact the program manager listed in Appendix IV of the CDFA catalogue under the NGB Headquarters offices. Fiscal Year 2009: For specific program/activity accomplishments contact the program manager listed in Appendix IV of the CFDA catalogue under the NGB Headquarters offices. Fiscal Year 2010: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Guard Regulation 5-1.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mary Ellen Lewis 1411 Jefferson Davis Highway  
NGB-PARC-A Suite 8200, Arlington, Virginia 22202-3231 Email:  
maryellen.lewis@us.army.mil Phone: 703-607-1002 Fax: 703-607-1174

**Website Address:**

<http://www.ngb.army.mil>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: DESCRIBE THE PROCESS BY WHICH PROJECTS ARE FUNDED, I.E. THROUGH STATE IMPLEMENTATION AND READERS WOULD NEED TO CONTACT THE STATE ADJUTANT GENERAL'S OFFICE FOR MORE INFORMATION ON FUNDED PROJECTS. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States shall submit annual financial plans which will be reviewed, prioritized, and approved by the appropriate NGB Program Manager. DESCRIBE FOR THE READER THAT PROJECTS ARE IMPLEMENTED BY THE STATES AND THAT THE READER WOULD NEED TO CONTACT THE STATE ADJUTANT GENERAL TO OBTAIN INFORMATION ON PROJECTS THAT THE READER COULD SUBMIT PROPOSED BIDS.

## **12.556 COMPETITIVE GRANTS: PROMOTING K-12 STUDENT ACHIEVEMENT AT MILITARY-CONNECTED SCHOOLS**

DoDEA Grant Program

### **FEDERAL AGENCY:**

Department of Defense

### **AUTHORIZATION:**

Section 574 (d) of P.L. 109-364, as amended by Section 553 of P.L. 110-417; Title 10 U.S.C. Section 2192(b) and Title 10 U.S.C. Section 2193a.

### **OBJECTIVES:**

To enhance student learning opportunities, student achievement, and educator professional development at military-connected schools significantly impacted by military force structure changes. These grants may be used to address student achievement in science, technology, mathematics, or English language arts/reading.

### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

### **USES AND USE RESTRICTIONS:**

Projects use nationally recognized, research-based best practices to enhance student achievement primarily in academic areas. Projects should address identified needs at the target school(s). Projects must have an evaluation plan that uses multiple sources to measure both the fidelity and the results of implementation, especially as they contribute to improving the student achievement of military students at the target schools. The definition of military student is specified in the Federal Register announcement.

### **Applicant Eligibility:**

Grant funds are aimed at military-connected school districts that have been significantly impacted by force structure changes.

### **Beneficiary Eligibility:**

K-12 students are the primary beneficiaries, although the grants may also fund teacher professional development.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must complete Standard Forms 424,424A, 424B, and Certification regarding Lobbying.

### **Award Procedure:**

1. A Federal Register notice lists local educational agencies (LEAs) which are invited to apply for the competitive grants. Even if an LEA is invited to apply, this does not mean the LEA is automatically eligible to apply.
2. LEAs listed in the Federal Register notice determine their eligibility based on their military dependent population in their schools. The eligibility criteria are specified in the Federal Register notice.
3. LEAs submit concept papers to the Department of Defense Education Activity (DoDEA).
4. DoDEA experts review the concept papers. LEAs with the highest scoring concept papers are invited to submit and are sent full applications.
5. LEAs complete applications for eligible school(s).
6. DoDEA, military service representatives, and other federal agency experts review the applications and DoDEA awards the highest scoring applications.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. In FY09, the competitive process required submission of a concept paper first. After the concept papers were reviewed, a percentage of

applicants were invited to submit full applications.

### **Appeals:**

Appeals may be made to the DoDEA grants officer.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

In FY09 grant were made during the fiscal year (October 2008-September 2009). LEAs have 36-38 months, that is, the last two months of FY09 and all of FY10-12 to submit invoices for payment under the terms of that grant.. In FY10, a similar time period will most likely be used. See the following for information on how assistance is awarded/released: School districts may be reimbursed after submitting invoices. Arrangements can also be made by the school district--through the grants officer--to receive advance payments.

### **Reports:**

No program reports are required. No cash reports are required. No program reports are required. No cash reports are required. Districts submit semi-annual progress reports detailing program progress and results. The program's evaluation plan largely determines the specifics of each report. Data must be disaggregated to show military students' progress/achievement. Quarterly financial reports (SF424A), final transactions report (SF424B), request for advance or reimbursement (SF270) are required. Districts submit semi-annual reports detailing program progress and results. The program's evaluation plan largely determines the specifics of each report. Quarterly financial reports (SF424A), final transactions report (SF424B), request for advance or reimbursement (SF270) are required. Districts submit semesterly reports detailing program progress and results. The program's evaluation plan largely determines the specifics of each report.

### **Audits:**

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

### **Records:**

Semi-annual Progress Reports  
Quarterly Financial Reports  
Request for Advance or Reimbursement.

### **Account Identification:**

97-0100-0-6-000.

### **Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$41,300,000; FY 10 est \$15,000,000

### **Range and Average of Financial Assistance:**

In FY09, the range of awards for DoDEA's 3-year grants was \$300,000 to \$2,000,000. The average award was \$1,200,000.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular No. A-133; DoD Directive 3210.2 and Department of Defense Grant and Agreement Regulations are applicable to the project grants. The agency also lists grant information in the Federal Register.

### **Regional or Local Office:**

None. The awarding agency is located at DoDEA headquarters in Arlington, VA.

### **Headquarters Office:**

Brian J. Pritchard 4040 North Fairfax Drive, 9th Floor

, Arlington, Virginia 22203 Email: brian.pritchard@hq.dodea.edu Phone: 7035883345

**Website Address:**

http://militaryk12partners.dodea.edu/

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In FY09 the selection of proposals was based on five criteria. They were weighted in the following order: implementation plan, evaluation plan, needs assessment, goals/outcomes, and budget/sustainability.

**12.557 INVITATIONAL GRANTS FOR MILITARY-CONNECTED SCHOOLS**

DoDEA Grant

**FEDERAL AGENCY:**

Department of Defense

**AUTHORIZATION:**

Section 574(d) of Public Law 109-364, as amended by Section 553 of Public Law 110-417; Title 10 U.S.C. Section 2192(b) and Title 10 U.S.C. Section 2193a.

**OBJECTIVES:**

To enhance student learning opportunities, student achievement, educator professional development, and to ease the challenges students who are military dependents face due to their parents military station transfers or deployments. These grants may be used to address student achievement in science, technology, mathematics, English language arts, or reading. In addition, grants funds may be used for students transitional needs, such as additional guidance counselor support.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects use nationally recognized, research-based best practices to improve instruction and achievement and widely accepted strategies to ease the challenges of transitions / deployments. Projects must have an evaluation plan that uses multiple sources to measure both program implementation and results. School districts may not solicit the Department of Defense Education Activity (DoDEA) to participate.

**Applicant Eligibility:**

These DoDEA grants are awarded to military-connected local educational agencies (LEAs) by invitation only.

**Beneficiary Eligibility:**

K-12 students are the primary beneficiaries, although grants may also fund teacher professional development.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular A-87 applies. Applicants must complete Standard Form (SF) 424, SF 424A, SF 424B, and Certification regarding Lobbying.

**Award Procedure:**

1. Invited LEAs receive applications for grants.
2. LEAs work with DoDEA experts to complete the application.

3. Completed applications are reviewed by DoDEA experts and approved by DoDEA senior leadership.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 1 to 15 days. Appeals may be made to the DoDEA grants officer.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In FY 09, grants were made during the fiscal year (October 2008-September 2009). LEAs have 36-38 months, that is, the last two months of FY 09 and all of FY 10-12, to submit invoices for payment under that grant. In FY 10, a similar time period will most likely be used. School districts may be reimbursed after submitting invoices. Arrangements can also be made by the school district--through the DoDEA grants officer--to receive advance payments. See the following for information on how assistance is awarded/released: School districts may be reimbursed after submitting invoices. Arrangements can also be made by the school district--through the grants officer--to receive advance payments.

**Reports:**

Program reports cover the fidelity of implementation and project results as described in the project's evaluation plan. Standard financial reporting is required. Districts submit semi-annual reports detailing program progress and results. Data must be disaggregated to show military students' progress/achievement. No expenditure reports are required. No performance monitoring is required. Standard financial reporting is required. Districts submit semi-annual reports detailing program progress and results. Data must be disaggregated to show military students' progress/achievement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Semi-annual progress reports  
Quarterly financial reports  
Request for advance or reimbursement.

**Account Identification:**

97-0100-0-6-000.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$900,000; FY 09 est \$14,500,000; FY 10 est \$15,000,000 - Funding depends upon appropriations and other factors.

**Range and Average of Financial Assistance:**

FY09: \$300,000 to \$2,500,000  
FY10: \$100,000 to \$2,500,000 (min. and max. amounts pending).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular No. A-133 and DoD Directive 3210.6 are applicable to the project grants.

**Regional or Local Office:**

None. The awarding agency is located at DoDEA headquarters in Arlington, VA.

**Headquarters Office:**

Brian J. Pritchard, 4040 North Fairfax Drive, 9th Floor, Arlington, Virginia 22203 Email: brian.pritchard@hq.dodea.edu Phone: (703) 588-3345 Fax: (703) 588-3702.

**Website Address:**

<http://http://militaryk12partners.dodea.edu/>

**RELATED PROGRAMS:**

12.556 Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fiscal Year 2008: In the pilot year, three small Invitational grants were made to three LEAs serving military installations that experienced frequent deployments or related issues. The grants promoted student achievement at military-connected schools. Fiscal Year 2009: Fiscal Year 2009: Nine LEAs nationwide were awarded invitational grants. In most cases, they were awarded to LEAs serving military installations that experienced frequent deployments. The majority of the funding was dedicated to improving student achievement; however, a significant fraction was dedicated to easing the challenges students faced due to their parents' transition/deployments. Fiscal Year 2010: Fiscal Year 2010: The FY10 program is expected to closely mirror the FY09 program in terms of size, content, and number of awards.

**CRITERIA FOR SELECTING PROPOSALS:**

DoDEA works closely with each LEA to craft an application. This spiral process of discussions, draft, feedback, and revisions leads to a product that is agreed upon by all stakeholders.

**12.558 DEPARTMENT OF DEFENSE IMPACT AID (SUPPLEMENT, CWSD, BRAC)**

DoD Impact Aid

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

Floyd D. Spence National Defense Authorization Act for Fiscal Year 2001, , Public Law 106-398.

**OBJECTIVES:**

Reimbursement for education related costs for military dependent children enrolled in a local education agency (LEA) school for the previous school year.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Congressional law dictates that there are no prescribed uses or restriction on this financial assistance.

**Applicant Eligibility:**

Congressional law dictates that there are no prescribed uses or restrictions in place for this financial assistance.

**Beneficiary Eligibility:**

Congressional law dictates that only LEAs that are impacted by the enrollment in all grades (0-12) of military dependent students or military dependent students with a severe disability may apply.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Congressional law dictates that that the Department of Defense acquire eligibility data from the Office of Impact Aid at the Department of Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. DoD Impact Aid Supplement

**How To Apply**

No Application required. Eligible LEAs will be contacted via mail. Contact information and account details will be verified with the Authorized Representative according to the data received from the Office of Impact Aid at the Department of Education.

DoD Impact Aid for Children with Severe Disabilities

**How to Apply**

An application must be completed and submitted to DoD as an attachment to an email. The signature sheet (page 1 of the application) must be returned by fax to (703) 588-5330. The application is identified as Secretary of Defense (SD) form number SD 816, with form number SD 816C as a continuation sheet for those who need it. A sample Section II - Payment Determination is included as part of the form attachment. To access the fillable application form, go to the Secretary of Defense Forms Inventory website at: <http://www.dtic.mil/whs/directives/infomgt/forms/sdforms.htm>.

To obtain the desired form, scroll down to SD816 and/or SD816C and click on the link to the form. The forms are available as a fillable ADOBE/PDF. It is necessary for applicants to download the form and save it to the hard drive on their computers to work on it.

Applications shall be submitted only by email and the signature sheet shall be faxed. Applications shall be sent to DoD Impact Aid by email at [Dodea.impactaid@hq.dodea.edu](mailto:Dodea.impactaid@hq.dodea.edu), and the signature sheet sent by fax to DoD Impact Aid at (703) 588-5330. The email address of the certifying representative of the LEA, whether it is the Superintendent or a designated representative authorized to act on behalf of the Superintendent, shall be included on the signature sheet of the application.

PLEASE DO NOT MAIL APPLICATIONS OR SEND BY A DELIVERY SERVICE (FEDEX, UPS, Airborne Express, etc.). RETAIN THE ORIGINAL IN YOUR FILES. IF WE SHOULD LATER NEED ACCESS TO YOUR ORIGINAL APPLICATION, WE WILL ADVISE YOU.

DoD Impact Aid for Large Scale Rebasing (BRAC)

**How To Apply**

No Application required. Eligible LEAs will be contacted via mail. Contact information and account details will be verified with the Authorized Representative according to the data received from the Office of Impact Aid at the Department of Education.

**Award Procedure:**

LEAs are notified by mail. Financial Assistance is deposited into a designated verified district bank account.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annually this financial assistance is available prior to September 30th. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Although LEAs are not required to submit their cost justification with their application, it would be prudent to have a spreadsheet available to defend their submitted costs if it is requested by DoD prior to making an eligibility and payment determination.

**Account Identification:**

97-0010-0-6-000.

**Obligations:**

(Formula Grants) FY 08 \$35,000,000; FY 09 est \$34,000,000; FY 10 est \$49,000,000 - Not Applicable.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Eligible LEAs must have submitted an application to the Department of Education for Federal Impact Aid for the current Fiscal Year (FY), on which they indicated that they provided a free appropriate public education to military dependent children as described in subparagraph (A)(ii), (B), (D)(i) or (D)(ii) of section 8003(a)(1) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7703(a)(1)). LEAs may apply to the DoD Impact Aid for Children with Severe Disabilities for military dependent children with severe disabilities to whom they provided services during school year 2007-2008. These children must have been claimed by the LEA on the Department of Education Application for Federal Impact Aid Section 8003, to be children with disabilities (CWD). If, for any reason, the child was not identified by the LEA on the above mentioned application sent to Department of Education (e.g., the child did not attend the school at the time the application was submitted, the parent did not complete the form stating military dependent, etc.), the LEA cannot claim the child for purposes of the DoD Impact Aid for Children with Severe Disabilities. If the LEA has specific questions regarding the child's eligibility for the Federal Impact Aid program, it should contact the Department of Education.

**Regional or Local Office:**

See Regional Agency Offices. Department of Defense Education Activity Educational Partnership Branch.

**Headquarters Office:**

Keisha Brown 4040 North Fairfax Drive, Arlington, Virginia 22203-1635  
Email: keisha.brown@hq.dodea.edu Phone: 703-588-3178 Fax: 703-588-5330

**Website Address:**

<http://militaryk12partners.dodea.edu>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.800 AIR FORCE DEFENSE RESEARCH SCIENCES PROGRAM**

**FEDERAL AGENCY:**

Department of the Air Force, Materiel Command, Department of Defense

**AUTHORIZATION:**

Public Law 100-370, Section 1(g)(3), 1023 Stat. 846, 10 U.S.C. 2368(a); Public Law 100-456, Division A, Title II, Section 204; 84 Stat. 908, 10 U.S.C. 2358(b)(1), (c); 95 Stat. 1404, 1405, 10 U.S.C. 2361; Includes American Recovery and Reinvestment (ARRA) funds.

**OBJECTIVES:**

To maintain technological superiority in the scientific areas relevant to Air Force needs; to prevent technological surprise to our nation and create it for our adversaries; to maintain a strong research infrastructure composed of Air Force laboratories, industry, and universities; and to complement the national research effort.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be expended in furtherance of the research identified in the proposal, in accordance with applicable Government-side cost principles as specified in the DoD Grant and Agreement Regulations.

**Applicant Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Beneficiary Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research proposals shall be prepared in accordance with instructions in individual program announcements. See Grants.gov ([www.grants.gov](http://www.grants.gov)).

**Award Procedure:**

Awards decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days, depending on the authority under which the funds would be awarded.

**Appeals:**

From 1 to 15 days.

**Renewals:**

Re-application with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Normally from 12 to 36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Cost/Technical Progress Reports. Reports of expenditures. Cost/Technical progress. Cost. Continuous monitoring throughout the effort.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements are as stated in the Grant and Agreement Regulations.

**Records:**

Recipient will maintain accounting records which will permit determination that the funds were used for the award purposes. Financial records must be maintained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

57-3605-0-1-051; 57-3600-0-1-051.

**Obligations:**

(Project Grants) FY 08 \$365,000,000; FY 09 est \$355,000,000; FY 10 est \$365,000,000. (Project Grants) FY 08 \$0; FY 09 est \$10,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grant and Agreement Regulations (DODGARS), February 8, 1994, and individual program announcements.

**Regional or Local Office:**

See Regional Agency Offices. Air Force Office of Scientific Research, 110 Duncan Avenue, Suite B115, Bolling AFB, Washington DC 20332-4990; Armstrong Laboratory, 8005 Ninth Street, Brooks AFB, TX 78235-5353; Phillips Laboratory, 3651 Lowry Avenue SE, Kirtland AFB, NM 87117-5777. Telephone: (505) 846-4979; Rome Laboratory, 26 Electronics Pkwy, Griffiss AFB, NY 13441-4514. Telephone: (315) 330-7746; Wright Laboratory, 2530 C Street, Bldg. 7, Wright-Patterson AFB, OH 45433-7607. Telephone: (513) 255-4813.

**Headquarters Office:**

Susan E Tackis, SAF/AQCP, 1060 Air Force Pentagon, Washington, District of Columbia 20330-1060 Email: susan.tackis@pentagon.af.mil Phone: (703) 588-7060.

**Website Address:**

<http://ww3.safaq.hq.af.mil/contracting/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

**14.103 INTEREST REDUCTION PAYMENTS\_RENTAL AND COOPERATIVE HOUSING FOR LOWER INCOME FAMILIES**

(236)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 236, Public Law 90-448, 12 U.S.C. 1715., Public Law 448-90-448, 12 U.S.C 1715.

**OBJECTIVES:**

To provide good quality rental and cooperative housing for persons of low-and moderate-income by providing interest reduction payments in order to lower their housing costs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Use was limited to Section 236 insured and non-insured mortgages financed by

State or Local Housing Finance Agencies. Program is now inactive. No new projects are being approved. Projects with this subsidy are still active in the MF portfolio.

**Applicant Eligibility:**

Eligible mortgagors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution sponsors. Public bodies did not qualify as mortgagors under this program.

**Beneficiary Eligibility:**

Families and individuals, including the elderly and handicapped or those displaced by government action or natural disaster, eligible to receive the benefits of the subsidies must at the time of admission fall within certain locally determined income limits. Families with higher incomes may occupy apartments, but may not benefit from subsidy payments.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor was submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted. Sponsors submitted FHA Form No. 2013, application and other documentation for FHA Review of Proposed Development, to local HUD field office with multifamily processing or equivalent documentation to a State or local Housing Finance Agency approved by HUD for participation in the program.

**Award Procedure:**

The local HUD office or State or local Housing Finance Agency reviewed the application to determine site appraisal and market analysis. Market need, correct zoning, environmental assessment and value of site fully improved were considered. The local office granted feasible proposals a tentative reservation of contract authority, and the sponsor was invited to apply for mortgage commitment, at which stage(s) further technical processing was completed. No new applications for project mortgage insurance are being accepted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 236.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The mortgage term normally extends for 40 years. Interest reduction payments may extend for the full term of the mortgage. For individual families, assistance ceases when their income rises to the point where they can afford the full market rent without the benefit of assistance. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

Excess income reports. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the

accounts of either the mortgage or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Tenant certifications for assistance payments and annual recertification must be forwarded to the HUD Field or Area Office by the sponsor. Regular financial reports are also required. Mortgagees must service and maintain records in accordance with acceptable mortgagee practices and HUD regulations.

**Account Identification:**

86-0334-0-1-604; 86-0335-0-1-999.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Salaries and Expenses (not separately identifiable).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rental and Co-op Housing for Lower Income Families. No charge; 24 CFR 236 et seq.

**Regional or Local Office:**

None. Contact the appropriate local HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Beverly J. Miller 451 Seventh St SW, Washington, District of Columbia 20410  
Email: beverly.miller@hud.gov Phone: 2027083730

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/progdesc.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.108 REHABILITATION MORTGAGE INSURANCE**

(203(k))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(k).

**OBJECTIVES:**

To help families repair or improve, purchase and improve, or refinance and improve existing residential structures more than one year old.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. These loans may be used to rehabilitate an existing 1 to 4 unit dwelling in one of four ways: (1) Purchase a structure and the land on which the structure is located and rehabilitate it; (2) purchase a structure on another site, move it onto a new foundation on the mortgaged property and rehabilitate it; (3) refinance the existing indebtedness and rehabilitate such a structure; or (4) rehabilitate such a structure. Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b) - Program 14.117. Rehabilitation cost must be at least \$5,000.

**Applicant Eligibility:**

Individual and families.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the borrower are assembled by the lender and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4587-0-3-371 - FY 2009 and future; 86-4077-0-3-371 - FY 2008 only.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$1,089,641,726; FY 09 est \$0; FY 10 est \$0 - Reported under 14.117 for FY 09 and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>), or the nearest local HUD Office. See Catalog Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.



**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.110 MANUFACTURED HOME LOAN INSURANCE FINANCING PURCHASE OF MANUFACTURED HOMES AS PRINCIPAL RESIDENCES OF BORROWERS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing of manufactured home purchases.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to purchase manufactured home units by buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum amount of the loan is \$69,678, whether single or multiple modules. The borrower must give assurance that the unit will be placed on a site which complies with local zoning and land development requirements.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender or through a lender's approved dealer for review and approval.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The average loan term is between 15 to 25 years. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$56,976,391; FY 09 est \$71,000,000; FY 10 est \$190,000,000

**Range and Average of Financial Assistance:**

The maximum amount of the loan in FY 2008 was \$48,600, whether single or multiple modules. The average loan amount for FY 2008 was \$38,409. The maximum loan amount for FY 09, October 1, 2008 through February 28, 2009 was \$48,600. The maximum loan amount for FY 09 from March 1, 2009 through September 30, 2009 is \$69,678.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1,503 loans were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/title/manuf14.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.112 MORTGAGE INSURANCE FOR CONSTRUCTION OR SUBSTANTIAL REHABILITATION OF CONDOMINIUM PROJECTS**

(234(d) Condominiums)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended; Housing Act of 1964, as amended, Section 234(d), Public Law 88-560; Section 234(c), Public Law 90-448, 82 Stat. 476, 507, 1969; Section 234(c), Public Law 91-152, 83 Stat. 379, 384, 12 U.S.C. 1715(y).

**OBJECTIVES:**

To enable sponsors to develop condominium projects in which individual units will be sold to home buyers.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the construction or rehabilitation of multifamily housing structures by a sponsor intending to sell individual units as condominiums, which also would be eligible for the benefits of mortgage insurance under Section 234(c). The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Private profit-motivated developers, public bodies, and other sponsors who meet FHA requirements for mortgagors.

**Beneficiary Eligibility:**

All families are eligible to purchase condominium units. Mortgages for individual units may be insured under Section 234(c). See program 14.133.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal mortgage insurance application through a HUD approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

The local HUD Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, HUD issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and the workload of field office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-quarters of the remaining economic life, whichever is less, if the project remains a rental. See the following for information on how assistance is awarded/released: Mortgage Insurance provided over 40 year term.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Loan Guarantees/Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.135 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"HUD Mortgage Insurance Handbook No. 4580.1 For Condominium Housing Insured under Section 234 (d) of the National Housing Act, 24 CFR234; "HUD Mortgage Insurance Handbook No. 4265.1, Home Mortgage Insurance- Condominium Units, Section 234(c)", available on <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local HUD Office. HUD Multifamily Hubs and Program Centers are listed at: [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Joyce Allen 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [.allen@hud.gov](mailto:.allen@hud.gov) Phone: 2027081142

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.117 MORTGAGE INSURANCE\_HOMES**

(203(b))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(b), Public Law 73-479, 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:**

To help people undertake home ownership.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-to-four-family housing, as well as to refinance indebtedness on existing housing.

Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,400; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds the 175 percent limit of \$729,000 for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400. Designated areas of limited housing opportunities and maximum mortgage amounts may be obtained from local HUD Offices.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgage and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA

regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$171,875,000,000; FY 09 est \$315,000,000,000; FY 10 est \$330,000,000,000

**Range and Average of Financial Assistance:**

Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,400; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds the 175 percent limit of \$729,000 for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FHA insured 1,032,477 loans in Fiscal Year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

100 Questions and Answers About Buying a New Home, no charge; The HUD Home Buying Guide, no charge; Residential Rehabilitation Program, no charge; Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hshgocs.cfm>), or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.108 Rehabilitation Mortgage Insurance; 14.133 Mortgage Insurance\_Purchase of Units in Condominiums; 14.163 Mortgage Insurance\_Single Family Cooperative Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.119 MORTGAGE INSURANCE\_HOMES FOR DISASTER VICTIMS (203(h))**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To help victims of a major disaster undertake homeownership on a sound basis.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase or reconstruction of a one-family home that will be the principal residence of a borrower that is a victim of a major disaster. The maximum insurable loan for such an occupant mortgagor is the same as prescribed for Section 203(b) (14.117). Disaster victims are not required to meet the 3 percent minimum investment requirements. In order to qualify for

assistance, the formerly occupied home must have been in an area designated by the President as a disaster area, and it must have been destroyed or damaged to such an extent that reconstruction or replacement is necessary.

**Applicant Eligibility:**

Anyone that is a victim of a major disaster as designated by the President is eligible to apply.

**Beneficiary Eligibility:**

Families or individuals that are victims of a major disaster as designated by the President.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An FHA-approved lender submits the application for review and approval or disapproval to the local HUD Field Office.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable for a 30-year term and the property was constructed subject to HUD or VA inspection. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported Under 14.117 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.122 MORTGAGE INSURANCE\_HOMES IN URBAN RENEWAL AREAS**

(220 Homes)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k).

**OBJECTIVES:**

To help families purchase or rehabilitate homes in urban renewal areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance acquisition or rehabilitation of one- to 11-family housing in approved urban renewal or code enforcement areas. Maximum insurable loans for the occupant mortgagor are the same as prescribed for Section 203(b), plus \$9,165 for each family unit over four. Properties must be constructed or rehabilitated pursuant to an approved urban renewal plan.

**Applicant Eligibility:**

All families are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable under a 30 year term and the property was constructed subject to HUD or VA inspection. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 Reported Under 14.133  
FY 09 Reported Under 14.133  
FY 10 Reported Under 14.133.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were no mortgage endorsements in the most recent 2 years. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.123 MORTGAGE INSURANCE\_HOUSING IN OLDER, DECLINING AREAS**

(223(e))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To assist in the purchase or rehabilitation of housing in older, declining urban areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans under other sections of the National Housing Act, e.g., Section 221(d)(3) or (d)(4), pursuant to Section 223(e). Claims are paid from the Special Risk Insurance Fund, but this is not a separate program. The determination to use Section 223(e) is at the discretion of HUD. These loans may be used to finance the purchase, repair, rehabilitation, and construction of housing in older, declining urban areas where conditions are such that certain normal eligibility requirements for mortgage insurance under a particular program cannot be met. The property must be an acceptable risk giving consideration to the need for providing adequate housing for low-and moderate-income families.

**Applicant Eligibility:**

HUD-approved mortgagees.

**Beneficiary Eligibility:**

For single family purposes, an individual or family is eligible to apply through HUD approved mortgagees. Multifamily sponsorship is determined by applicable program requirements.

**Credentials/Documentation:**

For single family applications, documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Documentation required for multifamily applications is determined by applicable program requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications may be submitted at any time for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may request the HUD-approved mortgagee to seek HUD reconsideration.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgages are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported Under 14.133 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. All projects are processed in Single Family Homeownership Centers, Multifamily Hubs, or local HUD offices. Persons are encouraged to contact the Homeownership Center or HUD serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.126 MORTGAGE INSURANCE\_COOPERATIVE PROJECTS**

(213 Cooperatives)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 213; Housing Act of 1950, Public Law 81-475; Housing Act of 1956, Public Law 84-1020, 12 U.S.C. 1715(e); Public Law 91-152, 83 Stat. 379, 383; Public Law 84-345, 69 Stat. 635; Public Law 87-70, 75 Stat. 149, 179; Public Law 86-372, 73 Stat. 654, 656; Public Law 89-117, 79 Stat. 451, 469; Public Law 89-754, 80 Stat. 1255-66.

**OBJECTIVES:**

Enables nonprofit cooperative ownership housing corporations or trusts to develop or sponsor the development of housing projects to be operated as cooperatives. Section 213 allows investors to provide good quality multifamily housing to be sold to such nonprofit corporations or trusts upon completion of construction or rehabilitation.

**TYPES OF ASSISTANCE:**

**GUARANTEED/INSURED LOANS**

**USES AND USE RESTRICTIONS:**

Section 213 insures lenders against loss on mortgages. Insured mortgages may be used to finance construction, acquisition of existing, or rehabilitation of detached, semidetached, row, walk-up, or elevator type housing consisting of five or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation housing projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors are nonprofit cooperatives, ownership housing corporations or trusts which may either sponsor projects directly, sell individual units to cooperative members, or purchase projects from investor-sponsors (builders, developers, or others who meet HUD requirements).

**Beneficiary Eligibility:**

Members of the cooperative are eligible to occupy a dwelling in the structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits the SAMA application or feasibility letter to the local Hub or Program Center. Following HUD's approval and issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local Multifamily Hub or Program Center for processing.

**Award Procedure:**

The local HUD field office decides whether to approve, or reject individual applications and whether to issue a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing times will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If any application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less, except for sales type

cooperatives where the maximum term is 35 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Mortgage Insurance provided over the life of the loan.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with the regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.117 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Handbooks 4550.1 and 4550.2 "Basic Cooperative Housing Insurance, and Pre-sale Management Type Co-ops", no charge; HUD Handbook 4550.3, "Converting an Existing Project to a Cooperative", no charge; HUD Handbook 4240.3, Section 203 (n), Application Through Insurance (Single Family), no charge; HUD Handbook 4550.4, Supplementary Loan-Cooperative Housing", no charge; HUD Handbook 4550.5, "Investor-Sponsor and Nonprofit Sponsorship of Housing Cooperatives", no charge; HUD Handbook 4550.6, "Sales Type Cooperatives", no charge available on <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property.

HUD Multifamily Hubs and Program Centers are listed on the web at [http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Joyce Allen, 451 Seveth St. SW , washington, District of Columbia 20410  
Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.127 MORTGAGE INSURANCE\_MANUFACTURED HOME PARKS**

(207 - Manufactured Home Parks)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 84-345, 12 U.S.C. 1713.

**OBJECTIVES:**

To make possible the financing of construction or rehabilitation of manufactured home parks.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The Department's Federal Housing Administration (FHA) insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance the construction or rehabilitation of manufactured home parks consisting of 5 or more spaces. The maximum mortgage limit is \$11,250 per space. In areas where cost levels so require, limits may be increased up to 140 percent on a case-by-case basis. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families, individuals, and elderly persons owning manufactured homes and desiring to lease spaces in a manufactured home park.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a site appraisal and market analysis (SAMA) for new construction projects or a feasibility application for substantial rehabilitation projects. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved lender for processing. Considerations include market need, zoning, capabilities of the borrower, and availability of community resources. Applications are submitted to the local HUD Multifamily Hub Program Center which does multifamily processing.

**Award Procedure:**

The HUD Multifamily Hub or Program Center decides whether to approve or reject applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and by the workload of the HUD Field Office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of

the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under FY 14.135 FY 08, FY 09, FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Manufactured Home Parks; 24 CFR 207.33 et seq.; Mobile Home Parks Financing, no charge; Housing Surveys, Part II; HUD Handbook 4545.1, Mobile Home Park Program, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 7th St SW, Washington, District of Columbia 20410 Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.128 MORTGAGE INSURANCE\_HOSPITALS**

(Section 242 - Mortgage Insurance for Hospitals)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

242, 1715z U.S.C.

**OBJECTIVES:**

To facilitate the affordable financing of hospitals for the care and treatment of persons who are acutely ill or who otherwise require medical care and related services of the kind customarily furnished only or most effectively by hospitals.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgages. The loans may be used to finance the construction, modernization, equipment, or refinancing of acute care hospitals.

**Applicant Eligibility:**

Qualified applicants can be either profit or not-for-profit hospitals licensed or regulated by the State, municipality, or other political subdivision. At least 50 percent of the care must be for general acute patients (this requirement has been eliminated for hospitals specifically designated as Critical Access Hospitals as part of Public Law 108-091).

**Beneficiary Eligibility:**

Persons needing the services of these hospitals benefit by using the modernized facilities supported by the insured mortgages.

**Credentials/Documentation:**

Documentation regarding the characteristics of the proponent and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. A Certificate of Need from the appropriate State agency is needed if that State has a Certificate of Need process. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application to the Office of Insured Health Care Facilities, Room 9224, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

**Award Procedure:**

The Federal Housing Commissioner makes final decisions to approve, hold, or reject individual applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Processing time depends upon the complexity of the proposal and the degree of preparation by the sponsor. 60 days is the goal for non-complicated applications.

**Appeals:**

If an application for mortgage insurance is refused, the reasons for the refusal will be stated. The applicant may reapply.

**Renewals:**

The term of a commitment to insure advances is typically effective for 90 days from the date of issuance and may be extended for good cause.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 25 years. See the following for information on how assistance is awarded/released: insurance of advances for construction projects.

**Reports:**

**Audits:**

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



year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees and mortgagors are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and FHA regulations. Records must be kept in accordance with State and Federal Regulations during the construction phase.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$714,821,300; FY 09 est \$1,400,000,000; FY 10 est \$900,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Paul A. Giaudrone, 451 7th Street, SW , Washington, District of Columbia 20410 Email: paul.a.giaudrone@hud.gov Phone: (202) 402-5684.

**Website Address:**

<http://www.fha.gov/hospitals>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.129 MORTGAGE INSURANCE, NURSING HOMES, INTERMEDIATE CARE FACILITIES, BOARD AND CARE HOMES AND ASSISTED LIVING FACILITIES**

(232)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 232; Housing Act of 1959, as amended, Public Law 86-372; Housing and Urban Development Act of 1969, Public Law 91-152, 73 Stat. 654, 83 Stat. 379; Public Laws 95-128, 95-557, 96-153, and 98-181.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders to facilitate the construction or rehabilitation of nursing homes, intermediate care facilities, board and care homes and assisted living facilities, to allow purchase or refinancing with or without repairs of projects not requiring substantial rehabilitation, and to provide loan insurance to install fire safety equipment.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 232 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance construction or renovation of facilities to accommodate 20 or more patients requiring skilled nursing care and related medical services, or those who while not in need of nursing home care, are in

need of minimum but continuous care provided by licensed or trained personnel. Board and care homes and assisted living facilities are also eligible and must contain a minimum of five accommodations or units. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities may be combined in the same facility covered by an insured mortgage or may be in separate facilities. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities must be licensed or regulated by the appropriate state agency, municipality, or other political subdivision where located. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, nursing homes and private nonprofit corporations or associations.

**Beneficiary Eligibility:**

Residents requiring skilled nursing, custodial care, and assistance with activities of daily living are eligible to live in a structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certification of need and inspection and licensing by the State agency designated by the Public Health Service Act for the State in which the nursing home or intermediate care facility is to be located is required, or, if no State Agency exists, an alternative market study is required. A Certificate of Need may be required for a board and care home or assisted living facility. A statement from the appropriate State Agency is required stating that the State is in compliance with Section 1616 (e) of the Social Security Act. This facility must be licensed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Depending upon the project, an EIS may be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittal to HUD for processing of the Firm Commitment (there is also a Pre-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of lenders who work on Section 232 loans.

**Award Procedure:**

HUD makes the final decision to approve, or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the completeness of the package submitted by the FHA Approved Lender.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years for new construction and substantial rehabilitation. The maximum term for existing projects without substantial rehabilitation is 35 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor, or lesser, in order to determine their compliance and conformance with HUD regulations and standards. Audited Annual Financial Statement are required of Mortgagor entities and Operators.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$913,157,700; FY 09 est \$1,600,000,000; FY 10 est \$1,500,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Nursing Homes (Mortgage Insurance); Minimum Property Standards for Nursing Homes; (FHA Regulations). Handbook for Nursing Homes and Intermediate Care Facilities; (4600.1); (FHA Regulations 24 CFR 232 and 200), available on HUDCLIPS at <http://www.hudclips.org>.; Lean processing information available at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing)

**Regional or Local Office:**

None. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittal to HUD for processing of the Firm Commitment (there is also a Pre-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of lenders who work on Section 232 loans.

**Headquarters Office:**

Gordon E. Hill, 451 7th Street, SW Rm # 2243 , Washington, District of Columbia 20410 Email: [Gordon.E.Hill@hud.gov](mailto:Gordon.E.Hill@hud.gov) Phone: (202) 402-3694.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.133 MORTGAGE INSURANCE\_PURCHASE OF UNITS IN CONDOMINIUMS**

(234(c))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 234 (c), Public Law 87-70, 75 Stat. 149, 1968, Public Law 90-448, 82 Stat. 476, 507, 1969, Public Law 91-152, 83 Stat. 379, 384.

**OBJECTIVES:**

To enable families to purchase units in condominium projects.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the acquisition of individual units in proposed or existing condominium projects containing four or more units. The maximum insurable loan for an occupant mortgagor is the same as Section 203(b) - Program 14.117. With respect to a unit in any project which was converted from rental housing, no insurance may be provided under this section unless: (1) The conversion occurred more than 1 year prior to the application for insurance; (2) the mortgagor or co-mortgagor was a tenant of that rental housing; or (3) the conversion of the property is sponsored by a bona fide tenant's organization representing a majority of the households in the project.

**Applicant Eligibility:**

All families are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the function and characteristics of the project and the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable under a 30-year term. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$8,269,037,398; FY 09 est not reported.; FY 10 est not reported. - FY 09 is reported under 14.117

FY 10 is reported under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: HUD insured 48,166 loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>) or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.134 MORTGAGE INSURANCE\_RENTAL HOUSING**

(Section 207)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 75-424, 12 U.S.C. 1713.

**OBJECTIVES:**

To increase the supply of good quality rental housing for middle-income families.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 207 insures lenders against the loss on mortgage defaults. Section 207 mortgage insurance, although still authorized, is no longer used for new construction and substantial rehabilitation. It is however, the primary vehicle for the Section 223(f) refinancing program. Multifamily new construction and substantial rehabilitation projects are currently insured under Section 221(d)(3) and Section 221(d)(4) programs. Insured mortgages may be used to finance the construction or rehabilitation of rental detached, semidetached, row, walk-up, or elevator type structures with 5 or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility letter. Following HUD's approval and issuance of a SAMA or feasibility letter, the Firm Commitment application is submitted to the local HUD Multifamily Hub or Program Center for processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Provided over life of mortgage.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.135 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207 et seq.; Fact Sheet: Section 207 Rental Housing, no charge; HUD Handbook 4400.1, Project Mortgage Insurance Basic Section 207 Instructions, available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Programs Centers are listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or at the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen 451 Seventh Street, Washington, District of Columbia 20410  
Phone: 2027081142

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.135 MORTGAGE INSURANCE, RENTAL AND COOPERATIVE HOUSING FOR MODERATE INCOME FAMILIES AND ELDERLY, MARKET INTEREST RATE**

(221(d)(3) and (4) Multifamily - Market Rate Housing)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 221, Public Law 86-372, 12 U.S.C. 1715(1).

**OBJECTIVES:**

To provide good quality rental or cooperative housing for moderate income families, the elderly, and handicapped. Single Room Occupancy (SRO) may also be insured under this section (see program 14.184).

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 221(d)(3) and Section 221(d)(4) insures lenders against loss on mortgage defaults for market rate rental projects. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, row, walkup, or elevator-type rental or cooperative housing containing 5 or more units. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 221(d)(3) mortgages require appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Public, profit-motivated sponsors, limited distribution, nonprofit cooperative, builder-seller, investor-sponsor, and general mortgagors.

**Beneficiary Eligibility:**

All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection. There are no income limits. Projects may be designed specifically for the elderly and handicapped.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For Traditional Application Process (TAP) following HUD's issuance of a SAMA letter (new construction) or Feasibility Letter (substantial rehabilitation) the sponsor submits a formal mortgage insurance application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. For Multifamily Accelerated Processing (MAP), the lender submits the required exhibits, including a full underwriting package, which are then reviewed by the Multifamily Hub and Program Center before a Firm Commitment is issued.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the HUD Multifamily Hub and Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not TAP or MAP is used.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$4,788,600; FY 09 est \$10,000,000; FY 10 est \$14,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221 et seq.; Fact Sheet: Rental Housing for Moderate Income Families, no charge; HUD Handbook 4560.2, Mortgage Insurance for Moderate-Income Housing Projects, Section 221 (d)(4), no charge; HUD Handbook 4560.1, Section 221(d)(3) Market Interest Rate for Project Mortgage Insurance, no charge; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy Projects; no charge; HUD Handbook 4550.3; Basic Cooperative Housing Insurance Handbook, no charge. Handbooks are on HUDCLIPS at <http://www.hudclips.org>. The Multifamily Accelerated Processing (MAP) Guide is on the web. Refer to HUD's MAP page at <http://www.hud.gov/offices/hsg/mfl/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Multifamily Hub or Program Center with jurisdiction for the proposed project. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs_pcs.cfm) or in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 Seventh Street SW, Washington, District of Columbia 20410  
Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.138 MORTGAGE INSURANCE\_RENTAL HOUSING FOR THE ELDERLY**

(231)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 231, Public Law 86-372, 73 U.S.C. 654, 12 U.S.C. 1715(V).

**OBJECTIVES:**

To provide quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 231 insures lenders against loss on mortgages. Section 231 was designed to increase the supply of rental housing specifically for the use and occupancy of elderly persons and/or persons with disabilities. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, walk-up, or elevator type rental housing designed for occupancy

by elderly or handicapped individuals and consisting of 8 or more rental units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include private profit-motivated developers, and nonprofit sponsors.

**Beneficiary Eligibility:**

All elderly or handicapped persons are eligible to occupy apartments in a project whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time varies depending upon the degree of preparation by the sponsor and HUD Multifamily Hub and Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 207.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over term of mortgage.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practice of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.135 FY 08, FY 09, FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 231 for the Elderly; 24 CFR 231.1 et seq. Section 231, Housing for the Elderly for Project Mortgage Insurance, HUD Handbook 4570.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) and in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 7th street SW , washington, District of Columbia 20410  
Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.139 MORTGAGE INSURANCE\_RENTAL HOUSING IN URBAN RENEWAL AREAS**

(220 Multifamily)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 220, Public Law 83-560, 12 U.S.C. 1745(k).

**OBJECTIVES:**

To provide quality rental housing in urban renewal areas, code enforcement areas, and other areas designated for overall revitalization.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 220 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance proposed construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type rental housing or to finance the purchase of properties which have been rehabilitated by a local public agency. Property must consist of two or more units and must be located in an urban renewal area, urban redevelopment project, or code enforcement program area, urban area receiving rehabilitation assistance as a result of natural disaster, or area where concentrated housing, physical development and public service activities are being carried out in a coordinated manner. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage standards under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies, and

others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy a dwelling in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For traditional processing, the application for a Firm Commitment is submitted by the sponsor through a HUD-approved mortgagee, and the application is processed by the Multifamily Hub or Program Center. For Multifamily Accelerated Processing (MAP), the application for a Firm Commitment, including a full underwriting package, is submitted by the MAP leader for HUD Field Office review.

**Award Procedure:**

The local Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the Multifamily Hub or Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not Multifamily Accelerated Processing (MAP) or Traditional Application Processing (TAP) is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Records:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with

acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported Under 14.135 FY 08, FY 09, FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 220.1 et seq.; Fact Sheet: Urban Renewal Housing (Mortgage Insurance), no charge; Rental Housing in Urban Renewal Areas for Project Mortgage Insurance, HUD Handbook 4555.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Field Office listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 7th Street SW, Washington, District of Columbia 20410  
Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.142 PROPERTY IMPROVEMENT LOAN INSURANCE FOR IMPROVING ALL EXISTING STRUCTURES AND BUILDING OF NEW NONRESIDENTIAL STRUCTURES**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To facilitate the financing of improvements to homes and other existing structures and the building of new nonresidential structures.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to finance alterations, repairs, and improvements for existing structures and the building of new nonresidential structures which substantially protect or improve the basic livability or utility of the properties. The maximum loan amount is \$25,000 for improving a single family home or for improving or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is \$12,000 per family unit, not to exceed a total of \$60,000 for the structure.

**Applicant Eligibility:**

Eligible borrowers include the owner of the property to be improved, a lessee having a lease extending at least 6 months beyond maturity of the loan, or a purchaser of the property under a land installment contract.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

The responsibility for credit approval of borrowers is exercised by HUD-insured lenders. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower applies directly to an insured lender, or through a lender's approved dealer.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

**Appeals:**

Reapplication in case of refusal should be submitted to an approved lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans mature in 20 years and 32 days or earlier. Loans may be refinanced, but may not extend beyond 30 years from the date of the original note. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$56,976,391; FY 09 est \$54,000,000; FY 10 est \$57,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact HUD at (800) 767-7468 for a program brochure #2651 and list of lenders.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.149 RENT SUPPLEMENTS\_RENTAL HOUSING FOR LOWER INCOME FAMILIES**

(Rent Supplement Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s).

**OBJECTIVES:**

To make quality rental housing available to low income families at a cost they can afford.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

HUD makes payments to owners of approved HUD-insured and non-insured multifamily rental housing projects to supplement the partial rental payments of eligible tenants. Rental projects were required to be part of an approved workable program for community improvement or be approved by local government officials. Assistance covers the difference between the tenant's payment and the basic market rental, but may not exceed 70 percent of the market rental. The tenant's payment is between 25 and 30 percent of monthly adjusted income or 30 percent of market rental, whichever is greater. This program is inactive. No new projects are being approved; however, tenants may apply for admission to existing projects. Affordability Requirements.

**Applicant Eligibility:**

Eligible sponsors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution mortgagors.

**Beneficiary Eligibility:**

Families incomes must be within the income limits prescribed for admission to Section 8 housing in order to qualify for benefits under this program. Families may continue in occupancy if 30 percent of monthly income exceeds the market rent.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The rent supplement contract is limited to the term of the mortgage or 40 years from the date of the first payment made under the contract, whichever is less. Individual family's assistance ceases when 30 percent of income is equal to or exceeds the market rent. See the following for information on how assistance is awarded/released: Monthly.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to maintain records in accordance with acceptable mortgage practices of lending institutions and the HUD regulations. All tenants who benefit from supplements must have their incomes recertified annually.

**Account Identification:**

86-0129-0-1-604 - Salaries and Expenses (not separately identifiable).

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rent Supplements, no charge; 24 CFR 215; HUD Handbook 4350.3.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Beverly J. Miller, 451 Seventh St SW , Washington, District of Columbia 20410  
Email: [beverly.miller@hud.gov](mailto:beverly.miller@hud.gov) Phone: (202) 708-3730.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.151 SUPPLEMENTAL LOAN INSURANCE\_MULTIFAMILY RENTAL HOUSING**

(241(a))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 241, Public Law 90-448, 12 U.S.C. 1715, Public Law 94-375, 12 U.S.C. 1715z-6.



**OBJECTIVES:**

To provide quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 241(a) insures lenders against loss on loans made either (1) to finance additions and improvements of multifamily housing projects, nursing homes, hospitals and group practice facilities already subject to HUD/FHA insured mortgages or mortgages held by HUD, or (2) to finance energy conservation improvements. The proceeds of a loan involving an insured nursing home, hospital or a group practice facility may also be used to purchase equipment to be used in the operation of such nursing home or facility. The maximum insurable loan for an insured project is an amount which, when added to the outstanding balance of the existing insured mortgage, does not exceed the amount insurable under the program pursuant to which the mortgage covering such project or facility is insured. Where the project is covered by a mortgage held by the Secretary the principal amount of the loan shall be in an amount acceptable to the Secretary. Contractors of substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 241(a) for apartments requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility already subject to a mortgage insured by HUD or held by HUD.

**Beneficiary Eligibility:**

Individuals/families and owners of multifamily projects.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application for review and approval or disapproval through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the proposed improvements meets program requirements, the local HUD Multifamily Hub and Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and workload in the HUD Multifamily Hub and Program Center.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 241.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A loan for a project with a HUD-insured or HUD-held mortgage must have a maturity acceptable to HUD. See the following for information on how assistance is awarded/released: Over life of mortgage.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the lender or borrower in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$5,603,900; FY 09 est \$8,000,000; FY 10 est \$11,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR, 241 et seq.; HUD Handbook 4585.1 "Supplemental Loans for Project Mortgage Insurance," Section 241, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Regional and Local Multifamily Hub or Program Center. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [joyce.allen@hud.gov](mailto:joyce.allen@hud.gov) Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.155 MORTGAGE INSURANCE FOR THE PURCHASE OR REFINANCING OF EXISTING MULTIFAMILY HOUSING PROJECTS (Section 223(f)(207))****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 223(f), as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383. 12 U.S.C. 1715n.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders for the purchase or refinancing of existing multifamily housing projects, whether conventionally

financed or subject to federally insured mortgages at the time of application for mortgage insurance. The program allows for the long term mortgages that can be financed with Ginnie Mae Mortgage-Backed Securities.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 223(f) insures lenders against loss on mortgage loans. These loans may be used to purchase or refinance existing multifamily housing projects. Only projects not requiring substantial rehabilitation are acceptable under this section. The estimated cost of required repairs may not exceed 15 percent of the estimated value after repairs or \$6,500 per unit adjusted by a high cost factor, whichever is greater and may not involve the replacement of more than one major system. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations. Prevailing wage requirements under the Davis-Bacon Act do not apply to this program.

**Applicant Eligibility:**

Mortgagors may be either private or public. The property must consist of not less than 5 living units and must meet the following criteria: (1) the mortgage cannot exceed 85 percent of the HUD estimated value of the project; (2) three years must have elapsed from the later date of completion of project construction or substantial rehabilitation, or the beginning occupancy date of application for mortgage insurance; (3) the remaining economic life of the project must be long enough to permit at least a ten-year mortgage term or 75 percent of the estimated life of the physical improvements.

**Beneficiary Eligibility:**

All persons are eligible to occupy such projects subject to normal occupancy restrictions.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the purchaser or existing mortgagor in refinance projects are assembled by the mortgagee and submitted with the application. Management plan must be submitted at time of application for commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant will submit a formal application for conditional or firm commitment through a HUD approved mortgagee. An environmental assessment is required.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine proposal eligibility. If the project meets program requirements, the local HUD Multifamily Hub and Program Center issues the commitment to the lender to insure the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends on the degree of preparation of the sponsor, and whether MAP or TAP is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for denial.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term should not be less than 10 years nor should it exceed the lesser of 35 years or 75 percent of the estimated remaining economic life of the physical improvements. See the following for information on how assistance is awarded/released: Over the life of the loan.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$1,129,375,200; FY 09 est \$1,350,000,000; FY 10 est \$1,550,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 223(f) Mortgage Insurance; 24 CFR 200, HUD Handbook 4565.1, Mortgage Insurance for the purchase or Refinancing of Existing Multifamily Housing Projects, Section 223(f) available on [www.hudclips.org](http://www.hudclips.org). The Multifamily Accelerated Processing (MAP) guide may be found at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Joyce Allen, 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [joyce.allen@hud.gov](mailto:joyce.allen@hud.gov) Phone: (202) 708-1142.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.157 SUPPORTIVE HOUSING FOR THE ELDERLY**

(Section 202)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1959 (12 U.S.C. 1701q) as amended by Section 801 of the Cranston-Gonzalez National Affordable Housing Act (Public Law 101-625 approved November 28, 1990); The Housing and Community Development Act of 1992 (Public Law 102-550 approved October 28, 1992); The Rescissions Act

(Public Law 104-19 enacted on July 27, 1995); The American Homeownership and Economic Opportunity Act of 2000 (Public Law 106-569 approved December 27, 2000); and The Consolidate Appropriations Act of 2008 (Public Law 110-161 approved December 26, 2007).

**OBJECTIVES:**

To expand the supply of housing with supportive services for the very low income elderly, including the frail elderly.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to finance the construction or rehabilitation of a structure or portion thereof, or the acquisition of a structure to provide supportive housing for the elderly, which may include the cost of real property acquisition, site improvement, conversion, demolition, relocation and other expenses of supportive housing for the elderly. Project rental assistance is used to cover the difference between the HUD-approved operating cost per unit and the amount the tenant pays.

**Applicant Eligibility:**

Eligible Sponsors include private nonprofit organizations and nonprofit consumer cooperatives. Eligible Owner entities include private nonprofit corporations, nonprofit consumer cooperatives, and if the proposed project involves mixed-financing, for-profit limited partnerships with a nonprofit entity as the sole general partner. Public bodies and their instrumentalities are not eligible Section 202 applicants.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be elderly (62 years of age or older) and have very low-incomes.

**Credentials/Documentation:**

The Sponsor/Owner must receive certification of eligibility from HUD. The Owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the HUD-approved capital advance amount, up to a maximum of \$25,000 for national Sponsors or up to \$10,000 if not a national Sponsor. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Fund Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit a Request for a Fund Reservation, using Form HUD-92015-CA, Section 202 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grant.gov](http://www.grant.gov).

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the particular HUD Field Office. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a private nonprofit organization, commitment to provide the minimum capital investment and prior experience in housing or related supportive service activities. The request for Capital Advance Financing, using Form HUD-92013, is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and effect on environment, as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the Sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Field Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable so long as the project is available to very low income elderly for 40 years. Project Rental Assistance Contract payments may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction for work in place. See the following for information on how assistance is awarded/released: Based on percentage of construction completion.

**Reports:**

All Owners will be required to submit form HUD-96010 Program Outcome Logic Model to HUD on an annual basis. All Owners will be required to submit a financial statement. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the Owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0164-0-3-371; 86-4588-0-3-371; 86-0320-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$778,344,000; FY 09 est \$784,485,000; FY 10 est \$522,000,000

**Range and Average of Financial Assistance:**

\$717,700 to \$12,560,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, HUD funded 2,947 units under this program. Fiscal Year 2009: HUD anticipates a similar level of funding in Fiscal Year 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.3 REV-1 and 4571.5; and Notice H 96-102, as extended.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Aretha Williams, 451 7th Street SW, Washington, District of Columbia 20410  
Email: [Aretha.M.Williams@hud.gov](mailto:Aretha.M.Williams@hud.gov) Phone: (202) 708-3000 Fax: (202) 708-3104.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.181 Supportive Housing for Persons with Disabilities; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.159 SECTION 245 GRADUATED PAYMENT MORTGAGE PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To facilitate early home ownership for households that expect their incomes to rise. Program allows homeowners to make smaller monthly payments initially and to increase their size gradually over time.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These mortgage loans may be used by owner-occupant mortgagors to finance the purchase of proposed, under construction, or existing single family housing, and condominiums. Maximum insurable mortgage is the property's sales price (or appraised value, if less) exclusive of any borrower paid closing cost multiplied by a percent that is determined by the sales price or value if less and the average closing cost for the State or 97 percent of the appraised value and closing costs of the property, minus all of the deferred interest which would accrue during the graduated term. This determines the maximum mortgage that FHA will insure, provided the mortgagor makes a cash investment of at least 3 percent into the property which may include closing costs.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply for Section 245(a).

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the applicant are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the mortgage is limited to 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.117 for FY 08, FY 09, FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.162 MORTGAGE INSURANCE COMBINATION AND MANUFACTURED HOME LOT LOANS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing for the purchase of a manufactured home and a lot on which to place the home.

**TYPES OF ASSISTANCE:**

## GUARANTEED/INSURED LOANS

### USES AND USE RESTRICTIONS:

HUD insures lenders against loss on mortgage loans. Insured loans may be used to purchase manufactured homes and lots for buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum mortgage amount is \$92,904 for a manufactured home and a suitably developed lot and \$23,226 for a developed lot only. The lot must be appraised by the HUD-approved appraiser. Maximum loan limits may be increased in designated high-cost areas.

### Applicant Eligibility:

All persons are eligible to apply.

### Beneficiary Eligibility:

Individuals/families.

### Credentials/Documentation:

Documentation regarding the characteristics of the manufactured home unit, HUD-approved appraisal of the lot, and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender for review and approval.

### Award Procedure:

See Application Procedure.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

### Appeals:

The applicant may reapply.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

The maximum loan term is 20 years for a single-module home and lot; 25 years for a multiple-module home and lot; and 15 years for a lot only. Method of awarding/releasing assistance: quarterly.

### Reports:

### Audits:

Not Applicable.

### Records:

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

### Account Identification:

86-4077-0-3-371.

### Obligations:

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 Reported Under 14.110  
FY 09 Reported Under 14.110  
FY 10 Reported Under 14.110.

### Range and Average of Financial Assistance:

The maximum mortgage amount is \$92,904 for a manufactured home on a suitably developed lot and \$23,226 for a developed lot only.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: In fiscal year 2008, HUD insured 73 combination loans; 1,503 manufactured home units, and 0 lot only loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

### Regional or Local Office:

None.

### Headquarters Office:

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

### Website Address:

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

### RELATED PROGRAMS:

14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 14.127 Mortgage Insurance\_Manufactured Home Parks; 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

## 14.163 MORTGAGE INSURANCE\_SINGLE FAMILY COOPERATIVE HOUSING

(203(n))

### FEDERAL AGENCY:

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

### AUTHORIZATION:

National Housing Act; as amended, Section 203 (n), Emergency Home Purchase assistance act of 1974, Public Law 93-449, 88 Stat. 1364.

### OBJECTIVES:

To provide insured financing for the purchase of the Corporate Certificate and Occupancy Certificate for a unit in a cooperative housing project. Ownership of the corporate certificate carries the right to occupy the unit located within the cooperative project.

### TYPES OF ASSISTANCE:

GUARANTEED/INSURED LOANS

### USES AND USE RESTRICTIONS:

HUD insures lenders against loss on mortgage loans. These insured loans may be used to assist individuals or families in acquiring corporate certificates and occupancy certificates in a cooperative housing project that is covered by a blanket mortgage insured under the National Housing Act. The maximum insurable mortgage loan is limited to the maximum limit under Section 203(b) minus the portion of the unpaid balance of the project mortgage attributable to the dwelling unit.

### Applicant Eligibility:

Potential owner-occupant mortgagors are eligible to apply.

### Beneficiary Eligibility:

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the HUD Homeownership Center having jurisdiction over the area where the property is located through a HUD approved lending institution. This program is excluded from coverage under OMB Circular Nos. A-102 and A-110.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 30 years or the remaining term of the blanket mortgage covering the cooperative development, whichever is less. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 Reported Under 14.117  
FY 09 Reported Under 14.117  
FY 10 Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There has been no mortgage endorsements under this program in the most recent two years. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghocsc.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: 2024022324

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

14.117 Mortgage Insurance\_Homes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.167 MORTGAGE INSURANCE\_TWO YEAR OPERATING LOSS LOANS, SECTION 223(D)**

(Two Year Operating Loss Loans)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Public Law 90- 448, as amended, Public Law 91-152, 12 U.S.C. 1715x.

**OBJECTIVES:**

To insure a separate loan covering operating losses incurred during the first 2 years following the date of completion or any other 2-year period occurring within 10 years following the date of completion of a multifamily project with a HUD-insured first mortgage.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Eligibility is limited to currently insured HUD projects. Section 223(d) insures a loan to cover the excess of expenses over project gross income incurred during the first two years following the date of completion of the project or for any other two-year period within 10 years of project completion, for such amounts and upon such terms and conditions as HUD may prescribe. A project can receive both loans but not for the same two year period. The loan is insured by HUD under the same section as the original mortgage in an amount not exceeding the excess of operating expenses over project income. The loan term is limited to the unexpired term of the original mortgage. This program requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility subject to a mortgage insured by HUD are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families and property owner.

**Credentials/Documentation:**

A formal application for insurance accompanied by a financial statement prepared by an independent certified public accountant or independent public accountant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

Information submitted by the applicant will be reviewed and analyzed using data available through office records, field review and general current working knowledge of the project and background. A determination is then made as to the maximum insurable loan amount.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing time will be dependent upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

From 15 to 30 days. If an application for operating loss loan is refused, HUD will state the reason for the refusal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The loan may not exceed the remaining term of the insured mortgage. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the mortgagee or mortgagor to determine compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$11,000,808; FY 09 est \$12,000,000; FY 10 est \$13,000,000

**Range and Average of Financial Assistance:**

Loans sizes range from \$750,000 to \$7,000,000 with an average of \$2.0 million. Project sizes range from 117 to 210 units with an average of 151 units.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207.4(f) et seq; HUD Handbook 4470.1 REV-2 CHG-1 (Chapter 17), "Operating Loss Loans", no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local Multifamily Hub or Program Center. These offices are listed under HUD resources on the Multifamily industry website at: [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Dorothy J. Matthews, 451 7th Street, S.W., Room 9139, Washington, District of Columbia 20410 Email: [Dorothy.J.Matthews@hud.gov](mailto:Dorothy.J.Matthews@hud.gov) Phone: (202) 402-4177.

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.168 LAND SALES-CERTAIN SUBDIVIDED LAND (INTERSTATE LAND SALES REGISTRATION) AND REAL ESTATE SETTLEMENT PROCEDURES ACT**

(Interstate Land Sales Registration Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Interstate Land Sales Full Disclosure Act, as amended, Public Law 90-448, Title XIV, 15 U.S.C. 1701; Public Law 96-153.

**OBJECTIVES:**

To provide consumer protection by prohibiting fraudulent practices and requiring full disclosure of conditions surrounding the purchase of subdivided land covered by the Act.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Developers that sell, lease, or offer to sell or lease land divided into 100 or more nonexempt lots, using any means or instruments of transportation or communication in interstate commerce or the mails must register with the Department of Housing and Urban Development. The developers must provide all purchasers with a copy of a Property Report which sets forth important facts about the development and the developer. Failure to provide a Property Report prior to the purchaser signing a purchase agreement subjects the developer to statutory and regulatory penalties. Anti-fraud provisions of the Act are applicable to subdivisions of 25 lots or more. Failure to comply with the anti-fraud provisions subjects developers to civil and criminal penalties. Other consumer protection provisions include a seven-day cooling-off period and required contractual provisions. The Act and regulations provide exemption from full disclosure where a subdivision meets certain requirements.

**Applicant Eligibility:**

Certain land developers are required to submit a filing in compliance with specific registration requirements.

**Beneficiary Eligibility:**

Any person who purchases a lot in a covered subdivision is entitled to certain rights and remedies.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Developers wishing to register a subdivision should contact the Office of RESPA and Interstate Land Sales, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Developers file an extensive statement of record (including the Property Report) disclosing all pertinent facts about the land, its ownership, control, amenities, restrictions, nature of purchase or lease transaction, and other required information. Specific requirements set forth in Federal Register, Title 24, Chapter X, Part 1710 as amended by Public Law 96-153.

**Award Procedure:**

An effective date is issued after all materials have been submitted and found to be in compliance with the registration requirements.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Any developer receiving a deficiency notice, notice of proceeding, suspension order, notice of exemption eligibility termination or notice of civil money penalties may request a formal hearing.

**Renewals:**

An annual report of activity accompanied by any applicable amendments and fees, must be submitted within 30 days of the annual anniversary of the effective date of the initial filing.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

The developer must retain copies of Property Report receipts for a period of three years from the date of execution or the term of the contract, whichever is longer.

**Account Identification:**

86-5270-0-2-376.

**Obligations:**

(Salaries) FY 08 \$577,000; FY 09 est \$540,000; FY 10 est \$540,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During Fiscal Year 2008, HUD received 443 registrations, 844 Annual Reports of Activity, 30 requests for exemption from the registration requirements, 170 complaints and 139 requests for Voluntary Suspension of existing registrations. Investigation of violators of the Act have led to settlement agreements that are posted on web site. Projected program activity is expected to remain the same in FY 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and Exemption Guidelines appear in 24 CFR Parts 1700, 1710, 1715, 1720, and 1730.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anita L Hart, 451 7th Street, SW, Room 9154, Washington, District of Columbia 20019 Email: Anita.L.Hart@hud.gov Phone: (202) 402-2066.

**Website Address:**

<http://www.hud.gov/offices/hsg/ramh/ils/ilshome.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.169 HOUSING COUNSELING ASSISTANCE PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

To counsel homeowners, homebuyers, prospective renters and tenants under HUD, conventional and other government programs in improving their housing conditions and in meeting the responsibilities of tenancy and homeownership.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide housing counseling grants to HUD-approved local housing counseling agencies; to HUD-approved national and regional intermediaries; and to State housing finance agencies. Grants provide a variety of housing counseling services, including single family home buying, homeownership, mortgage default, HECM, rental, and rental delinquency under HUD and other programs.

**Applicant Eligibility:**

Qualified public or private nonprofit organizations. There are three categories of eligible applicants: (1) HUD-approved local housing counseling agency; (2) HUD-approved national or regional intermediary; and (3) State housing finance agency.

**Beneficiary Eligibility:**

Individuals, groups of individuals, and families who are renters, tenants, homeowners, and home buyers under HUD, conventional and other government programs.

**Credentials/Documentation:**

To be eligible to apply for a housing counseling grant through the SuperNOFA, agencies, except state housing finance agencies must be HUD approved. HUD-approval must be secured by the SuperNOFA publication date. To become a HUD-approved housing counseling agency, applicants must (1) meet the requirements of the Housing Counseling Handbook 7610.1 as revised; (2) consult the HUD website to learn about the eligibility requirements for becoming HUD-approved and obtain application (available on the HUD website at [www.hud.gov/offices/hsg/sfh/hcc/hcc\\_homes.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_homes.cfm)); and (3) return application to the HUD Homeownership Center (HOC) with jurisdiction, or, if appropriate, HUD Headquarters. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds is announced on HUD's website at [www.hud.gov](http://www.hud.gov). There is no application kit. For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling services to be provided, and indicators by which benefits / impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. National and regional intermediaries are rated and ranked by HUD Headquarters. Local agencies, multi-state organizations and State housing finance agencies are rated and ranked by the Homeownership Center (HOC) with jurisdiction. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR part 84; and OMB Circular A-133, Audits



of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for State and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

As required in grant document and Housing Counseling Handbook, HUD 7610.1 REV-4 dated August 1995.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$47,500,000; FY 09 est \$60,000,000; FY 10 est \$92,000,000

**Range and Average of Financial Assistance:**

Range and average of financial assistance: For Fiscal Year 2008, the minimum request from a local agency was \$20000 and the maximum request from an intermediary was \$5.5 million. The average local agency counseling grant was approximately \$36,000. The average intermediary award was approximately \$1.2 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal year 2008 - agencies participating in the program provided housing counseling services to approximately 1,750,000 households. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>), or the nearest local HUD Office. See Catalog address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: 2024022324

**Website Address:**

[http://www.hud.gov/offices/hsg/sfh/hcc/hcc\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_home.cfm).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.171 MANUFACTURED HOME CONSTRUCTION AND SAFETY STANDARDS**

(Manufactured Housing)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Manufactured Housing Construction and Safety Standards Act, Title 42, Part 5401, 42 U.S.C 5401.

**OBJECTIVES:**

To protect the quality, durability, safety and affordability of manufactured homes; to facilitate the availability of affordable manufactured homes and to increase home ownership for all Americans; to provide for the establishment of practical, uniform, and, to the extent possible, performance-based Federal construction standards for manufactured homes; to encourage innovative and cost-effective construction techniques for manufactured homes; and to protect residents of manufactured homes with respect to personal injuries and the amount of insurance costs and property damages in manufactured housing.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Manufacturers who build "manufactured homes" as defined by the Act, for sale in the United States are subject to the Act and must comply with preemptive Federal Manufactured Home Construction and Safety Standards (24 CFR 3280). Designs of homes are reviewed for compliance, and homes are inspected during construction by HUD-approved third-party inspection agencies. Consumers receiving defective homes have recourse, ranging from the right to be notified that their home contains a defect, to correction by the manufacturer of serious defects and imminent safety hazards. Retailers are prohibited from selling homes which they know are not in compliance with the Federal Standards. As required by 2000 amendments to the Act, the Department has now established installation standards for siting of new manufactured homes. These installation standards cover joining of sections and anchoring, as well as stabilizing and support systems. As required by the same amendments to the Act, the Department has also established a national manufactured home dispute resolution program.

**Applicant Eligibility:**

Any purchaser of a manufactured home built on or after June 15, 1976, for residential use is automatically covered by the program.

**Beneficiary Eligibility:**

Any purchaser of a residential manufactured home built on or after June 15, 1976.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Manufacturers must have designs for each manufactured home model to be

produced, reviewed and approved by a HUD- approved third-party design inspection agency. Each home must be inspected during at least one phase of construction and every stage of manufacturing process inspected by a third-party in-plant inspection entity. A purchaser may file a complaint with HUD or a HUD-approved State Administrative Agency (SAA).

**Award Procedure:**

Unless defects or noncompliance with the standards are found in homes, manufacturers may label and retailers may sell the units. If a purchaser complains, HUD or an SAA may request an investigation by the manufacturer or the dealer, and may then initiate enforcement actions under applicable regulations (24 CFR 3282). As required by 2000 amendments to the Act, the Department has established a dispute resolution program to provide for the timely resolution of disputes between manufacturers, installers, and retailers regarding responsibility for repairs. Consumers may file complaints and otherwise participate in this program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A manufacturer may appeal a preliminary determination, and be granted a hearing or presentation of views by HUD or by a State Administrative Agency (SAA) whenever homes are identified as having "serious defects" or "imminent safety hazards," and notification or correction would be required under the regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Monetary funds are not awarded. See the following for information on how assistance is awarded/released: Complaints can be filed with the office of manufactured housing programs or direct with a state administrative agency that assist with the administration and enforcement of the manufactured housing program in their state.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

A retailer is required, after selling a manufactured home, to fill out an information card listing the name of the purchaser and the home's location, and to send it to the home manufacturer. A manufacturer is required to maintain records relating to each home's production and service related work.

**Account Identification:**

86-8119-0-7-376.

**Obligations:**

(Investigation of Complaints) FY 08 \$6,564,000; FY 09 est \$15,400,000; FY 10 est \$16,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Manufactured Home Construction and Safety Standards appear in the Code of Federal Regulations at 24 CFR 3280, et seq.; Manufactured Home Procedural and Enforcement Regulations appear at 24 CFR 3282, et seq.

**Regional or Local Office:**

None.

**Headquarters Office:**

William W. Matchneer, Department of Housing and Urban Development, 451 7th Street, S.W., Room 9164, Washington, District of Columbia 20410 Email: William.W.Matchneer@hud.gov Phone: (202) 708-6401.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.172 MORTGAGE INSURANCE\_GROWING EQUITY MORTGAGES (GEMs)**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To provide a rapid principal reduction and shorter mortgage term by increasing payments over a 10-year period, thereby expanding housing opportunities to the homebuying public.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing, as well as to refinance indebtedness on existing housing, provided certain conditions are met. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - Program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved mortgagee lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Mortgage terms vary according to the plan chosen. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending instructions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.117 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.175 ADJUSTABLE RATE MORTGAGES**

(ARMS)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

national housing act.

**OBJECTIVES:**

To provide mortgage insurance for an adjustable rate mortgage which offers lenders more assurance of long term profitability than a fixed rate mortgage, while offering consumer protection features.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one- to four-family housing as well as to refinance indebtedness on existing housing. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.117 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/ins/singlefamily.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.181 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES**

(Section 811)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act, Public Law 101-625, 42 U.S.C. 8013, 104 Stat. 4324, 4331; Housing and Community Development Act of 1992, Public Law 102-550; the Rescissions Act, Public Law 104-19; American Homeownership and Economic Opportunity Act of 2000, Public Law 106-569; and the Revised Continuing Appropriations Resolution, 2007, Public Law 110-5.

**OBJECTIVES:**

To expand the supply of supportive housing for very low-income persons with disabilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to construct, rehabilitate or acquire structures to be used as supportive housing for persons with disabilities. Project rental assistance is used to cover the difference between the HUD-approved operating costs of the project and the tenants' contributions toward rent (30 percent of adjusted income).

**Applicant Eligibility:**

Eligible Sponsors are nonprofit organizations with a Section 501(c)(3) tax exemption from the Internal Revenue Service. Eligible Owner entities are nonprofit organizations with a 501(c)(3) tax exemption from the Internal Revenue Service and, if the proposed project involves mixed financing, for-profit limited partnerships with a nonprofit entity as the sole general partner.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Beneficiaries of housing developed under this program must be very low-income persons with a physical disability, developmental disability or chronic mental illness (18 years of age or older).

**Credentials/Documentation:**

The nonprofit sponsor and owner must receive certification of eligibility from HUD. The owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the capital advance amount, up to a maximum of \$10,000. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must forward a copy of their applications to the appropriate state or local agency for a review of the supportive services plan and a completed

certification from the agency as to whether the provision of services is well designed to meet the needs of the anticipated occupancy must be included in the applicant's submission of its application to the HUD field office. An environmental assessment is required for applications containing evidence of site control. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Funding Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit a Request for a Fund Reservation, using Form HUD-92016-CA, Section 811 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grant.gov](http://www.grant.gov).

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the particular HUD Field Office. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a nonprofit entity, eligibility as a for-profit limited partnership with nonprofit entity as the sole general partner for mixed-finance projects, financial commitment and prior experience in housing or related service activities. The request for Capital Advance Financing, using Form HUD-92013 is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and the effect on environment as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Field Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable if the project is available for very low-income persons with disabilities for 40 years. Project Rental Assistance Contracts may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction. See the following for information on how assistance is awarded/released: Based on percentage of construction completion.

**Reports:**

All owners will be required to submit a Outcome Logic Model Report to HUD. All owners will be required to submit an annual financial statement. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owners in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0164-0-3-371; 86-4588-0-3-371; 86-0237-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$255,779,000; FY 09 est \$224,189,000; FY 10 est \$114,000,000

**Range and Average of Financial Assistance:**

\$341,000 to \$3,272,200; \$1,113,460.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, HUD funded 930 units. Fiscal Year 2009: The Department anticipates that the level of funding in Fiscal Year 2009 will result in about 700 new Section 811 housing units. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.2 and 4571.4; and Notice H 96-102, as extended.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Aretha Williams, 451 7th Street SW, Washington, District of Columbia 20410  
Email: Aretha.M.Williams@hud.gov Phone: (202) 708-3000 Fax: (202) 708-3104.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.183 HOME EQUITY CONVERSION MORTGAGES**

(Section 255)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To enable elderly homeowners to convert equity in their homes to monthly streams of income or, except for Texas, lines of credit.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on reverse mortgage loans. These loans may be used to provide monthly streams of income or, except for Texas, lines of credit for older homeowners, 62 years of age or older.

**Applicant Eligibility:**

Eligible borrowers are persons 62 years of age or older and must complete counseling from a HUD-approved agency prior to obtaining the loan. Eligible

properties include Single Family one-to-four unit owner-occupied dwelling units, condominiums and Planned Unit Developments, if they meet FHA standards, and manufactured homes, if they meet FHA standards.

**Beneficiary Eligibility:**

Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower is required to receive counseling from a HUD-approved counseling agency prior to application. Approved Direct Endorsement Lenders process all aspects of the loan application and submit it to HUD for insurance endorsement.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Mortgagee will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage has no specified term. The mortgage is due and payable at the death of the borrower(s) or if the borrower sells, conveys, or moves from the property. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under 14.133 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/hecm/hecmabou.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.184 MORTGAGES INSURANCE FOR SINGLE ROOM OCCUPANCY (SRO) PROJECTS**

(221(d) Single Room Occupancy)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 221(d), 12 U.S.C. 1751(d); Section 223(g), 12 U.S.C. 1715 (g).

**OBJECTIVES:**

The Single Room Occupancy (SRO) Program provides mortgage insurance for multifamily properties consisting of single-room units. There are no Federal rent subsidies involved with this SRO Program. It is aimed at those tenants who have a source of income but are priced out of the rental apartment market. SRO projects will generally require assistance from local governing bodies or charitable organizations in order to reduce the rents to affordable levels.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The SRO Program insures lenders against loss on mortgages used to finance construction or substantial rehabilitation of projects consisting of five or more units comprised primarily of one room residential units. Projects must be designed primarily for residential use. Any commercial activity must be compatible with the use of the project and primarily for the benefit of the residents. Commercial space is limited to 10 percent of the total gross floor area (20 percent in substantial rehabilitation projects), and 15 percent of gross rental income in a project. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible applicants may be nonprofit entities; builder/sellers teamed with a nonprofit purchaser, a limited distribution entity, profit-motivated entities or public entities. Cooperative lenders or investors are not eligible.

**Beneficiary Eligibility:**

Residents are subject to normal tenant selection procedures. There are no income limits for admission.

**Credentials/Documentation:**

Along with the Application for Mortgage Insurance, the applicant must provide a market profile demonstrating a clear need for the proposed SRO, experience profiles as to SRO operation, a certification from the local government assuring support of the project, and a relocation plan if needed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility application to the local HUD office for review. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The project is reviewed to determine its feasibility. If the project meets program requirements, the HUD Multifamily Hub or Program Center issues a commitment to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the workload of the HUD Multifamily Hub or Program Center.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 221.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported Under 14.133 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221.565; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy (SRO) Projects available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed in [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [joyce.allen@hud.gov](mailto:joyce.allen@hud.gov) Phone: 2027081142

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.188 HOUSING FINANCE AGENCIES (HFA) RISK SHARING**

(542(c) Risk Sharing Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program.

**OBJECTIVES:**

Under Section 542(c), HUD provides credit enhancement for mortgages for multifamily housing projects whose loans are underwritten, processed, serviced, and disposed of by Housing Finance Agencies (HFA). HUD and the Housing Finance Agencies share in the risk of the mortgage. The program was originally designed as a pilot program to assess the feasibility of risk-sharing partnerships between HUD and qualified State and local HFAs in providing affordable housing for the Nation. The Section 542(c) program is now permanent multifamily insurance program.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Participating qualified State and local Housing Finance Agencies (HFAs) may underwrite, originate, service, and dispose of properties financed under Section 542(c). Program provides full HUD mortgage insurance to enhance HFA bonds to investment grade. HFA reimburses HUD in the event of a claim pursuant to terms of Risk Sharing Agreement. HFAs may elect to share risk with HUD from 10 to 90 percent of the loss. The program provides new independent insurance authority not under the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors, who include investors, builders, developers, public entities, and private nonprofit corporations or associations, may apply to a qualified HFA. To be eligible for HUD's approval, the HFA must: (1) carry the designation of "top tier" or its equivalent as evaluated by Standard and Poors or another nationally recognized rating agency; (2) receive an overall rating of "A" for the HFA for its general obligation bonds from a nationally recognized rating agency; or (3) otherwise demonstrate its capacity as a sound, well-managed agency that is experienced in financing multifamily housing.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application to a qualified HFA. Proof of nonprofit status is required of nonprofit organizations. Projects

must qualify as affordable housing as defined by Section 42(g) of the Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to a HUD-approved HFA.

**Award Procedure:**

The HFAs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects. However, HUD retains authority for environmental review. The HUD-approved HFA is responsible for making the award once the project qualifies for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor.

**Appeals:**

If an application for mortgage insurance is refused, HFA will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

HUD will provide mortgage insurance on multifamily housing projects whose loans were underwritten, processed, serviced, and disposed of by HFAs.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 266.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Over the life of the insured mortgage.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of the HFA and the mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

HFAs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the implementing regulations. HFAs must also monitor construction/inspection process.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$57,575,539; FY 09 est \$180,000,000; FY 10 est \$250,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulatory authority for this program is regulation 24 CFR Part 266. HUD Handbook 4590.1, Housing Finance Agency Risk-Sharing Pilot Program, is located on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Joyce Allen 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [joyce.allen@hud.gov](mailto:joyce.allen@hud.gov) Phone: 2027081142

**Website Address:**

<http://www.hud.gov/offices/hsg/mflh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.189 QUALIFIED PARTICIPATING ENTITIES (QPE) RISK SHARING**

(542(b) Risk Sharing Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(b), Public Law 102-550, 12 U.S.C. 1701; Public Law 106-377. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily insurance program.

**OBJECTIVES:**

Under this program HUD provides reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by qualified participating entities (QPEs) and/or its approved lenders. The program encourages the development and preservation of affordable housing. The Section 542(b) program was originally designed as a pilot to test innovative mortgage insurance and reinsurance products to provide affordable multifamily housing through a partnership between HUD and QPEs, including Government Sponsored Enterprises, financial institutions, and the Federal Housing Finance Board.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

QPEs and/or its approved lenders may originate and underwrite affordable housing loans. HUD's mortgage credit enhancements are used to support the underwriting and production strengths of Fannie Mae, Freddie Mac, and other qualified Federal, State, and local public financial and housing institutions. In the event of a default, the QPE will pay all costs associated with loan disposition and will seek reimbursement from HUD. In most cases, the HUD risk share will be 50 percent. The program provides a new insurance authority independent of the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, and private nonprofit corporations or associations may apply to a qualified QPE and/or its lender.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted to the QPE and/or its lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to the QPE.

**Award Procedure:**

QPEs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within 15 days of HUD's receipt of a complete and acceptable Risk Sharing Request, HUD will execute the Addendum to Risk Sharing Agreement which signifies that HUD has undertaken a Risk Sharing Obligation for a specific mortgage loan.

**Appeals:**

If a Risk Sharing Request is refused, HUD will state the reasons for the refusal.

**Renewals:**

HUD will provide reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by QPEs.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Monthly.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

QPEs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$9,338,000; FY 09 est \$5,000,000; FY 10 est \$9,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Section 542(b) program was implemented without regulations.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Joyce Allen 451 Seventh Street SW, Washington, District of Columbia 20410  
Email: [joyce.allen@hud.gov](mailto:joyce.allen@hud.gov) Phone: 2027081142

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.191 MULTIFAMILY HOUSING SERVICE COORDINATORS**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act, Section 808, Public Law 101-625, as amended; Housing and Community Development Act of 1992, 42 U.S.C. 13632, Public Law 104-104, as amended; American Homeownership and Economic Opportunity Act of 2000, Section 851, Public Law 106-569, approved December 27, 2000.

**OBJECTIVES:**

To link elderly, especially frail and disabled, or disabled non-elderly assisted housing and neighborhood residents to supportive services in the general community; to prevent premature and unnecessary institutionalization; and, to assess individual service needs, determine eligibility for public services and make resource allocation decisions which enable residents to stay in the community longer.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The service coordinator is a social service staff person hired by the development owner/management company to arrange a broad spectrum of services for residents which include, but are not limited to, the following: the provision of formal case management (i.e., the evaluation of health, psychological or social needs); educate residents and development management staff on issues related to aging-in-place and service coordination; monitor the provision of services, and act as an advocate for the resident in dealing with community service providers. The service coordinator may not serve as the recreational or activities director for a development; provide supportive services directly, or assist with other administrative work associated with the development's operation during the time paid for by grant funds. Provided in the Notice of Funding Availability (NOFA).

**Applicant Eligibility:**

Eligible applicants are owners of Section 8 developments with project-based subsidy (including Rural Housing Service Section 515/8 developments); Section 202 developments as defined under 24 CFR Sections 277 and 885, and 221(d)(3) below-market interest rate and 236 developments which are insured or assisted (funded under Sections 24 CFR 221 Subpart C, 236, 277, 880, 881, 883, 885 and 886). To be eligible, developments must also be current in mortgage payments. Service coordinators for Congregate Housing Service Programs (CHSP), Section 202 developments with a Project Rental Assistance Contract (PRAC), and Section 811 developments are not eligible for funding. Owners of Section 202 PRAC developments may request an increase in their PRAC to hire a Service Coordinator by following procedures in the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8.

**Beneficiary Eligibility:**

Eligible beneficiaries are residents of eligible housing or community residents who live in the vicinity of such housing. Service Coordination may be provided to elderly or disabled families. In particular, priority is given to residents who are frail (unable to perform at least three activities of daily living (ADLs)) or "at risk" elderly persons who are unable to perform 1- 2 ADLs, or non-elderly disabled or temporarily disabled residents. At least twenty-five percent of the residents of a development must be frail, at risk, or non-elderly people with disabilities for that development to be eligible for funding.

**Credentials/Documentation:**

As required in the NOFA published in the Federal Register. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted in accordance with the requirements in the NOFA published in the Federal Register.

**Award Procedure:**

As described in the NOFA. All eligible applications will be selected through a national lottery.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified in the NOFA.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the grant period, subject to the availability of appropriations, continued need, and compliance with grant requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding term stated in the NOFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Financial and performance reporting as specified in the NOFA and grant agreement. On-site management reviews done by HUD consistent with Development monitoring standards contained in HUD Handbook 4350.1, Chapter 6. Financial Status Report (Standard Form 269-A). Multifamily Housing Service Coordinator Semi-annual Performance Report (form HUD-92456) and HUD Logic Model (form HUD-96010). Line of Credit Control System (LOCCS) Payment Voucher (form HUD-500800-SCMF) and Financial Status Report (Standard Form 269-A). HUD Field Office Staffs are responsible for monitoring grant-funded activities and the use of grant funds.

**Audits:**

No audits are required for this program.

**Records:**

Grantees required to maintain records as required by grant agreement. These requirements conform to OMB Circular No. A-110.

**Account Identification:**

86-0320-0-1-604; 86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under program 14.157 for FY 08, FY 09, and FY 10.

**Range and Average of Financial Assistance:**

\$88,825 to \$402,196; \$171,064.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No grants for FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations for this program, see the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8. (available at [HTTP://www.hud.gov](http://www.hud.gov)); the How-to Guide for Service Coordinators and the evaluation studies of the Service Coordinator Program available.

**Regional or Local Office:**

See Regional Agency Offices. Contact Multifamily Director in the nearest HUD Field Office. Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Aretha Williams 451 7th Street SW, Washington, District of Columbia 20410  
Email: Aretha.M.Williams@hud.gov Phone: 202 7083000 Fax: 202 7083104

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.181 Supportive Housing for Persons with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No grants for FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the NOFA.

**14.195 SECTION 8 HOUSING ASSISTANCE PAYMENTS PROGRAM**

(Project-based Section 8)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

United States Housing Act of 1937, Section 8(c)(9).

**OBJECTIVES:**

To provide rental assistance to very low income individuals and families enabling them to live in affordable decent, safe and sanitary housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

This program is inactive. No new projects are being approved; however, tenants may apply for admission to projects with existing Section 8 assistance contracts. The assistance is paid by HUD to the owner of an assisted unit on behalf of an eligible family. The payment is the difference between the contract rent and the tenant rent. Assistance is currently available only on a renewal basis, i.e., projects currently assisted may receive a 1-year renewal, or multiple years, up to twenty years, upon expiration of the Section 8 contract.

**Applicant Eligibility:**

No funding is available to new applicants. Funding is currently available only for the owners of record of projects with an existing expiring project-based Section 8 contract. The project must meet minimum decent, safe, and sanitary standards.

**Beneficiary Eligibility:**

Families currently receiving assistance as long as their income does not exceed 80 percent of area median income adjusted for smaller or larger families.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. Project must meet minimum decent, safe, and sanitary standards for HUD to renew the Section 8 contract. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project owner must notify HUD within 120 days of contract expiration that it wishes to renew the Section 8 contract.

**Award Procedure:**

Contract is renewed upon expiration.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approval given by date of contract expiration.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to appropriations and owner's interest in renewing contract.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1 year. See the following for information on how assistance is awarded/released: Funds are disbursed at amend rents and contract renewals anniversary dates.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy. Annual management and occupancy review.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The owner must permit HUD to review and audit the management and maintenance of the project at any time to assure the owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

**Records:**

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0164-0-1-604; 86-0303-0-1-604; 86-0311-0-1-604; 86-0319-0-1-604; 86-0316-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$8,726,262,525; FY 09 est \$9,042,000,000; FY 10 est \$9,372,000,000

**Range and Average of Financial Assistance:**

Eligible tenants pay no more than 30 percent of their monthly adjusted income for rent.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 886 Section 8 Housing Assistance Payments Program - Special Allocations. 24 CFR 880 - Section 8 Housing Assistance Payments Program for New Construction; 24 CFR 881 - Section 8 Housing Assistance Payments Program for Substantial Rehabilitation; 24 CFR 883 - Section Housing Assistance State Housing Agencies; 24 CFR 884 - Section 8 Housing Assistance Payments Program for New Construction Set Aside for Section 515 Rural Rental Housing Projects; 24 CFR 891 Subpart E - Loans for Housing for the Elderly or Persons with Disabilities; HUD Section 8 Renewal Policy Guide (1/15/08).

**Regional or Local Office:**

See Regional Agency Offices. Persons may contact local field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gail Williamson 451 7th Street SW  
, Washington, District of Columbia 20410 Email: Gail.Williamson@hud.gov  
Phone: 202 4022473 Fax: 202 7083104

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/mfhsec8.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.197 MULTIFAMILY ASSISTED HOUSING REFORM AND AFFORDABILITY ACT**

(Market-to-Market)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

The Multifamily Assisted Housing Reform and Affordability Act of 1997 (Title V of Public Law No. 105-65, October 27, 1997, 111 Stat. 1384ff), as amended by section 531 of the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 2000, (Public Law 106-74, October 20, 1999, 113 Stat. 1109ff), as amended by the Mark-to-Market Extension Act of 2001 (Title VI of Public Law No. 107-166, January 10, 2002, 115 Stat. 2177), and as further amended by H.R. 20 (Public Law 110-5) Revised Continuing Appropriations Resolution, 2007 Section 21043, which made changes to Section 579 to extend the statute and allow new referrals until October 1, 2011. The Office of Affordable Housing Preservation (OAH) administers the Mark-to-Market program (M2M).

**OBJECTIVES:**

To retain critical affordable housing resources represented by the supply of FHA-insured Section 8 assisted housing and maintain it in good physical and financial condition while, at the same time, reducing the cost of the ongoing Federal subsidy. In carrying out the Program, HUD works with willing participating administrative entities (PAEs), owners and lenders to reduce Section 8 rents and operating expenses to true market levels and also provide for the project's capital improvement needs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Participating owners who undergo a mortgage restructuring must execute a use agreement committing to maintaining affordable housing for 30 years.

**Applicant Eligibility:**

The project must be subject to a FHA- insured mortgage and supported by project-based Section 8 HAP contracts with rent levels which, in the aggregate, exceed Comparable Market Rents.

**Beneficiary Eligibility:**

The project owner and individuals/families who are project tenants.

**Credentials/Documentation:**

Owner will submit a request to enter Mark-to-Market at least 120 days prior to the expiration of the HAP contract and certify the property is eligible to participate. The owner must not have been suspended or disbarred. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Owner must submit a letter of intent to the Multifamily Director of the local HUD Field Office at least 120 days prior to HAP expiration. Owner may also submit a letter of intent to the local HUD field office during the term of the Section 8 HAP contract to be considered as an outyear transaction.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Eligibility to participate in the program is determined within 30 business days of OAH's receipt of submission. Restructuring and refinancing process should take no longer than 12 months.

**Appeals:**

From 15 to 30 days. If the owner is not programmatically eligible there is not an appeal process as this is determined by legislative authority. There are two levels of appeals for a "Restructuring Commitment" or rejection of a Restructuring Plan. An appeal may be submitted in writing (with a copy to the Participating Administrative Entity) to the Portfolio Director of Office of Affordable Housing Preservation, within 30 calendar days of the issuance date of Restructuring Commitment. A second level appeal may be made within 10 days of notice, requesting an administrative review by OAH Headquarters.

**Renewals:**

From 15 to 30 days. Section 8 contracts will only be issued on an annual basis with terms of up to five years for a rent restructuring (M2M Lite) and up to 20 years for a mortgage restructuring (M2M Full).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Section 8 contracts are issued on an annual basis as long as the property remains eligible. Owners of projects that undergo a mortgage restructuring shall commit to maintain project affordability for 30 years. See the following for information on how assistance is awarded/released: contracts are awarded annually.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits are required.

**Records:**

As required by Section 8 and future program guidelines.

**Account Identification:**

86-4072-0-3-371.

**Obligations:**

(Project Grants) FY 08 \$50,855,844; FY 09 est \$160,000,000; FY 10 est \$13,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Rule 24 CFR 401 titled Multifamily Housing Mortgage and Housing Assistance Restructuring Program (Mark-to-Market) Final Regulations are published in the Federal Register, Volume 65, No. 56, dated Wednesday, March 22, 2000, as corrected in the September 6, 2000 Federal Register Volume 65, No. 173 (final rule; correction).

**Regional or Local Office:**

See Regional Agency Offices. The Office of Affordable Housing Preservation has two preservation office locations: Chicago Preservation Office: Harry West; Preservation Director, Office of Affordable Housing Preservation; Metcalfe Federal Building, 77 West Jackson Blvd., Room 2301, Chicago, IL 60604. Telephone: (312) 886-4133 Ext. 2371. Washington Preservation Office: Donna Rosen; Preservation Director, Office of Affordable Housing Preservation; The Portals Building, Suite 380, 1280 Maryland Ave., S.W., Washington, DC 20024. Telephone: (202) 260-2746 Ext. 3768.

**Headquarters Office:**

Dorothy J. Matthews 451 7th Street, S.W., Room 9139, Washington, DC

20410, Washington, District of Columbia 20410 Email:  
Dorothy.J.Matthews@hud.gov Phone: 2024024177

**Website Address:**

<http://www.hud.gov/offices/hsg/omhar/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.198 GOOD NEIGHBOR NEXT DOOR SALES PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.

**OBJECTIVES:**

The purpose of the Good Neighbor Next Door Sales Program is to improve the quality of life in distressed urban communities. This is to be accomplished by encouraging law enforcement officers, teachers, and firefighters/emergency medical technicians, and pre-Kindergarten Teachers whose daily responsibilities and duties represent a nexus to the needs of the community, to purchase and live in homes in these communities.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Participants must be employed full-time as a law enforcement officer, pre-K through grade 12 teacher, firefighter or emergency medical technician and agree to live in the property purchased for thirty six months from the date of occupancy following purchase of the home. Violation of the occupancy rule is under penalty of repayment of a prorata share of the discount of fifty percent of the list price. Properties offered through the program are single unit residences located in HUD-designated revitalization areas. The availability of properties is limited. Purchasers must provide financing for the purchases by their own means and are responsible for their portion of closing costs and broker fees. Teachers and Firefighters/EMTs are restricted to purchase homes located in an area served by their employer.

**Applicant Eligibility:**

Eligible law enforcement officer must be (a) Employed full-time by a law enforcement agency of the federal government, a state, a unit of general local government, or an Indian tribal government ; and (b) In carrying out such full-time employment, you are sworn to uphold, and make arrests for violations of, Federal, state, county, or municipal law. A firefighter/EMT must be full-time as a firefighter or emergency medical technician by a fire department or emergency medical services responder unit of the federal government, a state, unit of general local government, or an Indian tribal government serving the area where the home is located. A teacher for the purposes of the GNND Sales Program if the person is: (a) Employed as a full-time teacher by a state-accredited public school or private school that provides direct services to students in grades pre-kindergarten through 12; and (b) The public or private school where the person is employed as a teacher serves students from the area where the home is located in the normal course of business.

**Beneficiary Eligibility:**

Law enforcement officers, firefighters, and EMTs purchasing a HUD-owned home in a designated revitalization area for use as their sole residence.

**Credentials/Documentation:**

Sales contract (HUD 9548); employer certification; second mortgage and note. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Interested persons apply by submitting an offer to purchase a property listed through HUD's property disposition program. Properties for sale are listed on the Internet at sites accessible to the general public. Offers are submitted electronically. The offer amount submitted must be the list price.

**Award Procedure:**

A winning offer is selected randomly each week. The selected offeror is offered the property at a 50 percent discount off the list price, subject to the purchaser fully complying with the 36 month occupancy requirement and other program rules. The selected offeror is provided with a document package. The offeror accepts by signing and returning the sales documents. The selected offeror receives title to the home at a sales closing. The selected offeror arranges for financing of the purchase price.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The assistance is provided in exchange for the buyer's commitment to occupy the homes as a personal residence for thirty six months. Each month of occupancy results in the forgiveness of one thirty sixth of the discount value. Early vacation of the premises requires repayment of a pro rata amount of the discount. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

86-4070-0-3-371; 86-4077-0-3-371; 86-4105-0-3-371; 86-4242-0-3-371; 86-4587-0-3-371; 86-4072-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 Reported Under 14.311  
FY 09 Reported Under 14.311  
FY 10 Reported Under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 14,528 properties have been sold through the life of the program as of May 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations at 24 CFR Part 291. Fed. Register, October 31, 2006, Volume, Number, Page. Program information is available on HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/main.cfm>

**Regional or Local Office:**

See Regional Agency Offices. Contact HUD's Homeownership Center (HOC) serving your state. Each Homeownership Center has Good Neighbor Next Door Coordinators. HOCs and their service areas may be found on the web at <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>. Management and Marketing (M&M) contractors provide listings of properties available for purchase through the Good Neighbor Next Door program on the web and are a source of information. Go to <http://www.hud.gov/homes/index.cfm> and click on the state of your choice.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [wanda.sampedro@hud.gov](mailto:wanda.sampedro@hud.gov) Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/gnndabot.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.199 MULTIFAMILY PROPERTY DISPOSITION**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 207(k) and (l); Housing and Community Development Amendments of 1978, Section 203; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1997, Public Law 104-204; Departments of Veterans Affairs, Housing and Urban Development, Section 213, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Departments of Veterans Affairs, Housing and Urban Development, Section 206, and Independent Agencies Appropriations Act of 1999, Public Law 105-276; Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 2000, Public Law 106-74.

**OBJECTIVES:**

To manage and dispose of multifamily housing projects that are owned by the Secretary or that are subject to a mortgage held by the Secretary in a manner that is consistent with the National Housing Act; protect the financial interests of the Federal government, and will, in the least costly fashion among reasonable available alternatives: preserve certain housing so that it can remain available to and affordable by low-income persons; preserve and revitalize residential neighborhoods; maintain the existing housing stock in a decent, safe and sanitary condition; minimize the involuntary displacement of tenants; maintain housing for the purpose of providing rental housing, cooperative housing, and home ownership opportunities for low-income persons; supporting fair housing strategies; and dispose of such projects in a manner consistent with local housing market conditions.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

This section only applies to multifamily housing projects owned by the Secretary or that are subject to a mortgage held by the Secretary for which a foreclosure sale is to be held. A property can be sold with its current project-based Section 8 contract assigned to the new owner so that contract and its requirements stay in place. A property can be sold with tenant-based Housing Choice Vouchers (14.871) being provided to eligible tenants, which give the tenants the ability to stay on-site in units that meet HUD standards, or move to another location. In both cases, the residents must meet the eligibility requirements of those programs, which are defined elsewhere. A HUD-owned property may be sold with an up-front grant to assist in paying for rehabilitation or rebuilding provided funds have been appropriated by Congress. To be eligible, in addition to the property being HUD-owned, it must have more than 50 percent of the units in the project occupied by very low-income residents at

the time a disposition plan is approved by HUD, or HUD must determine it is essential, as affordable housing, to the revitalization of its community; it must be located in a housing market or submarket in which there is not sufficient habitable, affordable, rental housing, as defined in 24 CFR 290.3; it will generate, after rehabilitation or rebuilding, sufficient rental income in a competitive market to cover all operating expenses, meet after sale debt service requirements, fund required reserves and throw off positive cash flow; will provide affordable housing for at least 20 years, after the rehabilitation and/or rebuilding is completed; meets such other requirements, including deed restrictions, loan provisions, and monetary penalties for non-performance, as HUD may determine are appropriate on a case-by-case basis. The maximum that HUD will fund per project in an up-front grant or loan is 50 percent of total development cost (TDC), or \$40,000 per affordable, finished unit, whichever amount is less (not to exceed the current number of residential units in the project).

**Applicant Eligibility:**

These properties can be purchased by governmental entities, private individuals, corporations, or nonprofit organizations who have the requisite qualifications and agree to abide by the conditions set by HUD for the particular property sale.

**Beneficiary Eligibility:**

The ultimate beneficiary of those properties sold for continued use as affordable housing are low-income individuals and families.

**Credentials/Documentation:**

Interested parties must file HUD form 2530, "Previous Participation Clearance Application," and certify to HUD that any properties owned by the purchaser in the same geographical area of the property being purchased meet all applicable standards and housing codes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process. Foreclosure sales are conducted on an open, oral bid process, with sealed bids also being permitted. HUD-owned properties may be purchased without competition by governmental entities. HUD can sell some properties non-competitively to nonprofits. All other HUD-owned properties are sold through a full and open competition, usually sealed bids, auctions, or a Request for Proposals. HUD maintains a mailing list of individuals and firms interested in buying these projects, and maintains a website which lists all properties currently available for sale.

**Award Procedure:**

Properties sold at foreclosure are sold to the highest responsive and responsible bidder. HUD-owned projects may be sold to governmental entities who agree to meet HUD's requirements. Certain HUD-owned projects can be sold to nonprofits who agree to meet HUD's requirements. HUD-owned properties can be sold to the highest responsive and responsible bidder, and some are sold to the proposer with the best experience and plan for the future operation of the property.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Contingent upon complexity of case.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals of the Section 8 are subject to the rules of the particular program. There are no renewals of Up-Front Grants.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Yes. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

86-4077-0-1-371; 86-4072-0-1-371.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,211,662; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Interested parties can contact the Multifamily Property Disposition Centers in the Atlanta and Fort Worth HUD Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Beverly J. Miller, 451 Seventh St SW, Washington, District of Columbia 20410  
Email: beverly.miller@hud.gov Phone: (202) 708-3730.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/pd/multifam.cfm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.218 COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS**

Community Development Block Grant program for Entitlement Communities.

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5321.

**OBJECTIVES:**

To develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Recipient communities may undertake a wide range of activities directed toward neighborhood revitalization, economic development, and community services, facilities, and improvements. Entitlement communities develop their programs and set their funding priorities in conformance with the statutory standards, program regulations, and other federal requirements. Specific activities that can be carried out with Community Development Block Grant

(CDBG) funds include acquisition of real property; relocation; clearance and demolition; rehabilitation of residential and nonresidential structures; provision of public facilities and improvements, such as water and sewer facilities (which require reviews by the State single point of contact or a Regional Planning Agency in accordance with Executive Order 12372), streets, and neighborhood centers. Within program limitations, CDBG funds can also pay for public services. Recipients may provide assistance to microenterprises or other for-profit entities when the recipient determines that such assistance is appropriate to carry out an economic development project. Community-based development organizations may carry out neighborhood revitalization, community economic development, or energy conservation activities. Each CDBG eligible activity must meet one of three national objectives: benefit low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency that the grantee is unable to finance on its own. Recipients may only carry out eligible activities as listed in 24 CFR 570.201-207 or the statute.

**Applicant Eligibility:**

Cities in Metropolitan Areas designated by OMB as a central city of the Metropolitan Area; other cities over 50,000 in Metropolitan Areas; and qualified urban counties of at least 200,000 (excluding the population in entitlement cities located within the boundaries of such counties) are eligible to receive CDBG entitlement grants determined by a statutory formula.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low- and moderate-income persons (generally defined as a member of a family having an income equal to or less than the Section 8 low income limit established by HUD). The grantee must certify that at least 70 percent of the grant funds received during a 1, 2, or 3-year period, that it designates, are expended for activities that will principally benefit low- and moderate-income persons.

**Credentials/Documentation:**

Recipients must certify to meet program requirements and applicable federal requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Executive Order 12372 is applicable only where a recipient proposes to use funds for the planning or construction (reconstruction or installation) of water or sewer facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Recipients submit a 5-year Consolidated Plan, an annual action plan, SF Form 424, and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD Community development programs, including CDBG. The annual action plan must include the local community development objectives and show the proposed use of the funds. If the grantee makes a complete submission within the established deadlines, the Department will make a grant award unless a determination is made by HUD that the grantee's performance is unsatisfactory. HUD will approve the submission generally within 45 days of receipt of the annual action plan and required certifications unless a determination has been made that the grantee has failed to carry out its CDBG program in a timely manner or has failed to conform to the requirements of the statute or other applicable laws. Under such circumstances, HUD may take appropriate actions, including a reduction in the amount of the original formula-allocated grant.

**Award Procedure:**

None.

**Deadlines:**

Nov 15, 2009 to Aug 15, 2010: See below. For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's program year, but no earlier than November 15 or no later than August 16 of the fiscal year for which the funds are allocated.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally within 45 days.

**Appeals:**

Administrative appeals process followed if entitlement grant funds are withheld or reduced, or repayment proposed for non-compliance or non-performance.

**Renewals:**

From 15 to 30 days. Every 3 to 5 years, localities submit a Consolidated Plan. Each year localities submit an annual action plan and program certifications.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 570.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Program of assistance is for an annual activities, but activities generally may be continued beyond one year until they are deemed completed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Consolidated Annual Performance and Evaluation Report (CAPER). The CAPER reports on program accomplishments for each program year. For 272. The grantee's efficient expenditure of grant funds is evaluated annually (through information provided in the IDIS (see below)) 60-days prior to the end of its program year. Through the program management information system, known as the Inter-Disbursement and Information System (IDIS). Monitoring is "risk-assessment based" with high risked grantees receiving priority status for monitoring and review.

**Audits:**

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

**Records:**

The applicant must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, other resources, acquisition, housing assistance to units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in the program regulations. Records shall be retained for a period of four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the regulations.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 08 \$2,510,461,000; FY 09 est \$2,544,477,000; FY 10 est \$2,924,600,000 - Allocations made to entitled metropolitan cities and urban counties.

**Range and Average of Financial Assistance:**

From low of \$72,231 to a high of \$178,008,585 for New York City; average grant \$2,956,494.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There are approximately 1,150 units of local government eligible to receive entitlement grants during fiscal year 2008. Fiscal Year 2009: There are approximately 1,151 units of local government eligible to receive entitlement grants during fiscal year 2009. Fiscal Year 2010: There are approximately 1,155 units of local government eligible to receive entitlement grants during fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the

Catalog.

**Headquarters Office:**

Mark S. Walling, 451 7th Street S.W., Room 7282  
, Washington, District of Columbia 20410 Email: mark.s.walling@hud.gov  
Phone: (202) 402-5441.

**Website Address:**

<http://www.hud.gov/offices/cpd/index.cfm>.

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.225 COMMUNITY DEVELOPMENT BLOCK GRANTS/SPECIAL PURPOSE GRANTS/INSULAR AREAS**

Insular CDBG

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Public Law 93-383, 42 U.S.C 5306(a)(2).

**OBJECTIVES:**

To provide community development assistance to the Pacific Islands of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands in the Caribbean.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Activities must be eligible under 24 CFR 570 Subpart C.

**Applicant Eligibility:**

The Island Governments of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income for the territory, as adjusted by family size.

**Credentials/Documentation:**

Grantees must certify that they will comply with program requirements as specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular A-110 applies as implemented at 24 CFR Part 84. 24 CFR Part 85 also applies to this program. Each Insular Area shall submit a consolidated plan or an abbreviated consolidated plan to HUD no later than 45 days before the start of its program year.

**Award Procedure:**

The Honolulu Field Office and the HUD San Juan Field Office are responsible for reviewing each consolidated plan or abbreviated consolidated plan and approving them if the submissions are in accordance with 24 CFR 91 and the certifications are acceptable to HUD.

**Deadlines:**

Nov 15, 2008 to Aug 16, 2009 Applicants must submit final statements no later

than 45 days before the start of its program year.

**Range of Approval/Disapproval Time:**

45 days.

**Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart O).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Financial management and annual performance reports as required by the Secretary. SF-272 Federal Cash Transactions Report. Annual Performance Report details the territory's performance in completing activities undertaken during the program year. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff based on risk analysis factors.

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$7,000,000; FY 09 est \$7,000,000; FY 10 est \$7,000,000

**Range and Average of Financial Assistance:**

Funds awarded in FY 2009: American Samoa \$1,037,768; Guam \$2,817,312; Northern Marianas \$1,386,572; Virgin Islands \$1,758,348.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grantees report accomplishments by program year. In their 2007 program year, the Insular Areas Expended 58 percent of their CDBG funds on public improvements, 12.5 percent on acquisition, and 12.5 percent on public services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart F.

**Regional or Local Office:**

See Regional Agency Offices. Honolulu Field Office and the HUD San Juan Field Office as listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>.

**Headquarters Office:**

Diane L. Lobasso 451 7th St SW, Washington, District of Columbia 20410  
Email: [Diane.L.Lobasso@hud.gov](mailto:Diane.L.Lobasso@hud.gov) Phone: 202-708-1322

**Website Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

**RELATED PROGRAMS:**

15.875 Economic, Social, and Political Development of the Territories

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects are selected by grantees. Fiscal Year 2009: Projects are selected by grantees. Fiscal Year 2010: Projects are selected by grantees.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.227 COMMUNITY DEVELOPMENT BLOCK GRANTS/TECHNICAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Section 107 (b)(4), as amended.

**OBJECTIVES:**

To help States, units of general local government, Indian tribes and area-wide planning organizations to plan, develop and administer local Community Development Block Grant programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used to transfer skills and knowledge in planning, developing and administering the Community Development Block Grant programs from those individuals and institutions which possess them to eligible block grant entities and affiliated CDBG participants which need them. Project activities show how they will increase the effectiveness with which eligible block grant communities can use CDBG funds to meet community development national and local program objectives. Assistance may take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**Applicant Eligibility:**

States, units of general local government, national or regional nonprofit organizations that has membership comprised predominately of entities or officials of entities of CDBG recipients, for-profit or nonprofit professional and technical services companies or firms that have demonstrated knowledge of the CDBG program and the capacity to provide technical assistance services, public or private nonprofit or for-profit organizations, including educational institutions and area-wide planning organizations. Specifications for respondents to competitive requests for proposals are stated in the request documents.

**Beneficiary Eligibility:**

States, units of general local government, Indian tribes and Alaska natives, entities participating or actively intending to participate in the planning, developing, or administering of a Community Development Block Grant program.

**Credentials/Documentation:**

Applicants need to obtain a DUNS number to receive an award and submit other documentation as described in a solicitation document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals may be submitted in response to competitions and solicitations. The Federal Register publication detailing each competition spells out the submission requirements.

**Award Procedure:**

The Secretary has final approval authority; applicants are notified of acceptance or rejection.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, projects will be funded to operate one to three years. Assistance is released on a reimbursement basis through electronic funds transfers. See the following for information on how assistance is awarded/released: Assistance is released on a reimbursement basis through electronic funds transfer.

**Reports:**

quarterly and final financial and performance reports. SF-269 Financial Status report is required for each draw down and at close-out. quarterly progress reports as required by the cooperative agreement provisions. SF-269 Financial Status report is required for each draw down and at close-out. Government Technical Monitors and Government Technical Representatives are required to monitor performance and expenditures periodically.

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$4,000,000; FY 09 est \$5,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Cooperative agreements FY 2005 range: \$100,000 - \$539,000; average \$234,750.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart E, 24 CFR 571.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Mark A. Horwath 451 7th ST. SW, Room 7218 , Washington, District of Columbia 20410 Email: Mark.A.Horwath@hud.gov Phone: (202) 402-2576 Fax: (202) 619-5979.

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to criteria set forth in solicitation documents.

**14.228 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII**

State CDBG

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Section 101-122, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5322.

**OBJECTIVES:**

The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Each activity funded must meet one of the program's National Objectives by: Benefiting low- and moderate-income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Thirty percent of funds available for distribution under each annual appropriation for the Community Development Block Grant (CDBG) program is allocated among the States and Puerto Rico (which is considered to be a state for the State CDBG program) for use in areas which are not a metropolitan city or part of an urban county (nonentitlement areas). All States except Hawaii have elected to administer these CDBG funds for areas that do not receive CDBG entitlement grants (14.218). HUD awards the formula grants to these States under the CDBG/State Program. In Hawaii, HUD awards the state's share of these funds to three non-entitlement counties. States must distribute CDBG funds to units of general local government (counties, towns, etc.) in nonentitlement areas. States develop their own programs and funding priorities. Units of general local government then carry out community development activities funded by the State. Eligible activities are directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include: Acquisition, rehabilitation or construction of certain public works facilities and improvements, such as streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and clearance; rehabilitation of public and private buildings including housing; code enforcement; relocation payments and assistance; economic development; planning activities; certain public services with some restrictions; and administrative expenses. The projected use of funds must be developed to ensure that all activities will meet one of the three national objectives described under "OBJECTIVES". Communities receiving CDBG funds from a state may select subgrantees to carry out approved projects. Such subgrantees may include: Neighborhood-based nonprofit organizations; local development corporations; Small Business Investment Companies; or other nonprofit organizations serving the development needs of nonentitlement areas. Grant recipients may provide assistance to for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and from making housing allowances or other income maintenance-type payments. Each State may use a limited portion of its grant, subject to a matching requirement, to administer the program. Each State may also use a limited portion of its grant, with no matching requirement, to provide technical assistance to local governments and nonprofit program recipients. At least seventy percent of the funds received must benefit low and moderate income

persons.

**Applicant Eligibility:**

Forty-nine State governments and the Commonwealth of Puerto Rico receive funds from HUD under this program. The state of Hawaii does not participate and HUD allocates the state's share of funds to the three Hawaii non-entitled counties. Funds are allocated to each state based on a statutory formula. States must distribute the funds to units of general local government in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. For non-metropolitan areas, low and moderate income is generally defined as 80 percent of the median income for non-metropolitan areas of the State or of the county, whichever is higher, adjusted for family size. For eligible localities in metropolitan areas, low- and moderate-income is generally defined as 80 percent of the median income for the metropolitan area, adjusted for family size.

**Credentials/Documentation:**

Grantees must certify that they will comply with program requirements specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must follow the fiscal requirements contained in 24 CFR 570.489. Each state and non-entitled Hawaii county must submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including CDBG. The annual action plan must contain the method by which the State will distribute its CDBG funds.

**Award Procedure:**

HUD will provide funds after the State or non-entitled Hawaii county submits its Consolidated Plan, annual action plan and Certifications.

**Deadlines:**

Nov 15, 2008 to Aug 16, 2009 Consolidated Plans may be submitted between November 15 and August 16 of each fiscal year in which the grantee will administer funds.

**Range of Approval/Disapproval Time:**

HUD will review plan submissions for completeness and consistency with the purposes of the Act, within 45 days of receipt from a grantee.

**Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart I for states and 24 CFR Part 570 Subpart O for non-entitlement counties in Hawaii).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 570, Subpart A, Public Law 93-383.

Matching Requirements: For state administration of the program, after an initial allowance of \$100,000 with no match, states may take an additional allowance of up to 3% of the grant amount but must match such expenditures on a dollar for dollar basis. There is no matching requirement for the non-entitlement counties in Hawaii.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is provided to States and non-entitlement counties in Hawaii on an annual basis. Individual States may impose time limitations on the implementation of grants to recipients. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual performance report covering all programs included in the Consolidated Plan as prescribed at 24 CFR 91.520. For Hawaii counties, SF-272 Federal Cash Transactions Report. Annual Performance and Evaluation Report details the state's performance in completing activities undertaken with each allocation of funds. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff based on risk analysis factors.

**Audits:**

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

**Records:**

Records must demonstrate that the State or non-entitlement county in Hawaii has met the requirements of Title I of the Act.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 08 \$1,075,911,000; FY 09 est \$1,090,490,000; FY 10 est \$1,253,400,000

**Range and Average of Financial Assistance:**

State grant amounts are determined by formula. Of the 50 grants awarded to states under the State CDBG program in FY 2009, the average (mean) grant amount was \$21,703,659. Grant amounts ranged from \$2,028,182 to \$73,017,739. These totals do not include Hawaii's allocation awarded to its 3 non-entitled counties. Hawaii's share of the 2009 allocation is \$5,307,115.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Accomplishments reported by states provided 17,493 housing benefits for nonentitlement communities, and created or retained 21,440 jobs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 570, 24 CFR Part 91, 24 CFR Part 58.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>. Contact the Honolulu Field Office for the non-entitled Hawaii counties.

**Headquarters Office:**

Diane L. Lobasso, 451 7th St SW, Washington, District of Columbia 20410  
Email: [Diane.L.Lobasso@hud.gov](mailto:Diane.L.Lobasso@hud.gov) Phone: (202) 708-1322.

**Website Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects are selected by the grantee. Fiscal Year 2009: Projects are selected by the grantee. Fiscal Year 2010: Projects are selected by the grantee.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.231 EMERGENCY SHELTER GRANTS PROGRAM (ESG)**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended, 42 U.S.C. 11371-78.

**OBJECTIVES:**

To help improve the quality of emergency shelters and transitional housing for the homeless, to make available additional shelters, to meet the costs of operating shelters, to provide essential social services to homeless individuals, and to help prevent homelessness.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grantees may use the grant for one or more of the following activities relating to emergency shelter and transitional housing for the homeless: (1) renovation, major rehabilitation, or conversion of buildings for use as shelters for the homeless; (2) provision of essential services to the homeless (not more than 30 percent of the grant, unless waived by HUD); (3) payment of operations (not more than 10 percent of the grant for staff management costs), maintenance, rent, repair, security, fuel, equipment, insurance, utilities, and furnishings; and (4) homeless prevention activities (not more than 30 percent of the grant), and (5) administrative costs not to exceed five percent of the ESG grant. In the case of State grantees, the grant for administration must be shared with funded recipients.

**Applicant Eligibility:**

States, metropolitan cities, urban counties, and territories. Local governments receiving formula allocations may distribute all or part of their grants to nonprofit recipients to be used for ESG activities. State grantees must distribute ESG funds to local governments, or directly to nonprofit organizations with the approval of the local government. Only local governments and nonprofit organizations may apply for ESG funds directly from States. The territories receive their allocations based on their population size.

**Beneficiary Eligibility:**

Homeless families and individuals, and low-income persons in immediate risk of losing their housing due to eviction, foreclosure, or utility shutoffs.

**Credentials/Documentation:**

States, metropolitan cities, urban counties, and territories that elect to participate in the program must submit (1) an approved Consolidated Plan; and (2) certifications that each grantee will (a) supplement the assistance provided under the program with an equal amount of funds from other sources, except for State grantees under the \$100,000 exemption, (b) ensure that any building using ESG funds will continue as a homeless shelter for specified periods, (c) ensure that assisted rehabilitation is sufficient to make the structure safe and sanitary, (d) provide for a procedure to ensure the confidentiality of victims of domestic violence, and assist homeless individuals in obtaining appropriate supportive services and other available assistance, and (e) meet other generally applicable requirements, such as nondiscrimination and equal opportunity. Costs will be determined in accordance with OMB Circular No. A-133 for State and local governments. State grantees are exempt from matching the first \$100,000 of their award, but States must certify that they will provide the benefits of that exemption to local government and nonprofit recipients. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: To be eligible, each grantee must have a HUD-approved Consolidated Plan, which contain descriptions of the community's homeless assistance needs, details available resources, and provides a five-year plan and an annual action plan. The annual action plan specifies new projects being funded, along with any revisions in the overall document. Each participating grantee must submit certifications required by HUD.

**Award Procedure:**

The HUD field office reviews the grantee's Consolidated Plan and, if approved, executes a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Consolidated plan is generally approved in 10 working days or deemed approved by HUD within 45 days of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: After a portion of the ESG appropriation is set aside for the territories, the amount of each grant for formula grantees is determined by the Community Planning Block Grant (CDBG) formula using several objective measures of community need, including poverty, population, housing overcrowding, age of housing and growth lag. Allocations among the territories are based on their populations. If, according to the formula, an eligible government receives less than 05. percent of the yearly appropriation, then that grant is added to the allocation for that State. A State must allocate to its local government or to nonprofit organizations the entire grant, except for the up to five percent used to administer the grant. The administrative funds must be shared with local government grantees in that State. Grantees must match grant funds with an equal amount of funds from other sources including donated material or a building, leasehold value, additional staff salaries, and volunteer time.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Length and Time Phasing of Assistance: Grant awards should be made within 45 days of HUD's receipt and approval of the Consolidated Plan. A State should make available to its recipients all of its grant allocation within 65 days of the date of the grant award by HUD. A State recipient should have its entire grant obligated by 180 days from the date on which the State made the grant available to it, and spent the entire grant within 24 months of this date. For State homeless prevention funds, the State may continue to make available homeless prevention funds within 180 days of grant award. State recipients that are local government agencies and nonprofit organizations then have 30 days to obligate the funds, and up to 24 months to spend them. Each local government grantee should have all of its grant funds obligated by 180 days from its grant award by HUD, and entirely spent within 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Institutions," State and local governments that expend total Federal financial assistance of \$500,000 or more within their fiscal year must have an independent financial audit conducted for that year. This single audit combines the government's annual financial statement audit with additional audit coverage of its Federal funds.

**Records:**

According a portion of ESG regulations, grantees and recipients must retain records for four years from the date of submission of the annual performance

report.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$160,000,000; FY 09 est \$160,000,000; FY 10 est \$150,000,000

**Range and Average of Financial Assistance:**

The 05. percent minimum entitlement allocation resulted in a \$80,000 minimum grant in 2009. The maximum entitlement allocation was \$7,969,489. The average grant was \$444,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: It is anticipated that all 360 eligible governments awarded funds will apply, and that all 360 awards will be granted in FY 2009. The States and entitlement communities make grants to thousands of homeless emergency shelters and transitional housing programs to assist them in maintaining and operating their families and providing essential services to homeless clients. In addition, financial assistance and services are provided to help prevent families and individuals from becoming homeless. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by streamlined final regulations published in the Federal Register on October 2, 1996, at 24 CFR Part 576. A comprehensive "Emergency Shelter Grants (ESG) Program Desk Guide" is available from HUD at 1-800-998- 9999, Or or can be found on the ESG homepage on HUD's Website at <http://www.hud.gov/offices/cpd/homeless/library/esg/esgdeskguide/>.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262 Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: Michael.Roanhouse@hud.gov Phone: (202) 708-1226

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/esg/index.cfm>.

**RELATED PROGRAMS:**

14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 97.024 Emergency Food and Shelter National Board Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed ESG projects are part of the prospective grantee's Consolidated Plan, which are reviewed according to criteria set forth in 24 CFR 91.

**14.235 SUPPORTIVE HOUSING PROGRAM**

(Transitional Housing; Permanent Housing for Homeless Persons with Disabilities; Innovative Supportive Housing; Supportive Services for Homeless Persons not in Conjunction with Supportive Housing; Safe Havens; and HMIS.)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, Subtitle C, as amended.

**OBJECTIVES:**

The Supportive Housing Program is designed to promote the development of supportive housing and supportive services to assist homeless individuals and families in the transition from homelessness and to enable them to live as independently as possible. Program funds may be used to provide: (i) transitional housing within a 24-month period as well as up to six months of follow-up services to former residents to assist their adjustment to independent

living; (ii) permanent housing provided in conjunction with appropriate supportive services designed to maximize the ability of persons with disabilities to live as independently as possible; (iii) supportive housing that is, or is part of, a particularly innovative project for, or alternative method of, meeting the immediate and long-term needs of homeless individuals and families; (iv) supportive services for homeless individuals not provided in conjunction with supportive housing;(v) safe havens for homeless individuals with serious mental illness currently residing on the streets who may not yet be ready for supportive services; and (vi) Homeless Management Information Systems (HMIS) for developing management information systems to maintain data on beds, units and homeless individuals.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eight types of assistance may be provided for Supportive Housing: acquisition of structures for use as supportive housing or in providing supportive services; rehabilitation of structures for use as supportive housing or in providing supportive services; new construction of buildings for use as supportive housing under limited circumstances; leasing of structures for use as supportive housing or in providing supportive services; operating costs of supportive housing; costs of providing supportive services to homeless persons; costs of implementing and operating HMIS; and administrative costs not to exceed five percent of the SHP grant.

**Applicant Eligibility:**

States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations.

**Beneficiary Eligibility:**

Homeless individuals and families with children.

**Credentials/Documentation:**

Private nonprofit status is documented by submitting either (1) a copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the entity is a certified United Way agency; or (3) a certification from a licensed CPA that no part of the next earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; that the organization has a functioning accounting system. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. One application package prescribing the specific information that applicants must submit is available. The standard application forms as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan and must be permissible under applicable zoning ordinances and regulations.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a Grant Agreement for those applications selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications will take place in HUD Field Offices and at HUD Headquarters, and selection of successful applicants will take place at HUD Headquarters. HUD will make its final selections and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal funding decision if they believe a HUD error has occurred.

**Renewals:**

Information on renewals is contained in the Notice of Funding Availability and the application package.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients must match grants for acquisition, rehabilitation, and new construction, with an equal amount of funds from other sources. Recipients must also provide a cash match for support services and operations. The Supportive Housing Program will pay no more than 80 percent of total support service costs, 75 percent of total operating costs or 80 percent of total HMIS costs. Recipients have the responsibility to ensure that the funds that the recipient uses to satisfy HUD's match requirements are not prohibited to be used for this purpose under any statute that may govern the matching funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made available for up to 3 years for leasing, operating, supportive services and HMIS costs. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD within the timeframe required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 45. Private nonprofit entity recipients are subject to the audit requirements of 24 CFR 44. Both 24 CFR Part 44 and 45 stipulate that grant recipients and their subgrantees provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of supportive housing components as a means of assisting homeless persons.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$827,244,000; FY 09 est \$1,051,364,000; FY 10 est \$1,158,191,000

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: (1) Acquisition and/or rehabilitation construction grants for the Supportive Housing Program may not exceed 200,000 (up to \$400,000 in high cost areas); new construction may not exceed \$400,000; (2) funding of up to 75 percent for operating costs; (3) funding of up to 80 percent for supportive services and HMIS costs; and (4) the program provides grants for leasing costs for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 5537 applications were received for the Supportive Housing Program as of the end of fiscal year 2008. 5293 project applications received conditional grant awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 583 published in the Federal Register. Other program information is available from Community Connections at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person for the Supportive Housing Program in HUD Field Offices with a Community Planning and Development Division.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Robyn.S.Raysor@hud.gov Phone: (202) 708-4300

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register.

**14.238 SHELTER PLUS CARE**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403.

**OBJECTIVES:**

The Shelter Plus Care Program provides rental assistance, in connection with supportive services funded from sources other than this program, to homeless persons with disabilities (primarily persons who are seriously mentally ill; have chronic problems with alcohol, drugs, or both, or have acquired immunodeficiency syndrome and related diseases) and their families. The program provides assistance through four components: (1) Tenant-based Rental Assistance (TRA); (2) Sponsor-based Rental Assistance (SRA); (3) Project-based Rental Assistance (PRA); (4) and Single Room Occupancy for Homeless Individuals (SRO).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Homeless persons with disabilities and their families. Homeless persons with disabilities.

**Applicant Eligibility:**

An eligible applicant is a State, unit of general local government, or public housing agency (PHA).

**Beneficiary Eligibility:**

Homeless persons with disabilities and their families. Except in single room occupancy dwellings that are only for homeless individuals with disabilities.

**Credentials/Documentation:**

Governmental entities and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An electronic application package prescribing the specific information that applicants must submit through the local Continuum of Care (CoC) is available from HUD through the annual CoC Notice of Fund Availability, found at <http://hudhre.info>. The standard electronic application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked, in accordance with the Notice of Fund Availability (NOFA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters. HUD Headquarters will make selection and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes occurred.

**Renewals:**

One year funding for projects eligible for renewal as contained in the Notice of Fund Availability and application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients must match the rental assistance by supportive services that are equal in value to the aggregate amount of rental assistance and appropriate to the needs of the population to be served. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD will provide rental assistance under the TRA and SRA components for a five year period. Rental assistance under the SRO component will be for a ten-year period. If units are rehabilitated, and meet the standards required, assistance under the PRA component will be for a ten-year period; otherwise it will be for a five-year period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits as stipulated in 24 CFR 45. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$517,135,000; FY 09 est \$433,669,000; FY 10 est \$477,725,000

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: No more than ten percent of the assistance available for any fiscal year may be used for programs located within any one unit of general local government. At least ten percent of the funds available must be available for each of the four components.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008 HUD funded 141 new Shelter Plus Care projects and 874 Shelter Plus Care renewal projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 582 Shelter Plus Care Program Final Rule.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Shelter Plus Care Program in HUD Field Offices with a Community Planning and Development Division. Program information may also be obtained from Community Connections at HUD at (1-800)998-9999.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [Robyn.S.Raysor@hud.gov](mailto:Robyn.S.Raysor@hud.gov) Phone: (202) 708-4300.

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.241 Housing Opportunities for Persons with AIDS

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.239 HOME INVESTMENT PARTNERSHIPS PROGRAM**

(HOME Program)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To expand the supply of affordable housing, particularly rental housing, for low and very low income Americans; to strengthen the abilities of State and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing; to provide both financial and technical assistance to participating jurisdictions, including the development of model programs for developing affordable low income housing; and to extend and strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For use by participating jurisdictions or Insular Areas for housing rehabilitation, tenant-based rental assistance, assistance to homebuyers, acquisition of housing and new construction of housing. Funding may also be used for other necessary and reasonable activities related to the development of non-luxury housing, such as site acquisition, site improvements, demolition and relocation. Ten percent of a participating jurisdiction's allocation may be used for administrative costs. Funds may not be used for public housing modernization, matching funds for other Federal programs, reserve accounts or operating subsidies for rental housing, Annual Contributions Contracts, or activities under the Low Income Housing Preservation Act except for priority purchasers. In December 2003, the American Dream Downpayment Act authorized a new program, American Dream Downpayment Initiative (ADDI), to be administered as a part of the HOME Program. ADDI will grant funds to all 50 states and local participating jurisdictions that have a population of at least 150,000 or will

receive an allocation of at least \$50,000 under the ADDI formula. Participating jurisdictions may use ADDI funds to provide downpayment, closing costs and rehabilitation assistance to low-income families to help them achieve homeownership. Technical Assistance is available to help HOME participating jurisdictions design and implement HOME programs, including: improving their ability to design and implement housing strategies and incorporate energy efficiency into affordable housing; facilitating the exchange of information to help Participating Jurisdictions carry out their programs; facilitating the establishment and efficient operation of employer-assisted housing programs and land bank programs; and/or encouraging private lenders and for-profit developers of low-income housing to participate in public-private partnerships. Community Housing Development Organization Technical Assistance (CHDO TA) to promote the ability of CHDOs to maintain, rehabilitate and construct housing for low-income homeowners and tenants; and help women who reside in low- and moderate-income neighborhoods to rehabilitate and construct housing in these neighborhoods.

**Applicant Eligibility:**

States, cities, urban counties, and consortia (of contiguous units of general local governments with a binding agreement) are eligible to receive formula allocations; funds are also set aside for grants to Insular Areas. Technical Assistance applicants: a for-profit and non-profit professional and technical services company or firm that has demonstrated capacity to provide technical assistance services; a HOME participating jurisdiction or agency thereof; a public purpose organization responsible to the chief elected official of a PJ and established pursuant to State or local legislation; an agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program; a national or regional non-profit organization that has membership comprised predominantly of entities or officials of entities of PJs or PJs agencies or established organizations. CHDO Technical Assistance: public and private non-profit intermediary organizations that customarily provide services (in more than one community) related to affordable housing or neighborhood revitalization of CHDOs, or similar organizations that engage in community revitalization, including all eligible organization under section 233 of the Cranston-Gonzalez National Affordable Housing Act, as amended.

**Beneficiary Eligibility:**

For rental housing, at least 90 percent of HOME funds must benefit low and very low income families at 60 percent of the area median income; the remaining ten percent must benefit families below 80 percent of the area median. Assistance to homeowners and homebuyers must be to families below 80 percent of the area median.

**Credentials/Documentation:**

Specific requirements of 24 CFR Part 85 apply to participating jurisdictions, State recipients and any governmental subrecipient receiving HOME funds. OMB Circular No. A-122 and specific requirements of 24 CFR Part 84 apply to nonprofit subrecipients which are not governmental. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOME. The annual action plan must describe how the funds will be used. The technical assistance funds are awarded on a competitive basis through a national competition, under the Notice of Fund Availability. An application package prescribing the specific information that an applicant must submit will be available from HUD when the NOFA is published in the Federal Register.

**Award Procedure:**

The responsible HUD Field Office notifies grantees of the formula awards. HUD prepares the grant agreement for formula applicants and for those applications selected on a competitive basis.

**Deadlines:**

Nov 15, 2009 to Aug 16, 2010 Action plans should be submitted to HUD at least 45 days before the start of the program year. In no event will HUD accept a submission earlier than November 15 or later than August 16 of the federal fiscal year for which funds are allocated. The Notice of Funding Availability for technical assistance for competitive grants announces deadlines for applications.

**Range of Approval/Disapproval Time:**

HUD will review for completeness and consistency with the purposes of the Act, within 45 days of receipt from a jurisdiction. The selection of successful competitive technical assistance applicants Will take place at HUD Headquarters.

**Appeals:**

Formula allocations may not be appealed.

**Renewals:**

Every fifth year, localities submit a Consolidated Plan. Each year jurisdictions must submit an action plan and certifications. A new application procedure is initiated for each technical assistance request.

**Formula and Matching Requirements:**

Statutory Formula: Title HOME Investment Partnership Program, Chapter 24, Part 92, Subpart A-M.

Matching Requirements: Percent: 25.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds are drawn down from the U. S. Treasury based upon individual project development progress. The HOME program uses an electronic fund transfer disbursement and information system. Once drawn down, funds must be expended within fifteen days. All funds must be committed within 24 months and expended within 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial management and annual performance reports. No cash reports are required. No progress reports are required. No expenditure reports are required. Annually.

**Audits:**

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

**Records:**

Records which enable HUD to determine whether the participating jurisdiction has met the requirements of the program must be kept for the most recent five year period. Those records required to document the period of affordability must be maintained for five years beyond the required period.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$1,654,000,000; FY 09 est \$1,825,000,000; FY 10 est \$1,825,000,000 - (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.).

**Range and Average of Financial Assistance:**

\$275,967 to \$124,733,307; \$2,795,303.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of May 31, 2009, 945,090 units were committed; 908,704 units were completed; and 208,965 families have received tenant-based rental assistance. Fiscal Year 2009: 77,252 units to be completed; 17,248 families to receive tenant-based rental assistance. Fiscal Year 2010: 77,946 units to be completed; 17,403 families to receive tenant-based rental assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 92.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Danielle Frazier, 451 7th Street, SW, Room 7164, Washington, District of Columbia 20410 Email: Danielle.Frazier@hud.gov Phone: (202) 402-7354 Fax: (202) 708-1744.

**Website Address:**

<http://www.hud.gov/homeprogram/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.241 HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS**

(HOPWA)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

AIDS Housing Opportunity Act, Public Law 101-624.

**OBJECTIVES:**

To provide States and localities with the resources and incentives to devise long-term comprehensive strategies for meeting the housing needs of persons with AIDS or related diseases and their families.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Grantees and project sponsors may use HOPWA funds to provide for any of the following eligible activities, subject to certain standards and limitations provided in the regulations: (1) Housing information services including, but not limited to, counseling, information, and referral services to assist eligible individuals to locate, acquire, finance and maintain housing; (2) Resource identification to establish, coordinate and develop housing assistance resources; (3) Acquisition, rehabilitation, conversion, lease, and repair of facilities to provide housing and services; (4) New construction (for single room occupancy (SRO) dwellings and community residences only); (5) Project- or tenant-based rental assistance including assistance for shared housing arrangements; (6) Short-term rent, mortgage, and utility payments to prevent the homelessness of the tenant or mortgagor of a dwelling; (7) permanent housing placement assistance; (8) Supportive services including, but not limited to, health, such as uncompensated costs subject to limitations at 574.310(a)(2), mental health, assessment, drug and alcohol abuse treatment and counseling, day care, nutritional services, intensive care when required, and assistance in gaining access to local, State, and Federal government benefits and services except that health services may not be provided to family members (Per the HOPWA regulations, health services may only be provided to an individual with HIV/AIDS (not family members) and payments for health-care costs are limited by 574.300(b)(7) to items and services that are not made or reasonably expected to be made under compensation programs, insurance policy, or health benefits programs. HUD issued guidance on the restricted use of HOPWA funds for AIDS Drug Assistance and other health-care costs). (9) Operating costs for housing facilities including maintenance, security, operation, insurance, utilities, furnishings, equipment, supplies, and other incidental costs; (10) Technical assistance in establishing and operating a community residence, including planning and other pre-development or pre-construction expenses and including, but not limited to, costs relating to community outreach and educational activities regarding AIDS (and the fiscal year 2004 appropriation act and subsequent acts authorize the use of funds for technical assistance, training and oversight); (11) Administrative expenses: 3 percent for grantees

and 7 percent for project sponsors, including costs of staff necessary to carry out eligible activities; and (12) For competitive grants only, any other activity proposed by the applicant and approved by HUD. Restrictions: Appropriate supportive services must be provided as part of any HOPWA assisted housing. General standards for housing activities are established, including minimum use periods for structures (10 years for new construction, substantial rehabilitation or acquisition and 3 years for other non-substantial rehabilitation or repair). Resident rent payments are required for rental assistance and for residing in rental housing. Additional standards for rental assistance, short-term supported housing, and community residences are provided.

**Applicant Eligibility:**

(1) Entitlement grants will be awarded by formula to States and qualifying cities for eligible metropolitan statistical areas (EMSAs) with the largest number of cases of AIDS. The most populous city will serve as the applicant/grantee for the EMSAs award; and (2) competitively awarded grants will be awarded to: (a) States, local governments and nonprofit organizations for special projects of national significance; and (b) projects submitted by States and localities in areas that do not qualify for HOPWA formula allocations. Nonprofit organizations are eligible to apply for projects of national significance, but may also serve as a project sponsor for other types of grants. As required by the Appropriation Act, HUD gives priority to the renewal of permanent supportive housing projects.

**Beneficiary Eligibility:**

Eligible beneficiaries are low income persons with HIV or AIDS and their families. However, regardless of income, persons living with HIV/AIDS may receive housing information. Persons living near community residences may receive educational information.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and No. A-110 and A-122 section report to private nonprofit organizations. Governmental entities will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Government recipients must have submitted a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOPWA. The annual action plan must describe how funds will be used. Ten percent of HOPWA funds and the technical assistance funds are awarded on a competitive basis through a national competition, under the SuperNOFA, a Notice of Fund Availability. Application packages prescribing the specific information that applicants must submit will be available from HUD when the SuperNOFA is published in the Federal Register. The fiscal year 2009 appropriation act authorizes the Secretary to renew all expiring contracts for permanent supportive housing that were funded under section 854(c)(3) of AIDS Housing Act that meet all program requirements before awarding funds for new contracts and activities authorized under this section: Provided further, That the Secretary may use funds under this heading for training, oversight, and technical assistance activities, and amounts will be adjusted based on approved appropriations for this program.

**Award Procedure:**

HUD reviews Consolidated Plan submissions and competitive applications under the SuperNOFA. HUD prepares a Grant Agreement for formula applicants and for those applications selected on a competitive basis.

**Deadlines:**

Aug 16, 2009 to Jun 17, 2009 In 2009, CPD Notice 09-01 established February 27, 2009 a deadline for applications for expiring competitive grants that provide permanent supportive housing. For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's operating year, but no earlier than December 1 or no later than August 16 of the fiscal year for



which funds are allocated.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Processing of Consolidated Plan submissions will take place in HUD Field Offices and selection of successful competitive applicants will take place in HUD Headquarters with post-selection technical submissions processed in HUD Field Offices. HUD will make its final selections and obligate funds as soon as the applications are processed.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds should be expended in a timely manner or may be subject to deobligation after 3 years from the date of the signing of the grant agreement or operating start date established in a grant agreement for a competitive grant, with an allowance for a one-year extension, if approved by HUD. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Grantees will ensure that records are maintained for a seven-year period to document compliance with the program. Grantees must maintain current and accurate data on the race and ethnicity of program participants.

**Account Identification:**

86-0308-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$300,100,000; FY 09 est \$310,000,000; FY 10 est \$310,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Designated Community Planning and Development staff in each HUD Field Office. HUD Field Offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jonathan Stewart 451 7th & D Street S.W. , Washington,, District of Columbia 20410 Email: jonathan.m.stewart@hud.gov Phone: (202) 708-1934. Fax: (202) 708-9313

**Website Address:**

<http://www.hud.gov/offices/cpd/aidshousing>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: AIDS Alabama, Inc. of Birmingham was awarded a 2009 HOPWA renewal grant of \$937,228.00. To provide operating support for Jasper House, a 14 unit residence. The program will also provide residents with mental health counseling. AIDS Alabama will provide housing placement for nine households members. Approximately, 28 individual and their family members will receive housing over the term of the 3 year grant period.

Fannie Peabody Center of Portland was awarded a 2009 HOPWA renewal grant of \$1,035,524.00. The Haven initiative will provide for tenant based rental assistance for up to 27 households. Shalom House will serve as a project sponsor and coordinate tenant based rental assistance program for the city. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.246 COMMUNITY DEVELOPMENT BLOCK GRANTS/BROWNFIELDS ECONOMIC DEVELOPMENT INITIATIVE**

(BEDI; Section 108)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing & Community Development Act of 1974, as amended, Public Law 93-383, 42 U.S.C 5308(q).

**OBJECTIVES:**

To return Brownfield's to productive economic use by assisting units of general local government in carrying out economic development projects on contaminated land or buildings. BEDI grants are designed to enhance the security of loans guaranteed under the Section 108 program or improve the viability of projects financed with Section 108 funds.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used for any activity eligible under Section 108(a) of the Housing and Community Development Act of 1974, except that fiscal year 2008/09 grant funds may not be used to fund reserves. Grant funds may only be used in conjunction with a new, that is, not yet approved, Section 108 Loan for the same project.

**Applicant Eligibility:**

Units of general local government.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals may only be submitted in response to competitions announced in a Federal Register publication. The Federal Register publication of a Notice of Funds Availability (NOFA) will detail the purpose of each separate program, the application deadlines, the funds available for each competition, the submission requirements and the competitive factors that will be considered in awarding grants.

**Award Procedure:**

Competitive, based upon factors published in a Federal Register NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Public award announcements made after completion of grant competition.

**Appeals:**

From 120 to 180 days. HUD will provide post announcement debriefing upon request. HUD has authority to correct substantive errors, which may change competitive ranking of application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100.%. Must be used in conjunction with a Section 108 Loan Guarantee and must be matched at a minimum of \$1:\$1 of BEDI to Section 108.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects should be completed within a five year period. Funds would be accessed by line of credit in the same ratio as the amount of BEDI grant funds compared with the amount of Section 108 Loan funds committed by the applicant for the project. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports of use of funds as part of Grantee's Community Development Block Grant annual report. Program participants are covered by standard federal cash transaction reports applicable to the Community Development Block Grant (CDBG) program. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is required using performance logic models required to be submitted with application.

**Audits:**

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

**Records:**

The applicant must maintain original source records with regard to expenditures of funds for authorized program activity as well as records on subrecipient and activity eligibility, national objectives, financial management, citizen participation, relocation, environmental impact, labor standards, equal opportunity and other requirements set forth in the regulations.

**Account Identification:**

86-0314-0-1-451; 86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$179,840,000; FY 09 est \$165,321,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$500,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations are the same as for the Community Development Block Grants found at 24 CFR Part 570.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robert Duncan, Room 7140, Dept. of HUD, 451 7th Street, SW, Washington, District of Columbia 20410 Email: Robert.Duncan@HUD.GOV Phone: (202) 402-4681

**Website Address:**

<http://www.hud.gov/offices/cpd/economicdevelopment/programs/>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement

Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based upon competitive factors contained in the NOFA.

**14.247 SELF-HELP HOMEOWNERSHIP OPPORTUNITY PROGRAM**

(Self-Help Homeownership Opportunity Program-SHOP)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Opportunity Extension Act of 1996, Section 11, as amended.

**OBJECTIVES:**

To facilitate and encourage innovative homeownership opportunities through the provision of self-help housing where the homebuyer contributes a significant amount of sweat equity toward the construction of the dwellings.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible expenses for program funds are land acquisition and infrastructure improvements, which taken together may not exceed an average of \$15,000 in assistance per dwelling. Additionally, up to 20 percent of the grant amount may be used for administrative costs.

**Applicant Eligibility:**

Funds are awarded competitively to national or regional nonprofit organizations or consortia that have experience in providing self-help housing homeownership opportunities.

**Beneficiary Eligibility:**

Eligible homebuyers are low-income families who are otherwise unable to afford to purchase a dwelling, and who provide significant amounts of sweat equity or volunteer labor to the development of the dwellings.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR part 84 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: Applications may be submitted electronically in response to the annual publication of the SHOP NOFA in the Federal Register. The General Section of the SuperNOFA and SHOP NOFA detail the submission requirements.

**Award Procedure:**

Based upon the requirements published in the Federal Register SuperNOFA, respondents are notified of acceptance or rejection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Leveraging of other public and/or private resources and homebuyer sweat equity and volunteer labor are required to complete housing construction.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is released on an as-needed basis over a 24-month period. For affiliates that develop 5 or more dwellings units, up to a 36-month period. See the following for information on how assistance is awarded/released:

Assistance is released on an as-needed basis.

**Reports:**

Quarterly and annual progress reports on construction and expenditures; as well as, final close-out reports. No cash reports are required. Quarterly and annual reports on construction and expenditure progress. Quarterly and annual progress reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit requirements in 24 CFR Part 45 (implementing OMB Circular No. A-133) apply.

**Records:**

All records applicable to the program must be kept for three years following close-out.

**Account Identification:**

86-0176-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$26,500,000; FY 09 est \$26,500,000; FY 10 est \$27,000,000 - (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.)

**Range and Average of Financial Assistance:**

Three grants were awarded in FY 2008. They ranged from \$6,625,000 to \$13,250,000. The average grant was \$8,833,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1,615 units were completed in FY 2008 and over 2,300 units are under development. Fiscal Year 2009: As of December 31, 2008 over 630 units were completed and over 2,300 units are under development. Fiscal Year 2010: FY 2010 funding will provide homeownership opportunities to approximately 2,133 low-income families over time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The statute and SHOP NOFA constitute the regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Danielle Frazier, 451 7th Street, SW, Room 7164, Washington, District of Columbia 20410 Email: Danielle.Frazier@hud.gov Phone: (202) 402-7354 Fax: (202) 708-1744

**Website Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/programs/shop/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the SHOP NOFA and SuperNOFA.

**14.248 COMMUNITY DEVELOPMENT BLOCK GRANTS\_SECTION**

**108 LOAN GUARANTEES**

(Section 108)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Title 24, Part 570, Section Subpart M.

**OBJECTIVES:**

To provide communities with a source of financing for economic development, housing rehabilitation, public facilities, and large scale physical development projects.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

For purposes of determining eligibility, the Community Development Block Grant (CDBG) rules and requirements apply. As with the CDBG program, all projects and activities must either principally benefit low- and moderate-income persons, aid in the elimination or prevention of slums and blight, or meet urgent needs of the community. The President's FY 2009 budget proposes to combine several categorical programs, including the Section 108 program, into the CDBG program.

**Applicant Eligibility:**

Eligible Applicants include: metropolitan cities and urban counties, i.e., CDBG entitlement recipients; nonentitlement communities that are assisted in their submission of applications by States that administer the CDBG program; nonentitlement communities eligible to receive CDBG funds under the HUD-Administered Small Cities CDBG program; and Insular Areas (American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands). The public entity may be the borrower or it may designate a public agency to be the borrower. Furthermore, HUD's FY 2008 appropriations act authorizes HUD to provide loan guarantees to States borrowing on behalf of local governments in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application requirements are found in 24 CFR Section 570.704.

**Award Procedure:**

Upon approval of an application, HUD will issue to the applicant an offer of commitment to guarantee notes or other obligations issued by the applicant or its public agency designee. The commitment will be subject to compliance with applicable requirements and such conditions as HUD may specify in the commitment document. Furthermore, borrowers are required to pledge current and future CDBG funds as security for the loan guarantee. HUD also requires that the loan guarantee be secured with other collateral.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 75 days from submission of complete application to appropriate HUD Field Office.

**Appeals:**

Not Applicable.

**Renewals:**

N/A.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum repayment period for a Section 108 loan is twenty years.

Repayment schedules and forms are negotiable. See the following for information on how assistance is awarded/released: Loans funds are advanced under promissory notes or other obligations guaranteed by HUD.

**Reports:**

Consolidated Annual Performance Evaluation Report. No cash reports are required. No progress reports are required. Consolidated Performance Annual Performance Evaluation Report. Grantee must report performance outcomes.

**Audits:**

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

**Records:**

The record keeping requirements of Subpart J of 24 CFR Part 570 apply to entitlement public entities receiving grants under Subpart F of 24 CFR Part 570.

The record keeping requirements of Subpart I of 24 CFR Part 570 apply to State-assisted public entities.

**Account Identification:**

86-0198-0-1-451.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$200,000,000; FY 09 est \$275,000,000; FY 10 est \$275,000,000

**Range and Average of Financial Assistance:**

In FY 2008, commitments were issued in amounts ranging from \$500,000 to \$25,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 6,491 jobs. Fiscal Year 2009: 6,000 jobs. Fiscal Year 2010: 6,000 jobs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart M.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paul D. Webster, 451 7th Street, SW Room 7180  
, Washington, District of Columbia 20410 Email: paul.webster@hud.gov  
Phone: (202) 708-1871 Fax: (202) 708-1798.

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed against criteria set forth at 24 CFR S 570.704.

**14.249 SECTION 8 MODERATE REHABILITATION SINGLE ROOM OCCUPANCY**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended.

**OBJECTIVES:**

The Section 8 Moderate Rehabilitation Single Room Occupancy Program provides rental assistance to homeless individuals. Under the program, HUD enters into Annual Contributions Contracts with public housing agencies (PHAs) in connection with the moderate rehabilitation of residential properties that, when rehabilitation is completed, will contain multiple single room dwelling units.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Homeless (single) individuals.

**Applicant Eligibility:**

An eligible applicant is a PHA or private nonprofit organization. Private nonprofits have to contract with a PHA to administer the rental assistance.

**Beneficiary Eligibility:**

Homeless individuals.

**Credentials/Documentation:**

Private nonprofit organizations and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O.12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application package prescribing the specific information that applicants must submit is available from HUD through the annual Continuum of Care Notice of Fund Availability. The standard application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters, HUD Headquarters will make selection. Funds, however, will not be obligated until the technical submission is approved.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes has occurred.

**Renewals:**

On an annual basis, dependent on fund availability.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the SRO Program, an eleven-year Annual Contribution Contract (ACC) is signed by the PHA with HUD. After the ACC is signed, the PHA and owner sign an AHAP and the owner has 12 months from the date of ACC execution to complete rehabilitation on the project. Once the rehabilitation is completed and the PHA inspects the units to ensure compliance with HUD's physical condition standards (PCS), a 10-year Housing Assistance Payments (HAP) Contract is signed between the PHA and project owner. Method of awarding/releasing assistance: by letter of credit.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 44. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$20,802,000; FY 09 est \$7,542,000; FY 10 est \$7,799,000

**Range and Average of Financial Assistance:**

In FY 2008, the five awards ranged from the smallest of \$315,840 to the largest of \$581,400 for an average award \$474,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program has awarded five grants through the end of fiscal year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882, Subpart H Section 8 Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals; Final Rule, as well as 24 CFR, Part 5, Subparts A, E and F. Program information also available from Community Connections at HUD at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Section 8 SRO Program in the HUD Field Offices with a Community Planning and Development Division (see Appendix IV of the Catalog for a listing of HUD Field Offices).

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, SW, Washington, District of Columbia 20410 Email: Robyn.S.Raysor@hud.gov Phone: (202) 708-4300

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/sro/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.238 Shelter Plus Care

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.250 RURAL HOUSING AND ECONOMIC DEVELOPMENT**

Rural Housing and Economic Development

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-276.

, Public Law 105-276.

**OBJECTIVES:**

To build capacity at the State and local level for rural housing and economic development and to support innovative housing and economic development activities in rural areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants can be used to support innovative housing and economic development activities for this program. More specific information is provided in the Notice of Funding Availability (NOFA).

**Applicant Eligibility:**

Local rural nonprofit organizations, community development corporations, Federally recognized Indian Tribes, State Housing Financing Agencies and State Community and/or Economic Development Agencies.

**Beneficiary Eligibility:**

Local and rural communities.

**Credentials/Documentation:**

As required by the NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Federal Register NOFA will detail each competition's submission requirements and the competitive funding.

**Award Procedure:**

Competition is required for grants. Awards to applicants securing the highest scores in relation to the selecting factors outlined in the NOFA.

**Deadlines:**

Apr 29, 2009 to May 29, 2009 The NOFA will contain deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. September 1, 2009.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For a period of 36 months. See the following for information on how assistance is awarded/released: Semi-annual reports are submitted to HUD by grantees.

**Reports:**

Semi-Annual narrative and statistical reports are required. No cash reports are required. Semi-Annual narrative and statistical reports are required. Semi-Annual narrative and statistical reports are required. HUD's field office staff are authorized to monitor and oversee each active grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

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

**Records:**

Each recipient must maintain records to facilitate audits of funds, disposition of proceeds, costs from all sources, in-kind/cash contributions and information on housing, and other facilities connected with the use of the funds.

**Account Identification:**

86-0324-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$17,000,000; FY 09 est \$26,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The maximum amount awarded to a successful applicant is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1,720 jobs were created for the period October 1, 2007 to September 30, 2008. Fiscal Year 2009: The projected number of jobs to be created for FY2009 is 214. Fiscal Year 2010: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current FY2009 NOFA is published on HUD's website.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thann Young, Department of Housing and Urban Development, Office of Rural Housing and Economic Development, Room 7137, Washington,, District of Columbia 20410 Email: Thann.Young@HUD.gov Phone: (202) 708-2290 or 1-877-787-2526 Fax: (202) 401-0050.

**Website Address:**

<http://www.hud.gov/offices/cpd/economicdevelopment/programs/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Balancing the need for assistance with capacity of applicant to effectively use the assistance.

**14.251 ECONOMIC DEVELOPMENT INITIATIVE-SPECIAL PROJECT, NEIGHBORHOOD INITIATIVE AND MISCELLANEOUS GRANTS**

(Congressional Grants)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161, The Department of Housing and Urban Development Appropriations Act, 2009, Public Law 111-8., Public Law 111-111-8.

**OBJECTIVES:**

The annual appropriation of funds to the Department and the accompanying Conference Report or Congressional Record accompanying the appropriation set forth grants in a specified amount to designated organizations for the activities specified by Congress.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible activities and restrictions are set forth in the authorizing language enacted by Congress for each grant as well as in the appropriation of Economic

Development Initiative-Special Project (EDI-SP) Neighborhood Initiative (NI) and Miscellaneous grant funds.

**Applicant Eligibility:**

The Conference Report or Congressional Record accompanying the annual appropriation of funds to the Department specifies the individual grantees eligible to receive each grant. These typically are nonprofit organizations, units of State or local government and Indian tribes.

**Beneficiary Eligibility:**

Nonprofit organizations, units of State or local government and Indian tribes.

**Credentials/Documentation:**

The Congressional authorization for an individual grant may not specify the intended recipient or may identify the intended recipient by its common rather than legal name. In such cases, organizations may be required to submit documentation (e.g., certificate of incorporation) verifying their eligibility for the grant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Department invites each organization authorized by Congress to receive a grant to submit an application for grant funds. The Department provides each invited organization with the required application materials.

**Award Procedure:**

Awards are made to applicants authorized by Congress to receive funds for activities consistent with the authorized use for each grant and with terms of the relevant fiscal year appropriation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Typically, within 4 months of application submission. All applicants are notified in writing of approval. Applications that cannot be approved, either because the proposed activities are not consistent with the authorized use of the grant or the terms of the appropriation; or the organization is not designated by Congress to receive the grant, may require the applicant to seek an amendment by Congress to the language authorizing the use of grant funds.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Implementation Grants - Funds are typically available for five years following the period of obligation (i.e., typically eight fiscal years). Funds are accessed through an established Line of Credit. See the following for information on how assistance is awarded/released: Grant funds are typically released as project costs are incurred by the grantee, through the Department's Line of Credit Control System (LOCCS).

**Reports:**

Semi-annual and final narrative reports are required. If funds are disbursed to the grantee during a reporting period, a financial status report form is also required. A final financial status report is also required. Semi-annual and final narrative reports are required. If funds are disbursed to the grantee during a reporting period, a financial status report form is also required. A final financial status report is also required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Each recipient must maintain records to facilitate audits of funds, disposition of proceeds, costs from all sources, and information on project activities.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$25,970,000; FY 09 est \$19,547,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$50,000 - \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 84 or Part 85, as applicable; 24 CFR Part 50 or Part 58, as applicable; annual appropriation of funds to the Department and accompanying Conference Report or Congressional Record; Application Kit; Grant Agreement; Certificate of Project Completion and Close-out Agreement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Francis P. McNally, 451 7th Street, SW, Washington, District of Columbia 20912 Email: Francis.P.McNally@hud.gov Phone: (202) 402-7100

**Website Address:**

<http://www.hud.gov/progdsc/cpdindx.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.252 SECTION 4 CAPACITY BUILDING FOR COMMUNITY DEVELOPMENT AND AFFORDABLE HOUSING****FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

HUD Demonstration Act of 1993, Section 4, Public Law 103-120, 107 Stat. 1148, 42 U.S.C 9816 note, as amended by Omnibus Appropriations Act, 2009, Title 2, Public Law 111-8.

**OBJECTIVES:**

To help improve the capacity of community organizations to develop affordable housing and other community development projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Only three organizations, as specified in the authorizing legislation and amendment, are eligible to apply for FY2009 funding: Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, and Habitat for Humanity International.

The grantees may use the grant for one or more of the following activities relating to capacity building for affordable housing and community development: (1) Training, education, support, and advice to enhance the technical and administrative capabilities of community development corporations (CDCs) and community housing development organizations (CHDOs); (2) Loans, grants, development assistance, predevelopment assistance, or other financial assistance to CDCs and CHDOs to carry out community development and affordable housing activities that benefit

low-income families and persons; and (3) Such other activities as may be determined by the grantees in consultation with the Secretary or his designee.

**Applicant Eligibility:**

Four organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, and Habitat for Humanity International.

**Beneficiary Eligibility:**

Community Development Corporations, Community Housing Development Organizations, and other nonprofit community based organizations that develop affordable housing and community development projects and programs.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR Part 84 (Uniform Administrative Requirements), OMB Circular A-122 (Cost Principles for Nonprofit Organizations), and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). After selection for funding but prior to award, applicants must submit financial and administrative information and certifications to comply with applicable requirements. Applicants also must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications may be submitted in response to the annual publication of the Capacity Building Notice of Funding Availability (NOFA) in the Federal Register. The General Section to HUDs FY2009 NOFAs for Discretionary Programs and the Capacity Building for Community Development and Affordable Housing NOFA detail the submission requirements. There is no application kit.

**Award Procedure:**

Based upon the requirements published in the Federal Register NOFA, respondents are notified of acceptance or rejection. Upon selection, the applicant and HUD shall negotiate and execute a grant agreement. According to statute, for FY2009 there are only three organizations eligible to apply for funding awards.

**Deadlines:**

Jun 15, 2009 to Jul 31, 2009: 11:59:59 p.m. As indicated in the Federal Register Capacity Building for Community Development and Affordable Housing NOFA publication.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Each dollar awarded must be matched by three dollars in cash or in-kind contributions obtained from private sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The performance period for the capacity building grants is 4 years. Funds must be expended within 5 years of the grant start date. See the following for information on how assistance is awarded/released: Funds are released on a reimbursement basis.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees and sub grantees shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507).

**Records:**

All records applicable to the program must be kept for three years following closeout.

**Account Identification:**

86-0176-0-1-604.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$33,500,000; FY 09 est \$34,500,000; FY 10 est \$50,000,000

**Range and Average of Financial Assistance:**

For Fiscal Year 2008 the grant allocations ranged from \$6,382,689.00 to \$13,677,191.00 among three grantees. The average award was \$11,166,666.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 7,999 homes were renovated, preserved or newly constructed using Section 4 Capacity Building funds. 580 trainings were created and provided to CDCs and CHDOs through Section 4 Capacity Building funds. The total development costs of community development projects funded by CDCs and CHDOs were \$1,520,000.00; this number reflects increased capacity of CDCs and CHDOs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Karen Daly, 451 Seventh Street, SW, Washington, District of Columbia 20410  
Email: karen.e.daly@hud.gov Phone: (202) 402-5552.

**Website Address:**

<http://www.hud.gov/offices/cpd/about/capacitybuilding.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the Capacity Building for Community Development and Affordable Housing NOFA and the General Section to HUD's FY2009 NOFAs for Discretionary Programs.

**14.253 COMMUNITY DEVELOPMENT BLOCK GRANT ARRA ENTITLEMENT GRANTS (CDBG-R)(RECOVERY ACT FUNDED)****FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended, Public Law 93-383; American Recovery and Reinvestment Act of 2009 (ARRA), Title XII, Public Law 111-5.

**OBJECTIVES:**

The overall CDBG program objective is to develop viable urban communities, by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for persons of low and moderate income. CDBG-R[A1] program funds are to be used to maximize job retention

and creation, and economic benefit, carry out infrastructure improvements on an expedited basis, carry out activities to encourage energy efficiency, and provide assistance to unemployed persons.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Recipients may undertake a wide range of activities directed toward neighborhood revitalization, economic development, and provision of improved community facilities and services. Grantees are to give a priority to projects and activities where bids can be awarded within 120 days after funds are available to the grantee. Entitlement communities develop their own programs and funding priorities as long as programs/activities conform to the statutory standards and program regulations. Some of the specific activities that can be carried out with Community Development Block Grant (CDBG) funds include acquisition of real property; relocation; clearance and demolition; rehabilitation of residential and nonresidential structures; provision of public facilities and improvements, such as water and sewer facilities (which require reviews by the State single point of contact or a Regional Planning Agency in accordance with Executive Order 12372), streets, and neighborhood centers. In addition, CDBG funds may be used to pay for public services within certain limits. Recipients may contract with other local agencies or nonprofit organizations to carry out part or all of their programs. Community-based development organizations may carry out neighborhood revitalization, community economic development or energy conservation projects to further achieve the national objectives of the CDBG program. Recipients may provide assistance to microenterprises or other for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Recipients of CDBG-R funds are urged to use the recovery funds for activities that maximize job creation and retention, economic benefit, and to carry out infrastructure improvements on an expedited basis, carry out activities to encourage energy efficiency, and provide assistance to unemployed persons. Section 1604 of ARRA prohibits the use of funds for casinos, aquariums, zoos, golf courses, or swimming pools. All eligible activities must either benefit low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency that the grantee is unable to finance on its own.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Grantees that received Federal Fiscal Year 2008 CDBG entitlement grants have already prepared a consolidated plan in accordance with the requirements of 24 CFR 91; have and followed a detailed citizen participation plan; provided information to citizens on the amount of CDBG funds available and the range of community development and housing activities that may be undertaken; held public hearings; published a proposed action plan which included a description of activities in sufficient detail, including location, to afford affected citizens an opportunity to submit views and comments prior to the preparation of a final action plan; prepared and submitted a final action plan to HUD. To receive CDBG-R funds, each grantee must prepare and submit its annual Action Plan amendment to HUD in accordance with the consolidated plan procedures for substantial amendments. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." Recipients should consult the office or the official designated as the single point of contact in its respective State for more information on the process the State requires to be followed when funds are used for the planning or the construction (reconstruction or rehabilitation) of water or sewer facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point



of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD is treating a grantees use of its CDBG-R grant to be a substantial amendment to its current approved consolidated plan and FY 2008 annual action plan. To receive CDBG-R funding, each CDBG grantee eligible to receive the funding must submit an action plan substantial amendment to HUD in accordance with instructions to be published in the Federal Register. Each grantee will have until 30 days from the date the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan. This submission will include a signed standard federal form SF-424, signed certifications, and a substantial action plan amendment. HUD is providing alternative requirements to 42 U.S.C. 5304(a)(2) and waiving 24 CFR 91.105(k) and 91.115(i) to the extent necessary to allow the grantee to provide for citizen comment for its initial CDBG-R submission, and to require that, at the time of submission to HUD, each grantee post its approved action plan amendment and any subsequent CDBG-R amendments on its official website along with a summary of citizen comments received within the comment period.

**Award Procedure:**

After HUD processes and approves the plan amendment and both HUD and the grantee have signed the grant agreement, HUD will establish the grantees line of credit in the amount of funds included in the Action Plan amendment, up to the allocation amount.

**Deadlines:**

May 06, 2009 to Jun 05, 2009: Each grantee will have until 30 days from the date of the Federal Register Notice is published. For formula grants, to receive CDBG-R funding, each CDBG grantee eligible to receive the funding must submit a substantial action plan amendment to HUD in accordance with instructions to be published in the Federal Register. Each grantee will have until 30 days from the date of the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. For formula grants, to receive CDBG-R funding, each CDBG grantee eligible to receive the funding must submit a substantial action plan amendment to HUD in accordance with instructions to be published in the Federal Register. Each grantee will have until 30 days from the date of the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan.

**Appeals:**

Administrative appeals process followed if entitlement grant funds are withheld or reduced, or repayment proposed for non-compliance or non-performance.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 570, Subpart A, Public Law 111-5.

Matching Requirements: Entitlements are based on a dual formula under Section 106 of the Act using statistical factors. Each metropolitan city and urban county is entitled to receive an amount equaling the greater of the amounts calculated under two formulas. The factors involved in the first formula are population, extent of poverty and extent of overcrowded housing, weighted 0.25, 0.50, and 0.25, respectively. The factors involved in the second formula are population growth lag, poverty, and age of housing, weighted 0.20, 0.30, and 0.50, respectively. The statistical factors used for fund allocation are (1) most current population estimates from the Bureau of Census 90 days before the end of the fiscal year; (2) number of persons with incomes below the poverty level from the source 2000 Census; (3) number of housing units with 1.01 or more persons per room from the source 2000 Census; (4) age of housing; number of year-round housing units built in 1939 or earlier from the source 2000 Census; (5) growth lag; the lag in

population growth as computed from population in 1960 to current population from the source 1960 Census and P25, Census Report. Statistical factors used for eligibility are (1) metropolitan city: principal city of a Metropolitan Area (MA) or city within MA with 50,000 population from the source Census and OMB; (2) urban county: generally, counties in MA having a net population of 200,000 or more, excluding entitlement cities located therein, from the source Census and OMB. Questions concerning the formula should be addressed to the Systems Development and Evaluation Division, Community Planning and Development, 451 7th Street S.W., Washington, DC 20410. Telephone: (202) 708-0790. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Assistance is for an annual program of activities, but activities generally may be continued beyond one year until completed. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

An annual performance report is required on the use of funds to meet program requirements including the grantee's objectives and the national objectives of the program. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Quarterly performance reports are required and will be posted by HUD to [www.recovery.gov](http://www.recovery.gov).

**Audits:**

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

**Records:**

The applicant must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, other resources, acquisition, housing assistance to units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in regulations. Records shall be retained for four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the published regulations.

**Account Identification:**

86-0161-0-1-451 - 86-0161 2009/2010.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$681,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Determined by formula. Of the 1145 entitlement grants awarded under the CDBG-R program in FY 2009, the average (mean) grant amount was \$2,186,157. Grant amounts ranged from \$19,618 to \$48,315,183.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There are approximately 1,150 units of local government eligible to receive entitlement grants during fiscal year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Block Grant Assistance, Community Planning and Development 451 7th Street, S.W, Washington, District of Columbia 20410 Email: [Jessie.handforth.kome@hud.gov](mailto:Jessie.handforth.kome@hud.gov) Phone: (202) 708-1322.

**Website Address:**

<http://www.hud.gov/recovery>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.254 COMMUNITY DEVELOPMENT BLOCK GRANTS/SPECIAL PURPOSE GRANTS/INSULAR AREAS (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended, Public Law 93-383; American Recovery and Reinvestment Act of 2009 (ARRA), Title XII, Public Law 111-5.

**OBJECTIVES:**

To provide community development assistance to the Pacific Islands of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands in the Caribbean. Insular CDBG-R program funds are to be used to maximize job retention and creation, and economic benefit, carry out infrastructure improvements on an expedited basis, carry out activities to encourage energy efficiency, and provide assistance to unemployed persons.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Activities must be eligible under 24 CFR 570 Subpart C.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD is treating a grantees use of its Insular CDBG-R grant to be a substantial amendment to its current approved consolidated plan and FY 2008 annual action plan. To receive Insular CDBG-R funding, each grantee eligible to receive the funding must submit an action plan substantial amendment to HUD in accordance with instructions to be published in the Federal Register. Each grantee will have until 30 days from the date the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan. This submission will include a signed standard federal form SF-424, signed certifications, and a substantial action plan amendment. HUD is providing alternative requirements to 42 U.S.C. 5304(a)(2) and waiving 24 CFR 91.105(k) and 91.115(i) to the extent necessary to allow the grantee to provide for citizen comment for its initial Insular CDBG-R submission, and to require that, at the time of submission to HUD, each grantee post its approved action plan amendment and any subsequent amendments on its official website along with a summary of citizen comments received within the comment period. After HUD processes and approves the plan amendment and both HUD and the grantee have signed the grant agreement, HUD will establish the grantees line of credit in the amount of funds included in the Action Plan amendment, up to the allocation amount.

**Award Procedure:**

After HUD processes and approves the plan amendment and both HUD and the grantee have signed the grant agreement, HUD will establish the grantees line of credit in the amount of funds included in the Action Plan amendment, up to the allocation amount.

**Deadlines:**

May 06, 2009 to Jun 05, 2009: Each grantee will have until 30 days from the date the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan.

**Range of Approval/Disapproval Time:**

To receive Insular CDBG-R funding, each grantee eligible to receive the funding must submit a substantial action plan amendment to HUD in accordance with instructions to be published in the Federal Register. Each grantee will have until 30 days from the date of the Federal Register Notice is published to complete and submit a substantial amendment to its annual action plan.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, and is released through a letter of credit. Grantees are encouraged to give priority to activities that can obligate funds by competitive contract within 120 days of the funds being made available. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual performance reports. Annual performance reports as required by 24 CFR 91.520;

SF-272 Federal Cash Transactions Report. No progress reports are required. No expenditure reports are required. Quarterly performance reports to be posted by HUD to [www.recovery.gov](http://www.recovery.gov).

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0161-0-1-451 - 86-0161 2009/2010.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$7,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Insular CDBG-R funds awarded in FY 2009: American Samoa: \$963,516; Guam: \$2,851,151; Northern Marianas:\$1,374,719; Virgin Islands: \$1,810,614.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Accomplishment data for the new program will be reported as proportion of spending for public improvements, acquisition, and public services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart F.

**Regional or Local Office:**

See Regional Agency Offices. Honolulu Field Office and the HUD San Juan Field Office as listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>.

**Headquarters Office:**

Stephen M Rhodeside, Office of Block Grant Assistance, Community Planning and Development, Department of Housing and Urban Development, 451 7th St., SW., Washington, District of Columbia 20410 Email: Stephen.M.Rhodeside@hud.gov Phone: (202) 708-1322.

**Website Address:**

<http://www.hud.gov/recovery>

**RELATED PROGRAMS:**

15.875 Economic, Social, and Political Development of the Territories

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.255 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, as amended, Public Law 93-383; American Recovery and Reinvestment Act of 2009 (ARRA), Title XII, Public Law 111-5.

**OBJECTIVES:**

The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income. Each activity funded must meet one of the program's National Objectives by: Benefiting low and moderate income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available. State CDBG-R program funds are to be used to maximize job retention and creation, and economic benefit, carry out infrastructure improvements on an expedited basis, carry out activities to encourage energy efficiency, and provide assistance to unemployed persons.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Thirty percent of funds available for distribution under each annual appropriation for the Community Development Block Grant (CDBG) program is allocated among the States and Puerto Rico (which is considered to be a state for the State CDBG program) for use in areas which are not a metropolitan city or part of an urban county (nonentitlement areas). All States except Hawaii have elected to administer these CDBG funds for areas that do not receive CDBG entitlement grants. HUD awards the formula grants to these States under the CDBG/State Program. In Hawaii, HUD awards the state's share of these funds to three non-entitlement counties. States (outside of Hawaii) must distribute CDBG funds to units of general local government (counties, towns, etc.) in nonentitlement areas. States develop their own programs and funding priorities. Units of general local government then carry out community development activities funded by the State. The three Hawaii counties directly carry out eligible CDBG activities. Eligible activities are directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include: Acquisition, rehabilitation or construction of certain public

works facilities and improvements, such as streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and clearance; rehabilitation of public and private buildings including housing; code enforcement; relocation payments and assistance; economic development; planning activities; certain public services with some restrictions; and administrative expenses. The projected use of funds must be developed to ensure that all activities will meet one of the three national objectives described under "OBJECTIVES". Communities receiving CDBG funds from a state or the three Hawaii non-entitlement counties may select sub grantees or other entities to carry out approved projects. Such sub grantees may include: Neighborhood-based nonprofit organizations; local development corporations; Small Business Investment Companies; or other nonprofit organizations serving the development needs of nonentitlement areas. Grant recipients may provide assistance to for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and from making housing allowances or other income maintenance-type payments. Each State and the three Hawaii counties may use a limited portion of its grant to administer the program. Each State may also use a limited portion of its grant to provide technical assistance to local governments and nonprofit program recipients. At least seventy percent of the funds received must benefit low and moderate income persons. At least seventy percent of the funds received must benefit low and moderate income persons.

**Applicant Eligibility:**

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**Beneficiary Eligibility:**

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**Credentials/Documentation:**

Each State and the three Hawaii Counties must submit an amended Consolidated Plan or Annual Action Plan, which contains a list of the activities it intends to fund with the CDBG-R allocation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD is treating a grantees use of its State or in the case of the three non-entitled counties in Hawaii CDBG-R grant to be a substantial amendment to its current approved consolidated plan and FY 2008 annual action plan. To receive funding, each grantee eligible to receive the funding must submit an action plan substantial amendment to HUD in accordance with instructions to be published in the Federal Register. Each State or non-entitled county in Hawaii will have until 30 days from the date the Federal Register Notice is published or until May 18, 2009 if they are receiving a direct allocation of Homelessness Prevention and Rapid Re-housing Program funding to complete and submit a substantial amendment to its annual action plan. This submission will include a signed standard federal form SF-424, signed certifications, and a substantial action plan amendment.

**Award Procedure:**

After HUD processes and approves the plan amendment and both HUD and the grantee have signed the grant agreement, HUD will establish the grantees line of credit in the amount of funds included in the Action Plan amendment, up to the allocation amount.

**Deadlines:**

May 06, 2009 to Jun 05, 2009: Each State or non-entitled county in Hawaii will have until 30 days from the date the Federal Register Notice is published or until May 18, 2009 if they are receiving a direct allocation of Homelessness

Prevention and Rapid Re-housing Program funding to.

**Range of Approval/Disapproval Time:**

As indicated in forthcoming guidance.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 576, Subpart A, Public Law 111-5.

This program has no matching requirements. Allocations to States are based on U.S. Census data using a dual formula prescribed under Section 106 of the Act. Allocations for each State are based on an amount equaling the greater of the amounts calculated under the two formulas. The factors involved in the first formula are population, extent of poverty and extent of overcrowding, weighted 0.25, 0.50, and 0.25, respectively. The factors involved in the second formula are population, poverty, and age of housing, weighted 0.20, 0.30, and 0.50, respectively. The statistical factors used for fund allocation are (1) total resident population for all places in the nation (2) number of persons with incomes below the poverty level; (3) number of housing units with 1.01 or more persons per room; and (4) age of housing (number of year-round housing units built in 1939 or earlier). The statistical factors for each State are adjusted to reflect only the non-entitled area; that is, the State area excluding metropolitan cities and urban counties. There is no matching requirement for the allocation of funds under the formula. Address questions concerning the formula to the Systems Development and Evaluation Division Rm. 7224, Community Planning and Development, 451 7th Street, SW, Washington, DC 20410. Telephone: (202) 708-0790.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, and is released through a letter of credit. Grantees are encouraged to give priority to activities that can obligate funds by competitive contract within 120 days of the funds being made available. All funds must be expended by September 30, 2012. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly performance reports. SF-272 Federal Cash Transactions Report. Quarterly progress reports are required. No expenditure reports are required. Annual performance reports as required by 24 CFR 91.520. Quarterly performance reports to be posted by HUD to [www.recovery.gov](http://www.recovery.gov).

**Audits:**

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

**Records:**

Records must demonstrate that the State has met the requirements of Title I of the Act.

**Account Identification:**

86-0161-0-1-451 - 86-0161 2009/2010.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$292,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

State grant amounts are determined by formula. Of the 50 state grants awarded under the State CDBG-R program in FY 2009, the average (mean) grant amount was \$5,908,690. Grant amounts ranged from \$537,718 to \$19,473,698. These totals do not include Hawaii's allocations awarded to its 3 non-entitled counties. Hawaii's share of the 2009 allocation is \$1,415,496.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Accomplishment data for the new program will be reported

as housing units improved and jobs retained or created. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 570, 24 CFR Part 91, 24 CFR Part 58.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>. Contact the Honolulu Field Office for the non-entitled Hawaii counties.

**Headquarters Office:**

Diane L Lobasso, State and Small Cities Division, Office of Block Grant Assistance, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [Diane.L.Lobasso@hud.gov](mailto:Diane.L.Lobasso@hud.gov) Phone: (202) 708-1322.

**Website Address:**

<http://www.hud.gov/recovery>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.256 NEIGHBORHOOD STABILIZATION PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Neighborhood stabilization through acquisition and rehabilitation, land banking, disposition, or demolition of abandoned and foreclosed residential property. Also, to develop viable urban communities, by providing decent housing and a suitable living environment, and by expanding economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Recipients may undertake a wide range of activities directed toward neighborhood stabilization. Applicants develop their own programs and funding priorities as long as programs/activities conform to the statutory standards and program regulations. Some of the specific activities that can be carried out with Neighborhood Stabilization 2009 funds include acquisition of real property; relocation; clearance and demolition; land banking, rehabilitation of residential and structures. In addition, NSP funds may be used to pay for homeownership counseling within certain limits. Recipients may partner with or contract with other local agencies or nonprofit organizations to carry out part or all of their programs.

All eligible activities must benefit persons whose income is at or below 120 percent of area median income.

No funds may be used for ineligible activities or those that do not benefit the target populations. All funds must be used within 3 years of the date funds are available to the grantee for obligation. All eligible activities must benefit persons whose income is at or below 120 percent of area median income. No funds may be used for ineligible activities or those that do not benefit the target populations. All funds must be used prior to statutory deadline[A1].

**Applicant Eligibility:**

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**Beneficiary Eligibility:**

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**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A grantee is required to publish a proposed application which includes a description of activities in sufficient detail, including location or targeted areas, to afford affected citizens an opportunity to submit views and comments prior to the preparation of a submission; prepare and submit a final application to HUD. Recipients should consult the office or the official designated as the single point of contact in its respective State for more information on the process the

State requires to be followed when funds are used for the planning or the construction (reconstruction or rehabilitation) of water or sewer facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit an application, SF Form 424, and certifications to HUD. The application must include the elements required in the notice of fund availability, including the proposed use of the funds. If the grantee makes a complete submission within the established deadlines, the Department will review and score the application. If the proposal is selected, HUD will make an award.

**Award Procedure:**

To be announced.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. NOFA must be issued no later than 75 days after enactment of ARRA. HUD must award funds within 150 days after enactment and obligate all funds within one year of enactment.

**Appeals:**

To be announced.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds remain available for obligation by the agency until September 30, 2010. Grantees are to expend 50 percent of funds allocated within two years of the funds being made available by the agency and 100 percent of funds within three years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance targets initially submitted in the disaster recovery grant reporting system (DRGR), then reported on quarterly by grantee.

**Audits:**

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

**Records:**

Per The applicant must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, other resources, acquisition, housing assistance to units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in regulations. Records shall be retained for four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the published regulations.

**Account Identification:**

86-0161-0-1-451 - 86-0161 2009/2010.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$2,000,000,000

**Range and Average of Financial Assistance:**

To be announced.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: Eligible activities include creation of financing mechanisms to stimulate recovery of foreclosed homes for productive use; housing acquisition, rehabilitation, demolition, and redevelopment; and demolition of blighted properties. Fiscal Year 2010: Eligible activities include creation of financing mechanisms to stimulate recovery of foreclosed homes for productive use; housing acquisition, rehabilitation, demolition, and redevelopment; and demolition of blighted properties.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570, and published Federal Register Notices.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Community Planning and Developmen 451 7th Street, S.W., Washington, District of Columbia 20410 Email: Jessie.handforth.kome@hud.gov Phone: (202) 708-3587

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii; 14.256 Neighborhood Stabilization Program (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be announced. Will be delineated in the NOFA. Statute directs that criteria will include at minimum capacity to execute projects, leveraging potential, and concentration of investment to achieve neighborhood stabilization.

**14.257 HOMELESSNESS PREVENTION AND RAPID RE-HOUSING PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Title XII.

**OBJECTIVES:**

To provide financial and other assistance to prevent individuals and families from becoming homeless and help those who are experiencing homelessness to be quickly re-housed and stabilized.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grantees may use the grant for activities relating to the prevention of

homelessness and rapid re-housing for homeless individuals and families, including: 1) financial assistance, such as short-term and medium-term rental assistance, security and utility deposits, and utility assistance; 2) housing relocation and stabilization services including housing search, mediation, credit repair, moving cost assistance, and case management, 3) Homeless Management Information System (HMIS) costs, and 4) Administrative costs, not to exceed five percent of the grant.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

States, metropolitan cities, urban counties, and territories that elect to participate in the program must submit to HUD: (1) an application, and (2) all required certifications. The details of this required documentation will be established in the forthcoming Federal Register notice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the State office or official designated as the single point of contact for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To be eligible, each grantee must submit an application, the details of which will be published in the forthcoming Federal Register notice. Each participating grantee must submit certifications required by HUD.

**Award Procedure:**

HUD will review the grantee's application and execute a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Each State, metropolitan city, urban county, and territory should submit its application per the requirements described in the forthcoming Federal Register notice.

This will be established in the forthcoming Federal Register notice.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 576, Subpart A, Public Law 111-5.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Upon HUD's receipt and review of the application, grant awards will be made within a period of time that is to be established in the forthcoming Federal Register notice. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Each grantee shall submit an Interim Performance Report, due in October 2009, thereafter a Quarterly Performance Report covering the amount of funds allocated for the 4

eligible HPRP activities (Financial Assistance, Services, Data Collection and Evaluation and Administrative Costs) and the amount expended for each of these categories, the estimated unduplicated number of individuals and families served, and the estimate of the numbers of new jobs created and jobs retained and other data items. The Annual Performance Report will gather information on outputs such as number and demographic characteristics served, HPRP funds expended by activity type and number of jobs created and retained and outcomes related to housing stability. Each grantee shall quarterly and annually report on its uses of funds and program progress in a HUD-approved format within deadlines provided in the forthcoming Federal Register notice. Quarterly monitoring reports required.

**Audits:**

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

**Records:**

Grantees and recipients must retain records for a length of time to be specified in the forthcoming notice.

**Account Identification:**

86-0193-0-1-604 - 86-0193 2009/2011.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,350,000,000; FY 10 est \$150,000,000

**Range and Average of Financial Assistance:**

For fiscal year 2009, the grant allocations ranged from \$412,935 to \$73,929,729. The mean average allocation was \$2,763,889.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Financial assistance and services will be provided to help prevent families and individuals from becoming homeless and to assist those who are already homeless to become rapidly re-housed. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by a notice to be published in the Federal Register within 30 days of the enactment of the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410  
Email: Michael.Roanhouse@hud.gov Phone: (202) 402-3400.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 97.024 Emergency Food and Shelter National Board Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will review applications and approve grantee proposals based on criteria established in the forthcoming notice.

**14.258 TAX CREDIT ASSISTANCE PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111.5, Section 2, Division A, Title XII.

**OBJECTIVES:**

Provide additional funding for capital investment in low-income housing tax credit projects.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

For use by housing credit allocating agencies in each state, as well as the District of Columbia and the Commonwealth of Puerto Rico, to provide capital investment to owners of projects that have received an award of low-income housing tax credits in fiscal years 2007, 2008, or 2009. Priority should be given to eligible projects that are expected to be completed by February, 2012.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Assistance provided to an eligible low-income housing tax credit project shall be subject to the same limitations (including rent, income, and use restrictions) as required by the State housing credit agency with respect to an award of low-income housing credits under section 42 of the IRC of 1986. Costs will be determined in accordance with OMB Circular No. A-87 for State governments. Specific requirements of 24 CFR part 85 apply to grantees, State recipients and any governmental subrecipient receiving TCAP funds. OMB Circular A-122 and specific requirements of 24 CFR part 84 apply to subrecipients which are not governmental. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

HUD produces a list of each State jurisdictions formula allocation. HUD publishes a Notice of Funding Availability (NOFA) in the Federal Register. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit a letter of intent to participate within 15 days of the Notice of Funding Availability in the Federal Register. Within 45 days from the NOFA, the applicant must submit a Pre-Award Description, describing how it plans on awarding the funds competitively based on its Qualified Allocation Plan (QAP).

**Award Procedure:**

HUD notifies grantees of the formula awards. HUD prepares the grant agreement for formula applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Letters of intent to participate must be submitted within 15 days of the NOFA published in the Federal Register. Pre-Award Descriptions must be submitted to HUD within 45 days from the NOFAs publication in the Federal Register.

HUD will review for completeness and accuracy with the requirements of the Act.

**Appeals:**

Not Applicable.

**Renewals:**

This is one time funding under the American Recovery and Reinvestment Act of 2009.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Formula amounts will be awarded to housing credit allocating agencies in each state, as well as the District of Columbia and the Commonwealth of Puerto Rico, proportionate to the percentage of HOME Investment Partnerships Program funds allocated to all the state and local participating jurisdictions in a state under the FY 2008 HOME formula. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds are drawn down from the U.S. Treasury based on individual project development progress. The Tax Credit Assistance Program uses an electronic fund transfer disbursement and information system. Each grantee must commit seventy-five percent of its TCAP funds to projects by February 16, 2010 by entering into a legally binding agreement with the project owner. Each grantee must expend seventy-five percent of its grant for eligible projects by February 16, 2011 and expend 100 percent of its grant by February 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

HUD will establish reporting requirements based in part on the February 18, 2009 Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009 issued by OMB. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records which enable HUD to determine whether the grantee has met the requirements of the program must be kept for the most recent 5-year period.

**Account Identification:**

86-0203-0-1-604 - 86-0203 2009/2010.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$2,250,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$4,831,466 to \$326,321,437; \$43,269,231 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: It is anticipated that 733 Tax Credit projects will be developed. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All programmatic regulations will be posted at [www.recovery.gov](http://www.recovery.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Clifford Taffet Office of Affordable Housing Programs, Room 7164, Community Planning and Development, Department of Housing and Urban Development  
451 7th Street, SW, Washington, District of Columbia 20410 Email: [Clifford.Taffet@hud.gov](mailto:Clifford.Taffet@hud.gov) Phone: (202) 708-2470

**Website Address:**

<http://www.recovery.gov>

**RELATED PROGRAMS:**

14.239 Home Investment Partnerships Program; 14.258 Tax Credit Assistance

Program (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will review Pre-Award Descriptions for completeness and accuracy, to ensure grantees meet all the requirements of the Act.

**14.311 SINGLE FAMILY PROPERTY DISPOSITION**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

national Housing Act, as amended 12 U.S.C. 1710, Sections 203(b), 203(k), 204, 24 CFR 200.

**OBJECTIVES:**

To sell the inventory of HUD-acquired properties in a manner that expands home ownership opportunities, strengthens neighborhoods and communities, and ensures a maximum return to the FHA mortgage insurance fund.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

The Single Family Property Disposition Program is the marketing and sale of one to four unit properties acquired by HUD after foreclosure of an FHA-insured mortgage. Within the general program there are special disposition programs through which a portion of the property inventory is sold. These programs are referred to collectively as the Good Neighbor Initiatives and include Good Neighbor Next Door Sales program for law enforcement officer, pre-K through 12 teachers and firefighters/emergency medical technicians, Discount Sales to Nonprofits and Local Governments program and Dollar HOME Sales to Local Governments program. Information for each of these programs is covered separately. The majority of foreclosed one to four unit properties are sold through the general disposition program. HUD contracts with private companies to manage and market the properties. Properties are listed for sale by each company for the company's contract area; generally, a state. The listings may be viewed by going directly to the contractor's website or visiting HUD's website at <http://www.hud.gov/momes>, where you will be directed to the listings for your state. The listings provide the appraised value of the property, the property address, a brief description of the property and access to a Property Condition Report prepared by the contractor. Complete information explaining the sales process and earnest money requirements is also available. Bids must be submitted electronically by a real estate broker. An earnest money deposit is required with each bid submitted. Special opportunities are available for bidders who intend to occupy the purchased property as their personal residence. Properties not purchased during this Exclusive Listing Period are then available for the general public, including investors, during an Extended Listing Period. FHA financing may be available for purchasing many homes, including the FHA 203(k) and 203 Special (k) program providing a loan to purchase a property and pay for repairs or improvements as permitted by FHA rules. Interested persons should contact their FHA approved lender. Refer to <http://www.hud.gov/ll/code/llplcrit.html> for assistance in locating a lender.

**Applicant Eligibility:**

Local Governments and Nonprofit Organizations: HUD contractors in the specific area should be contacted regarding eligibility requirements. Contact HUD at Tollfree: (800) CALLFHA or (800) 225-5342 for a listing of nationwide HUD contractors. FHA Insured Financing: Generally, anyone who has a satisfactory credit rating; enough cash to close the loan; sufficient, steady income to make the monthly payments without difficulty; and who will live in the home can be approved for an FHA insured mortgage. Income is only one of several factors that apply in the lending process. Interested buyers should contact their lender for more information.

**Beneficiary Eligibility:**

Individual, governmental and organizational homebuyers.

**Credentials/Documentation:**

Nonprofit Organizations must have IRS 501(c)(3) status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD homes are managed and marketed by private contractors. A list of contractors and the areas each serves may be found at <http://www.hud.gov/offices/hsg/sfh/reo/mm/mminfo.cfm>. The contractors list all HUD homes for sale on their individual Internet websites. Bids for a particular property can be submitted online. Purchasers must secure financing of their choice. FHA financing may be available. A list of HUD approved mortgage lenders is located at our website, <http://www.hud.gov/ll/code/llslcrit.cfm>.

**Award Procedure:**

Properties are generally sold awarded to the highest bidder. Direct sales may be made where permitted by regulations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Nonprofit organizations purchasing homes at a discount must retain information about the acquisition, rehabilitation and resale of discounted properties. This includes copies of HUD-1 Settlement Statements for the resale and other documents (see <http://www.hud.gov/groups/grantees.cfm>).

**Account Identification:**

86-4587-0-1-371; 86-4077-0-1-371; 86-4072-0-1-371; 86-4070-0-1-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$3,047,029,435; FY 09 est \$8,029,823,740; FY 10 est \$9,540,683,500

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 46333 homes were sold in fiscal year 2008, fiscal year 2009 YTD are 41,958. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact the appropriate HUD Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or HUD Field Office listed in Appendix IV of the Catalog.



**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia  
20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

[http://www.hud.gov/offices/hsg/sfh/reo/reo\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/reo/reo_home.cfm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.313 DOLLAR HOME SALES****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Notice 00-07, dated April 28, 2000 (and subsequent extensions).

**OBJECTIVES:**

To expand HUD's partnership with local governments in helping to foster housing opportunities for low-to-moderate income families and address specific community needs.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Single family homes that are acquired through foreclosure of Federal Housing Administration (FHA) insured loans will be available for purchase by local governments at a price of \$1 plus closing costs, after the properties have been actively marketed for at least six months and remain unsold. The property must be located with the jurisdiction of the purchasing local government with the intent of using the property for a "clear public purpose".

**Applicant Eligibility:**

Local government legally authorized by local law to make the purchase.

**Beneficiary Eligibility:**

Low- to moderate-income families and communities.

**Credentials/Documentation:**

Evidence of authority to purchase. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit HUD-9548, Sales Agreement, stating a purchase price of one dollar (\$1.00) plus closing costs, together with the Addendum to Sales Contract in the form attached to Housing Notice 06-02, as further detailed in Housing Notice 00-07, to HUD by close of the 10-day listing period for a property.

**Award Procedure:**

Evaluation of the documentation required by the application procedure evidenced by HUD's execution of the Sales Agreement and approval of the purchaser's plan for use of the property.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Properties assigned to this program are offered for ten days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

All annual reports submitted by local governments will be maintained by HOC Program Support Staff Director.

**Account Identification:**

86-0470-0-1-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 Reported Under 14.311  
FY 09 Reported Under 14.311  
FY 10 Reported Under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 289 homes were sold in Fiscal Year 2008.  
Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Homeownership Center listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia  
20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbabout.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.314 ASSISTED LIVING CONVERSION FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS**

(ALCP)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 202b of the Housing Act of 1959, as amended and the Consolidated Appropriations Act, 2008 (Public Law 110-161; approved December 26, 2007).

**OBJECTIVES:**

To preserve the current elderly housing stock by converting units with a grant into Assisted Living Facilities (ALFs) for the frail elderly, as defined in Section 232(B)(6) of the National Housing Act and 202(k). The program is expected to promote aging in place and prevent premature institutionalization of the target

population.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assisted living facilities (ALFs) are designed to accommodate frail elderly persons and people with disabilities who can live independently but need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities.) ALFs must provide support services such as personal care, transportation, meals, housekeeping, and laundry. Typical funding will cover basic physical conversion of existing project units, as well as related common and services space. The ALCP provides funding for the physical costs of converting some or all of the units of an eligible development into an ALF, including unit configuration, common and services space and any necessary remodeling, consistent with HUD or the State's statute/regulations (whichever is more stringent). There must be sufficient community space to accommodate a central kitchen or dining facility, lounges, recreation and other multiple-areas available to all residents of the project, or office/staff spaces in the ALF. Funding for the supportive services must be provided by the owners, either directly or through a third party.

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments specified in Section 683(2)(B), (C), (D), (E), and (F) (Section 202 projects for the elderly, Rural Housing Section 515 projects receiving Section 8 rental assistance, projects receiving project-based rental assistance under Section 8, projects financed by a below-market interest rate loan or mortgage insured under Section 221(d)(3) of the Housing Act, or housing financed under Section 236 of the National Housing Act) that have been in occupancy for at least five years are eligible for funding. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a).

**Beneficiary Eligibility:**

Eligible residents who meet the admissions/discharge requirements as established for assisted living by State and local licensing, or HUD frailty requirements under 24 CFR 891.205 if more stringent. The residents must be able to live independently but may need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities).

**Credentials/Documentation:**

The assisted living facility must be licensed and regulated by the State (or if there is no State law providing such licensing and regulation, by the municipality or other subdivision in which the facility is located). The application must include a firm commitment for the supportive services to be offered at the ALF as part of the application. The Notice of Funding Availability contains all the necessary information for applicants to apply for the grant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must have contacted the State licensing agency for such a project to determine if the proposed project will meet state licensing requirements. A Supportive Service Plan (SSP) for the services and coordination of the supportive services which will be offered in the ALF must be developed and submitted to the appropriate State or local organization. Applicants must comply with all applicable statutory requirements and statutory requirements under Section 232(b)(6) prior to application submission. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are only accepted in response to the Notice of Funding Availability which is published in the Federal Register each fiscal year. Applicants responding to the NOFA should ensure that their application is complete before submitting it to HUD. Applications must be submitted in accordance with requirements of the NOFA. All applications received by the deadline will be screened for curable deficiencies. After the completeness review, HUD reviews the application to determine whether it meets the threshold requirements. Only those applications that meet all of the threshold requirements will be eligible to receive an award. Applications submitted in response to the NOFA that are eligible, pass threshold and have a total score of 75 points (or more) are eligible for ranking and selection.

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the geographical Hub area. At the end of the technical review, all applications will be either rated or technically rejected. If an application meets all program eligibility requirements after completion of the technical review, it will be rated according to the rating selection factors. The number of points that an application receives will depend on the extent to which the application is responsive to the information requested in the selection criteria. The maximum number of points an application may receive under this program is 102.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A processing schedule is developed for each funding round. Applicants are provided with a decision by the end of the schedule, after approximately 4-6 months from processing start date.

**Appeals:**

From 1 to 15 days. An applicant will have fourteen (14) calendar days from the date of HUD's written notice to appeal a technical rejection. HUD will make a determination on an appeal before finalizing selection recommendations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This program has no matching requirements. However, owners are required to find the supportive services through other funding sources. See the following for information on how assistance is awarded/released: This program has no matching requirements. However, owners are required to find the supportive services through other funding sources.

**Reports:**

Any change in the owner during the period of the capital advance must be approved by HUD. Performance reports are required every six months in accordance with instructions outlined in the Grant Agreement. No cash reports are required. No progress reports are required. Financial reports are required every six months in accordance with instructions outlined in the Grant Agreement. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations as outlined in the grant agreement.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under program 14.157.

**Range and Average of Financial Assistance:**

In FY 2008, funded applications range from \$2,119,826 to \$6,048,306 with an average of \$3,900,755.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funded 202 units in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 202(b) of the Housing Act of 1959, Assisted Living Conversion Program Notice of Funding Availability published May 12, 2008.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at <http://www.hud.gov/localoffices.cfm> or at the Catalog Address Appendix IV.

**Headquarters Office:**

Aretha Williams 451 7th Street SW, Washington, District of Columbia 20410  
Email: [Aretha.M.Williams@hud.gov](mailto:Aretha.M.Williams@hud.gov) Phone: 202 7083000 Fax: 202 7083104

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/alcp.cfm>.

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.191 Multifamily Housing Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are in the NOFA.

**14.315 EMERGENCY CAPITAL REPAIR GRANTS FOR MULTIFAMILY HOUSING PROJECTS DESIGNATED FOR OCCUPANCY**

(ECRP)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 202b of Title II of the Housing Act of 1959, 12 U.S.C. 1701q-2 and Consolidated Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To provide grants to make emergency capital repairs for eligible housing developments that are designated for occupancy by the elderly .

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Emergency capital repair grants will be used to correct a situation that presents an immediate threat to the life, health and safety of project tenants. Assistance is limited to those projects with emergency problems that are of such a magnitude that the problem poses an immediate threat to the quality of life of the tenants and the continuation of the existing problem could potentially result in an evacuation of the tenants or long-term tenant displacement unless the repairs are made. The maximum amount an owner may apply for is \$500,000. The grant, along with funds from other sources, must remove the emergency condition(s).

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments designated for occupancy by elderly tenants, as specified in Section 683(2)(B), (C), (D), (E), and (F, or G of the Housing and Community Development Act of 1992 (Public Law 102-550, approved October 28, 1992) and are identified as: Section 202 direct loan projects with or without Section 8 rental assistance; Section 202 capital advance projects receiving rental assistance under their Project Rental Assistance Contract (PRAC); Section 515

rural housing projects receiving project-based rental assistance; projects subsidized with Section 221(d)(3) below-market interest mortgage, projects assisted under Section 236 of the National Housing Act; and other projects receiving Section 8 project-based rental assistance. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders enumerated in 24 CFR 5.105(a) as applicable. The eligible projects must have had closing on or before January 1, 1999.

**Beneficiary Eligibility:**

Residents of assisted housing projects designated for occupancy by elderly tenants.

**Credentials/Documentation:**

Applicants are provided all necessary information to apply for the grants in the published Federal Register notice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must comply with all applicable statutory requirements prior to application submission. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A notice is published in the Federal Register each year announcing the availability of funds to potential applicants. Applicants will submit a complete application, in accordance with requirements of the notice published in the Federal Register. HUD staff will review each application to determine whether the application meets the requirements of the notice. At the end of the review, all applications will be either recommended for funding or rejected. If an application meets all program eligibility requirements after completion of the review, the local Multifamily Hub Director will forward a recommendation for funding to HUD Headquarters.

**Award Procedure:**

HUD Headquarters will award the funds, if approved, in accordance with the funding queue established by the date and time of receipt of the applications in [Grants.gov](http://Grants.gov) until the exhaustion of funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The Field Offices will have 15 working days from the date and time of receipt of the application to review the application, forward to the Hub and have the Multifamily Hub Director provide a recommendation for approval/disapproval of the funding request to Headquarters.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

12 months. See the following for information on how assistance is awarded/released: Based on the percentage of construction completion.

**Reports:**

Performance reports as specified in the ECRP Grant Agreement. Financial reports as specified in the ECRP Grant Agreement. No progress reports are required. Financial and performance reports as specified in the ECRP Grant Agreement. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular progress and financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Reported under program 14.157 for FY 08, FY09, FY 10.

**Range and Average of Financial Assistance:**

\$19,950 to \$500,000; \$243,433.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funded 36 projects in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Consolidated Appropriations Act, 2008 (Public Law 110-161) provides funding for grants under section 202b of the Housing Act of 1959 (12 U.S.C. 1701q-2) for conversion of eligible projects to assisted living and for emergency capital repairs as determined by the Secretary of HUD.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and/or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

G. Dewayne Kimbrough 451 7th Street SW, Washington, District of Columbia 20410 Email: [G.DeWayne.Kimbrough@hud.gov](mailto:G.DeWayne.Kimbrough@hud.gov) Phone: 202 7083000 Fax: 202 7083104

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/ecrp.cfm>.

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Rosewood Heights, Rock Rapids, IA; Christ Church Apartments Lexington, KY; Horace Bushnell Congregate Homes, Hartford, CT; Casa Manana Inn, Stockton, CA. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are listed in the published Federal Register notice.

**14.316 HOUSING COUNSELING TRAINING PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

This program supports, under cooperative agreements with HUD, the delivery of a broad array of training activities for counselors from agencies participating in HUD's Housing Counseling program. The primary objectives of the program are to improve and standardize the quality of counseling provided by housing counselors working with HUD-approved housing counseling agencies and to make training accessible and affordable.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To annually provide one or more housing counseling training grants to qualified organizations. The grant will fund the training of counselors of agencies participating in HUD's Housing Counseling program.

**Applicant Eligibility:**

Applicants must be public or private nonprofit organizations with a least two years of experience providing housing counseling training services nationwide.

**Beneficiary Eligibility:**

Housing Counselors from HUD-approved housing counseling agencies.

**Credentials/Documentation:**

Each applicant is required to submit, for itself and for any organization with which it is partnering for the purpose of this NOFA, a legible copy of the document that supports the applicant's claim to be a nonprofit organization (for example, a 501(c) letter issued by the IRS). The documentation must contain the official name, address, and telephone number of the legal authority that granted the nonprofit status. Branches or affiliates of the applicant that are part of the proposed work plan must also be nonprofit entities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds (HUD NOFA) is announced on HUD's website, [www.hud.gov](http://www.hud.gov). For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling training services to be provided, and indicators by which benefits impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR Part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR Part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for state and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling training grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling training services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing

assistance: quarterly.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

As required in the grant cooperative agreement.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$2,500,000; FY 09 est \$5,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For fiscal year 2008, approximately 2,600 housing counselors were trained through the program. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: (202) 402-2324.

**Website Address:**

Persons are encouraged to contact HQs Program Support Division, Office of Insured Single Family Housing, Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410. Telephone: (202) 708-0317.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.317 SECTION 8 HOUSING ASSISTANCE PAYMENTS PROGRAM SPECIAL ALLOCATIONS (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

United States Housing Act of 1937, Section 8(c)(9).

**OBJECTIVES:**

To make payments to existing owners of project-based Section 8 housing for 12 month periods. To reduce claims on the Department's insurance fund by aiding projects with FHA-insured or Secretary-held mortgages that have immediate or potentially serious financial difficulties. To provide decent, safe and sanitary housing for low-income families through the provision of housing assistance payments.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program is inactive. No new projects are being approved; however, tenants may apply for admission to projects with existing Section 8 assistance contracts. The assistance is paid by HUD to the owner of an assisted unit on behalf of an eligible family. The payment is the difference between the contract rent and the tenant rent. Assistance is currently available only on a renewal basis,

i.e., projects currently assisted may receive a 1-year renewal, or multiple years, up to twenty years, upon expiration of the Section 8 contract. Tenants receiving assistance must be income eligible.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. Project must meet minimum decent, safe, and sanitary standards for HUD to renew the Section 8 contract. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project owner must notify HUD within 120 days of contract expiration that it wishes to renew the Section 8 contract.

**Award Procedure:**

Contract is renewed upon expiration.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Owner must notify HUD within 120 days of contract expiration that it intends to renew contract. The owner must provide a one year notice to residents and the Department if they intend not to renew the contract. Approval given by date of contract expiration.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to appropriations and owner's interest in renewing contract.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter CFR, Part 883.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

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**Records:**

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0303-0-1-604 - 86-0303 2009/2010.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$2,000,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Eligible tenants pay no more than 30 percent of their monthly adjusted income for rent.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No new commitments for additional projects will be made under this program. There were approximately 1.2 million families assisted in Fiscal Year 2005. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Section 8 Renewal Policy Guide (1/19/01); CFR Part 883

**Regional or Local Office:**

See Regional Agency Offices. Persons may contact local field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Housing Assistance and Grant Administration 451 7th Street SW, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 708-3000

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/mfhsec8.cfm>

**RELATED PROGRAMS:**

14.126 Mortgage Insurance\_Cooperative Projects; 14.134 Mortgage Insurance\_Rental Housing; 14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate; 14.138 Mortgage Insurance\_Rental Housing for the Elderly; 14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas; 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects; 14.157 Supportive Housing for the Elderly; 14.181 Supportive Housing for Persons with Disabilities; 14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects with HUD-insured mortgages; projects with HUD-held mortgages; projects with non-insured mortgages; projects with Section 202 Direct Loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.318 ASSISTED HOUSING STABILITY AND ENERGY AND GREEN RETROFIT INVESTMENTS PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, P. L. 111-5, Title XII :050

**OBJECTIVES:** Grants or loans for energy retrofit and green investments in assisted housing.

**OBJECTIVES:**

Grants or loans for energy retrofit and green investments in assisted housing.

**TYPES OF ASSISTANCE:**

Project Grants (Special)

**USES AND USE RESTRICTIONS:**

New program to provide funding for energy and green retrofit investments to certain, eligible assisted, affordable multifamily properties, including incentives for participating property owners, a set-aside for administrative functions, and a set-aside for due diligence and underwriting support. Assistance will be for specific retrofit purposes.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Eligible owners must have at least a satisfactory management review rating, be in substantial compliance with applicable performance standards and legal requirements, and commit to an additional period of affordability determined by the Secretary, but of not fewer than 15 years. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential Applicants will be notified by publication of a Notice containing all program details and application procedures and requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible owners will apply electronically via HUD web address, and required application with forms and exhibits (all will be available via Agency website and referenced and linked in the Notice) will be mailed to Agency headquarters address to be specified in the Notice.

**Award Procedure:**

All eligible owners submitting complete applications will be accepted on a first-come, first-served basis subject to certain limitations by category, until the funding is spent.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Recipients must spend all funds within 24 months of receipt.

Generally approval or disapproval will take 120-180 days from application. It may take as little as one day for disapproval (ineligible owner, incomplete application), and as much as 18 months for final approval/disapproval if a full Mark-to-Market debt restructure is completed concurrent with the award under this program.

**Appeals:**

Not Applicable.

**Renewals:**

Only one grant or loan can be made for each property under this program.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Allocations based on portfolio pro rata share of funds (by housing units), property size, owner entity, and geographic distribution. No matching requirements unless i) there are excess funds in the residual Receipts or Reserves for Replacement account, in which case those excess funds will match up to 50% of funds from this program, or ii) the property is less than 100% assisted through HUD rental property assistance programs, in which case the property owner will have to pay the proportional cost of improvements for all non-assisted units.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Anticipated to be 100% obligated and spent within two years of passage (by February 17, 2011). Receiving property owners are required to spend the funds

on the specific improvements within two years of receipt. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Owners will be required to submit reports compliant with American Recovery and Reinvestment Act (ARRA) and OMB requirements. Receiving owners must report independently-verified progress on rehabilitation in order to request construction draws from program-funded escrow accounts. Owners must continue to comply with all other reporting requirements of the various HUD loan and subsidy program under which they operate, generally including annual, electronically-filed financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy, and verification and certification of qualifying resident incomes. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The property owner must permit HUD to independently inspect the property to ensure final and satisfactory completion of all program-funded improvements. The owner must also permit HUD to review and audit the management and maintenance of the project at a

**Records:**

HUD will maintain detailed records of program grant and loan supporting documents. Loans, mortgages, use agreements and regulatory agreements will be publicly recorded in the respective jurisdictions.

**Account Identification:**

86-0306-0-1-604 - 86-0306 2009/2010.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$50,000,000; FY 10 est \$175,000,000

**Range and Average of Financial Assistance:**

Range of between \$0 and \$15,000 per housing unit, with an anticipated average of approximately \$10,000 per housing unit. With an average property size of approximately 60 units per property, the average per property funding is anticipated to be approximately \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a new program, though it builds on the MAHRA/Mark-to-Market program. Mark-to-Market has rehabilitated over 150,000 housing units nationwide since 2000. Since 2008, this rehabilitation has included energy and green retrofit improvements through the Green Initiative, the predecessor to this new program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice to be published.

**Regional or Local Office:**

See Regional Agency Offices. OAHF, 1280 Maryland Ave, SW, suite 380, Washington, DC 20024  
OAHF, 26 Federal Plaza, Room 32-102, New York, NY 10278  
OAHF, 77 West Jackson Blvd, Room 2301, Chicago, IL 60604.

**Headquarters Office:**

Theodore Toon US Department of Housing and Urban Development, Office of Affordable Housing Preservation, 451 7th St, SW, Suite 6230, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 708-0001

**Website Address:**

<http://www.hud.gov/recovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A feasibility analysis will be conducted on each accepted property to determine whether or not a grant or loan will be offered (feasibility is required by the Recovery Act). If feasible a detailed physical and financial analysis will be

conducted by the Agency to determine final feasibility, and to size the appropriate grant or loan; such grant or loan will be offered to the owner. If accepted, the funds will establish an escrow account to fund the improvements and owner incentives.

**14.400 EQUAL OPPORTUNITY IN HOUSING**

Fair Housing

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act, 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide fair housing throughout the United States and an administrative enforcement system which is subject to judicial review.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

With limited exceptions, no housing offered commercially for sale or rental, may be advertised, sold, leased out, financed or appraised in a manner which discriminates on the basis of race, color, national origin, religion, sex, disability or familial status (the presence of children under the age of 18 in a household or a pregnant woman). In addition, housing providers and others must allow reasonable modifications to units and provide reasonable accommodations when these are necessary to allow a person with a disability full housing rights. Finally, multi-family housing built for occupancy after March 13, 1991, must comply with the Accessibility Guidelines established. Complaints of discrimination are investigated and conciliated. When conciliation is unsuccessful and where investigation indicates reasonable cause to believe that discrimination occurred or is about to occur, complainants may pursue their complaints before an Administrative law judge or in Federal district court (The Department of Justice litigates on behalf of complainants in Federal district court, or HUD litigates on their behalf in the administrative forum). Also conferences and training sessions are held to explain rights and responsibilities under the law to attorneys, developers, the real estate industry and the general public.

**Applicant Eligibility:**

Any aggrieved person, or the Assistant Secretary, may file a complaint based on an alleged discriminatory housing practice because of race, color, religion, sex, familial status, disability, or national origin. The complaint may be filed with the Department of Housing and Urban Development or a State or local fair housing agency with processes, procedures and remedies substantially equivalent to those of the Department, and which the Department has approved.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complaints may be sent to any HUD Field Office, or to HUD's Washington, DC Headquarters.

**Award Procedure:**

None.

**Deadlines:**

Jun 12, 2009 An administrative complaint must be filed with HUD within one year of the alleged discriminatory act.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Depends upon result of complaint processing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

86-0333-0-1-604 - Salaries and Expenses Executive Direction;

86-0340-0-1-751 - Salaries and Expenses Personnel Services.

**Obligations:**

(Salaries) FY 08 \$63,140,000; FY 09 est \$69,021,000; FY 10 est \$71,800,000.

(Salaries) FY 08 \$1,797,000; FY 09 est \$691,027; FY 10 est \$928,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During Fiscal Year 2008, 2,123 cases were filed with HUD, another 8,429 cases were filed with State and local agencies. Many of these cases were settled, achieving relief for the complainants and commitments to conduct activities that would further fair housing. Settlements by both HUD and the State and local agencies had a total monetary value of approximately \$6,704,486 (does not include HUD ALJ or DOJ closure of HUD complaints). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations implementing the Fair Housing Act, 24 CFR Part 100; "Fair Housing It's Your Right," English (HUD-1686-FHEO); Fair Housing - Complaint Processing, 24 Part 103; Administrative Proceedings Under Section 812 of the Fair Housing Act, 24 CFR Part 180; Consolidated HUD Hearing Procedures for Civil Rights Matters Certification of Substantially Equivalent Agencies, 24 CFR 115; Preamble to Final Rule Implementing Fair Housing Amendments Act of 1988, 54 Federal Register 3232 (1989); CFR Ch I, Subch. A, App II.

**Regional or Local Office:**

None. HUD Fair Housing and Equal Opportunity Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lynn M. Grosso 451 7th Street, S.W., Room 5226, Washington, Florida 20410  
Email: Lynn.M.Grosso@hud.gov Phone: 202 708-2904

**Website Address:**

<http://www.hud.gov/complaints/housediscrim.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.401 FAIR HOUSING ASSISTANCE PROGRAM\_STATE AND**

**LOCAL**

(FHAP)

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide assistance to State and local fair housing enforcement agencies for complaint processing, training, technical assistance, education and outreach, data and information systems and other activities that will further fair housing within the agency's jurisdiction. The intent of the Fair Housing Assistance Program (FHAP) is to build a coordinated intergovernmental enforcement of fair housing laws and provide incentives for States and localities to assume a greater share of responsibility for administering fair housing laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local fair housing enforcement agencies in the first year of participation in the FHAP receive a fixed amount of funding to build the capacity of the agency to enforce substantially equivalent fair housing laws. Agencies in the second year and beyond are eligible to receive contributions funding which provides funds for complaint processing, administrative costs, and training associated with the enforcement of a substantially equivalent fair housing law.

**Applicant Eligibility:**

Application for participation from State and local government agencies is encouraged for jurisdictions with current or new/pending State and local fair housing laws and ordinances. The funding process includes a requirement to obtain HUD interim certification of the applicant agency's State and local fair housing laws and ordinances as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act. Eligible applicants include State and local government fair housing enforcement agencies administering State and local fair housing laws and ordinances which have been interim certified by HUD as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act and which have executed formal written Agreements with HUD to process housing discrimination complaints.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by a discriminatory housing practice because of race, color, religion, sex, handicap, familial status or national origin.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**



Statutory Formula: Title Certification and Funding of State and Local Fair Housing Enforcement Agencies, Chapter 24, Part 115.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are executed for one year, they are non-competitive, and provide funding for complaint processing, administrative costs, and training for contribution agencies. Capacity building funds are also provided under a cooperative agreement for a one year period. For detailed program information under each funding component, contact the Fair Housing and Equal Opportunity Region or Headquarters Office. Fixed price cooperative agreements are anticipated to be awarded with payments to be made in accordance with a schedule of dates set out in the cooperative agreements. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

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

**Records:**

State and local agencies are required to maintain housing discrimination complaint files for a period of one year after closure.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Formula Grants) FY 08 \$25,620,000; FY 09 est \$25,500,000; FY 10 est \$29,500,000. (Formula Grants (Cooperative Agreements)) FY 08 \$25,323,000; FY 09 est \$25,330,000; FY 10 est \$27,500,000

**Range and Average of Financial Assistance:**

Funding is provided for capacity building, complaint processing, training, and administrative costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, HUD added two additional jurisdictions to the program. Fiscal Year 2009: There are currently 110 state and local jurisdictions receiving funding under this program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 24 CFR Part 115 for regulations on the Certification and Funding of State and local Fair Housing Enforcement Agencies.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kenneth J. Carroll 451 7th Street, S.W., Room 5206, Washington, District of Columbia 20410 Email: Kennth.J.Carroll@hud.gov Phone: 202 402-7044

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHAP/index.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding to a state or local agency is contingent on appropriation from Congress and the state or local agency's enforcement of a law that, on its face and in operation, is substantially equivalent to the Fair Housing Act.

**14.408 FAIR HOUSING INITIATIVES PROGRAM**

(FHIP)

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private or not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices, as well as faith-based community-based organizations and State or local government agencies.

**Applicant Eligibility:**

State and local government agencies, public or private nonprofit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices. Applicants for funding of testing activities must have at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and enforcement of meritorious claims. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Fair housing enforcement organizations and nonprofit groups organizing to build their capacity to provide fair housing enforcement are also eligible applicants.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin. Also, any person or group of persons, including landlords and real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

.

**Deadlines:**

Oct 01, 2009 Contact the appropriate office identified in the Notices of Funding Availability within the time frames specified in the Notices.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grants.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010.

**Audits:**

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

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,510,000; FY 09 est \$50,701,000; FY 10 est \$44,500,000. (Cooperative Agreements) FY 08 \$1,200,000; FY 09 est \$1,200,000; FY 10 est \$1,320,000 - New BA.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FHIP funds are used to increase compliance with the Fair Housing Act and with substantially equivalent fair housing laws. HUD has awarded grants to affirmatively further fair housing in the amounts indicated

above. Grants were competitively awarded to emphasize enforcement and education and outreach activities based on the protected bases including race, color, religion, sex, disability, familial status and national origin. For FY 2008 approximately 94 grants were awarded. Enforcement related grants were given to assist private, tax exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Act and substantially equivalent State and local fair housing laws. Education and outreach grants were given to assist projects that inform the public about their rights and obligations under the Act and substantially equivalent State and local fair housing laws. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>.

**RELATED PROGRAMS:**

14.401 Fair Housing Assistance Program\_State and Local

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The types of projects funded included activities for discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination, including systemic discrimination; conducting testing or other investigative support for administrative and judicial enforcement of fair housing laws; and linking fair housing organizations regionally in enforcement activities. Additional projects funded included activities for establishing new fair housing enforcement organizations; discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination; and building the capacity of existing organizations to provide fair housing enforcement. Other projects included activities providing fair housing information to the public through public service announcements, advertisements, posters and brochures; providing fair housing counseling services; and developing fair housing training for educational institutions and members of the housing industry on fair housing rights and responsibilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.416 EDUCATION AND OUTREACH INITIATIVES**

FHIP

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist organizations that are regional, local, community (general and clinical law school component) and National Based ( Natural Media Campaign Component). To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

. Financial assistance is provided for projects to educate the public in order to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private- not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Costs for State and local government units will be determined in accordance with OMB Circular No. A-87. Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the Federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 18 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all

reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Quarterly progress reports will be required.

**Audits:**

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

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,800,000; FY 09 est \$3,100,000; FY 10 est \$7,180,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FHIP funds are used to increase compliance with the Fair Housing Act and with substantially equivalent fair housing laws. HUD has awarded grants to affirmatively further fair housing in the amounts indicated above. Grants were competitively awarded to emphasize enforcement and education and outreach activities based on the protected bases including race, color, religion, sex, disability, familial status and national origin. For FY 2008 approximately 94 grants were awarded. Education and outreach grants were given to assist projects that inform the public about their rights and obligations under the Act and substantially equivalent State and local fair housing laws. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

<http://www.hud.gov/offices/fheo/partners.FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects include activities providing fair housing information to the public through public service announcements, advertisements, posters and brochures; providing fair housing counseling services; and developing fair housing training for educational institutions and members of the housing industry on fair housing rights and responsibilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.417 FAIR HOUSING ORGANIZATION INITIATIVES**

FHIP

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and

Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist in the organizing of fair housing enforcement in order to develop, implement, carry out, or coordinate programs and/or activities that provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the Federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency and required by OMB Circular No. A-110.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. .

**Audits:**

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

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$0; FY 09 est \$2,100,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FHIP funds are used to increase compliance with the Fair Housing Act and with substantially equivalent fair housing laws. HUD has awarded grants to affirmatively further fair housing in the amounts indicated above. Grants were competitively awarded to emphasize enforcement and education and outreach activities based on the protected bases including race, color, religion, sex, disability, familial status and national origin. For FY 2008 approximately 94 grants were awarded. Enforcement related grants were given to assist private, tax exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Act and substantially equivalent State and local fair housing laws and build the capacity of existing fair housing organizations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The types of projects funded included activities for discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination, including systemic discrimination; conducting testing or other investigative support for administrative and judicial enforcement of fair housing laws; and linking fair housing organizations regionally in enforcement activities. Additional projects funded included activities for establishing new fair housing enforcement organizations; discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination; and building the capacity of existing organizations to provide fair housing enforcement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.418 PRIVATE ENFORCEMENT INITIATIVES**

FHIP

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist private and tax exempt fair housing enforcement in the investigation and enforcement of all alleged violations. To develop, implement, and carry out, related activities and enforcement under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include carrying out testing and other investigative activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

Tax exempt fair housing enforcement organizations.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Procedure: Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods ranging from 12 to 36 months. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Tax exempt fair housing enforcement organizations. Expenditure reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Tax exempt fair housing enforcement organizations.

**Audits:**

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

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$20,000,000; FY 09 est \$21,100,000; FY 10 est \$26,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FHIP funds are used to increase compliance with the Fair Housing Act and with substantially equivalent fair housing laws. HUD has awarded grants to affirmatively further fair housing in the amounts indicated above. Grants were competitively awarded to emphasize enforcement activities based on the protected bases including race, color, religion, sex, disability, familial status and national origin. For FY 2008 approximately 94 grants were awarded. Enforcement related grants were given to assist private, tax exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Act and substantially equivalent State and local fair housing laws. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The types of projects funded included activities for discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination, including systemic discrimination; conducting testing or other investigative support for administrative and judicial enforcement of fair housing laws; and linking fair housing organizations regionally in enforcement activities. Additional projects funded included activities for establishing new fair housing enforcement organizations; discovering and providing remedies for fair housing discrimination; conducting investigations of housing discrimination; and building the capacity of existing organizations to provide fair housing enforcement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.506 GENERAL RESEARCH AND TECHNOLOGY ACTIVITY****FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Title V of Housing and Urban Development Act of 1970, Public Law 111-8.

**OBJECTIVES:**

To carry out research, demonstration and program evaluation and monitoring projects of high priority and pre-selected by the Department to improve the operations of the Department's programs.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

HUD's Office of Policy Development and Research's (PD&R) funds are awarded through competitive procurement solicitations or Interagency Agreements with other Federal Agencies. Contracts and Interagency Agreement awards must comply with FAR requirements.

**Applicant Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Beneficiary Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Credentials/Documentation:**

Capacity and capability of applicant to perform research by contract under this program and to manage Federal funding. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Respond to Request for Proposals for Contracts.

**Award Procedure:**

Contact Proposals will be reviewed against criteria contained in the request for proposals issued by HUD's Office of the Chief Procurement Officer for procurement actions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As identified in request for proposals for competitive procurement awards.

**Appeals:**

Office of the Chief Procurement Officer for procurement actions and for all contractual matters.

**Renewals:**

As provided in agreement arrangements, if any.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As specified in the contractual agreement. Awards usually will not exceed twelve months. See the following for information on how assistance is awarded/released: Contract Award.

**Reports:****Audits:**

Not Applicable.

**Records:**

Full and accurate records must be maintained with respect to all matters covered in the agreement. Contracts awards are maintained in accordance with Departmental requirements.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Provision of Specialized Services) FY 08 \$28,447,000; FY 09 est \$34,800,000; FY 10 est \$49,600,000

**Range and Average of Financial Assistance:**

\$15,000 - \$20,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For competitive procurements, refer to the request for proposals.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dorothy E. Faison, 451 7th Street, SW, Washington, District of Columbia 20410 Email: dorothy.e.faison@Hud.Gov Phone: (202) 402-5840

**Website Address:**

<http://www.huduser.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Unsolicited proposals are not accepted.

#### **14.514 HISPANIC-SERVING INSTITUTIONS ASSISTING COMMUNITIES**

##### **FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Appropriation Act 2009 (Public Law 111-8, approved March 11, 2009).

##### **OBJECTIVES:**

To assist Hispanic-Serving Institutions of higher education (HSIs) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low-and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet the established Community Development Block Grant (CDBG) Program requirements and at least one of the three CDBG national objectives. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR Part 570.208. These funds are for the direct benefit of the community and/or public not the institution. Ineligible activities are listed in paragraph 570.207.

##### **Applicant Eligibility:**

Nonprofit Hispanic- Serving Institutions that meet the definition of an HIS of higher education established in Title V of the Higher Education Act of 1965 (20 U.S.C. 1101) as amended are eligible to submit applications for funding. In order to meet this definition, at least 25 percent of the full-time undergraduate student enrolled in an institution must be Hispanic. In addition, all applicants must be institutions of higher education granting two-or four-year degrees that are fully accredited by a national or regional accrediting agency recognized by the Department of Education.

##### **Beneficiary Eligibility:**

The principal beneficiaries of the program include any city, county, town, parish, village, any other political subdivision of a State, or certain U.S. territories within which the HSI is located.

##### **Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations". This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available online at Grants.gov

##### **Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

HUD may make grants available for up to a performance period of three-year. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

All grant recipients are required to submit semi-annual progress reports. The progress report shall consist of a narrative and financial report. In addition, annually a Program Logic Model must be submitted. Cash reports are not applicable. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. The financial report must reflect the costs incurred by budget line items, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance is monitored by HUD.

##### **Audits:**

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

##### **Records:**

Must be kept in accordance with the terms and conditions of the grant.

##### **Account Identification:**

86-0108-0-1-451.

##### **Obligations:**

(Project Grants (Discretionary)) FY 08 \$5,955,000; FY 09 est \$6,000,000; FY 10 est \$0 - In FY 2010, it is proposed that the OUP programs will be refocused into the University Community Fund and this program will be included. The new program will be funded from the Office of Community Planning and Development's Community Development Fund account.

##### **Range and Average of Financial Assistance:**

\$600,000 a grant for a maximum 3-year performance period.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, Subparts A, C, J, K and O. Provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations." Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov) Phone: (202) 402-3852

##### **Website Address:**

[www.oup.org](http://www.oup.org); or [www.hud.gov/grants](http://www.hud.gov/grants).

##### **RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the criteria listed in each NOFA.

**14.515 ALASKA NATIVE/NATIVE HAWAIIAN INSTITUTIONS ASSISTING COMMUNITIES****FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Appropriations Act 2009 (Public Law 111-8, approved March 11, 2009).

**OBJECTIVES:**

To assist Alaska Native/Native Hawaiian Institutions (AN/NHIs) of Higher Education expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for persons of low-and moderate-income, consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet the established Community Development Block Grant (CDBG) Program requirements and at least one of the three CDBG national objectives. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR Part 570.208. These funds are for the direct benefit of the community and/or public not the institution. Ineligible activities are listed in paragraph 570.207.

**Applicant Eligibility:**

Nonprofit Alaska Native and Native Hawaiian Institutions of higher established in Title III, Part A, Section 317 of the Higher Education Act of 1965, as amended by the Higher Education Amendments of 1998 (Public Law 105-244, enacted October 7 1998) are eligible to submit applications for funding. Institutions are not required to be on the list of eligible ANI/NHI prepared by the Department of Education. However, an institution that is not on the list is required to provide a statement that certifies that they meet the statutory definition of an ANI or NHI. Each autonomous campus of an ANI or NHI is permitted to submit a separate application as long as they have a separate administrative structure and budget.

**Beneficiary Eligibility:**

The principal beneficiaries of the program include any city, county, town, parish, village, any other political subdivision of a State within which an ANI or NHI is located.

**Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available online at Grants.gov

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to

make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD may make grants available for up to a performance period of three-years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All grant recipients are required to submit quarterly progress reports. The report shall consist of a narrative and financial report. In addition, annually a Program Logic Model must be submitted. No cash reports are required. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. The financial report must reflect the costs incurred by budget line items, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance is monitored by HUD.

**Audits:**

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

**Records:**

Records must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$3,000,000; FY 09 est \$3,000,000; FY 10 est \$0 - In FY 2010, it is proposed that the OUP programs will be refocused into the University Community Fund and this program will be included. The new program will be funded from the Office of Community Planning and Development's Community Development Fund account.

**Range and Average of Financial Assistance:**

\$800,000 a grant for a maximum 3-year performance period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, subparts A, C, J, K and O. Provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations." Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at www.oup.org.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852



Fax: 2027080309

**Website Address:**

<http://www.oup.org> ; or [www.hud.gov/grants](http://www.hud.gov/grants) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the criteria listed in each NOFA.

**14.516 DOCTORAL DISSERTATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Appropriations Act 2009 (Public Law 111-8, approved March 11, 2009).

**OBJECTIVES:**

To enable doctoral candidates enrolled at institutions of higher education accredited by a national or regional accrediting agency recognized by the Department of Education to complete their research and dissertations on policy-relevant housing and urban development issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Costs incurred in the timely completion of a dissertation including stipends, computer software, the purchase of data, travel expenses to collect data, transcription services, and compensation for interviews. Grants cannot be used for tuition, computer hardware, or meals. Indirect cost and honorariums cannot be charged under this program.

**Applicant Eligibility:**

Applicants must be accredited institutions of higher education recognized by the Department of Education that sponsor doctoral students who are currently enrolled and matriculating and have been accepted into candidacy in an accredited doctoral program. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution).

**Beneficiary Eligibility:**

Beneficiaries are doctoral students.

**Credentials/Documentation:**

Doctoral students must meet the following requirements: (1) Be currently enrolled as a full-time student in an accredited doctoral program; (2) and either a U.S. citizen or U.S. national (such as a person born in Swains Island or American Samoa) with the meaning of 8 U.S.C. 1408 or be a lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) or other qualified alien (such as an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. 1651 (b); (3) By the application deadline date, the student's dissertation propose/prospectus has been accepted by the full dissertation committee; (3) The student will have an assigned dissertation advisor; (4) By September 1, 2009, the student will have satisfactorily completed all other written and oral doctoral degrees requirements, including all examinations, except the dissertation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education that sponsor a doctoral

student are the official applicants. However, the sponsor doctoral student is responsible for the completion of the application with the assistance of the institution. Students will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available online at [Grants.gov](http://Grants.gov).

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards will be made to the highest-ranking applications. If a doctoral student turns down the award offered, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD makes grants available for a performance period of two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All grant recipients are required to submit a progress report and Program Logic Model halfway through the grant period. At the end of the grant performance period, doctoral students must submit to HUD two copies and a CD-Rom containing an electronic copy of the approved dissertation in its final version and a final complete Logic Model, as well as a signed letter of approval from the dissertation committee. No cash reports are required. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The institution must maintain information on grant disbursement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$300,000; FY 09 est \$200,000; FY 10 est \$250,000

**Range and Average of Financial Assistance:**

\$25,000 a grant for a maximum two-year performance period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on [Grants.gov](http://Grants.gov). More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov) Phone: (202) 402-3852

**Website Address:**

<http://www.oup.org> and [www.hud.gov](http://www.hud.gov).

**RELATED PROGRAMS:**

14.517 Early Doctoral Student Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A competitive process is used in selecting grants. Criteria will be published in the annual NOFA.

**14.517 EARLY DOCTORAL STUDENT RESEARCH GRANTS****FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Title V of the U.S. Housing and Urban Development Act of 1970 as amended.

**OBJECTIVES:**

To enable pre-candidacy doctoral students enrolled at institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education to cultivate their research skills through the preparation of research manuscripts that focus on policy-relevant housing and urban development issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Costs incurred in the timely completion of a research manuscript including stipends, computer software, the purchase of data, travel expenses to collect data, transcription services, and compensation for interviews. Grants cannot be used for tuition, computer hardware, or meals. Indirect cost and honorariums cannot be charged under this program.

**Applicant Eligibility:**

Applicants are accredited institutions of higher education recognized by the Department of Education that sponsor doctoral students who are currently enrolled and matriculating and who are in pre-candidacy in an accredited doctoral program. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution).

**Beneficiary Eligibility:**

Beneficiaries are doctoral students.

**Credentials/Documentation:**

Doctoral students must meet the following requirements: (1) Be currently enrolled as a full-time student in an accredited doctoral program; (2) Be a U.S. citizen or U.S. national (such as a person born in Swains Island or American Samoa) with the meaning of 8 U.S.C. 1408 or be a lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) or other qualified alien (such as an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. 1651 (b); (3) Have a major or concentration within a field related to housing and urban development (4) Have not taken the preliminary/comprehensive examinations (5) Completed at least two semesters or three terms of their doctoral studies program (depending on the course structure of the institution); and (6) Have an assigned faculty advisor to supervise the research manuscript. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application requirements will appear in a Federal Register Notice of Funding Availability (NOFA) and online at Grants.gov. This is a competitive process.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards will be made to the highest-ranking applications. If a doctoral student

turns down the award offered, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

No funding is available this year under this program to award grants.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD makes grant available for a performance period of one year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All grant recipients are required to submit a progress report and Program Logic Model halfway through the grant period. At the end of the grant performance period, the doctoral student must submit to HUD two copies and a CD-Rom containing an electronic copy of the manuscript, as well as final Logic Model. Cash reports are not applicable. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

The institution must maintain information on grant disbursement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$100,000; FY 09 est \$0; FY 10 est \$150,000 - In FY 2009 no funding is available for awarding grants under this program.

**Range and Average of Financial Assistance:**

\$15,000 a grant for a maximum one year performance period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants will respond to competitive requirements contained in the Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov) Phone: (202) 402-3852 Fax: (202) 708-0309.

**Website Address:**

<http://www.oup.org> and [www.hud.gov](http://www.hud.gov).

**RELATED PROGRAMS:**

14.516 Doctoral Dissertation Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A competitive process is used in selecting grants. Criteria will be published in the annual NOFA.

## **14.519 TRIBAL COLLEGES AND UNIVERSITIES PROGRAM**

### **FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

### **AUTHORIZATION:**

Appropriation Act 2009 (Public Law 111-8, approved March 11, 2009).

### **OBJECTIVES:**

To assist Tribal Colleges and Universities (TCU) build, expand, renovate, and equip their own facilities, and to expand the role of the TCUs into the community through the provision of needed services such as health programs, job training, and economic development activities.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Grant funds can be used by tribal colleges to build, expand, renovate, and equip their own facilities. In addition, public services and program delivery activities for the community such as health programs, job training and economic development are eligible activities.

### **Applicant Eligibility:**

Tribal Colleges and Universities that meet the statutory definition of a TCU established in Title III of the 1998 Amendments to the Higher Education Act of 1965 (Public Law 105-244, approved October 7, 1998) that are two-or four-year, fully accredited or that are candidates for accreditation by a regional institutional accrediting association recognized by the Department of Education are eligible to submit applications for funding.

### **Beneficiary Eligibility:**

Tribal Colleges and Universities to help build, expand, renovate, and equip their own facilities. Buildings for which TCUP funding is used that also serves the community are eligible; however, the facilities must be predominantly (at least 51 percent of the time) for the used of the institution (e.g., students, faculty, and staff). In addition, public services and program delivery activities for the community such as health programs, job training and economic development are eligible activities.

### **Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Nonprofit Organizations; and (3) provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations". This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register each year and available online at Grants.gov.

### **Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

HUD may make grants available for a performance period of three years.

Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

All grant recipients are required to submit quarterly progress reports. The progress report shall consist of a narrative and financial report. In addition, annually a Program Logic Model must be submitted. Cash reports are not applicable. The narrative portion of the report must reflect the activities undertaken during the reporting period. The financial reports must reflect the costs incurred by budget line items, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance is monitored by HUD.

### **Audits:**

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

### **Records:**

Must be kept in accordance with the terms and conditions of the grant.

### **Account Identification:**

86-0108-0-1-451.

### **Obligations:**

(Project Grants (Discretionary)) FY 08 \$5,000,000; FY 09 est \$5,000,000; FY 10 est \$0 - In FY 2010, it is proposed that the OUP programs will be refocused in the University Community Fund and this program will be included. The new program will be fund from the office of Community Planning and Development's Community Development Fund account.

### **Range and Average of Financial Assistance:**

\$800,000 a grant for a maximum three-year grant performance period.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by (1) OMB Circular No. A-133 "Audits of States, Local Governments, and Nonprofit Organizations; and (2) provisions of 24 CFR Part 84, "Grant Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations." Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov) Phone: (202) 402-3852 Fax: (202) 708-0309.

### **Website Address:**

<http://www.oup.org> or [www.hud.gov](http://www.hud.gov).

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

Will be listed in a NOFA each year.

#### **14.520 HISTORICALLY BLACK COLLEGES AND UNIVERSITIES PROGRAM**

##### **FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Appropriation Act 2009 (Public Law 111-8, approved March 11, 2009).

##### **OBJECTIVES:**

To assist Historically Black Colleges and Universities (HBCUs) expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, principally for person of low-moderate income consistent with the purposes of Title I of the Housing and Community Development Act of 1974 as amended.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Each activity proposed for funding must meet the established Community Development Block Grant (CDBG) Program requirements and at least one of the three CDBG national objectives. Criteria for determining whether an activity addresses one or more objectives are provided at 24 CFR Part 570.208. These funds are for the direct benefit of the community and/or public not the institution. Ineligible activities are listed in paragraph 570.207. An activity which is otherwise eligible, may not be funded if State or local law requires that it be carried out by a governmental entity.

##### **Applicant Eligibility:**

Historically Black Colleges and Universities as determined by the Department of Education in 34 CFR 608.2 pursuant to that Department's responsibilities under Executive Order 13256, dated February 12, 2002.

##### **Beneficiary Eligibility:**

The principal beneficiaries of the Historically Black Colleges and Universities program will include any city, county, town, township, parish, village, or other general political subdivision of a State within which the HBCU is located. A HBCU located in a metropolitan statistical area, as established by the Office of Management and Budget, may consider its locality to be one or more of these entities within the entire area.

##### **Credentials/Documentation:**

Grants are governed by (1) OMB Circular No. A-21 "Cost Principles for Educational Institutions; (2) OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations; and (3) provisions of 24 CFR part 84 "Grant Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations". This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available online at Grants.gov

##### **Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking applications. HUD reserves the right to make selections out of order to provide geographic distribution of grantees. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

HUD may make grants available for up to a performance periods of three-years. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

All grant recipients are required to submit quarterly progress reports. The progress report shall consist of a narrative and financial report. In addition, annually a Program Logic Model must be submitted. No cash reports are required. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. The financial report must reflect the costs incurred by budget line items, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance is monitored by HUD.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular No. A-133 establishes audit requirements and defines Federal responsibilities for implementing and monitoring such requirements of higher education and other nonprofit institutions receiving Federal awards. It promotes the efficient and effective use of audit services.

##### **Records:**

Must be kept in accordance with the terms and conditions of the grant.

##### **Account Identification:**

86-0108-0-1-451.

##### **Obligations:**

(Project Grants (Discretionary)) FY 08 \$9,481,000; FY 09 est \$9,000,000; FY 10 est \$0 - In FY 2010, it is proposed that the OUP programs will be refocused into the University Community Fund and this program will be included. The new programs will be funded from the Office of Community Planning and Development's Community Development Fund account.

##### **Range and Average of Financial Assistance:**

\$800,000 a grant for a maximum three-year grant performance period.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by regulations contained in 24 CFR 570.400 and 570.404 and 24 CFR Part 570, Subparts A, C, J, K and O. Provisions of 24 CFR Part 84 "Grant Agreements with Institutions of Higher Education, Hospitals, and Nonprofit Organizations." Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at www.oup.org.

##### **Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in the General Section of the NOFA.

##### **Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852

Fax: 2027080309

**Website Address:**

<http://www.oup.org/> or [www.hud.gov/grants](http://www.hud.gov/grants).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each NOFA.

**14.850 PUBLIC AND INDIAN HOUSING**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide and operate cost-effective, decent, safe and affordable dwellings for lower income families through an authorized local Public Housing Agency (PHA).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Operating subsidy funds are provided to PHAs to achieve and maintain adequate operating and maintenance service and reserve funds. Funds are made to PHAs based on the extent to which their projected total allowable expenses (as determined by formula) exceed their projected income (also as determined by formula) from rents and other sources. Use restricted to activities specified in the Housing and Community Development Act of 1937, Section 9 (e), Operating Fund.

**Applicant Eligibility:**

Public Housing Agencies established in accordance with State law are eligible. The proposed program must be approved by the local governing body. Pursuant to the Native American Housing Assistance and Self Determination Act of 1996, Indian Housing Authorities (IHAs) are no longer eligible for funding under the U.S. Housing Act (of 1937) or the Indian Housing Act.

**Beneficiary Eligibility:**

Lower income families which include citizens or eligible immigrants. The term "Families" includes but is not limited to: (1) a family with or without children; (2) an elderly family (head, spouse, or sole member 62 years or older), (3) near elderly family (head, spouse, or sole member 50 years old but less than 62 years old); (4) a disabled family; (5) a displaced family; (6) the remaining member of a tenant family; or (7) a single person who is neither elderly, near-elderly, displaced, or a person with disabilities.

**Credentials/Documentation:**

The applicant must support the application/proposal by furnishing data that the program is consistent with the Public Housing Agency (PHA) Plan (Quality Housing and Work Responsibility Act of 1998). The PHA Plan is designed for both long-term and short-term strategies for addressing the housing needs of the community. The proposed program should demonstrate that it is responsive to the PHA Plan by identifying conditions of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, persons with disabilities, large families and those displaced or who will be displaced) residing in or expected to reside in the community. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. PHAs may submit a full proposal (HUD-52483-A) which includes, but is not limited to a project description, development method, offer of sale of real property, site information and financial feasibility pursuant to 24 CFR Part 941 and Handbook 7417.1 REV-1 and, if applicable, additional statutory or policy requirements governing the funds provided for the particular fiscal year. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Usually the HUD Field Office Manager makes final decision to approve individual applications. Also, agencies must have Annual Contribution Contract and Cooperative Agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the deadline for applications for processing applications/proposals.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory Formula: Title Operating Fund, Part 24 CFR, Subpart 990.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Contributions made annually for up to 30 years for development and 20 years for modernization program reservations approved through September 30, 1986 for projects with permanent financing. Annual appropriations of capital funds for development and modernization started October 1, 1986. Projects funded with capital funds after October 1, 1986 will have contract terms of 40 years. See the following for information on how assistance is awarded/released: Funding is provided based on submission of Operating Fund calculation (Form HUD-52723 and HUD-52722).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial statements are required from PHAs annually. Submission of family report (HUD-50058) is required from PHAs.

**Audits:**

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

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract.

**Account Identification:**

86-0163-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$3,525,119,720; FY 09 est \$3,739,658,948; FY 10 est \$3,866,531,618

**Range and Average of Financial Assistance:**

From \$615 to \$815,186,007; Average \$1,335,465.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made available \$4.19 billion in operating

subsidies for approximately 1.2 million public housing units. Fiscal Year 2009: The Department will make available \$4.4 billion in operating subsidies for approximately 1.2 million public housing units. Fiscal Year 2010: The Department projects to make available \$4.6 billion in operating subsidies for approximately 1.2 million public housing units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 990, 24 CFR 941, Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook), Handbook 7465.1 Rev-2. (Public Housing Occupancy: Admission).

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Gregory Byrne 451 7th Street, S.W., Washington, District of Columbia 20451  
Email: gregory.a.byrne@hud.gov Phone: 202.475.8632

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/am/>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.867 Indian Housing Block Grants; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.856 LOWER INCOME HOUSING ASSISTANCE PROGRAM\_SECTION 8 MODERATE REHABILITATION**

(Section 8 Housing Assistance Payments Program for Very Low Income Families-Moderate Rehabilitation)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe and sanitary housing for very low income families at rents they can afford. Housing assistance payments are used to make up the difference between the approved rent due to the owner for the dwelling unit and the occupant family's required contribution towards rent. Assisted families must pay the highest of 30 percent of their monthly adjusted family income, 10 percent of gross family income, or the portion of welfare assistance designated for housing toward rent. This program is inactive, i.e., no new projects are being approved.

**Applicant Eligibility:**

An authorized Public Housing Agency (any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof).

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area adjusted for small and large families). A very low income or, on an exception basis, lower income single person who is elderly, disabled or handicapped, displaced, or the remaining member of an eligible tenant family is also eligible.

**Credentials/Documentation:**

This program is no longer funded for new applications and awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

No applications for new projects are being accepted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Eligible owners may request a one-year Housing Assistance Payments Contract renewal. Requests must be made at least 75 days prior to Contract expiration.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under the Moderate Rehabilitation Program, payments may be made for 180 days. Assistance may be extended for 12 months at a time when an eligible owner requests a Housing Assistance Payments Contract renewal. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; and Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; Report on Program Utilization, HUD Form 52683; Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B;. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Assistance Payments Contract.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$182,269,074; FY 09 est \$170,000,000; FY 10 est \$179,000,000

**Range and Average of Financial Assistance:**

\$6,021 to \$16,555,911; Average \$904,849.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 26,578 families were served by this program. Fiscal Year 2009: The program projects to serve 26,951 families. Fiscal Year 2010: The program projects to serve 25,617 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882; Section 8 Housing Assistance Payments Program, Existing Housing and Moderate Rehabilitation Processing Handbook, 7420.3; PHA Administrative Practices Handbook for the Section 8 Existing Housing Program, 7420.7; Accounting Handbook 7420.6; Section 8 Rental Certificate, Rental Voucher, and Moderate Rehabilitation Programs Forms, Legal Contracts and Publications, Handbook 7420.7; PIH Notice 2001-13.

**Regional or Local Office:**

See Regional Agency Offices. The HUD Office listed in the Catalog Address Appendix IV has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Laure Rawson 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: 202-708-0477

**Website Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.862 INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974.

**OBJECTIVES:**

To provide assistance to Indian tribes and Alaska Native villages in the development of viable Indian communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Indian tribes and Alaska Native villages may use block grants to improve the housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing rehabilitation programs, acquisition of land for housing, direct assistance to facilitate homeownership among low and moderate income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects particularly those by nonprofit tribal organizations or local development corporations when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Tribes and Alaska Native villages are restricted from using block grants for construction and improvement of governmental facilities, the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction (except through community-based development organizations (CBDOs)), and income payments.

**Applicant Eligibility:**

Any Indian tribe, band, group, nation, or tribal organization, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village that is eligible for assistance under the Indian Self-Determination and Education Assistance Act or which had been eligible under the State and Local Fiscal Assistance Act of 1972.

**Beneficiary Eligibility:**

The principal beneficiaries of ICDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income, as determined by HUD, adjusted for family size.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which describe the community development need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) Area Office is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, usually within two years. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

No program reports are required. Grant recipients are required to submit quarterly financial reports. Grant recipients are required to submit annual status and evaluation reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$55,730,464; FY 09 est \$65,000,000; FY 10 est \$65,000,000

**Range and Average of Financial Assistance:**

\$238,225 to \$5,550,000; Average \$688,030.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program provided funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2009: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2010: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1003.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Office of Native American Programs (ONAP) Area Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/icdbg.cfm>.

**RELATED PROGRAMS:**

14.250 Rural Housing and Economic Development; 14.867 Indian Housing Block Grants; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village which has the capacity to administer a grant. Applications are then rated against factors which measure impact and quality.

**14.865 PUBLIC AND INDIAN HOUSING\_INDIAN LOAN GUARANTEE PROGRAM**

(Loan Guarantees for Indian Housing)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Public Law 102-550, 12 U.S.C 1515z - 13a.

**OBJECTIVES:**

To provide homeownership opportunities to Native Americans, Tribes, Indian Housing Authorities including Tribally Designated Housing Entities (TDHEs), and Indian Housing Authorities on Indian land, through a guaranteed mortgage loan program available through private financial institutions.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Mortgage loans are for the acquisition or rehabilitation of existing homes, purchase and rehabilitation of a home or construction of a new home; and refinancing of existing debt (FY 03). The financial institution which originates the mortgage loan must meet certain requirements noted in the law.

**Applicant Eligibility:**

The loan applicant must be members of a federally recognized Indian tribe, band or community, which includes Native Americans, Alaska Natives, or an Indian Housing Authority including a Tribally Designated Housing Authority (TDHE) or a Tribe which meets certain requirements. Applicant eligibility is

validated by current enrollment in a federally recognized tribe.

**Beneficiary Eligibility:**

The homeowner is the ultimate beneficiary of the program. When the Indian Housing Authority, TDHE or Tribe is the homebuyer, they may then rent the property. In these cases, the person renting the home would be an indirect beneficiary.

**Credentials/Documentation:**

Loan applicants must provide the lender with documentation on eligibility, assets, income, debts and liabilities to show ability to obtain and repay the mortgage loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer must submit documentation such as pay stubs, W-2 forms (income tax returns if self-employed), evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender verifies the land status of the proposed property.

**Award Procedure:**

The financial institution obtains and reviews all documentation and forwards it to HUD's Office of Native American Programs. HUD sends the Section 184 Loan Guarantee Firm Commitment Form to the Lender if the mortgage meets the Section 184 Program underwriting criteria. The financial institution is responsible for assuring Tribal eligibility, land status, property acceptability and the creditworthiness of the loan applicant. HUD has responsibility for the approval or disapproval of the loan (the application for loan guarantee). Eligible lenders may originate loans under the Direct Guarantee Program. Direct Guarantee lenders underwrite, approve and close the loan prior to submission to HUD for the Loan Guarantee Certificate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. There are no specific time requirements for the processing of these loans.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval if the applicant can provide additional documentation to resolve the issues which lead to the disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan cannot exceed 30 years. The processing time varies from time of application to the time the loan closes, but in general will average from 30 to 120 days unless there are significant land issues. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

Participating financial institutions must provide HUD with copies of loan files and must report to HUD on the status of the loan, once it has closed. No cash reports are required. Progress reports are part of the reporting process described above. Expenditure reports are not applicable. Performance monitoring is also part of the reporting process described above.



**Audits:**

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

**Records:**

Copies of loan files are maintained by HUD. The lender that originates the loan must maintain a copy of the loan file for 2 years after loan closing. The lender that services the loan must maintain the loan file for the life of the loan plus 3 years.

**Account Identification:**

86-0223-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$307,455,775; FY 09 est \$420,000,000; FY 10 est \$919,000,000

**Range and Average of Financial Assistance:**

The average loan amount in FY 2008 was \$175,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of September 30, 2008, 6,627 loans totaling \$940 million had been guaranteed (cumulative over the life of program). Fiscal Year 2009: The program projects to guarantee 1700 loan for \$280.5 million in loan guarantees. Fiscal Year 2010: The program projects to guarantee 1,700 loans for \$280.5 million in loan guarantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1005; a Guidebook and literature is available from HUD's Office of Native American Programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/184>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.866 DEMOLITION AND REVITALIZATION OF SEVERELY DISTRESSED PUBLIC HOUSING**

(HOPE VI)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriation Act 2009, Public Law 111-8.

**OBJECTIVES:**

Revitalization Grants enable PHAs to improve the living environment for public housing residents of severely distressed public housing projects through the demolition, substantial rehabilitation, reconfiguration, and/or replacement of severely distressed units; revitalize the sites on which severely distressed public housing projects are located and contribute to the improvement of the surrounding neighborhood; lessen isolation and reduce the concentration of low-income families; build sustainable mixed-income communities; and provide well-coordinated, results-based community and supportive services that

directly complement housing redevelopment and that help residents to achieve self-sufficiency, young people to obtain educational excellence, and the community to secure a desirable quality of life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

HOPE VI Revitalization grant funds may be used to fund the revitalization of severely distressed public housing developments. Such activities include the demolition of severely distressed public housing developments or portions thereof; relocation costs for affected residents; disposition activities; rehabilitation of existing public housing units and/or community facilities; development of new public and other housing units and community facilities; homeownership activities; acquisition activities; necessary management improvements and administrative costs; and community and supportive services. Up to 15 percent of a grant may be used for community and supportive services activities.

**Applicant Eligibility:**

For HOPE VI Revitalization Grants, Public Housing Agencies (PHAs) operating public housing units are eligible to apply. Indian Housing Authorities and PHAs that only administer the Section 8 Program are not eligible to apply.

**Beneficiary Eligibility:**

For HOPE VI Revitalization Grants, the ultimate beneficiaries are residents of the severely distressed public housing and residents of the revitalized development.

**Credentials/Documentation:**

Eligibility requirements to apply for a HOPE VI grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicant indicates on the SF-424 (Application for federal assistance) whether they are subject to E.O 12372 or not. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2009, the issuance of the NOFA is announced in the Federal Register. The NOFA and all necessary application materials are made available on the Grants.gov website and the HUD website.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to participate in the HOPE VI program. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 3 months from the application deadline date.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 1. Overall match of 5 percent.

2. Community and Supportive Services (CSS) match: if applicants are requesting over 5% of the grant to be used for CSS, they must provide match

for that amount that exceeds the 5% (note: per statute at most, 15% of the total grant may be used for CSS).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each year's grant agreement sets out the requirements regarding timetables and milestones. See the following for information on how assistance is awarded/released: Following execution of the HUD-1044 obligating document, HUD approves (over the life of the grant) budget requests from the grantee, releasing funds through HUD's financial system - Line of Credit Control System (LOCCS).

**Reports:**

No program reports are required. No cash reports are required. Grantees report quarterly into the HOPE VI Quarterly Progress Reporting system. This system is the central data source for the HOPE VI program on an individual grantee and aggregate level. Grantees report on such things as demolition, relocation, unit production, occupancy and financial information. HUD uses this system in order to develop its Annual Report to Congress on HOPE VI, and for other reporting purposes. The HOPE VI Quarterly Progress Reporting system includes extracts from LOCCS data on grant obligation and expenditures. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HOPE VI Revitalization grants are audited in conjunction with regular HUD or independent public accountant audits of PHA operations in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Copies of budgets and accumulative cost records through the grant period, and other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0349-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$189,033,902; FY 09 est \$113,600,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$939,000 to \$50,000,000 over the entire portfolio since inception; average amount \$16,207,782.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The HOPE VI Revitalization program demolished 4,374 units and completed 9,978 new and rehabilitated units. The program ensured that unit production was completed for 92 HOPE VI grants awarded from FY1993 through FY2004. Fiscal Year 2009: The HOPE VI Revitalization program projects to demolish 2,500 units and complete 6,000 new and rehabilitated units. The program projects ensuring that unit production is completed for 103 HOPE VI grants awarded from FY1993 through FY2004. Fiscal Year 2010: The HOPE VI Revitalization program projects to demolish 680 units and complete 8,000 new and rehabilitated units. The program projects ensuring that unit production is complete for 117 HOPE VI grants awarded from FY1993 through FY2004.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to its Home Page (<http://www.hud.gov/offices/pih/programs/ph/hope6/>) which provides Grantees with information on timelines, budgets, financial instructions, and other program guidance. HUD also publishes a Mixed- Finance Guidebook that is available to the public by calling (800) 955-2232.

**Regional or Local Office:**

None. The level of field office involvement in the administration of a project varies grant-by-grant. All HOPE VI Demolition grants are administered in the Field, and most Revitalization grants are administered in Headquarters. Applicants should contact the HUD Field Office listed on the internet at <http://www.hud.gov/local/> that has jurisdiction for their area.

**Headquarters Office:**

Leigh vain Rij, 451 7th Street, S.W., Room 4130, Washington, District of

Columbia 20410 Email: [leigh.e.vanrij@hud.gov](mailto:leigh.e.vanrij@hud.gov) Phone: (202) 402-5788.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/hope6/>

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.867 INDIAN HOUSING BLOCK GRANTS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act 2008, Public Law 110-411.

**OBJECTIVES:**

To provide Federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities. IHBG program activities are restricted to those listed in subpart B of the regulations at 24 CFR, part 1000.

**Applicant Eligibility:**

Indian tribes or tribally designated housing entities (TDHE) (to be eligible for Indian housing block grant funds the tribe or TDHE must submit an Indian housing plan that is in compliance with the requirements of Section 102 of NAHASDA).

**Beneficiary Eligibility:**

Primarily low-income families and in limited cases, over-income families may be eligible.

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public Law 93- 638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The environmental effects of each activity must be evaluated in accordance with the National Environmental Policy Act and 24 CFR parts 50 and 58. An environmental review does not have to be completed prior to HUD approval of an Indian Housing Plan. Both an impact statement or an impact assessment may be required. In some circumstances a project could be exempted from either or both. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Jul 01, 2009 Indian housing plans must be submitted prior to July 1st of each Federal Fiscal Year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indian Housing Block Grant funds are drawn down from the Treasury based on need using an electronic fund transfer disbursement and information system.

Within two years of grant award, no less than 90 percent of the grant must be obligated. See the following for information on how assistance is awarded/released: Upon execution of grant agreements, funds are drawn from HUD's financial system as needed.

**Reports:**

The Indian Housing Block Grant program requires an Annual Performance Report. No cash reports are required. Progress reports are a required part of the Annual Performance Report. In addition, expenditure reports should be included in the Annual Performance Report. No performance monitoring is required.

**Audits:**

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

**Records:**

Grants files are maintained by HUD for one year after grant close out and destroyed six years after the grant close out pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$550,043,796; FY 09 est \$635,250,000; FY 10 est \$643,000,000

**Range and Average of Financial Assistance:**

\$48,660 to \$80,191,669; Average \$1,022,779.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Native American Housing Block Grant (NAHBG) program assisted 4,192 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program also assisted 1,841 families by either building, acquiring, or substantially rehabilitating rental homes. It built 2,174 new units (rental and homeownership units) to relieve overcrowding in tribal communities. Fiscal Year 2009: Native American Housing Block Grant (NAHBG) program is projected to assist 4,415 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program is projected to assist 1,380 families by either building, acquiring, or substantially rehabilitating rental homes. It projects to build 1,400 new units (rental and homeownership units) to relieve overcrowding in tribal communities. Fiscal Year 2010: Native American Housing Block Grant (NAHBG) program is projected to assist 4,415 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program is projected to assist 1,380 families by either building, acquiring, or substantially rehabilitating rental homes. It projects to build 1,500 new units (rental and homeownership units) to relieve overcrowding in tribal communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1000.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Administrator, Office of Native American Programs at the appropriate area office (see Catalog Address Appendix IV for HUD Office of Native American Programs area office addresses in Chicago, Denver, Phoenix, Seattle, Oklahoma City and Anchorage).

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.250 Rural Housing and Economic Development; 14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.869 TITLE VI FEDERAL GUARANTEES FOR FINANCING TRIBAL HOUSING ACTIVITIES**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act (NAHASDA) of 2008, Public Law 110-411.

**OBJECTIVES:**

To assist an Indian tribe or Tribally Designated Housing Entity (TDHE) to obtain financing for affordable housing activities under Title II of NAHASDA where an obligation cannot be completed without such guarantee.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Limited to the eligible affordable housing activities listed in Section 202 of the NAHASDA to include Indian Housing Assistance, Development, Housing Services, Housing Management Services, Crime Prevention and Safety Activities, and Model Activities approved by the Secretary.

**Applicant Eligibility:**

The applicant must be a Federally recognized Indian tribe or TDHE that is either a beneficiary or recipient of Indian Housing Block Grants (IHBG) funds.

**Beneficiary Eligibility:**

Indian tribes and their members are the beneficiaries. A TDHE acts on behalf of a tribe, as authorized by Tribal and TDHE resolutions.

**Credentials/Documentation:**

The applicant must provide the lender the documentation detailed in the "Title VI Application Process," including the certifications required under 24 CFR Section 1000.424(d) that the applicant possesses the legal authority to pledge, and if approved, the applicant will make the pledge of IHBG funds required by section 602(a)(2) of NAHASDA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible lenders are detailed in the statute. The lender assembles the Title VI application package and submits it to HUD. HUD will review the application for

compliance with Title VI of NAHASDA and the implementing regulations.

**Award Procedure:**

HUD issues a Letter of Firm Commitment to the lender when HUD approves the Title VI application and the mortgage meets the Title VI Program underwriting criteria. The lender then closes the loan and submits the closing package to HUD for review. Following a successful review, HUD issues a Certificate of Loan Guarantee to the lender.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. The Title VI regulation at 24 CFR 1000.430(a) states that HUD will make every effort to approve an application within 30 days of the receipt of a completed application, and if HUD is unable to do so, will notify the lender (the applicant via the lender) within the 30 day time frame of the need for additional time to process the application and/or if additional information is required.

**Appeals:**

From 15 to 30 days. HUD will notify the lender in writing that the application has been reduced or disapproved and the specific reasons for the reduction or the disapproval. The lender may submit additional documentation to reverse the HUD decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 5%. Borrowers may be required to pledge security in addition to IHBG funds to secure the remaining 5 percent of the loan balance that is not secured by the 95 percent federal loan guarantee. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan may exceed 20 years, as approved by HUD. The lender and applicant shall determine the terms of the repayment for each project, subject to HUD's approval. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

The lender will provide HUD a quarterly report on the guaranteed loan, including the status of the guaranteed loan, the current principal balance, and the amount collected during the quarter just ended. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Copies of loan files are maintained by HUD. The originating lender must maintain a copy of the loan file for 2 years after loan is guaranteed. The servicing lender must maintain a loan file for the line of the loan plus 3 years.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$13,351,000; FY 09 est \$17,000,000; FY 10 est \$18,000,000

**Range and Average of Financial Assistance:**

A borrower's guaranteed obligations may not exceed an amount equal to the

borrower's IHBG, less the amount needed to operate and maintain current assisted stock (CAS), times five (IHBG - CAS X 5 = maximum guaranteed amount).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of September 30, 2008, cumulative loan guarantees of approximately 122.8 million have been issued, and 2,096 affordable housing units or the supporting infrastructure has been financed with title VI funding. In fiscal year 2008, 8 loans totaling \$13.5 million were guaranteed. Fiscal Year 2009: In fiscal year 2009, the Department anticipates that 10 loans totaling \$14 million will be guaranteed. Fiscal Year 2010: In fiscal year 2010, the Department anticipates that 10 loans totaling \$14 million will be guaranteed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000, subpart E; "The Title VI Application Process" and promotional literature are available from HUD's National Program Office of Native American Programs, Office of Loan Guarantee; and the Title VI web page (see the address below).

**Regional or Local Office:**

None. (see Headquarters Office below).

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing\_Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development of single-family and multi-family housing projects or subdivisions; integration of infrastructure resources on tribal lands; purchase and renovation of a mobile home lot. Fiscal Year 2009: No current data available. Fiscal Year 2010: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Title VI and Section 202 of NAHASDA; criteria is detailed in the "The Title VI Application Process" available from HUD's National Program Office, Office of Loan Guarantee, and on the Title VI web site (<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>).

**14.870 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - SERVICE COORDINATORS**

(ROSS Service Coordinators)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To programmatically address the needs of public housing residents by providing service coordinator positions to coordinate supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient or age-in-place.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for the salary of Service Coordinator positions, with some administrative and training funds. Only residents of conventional public housing may benefit from this program.

**Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

**Beneficiary Eligibility:**

Individuals, families, children, youth, adults as well as elderly/persons with

disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review applications in accordance with selection criteria in the NOFA published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make the final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 3-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are drawn by grantees through HUD's financial system.

**Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$33,261,562; FY 09 est \$28,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Generally between \$240,000 - \$720,000 (three years).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 93 grants were awarded in FY 2008. Fiscal Year 2009: NOFA should be published in June 2009. It is anticipated 90-100 grants will be awarded. Fiscal Year 2010: Self-sufficiency activities are an eligible expense under 14.850 (Public and Indian Housing Operating Fund Program). PHAs are encouraged to use their resources to fund activities that result in the best outcomes for their tenants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

None. Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish, 451 7th Street, SW, Room 4130  
, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov  
Phone: (202) 402-2341

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

**RELATED PROGRAMS:**

14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.871 SECTION 8 HOUSING CHOICE VOUCHERS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act of 2009, Public Law 111-8.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe, and sanitary rental housing. For Fair Share Vouchers and Welfare-to-Work Vouchers, Public Housing Agencies (PHA) must meet certain selection criteria. For Welfare-to-Work rental vouchers, families must also meet special welfare-to-work criteria. HUD regulations merged the former Section 8 Rental Voucher program (14.855) with the former Section 8 Certificate program (14.857). Section 502 of the Public Housing Reform Act states that a purpose of the legislation is "consolidating the voucher and certificate programs for rental assistance under Section 8 of the United States Housing Act of 1937 (the "USHA") into a single market-driven program that will assist in making tenant-based rental assistance more successful at helping low-income families obtain affordable housing and will increase housing choice for low-income families".

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental

entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area, adjusted for smaller and larger families). At least 75 percent of families admitted to the voucher program during the PHA fiscal year must be extremely low income families (whose income does not exceed 30 percent of the median income for the area).

**Credentials/Documentation:**

In the Housing Choice Voucher Program, the PHA must support its application by furnishing data that the program proposed is responsive to the condition of the housing stock in the community and the housing assistance needs of very low income families (including the elderly, handicapped and disabled, large families and those displaced) residing in the community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process. Welfare-to-Work vouchers were awarded through a national competition in fiscal year 1999.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$11,492,649,706; FY 09 est \$12,330,943,887; FY 10 est \$13,278,380,604

**Range and Average of Financial Assistance:**

\$8,082 to \$774,330,103; Average \$6,135,346.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2.07 million families were served by this program. Fiscal Year 2009: The program projects to serve 2.1 million families. Estimates are based on the Department's end of year leasing projections as of December 31, 2008. Fiscal Year 2010: The program projects to serve 2.16 million families. Estimates are based on the Department's end of year leasing projections as of December 31, 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Rental Certificate, Rental Voucher and Moderate Rehabilitation Programs Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.872 PUBLIC HOUSING CAPITAL FUND (CFP)**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; Quality Housing and Work Responsibility Act of 1998, Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

The Capital Fund provides funds annually to Public Housing Agencies (PHAs) for capital and management activities, including modernization and development of public housing. The Capital fund also permits PHAs to use Capital Funds for financing activities, including payments of debt service and customary financing costs, in standard PHA developments and in mixed-finance developments which include Public Housing.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis. Assistance must be used to modernize and/or develop public housing and must comply with the eligible activities of Section 9(d) of the U.S. Housing Act of 1937.

**Applicant Eligibility:**

The PHA must demonstrate that it has the legal authority to develop, own, modernize and operate a public housing development in accordance with the 1937 Act.

**Beneficiary Eligibility:**

Low-income public housing residents.

**Credentials/Documentation:**

PHAs must submit the following documents with their PHA Plan which includes a component for the Capital Fund Program: Form HUD-50075, PHA Certification of Compliance with The PHA Plan and Related Regulations; State or Local Certification of Consistency with the Consolidated Plan; Form HUD-5070, Certification of a Drug-Free Workplace; Form HUD-50071, Certification of Payments To Influence Federal Transactions; and Standard Form SF-LLL and SF-LLLa, Disclosure of Lobbying Activities (where applicable). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. PHAs annually submit a PHA Plan to the local HUD Field Office that consolidates information submitted by the PHA for various HUD programs into one document. The CFP is one component of the Plan.

**Award Procedure:**

The Field Office reviews and approves the PHA Plan, which includes information relative to the CFP.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Field Office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 905, Subpart 10.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The statute requires that CFP funds allocated to a PHA be fully obligated within two years and expended in four years unless the Secretary extends the time period. Method of awarding/releasing assistance: lump sum.

**Reports:**

PHAs must provide performance and evaluation reports annually for all open grants. Cash reports are not applicable. Progress reports are also part of the performance and evaluation reports. PHAs are required to report on expenditures monthly in HUD's financial system. Performance monitoring is

also part of the performance and evaluation reports.

**Audits:**

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

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$2,080,803,138; FY 09 est \$2,059,650,398; FY 10 est \$1,935,237,822

**Range and Average of Financial Assistance:**

\$572 to \$340,826,471; Average: \$667,760.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made available \$2.08 billion to 3,104 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2009: The Department will make available \$2.05 billion to 3,098 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2010: The Department will make available \$1.9 billion to 3,098 grantees for modernization, improvement, and new development to Public Housing projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 905.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

**Headquarters Office:**

Jeffrey Riddel 451 7th St. SW, Room 4130, Washington, District of Columbia 20410 Email: Jeffrey.Riddel@hud.gov Phone: 202-708-1640

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>.

**RELATED PROGRAMS:**

14.884 Public Housing Capital Fund Competitive (Recovery Act Funded);  
14.885 Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.873 NATIVE HAWAIIAN HOUSING BLOCK GRANTS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Hawaiian Homelands Homeownership Act of 2000; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide housing assistance to low-income Native Hawaiian families who are eligible to reside on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible affordable housing activities are development, housing services, crime prevention and safety activities, and model activities. NHHBG funds may only be used for eligible activities that are consistent with the Department of Hawaiian Home Lands housing plan.

**Applicant Eligibility:**

The Department of Native Hawaiian Home Lands (DHHL) is the only eligible grant recipient.

**Beneficiary Eligibility:**

Native Hawaiian families who are eligible to reside on the Hawaiian Home Lands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Housing Plan.

**Award Procedure:**

Native Hawaiian Housing Block Grant funds are provided to the Department of Hawaiian Home Lands (DHHL), the sole eligible grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grant funds are made available on an annual basis, subject to annual congressional appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. See the following for information on how assistance is awarded/released: Upon execution of grant agreement, funds are drawn from HUD's financial system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Annual performance reports to HUD.

**Audits:**

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

**Records:**

Grant files are maintained by HUD for one year after grant closeout and destroyed six years after grant closeout pursuant to the HUD Records Disposition Handbook.

**Account Identification:**

86-0235-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$17,077,770; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Average \$9 million per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Through this program, the grant recipient assisted 95 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2009: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2010: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Rule published June 13, 2002. Final regulations effective December 29, 2003.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claudine Allen, 500 Ala Moana Boulevard, Suite 3A, Honolulu, Hawaii 96813  
Email: Claudine.C.Allen@hud.gov Phone: (808) 522-8175 Ext. 223.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/nhhbgprogram.cfm>.

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.874 LOAN GUARANTEES FOR NATIVE HAWAIIAN HOUSING**

(Section 184A)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

American Homeownership and Economic Opportunity Act of 2000, Section 514, Public Law 106-569.

**OBJECTIVES:**

To provide eligible Native Hawaiian families with greater access to private mortgage resources by guaranteeing loans for one-to four family housing located on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

A loan guaranteed under this part may only be used to construct, acquire, or rehabilitate eligible housing. The housing must be located on Hawaiian Home Lands for which a housing plan has been determined by HUD to be in compliance with regulations.

**Applicant Eligibility:**

A Native Hawaiian family; the Department of Hawaiian Home Lands; the Office of Hawaiian Affairs; a private nonprofit organization experienced in the planning and development of affordable housing for Native Hawaiians.

**Beneficiary Eligibility:**

Native Hawaiian homeowners are the beneficiaries of the program.

**Credentials/Documentation:**

Individual Loan Applicants must meet the definitions of Native Hawaiian and provide the eligible lender with documentation of that eligibility, assets, income, debts and liabilities to show ability to obtain and repay the loan. This program is excluded from coverage under OMB Circular No. A-87.



**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer submits documentation such as pay stubs, W-2 forms, tax returns, evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender will verify the eligibility of the land status.

**Award Procedure:**

The financial institution obtains and reviews all documentation and submits it to HUD. HUD is responsible for ensuring the individual applicants Native Hawaiian eligibility, land status per Section 204 of the Hawaiian Homes Commission Act, housing acceptability, and the creditworthiness of the applicant. HUD has responsibility for the approval or disapproval of the applicant and the issuance of the loan guarantee. If the loan guarantee funds are available, a firm commitment is issued to the lender. Firm commitments are valid for a period not to exceed 90 days from issuance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. HUD may approve a loan for guarantee under this part and issue a certificate under this section only if HUD determines that there is a reasonable prospect of repayment of the loan.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval. Additional documentation to resolve the issues which led to the disapproval may be required.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The loan term shall not exceed thirty years. Processing time of the individual loans will depend on the quality of the lenders submittal and HUD's ability to ascertain proper land and lease status. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

Lenders will be required to report loan delinquencies on a monthly basis. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders will be subject to review and closed loan files are subject to review to assure compliance with the requirements of Section 184A.

**Records:**

Copies of loan files will be maintained by HUD. The originating lender must maintain copies of the guaranteed loan file for two years after loan closing. The servicing lender must maintain the loan file for the life of the loan plus three

years.

**Account Identification:**

86-0233-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$4,328,000; FY 09 est \$41,504,000; FY 10 est \$41,504,000

**Range and Average of Financial Assistance:**

The average loan amount in FY 2008 was \$245,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of September 30, 2008, 17 loans were guaranteed for homes on Hawaiian Home Lands, with HUD guaranteeing approximately \$4.2 million in financing. Fiscal Year 2009: The program projects to guarantee 17 loans. Fiscal Year 2010: The program projects to guarantee 20 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/program184a.cfm>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing\_Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.876 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - ELDERLY AND PERSONS WITH DISABILITIES**

(ROSS Elderly and Persons with Disabilities)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Annual Appropriations Act 2007, Public Law 110-5.

**OBJECTIVES:**

To programmatically address the needs of public housing residents by providing supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient. The primary focus of the program is on independent living and "aging in place".

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for supportive services activities, including the employment of project coordinators and/or direct services staff.

**Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

**Beneficiary Eligibility:**

Elderly/persons with disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review, rate, and rank applications in accordance with selection criteria in the NOFA published in the Federal Register. Awards will be made in rank order in each of the ten federal regions until all funds are expended.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For FY 2008 and forward, ROSS Family and ROSS Elderly have been combined with the ROSS Service Coordinators. Assistance is provided for a 3-year time period under the ROSS Service Coordinators Program. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are drawn by grantees through HUD's financial system.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$17,077,543; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008 and forward, ROSS Family and ROSS Elderly have been combined with ROSS Service Coordinators (14.870). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

See Regional Agency Offices. Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: Anice.m.schervish@hud.gov Phone: 202.402.2341

**Website Address:**

<http://www.hud.gov/progdesc/pihindx.html>.

**RELATED PROGRAMS:**

14.870 Resident Opportunity and Supportive Services - Service Coordinators; 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.877 PUBLIC HOUSING FAMILY SELF-SUFFICIENCY UNDER RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES**

(Public Housing Family Self-Sufficiency (PH FSS))

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources to enable participating families to achieve economic independence and housing self-sufficiency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to pay the salary and fringe benefits of a program coordinator. Only residents of conventional public housing may benefit from this program.

**Applicant Eligibility:**

Public Housing Authorities (PHAs) and Tribes and tribally designated housing entities (TDHEs).

**Beneficiary Eligibility:**

Individuals and families who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review those applications in accordance with the NOFA published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. HUD will undertake processing of applications and selection of successful applicants. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive

funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

From 120 to 180 days.

**Formula and Matching Requirements:**

Statutory Formula: Chapter 24, Part 984.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 1-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines, and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-605.

**Obligations:**

(Project Grants) FY 08 \$11,397,522; FY 09 est \$12,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Up to \$68,000 per program coordinator.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 206 grants were awarded in FY 2008. Fiscal Year 2009: NOFA should be published in June 2009. It is anticipated approximately 200 grants will be awarded. Fiscal Year 2010: Combined with ROSS Service Coordinators (14.870).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines. See also 24 CFR 984

**Regional or Local Office:**

None. Designated personal in the offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish, 451 7th St. SW, Room 4238  
, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov  
Phone: (202) 402-2341.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

**RELATED PROGRAMS:**

14.870 Resident Opportunity and Supportive Services - Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.878 AFFORDABLE HOUSING DEVELOPMENT IN MAIN STREET REJUVENATION PROJECTS**

(Main Street)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003, Public Law 108-186.

**OBJECTIVES:**

To assist small communities with populations of 50,000 or less and 100 Public Housing units or less in the rejuvenation of historic or traditional central business districts or "Main Street Areas" by replacing unused commercial space in buildings with Affordable housing units. The objectives of the program are to: (1) Redevelop Main Street Areas; (2) Preserve historic or traditional architecture or design features in Main Street Areas; (3) Enhance economic development efforts in Main Street Areas; and (4) Provide affordable housing in Main Street Areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Main Street grant funds may be used to rehabilitate or develop new affordable housing that is included in a Main Street rejuvenation effort. Main Street housing units must be maintained as affordable for the initial residents only. Each resident (or family) must have an adjusted income of 80 percent or less of the area median income. Allowable activities that may be funded by a Main Street grant include: development of new housing units; rehabilitation of non-habitable existing housing units; acquisition activities; homeownership activities; necessary management improvement costs; relocation costs for affected residents; and community and supportive services. Main Street grant funded activities are limited to: affordable housing development that is part of an existing Main Street rejuvenation effort; development cost up to a maximum of HUD's Total Development Cost for public housing units; maximum fees and soft costs listed in HUD's public housing Safe Harbor Cost Controls; and a maximum of 15 percent of the grant amount to support community and supportive services activities. Main Street grant funds must NOT be used to develop or replace public housing or to repair existing habitable housing.

**Applicant Eligibility:**

Eligible applicants include, and are limited to, Units of Local Government ("Local Government") that are subdivisions of State governments, and other governments listed in Section 102 of the Housing and Community Development Act of 1974. The jurisdiction of the Local Government must contain a population of no more than 50,000. The Local Government must either have no Public Housing Agency (PHA) or a PHA that administers no more than 100 public housing units.

**Beneficiary Eligibility:**

The beneficiaries are low-income families that occupy the newly developed affordable housing, and the local community that is benefiting from the Main Street rejuvenation project.

**Credentials/Documentation:**

Eligibility requirements to apply for a Main Street grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A NOFA is published in the Federal Register announcing the availability of funds and referring applicants to application materials available from Grants.gov at <http://www.grants.gov>. Applications must be submitted electronically to Grants.gov. Further information on registration into Grants.gov can be obtained on HUD's grants website at <http://www.hud.gov/grants>.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to receive a Main Street grant. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 15 to 30 days. Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 5%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants have a term of 30 months. The applicant must include its program schedule in the application. See the following for information on how assistance is awarded/released: After execution of the grant agreement, pre-development funds are made available. Upon HUD approval of the development proposal and the beginning of construction, the remainder of funds are released.

**Reports:**

No program reports are required. No cash reports are required. Quarterly reports on production and annual accomplishment reports are required. Program funds are tracked in HUD's financial system and leveraged funds are self reported by the grantees on a quarterly basis. The grant manager visits the sites after execution of the grant agreement and then annually.

**Audits:**

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

**Records:**

Grantees should keep copies of budgets and accumulative cost records through the grant period, along with other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 08 \$4,000,000; FY 09 est \$4,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The statutory maximum of each grant is \$1,000,000 and in recent years all grants have been for the maximum amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately half of the Main Street grants funded the development of housing units in small, single building projects. The other half

of the grants added to the mixed-finance funding of larger developments of up to 75 units. Fiscal Year 2009: Based on the application history, approximately half of the Main Street grants will fund the development of housing units in small, single building projects. The other half of the grants will be added to the mixed-finance funding of larger developments of up to 75 units. Fiscal Year 2010: The program is not authorized at this time for FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorizing legislation in Section 24 of the 1937 Housing Act is extremely detailed. No regulations have been published. Main Street housing development is processed using HUD's Office of Public and Indian Housing Mixed-finance regulations detailed in 24 CFR 941.606, or HOPE VI homeownership regulations under Section 24 of the 1937 Act. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance on its Main Street website at <http://www.hud.gov/offices/pih/programs/ph/hope6/grants/mainstreet/> with links to Main Street's most recent NOFA, program summaries, general guidance materials, mixed-finance guidance materials, and relevant statutes, regulations and notices. This web site provides Grantees with information on timelines, budgets, financial instructions, and other program guidance.

**Regional or Local Office:**

None. All Main Street grants are administered at Headquarters by the Office of Public Housing Investments (OPHI). The level of field office involvement in the administration of Main Street grants is limited to issuance of the required environmental review (24 CFR Part 50), and construction inspections. Grantees should contact OPHI at (202) 401-8812, until a HUD Grant Manager is assigned. Grantees should also contact the HUD Field Office Public Housing Division that has jurisdiction for their area. Local Public Housing Divisions are listed on the internet at <http://www.hud.gov/offices/pih/about/focontacts.cfm>.

**Headquarters Office:**

Lawrence Gnessin, 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: [Lawrence.gnessin@hud.gov](mailto:Lawrence.gnessin@hud.gov) Phone: (202) 401-8812.

**Website Address:**

<http://www.hud.gov/mainstreet>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As published in each NOFA.

**14.879 MAINSTREAM VOUCHERS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Cranston Gonzalez National Affordable Housing Act; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid persons with disabilities (elderly and non-elderly) in obtaining decent, safe, and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income. Mainstream Vouchers can be provided to only elderly and non-elderly disabled families.

**Applicant Eligibility:**

Public housing agencies (PHA) that is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area and non-profit organization that provide services to the disabled as defined in 42 U.S.C.

**Beneficiary Eligibility:**

Disabled family that is income-eligible under the Housing Choice Voucher program regulations at 24 CFR 982.201(b)(1) as well as other wise eligible under the regulations at 24CFR 982.201, may receive a voucher awarded on the Mainstream Program Applicants with disabilities must be selected from the PHA's or nonprofit organization's housing choice voucher waiting list.

**Credentials/Documentation:**

In the Mainstream Voucher Program, the PHA or non-profit organization must demonstrate in its application a need for these vouchers by providing information documenting that the demand for housing for non-elderly and elderly persons with disabilities would equal or exceed the requested number of vouchers. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Mainstream voucher program assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 5 years. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; and Family Report, HUD Form 50058 and Logic Model, HUD Form 96010. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Mainstream/Housing Choice Voucher Contract.

**Account Identification:**

86-0237-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$95,479,095; FY 09 est \$87,100,000; FY 10 est \$87,100,000 - Although renewal funding has been provided by Congress annually, no incremental (new) funding for this program has been provided since FY 2005.

**Range and Average of Financial Assistance:**

\$22,915 to \$2,289,678; Average \$453,721.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program served 14,811 families. Fiscal Year 2009: The program anticipates serving 14,811 families. Fiscal Year 2010: The program anticipates serving 14,811 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Housing Choice Voucher Program, Form, Legal Contracts, and Publications Handbook, 7420.8; and the Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

[http://www.hud.gov/offices/pih/programs/hcv/about/fact\\_sheet.cfm](http://www.hud.gov/offices/pih/programs/hcv/about/fact_sheet.cfm).

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.880 FAMILY UNIFICATION PROGRAM (FUP)**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid: (1) families for whom the lack of adequate housing is the primary factor in the separation, or the threat of imminent separation, of children from their families, and; (2) youths ages 18-21 years old who left foster care at age 16 or older and lack adequate housing. FUP- eligible families and youths may use these Housing Choice Voucher (HVC) to obtain decent, safe, and affordable housing units in the private rental market.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Families and youths that are income eligible under the HCV program regulations at 24 CFR 982.201 may receive a voucher awarded under the FUP. Families and youths must be referred to the PHA from the local Child Welfare Agency (CWA).

**Credentials/Documentation:**

For FUP, the PHA must provide a Memorandum of Understanding (MOU), executed by the chief executive officer of the PHA and the Public Child Welfare Agency (PCWA). The MOU must identify the actions that the PHA and the PCWA will take to identify and assist FUP-eligible families and/or FUP-eligible youths, and the resources for supportive services each organization will commit. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Funding Application, Section 8 Tenant-Based Assistance (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not

applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$20,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Congress did not fund this program in fiscal year 2008. Fiscal Year 2009: FUP families are included in the number of families served by the Housing Choice Voucher (HCV) program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Housing Choice Voucher Program Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm>

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.881 MOVING TO WORK DEMONSTRATION PROGRAM****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

**OBJECTIVES:**

The purpose of this demonstration is to give public housing agencies and the Secretary of Housing and Urban Development the flexibility to design and test various approaches for providing and administering housing assistance that: reduce cost and achieve greater cost effectiveness in Federal expenditures; give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training,

educational programs, or programs that assist people to obtain employment and become economically self-sufficient; and increase housing choices for low-income families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Under the demonstration, notwithstanding any provision of the United States Housing Act of 1937 except as provided in section 204(e) of Public Law 104-134, an agency may combine operating assistance provided under section 9 of the United States Housing Act of 1937, and tenant-based assistance provided under section 8 of such Act, to provide housing assistance for low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937, and services to facilitate the transition to work on such terms and conditions as the agency may propose and the Secretary may approve.

**Applicant Eligibility:**

Public housing agencies administering the public housing program and/or the section 8 housing assistance payments program may be selected by the Secretary to participate.

**Beneficiary Eligibility:**

Low-income public housing residents.

**Credentials/Documentation:**

PHAs must enter into an agreement with the Department that details the terms and conditions of participation in the demonstration. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. PHAs annually submit an MTW Plan to the program office that documents new and ongoing MTW activities. Plans must include criteria for: (A) families to be assisted, which shall require that at least 75 percent of the families assisted by participating demonstration public housing authorities shall be very low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937; (B) establishing a reasonable rent policy, which shall be designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration, such as by excluding some or all of a family's earned income for purposes of determining rent; (C) continuing to assist substantially the same total number of eligible low-income families as would have been served had the amounts not been combined; (D) maintaining a comparable mix of families (by family size) as would have been provided had the amounts not been used under the demonstration; and (E) assuring that housing assisted under the demonstration program meets housing quality standards established or approved by the Secretary; and (4) may request assistance for training and technical assistance to assist with design of the demonstration and to participate in a detailed evaluation.

**Award Procedure:**

The program office reviews and approves the MTW Plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The program office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

**Appeals:**

To be determined.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

MTW agencies must meet the requirements stated in their MTW agreement.

See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Annual MTW report is required 90 days after the end of the PHAs fiscal year. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0319-0-1-604; 86-0314-0-1-604; 86-0163-0-1-604.

**Obligations:**

(Formula Grants) FY 08 \$3,430,861,568; FY 09 est \$3,590,567,727; FY 10 est \$3,907,847,630

**Range and Average of Financial Assistance:**

\$4,101,405 to \$684,572,102 ; Average \$109,696,222.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A standard MTW agreement was developed and implemented in 2008. It has a ten-year term and will mandate evaluations of MTW agencies three years and six years into the demonstration. Four PHAs were added in accordance with the 2008 Appropriations Act. Fiscal Year 2009: The Secretary directed to add three additional MTW agencies per Section 236 of the 2009 Appropriations Act. Fiscal Year 2010: An evaluation of the MTW program is required in FY 2011. Planning and solicitation for contract support will begin in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Program office addresses).

**Headquarters Office:**

Ivan Pour 451 7th St, SW, Room 4130  
, Washington, District of Columbia 20410 Email: ivan.m.pour@hud.gov Phone: 202-402-2488

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/mtw/>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.882 NATIVE AMERICAN HOUSING BLOCK GRANTS (FORMULA) RECOVERY ACT FUNDED**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5, Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA), Public Law 104-330 as amended October 21, 1998; December 27, 2000; November 13, 2002;

**OBJECTIVES:**

To provide federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

New construction, acquisition, rehabilitation including energy efficiency and conservation, and infrastructure development.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public law 93-638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The statute requires that funds be obligated within one year of the date that funds are available to the recipient; that 50 percent of such funds be expended within 2 years; and that 100 percent of such funds be expended within 3 years of such date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients are required to submit quarterly reports in accordance with Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Grant files are maintained by HUD for 1 year after grant closeout and destroyed 6 years after grant closeout pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0327-0-1-604 - 86-0327 2009/2011.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$255,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$48,000 to \$80,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A variety of housing construction, rehabilitation, energy efficiency, and infrastructure projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Native American Programs, 451 Seventh Street, S.W. Room 4126, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.250 Rural Housing and Economic Development; 14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting projects to be funded, the recipient shall give priority to projects for which contracts can be awarded within 180 days from the date that funds are available to the recipient.

**14.883 NATIVE HAWAIIAN HOUSING BLOCK GRANTS (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide housing assistance to low-income Native Hawaiian families who are eligible to reside on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

New construction, acquisition, rehabilitation including energy efficiency and conservation, and infrastructure development. These funds may only be used for eligible activities that are consistent with the Department of Hawaiian Home Lands housing plan.



**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a Housing Plan.

**Award Procedure:**

Native Hawaiian Housing Block Grant funds are provided to DHHL, the sole eligible grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The statute requires that funds allocated to DHHL be obligated within one year of the date that funds are available to the recipient; that 50 percent of such funds be expended within 2 years; and that 100 percent of such funds be expended within 3 years of such date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Annual Performance reports to HUD. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Grant files are maintained by HUD for 1 year after grant closeout and destroyed 6 years after grant closeout pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0327-0-1-604 - 86-0327 2009/2011.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$10,200,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$10,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1006.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claudine Allen, Public and Indian Housing/Office of Native American Programs, 500 Ala Moana Blvd, Suite 3A, Honolulu, Hawaii 96813 Email: Claudine.c.allen@hud.gov Phone: (808) 522-8175 Ext. 223.

**Website Address:**

<http://http://www.hud/offices/pih/id/codetalk/onap/nhhbgprogram.cfm>

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting projects to be funded, the recipient shall give priority to projects for which contracts can be awarded within 180 days from the date that funds are available to the recipient, and shall give priority to projects that will spur construction and rehabilitation and will create employment opportunities for low-income and unemployed persons.

**14.884 PUBLIC HOUSING CAPITAL FUND COMPETITIVE (RECOVERY ACT FUNDED)****FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; American Recovery and Reinvestment Act of 2009 (ARRA).

**OBJECTIVES:**

To provide funds for the capital and management activities of Public Housing Agencies as authorized under section 9 of the United States Housing Act of 1937 (42 U.S.C. 1437g) (the Act), with the exception that funds cannot be used for operations or rental assistance. The funds shall be awarded by competition for priority investments, including investments that leverage private sector funding or financing for renovations and energy conservation retrofit investments.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. Public housing agencies shall give priority consideration to the rehabilitation of vacant rental units. Funds shall be obligated through competitive funding by September 30, 2009. Public housing authorities shall give priority to capital projects that can award contracts based on bids within 120 days from the date the funds are made available to the public housing authorities. Public housing agencies shall prioritize capital projects that are already underway or included in the 5-year capital fund plans required by the Act (42 U.S.C. 1437c1(a)). Funds provided under this heading shall serve to supplement and not supplant expenditures from other Federal, State, or local sources or funds independently generated by the grantees. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis. The funds may not be used for rental assistance activities. These funds may not be transferred to operations or used for operating activities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

PHAs shall prioritize capital projects that are already underway or already in their 5-year capital fund plans required by the Housing Act.

PHAs must submit an application in accordance with the Funding Notice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

PHAs consult with local government officials and PHA residents as they plan for activities to be included in the application for the funds. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. PHAs must submit an application in accordance with the Funding Notice.

**Award Procedure:**

Funds will be awarded in accordance with the Funding Notice.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

These terms will be established in the Funding Notice.

**Appeals:**

The appeals process will be established in the Funding Notice.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Three years with the following restrictions: requires that CFP Stimulus funds allocated to a PHA be fully (100 percent) obligated within 1 year, 60 percent expended within 2 years and 100 percent expended within 3 years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

As required under the ARRA. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The CFP Stimulus is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0305-0-1-604 - 86-0305 2009/2011.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$1,000,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The use of the Capital Fund Program in support of the American Recovery and Investment Act of 2009 goals of creating jobs, jumpstarting the economy and targeting investment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 905, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

**Headquarters Office:**

Assistant Secretary for Public and Indian Housing Assistant Secretary for Public and Indian Housing, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 708-0950.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.885 PUBLIC HOUSING CAPITAL FUND STIMULUS (FORMULA) RECOVERY ACT FUNDED**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; American Recovery and Reinvestment Act of 2009 (ARRA).

**OBJECTIVES:**

To provide funds for the capital and management activities of Public Housing Agencies as authorized under section 9 of the United States Housing Act of 1937 (42 U.S.C. 1437g) (the Act), with the exception that funds cannot be used for operations or rental assistance. The funds will be used for capital and management activities, including modernization and development of public housing.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. Funds shall be obligated to public housing agencies within 30 days of enactment of the American Recovery and Reinvestment Act of 2009. Public housing authorities shall give priority to capital projects that can award contracts based on bids within 120 days from the date the funds are made available to the public housing authorities. Public housing agencies shall give priority consideration to the rehabilitation of vacant rental units. Public housing agencies shall prioritize capital projects that are already underway or included in the 5-year capital fund plans required by the Act (42 U.S.C. 1437c1(a)). Any restriction of funding to replacement housing uses shall be inapplicable. Funds provided shall supplement and not supplant expenditures from other Federal, State, or local sources or funds independently generated by the grantee. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis. The funds may not be used for rental assistance activities. The funds may not be transferred to operations or used for operating activities. PHAs should give priority to capital projects that can award contracts (based on bids) within 120 days and priority consideration to the rehabilitation of vacant rental units.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

PHAs shall prioritize capital projects that are already underway or already in

their 5-year capital fund plans required by the Housing Act of 1937. PHAs must submit the following documents: ACC amendment form HUD-52840-A. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

PHAs consult with local government officials and PHA residents as they plan for activities to be included in the CFP. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

To be determined.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Three years with the following restrictions: public housing agencies shall obligate 100 percent of the funds within 1 year of the date on which funds become available to the agency for obligation, shall expend at least 60 percent of funds within 2 years of the date on which funds become available to the agency for obligation, and shall expend 100 percent of the funds within 3 years of such date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

As required by the ARRA. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The CFP Stimulus (Formula) is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0305-0-1-604 - 86-0305 2009/2011.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$3,000,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Grants range from \$9,187 to \$423,284,344 with average grant amount being \$952,456.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The use of the Capital Fund Program in support of the American Recovery and Investment Act of 2009 goals of creating jobs, jumpstarting the economy and targeting investment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 905, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

**Headquarters Office:**

Assistant Secretary for Public and Indian Housing Assistant Secretary for Public and Indian Housing, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 708-0950

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.886 INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5, Housing and Community Development Act of 1974, Section 106(a) as amended, 42 U.S.C. 5301 et seq.; Housing and Urban Development Act, Section 7(d) 42 U.S.C. 3535(d).

**OBJECTIVES:**

To provide assistance for Indian tribes and Alaska Native villages in the development of viable Indian communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Indian Community Development Block Grant (ICDBG) is funded through a set-aside of the Community Development Block Grant formula in title 1 of the Housing and Community Development Act of 1974 (42 U.S.C. 5306). Indian tribes and Alaska Native villages may use block grants to improve housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing construction, rehabilitation, acquisition of land for housing, direct assistance to facilitate homeownership among low- and moderate-income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects. The Recovery Act requires tribes to give priority to projects that can award contracts based on bids within 120 days from the date the funds are made available to the tribes.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which

describe the community development need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 75-110 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, usually within two years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients are required to submit quarterly reports as required by Section 1512 of the Recovery Act and annual performance reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0161-0-1-451 - 86-0161 2009/2010.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$10,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The estimated average grant in Fiscal Year 2008 was approximately \$725,000. The smallest and largest awards were \$286,000 and \$5,500,000 respectively.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A variety of housing construction, rehabilitation, energy efficiency, and infrastructure projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1003.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Office of Native American Programs (ONAP) Area Office listed in Appendix IX of the Catalog.

**Headquarters Office:**

Office of Native American Programs, 451 Seventh Street, S.W., Room 4126,, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud/offices/pih/ih/grants/icdbg.cfm>.

**RELATED PROGRAMS:**

14.250 Rural Housing and Economic Development; 14.867 Indian Housing Block Grants; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fire station, housing rehabilitation grant program, cooperative store development; water lines and storage facility, community building. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village which has the capacity to administer a grant. Applications are then rated against factors which measure impact and quality.

**14.887 NATIVE AMERICAN HOUSING BLOCK GRANTS (COMPETITIVE) RECOVERY ACT FUNDED**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5 , Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA), Public Law 104-330 as amended October 21, 1998; December 27, 2000; November 13, 2002;.

**OBJECTIVES:**

To provide federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public law 93-638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which describe the housing/infrastructure need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) is responsible for reviewing and approving applications and for notifying applications of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The statute requires that funds be obligated within one year of the date that funds are available to the recipient; that 50 percent of such funds be expended within 2 years; and that 100 percent of such funds be expended within 3 years of such date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients are required to submit quarterly reports as required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Grant files are maintained by HUD for 1 year after grant closeout and destroyed 6 years after grant closeout pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0327-0-1-604 - 86-0327 2009/2011.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$244,800,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$50,000-\$2,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A variety of housing construction, rehabilitation, energy efficiency, and infrastructure projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Native American Programs, 451 Seventh Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: POC@DHS.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.250 Rural Housing and Economic Development; 14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village and will be reviewed against factors which measure impact and quality. Priority will be given to projects that will create employment opportunities for low-income and unemployed persons.

**14.900 LEAD-BASED PAINT HAZARD CONTROL IN PRIVATELY-OWNED HOUSING**

Lead-Based Paint Hazard Control

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Residential Lead-Based Paint Hazard Reduction Act of 1992, Title X, Section 1011, Public Law 102-550; Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

Lead-Based Paint Hazard Control grants assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) Prevent childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) Establish a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

States, Tribes, cities or units of general local government that have a current, approved Consolidated Plan. Federal agencies and Federal employees are not eligible to submit applications. Applicants with outstanding civil rights violations are not eligible for funding.

**Beneficiary Eligibility:**

Hazard Control Grants shall be for lead-based paint hazard control in eligible target housing, as defined under Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) as amended by Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Funds shall be available only for projects conducted using contractors and inspectors

certified, through an EPA authorized program, or trained in lead-safe work practices using a HUD-approved curriculum.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 The Lead-Based Paint Hazard Control Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

May 22, 2009 to Jul 20, 2009 Applications must be received in HUD Headquarters no later than 5:00PM eastern time on July 20, 2009, the date specified in the 2009 NOFA. Announcements regarding availability of funding were published in the Federal Register on May 22, 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%. The Lead-Based Hazard Control Grant Program requires a minimum of 10 percent local matching requirement. Community Development Block Grant funds are eligible as a local contribution.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Lead-Based Hazard Control Grant award is for 36 months. HUD reserves the right to approve no cost time extensions. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$70,400,000; FY 09 est \$69,500,000; FY 10 est

\$68,000,000

**Range and Average of Financial Assistance:**

With Fiscal Year 2009 funds an estimated 23 Lead Hazard Control grants of \$3 million each will be awarded totaling \$69 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the lead programs over 100,000 units have been made lead-safe and over 300,000 units have been tested. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All relevant information if provided in the Notice of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill Nellis, Department of Housing and Urban Development/Healthy Homes and Lead Housing Control, 451 Seventh Street, SW (Room 8236), Washington, District of Columbia 20410 Email: William.C.Nellis@hud.gov Phone: (202) 402-7684. Fax: (202) 755-100

**Website Address:**

<http://www.hud.gov/offices/lead/>.

**RELATED PROGRAMS:**

14.905 Lead Hazard Reduction Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Lead-Based Paint Hazard Control Grant projects are designed to accomplish the following objectives: Perform testing and lead hazard control activities in targeted, low-income, private housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2009: HUD will use the technical and financial selection criteria listed in the NOFA.

**14.901 HEALTHY HOMES DEMONSTRATION GRANTS**

Healthy Homes Demonstration

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1970, Section 501-502, 12 U.S.C 1701z1-2; Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

The purpose of the Healthy Homes Demonstration Program is to comprehensively address multiple residential health and safety hazards, including mold, carbon monoxide, home safety hazards, pesticides and allergens (from pets and pests).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

Eligible applicants include: not-for-profit institutions, and for-profit firms located in the U.S, State and local governments, Federally-recognized Native Indian Tribes and colleges and universities. For-profit firms are not allowed to make profit from the project. Individuals are not eligible to apply.

**Beneficiary Eligibility:**

Healthy Homes Demonstration grants are intended to serve a broad array of beneficiaries including homeowners, rental property owners, and public housing residents.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 Healthy Homes Demonstration Program grants provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Jul 01, 2009 Applications must be received and validated by Grants.gov no later than XXXXX on XXXXX, the date specified in the 2009 NOFA.

Announcements regarding availability of funding were published in the Federal Register on XXXXX.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Healthy Homes Demonstration Program award is for 36 months. If approved, grantees are eligible to receive a single period of performance extension of up to 12 months in accordance with 24 CFR 85.24(e)(2) or 85.30(d)(2). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$4,375,000; FY 09 est \$6,000,000; FY 10 est \$13,600,000 - \$83,239,444 for 90 grants/cooperative agreements.

**Range and Average of Financial Assistance:**

With Fiscal Year 2009 and previous FY funds, approximately 7 to 10 awards, ranging from approximately \$625,000 to a maximum of \$875,000 each for the entire period of performance are anticipated.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since its inception, grantees in the Healthy Homes Demonstration Program have reached 1,611,606 individuals, trained 22,558 individuals, reduced allergens in 2,545 housing units and reduced asthmatic episodes for 4,61 children. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All relevant information if provided in the The Notice of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Suzanne Gaynor, Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: Suzanne.M.Gaynor@hud.gov Phone: (202) 402-7689.

**Website Address:**

<http://www.hud.gov/offices/lead/>.

**RELATED PROGRAMS:**

14.906 Healthy Homes Technical Studies Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Healthy Homes Demonstration Program projects are designed to address multiple residential environmental safety and health hazards. Grantees have developed projects that include the assessment and mitigation of mold and allergens, reduction in asthma triggers, development of Healthy Homes Environmental Specialist certification programs, leveraging resources with local weatherization programs and the implementation of Integrated Pest Management (IPM) methods. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2009 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.905 LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Residential Lead-Based Paint Hazard Reduction Act of 1992, Title X, Section 1011, Public Law 102-550; Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

Lead Hazard Reduction Demonstration Grant assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4)Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe

work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994). In addition to the requirements above, you must have at least 3,500 pre-1940 occupied rental housing units (either alone or through a consortium).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submit your electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

To be eligible to apply for the Lead Hazard Reduction Demonstration Program, the applicant must be a city, county, or other unit of local government. States and Indian Tribes may apply on behalf of units of local government within their jurisdiction, if the local government designates the state or the Indian Tribe as their applicant. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a prime applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds.

**Beneficiary Eligibility:**

Occupants and owners of eligible target housing, Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Lead Hazard Reduction Demonstration Grants shall be for lead-based paint hazard control in this housing. Funds shall be available only for projects conducted using contractors and inspectors certified, and workers trained through an EPA authorized program. Selected beneficiaries must comply with all eligibility criteria and all applicable restrictions presented in the Appropriation language and with all requirements presented in the NOFA.

**Credentials/Documentation:**

For the Lead Hazard Control Grant Program, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 The Lead-Based Paint Hazard Control Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

May 22, 2009 to Jul 20, 2009 Applications must be received in HUD Headquarters no later than 5:00PM eastern time on July 20, 2009, the date

specified in the 2009 NOFA. Announcements regarding availability of funding were published in the Federal Register on May 22, 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. Formula and Matching Requirements: 25 percent local match, which may be cash, including private sector funding, in-kind contributions, or both. For the Lead Hazard Reduction Demonstration Grant Program, HUD may grant a waiver of the 25 percent match requirement, if the applicant submits a request that meets HUDs criteria. Waiver eligible applicants should provide the 10% match. Except for Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching funds, Federal funds may not be used to satisfy the statutory 10 percent requirement, but may be used for contributions above that requirement. You must support each source of contributions by a letter of commitment from the contributing entity, describing the contributed resources and their designated purpose. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Lead Hazard Reduction Demonstration Grant award is for a The period of performance is 36 months. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$48,000,000; FY 09 est \$48,000,000; FY 10 est \$48,000,000 - Range and Average of Financial Assistance: Approximately \$48 million in fiscal year 2009 funds is available. The minimum award amount shall be approximately \$1 million per grant up to \$4 million per grant. Approximately 10 to approximately 14 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program.

**Range and Average of Financial Assistance:**

Approximately \$48 million in fiscal year 2009 funds is available. The minimum award amount shall be approximately \$1 million per grant up to \$4 million per grant. Approximately 10 to approximately 14 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program.

**PROGRAM ACCOMPLISHMENTS:**



Fiscal Year 2008: PROGRAM ACCOMPLISHMENTS: Lead Hazard Reduction Demonstration Grant  
Program projects are designed to accomplish the following objectives:  
Perform testing and lead hazard control activities in targeted, low-income, owner occupied rental housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is available at Grants.gov; all necessary information is provided; no other regulations pertain. For Lead Hazard Reduction Demonstration grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill Nellis, Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: William.C.Nellis@hud.gov Phone: (202) 402-7684 Fax: (202) 755-1000.

**Website Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: San Bernardino County, California, works with its partners to provide abatement services to low-and moderate-income families in approximately 300 housing units, especially the homes of children with high blood-lead levels where documented lead-based paint hazards have been identified. The District of Columbia's Department of Housing and Community Development partners with DC's Department of Health, Department of Consumer and Regulatory Affairs, and Department of Employment Services, with supporting partnerships with the Office of Local Business Development, several low-income community-based organizations, and local environmental organizations, to conduct lead hazard control in high-risk communities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.906 HEALTHY HOMES TECHNICAL STUDIES GRANTS**

Healthy Homes Technical Studies

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Housing and Urban Development Act of 1970, Section 501-502.

**OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling housing-related health and safety hazards. The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions,

and application due dates. The application for this NOFA can be found at <http://www.hud.gov/lead>. The application is a paper application. You must have a DUNS Number.

**Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), State and local governments, and Federally recognized Native American tribes are eligible under all existing authorizations. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA provides additional eligibility requirements.

**Beneficiary Eligibility:**

Homeowners, rental property owners, and public housing residents.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 Healthy Homes Technical Studies Grants provides information about the application procedure. Original signed and three complete copies of the application, as well as a compact disk (CD) with the abstract and forms in the original format, shall be submitted directly to the Office of Healthy Homes and Lead Hazard Control in accordance with the procedures outlined in the NOFA. Copies of the NOFA and required forms can be obtained <http://www.hud.gov/lead>. Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, <http://www.hud.gov/lead>.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Jul 01, 2009 to Aug 18, 2009 To be considered for funding, The deadline for receipt of the application in HUD headquarters is 5:00 PM eastern time. Announcements regarding availability of funding were published in the Federal Register on MMM dd, 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Healthy Homes Technical Studies grants are awarded up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required. A Final report is also required. Cash reports are not applicable. Progress reports are not

applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,100,000; FY 09 est \$4,000,000; FY 10 est \$4,000,000

**Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$4 million. The anticipated amounts and/or numbers of individual awards will be approximately 6 to approximately 10 cooperative agreements, ranging from approximately \$250,000 to a maximum of \$800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Healthy Homes Technical Studies grants have resulted in, for example, low cost interventions to reduce moisture intrusion and associated mold problems in urban homes and documenting an improvement in the symptoms of asthmatic children following such interventions; developing improved methods for controlling cockroaches and cleaning cockroach allergen, the development of a scoring system for injury hazards in homes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application files are self-contained; all necessary information is provided at <http://www.hud.gov/lead>; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter J. Ashley, Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: [Peter.J.Ashley@hud.gov](mailto:Peter.J.Ashley@hud.gov) Phone: (202) 402-7595.

**Website Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.901 Healthy Homes Demonstration Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Studies to design and field test methods of insulating walls that could be installed to permanently eliminate moisture and mold conditions in walls cost-effectively; laboratory testing of different vacuum protocols to collect dust samples for allergen analyses; and improving the assessment of mold exposure in an ongoing cohort study of factors associated with asthma development in young children. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2009 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.907 LEAD-BASED PAINT HAZARD CONTROL IN PRIVATELY-OWNED HOUSING (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Title 42 U.S.C. 4852 , Public Law 102-550; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Lead-Based Paint Hazard Control grants assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) Preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994) (9) Under the American Recovery and Reinvestment Act of 2009 specifically target job creation and job retention including and involving sub-recipients from the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants consulted the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Applicants submitted their electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead-Based Paint Hazard Control grants provides information about the application procedure. All grants had to be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission was received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website,

www.hud.gov/offices/lead/. For questions related to the application process, e-mail Support@grants.gov, call grants.gov at 800-518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Apr 01, 2008 to Jul 10, 2008: no later than 11:59:59 p.m.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Lead Hazard Control Grant Program requires a minimum of 10 percent local matching requirement. Community Development Block Grant funds are eligible as a local contribution. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Hazard Control Grant award is for 36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly, to cover such performance measures as the numbers of housing units assessed for hazards, units where hazards were controlled, people trained in assessing and/or controlling these hazards, people reached through outreach events, as well as the expenditure of funds, status of the environmental review process, jobs created and retained, and additional quantitative and narrative information that helps the Office assess grantee performance against grant benchmarks and other grant requirements, and make recommendations for improvements when appropriate. Quarterly financial management and performance reports are required of participating jurisdictions. Reports are due 10 days after the quarter. Quarterly financial management and performance reports are required of participating jurisdictions. Reports are due 10 days after the quarter.

**Audits:**

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

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments".

**Account Identification:**

86-0177-0-1-451 - 86-0177 2009/2011.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$77,949,463; FY 10 est \$0

**Range and Average of Financial Assistance:**

The American Recovery and Reinvestment Act of 2009 will fund 30 Lead-Based Paint Hazard Control grants totaling \$77.9 million, with maximum grant awards of \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the lead programs over 100,000 units have been made lead-safe and over 300,000 units have been tested. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is self-contained; all necessary information is provided; no other regulations pertain. For Lead-Based Paint Hazard Control Grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on General Section format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill Nellis, Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street SW, Room 8236, Washington, District of Columbia 20410-3000 Email: William.C.Nellis@hud.gov Phone: (202) 402-7684 Fax: (202) 755-1000.

**Website Address:**

<http://www.hud.gov/offices/lead/>

**RELATED PROGRAMS:**

14.905 Lead Hazard Reduction Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Lead Hazard Control Grant projects are designed to accomplish the following objectives: Perform testing and lead hazard control activities in targeted, low-income, private housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For American Recovery and Reinvestment Act of 2009 grants, HUD used the technical and financial selection criteria listed in the Fiscal Year 2008 Lead-Based Paint Hazard Control Grant Program NOFA.

**14.908 HEALTHY HOMES DEMONSTRATION GRANTS (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Sections 501 and 502 of the Housing and Urban Development Act of 1970; Public Law 110-161; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The purpose of the Healthy Homes Demonstration Program is to develop, demonstrate, and promote cost-effective, preventive measures to correct multiple safety and health hazards that produce serious disease in children and other sensitive subgroups such as the elderly, with a particular focus on low-income households. The Healthy Homes Demonstration program is committed to supporting the Departmental Strategic Goal of strengthening communities by addressing housing conditions that threaten health. Under the American Recovery and Reinvestment Act of 2009, specifically target job creation and job retention including and involving sub-recipients from the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants consulted the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Applicants submitted their electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally-recognized Indian Tribal governments and specific

requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Healthy Homes Demonstration Grants provides information about the application procedure. All grants had to be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission was received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead](http://www.hud.gov/offices/lead). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

May 12, 2008 to Jul 17, 2008 To be considered for funding, the application had to be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 17, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission h.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Healthy Homes Demonstration grants are awarded for a period of performance up to 36 months from the effective date of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly, to cover such performance measures as the numbers of housing units assessed for hazards, units where hazards were controlled, people trained in assessing and/or controlling these hazards, people reached through outreach events, as well as the expenditure of funds, status of the environmental review process, jobs created and retained, and additional quantitative and narrative information that helps the Office assess grantee performance against grant benchmarks and other grant requirements, and make recommendations for improvements when appropriate. Quarterly financial management and performance reports and benchmark standards are required. Quarterly financial management and performance reports and benchmark standards are required.

**Audits:**

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

**Records:**

For State, local and Federally-recognized Indian Tribal governments, as

required by OMB Circular A-102, As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" For nonprofit and educational institutions, as required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0177-0-1-451 - 86-0177 2009/2011.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$17,167,142; FY 10 est \$0

**Range and Average of Financial Assistance:**

Under the American Recovery and Reinvestment Act of 2009, an estimated 20 Healthy Homes Demonstration grants, ranging up to a maximum of \$875,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Healthy Homes Demonstration Program activities have included hazard assessment and mitigation projects, national and local public education efforts, and housing-related hazard awareness training for health care and day care professionals, environmental specialists, peer educators and hazard remediation workers. Through two grants specifically targeting mold and moisture control in inner city housing, a visual assessment protocol, with linkages to work specifications, was developed. One education grant developed and launched a web-based 'E-house' that enabled parents to 'walk from room to room' identifying household pollutants, pathways of exposure and finding alternative products and services for minimizing potential health risks. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is available at [Grants.gov](http://Grants.gov); all necessary information is provided; no other regulations pertain. For Healthy Homes Demonstration Program Cooperative Agreements, there is some change in the content and direction of the NOFA that is issued each year, dependent on General Section format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Suzanne Gaynor, Office of Lead Hazard Control, Department of Housing and Urban Development, 451 Seventh Street, S.W., Room 8236, Washington, District of Columbia 20410 Email: [POC@DHS.gov](mailto:POC@DHS.gov) Phone: (202) 402-7689.

**Website Address:**

<http://www.hud.gov/offices/lead/>

**RELATED PROGRAMS:**

14.906 Healthy Homes Technical Studies Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The New England Asthma Regional Council promotes the adoption of the Asthma Regional Council (ARC) Guidelines for incorporating healthy housing practices in new construction and rehabilitation projects. Training is being provided to 200 code inspectors, 100 affordable housing professionals, and 70 residents. Neighborhood House, in Seattle, in collaboration with public and private partners, will adopt a holistic approach to construct 35 asthma-safe homes through the HOPE VI projects of the Seattle Housing Authority. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For American Recovery and Reinvestment Act of 2009 grants, HUD used the technical and financial selection criteria listed in the Fiscal Year 2008 Healthy Homes Demonstration NOFA.

**14.909 LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Title X, Public Law 42 U.S.C. 4852 102-550; American Recovery and Reinvestment Act of 2009, Housing and Urban, Public Law 111-5.

**OBJECTIVES:**

Lead Hazard Reduction Demonstration Grant assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994); (9) Under the American Recovery and Reinvestment Act of 2009, specifically target job creation and job retention including and involving sub-recipients from the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants consulted the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Applicants submitted their electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

For the Lead Hazard Reduction Demonstration Grant Program, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Lead Hazard Reduction Demonstration Grants provides information about the application procedure. All grants had to be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission was received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail: [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](http://grants.gov) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (1-800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

May 12, 2008 to Jul 17, 2008 To be considered for funding, the application had to be submitted electronically through [Grants.gov](http://Grants.gov) no later than 11:59:59 p.m. on July 17, 2008, the date specified in the 2008 NOFA. Applications for waivers from the electronic submission had to be submitted as specified in the General Section. No hand-delivered applications were accepted. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. 25 percent local match, which may be cash, including private sector funding, in-kind contributions, or both. For the Lead Hazard Reduction Demonstration Grant Program, HUD may grant a waiver of the 25 percent match requirement, if the applicant submits a request that meets HUD's criteria. Waiver eligible applicants should provide the 10% match. Except for Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching funds, Federal funds may not be used to satisfy the statutory 10 percent requirement, but may be used for contributions above that requirement. You must support each source of contributions by a letter of commitment from the contributing entity, describing the contributed resources and their designated purpose. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Lead Hazard Reduction Demonstration Grant award is for a period of performance is 36 months from the effective date of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly, to cover such performance measures as the numbers of housing units assessed for hazards, units where hazards were controlled, people trained in assessing and/or controlling these hazards, people reached through outreach events, as well as the expenditure of funds, status of the environmental review process, jobs created and retained, and additional quantitative and narrative information that helps the Office assess grantee performance against grant benchmarks and other grant requirements, and make recommendations for improvements when appropriate. Quarterly financial management and performance reports are required of participating jurisdictions. Quarterly financial management and performance reports are required of participating jurisdictions.

**Audits:**

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

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments".

**Account Identification:**

86-0177-0-1-451 - 86-0177 2009/2011.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$2,616,843; FY 10 est \$0

**Range and Average of Financial Assistance:**

Under the American Recovery and Reinvestment Act of 2009, HUD will fund one Lead Hazard Reduction Demonstration grant totaling \$2.6 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Lead Hazard Reduction Demonstration Grant Program projects are designed to accomplish the following objectives: Perform testing and lead hazard control activities in targeted, low-income, owner occupied rental housing, and conduct general or targeted community awareness and education programs on lead hazard control and poisoning prevention within this designated area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is available at Grants.gov; all necessary information is provided; no other regulations pertain. For Lead Hazard Reduction Demonstration grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on General Section SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill Nellis Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street SW, Room 8236, Washington, District of Columbia 20410-3000 Email: William.C.Nellis@hud.gov Phone: (202) 402-7684, Fax: (202) 755-1000

**Website Address:**

<http://www.hud.gov/offices/lead/>

**RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.909 Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: San Bernardino County, California, works with its partners to provide abatement services to low-and moderate-income families in approximately 300 housing units, especially the homes of children with high blood-lead levels where documented lead-based paint hazards have been identified. The District of Columbia's Department of Housing and Community Development partners with DC's Department of Health, Department of Consumer and Regulatory Affairs, and Department of Employment Services, with supporting partnerships with the Office of Local Business Development, several low-income community-based organizations, and local environmental organizations, to conduct lead hazard control in high-risk communities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For American Recovery and Reinvestment Act of 2009 grants, HUD used the technical and financial selection criteria listed in the Fiscal Year 2008 Lead Hazard Reduction Demonstration NOFA.

**14.910 HEALTHY HOMES TECHNICAL STUDIES GRANTS (RECOVERY ACT FUNDED)**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Sections 501 and 502 of the Housing and Urban Development Act of 1970 Public Law 110-161; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling housing-related health and safety hazards. The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2008, potential applicants consulted the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov). The application is an electronic application. You must be registered at [www.grants.gov](http://www.grants.gov) to submit your application.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2008 Healthy Homes Technical Studies Grants provided information about the application procedure. All grants had to be submitted electronically, via [www.grants.gov](http://www.grants.gov), unless a waiver from electronic submission was received. Copies of the NOFA and required forms can be obtained at [Grants.gov](http://Grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, [www.hud.gov/offices/lead/](http://www.hud.gov/offices/lead/). For questions related to the application process, E-mail [Support@grants.gov](mailto:Support@grants.gov), call [grants.gov](tel:(800)518-GRANTS) at (800) 518-GRANTS or via TTY by calling the toll-free Federal Information Relay Service at (800) 877-8339.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

May 12, 2008 to Jul 03, 2008 To be considered for funding, the application had to be submitted electronically through [www.grants.gov](http://www.grants.gov) no later than 11:59:59 p.m. on July 3, 2008, the date and time specified in the 2008 NOFA. Applications for waivers from the electronic submission had to be submitted as specified in the General Section. Announcements regarding availability of funding were published in the Federal Register on May 12, 2008.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Healthy Homes Technical Studies grants are awarded up to 36 months after the date of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly, to cover such performance measures as the numbers of housing units assessed for hazards, units where hazards were controlled, people trained in assessing and/or controlling these hazards, people reached through

outreach events, as well as the expenditure of funds, status of the environmental review process, jobs created and retained, and additional quantitative and narrative information that helps the Office assess grantee performance against grant benchmarks and other grant requirements, and make recommendations for improvements when appropriate. Quarterly financial management and performance reports are required. Quarterly financial management and performance reports are required.

**Audits:**

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

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0177-0-1-451 - 86-0177 2009/2011.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$1,766,552; FY 10 est \$0

**Range and Average of Financial Assistance:**

Under the American Recovery and Reinvestment Act of 2009, two Healthy Homes Technical Studies grants will be awarded totaling \$1,766,552.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Healthy Homes Technical Studies grants have resulted in, for example, low cost interventions to reduce moisture intrusion and associated mold problems in urban homes and documenting an improvement in the symptoms of asthmatic children following such interventions; developing improved methods for controlling cockroaches and cleaning cockroach allergen, the development of a scoring system for injury hazards in homes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is self-contained; all necessary information is provided; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter J. Ashley Office of Healthy Homes and Lead Hazard Control, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410  
Email: Peter.J.Ashley@hud.gov Phone: (202) 402-7595,

**Website Address:**

<http://www.hud.gov/offices/lead>

**RELATED PROGRAMS:**

14.901 Healthy Homes Demonstration Grants; 14.910 Healthy Homes Technical Studies Grants (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Studies to design and field test methods of insulating walls that could be installed to permanently eliminate moisture and mold conditions in walls cost-effectively; laboratory testing of different vacuum protocols to collect dust samples for allergen analyses; and improving the assessment of mold exposure in an ongoing cohort study of factors associated with asthma development in young children. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For American Recovery and Reinvestment Act of 2009 grants, HUD used the technical and financial selection criteria listed in the Fiscal Year 2008 Lead-Based Paint Hazard Control Grant Program NOFA.

**14.911 GREEN AND HEALTHY HOUSING TECHNICAL STUDIES GRANTS**

Green and Healthy Housing Technical Studies

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Housing and Urban Development Act of 1970, Section 501-502.

**OBJECTIVES:**

To fund technical studies to improve knowledge of the effects green residential building has on: (1) indoor environmental quality, and (2) occupant health, with a particular focus on children and other sensitive populations in low income households. The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at <http://www.hud.gov/lead>. The application is a paper application. You must have a DUNS Number. For Fiscal Year 2009, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at <http://www.hud.gov/lead>. The application is a paper application. You must have a DUNS Number. For Fiscal Year 2009, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at <http://www.hud.gov/lead>. The application is a paper application. You must have a DUNS Number.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 Green Healthy Housing Technical Studies Grants provides information about the application procedure. Original signed and three complete copies of the application, as well as a compact disk (CD) with the abstract and forms in the original format, shall be submitted directly to the Office of Healthy Homes and Lead Hazard Control in accordance with the procedures outlined in the NOFA. Copies of the NOFA and required forms can be obtained <http://www.hud.gov/lead>. Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, <http://www.hud.gov/lead>.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Jul 01, 2009 To be considered for funding, The deadline for receipt of the application in HUD headquarters is 5:00 PM eastern time [INSERT 60 DAYS AFTER PUBLICATION], 2009. Announcements regarding availability of funding were published in the Federal Register on MMM dd, 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Green and Healthy Housing Technical Studies grants are awarded up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$2,400,000; FY 10 est \$2,400,000

**Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$2.4 million. The anticipated amounts and/or numbers of individual awards will be approximately 4 to approximately 7 cooperative agreements, ranging from approximately \$350,000 to a maximum of \$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application files are self-contained; all necessary information is provided at <http://www.hud.gov/lead>; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter J. Ashley, 451 Seventh Street, SW (Room 8236), Washington, District of Columbia 20410 Email: [Peter.J.Ashley@hud.gov](mailto:Peter.J.Ashley@hud.gov) Phone: (202) 402-7595

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.901 Healthy Homes Demonstration Grants; 14.906 Healthy Homes Technical Studies Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2009 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.912 LEAD HAZARD CONTROL CAPACITY BUILDING**

Lead Hazard Control Capacity Building

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Residential Lead-Based Paint Hazard Reduction Act of 1992, Title X, Section 1011, Public Law 102-550; Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

The purpose of the Lead Hazard Control Capacity Building Grant Program is to assist states, Federally-recognized Native American Tribes, cities, counties/parishes, or other units of local government which have not received a HUD lead hazard control grant or been a sub-recipient of such a grant in developing the infrastructure necessary to undertake comprehensive programs to identify and control lead-based paint hazards in eligible privately owned rental or owner-occupied housing.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2009, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2009 Lead Hazard Control Capacity Building grants provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**



Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 10.%. The Lead Hazard Control Capacity Building Grant Program requires a minimum of 10 percent local matching requirement. Community Development Block Grant funds are eligible as a local contribution.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Hazard Control Grant award is for 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$1,750,000; FY 10 est \$1,750,000

**Range and Average of Financial Assistance:**

With Fiscal Year 2009 funds an estimated 17 to 34 Lead Hazard Control Capacity Building grants of \$50,000 to \$100,000 will be awarded totaling \$1.7 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All relevant information is provided in the The Notice of Funding Availability.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Bill Nellis, Department of Housing and Urban Development, Office of Healthy Homes and Lead Hazard Control  
451 Seventh Street, SW, Room 8236, Washington, District of Columbia  
20410-3000 Email: William.C.Nellis@hud.gov Phone: (202) 402-7684. Fax: (202) 755-1000

**Website Address:**

<http://www.hud.gov/offices/lead/>

**RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.905 Lead Hazard Reduction Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Lead Hazard Control Capacity Building Grant are designed to assist states, Federally-recognized Native American Tribes, cities,

counties/parishes, or other units of local government which have not received a HUD lead hazard control grant or been a sub-recipient of such a grant in developing the infrastructure necessary to undertake comprehensive programs to identify and control lead-based paint hazards in eligible privately owned rental or owner-occupied housing. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2009

HUD will use the technical and financial selection criteria listed in the NOFA.

**DEPARTMENT OF THE INTERIOR**

**15.020 AID TO TRIBAL GOVERNMENTS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Indian tribal governments to support general tribal government operations, to maintain up-to-date tribal enrollment, to conduct tribal elections, and to develop appropriate tribal policies, legislation, and regulations.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used in a variety of ways to strengthen the capabilities of Indian tribes in self-government, community planning, and maintenance of membership records.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with a Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$33,887,000; FY 09 est \$33,887,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$700,000; Average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Activities supported by this program to foster strong and stable Tribal governments include Indian tribes developing and implementing plans for the distribution of judgment funds, making revisions to their constitutions, and issuing certificates of degree of Indian blood to individuals. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director Bureau of Indian Affairs, Office of Tribal Services, 1849 C Street, NW, MS 320 SIB, Washington, District of Columbia 20240 Phone: (202)513-7640

**Website Address:**

<http://www.doi.gov/bia/tribegovserv/tribegov.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.021 Consolidated Tribal Government Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.026 INDIAN ADULT EDUCATION****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.

**OBJECTIVES:**

To improve the educational opportunities for Indian adults who lack the level of literacy skills necessary for effective citizenship and productive employment and to encourage the establishment of adult education programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

All funds must be for direct services. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency or area office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial reports, SF 425, are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$2,434,000; FY 09 est \$2,434,000; FY 10 est \$2,434,000

**Range and Average of Financial Assistance:**

Range is \$100 to \$413,400; Average \$34,600.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 140 tribes receive funding to provide educational opportunities for adults. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 46; 25 CFR, Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MB, 1849 C Street, NW., Washington, District of Columbia 20240  
Email: chris\_redman@bia.gov Phone: (405)605-6001

**Website Address:**

<http://www.oiep.bia.edu/contact.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Courses include Adult Basic Education (ABE), preparation for the General Educational Development Test (GED); life-coping skills such as budgeting, driver training and filing of Federal and State taxes; and continuing education courses such as typing and computer literacy. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected.

**15.027 ASSISTANCE TO TRIBALLY CONTROLLED COMMUNITY COLLEGES AND UNIVERSITIES****FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled Community College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants for the operation and improvement of tribally controlled community colleges to insure continued and expanded educational opportunities for Indian students, and to allow for the improvement and expansion of the physical resources of such institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must not be used in connection with religious worship or sectarian instruction. Funds may be used for the general operating costs of the Tribally Controlled Community College to defray, at the determination of the College, expenditures for academic, educational and administrative purposes and for the operation and maintenance of the College.

**Applicant Eligibility:**

Colleges sponsored by Federally Recognized Indian Tribes or tribal organizations which are governed by a board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Branch Chief of Post-Secondary Education. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The organization should submit written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college to the Director, Office of Indian Education.

**Award Procedure:**

After receiving approval of the application by the governing body or governing bodies, the Director will designate a study team to determine whether there is justification to encourage maintaining a college.

**Deadlines:**

Jul 01, 2009 Colleges must submit the Tribe's approval of the application by March 1 of the fiscal year preceding the year in which they wish to be eligible for funding. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1 of the preceding year in which they wish to be eligible for funding.

**Range of Approval/Disapproval Time:**

The study team will be designated within 30 days. Within 60 days the team must complete its eligibility study. The tribe will be notified of approval within 60 days of completion of the study.

**Appeals:**

A negative determination may be appealed to the Assistant Secretary - Indian Affairs. Within 30 days of receiving a notice of appeal the Assistant Secretary must conduct a hearing at which the applicant may present evidence and offer arguments in support of the appeal. Within 30 days after the hearing the Assistant Secretary must issue a written ruling on the appeal. Specifics relative to the appeals process are found in 25 CFR 41.7.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. No progress reports are required. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$56,713,000; FY 09 est \$56,713,000; FY 10 est \$56,713,000

**Range and Average of Financial Assistance:**

Range is \$396,000 to \$11,923,000; Average \$2,256,000. The amount of the award is determined by the number of eligible Indian students enrolled in the college. Indian Tribes may choose to supplement the funding provided by the grant program by identifying additional amounts in the Tribal Priority Allocations portion of the Bureau of Indian Affairs budget.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually, over 20,000 Indian students receive an education above the secondary level, and approximately 1,000 Indian students receive an associate, bachelors or masters degree or a vocational certificate. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 41; 25 CFR, Part 276.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman Bureau of Indian Education, Dean Am McGee, Suite 610, Oklahoma, Oklahoma 73102 Email: [chris\\_redman@bia.gov](mailto:chris_redman@bia.gov) Phone: (405)605-6001

**Website Address:**

<http://www.oiep.bia.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026 Indian Adult Education; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Twenty-five Tribally Controlled Community Colleges received financial assistance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants which the study team determines as eligible will be funded.

**15.028 TRIBALLY CONTROLLED COMMUNITY COLLEGE ENDOWMENTS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants to establish endowments for the Tribally Controlled Community Colleges.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to establish endowments. Interest earned on the invested funds may be used to defray expenditures associated with the operation of the College including maintenance, administration, academic and support costs, and community and student services programs. No part of the net earnings of the trust fund may be used to benefit any private person.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes which are governed by an Indian board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Approved status as a Tribally Controlled Community College. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges must complete an Endowment Fund agreement in accordance with 25 U.S.C. 1832(b).

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the Branch Chief of Post- Secondary Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established by the Branch of Post-Secondary Education.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals. Full appeal procedures are found in 25 CFR Part 2.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Colleges must match an endowment grant with a capital contribution equal to half of the amount of the Federal contribution.

Personal or real property received as a donation or gift may be applied toward the matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$107,000; FY 09 est \$107,000; FY 10 est \$107,000

**Range and Average of Financial Assistance:**

Range is \$4280 to \$5,632; Average \$4,955.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Twenty-five Tribally Controlled Community Colleges received endowments grants in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 41.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman Bureau of Indian Education, 215 Dean A. McGee, Suite 610,

Oklahoma City, Oklahoma 73102 Email: [chris\\_redman@bia.gov](mailto:chris_redman@bia.gov) Phone: (405)605-6001

**Website Address:**

<http://www.oiep.bia.edu.>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Using interest earnings from the endowment, a distance learning program utilizing satellites was established in one college and social science laboratories were updated. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.033 ROAD MAINTENANCE\_INDIAN ROADS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Federal Highway Act of 1921, as amended, Public Law 70-520, 45 Stat. 750, 25 U.S.C. 318(a); Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide limited routine maintenance on paved, gravel, earth, and unimproved roads; bridges; and airstrips.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

These funds are used to repair and maintain public roads serving Indian reservations, with particular emphasis on school bus routes and arterial highways; for snow removal, ice control, washout repair, and landslide removal; for replacement, rehabilitation, or maintenance of the 745 bridges on Indian reservation roads; for operation and maintenance of a ferry across Lake Roosevelt serving the Colville Indian Reservation; and for the maintenance of public airstrips located on Indian reservations which are not maintained by other governmental entities. Access to these funds is restricted to tribes with qualifying road miles or other facilities required to be maintained by this program.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Tribal governments which have jurisdiction over roads or other facilities that qualify for this program.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and individual American Indians.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes must submit a needs request to have roads or facilities added to the system being maintained under this program. An informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been

prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards made under this program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et. seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0.  
(Direct Payments for Specified Use) FY 08 \$7,014,870; FY 09 est \$7,014,870; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

LeRoy Gishi Office of Trust Responsibilities Tribal Services, Division of Transportation, Bureau of Indian Affairs, 1849 C Street NW, MS-4058 MIB, Washington, District of Columbia 20240 Phone: (202)208-4359

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects are funded in the areas of Routine Maintenance and Administration which maintains public roads serving Indian reservations; Emergency Maintenance which provides for snow removal, ice control, washout repair and landslide removal; Bridge Maintenance which inspects and maintains 745 bridges on Indian reservations; Ferry Boat Operation and Maintenance which operates and maintains a ferry across Lake Roosevelt serving the Colville Indian Reservation; and Airstrip Maintenance which provides maintenance services for public airstrips located on Indian reservations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

**15.035 FORESTRY ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Forest Resources Management Act of 1990, 36 Stat. 857, 25 U.S.C. 406 and 407; Act of June 25, 1910, Public Law 61-313; 62 Stat. 787 and 788, 18 U.S.C. 1853, 1855, and 1856; Rumsey Indian Rancheria Act, Sections 304-320, 104 Stat. 4531.

**OBJECTIVES:**

To maintain, protect, enhance, and develop Indian forest resources through the execution of forest management activities.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Funds are used to support activities of reforestation and commercial forest stand improvement; timber sales management; forest inventories and plans; forest program management and administration; and forest protection activities including Wild land Fire Management. Forest Inventory, Management Planning and Forest Development funds are awarded competitively.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

Initial application for financial assistance (Public Law 93-638) must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. Initial applications for financial assistance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog. Requests for technical services can be made through the local BIA agency office.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval. The dollar value of Forestry awards depends upon the amount that has been prioritized by the individual tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Forestry. Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Forestry Management Inventories, Planning and Forest Development funds are awarded for projects on a year-by-year basis and are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$14,500,000; FY 09 est \$14,000,000; FY 10 est \$14,000,000

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$1,000,000: Average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the program supported reforestation activities on about 13,500 acres and pre-commercial thinning on 27,400 acres. Completed hazardous fuel reduction treatments on 239,000 acres of Indian land. Timber sales managed through the program created about 9,000 person years of employment and generated revenues of approximately \$50 million. To date, 137 management plans have been developed to direct forestry activities on over 18 million acres of Indian forest lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; 25 CFR 163 -- General Forestry Regulations.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Bill Downes Office of Trust Services, Division of Forestry and Wildland Fire Management, Bureau of Indian Affairs, 1849 C Street N.W., MS-4513 MIB, , Washington, District of Columbia 20240 Email: bill\_downes@bia.gov Phone: (202) 208-4620

**Website Address:**

[http://www.doi.gov/bia/otrhome.htm#Forests;](http://www.doi.gov/bia/otrhome.htm#Forests)  
[http://www.doi.gov/bureau-indian-affairs.html.](http://www.doi.gov/bureau-indian-affairs.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are used for planting trees; greenhouse operations; weeding and fertilization; development or revision of reservation specific long-term sustained yield forest management plans; and development of environmental compliance documents, sales documents, and timber sale contracts. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Forestry: All applicants meeting the criteria in 25 CFR Part 900 will be funded. Forestry Management and Development: Criteria include need, benefit/cost analysis, capability of the applicant to successfully conduct the project, and budget and its effective use. Awards are based on the commercial timber base, the annual forest development inventory, and on periodic priority needs as determined by Regional Offices.

**15.036 INDIAN RIGHTS PROTECTION**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101 et seq.; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To protect Indian rights guaranteed through treaty or statute by obtaining the services or information needed to litigate challenges to these rights.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Awards fund projects to collect information needed by the Federal government to litigate challenges to Indian rights which have been guaranteed through treaty or statute.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor or grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor or grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$415,910; FY 09 est \$400,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$100,000; Average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards under this program have helped Tribes to successfully establish and defend rights guaranteed through treaty or statute. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicky Forrest Department of the Interior, Bureau of Indian Affairs, Office of Trust Responsibilities, 1849 C Street, NW, MS-4510 MIB, Washington, District of Columbia 20240 Phone: (202)208-5831

**Website Address:**

<http://www.doi.gov/bia/Rightsprot.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects are funded to support research and collection of data on rights issues in the areas of water, land title disputes, hunting and fishing rights, and environmental problems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

**15.037 WATER RESOURCES ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208.

**OBJECTIVES:**

To support Indian tribes in the effective and efficient management, planning, and use of their water resources.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Funds are used by tribes to conduct water management and planning project and activities for the purpose of managing and conserving their water resources and to participate in the on-going water rights negotiation and litigation



activities to protect and secure their lawful water rights. All awards are project/proposal specific and are the result of a nationwide competitive process.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. This. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Bureau's application and prioritization procedure for water programs funding has been published as a Notice in the Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005 ("Notice of Revised Instructions for Preparing and Prioritizing Water Program Funding Requests"). Completed applications should be submitted by the established deadline to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are made by the Deputy Bureau Director, Office of Trust Services, Central Office, based on the prioritization of all applications received through a thorough evaluation and scoring by a six-person review team. Awards are usually made shortly after the review team has completed its reviews of all proposals received in Central Office by the due date of September 15th. Any awards are subject to the availability of the congressional appropriations for the new fiscal year.

**Deadlines:**

Sep 15, 2009 As published in the Federal Register Notice, all applications must be submitted through the Regional Director of the BIA region with jurisdiction to the Deputy Bureau Director, Office of Trust Services, Bureau of Indian Affairs, by September 15th for funding consideration the following fiscal year.

**Range of Approval/Disapproval Time:**

There are no set times for approval or disapproval.

**Appeals:**

No appeal process. The Water Programs funds are annual, non-recurring congressional appropriations and any awards made on the basis of the published prioritization process and the availability of funds.

**Renewals:**

Funds are appropriated for use in non-recurring projects/activities on a year-to-year basis and are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Applications are evaluated and scored based on weighted criteria that have a maximum scoring range of 100 points (congressional and court mandates automatically score 100). No matching requirement, however, applications with available matching funds may score higher. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Water program funds awarded to tribes through Public Law 93-638, as amended, are subject to the requirements of the Act and 25 CFR Part 900. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$4,996,195; FY 09 est \$4,950,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually, approximately 25 to 40 percent of the requests for Water Management, Planning, and Pre-development financial assistance are at least partially funded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Revised Instructions for Preparing and Prioritizing Water Program Funding Requests, Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Division Chief Bureau of Indian Affairs, Division of Natural Resources, Office of Trust Services, 1849 C Street, NW, MS 4650 MIB, Washington, District of Columbia 20240 Phone: (202)208-3956

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects include hydrologic studies of groundwater supply, groundwater modeling, quantitative and qualitative monitoring and analysis of ground and surface water, aquifer investigations, stream gaging; comprehensive water management plans, etc., and also participation in tribal water rights negotiations/litigation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Water Management, Planning, and Pre-development proposals are evaluated according to the type of proposal (as published in the Federal Register Notice, Vol. 70, No. 201, October 19, 2005): Water Management - Indian Water and Associated Resources; Water Management - Coordination/Cooperation/Consultation/Conservation; Water Management - Other; Water Planning and Pre-development - Indian Water; and Water Planning and Pre-development - Other: In addition, all proposals are evaluated

on the basis of: Cost Effectiveness, Compliance with Requesting Guidelines; and Efficiency and Accomplishment. Projects are funded based on rankings of the projects Bureau wide, and in accordance with the national program priorities established for the program. Some preference is given to proposals that offer matching funds. Proposals are evaluated on the capability of the prospective applicant to successfully conduct the project, and on the budget and its effective use.

#### **15.040 REAL ESTATE PROGRAMS\_INDIAN LANDS**

##### **FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

##### **AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; 60 Stat. 1097, 25 U.S.C. 176; Indian Land Consolidation Act; Act of March 3, 1901; Act of March 3, 1921; Reorganization Plan No. 3, 1946; Public Law 56-382, 31 Stat. 1084, 25 U.S.C. 311; Public Law 66-359, 41 Stat. 1232, 25 U.S.C. 393; Public Law 97-459, 96 Stat. 2515, 25 U.S.C. 2201 et seq.; Public Law 98-608, 98 Stat. 3171; Public Law 102-238.

##### **OBJECTIVES:**

To provide real property management, counseling, and land use planning services to individual Indian allottees and Indian tribal and Alaska Native entities who own an interest in almost 56 million acres of trust land; to provide real estate appraisal services required in processing land transactions, and to protect and enhance the Indian leasehold estate by providing individual Indian landowners and Indian tribes with lease compliance activities.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

##### **USES AND USE RESTRICTIONS:**

Real Estate Services: decision-making processes are developed through cooperative efforts with the Indian landowners for the proper utilization, development, and enhancement of Indian trust lands. Real Estate Appraisals are one element in trust land transactions and are restricted to American Indians who have an ownership interest in property held in trust by the Federal government. Lease Compliance: program resources are used to ensure that leases on trust and restricted Indian lands and their assignees comply with the terms of the leases.

##### **Applicant Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations authorized by tribes, and individual American Indians.

##### **Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

##### **Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. For real estate appraisals, documented ownership interest in property held in trust is required. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for real estate services and lease compliance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

##### **Award Procedure:**

For Real Estate Services and Real Estate Appraisals, the dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process. For

Lease Compliance, funding is distributed to the Regional offices on the basis of number of existing leases and the number of inspections planned for the year. For Lease Compliance awards, in some cases, the award can be approved at the agency level. In most instances, the application will be forwarded to the Regional Director for approval.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

##### **Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

##### **Renewals:**

Awards for Real Estate Services and Lease Compliance may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Awards for Real Estate Appraisals are a single-action item completed for a specific property and are not subject to renewal.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

##### **Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards made under this Program, grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

##### **Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

##### **Account Identification:**

14-2100-0-1-452.

##### **Obligations:**

(Direct Payments for Specified Use) FY 08 \$3,987,550; FY 09 est \$4,409,550; FY 10 est \$0

##### **Range and Average of Financial Assistance:**

For Real Estate Services, tribal award amounts vary from approximately \$1,000 to \$500,000. For Real Estate Appraisals, the cost of most appraisals is less than

\$500 but can range up to approximately \$2,500 or more for large or complex properties; the average is \$1000. Lease Compliance awards range from \$250 to \$30,000 with most awards less than \$5,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Real Estate Services: To date, more than 12,000 surface leases were approved, and approximately 7,800 acquisitions and 4,000 land sales were processed. Real Estate Appraisals: More than 20,000 appraisals were conducted for trust property transactions. Lease Compliance: approximately 25,000 physical inspections were completed on more than 100,000 leases. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 162; 30 CFR; 43 CFR; Uniform Standard of Professional Appraisal Practices as promulgated by the Appraisal Standards Board of the Appraisal Foundation.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest Office of Trust Responsibilities, Division of Real Estate Services, Bureau of Indian Affairs, 1849 C Street NW, MS 4510 MIB, Washington, District of Columbia 20240 Phone: (202)208-7737

**Website Address:**

[http://www.doi.gov/bia/otrhome.htm#Land;](http://www.doi.gov/bia/otrhome.htm#Land)  
[http://www.doi.gov/bureau-indian-affairs.html.](http://www.doi.gov/bureau-indian-affairs.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Real Estate Services funds land sales, leasing, preparation of probate documents and estate planning. Real Estate Appraisals are conducted for commercial, residential, and industrial properties, including leased agricultural trust lands. Lease Compliance funds reviews of lease documents, investigations of lease violations and trespass issues, and physical inspections of leased property including assessments of improvements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding levels for Real Estate Services and Real Estate Appraisals are determined by the individual Tribe through participation in the BIA's budget formulation process. All applicants meeting the criteria in 25 CFR Part 900 will be funded. Appraisals are conducted for all transactions involving trust property. The time required to complete an appraisal depends on the number of requests being processed by a specific office and the resources available to meet the requests. Lease Compliance funds are distributed to the Regional offices based on three factors: (1) total number of leases, (2) total number of acres, and (3) total amount of income derived from leases. Awards for lease compliance are determined by the number of qualifying leases reported to the Agency and Regional Offices. Minimum funding of \$50,000 is allocated to each Regional office. In allocating program resources, priority is given to activities involving agriculture, oil and gas, mining, industrial, business, recreational, and other income-producing leases.

**15.041 ENVIRONMENTAL MANAGEMENT\_INDIAN PROGRAMS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; 42 U.S.C. 4321, et seq.; National Environmental Policy Act; Solid Waste Disposal Act, 42 U.S.C. 6901-6992k; Resource Conservation and Recovery Act, Public Law 94-580; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, 42 U.S.C.

9601- 9675; 16 U.S.C. 470; National Historic Preservation Act.

**OBJECTIVES:**

To determine environmental impacts of Federal projects on Indian lands; to conduct surveys of Bureau of Indian Affairs controlled Federal lands and facilities, and of Indian lands, in order to identify hazardous waste sites, evaluate the potential threat to health and the environment, and develop the necessary remedial actions; to train area, agency and tribal staff in waste management principles; and to respond to emergencies and alleviate adverse health or environmental impacts.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Use of these funds are two-fold. One, they facilitate the Bureau's fulfilling statutory responsibilities: they are used to prepare Environmental Assessments (EA's); advise agency superintendents on environmental quality, waste disposal and cultural resource management; assist area offices in gathering information for EA's and Environmental Impact Statements (EIS's); review proposed actions to determine compliance with the National Environmental Policy Act (NEPA); and assist area offices in obtaining information for compliance with the National Historic Preservation Act and the Archeological Resources Protection Act. Two, they are used for individual tribal projects that enhance or protect the local environment.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by the Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The award is approved by the Director, Office of Facilities, Environmental and Cultural Resources, Indian Affairs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

For continuing, funded projects, awards may be renewed upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor or grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports, SF 425, are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$4,000,000; FY 09 est \$4,000,000; FY 10 est \$0 - FY 2010 estimate is not available.

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$250,000; Average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year more than 3,000 compliance issues on Indian lands are addressed under the National Environmental Policy Act and the National Historic Preservation Act. Over the past several years, cleanup and compliance activities have been initiated on over 100 sites, including underground storage tanks, solid waste disposal facilities, and oil wells. An average of 50 emergencies that have the potential to adversely impact trust resources and health and safety are responded to annually. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR 800 and 40 CFR 1500-1508.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kevin Tennyson Bureau of Indian Affairs, Office of Facilities, Environmental and Cultural Resources, Division of Environmental and Cultural Resources Management, 2051 Mercator Drive, Reston, Virginia 20191 Phone: (703)390-6437

**Website Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects include on-site inspections, site testing and environmental data collection, closure of municipal waste dumps, asbestos abatement, removal of leaking underground storage tanks, and report preparation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No

Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must provide the Bureau of Indian Affairs or the tribes with assistance on a current compliance issue; work must be consistent with conservation of trust resources; and applicant must have the experience and qualifications necessary to complete the technical aspects of the work.

**15.042 INDIAN SCHOOL EQUALIZATION PROGRAM (ISEP)****FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funding for primary and secondary education.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for the education of Indian children in BIA funded schools. Funds may not be used for construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Agency/Area Education Program Administrator who will provide technical assistance. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et. seq.

**Award Procedure:**

The Agency/Area Education Program Administrator will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval.

**Deadlines:**

Jul 01, 2009 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Agency/Area Education Program Administrator.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Title 25, Chapter 39. Approximately ninety-nine percent of the ISEP funds will be allocated in accordance with the ISEP formula contained in 25 CFR 39. One percent of the funds shall be reserved for the Director's discretion.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be paid in advance, are awarded annually on an indefinite basis based on performance, and remain with the Self Determination contractor or grantee until spent. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$221,765,000; FY 09 est \$225,600,000; FY 10 est \$225,600,000

**Range and Average of Financial Assistance:**

The estimated range is \$101,400 to \$8,600,000. The average is \$1,774,000 per school.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 30,000 students are served by 122 tribally operated schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202)208-7658

**Website Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: ISEP funds are used to provide basic education and residential programs to Indian students not served by public or sectarian schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.043 INDIAN CHILD AND FAMILY EDUCATION**

(FACE)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.

**OBJECTIVES:**

To begin educating children at an early age through parental involvement, to increase high school graduation rates among Indian parents, and to encourage life-long learning.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Funds must be used for early childhood education, adult education and parenting skills. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded elementary schools may apply to administer the program.

**Beneficiary Eligibility:**

Parents and their Indian children under 5 years of age who live on a reservation with a Bureau-funded school.

**Credentials/Documentation:**

The initial application must be accompanied by a resolution of the tribal governing body of the Tribe of the children served by or to be served by the organization. No documentation is required of the parents or children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

Once an application is received, the Coordinator of the FACE program appoints a panel of readers from such organizations as the Indian Health Service, the Department of Education and others who are familiar with early childhood development. The panel reads, rates and ranks the applications. The coordinator then recommends to the Director, Office of Indian Education, those applications for approval.

**Deadlines:**

Jun 01, 2009 Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Office of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every 3 years based upon satisfactory performance. A notice of intent to renew should be submitted yearly and a full application must be submitted every 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Monthly progress reports, annual participation data, screening, work sampling, and other program data requested is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$7,000,000; FY 09 est \$7,000,000; FY 10 est \$7,000,000

**Range and Average of Financial Assistance:**

Each site receives \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually, over 1,800 children and 1,800 adults from 1,700 families receive services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Debbie Lente-Jojola Office of Indian Education Programs, Bureau of Indian Affairs, Office of the Deputy Director, Early Childhood, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Phone: (505) 563-5258

**Website Address:**

<http://www.oiep.bia.edu/sirc.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The sites provide such services as parenting skills, adult education and early childhood education in an effort to increase student achievement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator. Final determination made by the Director, OIEP, based on the Coordinator's recommendation.

**15.044 INDIAN SCHOOLS\_STUDENT TRANSPORTATION**

(Student Transportation)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funds to each school for the round trip transportation of students between home and the school site.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are to be used only for the transportation of students who are eligible under the Indian School Equalization Program (ISEP) as provided for under 25 CFR 39 and are enrolled in a Bureau funded school or dormitory.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Education Line Officer who will provide technical assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et seq.

**Award Procedure:**

The Agency/Area Education Program Administrator will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval/disapproval.

**Deadlines:**

Jul 01, 2009 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative

systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Agency/Area Education Program Administrator.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Funds are allocated in accordance with 25 CFR 39 Subpart G. The Director, Bureau of Indian Education will review transportation allotment factors each year and make changes in factors based on changes in transportation costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments are made in advance or by way of reimbursement. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$31,970,600; FY 09 est \$31,348,000; FY 10 est \$31,348,000

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$1,358,800; Average \$255,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually, more than 20,000 students are provided daily bus transportation to and from tribally-operated schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Joe Herrin Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202) 208-7658

**Website Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are provided to each school to provide daily transportation of students to and from school, and for boarding students, transportation at the beginning and end of the year as well as one mid-year round trip home. Additional funding is provided where miles driven is on unimproved roads. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.045 ASSISTANCE FOR INDIAN CHILDREN WITH SEVERE DISABILITIES**

(Residential Education Placement Program)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Individuals with Disabilities Education Act (IDEA), Public Law 101-476, 20 U.S.C. 1400.

**OBJECTIVES:**

To provide for the special education and related services of Indian children with severe disabilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for physical and occupational therapy, speech therapy, direct academic services and administration including staff development. Funds may only be used for students who are enrolled in a Bureau-funded school.

**Applicant Eligibility:**

Members or direct descendants of members of Federally recognized tribes and enrolled in a BIA-funded school.

**Beneficiary Eligibility:**

Indian children enrolled in a Bureau-funded school who are between the ages of five and twenty-one who have been determined by a multi-disciplinary team comprised of parents, teachers, school administrators and other concerned parties to be in need of specialized services available only in residential settings. Children whose fifth birthday occurs on or before December 31 or whose twenty-second birthday occurs during the course of the regular school year shall be regarded as eligible children for the entire school year.

**Credentials/Documentation:**

An Individual Education Program must be developed by a multi-disciplinary team. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A parent, classroom teacher, Tribal educator or other concerned party must identify a student as needing services and inform the head of the school attended by the student. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Individual Education Program is submitted to either the Institutionalized Program Coordinator at the

Cheyenne River Education Line Office, the Ft. Defiance Education Line Office or the Office of Indian Education Programs Office's Center for School Improvement in Albuquerque, NM.

**Award Procedure:**

The multi-disciplinary team in conjunction with the concerned Institutionalized Coordinator determines in what institution the child will receive services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

10 to 45 days.

**Appeals:**

The appeals process is outlined in the Individuals with Disabilities Education Act, Public Law 101-476, 20 U.S.C. 1400.

**Renewals:**

Individual Education Programs must be updated annually on the anniversary date of the Individual Education Program for as long as the student requires services.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made directly to the institution in which the eligible child is placed. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of the submission of the Single Audit Report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$3,715; FY 09 est \$3,715; FY 10 est \$3,737

**Range and Average of Financial Assistance:**

The average education cost for students in institutions is between \$140 and \$300 per day.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 170 students had disabilities so profound as to require institutionalized services on a 24 hour basis which were paid for by the Bureau of Indian Affairs. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 38; 25 CFR 39; 25 CFR 42; 25 CFR 43; 25 CFR 45; 25 CFR 900; 34 CFR 300; 34 CFR 300 (Appendix C); 34 CFR 303.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Jeff Hamley Bureau of Indian Education, Division of Performance and Accountability, 1011 Indian School Road, Suite 332, Albuquerque, New Mexico 87104 Email: jeff\_hamley@bia.gov Phone: (505)5635255

**Website Address:**

<http://www.oiep.bia.edu/sped.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funding may include but not be limited to occupational and physical therapy, counseling, audiology, and psychological services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All Individual Education Programs are funded.

**15.046 ADMINISTRATIVE COST GRANTS FOR INDIAN SCHOOLS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide grants to tribes and tribal organizations operating schools for the purpose of paying administrative and indirect costs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for program services related administrative overhead, operations necessary to meet requirements of the law, prudent management practices, and other necessary support functions.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or Tribal Organizations operating a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Indian Tribal Governments or tribal organizations operating an elementary or secondary school under a grant or Self-determination contract with the Bureau of Indian Affairs.

**Credentials/Documentation:**

Approved status as a grant or contract school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No separate application is required. The additional allocation will be calculated by the Bureau of Indian Affairs and added to the underlying award.

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the Education Line Officer.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 25 USC 2008(a).

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$43,373,000; FY 09 est \$43,373,000; FY 10 est \$43,373,000

**Range and Average of Financial Assistance:**

Range is \$1,975 to \$131,600; Average \$386,491.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: One hundred and twenty-two tribally operated schools received grants under this program. These funds were used to provide related administrative overhead support without reducing direct program services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin Headquarters Office: Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Email: joe\_herrin@bia.gov Phone: (202) 208-7658

**Website Address:**

<http://www.oiep.bia.edu/administration.htm>;

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of some administrative costs include fiscal, personnel, property and procurement management and costs of necessary insurance, auditing, legal, safety and security services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.047 INDIAN EDUCATION FACILITIES, OPERATIONS, AND MAINTENANCE****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, 25 U.S.C. 2501.

**OBJECTIVES:**

To provide funds to BIA funded elementary or secondary schools or peripheral dormitories for facilities operations and maintenance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of maintenance personnel, utilities, maintenance of school grounds, supplies, equipment, materials, and for minor repairs to facilities.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or tribal organizations currently served by a BIA funded elementary or secondary school or peripheral dormitory.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of BIA funded elementary or secondary schools or peripheral dormitories.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. If the school serves students from multiple tribes, resolutions from tribal governing bodies representing at least 90 percent of the students are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for status as a contract school must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Initial applications for status as a grant school should be developed in accordance with 25 U.S.C. 2501 et seq.

**Award Procedure:**

Applications should be submitted to the Agency/Regional Education Program Administrator (EPA) who will ensure that the application is complete. The application is forwarded by the EPA to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval. The dollar

value of the awards is based upon school age and condition, size, utilities costs, and other pertinent factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 to 180 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$59,800,000; FY 09 est \$59,800,000; FY 10 est \$0 - FY 08 est Operations \$33,000,000 Maintenance \$26,800,000; and FY 09 est Operations \$33,000,000 Maintenance \$26,800,000. (Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Almost 100 elementary and secondary schools on or near Indian reservations are operated by Indian tribes or Tribal School Boards. These funds help ensure that the facilities used to educate these students are safe, clean, and well maintained. Fiscal Year 2009: No Current Data Available Fiscal

Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency/regional education program administrator as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: (202)208-7658

**Website Address:**

<http://www.oiep.bia.edu/>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.048 BUREAU OF INDIAN AFFAIRS FACILITIES\_OPERATIONS AND MAINTENANCE**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide funds for basic operating services to Bureau-owned or Bureau-operated non-education facilities and to maintain these facilities in a safe operating condition for the conduct of Bureau programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for essential services for non-education physical plant and utility systems throughout the Bureau. The Operation and Maintenance may be used for personnel services, supplies, materials, equipment and support for planning, reporting and managing the operations and resources of the organization as well as heating, cooling, electricity, water, sewage, refuse disposal, basic telecommunications equipment, unscheduled and preventive maintenance, GSA vehicle rental, lease agreements, and custodial and protection services.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments who have Bureau-owned or Bureau-operated facilities on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of Bureau-owned or Bureau-operated facilities.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with the Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C "Contract

Proposal Contents." Completed applications should be submitted to the local Bureau agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that would otherwise be spent for the program through direct services provided by the Bureau. Operation and Maintenance is based upon age and condition, size, utilities costs, and other pertinent factors of the facility.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,440,670; FY 09 est \$144,670; FY 10 est \$0. (Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 1,263 Bureau owned or operated buildings,

excluding quarters, containing approximately 3,500,000 square feet receive funds. These funds help ensure that the facilities used are safe, clean, and well-maintained. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third Street, NW, Suite 500, P.O. Box 1248, Albuquerque, New Mexico 87103 Phone: (505)346-6522

**Website Address:**

<http://www.doi.gov/bia/ofmc/om.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting the requirements of 25 CFR Part 900 who have Bureau-owned or Bureau-operated facilities on their reservation.

**15.051 ENDANGERED SPECIES ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Endangered Species Act, Public Law 93-205.

**OBJECTIVES:**

To comply with the Endangered Species Act, the Northern Spotted Owl Recovery plan, and to implement the Endangered Species Recovery on Indian lands.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS FOR A SPECIFIED USE; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The program monies are species specific. Appropriated funds allow those tribes in areas of endangered species to conduct activities that are necessary to comply with the Endangered Species Act.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments whose reservations are in areas inhabited by these specific endangered species.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal application conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Financial assistance is in the form of nonrecurring awards appropriated for projects on a year-by-year basis. They are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,217,000; FY 09 est \$1,217,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$20,000 to \$140,000; Average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: About a dozen tribes are involved in endangered species driven activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900; 50 CFR Part 17 Endangered and Threatened Wildlife and Plants.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ira New Breast Bureau of Indian Affairs, Office of Trust Services, Division of Natural Resources, Branch of Fish and Wildlife Recreation, MS 4656 MIB 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-4088

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.034 Agriculture on Indian Lands; 15.035 Forestry on Indian Lands

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program activities include the development of water impoundments, cross fencing and vegetative management for the holistic management of a prairie resource; owl surveys; and radiotelemetry and habitat studies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria such as the geographic extent of potential critical habitat and the amount of harvested acres (forest, range, agricultural, etc.) are considered, as well as the methodologies proposed and the capability of the applicant to successfully conduct the project.

**15.052 LITIGATION SUPPORT FOR INDIAN RIGHTS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 103-399; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To establish or defend Indian property or treaty rights through judicial, administrative, or settlement actions.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

This program supports requests from tribes for expert witnesses, research, data collection, technical support, and other evidence-gathering activities required for the United States to defend the government's position in litigation cases involving Indian rights issues such as hunting, fishing and gathering rights issues; trespass; title issues, such as property line disputes; rights-of-way disputes; allotment claims; mineral entry; pollution and other activities which have harmed or could harm the health and safety of the reservation population. Funds may be used for the payment of Equal Access to Justice Act (EAJA) settlements or other payments ordered by the Courts, the Department of Justice and the Department of the Interior Office of the Solicitor.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by these Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Applications must be submitted each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee for the purposes specified in the application. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,386,000; FY 09 est \$1,386,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Funding range and average is not available. Approximately 30 funding requests are received on an annual basis; between 20 and 25 are funded each year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS-4620 MIB, Washington, District of Columbia 20240 Phone: (202)208-5831

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.053 Attorney Fees\_Indian Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Types of projects funded include studies supporting litigation and negotiation, record searches, and information research activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of proposals is dependent on the type of assistance being requested and the availability of funds. Cases for which assistance is requested must have progressed beyond Tribal courts to local, county, State, or Federal courts.

**15.053 ATTORNEY FEES\_INDIAN RIGHTS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To assist Federally Recognized Tribes in protecting their treaty rights and other rights established through Executive Order or court action.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

These funds are used to provide assistance to tribes to obtain legal representation in situations where the United States cannot represent them as authorized in 25 U.S.C. 175. The funds are distributed in accordance with regulations governing the expenditure of appropriated funds for the fees of private attorneys representing tribes, and the eligibility requirements are found in 25 U.S.C. 89. Bureau policy determines the attorney fee hourly rates.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR 89. Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

A new application is required each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended for the legal services specified in the contractor/grantee application. Payments are made as billings are received. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Reports are not required. Cash reports are not applicable. Progress reports are not applicable. Reports are not required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained by Tribes for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved. Records maintained by the attorneys are subject to provisions of the contract with the Tribe.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,764,000; FY 09 est \$1,764,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 89.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS 4620 MIB, Washington, District of Columbia 20240 Phone: (202)208-5831

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.052 Litigation Support for Indian Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cases funded from this program may involve environmental damage claims; water rights negotiation/litigation; boundary disputes; treaty hunting, fishing, and gathering rights; and off-reservation rights. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cases must first have been turned down by the Department of Justice and the Department of the Interior Office of the Solicitor, and then can be submitted for review to the Attorney Review Committee for a recommendation to the Assistant Secretary for approval.

**15.059 INDIAN GRADUATE STUDENT SCHOLARSHIPS**

(Special Higher Education Scholarships)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to obtain advanced degrees.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to defray the costs of obtaining a graduate degree.

**Applicant Eligibility:**

Individual applicants must be Indian students who are members of Federally Recognized Indian Tribes, who have been admitted to a graduate program and have unmet financial need.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are a member of or are at least one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Individual applicants must have proof of membership or one-fourth degree of Indian blood or descendant of a member of a Federally Recognized Indian Tribe. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants should contact the American Indian Graduate Center which administers the program on behalf of the Bureau. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms may be obtained from the local BIA agency or area education office listed in Appendix IV of the Catalog.

**Award Procedure:**

The applicant will be notified of the amount of the award by the financial aid office of the admitting university.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

20 to 30 days from the receipt of the application by the American Indian Graduate Center.

**Appeals:**

Not Applicable.

**Renewals:**

Individuals must reapply annually.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards made are not to exceed one academic year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Successful applicants are required to show proof of satisfactory performance. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$2,164,000; FY 09 est \$2,164,000; FY 10 est \$2,164,000

**Range and Average of Financial Assistance:**

Range is \$250 to \$4,000; Average \$3947.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually approximately 325 Indian students receive support to help finance graduate studies. Law and health professions are the most often selected areas of concentration. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director American Indian Graduate Center, 4520 Montgomery Boulevard, Suite 1-B, Albuquerque, New Mexico 87109 Phone: (505)881-4584

**Website Address:**

<http://www.oiep.bia.edu/contact.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026 Indian Adult Education; 15.027 Assistance to Tribally Controlled Community Colleges and Universities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.065 SAFETY OF DAMS ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638,

as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208; Indian Dams Safety Act of 1994, Public Law 103-302, 108 Stat. 1560; Secretarial Order No. 3048.

**OBJECTIVES:**

To improve the structural integrity of dams on Indian lands, including operations and maintenance of these dams.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds allow for the inspection, operation and maintenance, early warning systems, and emergency action plans of high and significant hazard dams under the responsibility of the Bureau of Indian Affairs, and for safety of dam rehabilitation construction necessary to correct identified deficiencies on the most unsafe dams. Financial awards are specific to a given site and awards are restricted to Indian tribes or tribal organizations affected by the projects.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments to be benefited by the award.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

The application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." For the rehabilitation construction, applications must contain the information specified in 25 CFR Part 900, Subpart J, "Construction." An Indian tribe or tribal organization that wishes to secure a construction project should contact the appropriate local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award will be approved at the regional level.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications for construction projects will be processed within 90 days after receipt of the final proposal.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900, Subpart L.

**Renewals:**

Projects are generally multi-year agreements with no renewal. Under extenuating circumstances, extensions may be granted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Contracts are for the duration of the project, often one to five years, and the

funds remain available until expended by the contractor/grantee. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$6,700,000; FY 09 est \$11,800,000; FY 10 est \$9,100,000

**Range and Average of Financial Assistance:**

Range is variable depending upon the scope of work. Awards are commonly awarded for various phases of the safety program. For example, conception design \$100,000 to \$300,000; final design \$300,000 to \$1,000,000; and construction repair \$1,000,000 to \$17,000,000. For the non-construction portion, awards can be from \$10,000 up to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the design phase was completed on two project and two construction projects were completed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; and Department of the Interior Safety of Dams (SOD) Program.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

John Anevski, P.E. Office of Trust Services, Division of Irrigation, Power and Safety of Dams, Bureau of Indian Affairs, 1849 C Street N.W., MS 4655 MIB, Washington, District of Columbia 20240 Email: john\_anevski@bia.gov Phone: (202)208-5480

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects commonly encompass three phases of program work: conceptual design, involving engineering studies of construction alternatives; final design, including structural dam design and cost estimation; and construction repair, the physical rehabilitation of existing structures. Also, included are recurring operations and maintenance of the dams, early warning systems and emergency action plans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relative probability of dam failure (risk-of-failure) is determined from the technical factors used in the SEED report to determine placement on the Department of the Interior's Technical Priority Rating List. This priority list is then used to prioritize budget requests for repair of the Bureau's most unsafe dams. Approximately \$22,000,000 of the funds for the Safety of Dams program are distributed in accordance with the Technical Priority Rating listing for Department of the Interior dams.

**15.108 INDIAN EMPLOYMENT ASSISTANCE**

(Employment Assistance Program)

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide vocational training and employment opportunities to eligible American Indians and reduce Federal dependence.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians to obtain a marketable skill through vocational training and to assist those who have a job skill to find permanent employment. Vocational and employment counseling are provided by the program. Eligible American Indians may receive vocational training or job placement on or near the reservation or in an urban Regional.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian Tribal Governments may apply to administer the program. Individual American Indian applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are unemployed, underemployed, or in need of training to obtain reasonable and satisfactory employment. Complete information on beneficiary eligibility is found in 25 CFR, Parts 26 and 27.

**Credentials/Documentation:**

Applicants must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications by Indian Tribal Governments to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV. Individual American Indian applicants should apply for program services on Bureau of Indian Affairs Form BIA-8205 at the nearest Bureau Employment Assistance office or tribal government offices.

**Award Procedure:**

The dollar value of the awards to Indian Tribal Governments depends upon the amount that has been prioritized by the individual Tribe through tribal



participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Applications for individual benefits are approved by the Bureau Agency Superintendent or authorized tribal representative.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications by Tribal Governments to administer the program will be processed within 90 days. Applications by individuals for benefits will be processed within 30 days.

**Appeals:**

A Tribal Government whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An individual may appeal the BIA agency Superintendent's decision to the Regional Director. The complete appeal process for an individual is found in 25 CFR Part 2, "Appeals from Administrative Action." An appeal of a Tribal contractor's decision must be made under the Tribe's appeal procedures.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Renewals of grants to individual beneficiaries are based on evidence of satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards to Indian Tribal Governments and Native American Organizations to administer the program are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the Tribal Government. Grants to individual beneficiaries for subsistence, tuition and related training costs, supportive services, etc., are released as required by beneficiary, up to the amount of the award. Assistance for job placement is provided until the beneficiary receives the first full paycheck from employment. Individual beneficiaries may not receive more than 24 months of full-time training, except for Registered Nursing students who may receive 36 months of training. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards administered by Indian Tribal Governments, the Tribe is responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Indian Tribal Governments administering the program must retain financial records for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$6,923,860; FY 09 est \$6,923,860; FY 10 est \$0. (Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 175 awards are made annually to Indian Tribal Governments; approximately 1500 individuals receive assistance annually either through Tribal programs or as direct grants from the BIA. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26 and 25 CFR 27. For awards to Indian Tribal Governments see also 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog or with the Tribal Government administering the program.

**Headquarters Office:**

Office of Indian Energy and Economic Development Division of Workforce Development, 1951 Constitution Avenue, NW, Mail Stop 20-SIB, Washington, District of Columbia 20245 Phone: (202)208-3100

**Website Address:**

<http://www.doi.gov/bia/ecodev/index.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.114 INDIAN EDUCATION\_HIGHER EDUCATION GRANT PROGRAM**

(Higher Education)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to attend accredited institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are to supplement the total financial aid package prepared by the college financial aid officer. Funds are intended to assist students in pursuing their undergraduate baccalaureate degree.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments may apply to administer the program. Individuals who are members of Federally Recognized Indian Tribes may submit applications for benefits directly to the Bureau of Indian Affairs if the Bureau agency serving their reservation provides direct services for this program. Individuals must be enrolled in an accredited college and have financial need as determined by the institution's financial aid office.

**Beneficiary Eligibility:**

Members of a Federally Recognized Indian Tribe who are enrolled or accepted for enrollment in an accredited college and have financial need as determined by the institution's financial aid office.

**Credentials/Documentation:**

Initial application by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe. Individual student applicants must submit a certificate of Indian blood; college financial aid package; statement of acceptance by college and Bureau of Indian Affairs grant application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant should consult the Education Line Officer. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications by Indian tribes and tribal organizations to administer the program must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Individual students must be accepted by a college or university and should complete application forms in accordance with instructions available upon request from the Education Line Office, or tribal contractor administering the program. Completed forms are submitted to the student's higher education program office at the appropriate office.

**Award Procedure:**

In most cases, the application by an Indian tribe or tribal organization to administer the program can be approved by the Area/Agency Education Program Administrator or the Area/Agency Bureau Contracting Officer. Individual students are notified by the Area/Agency Education Program Administrator or tribal contractor, and funds are sent to the applicant in care of the college or university financial aid office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications by Indian tribes and tribal organizations to administer the program will be processed within 90 days. Applications by students will be processed within 6 to 10 weeks after all required documents are submitted.

**Appeals:**

Indian tribes and tribal organizations whose application to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900. Individual students may appeal a Bureau of Indian Affairs official's decision to the Area/Agency Education Program Administrator under the procedures contained in 25 CFR Part 2, "Appeals from Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Grants to students may be continued through the undergraduate level if the student maintains acceptable progress and academic standing. Renewal applications must be submitted annually with updated grades or transcript.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards to Indian tribes and tribal organizations are made on an annual basis. Payments may be made in advance or by way of reimbursement. The time of the payments will be negotiated with the Indian tribe or tribal organization. Grants to students are generally made for the academic year on a quarter or semester basis. A grant is for a period not to exceed 5 years, or the period of time required to complete the course of study. See the following for information

on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Students applying for continuation of grants must submit grade reports at the end of each academic year. Cash reports are not applicable. Progress reports are not applicable. Indian tribes and tribal organizations are required to submit the Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be maintained by the Indian tribe or tribal organization for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$25,960,000; FY 09 est \$25,960,000; FY 10 est \$20,095,000

**Range and Average of Financial Assistance:**

Range is \$300 to \$5,000; Average \$2,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually an estimated 9,800 students receive assistance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Chris Redman Bureau of Indian Education, 215 Dean A. McGee, Suite 610, Oklahoma City, Oklahoma 73102 Email: [chris\\_redman@bia.gov](mailto:chris_redman@bia.gov) Phone: (405)605-6001

**Website Address:**

<http://www.oiep.bia.edu/scholarships.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.108 Indian Employment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Bureau's scholarship program provides about 25 percent of the student's total financial aid. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Final determination to fund student applications is based on the individual's eligibility and total dollars available to the Indian tribe or tribal organization or local Bureau office.

**15.130 INDIAN EDUCATION\_ASSISTANCE TO SCHOOLS**  
(Johnson-O'Malley)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian Self Determination and Education and Assistance Act, Public Law 93-638; 25 U.S.C. 455-457.

**OBJECTIVES:**

To fund programs that meet the unique and specialized needs of eligible Indian students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for supplemental programs to meet the special educationally related needs of eligible Indian students. Funds under this program may not be used for capital expenditures.

**Applicant Eligibility:**

Tribal organizations, Indian Corporations, school districts or States which have eligible Indian children attending public school districts and have established Indian Education Committees to approve supplementary or operational support programs beneficial to Indian students.

**Beneficiary Eligibility:**

Children who are enrolled members of, or at least one-fourth or more degree of Indian blood descendant of a member of a federally recognized Indian tribal government eligible for service by the Bureau, and are between age 3 through grade 12 with priority given to those residing on or near Indian reservations.

**Credentials/Documentation:**

As required for contract under 25 CFR Part 900. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

BIA will provide technical assistance when requested by tribal organization. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms may be obtained from the Area/Agency Education Program Administrator. Completed applications which include an education plan based on needs assessments and an estimated budget are sent to the appropriate BIA Area or Agency Office.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Contracts with Indian corporations, States and school districts are negotiated with the Agency/Area Education Program Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual reports required following the close of the year, as specified in 25 CFR 273. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$13,781,000; FY 09 est \$13,781,000; FY 10 est \$13,781,000

**Range and Average of Financial Assistance:**

Range is \$700 to \$3,532,771; Average \$83,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annually approximately 272,000 students in 33 States are served. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 273; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Jim Martin Office of Indian Education Programs, Room MS 3609-MIB, 1849 C Street, N.W., , Washington, District of Columbia 20240 Email: jim\_martin@bia.gov Phone: (202) 208-5820

**Website Address:**

<http://www.oiep.bia.edu/jom.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Home school coordinators; remedial tutoring, educational field trips; and cultural programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Johnson-O'Malley Parent Committee determination through needs assessments.

**15.141 INDIAN HOUSING ASSISTANCE**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To use the Housing Improvement Program (HIP) resources of the Bureau of Indian Affairs to eliminate substantially substandard Indian owned and inhabited housing for very low income eligible Indians living in approved tribal service areas. This effort is assisted by the Indian Health Service (Department of Health and Human Services) which provides water and sanitary systems for houses repaired or built with HIP funds.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program is primarily devoted to providing decent, safe, and sanitary housing through renovations, repairs, or additions to existing homes. The program will build an entire house in situations where no other program can meet the need in the immediate or near future. Technical assistance is provided to Indian tribes to establish housing plans and determine the extent and use of the Bureau's Housing Improvement Program. The program is restricted to use within reservations and approved tribal service areas.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations to administer the program who have eligible applicants with identified housing needs. Individual members of Federally recognized Indian tribes living in approved tribal service areas in need of housing assistance who are unable to obtain assistance from any other source, and who meet the eligibility criteria of the HIP regulations (25 CFR Part 256 "Housing Improvement Program").

**Beneficiary Eligibility:**

Individual members of Federally recognized Indian tribes.

**Credentials/Documentation:**

Initial applications by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe(s) to be served. Individual Indians must furnish information required by 25 CFR Part 256, basically proving membership in a Federally-recognized Indian tribe and financial inability to obtain assistance for repairs or new housing. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Funds may be used in conjunction with other Federal programs, such as Indian Health Service for water and sanitary facilities, or privately financed programs that are appropriate to repair or build housing. An informal conference with Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications from Indian tribes and tribal organizations must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed application should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV. Individual Indians should submit written applications to the local tribal servicing housing office, or local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

**Award Procedure:**

The dollar value of the award to Indian tribes and tribal organizations is determined through the use of annual tribal work plans identifying eligible applicants and through prioritization under the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

Applicants whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR part 900. An individual whose request is denied may appeal a Bureau of Indian Affairs official's decision to the Regional Director under the procedures contained in 25 CFR Part 2, "Appeals From Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations to administer the program may be renewed indefinitely upon satisfactory performance by the contractor. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of changes in the identified eligible applicants and in individual tribal priorities established in the budget formulation process. For individual Indians, receipt of program services represent one-time direct assistance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For Indian tribes and tribal organizations awards are made on an annual basis and the funds remain available until expended by the contractor. Payments may be made in advance or by way of reimbursement. The timing of payment will be negotiated with the Indian tribes. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program progress reporting requirements will be negotiated with the contractor. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0. (Project Grants) FY 08 \$13,000,000; FY 09 est \$13,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: On an annual basis over 500 families receive services under the HIP program through repairs/renovations or new or replacement construction. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 Part 256, "Housing Improvement Program;" 25 CFR Part 900, "Contracts under the Indian Self- Determination and Educational Assistance Act;" and OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for Regional Office addresses.

**Headquarters Office:**

Deputy Director Office of Tribal Services, Bureau of Indian Affairs, 1849 C St., N.W., MS 4513 MIB, Washington, District of Columbia 20240 Phone: (202)5137640

**Website Address:**

<http://www.doi.gov/bia/tsservices/hip/housing.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 14.850 Public and Indian Housing

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The HIP does not fund multi-unit projects as such, the assistance is granted to repair Indian owned and inhabited individual houses with each house considered to be a project. Occasionally, several individual projects may be constructed simultaneously in close proximity giving the appearance of a multi-unit project. One such occurrence was the construction of several units in California. Prior to HIP undertaking there was no housing in this area. No other federally-assisted housing program was able to meet this need. The result of constructing housing in this area has been significant. The effort proved decent housing could be a reality in remote geographic areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if a viable tribal work plan identifying eligible applicants, the category of assistance needed, the estimated project cost for each eligible applicant, and a report of prior year accomplishments is submitted and the tribe has high priority ranking eligible applicants for which sufficient funding is available for the needed project or the program has been prioritized by the Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Individual Indians must meet the eligibility requirements contained in 25 CFR Part 256. Requests are made by individuals to the local tribal servicing housing office or to local BIA agencies for repair or new housing assistance. Starting with the most needy, regardless of the category of services required, applicants are served until available funds are exhausted.

**15.225 RECREATION RESOURCE MANAGEMENT****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act, Public Law 94-579.

**OBJECTIVES:**

To manage recreational resource values on the public lands administered by the Bureau of Land Management and to increase public awareness and appreciation of these values. For Recovery and Reinvestment Act funded projects, in addition to the program objectives above: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands administered by the BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping the BLM manage and/or upgrade recreational resources and related facilities, and in providing related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of funding are required to submit performance reports 30 days following the end of the reporting period. Final performance reports are due 120 days after the end of grant performance. Projects funded under the American Recovery

and Reinvestment Act of 2009 will additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). Recipients of funding are required to submit quarterly financial status reports 30 days following the end of the reporting period. Final financial status reports are due 120 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1108-0-1-302 - 14-09/10 ARRA Fund Code; 14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$5,100,000; FY 09 est \$2,000,000; FY 10 est \$2,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$400,000; FY 10 est \$400,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$5000 to \$133,000. Average amounts approximately \$25,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: BLM continues to maintain and expand partnerships in the Tread Lightly, Leave No Trace, Interpretive programming, Recreational Fishing, Corridor Management (rivers and trails), and numerous travel and tourism activities. BLM uses challenge cost share and cooperative conservation initiative grants whenever possible on projects of mutual benefit to rural communities, counties, and cities in the western United States for management of public lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's recreation program is generally guided by provisions in 43 CFR Part 8000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 8300 and 8400) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief Bureau of Land Management (WO 250), 1849 C Street, NW, 302 LS, Washington, District of Columbia 20240-9998 Phone: 2024525041

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development of recreation facilities on BLM managed lands; cooperative visitor services to the general public using BLM managed lands; agreements to manage public land resources cooperatively; and assistance agreement to promote more effective management of caves on public lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM land management and a balanced review including relevance to

program objectives, merit and cost effectiveness. In addition, for Recovery Act funded projects the evaluation criteria must also address how the applicant's project will jumpstart the economy, create or save jobs, and place a down payment on addressing long-neglected challenges for the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.231 FISH, WILDLIFE AND PLANT CONSERVATION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To manage fish, wildlife and plant conservation resources on the public lands administered by the Bureau of Land Management. This will help restore and protect lands containing noteworthy resource values for regionally significant species of management concern or wetland and riparian areas; restore and protect crucial habitat through vegetation treatments, installation of wildlife friendly fences, and creating fish passages or barriers to protect aquatic species. Restoration of wildlife habitat to restore and protect sage grouse, desert tortoise, and other upland habitats for special species as well as riparian habitat for endangered or special status fish and aquatic species. For Recovery Act funded projects, in addition to the program objectives above, section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local governments budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Projects are primarily conducted on lands administered by the BLM but may also be conducted on other public or private lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to help protect, restore, and enhance fish, wildlife, and plant conservation resources and to provide related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs,

Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required with this application.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or District/Field Office Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding announcement is posted on www.grants.gov and may be obtained by contacting the point of contacts listed in the funding opportunity announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-by-year basis and funds are expended during a particular fiscal year.  
Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Funding recipients are required to submit quarterly, semi-annual, or annual performance reports 30 days after the end of the reporting period. Final reports are due 120 days after the end of the grant performance period. Projects funded under the Recovery Act will have additional reporting requirements as described in the announcement packages at www.grants.gov. Funding recipients are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report, 30 days after the end of the reporting period. Final financial status reports are due 120 days after the end of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Projects will be audited at least once during life cycle. Grants awarded to educational institutions and nonprofit organizations are subject to the audit requirements of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations

will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1108-0-1-302 - 14-09/10; 14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$9,600,000; FY 10 est \$14,400,000. (Cooperative Agreements) FY 08 \$25,753,000; FY 09 est \$26,090,000; FY 10 est \$26,427,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$5,000 to \$2,000,000. Average amounts approximately \$50,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's fish, wildlife and botany program is generally guided by provisions in 43 CFR Part 6000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 6500) and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Group Manager Fish, Wildlife and Botany Group, Bureau of Land Management (WO 230), 1849 C St, N.W., LSB 204, Washington, District of Columbia 20240-9998 Phone: 2024525133

**Website Address:**

<http://www.blm.gov/nhp/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded include vegetation, rare and threatened and endangered plants and botanical surveys, fish and wildlife survey and monitoring, habitat use and condition surveys; habitat improvement or projection projects. Wildlife habitat restoration projects have provided increased protection of local communities by reducing threats from fire and invasive species through habitat improvement projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to public lands management and a balanced review including relevance to program objectives, merit and cost effectiveness. In addition, for Recovery Act funded projects, the evaluation criteria must also address how the applicant's project will boost the economy, create or save jobs, and address long neglected challenges for the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.233 FORESTS AND WOODLANDS RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737,(b), Public Law 94-579, as amended; and Stewardship End Result Contracting Projects, 16 U.S.C. 2104, Public Law 108-7, Consolidated Appropriation Resolution, 2003, Division F, Title III, Section 323 as amended Public Law 105-277, Department of the Interior and Related Agencies Appropriations Act, 1999, Division A, Section 101(e), Title III, Section 347, as amended Public Law 106-113, Making Consolidated Appropriations for the Fiscal Year Ending September 30, 2000,

and For Other Purposes, Division B, Section 1000(a)(3), Title III, Section 341 and Public Law 107-63, Department of the Interior and Related Agencies Appropriations Act, 2002, Title III, Section 332.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of forests on public lands. Improvements will include the maintenance of forest health, forest regeneration, restoration, rehabilitation, insect and disease control, forest development, implementation of stewardship projects and providing for biomass utilization of public lands. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); TRAINING

**USES AND USE RESTRICTIONS:**

Projects are limited to forestry projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative forestry project proposals should be coordinated with Bureau of Land Management local State or District Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula requirements. However, matching funds are encouraged by the applicants and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: This information is not available.

**Reports:**

Program reports are not applicable. No cash reports are required. Recipients are required to submit quarterly, semi-annual, or annual performance reports 30 days following the reporting period. Final reports are due after the end date of grant performance. Projects funded under the American Recovery Act of 2009 will have additional reporting requirements as described in the announcement packages at www.grants.gov and the DOI Recovery Act website at <http://recovery.doi.gov>. Recipients are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report. Interim reports are due 30 days after the end of the reporting period and final reports are due 90 days after the end of the grant period. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$319,000; FY 09 est \$360,000; FY 10 est \$400,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$400,000; FY 10 est \$300,000 - Recovery and Reinvestment Act Funds TAFS: 14-09/10-1108-0-1-302.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: BLM continues to maintain and expand partnerships to include funding for continued support of collaborative efforts to build community capacity and support for ecological restoration efforts in forest and woodlands. The public and BLM benefit from its support with partners in heightening public understanding of the social and economic, as well as environmental, aspects of ecosystem restoration and maintenance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Division Chief Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., N.W., 204 LS, Washington, District of Columbia 20240 Phone: (202)452-0316

**Website Address:**



[http://www.blm.gov/wo/st/en/prog/more/forests\\_and\\_woodland.html](http://www.blm.gov/wo/st/en/prog/more/forests_and_woodland.html).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Stewardship projects that removed vegetation to promote healthy forest stands and reduced fire hazards. Projects that promoted an integrated approach that included local community participation in developing strategies for biomass utilization, recognizing the connections between biomass utilization and forest restoration, and encouraged sustainable development through a variety of enterprises at different and appropriate scales. Projects that cooperatively supported common goals and interests in managing, developing and protecting federal and private land and water resources in an environmentally and economically sound manner. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to Federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.236 ENVIRONMENTAL QUALITY AND PROTECTION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended Public Law 105-277, Section 135; and Consolidated Appropriations Act of 2008, Public Law 110-161, Division F, Section 125.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements as a partnership to reduce or remove pollutants in the environment for the protection of human health, water and air resources; to restore damaged or degraded watersheds; and to respond to changing climate. Objectives are implemented through core programs such as: the Abandoned Mine Land program which addresses physical safety hazards and water quality through restoration of abandoned hardrock mines; the Hazard Management and Resource Restoration, also known as Hazmat program, which remediates sites impacted by hazardous materials and illegal activities, coordinates emergency response actions, and ensures the Bureau of Land Management facilities and operations comply with applicable environmental regulations; and the Soil, Water and Air (SWA) program which develops guidance for land use plans and plan implementation. The Soil, Water, and Air program also assures that fundamental resources are inventoried and assessed, managed, and monitored to support appropriate management response to public land conditions. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

**USES AND USE RESTRICTIONS:**

Partnership projects are limited to public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. Hazmat and Abandoned Mine Land projects will support: inventory and site assessments; mitigation, remediation, and restoration activities; and maintenance and monitoring of actions taken. Funded projects will protect public health, safety and environmental resources by eliminating contamination

and hazards and restoring natural resources. The Soil, Water and Air Program Support: soil survey and interpretation, ecological site determination, soil erosion control, and sustaining soil productivity; acquisition of water rights and inventory of water resources to assure availability of water to meet management objectives; monitoring and improvement of quality, and implementation of appropriate best management practices; Colorado River Basin salinity control activities; and air resource management including air quality, visibility, noise, climate, and climate change issues.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information on local requirements, cooperative rangeland project proposals should be coordinated with Bureau of Land Management local State or District Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The program has no statutory formula matching requirements. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: This information is not available.

**Reports:**

Projects funded under the American and Recovery Act of 2009 will have additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov) and the DOI Recovery Act website at <http://recovery.doi.gov/>. Cash reports are not applicable. Progress reports are not applicable. Recipients of funding are required to submit quarterly financial status reports using form Standard Form 269, Financial Status Report, and quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. Final performance and financial status reports are due 120 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$5,762,000; FY 09 est \$4,000,000; FY 10 est \$4,000,000. (Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$3,508,000; FY 10 est \$15,291,000 - Recovery and Reinvestment Act Minerals, Land and Resources (MLR) Funds TAFS: 14-09/10-1108-0-1-302; and Recovery and Reinvestment Act Construction Funds TAFS: 14-09/10-1112-0-1-302.

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$5,000 to \$485,000. Average amount is \$150,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States, other partners, and the Bureau of Land Management have worked together with private and non-federal landowners to enhance public health and safety and eliminate environmental degradation due to impacts from past hardrock mining activities, illegal dumping of solid and hazardous wastes, and unexploded ordnance. Natural resources adversely impacted by oil spills and releases of hazardous substances have been restored. Soil, water and air resources have been sampled and monitored; impacts have been controlled. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management environmental quality and protection programs can be found at [www.blm.gov](http://www.blm.gov), including: the Cooperative Conservation Based Strategic Plan for the Abandoned Mine Lands Programs, Abandoned Mine Land Program Policy Bureau of Land Manual 3720 and Handbook H-3720-1, Hazard Management and Resource Restoration Manual 1703, and CERCLA Response Actions Handbook H-1703-1. Manuals providing basic program policy guidance for the Soil, Water and Air Program are found in Bureau of Land Management Manual 7000 series and may be obtained at [www.blm.gov](http://www.blm.gov).

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Nancy E. Dean Environmental Quality and Protection, Bureau of Land Management (WO 280), 1849 C St., N.W., 204 LS, Washington, District of Columbia 20240 Phone: (202) 452-5060

**Website Address:**

<http://www.blm.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past projects funded encouraged the State and the Bureau of Land Management to work together within close proximity of public lands. Examples of Abandoned Mine Land projects can be found in the Bureau of Land Management - Forest Service joint report entitled "Abandoned Mine Lands: A Decade of Progress Reclaiming Hardrock Mines," BLM publication BLM-WO-GI-07-013-3720. This report is available at [www.blm.gov](http://www.blm.gov). Projects designed to reduce salt loading in the Colorado River, which include plugging saline wells, reducing saline runoff from areas of saline soils through improved vegetation management and restoration of OHV trails and other surface disturbance, organization and presentation of a road maintenance workshop to teach erosion control methods, and a study on relationship between grazing and vegetation green-up to maintain vegetation cover in areas of saline geology and soils. Past completed projects were completed to improve stream bank and channel conditions and projects to analyze movement and management of groundwater in areas threatened by groundwater over-drought and ground water contamination. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness. In addition, for Recovery Act funded projects will boost the economy, create or save jobs, and put a down payment on addressing long neglected challenges for the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.241 INDIAN SELF-DETERMINATION ACT CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistant Act, Public Law 93-638, 25 U.S.C 450.

**OBJECTIVES:**

To provide maximum Indian participation in the government and education of the Indian people; to provide the full participation of the Indian tribes in programs and services conducted by the Bureau of Land Management for Indians and to encourage the development of human resources of the Indian people; and to establish program assistance to upgrade Indian education that will support the right of Indian citizens and for other purposes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Contracts, grants and cooperative agreements are authorized for non-construction projects in the 17 western states and Alaska for programs and services conducted by the Bureau of Land Management for the benefit of Indian tribes. Programs available to Tribes because they deliver services to Indians in their protected status are: cadastral survey and minerals management. Other programs, services, functions and activities administered by the Bureau of Land Management which are of specific geographic, historical, or cultural significance to the Indian Tribes are: cultural heritage, forestry management, range management, riparian management, recreation management, and wildlife and fisheries management. Certain restrictions will be applicable based on the specific statutory authority that authorizes the construction activities which are primarily for the benefit of Indians because of their status as Indians.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The application for a contract, grant or cooperative agreement must contain an

authorizing resolution of the governing body of the Indian tribe. Each contract, grant or cooperative agreement requires project specific authority. Detailed written technical proposals including background data regarding the applicant's, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified in 25 CFR Part 900.8. Proposals shall be submitted to the applicable Bureau of Land Management State Office with responsibility for the specific project for which an Indian tribe or tribal organization proposes to participate. Bureau of Land Management personnel will provide technical assistance to tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

The Bureau of Land Management and the tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. The Bureau of Land Management and the tribe also negotiate an annual funding agreement, which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the PL 93-638 contract. A final agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial annual funding agreement, property list, list of any applicable provisions, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As specified within 25 CFR Part 900.

**Renewals:**

Will vary with project and/or award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of programs will vary. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

The reporting of financial status reports and progress reports requirements will be negotiated within the annual funding agreement or overarching terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$3,700,000; FY 09 est \$4,000,000; FY 10 est \$4,300,000

**Range and Average of Financial Assistance:**

Range \$36,000 to \$1,700,000; Average \$274,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Indian tribes and the Bureau of Land Management have worked together to authorize tribes to take over the administration and program for oil and gas inspections on tribal lands in Montana. Alaska Native villages and regional or village corporations are conducting cadastral land surveys of their tribal lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, 25 USC 450, as amended, Public Law 93-638, and 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Native American Coordinator Bureau of Land Management, 1849 C Street, NW, 204-LS, Washington, District of Columbia 20240 Phone: (202)452-7756

**Website Address:**

<http://www.blm.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past projects funded were for mineral management of tribal lands in Montana where three tribes are conducting the inspection and enforcement of Indian oil and gas operations, inspection, enforcement and production of Indian operations. In addition, many cadastral surveys are being conducted on tribal and allottee lands in Alaska. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Review and approval of contract proposals is in accordance with 25 CFR Part 900, Subpart D - Review and Approval of Contract Proposals.

**15.252 ABANDONED MINE LAND RECLAMATION (AMLR) PROGRAM**

(Abandoned Mine Lands)

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To protect the public, health, safety and general welfare, and restore land, water and environmental resources affected by coal and noncoal mining practices that occurred prior to August 3, 1977.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support the operation of an approved State or Tribal Abandoned Mine

Land (AML) reclamation program. Approved programs use grant funds for mine site reclamation projects on eligible lands, which are lands and waters mined or affected by coal mining processes that occurred prior to August 3, 1977 (as well as certain post-1977 and noncoal mining activities). Grants also support project administration. Grants may also include funding for AML-related activities including: the Emergency program, to abate sudden mining-related dangers to public health and safety; the Appalachian Clean Streams program, to treat water affected by acid mine drainage; Set-Aside funds, to establish special accounts to fund future acid mine drainage treatment or coal mining reclamation; and the Subsidence Insurance program, to develop a self-sustaining State subsidence insurance program.

**Applicant Eligibility:**

The program is restricted to States with (1) an approved coal mining regulatory program, (2) lands eligible for reclamation, and (3) active coal mining operations within their borders that are paying coal reclamation fees into the Abandoned Mine Reclamation Fund; and to federally-recognized Indian Tribes with (1) eligible lands, and (2) active mining operations paying fees into the Fund. An eligible State or Tribe may submit a State reclamation plan to the Office of Surface Mining for approval.

**Beneficiary Eligibility:**

Coal field citizens and the general public benefit from reduced exposure to safety and health risks from abandoned mine lands.

**Credentials/Documentation:**

A State or Tribal Indian reclamation plan must be approved by the Assistant Secretary for Land and Minerals Management. AML grants to approved projects must be approved by an authorized official of the appropriate OSM Regional or Field Office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application SF 424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," may be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional/Field Office for details. Grant applications covering all AML programs/activities are to be submitted to the applicable OSM Regional/Field Office annually.

**Award Procedure:**

The Regional/Field Office should act upon a grant application within 60 days of submittal of a complete application. If the application is not approved, the Regional/Field Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. The applicant may submit the revised application or appropriate revised portions of the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally 60 days.

**Appeals:**

An applicant may appeal the OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM no later than 30 days after the Regional or Field Office official made the decision.

**Renewals:**

New grants may be awarded annually upon satisfactory performance by the State/Tribal AML Program.

**Formula and Matching Requirements:**

Statutory Formula: Title , Chapter , Part , Subpart , Public Law. Grants are 100 percent Federally funded. Grant funds are no-year funds congressionally appropriated from coal mining reclamation fees in the Abandoned Mine Reclamation Fund. The formula is based on historical coal production and annual fee collections. However, States/Tribes may be granted additional funds for emergency and other high priority abandoned mine land reclamation projects.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods are variable; however, under normal conditions, funds for construction activities must be expended three years after the award. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

State/Indian Reclamation Program (Project Grants): Annual performance are required. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-5015-0-2-302.

**Obligations:**

(Project Grants) FY 08 \$274,355,173; FY 09 est \$298,100,000; FY 10 est \$370,000,000

**Range and Average of Financial Assistance:**

Range is \$210,000 to \$100,800,000; Average \$10,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Twenty-four States and three Indian tribes have approved reclamation programs. Since 1978, over 314,000 acres of mined land with safety, health and environmental problems have been reclaimed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Guidelines for Reclamation Programs and Projects, Federal Register (66 FR 31250-31258), June 11, 2001.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief Department of the Interior, Office of Surface Mining, Division of Reclamation Support, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202)208-2788 Fax: (202)219-0239

**Website Address:**

<http://www.osmre.gov> .

**RELATED PROGRAMS:**

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State and Indian Tribal AML programs abate hazards and reclaim lands and waters with landslides, mine openings, impoundments, highwalls, underground mine fires and burning coal refuse banks, mine subsidence, coal refuse piles, acid mine drainage. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 403 of Public Law 95-87, cited Abandoned Mine Land Reclamation Program regulation, and approved State/Indian Reclamation plans.

**15.253 NOT-FOR-PROFIT AMD RECLAMATION**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To fund local organizations and not-for-profit groups that undertake local acid mine drainage (AMD) reclamation projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To assist local organizations, especially watershed groups, to begin actual construction projects to clean streams impacted by AMD. Lands and water eligible for reclamation or drainage abatement expenditures under Section 404 of Public Law 95-87 are those which were mined for coal or which were affected by such mining, wastebanks, coal processing, or other coal mining processes, except as provided for under Section 411 of Public Law 95-87, prior to August 3, 1977, and for which there is no continuing reclamation responsibility under State or other Federal laws. For other provisions relating to lands and waters eligible for such expenditures, see Section 402(g)(4), Section 403(b)(1), and Section 409 of Public Law 95-87. Surface coal mining operations on lands eligible for remining shall not affect the eligibility of such lands for reclamation and restoration under this title after the release of the bond or deposit for any such operation as provided under Section 509. In the event the bond or deposit for a surface coal mining operation on lands eligible for remining is forfeited, funds available under this title may be used if the amount of such bond or deposit is not sufficient to provide for adequate reclamation or abatement, except that if conditions warrant, the secretary shall immediately exercise his authority under Section 410.

**Applicant Eligibility:**

Primary recipients must be not-for-profit, established organizations. Federal, State, local governments, colleges, and universities are not eligible to receive funding directly.

**Beneficiary Eligibility:**

Communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit IRS 501(c)(3) status is required of nonprofit organizations and institutions. A State certification of project eligibility is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application SF-424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional/Field Office for details listed in the Catalog Address Appendix IV.

**Award Procedure:**

Approval is made by OSM Director or designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of 2 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Programmatic reports are required quarterly. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 325 is required quarterly. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations".

**Account Identification:**

14-5015-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,361,837; FY 09 est \$1,000,000; FY 10 est \$1,400,000

**Range and Average of Financial Assistance:**

Range is \$17,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Restore polluted streams affected by acid mine drainage to a safe level for drinking and recreational activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV.

**Headquarters Office:**

Chief Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Ave., NW, Washington, District of Columbia 20240 Phone: (202)208-2788 Fax: (202)219-0239

**Website Address:**

<http://www.osmre.gov> .

**RELATED PROGRAMS:**

15.252 Abandoned Mine Land Reclamation (AMLR) Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In 2008, The Evergreen Conservancy, in conjunction with the Susquehanna River Basin Commission, the Indiana County Conservation District, and the Office of Surface Mining, constructed the Bear Run Phase I passive treatment system to remove dissolved iron from an abandoned underground mine discharge with an average flow of 239 gpm. Construction of this project removes about 33 percent of the iron loading entering Bear Run from multiple discharges. Upper reaches of Bear Run have excellent populations of Brook Trout, and the goal is to re-establish a native Brook Trout population throughout the 19 square mile watershed. Restoration of the severely impacted South Branch of Bear Run is an eight phase project being accomplished through a comprehensive plan. Phase's I and III are completed and Phase II is under construction. Phase I was funded by a \$100,000 grant from Pennsylvania's Growing Greener Program and \$30,000 from OSM's Watershed Cooperative Agreement Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 404 of Public Law 95-87, State certification of eligibility is required. No opposition to the project from the State Abandoned Mine Land (AML) agency. All applicable Federal and State clearances and permits must be secured. The project should propose to use proven or innovative technology that has a high probability of success and produce tangible results, e.g., fishery restored, stream miles improved, educational and community benefits, pollutants removed from the streams. Funds must be used for the construction phase of a project and there must be demonstrated public support for the project. Also, there must be a plan to address any ongoing operation/maintenance considerations.

**15.254 SUMMER WATERSHED INTERN****FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977; Public Law 95-87; 91 Stat. 445-532.

**OBJECTIVES:**

Over the past ten years, Reclamation Support has created a direct watershed assistance program working with volunteer watershed groups in the Appalachian Coal Country and, more recently, in the Western Hardrock Country. The primary partners are a coalition of change-minded community improvement groups determined to repair the environmental degradation left from historic mining while creating economic stability needed in rural communities, the watershed/neighborhood residents call home. Goals: build local capacity, monitor waterway quality, enhance outreach and education, engage economic redevelopment and require professional development. The program is supported by an innovative partnership among AmeriCorps VISTA, concerned with poverty, and the Office of Surface Mining, concerned with environmental reclamation and safety, and watershed groups.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The OSM Summer Watershed Intern Program started in 1999, supporting college students working full-time for 10 weeks with coal country watershed groups. As many as 30 students have spent a summer working directly for watershed groups to conduct water monitoring, enhance outreach initiatives, develop school curricula and build stronger partnerships with agencies and industry.

The Appalachian Coal Country Watershed Team (ACCWT) began in 2002 as an OSM/VISTA initiative, placing determined college-trained OSM/VISTA Volunteers in a year of service in rural coal-mining communities. Reflecting the needs and the determination of the communities served, the ACCWT has placed more than 36 OSM/VISTAs in the field and more waiting to support an OSM/VISTA. New OSM/VISTA recruits are applying in increasing numbers every day.

The Western Hardrock Watershed Team (WHWT) began in Colorado at the invitation of the Colorado Division of Reclamation, Mining and Safety as an OSM/VISTA initiative in 2007, placing determined college-trained OSM/VISTA Volunteers in a year of service in rural mining communities. Over the past year the WHWT expanded from 4 to 18 positions in Colorado. Serious injuries are coming from other states (NM, UT, MT, NV) based on the board successes seen in Colorado, but cannot be filled at present. New OSM/VISTA recruits are also applying in increasing numbers.

**Applicant Eligibility:**

The OSM Watershed Intern Program recipients are required to be or to be in a position to support public or private non-profit institutions/organizations, established watershed organizations in following States to be eligible to participate: Alabama, Illinois, Indiana, Iowa, Kentucky, Maryland, Missouri, Ohio, Oklahoma, Pennsylvania, Tennessee, Virginia, and West Virginia. Undergraduate and Graduate Students, throughout the United States, interested in helping to clean up the environment are also eligible.

OSM/AmeriCorps VISTA requires qualified watershed groups to be non-profit organizations or be sponsored by a local group such as a Resource Conservation and Development District, a local historical society, or a Soil and Water Conservation Service. The program currently serves the following Appalachia States: Alabama, Kentucky, Maryland, Ohio, Pennsylvania, Tennessee, Virginia and West Virginia.

**Beneficiary Eligibility:**

Watershed organizations in communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit, IRS 501(c)(3), status is required of nonprofit watershed organizations. Proof of student status is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. Guidelines and application procedures can be obtained from the OSM Website, [www.osmre.gov](http://www.osmre.gov). Paper copy of guidelines and application procedures can be obtained from the OSM Headquarters.

**Award Procedure:**

Approval by the Director or his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Watershed Intern Program is for 10 weeks of full-time work by an intern. This 10-week period can be split with two interns or worked part-time over several months. Each AmeriCorp VISTA position is awarded for a three year full-time period. Each AmeriCorp Vista Volunteer must make, at least, a one year commitment. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly programmatic reports are required. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reports using the Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5015-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$30,000; FY 09 est \$40,000; FY 10 est \$50,000

**Range and Average of Financial Assistance:**

Each internship includes a \$2,000 stipend for 10 weeks of full-time work by an intern and \$500 for related expenses.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 alone, the ACCWT: 1. Formed 247 new partnerships among community groups, both state and federal agencies and industry; spreading commitment and adding new sources of support, enabling an expanded agenda for community improvement. 2. Logged 15,465 volunteer service hours from local citizens to monitor polluter water, plant trees on abandoned mine land sites, work with local schools and much more. 3. Average \$23,000 in grants per community group that funded Brownfields redevelopment projects, purchased water monitoring equipment, enhanced community development projects, and supported educational research.

In the past year, with only the 4 founding members of the WHWT, we: 1. Formed 35 new partnerships among community groups, both state and federal agencies and local businesses; spreading commitment, adding new sources of support and enabling an expanded agenda for community improvement. 2. Secured \$205,877 in cash resources to our communities with funding from 7 grants. 3. Logged 15,465 volunteer service hours from local citizens to monitor polluted water, plant trees on abandoned mine land sites, work with local schools and much more.

VISTA, a part of the Corporation for National Service, is spending more than \$800,000 in support these positions annually, while OSM contributes a single FTE and a declining level of administrative support to first-year positions (\$5000 in the first year only in previous fiscal years, \$3000 in FY 08). For OSM Interns, support has declined from \$60,000 to support 24 summer interns to \$40,000 in FY 09, supporting only 16 OSM summer interns. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202)208-2585

**Website Address:**

<http://www.osmre.gov>.

**RELATED PROGRAMS:**

15.253 Not-for-Profit AMD Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: While OSM does not directly fund "projects" the funding provided for these OSM Interns and OSM/VISTA Teams support non-profit, voluntary, community watershed associations whose projects engage their communities in identifying AMD problems as well as potential solutions and address related watershed/community projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each proposed watershed project must clearly enhance the sustainability of the watershed organization and must contribute directly to the remediation of acid mine drainage. Candidates must be able to organize their work, work well with community groups and on their own, have an understanding of acid mine drainage remediation and the national Clean Streams program, and write well.

**15.421 ALASKA COASTAL MARINE INSTITUTE**

(ALASKA CMI)

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Alaska Coastal Marine Institute is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the MMS-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates up to \$750,000 per year for cooperative research at the University of Alaska. The University of Alaska invites proposals that are reviewed by a Technical Steering Committee including the University, State of Alaska, and MMS, and funds individual awards. Applications must be for scientific research projects which are within the MMS' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, and marine minerals projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

University of Alaska may make application for support by a named principal investigator. Non-UA scientists may participate in collaboration with a UA principal investigator.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental Impact Statements are not required for these projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are requested for mission-relevant research likely to provide needed information for OCS oil and gas resource management decisions. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that 6-12 applications will be received and 6 awards will be granted in FY 2009.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 150 to 360 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Recipients share costs on a one-dollar-for-one-dollar contribution across the program. In any fiscal year, the collective CMI match commitment must equal or exceed MMS contributions. On rare occasions exceptions may be considered.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held MMS Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual and final Federal Financial Reports using OMB Standard Form SF-425 are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-8370-0-7-302; 14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$750,000; FY 09 est \$950,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

Range is \$75,000 to \$250,000; Average \$169,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Alaska Coastal Marine Institute currently funds over 30 competitively awarded ongoing extramural research funding commitments. This cutting-edge research has already and will in the future benefit the management of the OCS and increase understanding of the potential impacts of offshore oil and gas activities. Projects are underway to improve understanding of: ocean circulation and physical transport processes and their role in fate and behavior of potential spilled oil in areas offshore Alaska; marine biological resources their health and habitat use; background levels of chemicals that can be associated with oil and gas development activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Kate Wedemeyer, Telephone: 907-334-5278; Fax 907-334-5242; Email address: kate.wedemeyer@mms.gov.

**Headquarters Office:**

James Cimato Minerals Management Service, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: james.cimato@mms.gov Phone: (703) 787-1721 Fax: (703) 787-1053

**Website Address:**

<http://www.mms.gov/eppd/sciences/esp/profiles/partners/cmi/index.htm>  
<http://www.sfos.uaf.edu/cmi/>

**RELATED PROGRAMS:**

15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI);  
15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The MMS Alaska Coastal Marine Institute funds studies for



better understanding marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.422 LOUISIANA STATE UNIVERSITY (LSU) COASTAL MARINE INSTITUTE (CMI)**

(LSU CMI)

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, States and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Louisiana State University Coastal Marine Institute (CMI) is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the MMS-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates \$1,000,000 for cooperative research via LSU. Applications must be for scientific research projects which are within the MMS area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

To apply for a research award, the recipient is asked to provide the name of the Principal Investigator. If an applicant other than LSU wants to apply, they must

do so in collaboration with an LSU research scientist.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants will be encouraged to post their applications on Grants.gov. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that ten applications will be received and six awards will be granted in FY 2010.

**Deadlines:**

Mar 23, 2009 Deadline for proposals is March 23,2009.

**Range of Approval/Disapproval Time:**

From 180 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Recipients share costs on a dollar-for-dollar contribution across the program. In any fiscal year, the collective LSU CMI match commitment must equal or exceed MMS contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held MMS Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302; 14-8370-0-7-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$770,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

Range is \$32,000 to \$500,000; Average \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Louisiana State University Coastal Marine Institute currently funds over 50 competitively awarded ongoing research awards. This cutting-edge research has already and will in the future benefit the management of the OCS, and increase understanding of the potential impacts of offshore oil and gas activities. Projects are underway to improve understanding of: ocean circulation and physical transport processes and their role in the fate and behavior of potential spilled oil in Gulf of Mexico; marine biological resources - their health and habitat use; and background levels of chemicals that can be associated with oil and gas development activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M Studies. Quarterly reports are available at <http://cmi.lsu.edu/reports.asp>. Final reports are available online in the Minerals Management Service Environmental Studies Program Information System at: <http://www.gomr.mms.gov/homepg/espis/espisfront.asp>.

**Regional or Local Office:**

See Regional Agency Offices. Deborah Epperson, Telephone: 504-736-3257; Fax: 504-736-2901; E-mail: [Deborah.Epperson@mms.gov](mailto:Deborah.Epperson@mms.gov).

**Headquarters Office:**

James Cimato Minerals Management Service, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: [james.cimato@mms.gov](mailto:james.cimato@mms.gov) Phone: 703-787-1721 Fax: (703) 787-1053

**Website Address:**

<http://www.mms.gov/eppd/sciences/esp/profiles/partners/cmi/index.htm>.

**RELATED PROGRAMS:**

15.421 Alaska Coastal Marine Institute; 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The MMS LSU Coastal Marine Institute funds studies for better understanding marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.423 MINERALS MANAGEMENT SERVICE (MMS) ENVIRONMENTAL STUDIES PROGRAM (ESP)**

(ESP)

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. The Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Environmental Studies Program is to obtain the information needed for the assessment and the management of environmental impacts; to predict impacts on marine biota; and to monitor the human, marine, and coastal environments to provide time series and data trend information.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The assistance can be used to conduct environmental research to satisfy the information needs associated with oil and gas, alternate energy and marine mineral development on the outer continental shelf. Applications must be for scientific research projects which are within the MMS' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

State agencies and public universities may apply. More than one institution may collaborate in the preparation of an application for assistance.

**Beneficiary Eligibility:**

Research scientists, Federal, state and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicant's qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants are encouraged to post their applications on [www.grants.gov](http://www.grants.gov). The standard SF-424 application forms required by OMB Circular A-102, 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subparts C and F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that five applications will be received and five cooperative agreement awards will be granted in FY 2009.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 - 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals can be made through submission and approval of a project agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: No statutory requirements. Cost sharing of 1:1 is encouraged.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 8 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports; a presentation at periodic MMS Information Transfer Meetings; a draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required. Dissemination of the research results at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are also required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-8370-0-7-302; 14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$900,000; FY 09 est \$200,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$700,000; Average \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Environmental Studies Program currently funds more than a dozen ongoing research cooperative agreements. This cutting-edge research has already and will in the future benefit the public through an increase in understanding the potential impacts of offshore oil and gas and marine mineral and alternative energy activities on the marine environment. Some of the projects underway to improve understanding include: the physical and biological characteristics of offshore borrow areas for sand and gravel for beach and coastal restoration; the reproductive ecology and health of fish assemblages at oil and gas platforms; ecology and health of intertidal communities in proximity to oil and gas production; and the behavior of sperm whales in response to seismic industry activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M-Studies. Final reports are available at online in the Minerals Management Service Environmental Studies Program Information System at: <http://www.gomr.mms.gov/homepg/espis/espisfront.asp>.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Cimato Minerals Management Service, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: [james.cimato@mms.gov](mailto:james.cimato@mms.gov) Phone: (703) 787-1721 Fax: (703) 787-1053

**Website Address:**

<http://www.mms.gov/eppd/sciences/esp/index.htm>

**RELATED PROGRAMS:**

15.421 Alaska Coastal Marine Institute; 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The MMS ESP funds studies for better understanding of the marine, coastal or human environments affected or potentially affected by offshore oil and gas or other mineral exploration and extraction on the outer continental shelf. Recent efforts include field observations, laboratory experiments and modeling studies of environmental, social, economic, or cultural processes related to offshore OCS gas and oil and marine mineral extraction activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.424 MARINE MINERALS ACTIVITIES**

(Marine Minerals Activities)

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331.

**OBJECTIVES:**

To evaluate OCS sand deposits for coastal restoration and beach nourishment needs, and to foster good working relationships regarding OCS mineral issues with coastal States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The funds must be spent for OCS sand activities and not inside State waters. These cooperative agreements are awarded to assist States in order to find sand supplies for beach nourishment projects.

**Applicant Eligibility:**

Proposals are received from coastal States in need of coastal restoration.

**Beneficiary Eligibility:**

State agencies and organizations participating in the project, as well as the general public.

**Credentials/Documentation:**

States submit proposals to the MMS which furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants attend a workshop held by MMS, and define their requirements for the upcoming year. At this time the applicants and the MMS decide which projects will be funded for the upcoming year. Applicants should consult the office of official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The standard SF-424 application forms must be used for this program. Applicants will be asked to submit their proposals electronically through Grants.gov.

**Award Procedure:**

An internal MMS review of the State's proposal is conducted including convening a panel to discuss the proposals and making the final decision on the funding for the project. A notification of a cooperative agreement award is issued so the project can begin.

**Deadlines:**

Nov 01, 2009 November of each year or as soon as the MMS is given funding.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects that were approved and funded during the previous fiscal year may be submitted as renewals for subsequent years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Leasing Division Marine Minerals Activities encourages a 1-to-1 match of each Federal dollar with a nonfederal dollar. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual and final technical are required. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports using the OMB SF-425 form are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-0-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$220,000

**Range and Average of Financial Assistance:**

Range is \$30,000 to \$760,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Sand resources identified and evaluated by this program have been used in 3 beach nourishment projects in the State of Maryland, 5 projects in Virginia, 4 in South Carolina, 8 in Florida, and 3 in Louisiana. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations include the OCS Lands Act, Endangered Species Act, the National Environmental Policy Act (NEPA) of 1969, and the Coastal Zone Management Act.

**Regional or Local Office:**

See Regional Agency Offices. New Orleans Office: MMS, GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA 70123-2394; Pacific Office: MMS, 770 Paseo Camarillo, 2nd Floor, Camarillo, CA 93010.

**Headquarters Office:**

Director MMS, 381 Elden Street, MS-4021, Herndon, Virginia 20170 Phone: (703)787-1755

**Website Address:**

<http://www.mms.gov/sandandgravel>.

**RELATED PROGRAMS:**

15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Offshore Cooperative Sand Programs with the following States: Delaware, New Jersey, Massachusetts, New Hampshire, Maine, Maryland, Virginia, North Carolina, South Carolina, Florida, Alabama, Louisiana, Texas, and California. Studies were funded in support of the Hurricane Katrina and Rita Relief efforts in Alabama, Mississippi, Louisiana, and Texas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cost of the project is the most important criteria followed by relevance to State and Federal needs, and technical ability of the State agency.

**15.426 COASTAL IMPACT ASSISTANCE PROGRAM (CIAP) (CIAP)**

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, as amended; 31 U.S.C. 6301-6305.

**OBJECTIVES:**

The intent of the program is to disburse funding to eligible producing states and coastal political subdivisions for the purpose of conservation, protection, or restoration of coastal areas including wetlands; mitigation of damage to fish, wildlife, or natural resources; planning assistance and the administrative costs

of complying with these objectives; implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Can only be used to directly benefit an authorized use to conserve, restore, enhance, and protect renewable natural resources. Funding cannot be used for projects that would not provide a direct benefit, including but not limited to, supporting litigation or to fund publicity or lobbying efforts for purposes of influencing or attempting to influence a member of the U.S. Congress or an agency of the Federal government.

**Applicant Eligibility:**

States eligible to receive funding are: Alabama, Alaska, California, Louisiana, Mississippi, and Texas and 67 coastal political subdivisions among the six states.

**Beneficiary Eligibility:**

The producing coastal states, their eligible coastal political subdivisions, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Applicants must provide documentation that they have met state and local permitting requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting any grant applications an eligible state must submit to MMS, for approval, a State Plan that provides detail on how a State and its Coastal Political Subdivisions (CPS) will use the CIAP funds and implement the state plan. To assist the States in developing a plan the MMS issued final Coastal Impact Assistance Program Guidelines, and published a Notice of Availability in the Federal Register, September 29, 2006. Coastal Political Subdivisions and State are required by the Act to work together to develop their Plan. The plan should contain prescribed components from Section 384 of the amended OCS Lands Act, which includes an implementation program representing both parties' interests. The State point of contact submits the Plan to the MMS for approval. The MMS will determine within 20 calendar days after receipt of a Plan or Plan amendment whether additional information is needed. If no deficiencies are identified and the required number of copies has been received, the Plan or amendment will be deemed complete. Once a Plan or amendment is determined complete, MMS will have 90 calendar days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). If MMS fails to provide such written notice to the State, the Plan or amendment is deemed to be disapproved. If MMS notifies the State that the Plan or amendment remains under review, MMS will also provide the State with an estimate of the amount of additional time necessary to complete its review. If a Plan or amendment is disapproved, the State may revise and resubmit it. The MMS will then have 20 calendar days to determine completeness; once MMS determines that the revised Plan or amendment is complete, MMS will then have 90 calendar days to approve or disapprove the revised Plan or amendment. On April 16, 2007 MMS released the recipient allotment amounts that will be eligible to spend in 2007 and 2008. The States and CPSs will use this information to develop grant project applications with detailed descriptions of their individual projects, including detailed breakdowns of costs. The recipients will provide in each application the current status of Federal, State and local permits required for the project. A completed grant project application is to be submitted electronically through Grants.gov. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific projects submitted to the MMS for funding are subject to the Department of the Interior Regulations at 43 CFR Part 12, Subparts C and E, or any subsequent revisions. The OMB SF-424 application forms must be used for this program. Applications are submitted electronically through Grants.gov.

**Award Procedure:**

The MMS provides a notice of award to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

MMS will have 90 days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). No time limit is established for review of projects.

**Appeals:**

Applicants can appeal disapproval of Plans or project applications no later than December 2010.

**Renewals:**

Proposals are submitted for a project period. Projects that were approved and funded during the previous project period may be submitted as renewals for subsequent project periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: In accordance with the language of the Act no State will receive less than 1 percent of the \$250 million to be disbursed per year. Of the percentage received by a State, 65 percent remains with the State, and 35 percent is awarded to the coastal political subdivisions (CPS). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual and final technical reports are required. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-5572-0-2-306.

**Obligations:**

(Formula Grants) FY 08 \$42,365,455; FY 09 est \$100,000,000; FY 10 est \$100,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In September 2006 the State Plan Guidelines were made available; in April of 2007 the calculations of the recipient allotment amounts was completed and publicly announced; November 2007 the first State Plan, Louisiana, was approved; Louisiana was awarded the first CIAP grant in April 2008. Since then four of the 6 eligible states have approved State Plans; approximately seventy applications have been submitted and twenty-one awarded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Coastal Impact Assistance Program State Plan Guidelines found at

www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: MMS Regional CIAP Representative, Minerals Management Service, OCS Region, 3801 Centerpoint Drive, Suite 500, Anchorage, Alaska 99503; Alabama, Louisiana, Mississippi, and Texas: MMS Regional CIAP Representative, Minerals Management Service, Gulf of Mexico OCS Region, 1201 Elmwood Park Boulevard, MS 5400, New Orleans, Louisiana 70123; California: MMS Regional CIAP Representative, Minerals Management Service, Pacific OCS Region, 770 Paseo Camarillo, Camarillo, California 93010 .

**Headquarters Office:**

National CIAP Coordinator 381 Elden Street, MS 4040, Herndon, Virginia 20170 Phone: (703) 787-1755

**Website Address:**

www.mms.gov/offshore/CIAPmain.htm .

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.473 Coastal Services Center; 11.474 Atlantic Coastal Fisheries Cooperative Management Act; 11.478 Center for Sponsored Coastal Ocean Research\_Coastal Ocean Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A Coastal Impact Assistance Program is managed by the National Oceanic and Atmospheric Administration. It was a one-year (2001) disbursement of \$150 million to 7 states and 147 coastal political subdivisions. It was enacted with language similar to that guiding the CIAP presently under MMS direction. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for approving proposals are identified in the Coastal Impact Assistance Program Guidelines located at: Coastal Impact Assistance Program State Plan Guidelines (<http://www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf>) and the program announcement found on Grants.gov.

**15.427 FEDERAL OIL AND GAS ROYALTY MANAGEMENT**

(FOGRMA)

**FEDERAL AGENCY:**

Minerals Management Service, Department of the Interior

**AUTHORIZATION:**

Federal Oil and Gas Royalty Management Act of 1982, Public Law 97-451, as amended.

**OBJECTIVES:**

To ensure that all oil, gas, and solid minerals originated on the public lands and on the Outer Continental Shelf are properly accounted for under the direction of the Secretary of the Interior, and for other purposes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All projects are restricted to State and Tribal Governments. No discretionary funds are available under this program.

**Applicant Eligibility:**

State and Tribal Governments as specified in Title II of the Federal Oil and Gas Royalty Management Act of 1982, as amended.

**Beneficiary Eligibility:**

States and Federally recognized Tribal Governments that receive funds collected as a result of the compliance activities on Federal and Indian mineral leases.

**Credentials/Documentation:**

Must follow 30 CFR Parts 200 to 699 Mineral Resources, General Accountability Offices (GAO) Generally Accepted Government Audit Standards (Yellowbook), and Minerals Management Service Audit and

Compliance Procedures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point-of-contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. For grants awarded, the standard application forms furnished by the Federal agency as required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" will apply. Also, reference the procedures outlined in 30 CFR 227.103 entitled, "What must a States delegation proposal contain?" For Indian tribes reference the procedures outlined in 30 CFR 228.100 entitled, "Entering into an Agreement."

**Award Procedure:**

Projects are reviewed at the Minerals Management Service (MMS) Minerals Revenue Management (MRM) Program level, and funding recommendations are made through each State and Tribe's annual work plan. Final budget approvals rest with the MMS/MRM Associate Directors Washington Office.

**Deadlines:**

Jul 01, 2009 For recipients on the Federal fiscal year cycle, applications are due on July 1st of each year. For recipients operating on an alternate fiscal year, applications are due 90 days prior to award.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires 90 days to receive funding.

**Appeals:**

Not Applicable.

**Renewals:**

For State agreements, 30 CFR 227.110 entitled, When and for how long are delegation agreements effective? For Tribal agreements, 30 CFR 228.101 entitled, Terms of Agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, projects are funded on a year to year basis, and funds are expended during a particular fiscal year. Funding is released either monthly or quarterly through the fiscal year. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Performance monitoring schedules or progress reports are required quarterly. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports (SF 425) are required at the end of the yearly performance period. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local

Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Project Grants) FY 08 \$10,180,000; FY 09 est \$10,120,000; FY 10 est \$10,420,000 - FY 2011 estimate 10,800,000.

**Range and Average of Financial Assistance:**

Awards range from \$110,000 to \$2.4 million. Average is \$562,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: State and Tribal compliance activities contributed to meeting Government Performance and Results Act (GPRA) goals for the MMS. For fiscal year 2009, 18 applications were received and awarded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MMS's cooperative (tribal) and delegated (State) audit program is basically guided by the provisions in 30 CFR Parts 227, 228, and 229. States and Tribes use the guidance contained in the GAO Yellowbook and two MMS procedural manuals for audits and compliance activities.

**Regional or Local Office:**

See Regional Agency Offices. Mr. Patrick Milano, P.O. Box 25165, Mail Stop 390B2, Denver, CO 80225-0165. Telephone: (303) 231-3124, fax (303) 231-3473, email: patrick.milano@mms.gov.

**Headquarters Office:**

Associate Director Minerals Revenue Management, Minerals Management Service, 1849 C St., NW., Mail Stop 4230, Washington, District of Columbia 20240 Phone: (202) 208-3500

**Website Address:**

<http://www.mms.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cooperative agreements with States and Tribes to conduct audits, investigations and inspections related to mineral payments made to the MMS which are attributable to leased Federal and Indian lands within State and Tribal boundaries and on the Outer Continental Shelf. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit, and cost effectiveness.

**15.504 WATER RECLAMATION AND REUSE PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70.

**OBJECTIVES:**

This Title gives Reclamation general authority to conduct appraisal and feasibility studies on water reclamation and reuse projects. It also provides general authority for research and demonstration programs to test water reclamation and reuse technologies. Reclamation may also participate in

construction of reuse projects after congressional authorization of the project. The original Act provided authority to participate in the design and construction of five specific projects in California and Arizona. The 1996 Act authorized 16 additional recycling projects and 2 desalination demonstration projects. Subsequent amendments to Title XVI and other individual acts authorized nine additional construction projects. For ARRA funded projects and in addition to the program objectives above, the Section 3 of the ARRA states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Reclamation is restricted by law to activities in the 17 Western States, unless otherwise authorized by Congress, as was done by Public Law 106-566, which extended Reclamation's authority to conduct Title XVI investigations to include Hawaii. The nonfederal sponsor must complete a feasibility study, including NEPA (National Environmental Policy Act) compliance, complete a cost-share agreement with Reclamation, and furnish a statement of financial capability of the project sponsor to fund the nonfederal share to Reclamation prior to receiving construction appropriations from Congress for the Federal cost share. Operation and Maintenance (O&M) costs for the constructed project must be furnished by the nonfederal sponsor. Federal contributions for demonstration projects that exceed 25 percent of the cost cannot be made unless the Secretary (of the Interior) determines that the project is not feasible without such Federal contribution. Although the Act provides that Reclamation may furnish up to 50 percent of O&M costs for demonstration projects, it is Reclamation policy not to provide funds for this purpose.

**Applicant Eligibility:**

A legally organized nonfederal entity to sponsor the project is required, such as an irrigation district or a municipality. The applicant must be able to furnish the nonfederal cost share and be able to assume the operation and maintenance of the project upon completion of construction. Research projects may also be undertaken by colleges and universities and architectural and engineering firms.

**Beneficiary Eligibility:**

A legally organized nonfederal entity such as an irrigation district or an organization within a municipality, such as the water department.

**Credentials/Documentation:**

A feasibility report must be completed, either by the nonfederal sponsor alone or with the assistance of the Federal government. A statement of financial capability by the nonfederal sponsor must be provided to Reclamation. This statement demonstrates the capability of the sponsor to fund its portion of the feasibility report, its share of construction costs, and the ability to fund and assume responsibility for the operation and maintenance of the completed project. A cost-share agreement must be completed with Reclamation before funds can be requested for appropriation for construction. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment or environmental impact statement may be required. It is recommended nonfederal entities contact the appropriate Reclamation office to discuss the processes and procedures for participation. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Discretionary funding opportunities will be posted on Grants.gov. The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subparts C and F, must be used for this program. The required documents must be

furnished to Reclamation prior to authorization for construction. Upon satisfactory completion of these documents, Reclamation may seek authorization for the project and initiate appropriation requests. Reclamation has limited funding authority for this program, therefore requests for project construction authority may be delayed until a funding request can be made that is within the authorized limit.

**Award Procedure:**

After funds are appropriated, Reclamation will complete the necessary paperwork to transfer funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Authorization of a project and appropriation of funds for its construction are dictated by the schedule of Congress with respect to appropriating funds. Because of the limitation on the ability of Reclamation to request funding for this program, delay can be anticipated in requesting funds for construction. Depending on the number of requests for funding, this delay could be several years.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete a project is at the discretion of the Congress.

**Formula and Matching Requirements:**

Statutory Formula: Title Title XVI, Public Law 102-575. Reclamation can pay up to 100 percent for appraisal level study costs, up to 50 percent for feasibility level study costs, and to 25 percent for research and demonstration projects unless specifically raised to 50 percent. Federal funding for Title XVI construction projects is limited to 25 percent of the total project or a specified maximum amount, whichever is less. The maximum amount varies by project. Generally, all projects authorized after 1996 have a ceiling of \$20 million or less; the specific details are available in the authorizing legislation. If a project conducted under the Title XVI Program includes planning, design, and construction, the Reclamation Wastewater and Groundwater Study and Facilities Act of 1992 (the Act) requires the sponsor to provide at least 75 percent of all the costs incurred, including Reclamation's administrative costs. In addition, the sponsor must pay all operation, maintenance and replacement (OM&R) costs of the project.

Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no time restrictions placed on the use of the funds and the funds have generally been made available periodically throughout the year on a reimbursable basis. A schedule is planned between Reclamation and the recipient when the cost share agreement is arranged. However, this schedule can be impacted by funds availability during the year. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Reporting requirements are as prescribed by 43 CFR 12, Subparts C and F, as applicable. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

The required records will be specified as part of the audit procedure discussed above.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$23,615,000; FY 09 est \$39,245,000; FY 10 est \$25,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$20,000,000; FY 10 est \$115,000,000

**Range and Average of Financial Assistance:**

Range \$10,000,000 to \$40,000,000; Average \$74,286,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Some of the Title XVI water reuse benefits include improving water-use efficiency, providing flexibility during water shortages, and diversifying the water supply. In areas where municipalities and industry (M&I) are looking to agriculture as a water source, Title XVI Projects reduces the need to transfer agriculture water to M&I uses. Forty-three projects are specifically authorized to receive funds for construction. Two demonstration projects have also been undertaken through the general authority. Of the 45 Title XVI projects, 20 projects are actively being pursued and 4 are complete. The 20 active projects and the 4 complete projects will have an estimated maximum projected capacity of 675,000 acre-feet per year after final construction is complete. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. Regional Director, Bureau of Reclamation. For addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Will Shop Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-52000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: wshipp@usbr.gov Phone: (303)445-2799 Fax: (303)445-6464

**Website Address:**

<http://www.usbr.gov/pmts/writing/guidelines/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Reclamation partially funded the Groundwater Replenishment System which takes highly treated sewer water from the Orange County Sanitation District and treats it to beyond drinking water standards using advanced membrane purification technologies at the Orange County Water District in Fountain Valley. The water is injected into an expended underground seawater intrusion barrier along the coast. The project makes use of more than 30 years of water purification experience began in 1975 with Water Factor 21. Additional information is available at [www.gwrsystem.com](http://www.gwrsystem.com). Reclamation is participating with the city of Long Beach, CA to research seawater desalination, which will eventually make up a small part of the Department's overall reliability portfolio (around 10 percent). Currently, seawater desalination is not a cost-effective option for water supply reliability in Long Beach, primarily due to the high cost of energy needed for operations and several abrasive environmental impacts. Simply put, at this time, the costs associated with importing water from northern California and the Colorado River are far less. However, as the costs of desalination, and its environmental impacts, decrease, made possible by advances in technology, seawater desalination will become a more relevant asset in water resources management. Additional information is available at <http://www.lbwater.org/desalination/desalination.html>.

San Diego Area Water Reclamation Program, CA; San Gabriel Basin Project, CA; Los Angeles Area Water Reclamation and Reuse Project, CA; San Jose Area Water Reclamation and Reuse Program, CA; Watsonville Area Water Recycling Project, CA; Tooele Wastewater Treatment and Reuse Project, UT; Southern Nevada Water Recycling Project, NV; City of North Las Vegas Water Reuse Project, NV; Phoenix Metropolitan Water Reclamation and Reuse Project, AZ; Albuquerque Metropolitan Area Water Reclamation and Reuse Project, NM; and Northwest El Paso Water Reclamation and Reuse Project,



TX. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Reclamation will place priority on funding projects that are economically justified and environmentally acceptable in a watershed context, not eligible for funding under another Federal program, and that directly address Administration priorities for the Reclamation program, such as providing instream flows for Federally endangered or threatened species, meeting the needs of Native American communities, and meeting international commitments.

For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.506 WATER DESALINATION RESEARCH AND DEVELOPMENT PROGRAM**

(Desal R&D Program)

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Water Desalination Act of 1996, Public Law 104-298, 42 U.S.C. 10301.

#### **OBJECTIVES:**

The Water Desalination Act of 1996 is based on the fundamental need in the United States and world-wide for additional sources of high quality water. Therefore, the primary objective of the program is to develop more cost-effective, technologically efficient, and implementable methods by which usable water can be produced from saline water or water otherwise impaired or contaminated. The two principal parts of the program are: (1) perform research on desalination technologies and related issues to advance the state of the art forward (research and studies), and (2) conduct development and demonstration activities to test technological advancements, confirm economics, and gain public acceptance (development projects).

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

To be used to support research and studies, demonstration and development projects and related activities, as described in the Act.

#### **Applicant Eligibility:**

Any responsible source, to include individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations may submit a proposal which will be considered by Reclamation. Foreign entities, other than United States-Mexico binational research foundations and inter-university research programs established by the two countries, are not eligible for funding under the Act. Federal agencies are not eligible to apply.

#### **Beneficiary Eligibility:**

Individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and United States-Mexico binational research foundations and inter-university research programs established by the two countries.

#### **Credentials/Documentation:**

(1) A detailed written technical proposal including the current status of the technology supporting the proposed research, technical approach proposed to

accomplish the work, a scope of work which separates the work into major tasks, applicability to local and/or national water problems, type of personnel participating in the research, type and location of facilities and equipment that will be utilized by the project applicant, experience in this type of research, the environmental impact of the research, an estimate of the costs and/or cost savings (\$/1000 gal) and economic benefit of the technology, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

On an annual basis, a pre-proposal solicitation announcement is issued by Reclamation. Submission of a pre-proposal is not mandatory; however, offerors are strongly encouraged to do so in order to receive the benefit of the initial pre-proposal screening process and thereby eliminate the possibility of submitting a full proposal that would not be considered for award. The pre-proposal application limits the description of a proposed project to six pages. The project description must address each of the following areas: (1) Description of the project objective(s). (2) Description of the approach to be taken to meet the project objectives. (3) Description of the relevance of the project to the Program objectives and specific research Task area. (4) Estimate of the costs and/or cost savings (\$/1000 gal) and economic benefits of the technology. (5) Anticipated funding partners, if any. Applicants must submit an SF-424 with their pre-proposal. Questions regarding the pre-proposal process should be directed to the Grants and Cooperative Agreements Officer identified in the pre-proposal solicitation package. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A full proposal solicitation package is issued annually by Reclamation. There will be a general solicitation and one for pilot plants or a demonstration project in FY02. Submission of full technical and cost proposals in accordance with the instructions stated in the solicitation document is mandatory. Additionally, applicants must submit all applicable SF-424 forms and a DI-2010 form which will be included in the solicitation document.

#### **Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the annual solicitation are reviewed on the basis of a competitive, merit- review process, and are rated in accordance with evaluation criteria stated in the solicitation document. Reclamation will make awards for the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to make awards to maintain balance among the program objectives listed in the solicitation document.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

#### **Appeals:**

None. Final award decisions are not subject appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

#### **Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of the Congress. Yearly solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional

research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the cost of a project or activity carried out under this Act shall not exceed 50 percent of the total cost of the project or activity. A Federal contribution in excess of 25 percent for a project carried out under this Act may not be made unless the Secretary of the Interior determines that the project is not feasible without such increased Federal contribution. Costs of operation, maintenance, repair, and rehabilitation of facilities funded under the authority of this Act shall be nonfederal responsibilities. In each fiscal year, up to \$1,000,000 may be awarded to institutions of higher education, including United States-Mexico binational research foundations and interuniversity research programs established by the two countries, for research grants or cooperative agreements without any cost-sharing requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The Recipient shall furnish quarterly reports and a final report as a permanent record of the work accomplished under the agreement. A midterm project review shall be held at the Recipient's site approximately 3 to 6 months after project award. Approximately at the time of delivery of the draft final report, the Project Manager shall make a presentation in Denver on the overall progress of the project. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

The Recipient shall maintain project records in accordance with the applicable OMB Circular regulations.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$5,805,000; FY 09 est \$3,975,000; FY 10 est \$3,733,000

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2007 the Brackish Groundwater National Desalination Research Facility (BGNDRF) in Alamogordo, NW was completed. At the direction of Congress, New Mexico State University (NMSU) was awarded \$3,365,000 in FY 08 to carry out research at or associated with BGNDRF and to develop and commercialize water treatment technology. In FY 2009, at the discretion of Congress, NMSU will be awarded approximately \$1,800,000 to carry out research at or associated with BGNDRF. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Reclamation for a copy of the solicitation document.

**Regional or Local Office:**

None.

**Headquarters Office:**

Randy Jackson Technical/Program Information: Bureau of Reclamation, Water Treatment Engineering and Research Group, Attn: Kevin Price, Mail Code: D-8230, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2260. Fax: (303) 445-6329. E-mail: kprice@do.usbr.gov. Solicitation documents: Bureau of Reclamation, Acquisitions Operations Group, Attn: Mail Code: D-7810, P.O. Box 25007, Denver Federal Center, Denver, CO . , Denver, Colorado 80225 Email: rjackson@do.usbr.gov Phone: (303)445-2432 Fax: (303)445-6345

**Website Address:**

<http://www.usbr.gov/water/desal.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of ongoing agreements awarded in FY 01 are: Development of membranes and membrane holding device for direct contact membrane distillation; Predicting membrane flux decline using parameters derived from field flow fractionation measurements; Determination of impact of magnetic fields on reverse osmosis separation; Study of two-phase technique for removal of biofilm and other foulants from spiral wound reverse osmosis membranes; Optimization at pilot plant level of membrane bioreactor systems for water reclamation; and Pilot study of membrane pretreatment (ultrafiltration and microfiltration) for seawater reverse osmosis desalination. In FY 02 Congress instructed Reclamation to develop a desalination technology progress plan and a Tulerosa Basin Desalination R & D Feasibility Study in partnership with Sandia National Laboratories. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: Technical Factors: (1) Demonstrated familiarity with the current technology in the field of work and understanding of the potential difficulties in carrying out the work. (2) Impact of the proposed work on the current technology and on its related economics if a completely successful outcome were achieved. (3) Novelty of approach to the work. (4) Probability of a successful outcome of work. (5) Availability of equipment, instruments, and test facilities required for the work. Managerial Factors: (1) The qualifications, capabilities, and experience of the proposed project manager and other key personnel who are critical to achievement of the proposed objectives. (2) Adequacy, completeness and realism of the research schedule, task phasing, and milestones. (3) The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposed objectives. Pricing Factors: (1) Cost realism and reasonableness. This requires that costs be directly relatable to items in the research work plan, reasonable, and be appropriate to the project in terms of dollar amount and quantity. (2) Cost-share. Offerors proposing to provide the most cost-share shall be given greater consideration.

**15.507 WATER 2025**

(Water 2025 Challenge Grant Program)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Energy and Water Development Appropriations Act, 2006, Title II, Section 205, Public Law 109-103.

**OBJECTIVES:**

To prevent crises and conflict over water in the western United States. The Challenge Grant Program is designed to contribute to this goal by providing 50 percent funding for projects that will conserve water, increase water use efficiency, or enhance water management, using advanced technology, improvements to existing facilities, and water banks and markets.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

## **USES AND USE RESTRICTIONS:**

To be used for projects that will result in water conservation, more efficient water use, or better management of existing water supplies, which can be completed within 24 months from the date of award. Types of eligible projects include: (1) use of water banks and water markets; (2) modernization of existing facilities using new technology; (3) canal lining; (4) installation of measuring devices; and (5) the development of analytical tools to better manage water resources. Financial assistance under this program is limited to 50% of the total project cost, and generally may not exceed \$300,000 per project. Congress may also authorize the Secretary to enter into grants or cooperative agreements with universities or non-profit institutions to fund water use efficiency research.

### **Applicant Eligibility:**

Irrigation and/or water districts, state governmental entities with water management authority (e.g., state agencies, departments, boards, etc), and other entities with water delivery authority, located in the states identified in the Reclamation Act of June 17, 1902, as amended, specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming; universities and non-profit research institutions.

### **Beneficiary Eligibility:**

The general public, irrigation or water districts, and state governmental entities with water management authority, located in the states identified in the Act of June 17, 1902.

### **Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, such as location, total project diversions, and relevant water use efficiency measurements, a detailed scope of work separating the work into major tasks, including any engineering or design work already completed, and describing the conservation measures and/or water banking activities to be undertaken, how the amount of saved water will be estimated, the level of cooperation with other parties involved in the proposal, and how the proposal will reduce conflict over water resources. (2) When applicable, a funding plan showing how the applicant will pay for its 50 percent cost share requirement, and an official resolution adopted by the irrigation or water district's governing board of directors, resolving that, if selected, it will negotiate and execute a grant or cooperative agreement with Reclamation. (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation and maintenance costs, and the value of in-kind contributions of goods and services. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A request for proposals (RFP) is posted annually by Reclamation at Grants.gov. Submission of a complete technical proposal and a project budget proposal in accordance with the instructions in the RFP is mandatory. In addition, applicants must submit all applicable SF-424 forms, which are referenced in the RFP.

### **Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the RFP are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the RFP. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the RFP.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

### **Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

### **Appeals:**

Not applicable. Upon request, Reclamation will provide all applicants with information on why their proposals were not selected.

### **Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the cost of a project or activity carried out under the Program shall not exceed 50 percent of the total cost of the project or activity. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority for this Program shall be nonfederal responsibilities. When funding is available to universities and nonprofit institutions for research projects, the 50% cost share may not be applicable. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less. However, funding for multi-year projects may be considered if annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Information not available.

### **Reports:**

The recipient must furnish quarterly and final financial reports; quarterly, annual and final performance reports; and significant development reports as needed. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

### **Audits:**

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

### **Records:**

The recipient shall maintain project records in accordance with applicable OMB Circular requirements.

### **Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-1968-0-1-301.

### **Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$40,000,000; FY 10 est \$0.  
(Cooperative Agreements) FY 08 \$6,000,000; FY 09 est \$7,000,000; FY 10 est \$30,000,000

### **Range and Average of Financial Assistance:**

Range is \$100,000 to \$5,000,000; Average \$27,666,666.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 2004, 137 projects have been funded. \$30 million in Federal funding combined with local partnerships into almost \$130 million worth of water management improvements in 16 western states. Those 137 projects will create new water banks, promote the use of advanced technology to improve water management, and increase collaboration among Federal, State, Tribal, and local entities. Forty-eight projects from 2004 awards and six from the 2005 awards have been completed. For those projects that reported water savings in annual acre-ft is 75,640. These projects were successful in saving water, reducing conflict, and building partnerships. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html);  
Standard Forms, [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html);  
Program information, <http://www.doi.gov/water2025/>. Documents may also be  
obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Rober Bureau of Reclamation, Office of Program & Policy Services, Mail  
Code: 84-52000, P.O. Box 25007, Denver Federal Center, Denver, Colorado  
80225 Email: [arober@usbr.gov](mailto:arober@usbr.gov) Phone: (303)445-2849 Fax: (720)544-4207

**Website Address:**

<http://www.doi.gov/water2025/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: (1) inclusion of water banking or marketing elements; (2) amount of water conserved as a percent of normal supplies; (3) reasonableness of the costs for the benefits gained; (4) the degree to which conserved water contributes toward an established or new water market or bank; (5) documentation of the projected results (i.e. identified the number of acre-feet to be managed, conserved or marketed), and tracking of the post-project results; (6) consistency with applicable water plan(s); (7) ability to pay for project cost and any increase in operation and maintenance costs; (8) costs are reasonable and appropriate for work proposed (including consideration of the percentage of the proposal used for capital improvements); (9) whether more than 50% non-federal funding was proposed; and (10) the relevance to Water 2025, including, the degree of stakeholder involvement and likeliness of reducing conflict, whether the project is in a hot spot, and whether the project is "in a basin with connections to Reclamation project activities." For ARRA funded projects: The purposes are the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.509 COLORADO RIVER BASIN SALINITY CONTROL PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Colorado River Basin Salinity Control Act, Public Law 93-320, 59 Stat. 1219, as amended; Section 2, Public Law 98-569; Section 1, Public Law 104-20; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; 43 U.S.C. 1571 and 43 U.S.C. 1592(c.); American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial and technical assistance to: (1) identify salt source areas; (2) develop project plans to carry out conservation practices to reduce salt loads; (3) install conservation practices to reduce salinity levels; (4) carry out research, education, and demonstration activities; (5) carry out monitoring and devaluation activities; and (6) to decrease salt concentration and salt loading which causes increased salinity levels within the Colorado River and to enhance the supply and quality of water available for use in the United States and the Republic of Mexico. Such programs shall consist of cost-effective measures and associated works to reduce salinity from saline springs, leaking wells, irrigation sources, industrial sources, erosion of public and private land, or other sources.

For Recovery Act funded projects and in addition to the program objectives

stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Eligible owners or operators in approved project areas may receive assistance to treat salinity problems.

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State, Local, Sponsored organizations, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Individual/Family, Minority Group, Specialized Group, Small Business, Profit Organization, Other private institution/organization, general public, and Native American Organizations.

**Beneficiary Eligibility:**

Any person in the Colorado River Basin will benefit who uses or reuses water for irrigation, domestic, municipal or industrial water supply, or for fish and wildlife habitat.

**Credentials/Documentation:**

Some projects may require compliance with the National Environmental Policy Act and Endangered Species Act. Information regarding whether these requirements must be met will be included in the funding opportunity announcement posted on [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Reclamation will solicit proposals and award funding through a Request for Application (RFA) process. The RFA will request proposals from public and private sectors that would control salinity based on cost per ton. The proposals will be ranked based on their cost effectiveness for preventing salt from entering the Colorado River system. The ranking would consider risk factors that might affect the project's performance. Upon receipt of applications/proposals by the date identified in the announcement(s), the applications will be reviewed to determine if application/proposal(s) are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed against identified criteria by a Federal technical team of experts, that may include representatives of states as advisors. Based on the review, a ranking will be defined. Negotiations will be conducted and/or awards will be made based on recommendations from the technical experts. Award will be based on those applications best meeting the needs of the program, including cost and risk factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 Days.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects recipient quarterly reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301; 14-0681-0-3-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$11,406,000; FY 09 est \$8,357,000; FY 10 est \$10,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$11,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$135,000 to \$6,453,072; Average \$13,587,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the program, an estimated 570,000 tons of salt have been controlled from entering the river. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html);  
these documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Salinity Program: Mr. Kib Jacobson, Bureau of

Reclamation, 125 South State Street, Salt Lake City, UT 84138-1147, Telephone: (801) 524-3753, Fax: (801) 524-5499, E-mail: [kjacobson@uc.usbr.gov](mailto:kjacobson@uc.usbr.gov); or Mr. John Redlinger, Bureau of Reclamation, 400 Railroad Ave, Boulder City, NV 89005, Telephone: (702) 293-8592, Fax: (702) 293-8042, E-mail: [jredlinger@lc.usbr.gov](mailto:jredlinger@lc.usbr.gov). Western Colorado: Mr. Mike Baker, Bureau of Reclamation, 2764 Compass Drive, Grand Junction, CO 81506, Telephone: (970) 248-0637, Fax: (970) 248-0601, E-mail: [mbaker@uc.usbr.gov](mailto:mbaker@uc.usbr.gov); or Mr. Stan Powers, Bureau of Reclamation, 835 E Second Avenue, Suite 300, Durango, CO 81301, Telephone: (970) 385-6555, Fax: (970) 385-6539, E-mail: [spowers@uc.usbr.gov](mailto:spowers@uc.usbr.gov). Eastern Utah and Western Wyoming: Mr. Lee Baxter, Bureau of Reclamation, 302 East 1860 South, Provo, UT 84606, Telephone: (801) 379-1174, Fax: (801) 379-1159, E-mail: [lbaxter@uc.usbr.gov](mailto:lbaxter@uc.usbr.gov).

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/dataweb/html/crwq.html>, and  
<http://www.usbr.gov/uc/progact/salinity/index.html> .

**RELATED PROGRAMS:**

10.070 Colorado River Basin Salinity Control Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Salinity Improvement Project; Identifying Sources of Salt and Water in Colorado, Utah and Wyoming. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In 1984, the Salinity Control Act was amended to direct the Secretary of the Interior to give preference to units which reduce salinity at the least cost per unit of salinity reduction (or cost-effectiveness). Cost-effectiveness is defined as the Salinity Program's annual cost per ton of salt prevented from entering the Colorado River system. Conceptually, cost-effectiveness is analogous to determining the cost per mile to own and operate a car. That computation combines the annual expenses (loan payments, gas, maintenance, etc.) and divides by the miles traveled each year. The key to understanding this approach is to appreciate that the government evaluates all projects as if the money is borrowed from a loan institution and repaid in annual installments over the life of the project. This economic evaluation principle is required by the "Economic and Environmental Principles Guidelines for Water and Related Land Resources Implementation Studies", March 1983. This method lends consistency in the comparison of non-federally financed alternatives (which must borrow funds) to Federally financed projects. Each proposal will be evaluated by a technical review panel in accordance with the following criteria and corresponding percentage weights: (a) Technical merit - those passing will be evaluated further, (b) Cost effectiveness 70 percent of the annual cost for each ton of salt load reduction, expressed in dollars per ton, (c) Performance risk 30 percent of performance risk will evaluate the cost and effectiveness risks of the proposal. More detailed information will be included in each funding announcement or may be obtained from the Salinity Control Program contacts listed above.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.510 COLORADO UTE INDIAN WATER RIGHTS SETTLEMENT ACT**

(Colorado Ute Settlement Act/Animas La Plata)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5;

Colorado River Basin Project Act, Public Law 90-537, 82 Stat.885; Colorado Ute Indian Water Rights Settlement Act of 1988, as amended, Public Law 100-585, 102 Stat. 1973; Colorado Ute Settlement Act Amendments of 2000, Public Law 106-554, 114 Stat. 2763A-266.

**OBJECTIVES:**

To supply both municipal and industrial water supply to the Ute Mountain Ute, Southern Ute Indian Tribe, the Navajo Nation and non-Tribal participants from the Animas-La Plata Project in settlement of water rights claims for the Tribes, and also fulfill other project activities that may be required as a result of the construction, such as relocation of roads and moving power lines. To complete construction of a reconfigured Animas-La Plata Project, consisting of facilities to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water, to be used for municipal and industrial water supply only, for the Ute Mountain and Southern Ute Indian Tribes, and other tribal and non-tribal entities in the Four Corners Region of the United States. Also, to supply 4,680 acre-feet per year to the Navajo Nation through a pipeline from Farmington to Shiprock, NM.

For Recovery Act funded projects and in addition to the program objectives stated above, section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Bureau of Reclamation is specifically authorized to: (1) Construct, operate and maintain a reservoir, a pumping plant, a reservoir inlet conduit, and appurtenant facilities with sufficient capacity to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water to be used for a municipal and industrial water supply; (2) Meet specific annual depletion rates for water allocation delivery. The design and construction functions of the Bureau of Reclamation with respect to the Dolores and Animas-LaPlata Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Government - Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs; and for projects not awarded subject to Public Law 93-638: State, local, Federally recognized Indian Tribal governments, small businesses, individuals, and profit organizations.

**Beneficiary Eligibility:**

Federally recognized Indian Tribal Government members and the general public in southwestern Colorado and northwestern New Mexico.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Bureau of Reclamation is required by Public Law 100-585 to use Public Law 93-638 procedures to contract for construction of the Animas-La Plata Project with the Ute Mountain Ute Tribe and the Southern Ute Indian Tribe. Construction contracts for

estimated quantities and with firm fixed unit pricing are issued to accomplish the work. For projects under this program that are not required to be awarded subject to Public Law 93-638, funding opportunity announcements, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on <http://www.grants.gov/>.

**Award Procedure:**

An initial statement of work is issued to the Tribe for review and pricing by the Contract Specialist. The Tribe reviews the initial statement of work, submits and proposal with an estimate for completion of the work. The proposal with cost estimate is evaluated by the Government Technical Team, the Government Cost and Price Analyst, Contract Specialist, Contract Administrator, and Contracting Officer. Negotiations are held on the various elements until an agreement is reached and an award is then made. For projects not awarded subject to Public Law 93-638, all applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Public Law 93-638 contracts and agreements are written for a specific period of time to complete a project, but normally not over 5 years. Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Section 207, Section 17(b) of the Act as amended extended the project period through Fiscal Year 2012. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act programs recipients are required to complete quarterly reporting in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required on a quarterly basis. A final SF 425 is required upon the completion of the agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-3-301; 14-4081-0-3-301 - Recovery Act.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$12,000,000; FY 10 est \$0. (Direct Payments for Specified Use) FY 08 \$62,087,000; FY 09 est \$62,120,000; FY 10 est \$62,000,000

**Range and Average of Financial Assistance:**

Range is \$92,204 to \$14,837,822; Average \$66,069,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 2002, construction contracts in excess of \$270 million have been awarded for the Animas-La Plata Project. Construction on Ridges Basin Dam, Inlet Conduit, and Durango Pumping Plant are approximately 99 percent complete. Final design of components to Navajo Nation Municipal Pipeline are complete and 3 contracts are underway. Construction of the entire Animas-La Plata Project is nearly 64 percent complete. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and 18,  
<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); Public Law 93-638,  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/25cfr900\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/25cfr900_06.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Rich Ehat ALP 100, Western Colorado Area Office, 835 East 2nd Avenue, Suite 300, Durango, Colorado 81301 Email: REhat@uc.usbr.gov Phone: (970) 259-1110 Fax: (970) 259-0059

**Website Address:**

[http://www.usbr.gov/library/annual\\_reports/FY2005/MDandA3.pdf](http://www.usbr.gov/library/annual_reports/FY2005/MDandA3.pdf).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Construction of Durango Pumping Plant Stage 2, Ridges Basin Dam Completion, and Outlet Works Tunnel Excavation; Archaeology; Cultural Resources Investigations; and Relocation of Atmos Gas Pipeline and Associated Facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

There are no criteria for selecting proposals for projects awarded under Public Law 93-638 procedures. When needed work is identified, a request for proposal is issued with a statement of work. The Tribe submits a proposal based on the statement of work. Negotiations are held to arrive at a mutually agreed upon Public Law 93-638 contract for award of the project and the costs associated with performance of the work. For any projects that may be identified that are not subject to Public Law 93-638 procedures, specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded project: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds

based on the criteria set forth in the Recovery Act and accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.512 CENTRAL VALLEY PROJECT IMPROVEMENT ACT, TITLE XXXIV**

(CVPIA)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV, Central Valley Project Improvement Act, Public Law 102-575.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The purposes of the CVPIA are (1) to protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California, (2) to address impacts of the Central Valley Project on fish, wildlife, and associated habitats, (3) to improve the operational flexibility of the Central Valley Project, (4) to increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation, (5) to contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary, and (6) to achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors. For Recovery Act funded projects and in addition to the the program objectives above, the section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure what will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Agreements will be awarded for projects that will result in attaining the objectives noted above and the mandates set out in the CVPIA. Areas of emphasis include fish and wildlife restoration activities and investigations, evaluation of ecologic and hydrologic effects of existing and alternative operations of water facilities and systems, and the effects of the CVP on anadromous fish populations. The Secretary of the Interior is authorized and directed to promulgate such regulations and enter into such agreements as may be necessary to implement the intent, purposes and provisions of Title XXXIV. This title does not and shall not be interpreted to authorize construction of water storage facilities.

**Applicant Eligibility:**

Irrigation and/or water districts; state, local, and county governmental entities with water management authority (e.g., State and Federal agencies, departments, boards, etc.); and other entities with water delivery authority as well as private nonprofit or profit organizations, and individuals located in the State of California.

**Beneficiary Eligibility:**

General public, government agencies, and water management authorities located in the State of California.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the

program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the costs of a project or activity carried out under this Program varies in accordance with the provisions of the CVPIA. Cost-share requirements will be included in the funding opportunity announcement posted on [www.Grants.gov](http://www.Grants.gov). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less; however, funding for multi-year projects may be considered if annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required on a quarterly basis. Upon completion of the agreement recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5173-0-2-301; 14-0681-0-2-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$25,000,000; FY 10 est \$0. (Cooperative Agreements) FY 08 \$10,200,000; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$5,000,000; Average \$28,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Programmatically, the number of awards has been based on the level of funding received and the need to solicit for proposals. For FY 2004 to present, the Habitat Restoration Program (Section 3406 (b)(1) Other has provided approximately 80 percent to 85 percent of its yearly budget toward project grants (grants and cooperative agreements). The Anadromous Fish Screen Program Section 3406 (b)(21) has awarded funds toward cooperative agreements sharing the costs associated with the activities but not to exceed 50 percent of the total cost of any such activity (Total fish screen obligations for FY 1992 to date are about \$92,400,000). Other programs may provide funding for grants and/or cooperative agreements based on project needs, types of projects to be implemented, interested parties, and funding. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Program information, [http://www.usbr.gov/mp/cvpia/title\\_34/public\\_law\\_complete.html](http://www.usbr.gov/mp/cvpia/title_34/public_law_complete.html). These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Richard Woodely, Resources Chief, MP-400, (906)978-5556 and Shana Kaplan, CVPIA Program Manager, MP-400, (916)978-5190.

**Headquarters Office:**

None None, NA, Non-U.S. NA Phone: None

**Website Address:**

<http://www.usbr.gov/mp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Anadromous fish habitat restoration, implementation of the Trinity River fishery restoration program, fish screen improvements, canal lining, conveyance of water to wildlife refuges, and watershed monitoring, operation and maintenance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.



## **15.514 RECLAMATION STATES EMERGENCY DROUGHT RELIEF**

(Emergency Drought Relief and Drought Contingency Planning)

### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

### **AUTHORIZATION:**

Reclamation States Emergency Drought Relief Act of 1991, Title II, Public Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

### **OBJECTIVES:**

To provide financial and planning assistance that would minimize and mitigate losses and damages resulting from drought conditions.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS;  
PROVISION OF SPECIALIZED SERVICES

### **USES AND USE RESTRICTIONS:**

In consultation with other appropriate Federal and State officials, Indian tribes, public, private, and local entities, Reclamation may prepare, or participate in the preparation of, plans for the prevention or mitigation of drought impacts. Financial assistance for the development of drought contingency plans may be provided in the form of cooperative agreements to States, Indian tribes, public, private, and local entities located within the 17 Reclamation States (Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming) and Hawaii. Pursuant to Public Law 93-638, an Indian tribe is entitled to contract for any activities that Reclamation would otherwise conduct pursuant to Section 201 or 202 of Title II of the Act on the tribe's behalf which would benefit the tribe exclusively. Reclamation may provide technical assistance for drought contingency planning in any of the 50 U.S. States and territories and to local and tribal government entities.

### **Applicant Eligibility:**

State and local entities and Federally Recognized Indian Tribal Governments within the following 17 Western U.S. States: Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Wyoming, Utah, and Washington; and Hawaii. Technical assistance can also be requested for all 50 U.S. States and the following U.S. Territories: Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Trust Territory of the Pacific Island, and upon termination of the Trusteeship, the Republic of Palau, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

### **Beneficiary Eligibility:**

General public; Federal, State and local governments; and Federally Recognized Indian Tribal Governments within the 50 U.S. States and Territories.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this

program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible entities may request assistance from their local Reclamation Office. Requests will be forwarded to the Regional Drought Coordinator to ensure they meet the scope and intent of the Reclamation States Emergency Drought Relief Act. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

### **Award Procedure:**

Applications will be received by the Bureau of Reclamation and forwarded to the respective Regional Offices, where they are prioritized, merited and consolidated. Regional Directors will then forward their prioritized lists of funding requests to the Bureau of Reclamation Drought Coordinator who will make the final recommendations regarding which applications will receive awards. If a request is not approved, the Bureau of Reclamation Drought Coordinator will prepare a response letter to notify the applicant that their project was not selected for an award. If a request is approved, a letter of approval will be prepared by the Reclamation Drought Coordinator that includes a delegation of authority to the appropriate Regional Director and includes funding information. This letter will be forwarded to the appropriate Regional/Area Office responsible for implementing the approved actions. The respective Regional/Area Office will develop their agreements and Public Law 93-638 contracts/agreements in compliance with applicable regulations.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

### **Appeals:**

Bureau of Reclamation will provide information on why requests were not approved.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Assistance may be approved at any time of the year and agreements are generally awarded for a six month period, unless an extension is granted by the Commissioner (or the Regional Office granted authority to implement the approved assistance). See the following for information on how assistance is awarded/released: Information not available.

### **Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly recipient reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports

are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$664,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$1,000,000; Average \$4,221,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects have been awarded for drought contingency plans across the 17 Western States. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html);  
Documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Great Plains Region: Rick DeVore, Regional Drought Coordinator, GP-4500, P.O. Box 36900, Billings, MT 59107-6900, Telephone: (406) 247-7757, Fax: (406) 247-7793; Lower Colorado Region: Steve Jones, Regional Drought Coordinator, B4230, P.O. Box 61470, Boulder City, NV 89006-1470, Telephone: (702) 293-8186, Fax: (702) 293-8042; Mid-Pacific Region: Lucille Billingsley, Regional Drought Coordinator, MP-410, Federal Office Building - 2800 Cottage Way, Sacramento, CA 95758, Telephone: (916) 978-5215, Fax: (916) 978-5290; Pacific Northwest Region: Megan Montague, Regional Drought Coordinator, PN-6436, 1150 N. Curtis Rd, Suite 100, Boise, ID 83706-1234, Telephone: (208) 378-5396, Fax: (208) 378-5305; Upper Colorado Region: Mike Stuver, Regional Drought Coordinator, UC-439, 125 S. State Street, Room 6107, Salt Lake City, UT 84138-1147, Telephone: (801) 524-3745, Fax: (801) 524-5499.

**Headquarters Office:**

Avra Morgan Bureau of Reclamation, Mail Code 84-52000, P.O. Box 25007, Denver, Colorado 80225-0007 Phone: (303)445-2906

**Website Address:**

<http://www.usbr.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Drought contingency plans are prepared by a State, tribe, or local government and examine ways to address water shortages, identify specific actions to prevent shortages or to respond to shortages when they occur, and identifies opportunities for water supply conservation, augmentation and use. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance are approved on a case-by-case basis considering program priorities, Congressional direction and funding availability.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.516 FORT PECK RESERVATION RURAL WATER SYSTEM**

(Fort Peck Water Supply Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Fort Peck Reservation Rural Water System Act of 2000, Public Law 106-382.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Fort Peck Indian Reservation in the State of Montana; and to assist the citizens in those portions of Roosevelt, Sheridan, Daniels, and Valley Counties that are outside the Fort Peck Indian Reservation, in developing safe and adequate municipal, rural, and industrial water supplies.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

The project is for the construction of municipal, rural, and industrial water supply systems that will serve the Fort Peck Indian Reservation (Assiniboine and Sioux Rural Water System), and all or portions of Valley, Daniels, Sheridan and Roosevelt counties in northeastern Montana (Dry Prairie Rural Water System). At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Fort Peck Tribal Executive Board, Dry Prairie Rural Water Association Incorporated (or any successor non-Federal entity).

**Beneficiary Eligibility:**

The Fort Peck Indian Reservation, the Dry Prairie Rural Water Association, and the residents of all or portions of Valley, Daniels, Sheridan and Roosevelt counties in the State of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These projects have met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of these projects will be reviewed for continued compliance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing and in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the Fort Peck project is 100 percent (Sec. 4(j)); the Federal share of the Dry Prairie Rural Water System project is 76 percent (Sec. 5(a)(2). Construction costs for both projects will total \$193 million (1998 dollars) with Dry Prairie's cost being \$68 million and the Reservation's portion being \$125 million. Funds are to be available until expended. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Beginning in fiscal year 2001, funding for these projects was authorized to be appropriated over a period of 10 fiscal years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Draft and final technical reports; quarterly recipient reports are required in [www.FederalReporting.gov](http://www.FederalReporting.gov); annual reports; and reports on significant developments (as necessary). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Reports, SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$0; FY 09 est \$39,800,000; FY 10 est \$0. (Project Grants (Cooperative Agreements or Contracts)) FY 08 \$12,370,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Range is \$50,000 To \$10,000,000; Average \$24,056,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; partial construction of the systems in accordance with the final engineering report. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current

Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137, Telephone: 406.247.7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 36th, Billings, Montana 59101 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606 Fax: (406)247-7604

**Website Address:**

<http://www.nemontel.net/~dprw/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Construction of municipal, rural, and industrial water supply systems for the Fort Peck Indian Reservation and for all or portions of Valley, Daniels, Sheridan, and Roosevelt counties in northeastern Montana. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.517 FISH AND WILDLIFE COORDINATION ACT (FWCA)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended; as limited by the Secretary of the Interior delegation of authority at 255 DM 14.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of fish and wildlife habitats associated with water systems or water supplies affected by Bureau of Reclamation projects.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

In accordance with the delegation of authority to the Bureau of Reclamation in the Department of the Interior Department Manual, Part 255, Chapter 14, available at [http://elips.doi.gov/app\\_DM/act\\_getfiles.cfm?relnum=3062](http://elips.doi.gov/app_DM/act_getfiles.cfm?relnum=3062), projects are limited to the improvement of fish and wildlife habitat associated with water systems or water supplies affected by Bureau of Reclamation projects.

**Applicant Eligibility:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations.

**Beneficiary Eligibility:**

Anyone/general public, governmental entities, Tribal governments, Native American organizations, and/or public or private organizations in the specific project area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 5 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Recovery Act recipients will be required to report quarterly in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report, SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$31,646,000; FY 09 est \$20,000,000; FY 10 est \$20,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$20,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$5,000,000; Average \$30,548,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Improvements to fish and wildlife habitat through award of projects that track fish and wildlife movement, habitat temperature monitoring, collection and analysis of invertebrates, genetics studies, surveying and monitoring of fish and wildlife and salinity studies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation Office listed in the funding announcement.

**Regional or Local Office:**

See Regional Agency Offices. Specific contact information will be provided in each funding announcement.

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Wetland habitat research, study of riparian vegetation, habitat restoration. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.518 GARRISON DIVERSION UNIT**

(Garrison Diversion Unit Project)

##### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

##### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Garrison Diversion Unit, Missouri River Basin Project, Public Law 89-108, as amended; Energy and Water Development Appropriation Act of 1985, Public Law 98-360; Garrison Diversion Unit Reformulation Act of 1986, Public Law 99-294; Dakota Water Resources Act of 2000, Public Law 106-554.

##### **OBJECTIVES:**

To meet the water needs within the State of North Dakota by providing funds on a non-reimbursable basis for the planning and construction of a multi-purpose water resource development project within the State of North Dakota for irrigation; municipal, rural, and industrial water; fish, wildlife, and other natural resource conservation and development; recreation; flood control; augmented stream flows; ground water recharge; and other project purposes.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

##### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

##### **USES AND USE RESTRICTIONS:**

Different projects and programs under the authorization have different cost ceilings. The Bureau of Reclamation's Great Plains Region shall enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa to undertake the authorized activities, programs and projects as the Secretary of the Interior determines necessary.

##### **Applicant Eligibility:**

The State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

##### **Beneficiary Eligibility:**

The citizens of the State of North Dakota and the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

##### **Credentials/Documentation:**

See Public Law 99-294, Section 2, for considerations to be given to fish and wildlife conservation, including habitat impacts, mitigation procedures, and

enhancement. See Public Law 99-294, Section 3, regarding when it may be necessary for applicants to complete a comprehensive report covering feasibility, capability, impacts, cost and efficiency measures, National Environmental Policy Act requirements, and other matters. Please contact the Bureau of Reclamation personnel listed in the Contacts section, below, for further information regarding these requirements. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. If requested, the Bureau of Reclamation's Great Plains Region will assist the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa in preparing their respective proposals. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications shall include: (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with their technical and budget proposals.

##### **Award Procedure:**

Once the parties agree with their respective scopes of work and cooperative agreements, the Bureau of Reclamation's Great Plains Region will finalize the agreements. The Bureau of Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa. The tribes may choose to enter into an agreement under Public Law 93-638, the Indian Self-Determination and Education Assistance Act. For those agreements that are in place, the Bureau of Reclamation negotiates annually the workplan and budget for that fiscal year.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Information not available.

##### **Reports:**

Progress reports (quarterly); annual report; reports on significant developments as necessary. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$54,837,000; FY 09 est \$57,000,000; FY 10 est \$50,000,000. (Project Grants (Cooperative Agreements or Contracts)) FY 08 \$0; FY 09 est \$59,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$2,000 to \$35,000,000; Range \$73,612,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Technical and environmental reports required by the various activities, projects, and programs; construction of municipal, rural and industrial water supply systems; and enhancement of recreation facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreizman@gp.usbr.gov](mailto:dbreizman@gp.usbr.gov).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (404)247-7606

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The tribal municipal, rural and industrial water supply systems projects; the tribal operation and maintenance activities; the Red River Valley feasibility study and environmental assessment; the State of North Dakota municipal, rural and industrial water supply systems projects; the enhancement of Garrison recreation facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling, and any stated evaluation criteria.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in

the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.520 LEWIS AND CLARK RURAL WATER SYSTEM**

(Lewis and Clark Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Fiscal Year 2000, Department of Defense Supplemental Appropriations Act, Division B, Chapter 3, Title IV, Lewis and Clark Rural Water System, Public Law 106-246.

**OBJECTIVES:**

To provide safe and adequate municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This project is for the planning and construction of a bulk water supply system to provide municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa. Congress has specifically authorized the Bureau of Reclamation to administer this project in southwestern Minnesota and northwestern Iowa. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Lewis and Clark Rural Water Supply System, Inc., and its member entities (rural water systems or municipalities that meet the Lewis and Clark Rural Water Supply System, Inc., requirements for membership).

**Beneficiary Eligibility:**

The communities and five rural water systems in Lake, McCook, Minnehaha, Turner, Lincoln, Clay, and Union Counties, in southeastern South Dakota; Rock and Nobles Counties, in Southwestern Minnesota; and Lyon, Sioux, Osceola, O'Brien Dickinson, and Clay Counties, in northwestern Iowa.

**Credentials/Documentation:**

The project requires submission of a final engineering report and a plan for water conservation and mitigation plans for fish and wildlife losses in accordance with Section 4104 of the Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Amendments to incorporate annual work plans and budgets are negotiated annually. The recipient must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) Detailed

written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the project is 80 percent; except that Federal funds for the City of Sioux Falls, South Dakota, shall be 50 percent of the incremental cost to the city of participation in the project. (Public Law 106-246, Section 4108).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As of September 30, 2004, the federal appropriation ceiling as prepared by the Bureau of Reclamation was \$332,355,000 and the projected cost ceiling from all funding sources was \$423,198,000. Funds are to be available until expended. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Draft and final technical; progress reports (quarterly); annual report; and reports on significant developments (as necessary). Recovery Act recipients are required to submit quarterly program reports to [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$56,200,000; FY 10 est \$0. (Cooperative Agreements) FY 08 \$21,486,000; FY 09 est \$27,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$60,000,000; Average \$43,228,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for the construction of the municipal, rural, industrial systems; and construction of the systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Bureau of Reclamation office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov](mailto:dbreitzman@gp.usbr.gov).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606

**Website Address:**

<http://www.lcrws.org/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Continuing construction of the Lewis and Clark water supply system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.522 MNI WICONI RURAL WATER SUPPLY PROJECT**

(Mni Wiconi Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Mni Wiconi Rural Project Act of 1988, Public Law 100-516, as amended; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title VIII, Mni Wiconi Act Amendments of 1994, Public Law 103-434.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Pine Ridge Indian, Rosebud Indian, and Lower Brule Indian Reservations in South Dakota; to assist the citizens of Haakon, Jackson, Jones, Lyman, Mellette, Pennington, and Stanley Counties, South Dakota, to develop safe and adequate municipal, rural, and industrial water supplies; to promote the implementation of water conservation programs at these locations; to provide certain benefits to fish, wildlife, and the natural environment of South Dakota; and in consultation with the Oglala, Rosebud, and Lower Brule Sioux Tribes, to conduct feasibility studies on the need to develop water disposal facilities and systems and rehabilitate existing waste water disposal facilities and systems on the Pine Ridge, Rosebud, and Lower Brule Indian Reservations.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To

preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Agreements are limited to planning, designing, constructing, operating, maintaining, and replacing the Oglala Sioux, the Rosebud, and the Lower Brule Sioux Rural Water Supply Systems; and for planning and construction of the West River Rural Water System and the Lyman-Jones Rural Water System. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

West River/Lyman-Jones Water Systems and the Oglala, Rosebud, and Lower Brule Sioux tribes.

**Beneficiary Eligibility:**

The citizens of the southwest quarter of the State of South Dakota, including the Oglala, Rosebud, and Lower Brule Indian Reservations.

**Credentials/Documentation:**

Cooperative agreements for construction of projects entered into for the Lyman-Jones Rural Water System must be in accordance with the final engineering reports submitted by each project applicant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is limited to amendments of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications. Responsibilities for needs assessments, feasibility and environmental studies, design, conservation measures and administration are to be included in agreements negotiated under this authority.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of tribal projects is 100 percent. The Federal share of the West River/Lyman Jones projects is 80 percent. (Public Law 103-434, Section 805). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be

established between the Bureau of Reclamation and the recipients at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Draft and final technical reports; progress reports (quarterly); annual report; and reports on significant developments (as necessary). Recovery Act recipients are required to submit quarterly program reports in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$42,492,000; FY 09 est \$32,770,000; FY 10 est \$30,000,000. (Project Grants (Cooperative Agreements or Contracts)) FY 08 \$0; FY 09 est \$20,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$20,000,000; Average \$41,754,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for the construction of municipal, rural, and industrial systems; and construction of the systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: PO Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov/](mailto:dbreitzman@gp.usbr.gov/).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Region Office , P.O. Box 36900, 316 North 26th Street , Billings, Montana 59101 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606 Fax: (406)247-7604

**Website Address:**

<http://www.usbr.gov/gp/> or <http://www.wrlj.com/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The tribal municipal, rural and industrial projects; the tribal operation and maintenance activities; the West River/Lyman-Jones System municipal, rural and industrial water system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.



For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

### **15.523 PERKINS COUNTY RURAL WATER SYSTEM**

(Perkins County Water Project)

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Perkins County Rural Water System Act of 1999, Public Law 106-136.

#### **OBJECTIVES:**

Grants are awarded to the Perkins County Rural Water System, Inc. for the planning and construction of the water supply system, and repairs to existing public water distribution systems to ensure conservation of the resources and to make the systems functional under the new water supply system.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the members of the Perkins County Rural Water System, Inc. in Perkins County, South Dakota. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

#### **Applicant Eligibility:**

The Perkins County Rural Water System, Inc., Perkins County, South Dakota.

#### **Beneficiary Eligibility:**

The members of Perkins County Rural Water System, Inc. in Perkins County, South Dakota.

#### **Credentials/Documentation:**

Completion of a final engineering report and plan for a water conservation program; plans for mitigation of fish and wildlife losses in accordance with Section 5 of the Act. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication is not required. This project has met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of this project will be reviewed for continued compliance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. At the present time, program funding is limited to amendments to the existing project agreement. Amendments to incorporate annual work plans and budgets are negotiated annually with Perkins County Rural Water System, Inc.

#### **Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the project is 75 percent. (Section 7).

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

#### **Reports:**

Draft and final technical reports; progress reports (quarterly); annual report; and reports on significant developments (as necessary). Recovery Act recipients are required to submit quarterly program reports to [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Reports SF 425. Performance monitoring is not applicable.

#### **Audits:**

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

#### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

#### **Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

#### **Obligations:**

(Cooperative Agreements) FY 08 \$2,507,050; FY 09 est \$2,265,000; FY 10 est \$2,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$4,437,900; FY 10 est \$0

#### **Range and Average of Financial Assistance:**

Range is \$50,000 to \$3,000,000; Average \$3,736,650.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for the construction of water supply systems; and continued work on construction of the system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

#### **Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov/](mailto:dbreitzman@gp.usbr.gov/).

#### **Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: tzontek@usbr.gov Phone: (404)247-7606

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Continuing construction of the water supply system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.524 RECREATION RESOURCES MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Water Projects Recreation Act of 1965, Public Law 89-72 as amended; Reclamation Recreation Act of 1992, Public Law 102-575, Title XXVIII.

**OBJECTIVES:**

To provide opportunities for public recreation at Bureau of Reclamation or other publicly-owned water projects, and to encourage State, county, and local governments to fund and manage recreation resources at these project areas.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cost sharing agreements are used to provide assistance to non-Federal managing partners for the long-term management and care of publicly-owned recreation resources, and for the planning, construction and other facets of improving recreation access and assets. Concession contracts are not authorized by the above authorities.

**Applicant Eligibility:**

State and local government entities that are willing to manage and maintain publicly-owned recreation facilities and assets.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Public Law 89-72 requires that State and local governments indicate their intent in writing to agree to administer project land and water. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State and local governments that have managing partner agreements with Reclamation submit proposals with detailed scopes of work and budgets for recreation as well as fish and wildlife improvement projects.

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications are reviewed by the Bureau of Reclamation office having administrative jurisdiction of the land and water areas being considered for public recreation purposes. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. There are no other additional requirements and the office having jurisdiction may issue a management agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov/](http://www.grants.gov/) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. Management agreements are renewable if both the Bureau of Reclamation and the State or local partner are in mutual agreement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Funding announcements will include information on cost sharing requirements applicable to the specific project. In the case of recreation development, a minimum cost share of 50 percent would be required from a non-Federal partner. For fish and wildlife enhancement projects, the Federal share may be up to 75 percent of the project cost. (16 U.S.C. 460l-13(a)). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically for one to five years depending on the type of project. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis Program Performance Reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$7,114,000; FY 09 est \$7,000,000; FY 10 est \$7,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$10,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$15,000,000; Average \$10,371,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Cost-sharing agreements have been awarded since 1965. Numerous agreements have been awarded to State and local governmental entities for the management of recreation resources. The funds awarded through cost-sharing agreements have for the most part gone to plan, develop, operate, and maintain recreation facilities on Bureau of Reclamation land and water. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/); Program information is included in the Reclamation Manual, LND PO4, available at <http://www.usbr.gov/recman/lnd/lnd-p04.pdf/>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Northwest Region: (208) 378-5312; Mid-Pacific Region: (916) 978-5558; Lower Colorado Region: (702) 293-8375; Upper Colorado Region: (801) 524-3765; Great Plains Region: (406) 247-7714.

**Headquarters Office:**

Darrel Welch Bureau of Reclamation, P.O. Box 25007 (84-53000), Denver, Colorado 80225-0007 Email: [dwelch@usbr.gov](mailto:dwelch@usbr.gov) Phone: (303)445-2913 Fax: (303)445-2711

**Website Address:**

<http://www.usbr.gov/pmts/planning/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Management agreements with State and local governments

providing for long-term management of public recreation resources at Horsetooth, Jordanelle, Cascade, Folsom, and Coachella Reservoirs; shoreline stabilization; Americans with Disabilities Act compliance projects; boat ramp replacement; and operation and maintenance of designated fish and wildlife areas and facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In no priority order and at the discretion of each Reclamation office, cost-share funding will be given to proposals that will: (a) Provide for the public's health and safety; (b) Comply with Federal, State, and local laws and regulations; (c) Protect critical resources such as wetlands, critical wildlife habitat, endangered and threatened species, and cultural resources; and (d) Modernize existing facilities to meet current standards.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.525 ROCKY BOY'S/NORTH CENTRAL MONTANA REGIONAL WATER SYSTEM**

(North Central Montana Rural Water Supply Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Indian Financing Amendments Act of 2002; Rocky Boy's North Central Montana Regional Water System Act of 2002, Title IX, Public Law 107-331.

**OBJECTIVES:**

To ensure a safe and adequate rural, municipal, and industrial water supply for the residents of the Rocky Boy's Reservation in the State of Montana, and to assist the citizens residing in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana, but outside the Reservation, in developing safe and adequate rural, municipal, and industrial water supplies. For ARRA funded projects and in addition to the program objectives above, Section 3 of the Recovery Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local governments budgets in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the Chippewa-Cree of the Rocky Boy's Indian reservation and the surrounding, off-reservation communities in north central Montana. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and the North Central Montana Regional Water Authority.

**Beneficiary Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and inhabitants of the areas served by the North Central Montana Regional Water Authority in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Bureau of Reclamation Great Plains Region, will assist the Chippewa-Cree of the Rocky Boy's Indian Reservation and members of the North Central Montana Regional Water Authority, in preparing their respective annual funding agreements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is provided only for the continuation of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually with the current recipients. Current recipients submit applicable SF-424 forms, technical proposals, and budget narratives for Bureau of Reclamation review.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the Rocky Boy's Rural Water System project is 100 percent. The Federal share of the North Central Montana Regional Water Authority project is 80 percent. (Section 904(b) and (c), Section 905(b)). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are to be available until expended. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports, annual reports on significant developments (as necessary) and final technical reports. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions. Quarterly SF 425 Federal financial reports and final financial report. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - ARRA TAFS 14-0681 2009/2010; 14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$72,994; FY 09

est \$7,000,000; FY 10 est \$0. (Project Grants (Cooperative Agreements or Contracts)) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - ARRA Funded Obligations are not available (To Be Determined).

**Range and Average of Financial Assistance:**

\$50,000 to \$10,000,000; Average \$3,536,497.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; beginning construction of the systems. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1/>;  
OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html/](http://www.whitehouse.gov/omb/grants/grants_circulars.html/)  
These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137. Telephone: (406) 247-7298, E-mail: [djewell@gp.usbr.gov/](mailto:djewell@gp.usbr.gov/).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606

**Website Address:**

<http://northcentralmontanawater.org/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Initial construction activities for the water supply system.  
Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling. For ARRA funded projects: the purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.528 ST. MARY STORAGE UNIT FACILITIES REHABILITATION PROJECT**

(St. Mary Rehabilitation Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Energy and Water Development Appropriations Act, 2006, Title II, Public Law 109-103.

**OBJECTIVES:**

The funds are to be used on a non-reimbursable basis to fund the collection of technical and environmental data to be used to evaluate potential rehabilitation of the St. Mary Storage Unit facilities, Milk River Project, Montana.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cost ceiling of \$500,000. Cooperative agreements may be awarded to the State of Montana and/or the Blackfoot Tribe to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient.

**Applicant Eligibility:**

The State of Montana and the Blackfeet Tribe of Montana.

**Beneficiary Eligibility:**

The citizens of the State of Montana and the Blackfeet Tribe of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

If requested, the Bureau of Reclamation's Great Plains Region will assist both the State of Montana and Blackfeet Tribe of Montana in preparing their respective proposals. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) A detailed written technical proposal including background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal, including a budget with the estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the value of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective scopes of work, Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with both the State of Montana and the Blackfeet Tribe. The Tribe may choose to enter into an agreement under Public Law 93-638 the Indian Self-Determination and Education Assistance Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Draft and final technical reports; progress reports (quarterly); annual report; and reports on significant developments (as necessary). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report SF 425 are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$343,845; FY 09 est \$500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$0 to \$500,000; Average \$421,922.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Reports that provide technical and environmental data necessary to evaluate the potential rehabilitation of the St. Mary Storage Unit facilities, Milk River Project, Montana. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, Address: PO Box 30137, Billings, MT, 59107-0137, Telephone: (406) 247-7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

**15.531 YAKIMA RIVER BASIN WATER ENHANCEMENT PROJECT (YRBWEP)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title XII, Yakima River Basin Water Enhancement Project, Public Law 103-434.

**OBJECTIVES:**

Within the Yakima River Basin: (1) to protect, mitigate, and enhance fish and wildlife through improved water management; improved instream flows; improved water quality; protection, creation and enhancement of wetlands; and by other appropriate means of habitat improvement; (2) to improve the reliability of water supply for irrigation; (3) to authorize a Yakima River basin water conservation program that will improve the efficiency of water delivery and use; enhance basin water supplies; improve water quality; protect, create and enhance wetlands, and determine the amount of basin water needs that can be met by water conservation measures; (4) to realize sufficient water savings from the Yakima River Basin Water Conservation Program so that not less than

40,000 acre-feet of water savings per year are achieved by the end of the fourth year of the Basin Conservation Program; (5) to encourage voluntary transactions among public and private entities which result in the implementation of water conservation measures, practices and facilities; and (6) to provide for the implementation by the Yakima Indian Nation at its sole discretion of (A) an irrigation demonstration project on the Yakima Indian Reservation using water savings from system improvements to the Wapato Irrigation Project, and (B) a Toppenish Creek corridor enhancement project integrating agricultural, fish, wildlife, and cultural resources.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To participate in the Conservation Basin Program an entity must submit a proposed water conservation plan to the Secretary of the Interior. Assistance is limited to those entities (districts, irrigation districts, individuals, or other entities) that equip all surface water delivery systems within their boundaries with volumetric water meters or equally effective water measuring methods within five years of the date of enactment of this Act. The Yakima Nation is not included in the provisions of this, Section 1203, except as to any funds specifically applied for from the Basin Conservation Program. The Secretary of the Interior may use appropriated funds to purchase, or lease, land, water, or water rights from an entity or individual willing to limit or forego water use on a temporary or permanent basis. Funds used for purchase or lease under this paragraph are not subject to the cost sharing provisions of Section 1203(d).

**Applicant Eligibility:**

State of Washington, and Federally Recognized Indian Tribal Governments, water and irrigation districts, and water rights owners located in the project area.

**Beneficiary Eligibility:**

Anyone/General Public, Intrastate, Local, Individual/Family, and Federally Recognized Indian Tribal Governments within the project area.

**Credentials/Documentation:**

Eligible entities must submit a proposal to develop a Water Conservation Plan. Once the Water Conservation Plan has been developed it is to be submitted to the Bureau of Reclamation, Pacific Northwest Region, Upper Columbia Area Office, in accordance with the information included in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov). Only entities with approved Water Conservation Plans are eligible for consideration for feasibility studies. Only entities with an approved Water Conservation Plan and approved feasibility study are eligible for potential implementation of conservation measures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the

requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of personnel from the Bureau of Reclamation, Pacific Northwest Regional Office, who are qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Entities meeting the basic criteria for participation in the YRBWEP must enter into a cost sharing agreement prior to beginning project work.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Unless otherwise stated in the Act: (1) Development of water conservation plans 50 percent non-Federal share, but not more than \$200,000 per recipient; (2) Investigation of specific water conservation measures 50 percent State share and 20 percent local share, but sum of (1) and (2) shall not be greater than \$200,000 per recipient; (3) and (4) Implementation and post implementation monitoring and evaluation 17.5 percent State share, and 17.5 percent local share.(Section 1203(d)).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are normally written for a 1 to 5 year period. Implementation agreements may be written to cover the period estimated in the approved Water Conservation Plan and Feasibility Study. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis Program Performance Reports. Annually, recipients shall submit an annual Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$4,120,000; FY 09 est \$8,503,000; FY 10 est \$5,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$21,400,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$44,700,000; Average \$31,007,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, \$538,080 was obligated for design and right-of-way/easements by the Benton Irrigation Project. In FY 2009 \$3,259,595 was obligated to Benton Irrigation to begin construction of a pump diversion and piping of BID's entire water delivery system. \$200,000 was awarded to the Roza Irrigation District to update their Feasibility Study to take into consideration recent changes that affected their water delivery. In FY 2009, SDBOC will continue their improvements projects. In FY 2009, Phase II of SDBOC's improvements will begin with the obligation of \$150,000 out of a \$43,875,000 project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html); these documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dawn Wiedmeier, Acting Area Manager, 1917 Marsh Rd., Yakima, WA 98901. Telephone: (509) 575-5848, Fax: (509) 454-5611, E-mail: [dwiedmeier@do.usbr.gov](mailto:dwiedmeier@do.usbr.gov).

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/pn/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development/Updating of Water Conservation Plan, Conduct Feasibility Study of Measures Identified in Water Conservation Plan, Implementation of Water Conservation Measures. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Initial selection based on projects that would meet/fulfill the objectives of YRBWEP. After Water Conservation Plans are approved, feasibility studies are approved for those projects/measures that appear to result in the greatest benefit to YRBWEP. Implementation awards are based on those that are the most cost effective and result in the greatest water savings.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.532 CENTRAL VALLEY PROJECT, TRINITY RIVER DIVISION, TRINITY RIVER FISH AND WILDLIFE MANAGEMENT**

(Trinity River Restoration Program)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Central Valley Project Improvement Act (CVPIA), 1992, Public Law 102-575, Title 34, Section 3406(b)(1).

**OBJECTIVES:**

To address impacts of the Central Valley Project (CVP) on fish, wildlife, and associated habitats in the Trinity River basin of California by protecting, restoring, and enhancing such habitats and to address other identified adverse environmental impacts of the Central Valley Project.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funding is discretionary and intended for projects that support the goals and objectives of the Program and meet the requirements specified in the CVPIA and Record of Decision.

**Applicant Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, federally recognized Indian Tribal governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A request for applications (RFA) will be posted at [Grants.gov](http://Grants.gov) as funding is made available by the Bureau of Reclamation. Applications shall include: 1) A detailed written technical proposal that should include information such as a scope of work which separates the work into major tasks, the approach proposed to accomplish the work, type of personnel who will participate in accomplishing the work, background and location of applicant, any equipment that will be utilized by the project applicant, experience in this type of work, an estimate of the costs and/or cost savings, any economic benefit, and any other information that may be useful for proposal evaluation. 2) A detailed cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. In addition, applicants must submit all applicable SF 424 forms, which are referenced in the RFA.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the RFA are reviewed on the basis of a

competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the RFA. The review team will consist of Federal personnel and qualified non-Federal personnel when specific expertise is required by the review team. The Bureau of Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. The Bureau of Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be provided for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov).

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: This program has no statutory formula or matching requirements; however, project cost sharing is encouraged.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals will be requested for projects of varying durations. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis Program Performance Reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report, SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300; 14-0681-0-1-300 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$4,500,000.  
(Cooperative Agreements) FY 08 \$1,357,000; FY 09 est \$1,464,000; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$1,000,000; Average \$2,940,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To date, program accomplishments include completion of modifications on four bridges; modification of floodplain infrastructures allowing for peak releases of up to 11,000 cubic feet per second; completion of the two largest releases for fishery restoration purposes since the opening of the dams in 1963; and construction of several channel rehabilitation projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12,  
<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Trinity River Restoration Program, Attn: Doug Schlessner, P.O. Box 1300, Weaverville, CA 96093. Telephone: (530) 623-1800. Fax: (530) 623-5944.

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/mp/nao/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Public Information and Outreach, Watershed Coordination, Target Watershed Implementation, Grass Valley Creek Watershed Monitoring, and Habitat Assessment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria will vary according to project and will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.533 CALIFORNIA WATER SECURITY AND ENVIRONMENTAL ENHANCEMENT**

California Bay-Delta Authorization Act (CALFED)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Water Supply, Reliability, and Environmental Improvement Act, Title I California Water Security and Environmental Enhancement, Public Law 108-361.

**OBJECTIVES:**

The purpose of the CALFED Bay-Delta Authorization Act is to authorize the Secretary of the Interior and the heads of the other Federal implementing agencies to carry out specific activities identified in the Act in furtherance of the CALFED Bay-Delta Program as set forth in the CALFED Bay-Delta Program Record of Decision dated August 28, 2000. The primary objectives of the program are to expand water supplies to ensure efficient use through an array of projects and approaches, improve water quality from source to tap, improve the health of the Bay-Delta system through restoring and protecting habitats and native species, and improve the Bay-Delta levees to provide flood protection, ecosystem benefits, and protect water supplies.

**TYPES OF ASSISTANCE:**



Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2007, appropriations provided to the Bureau of Reclamation are limited to supporting the development of activities that will contribute to implementation of Delta Vision under Section 103(f)(4)(A) and (B) of Public Law 108-361. Available funding is limited to grants and cooperative agreements with agencies of the State of California that will lead toward the establishment of a sustainable management program for the Sacramento-San Joaquin Bay. Of the amounts made available under Section 103(f)(A), not less than 50 percent shall be provided to the California Bay-Delta Authority to carry out Program-wide management, oversight, and coordination activities.

**Applicant Eligibility:**

Agencies of the State of California.

**Beneficiary Eligibility:**

The general public located in and near the California Bay-Delta area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit all applicable SF-424 forms; and a statement of work separating the work into major tasks, level of cooperation with parties involved, and how the subject proposal will provide the outcome sought.

**Award Procedure:**

Applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal or non-Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Maximum funding amount is dependent upon the annual appropriation from Congress.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project or activity.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next is at the discretion of Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the costs of a project or activity carried out under this Program may vary dependent upon activity and authority. Costs of operation, maintenance, repair and rehabilitation of facilities shall be a nonfederal responsibility. Per Section 103(f)(4)(B), PROGRAM-WIDE ACTIVITIES, of the amount referred to in subparagraph (A), not less than 50 percent of the appropriated amount shall be provided to the California Bay-Delta Authority to carry out Program-wide management, oversight, and coordination activities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally for 24 months or less; multi-year projects may be considered if

justified and annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report SF-425 and upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0687-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$27,000; FY 09 est \$1,750,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$27,000 to \$1,000,000; Average \$888,5000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2007, the Bureau of Reclamation awarded \$27,000 for the production of the CALFED Annual Report. In FY 2009, it is anticipated that a \$1,000,000 grant will be awarded for program management and oversight relative to planning studies for the CALFED Storage projects and \$750,000 for performance measures and program tracking. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1), OMB Circulars [www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html) and Standard Forms [www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html). These documents may also be obtained by contacting the Bureau of Reclamation or CALFED at [calwater.ca.gov](http://calwater.ca.gov).

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Department of the Interior, Mid-Pacific Region, 2800 Cottage Way, Special Projects Office (MP-120), Sacramento, CA 95825; Telephone: (916) 978-5022; Fax: (916)978-5528.

**Headquarters Office:**

Director Department of the Interior, Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

[www.mp.usbr.gov](http://www.mp.usbr.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Available grants and cooperative agreements are with agencies of the State of California for program-wide management, oversight, and coordination activities as defined in section 103(f)(4) of Public Law 108-361. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No

Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in application packages and any funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.534 MISCELLANEOUS PUBLIC LAW 93-638 CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title I, Public Law 93-638, 25 U.S.C 450 ; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Project funds are to be provided on a non-reimbursable basis for construction and/or non-construction activities which are primarily for the benefit of Indians because of their protected status. For ARRA funded projects and in addition to the program objectives above, the Section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Contracts, grants, and cooperative agreements are authorized for construction and non-construction projects. Certain restrictions will be applicable based on the specific statutory authority that authorizes the project. This CFDA number will not be utilized if there is a more specific CFDA number applicable to the project such as for projects awarded under the Colorado Ute Indian Water Rights Settlement Act.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations in the 17 western states are eligible applicants; however, eligibility alone does not establish a "program."

**Beneficiary Eligibility:**

Federally recognized Indian tribes and tribal organizations.

**Credentials/Documentation:**

(1) Each contract, grant, or cooperative agreement requires project specific authority. (2) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. (4) The awarded contract, grant, or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified as 25 CFR Part 900. Proposals shall be submitted to

the applicable Reclamation office with responsibility for the specific project for which a Tribe or tribal organization proposes to participate. Reclamation will provide technical assistance to Tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

Reclamation and the Tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the Tribe also negotiate an Annual Funding Agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property list, list of any applicable provisions, terms, and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified for the project.

**Appeals:**

Not Applicable.

**Renewals:**

Will vary with project or award.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of projects will vary. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions. Recipients are required to report quarterly progress in [www.FederalReporting.gov](http://www.FederalReporting.gov). The Federal Financial Report SF 425 is required. The reporting (financial status report and progress reports) requirements will be negotiated within the AFA or overarching terms and conditions. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82, Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act TAFS 14-0681 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$5,000,000; FY 10 est \$5,000,000. (Cooperative Agreements) FY 08 \$0; FY 09 est \$40,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$500,000; Average \$16,666,666.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 U.S.C. 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (2 CFR 225), and OMB Circular A-133.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Commissioner Office of the Commissioner, Bureau of Reclamation, 1849 C Street, N.W.

, Washington, District of Columbia 20240-0001 Phone: (202) 513-0501

**Website Address:**

<http://www.usbr.gov/native/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operation and maintenance of Navajo Indian irrigation project facilities, conducting studies to identify water needs for the Tule River Reservation, pre-construction work for creation of a fish hatchery at Walker Lake, Rio Grande Restoration Project at Pueblo of Santa Ana, identify and evaluate the rehabilitation and betterment needs of the Crow Irrigation Project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must meet the requirements of Public Law 93-638, 25 CFR Part 900 and any additional criteria specific to the authorizing legislation for the project. The project must be contractible under Public Law 93-638.

For Recovery Act funded projects the purposes are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environment protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.535 UPPER COLORADO RIVER BASIN FISH AND WILDLIFE MITIGATION PROGRAM.**

**FEDERAL AGENCY:**

Department of the Interior

**AUTHORIZATION:**

Fish, Wildlife, and Recreation Mitigation and Conservation, Title 3, Section 314, Public Law 102-575; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Reclamation Projects Authorization and Adjustment Act of 1992.

**OBJECTIVES:**

To protect, restore and enhance wetland and upland ecosystems for the conservation of fish and wildlife resources in the upper Colorado River basin. For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose is to benefit fish and wildlife resources adversely affected by the construction and operation of Federal water resource developments authorized by the Colorado River Storage Project Act of 1956 (Public Law 84-485).

Projects are for fish and wildlife habitat improvements and recreation in accordance with the goals and criteria established by Congress in Section 314 of the Central Utah Project Completion Act (CUPCA). Projects supplement historic water resource development mitigation that has occurred, expand previous mitigation efforts to address unforeseen circumstances, or otherwise benefit associated wildlife habitat and public interests. By statutory restriction, funds are expended outside the state of Utah.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants submit written technical and budget proposals in accordance with guidance stated in the annual program announcement. The standard application forms required by 43 CFR 12, Subparts C and F, must be used. Preparation of Environmental Impact Statement/Environmental Assessment and compliance with the Federal Endangered Species Act and other Federal environmental laws may be prerequisites, based on impacts of the proposed action, prior to receiving federal assistance/funding. State Plans are not required.

**Award Procedure:**

Projects ranking highest against the program criteria for selecting proposals as stated in the annual funding announcement (see Criteria for Selecting Proposals, below), and consistent with available funding, are requested to submit a draft grant or cooperative agreement along with supporting forms and documents. Applicants will work with the CUPCA program office to complete required documents and execute the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Funding decisions are made at least annually. Deadlines for applications are stated in the annual program solicitation of proposals. Contact the program office for information on deadlines for applications in the current year. The range of the approval time is 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. Renewals are contingent upon Congressional appropriations to the program, a continued high relevancy ranking based on program criteria, and recipients satisfactory progress on the approved scope of work.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally written for a 1 to 5 year period with funding provided only for the current year. See Renewals, above. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

All projects and activities are monitored for progress and compliance with the

agreed-upon scope of work. Projects funded under the American Recovery Act of 2009 will be required to have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Written quarterly progress reports detailing project accomplishments are generally required, as are written reports upon completion of the project. Recipients are required to submit periodic requests for advance or reimbursement of funds using the SF-270, or may request payments through the Automated Standard Application for Payments (ASAP) system. Recipients also submit Financial Status Reports annually within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Financial Status Report is required within 90 calendar days after the expiration or termination of the assistance agreement. Periodic site visits and internal reports are completed by the CUPCA program office. Recipients are required to submit periodic requests for advance or reimbursement of funds using the SF-270, or may request payments through the Automated Standard Application for Payments (ASAP) system. Recipients also submit Financial Status Reports annually within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Financial Status Report is required within 90 calendar days after the expiration or termination of the assistance agreement. Periodic site visits and internal reports are completed by the CUPCA program office. Written quarterly progress reports detailing project accomplishments are generally required, as are written reports upon completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0787-0-1-301 - ARRA Funds 14-0786 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 \$24,000; FY 09 est \$294,000; FY 10 est \$289,000

**Range and Average of Financial Assistance:**

\$5,000 to \$200,000  
Average: \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 80 projects have been completed in 14 years of program operations. These projects have protected/restored/created about 1,530 acres of wetlands, treated and improved aquatic habitats in 162 miles of streams, treated and improved over 20,500 acres of upland wildlife range and completed other types of projects to achieve fish and wildlife habitat improvements. Total Program expenditures have been approximately \$3.63 million, with program partners contributing an additional \$2.7 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Requirements and previous Program Accomplishment Reports are available from the Information Contacts listed below.

**Regional or Local Office:**

See Regional Agency Offices. Central Utah Project Completion Act Office, Mitigation Program Coordinator, 302 East 1860 South, Provo, Utah 84606; Telephone: (801) 379-1254; Fax: (801) 379-1209; E-mail: [rswanson@uc.usbr.gov](mailto:rswanson@uc.usbr.gov).

**Headquarters Office:**

Assistant Secretary of the Interior for Water and Science 1849 C Street, N.W., , Washington, District of Columbia 20240 Email: [rswanson@uc.usbr.gov](mailto:rswanson@uc.usbr.gov) Phone: (801) 379-1254 Fax: (801) 379-1209

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.637 Migratory Bird Joint Ventures

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Planning, design and construction of fish and wildlife habitat (upland and aquatic) conservation and improvement projects with emphasis on aquatic and riparian habitat enhancements, and wetlands restoration; applied research into habitat limiting factors in restoration of native trout species including laboratory and field testing of hypothesis; assistance with approved recovery actions for endangered and threatened species, particularly Colorado River fishes and neo-tropical migratory birds; exotic and invasive species control, with heavy emphasis on invasive Tamarisk, using mechanical and bio-control technologies with associated restoration of native flora and fauna (riparian emphasis); land acquisition (including conservation easements) for wetland enhancement and big game range protection and improvement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for funding projects have been established by Congress in the authorizing legislation (Public Law 102-575) at Section 314(c). Generally, these criteria require that projects restore damaged natural ecosystems on public lands and waterways affected by Federal Reclamation projects in the upper Colorado River basin. In addition, priority is given to projects that assist recovery of endangered or sensitive species or ecosystems, allow reintroduction of native flora and fauna, control or eliminate exotic pest species, or provide enhanced conservation value to state and local government lands. A complete list of program criteria is available at the address listed in Information Contacts (:151). Projects that leverage grant funds with applicant funds, or in-kind services, will receive bonus consideration, but not automatic preference. For ARRA funded projects, the evaluation criteria also address the following priorities established in the Conference Report for Title IV: (a) Programs, projects, or activities that can be obligate/executed quickly; (b) Programs, projects, or activities that will result in high, immediate employment; (c) Programs, projects, or activities that have little schedule risk; (d) Programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and (e) Programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding. Specific evaluation criteria will be included in the annual funding opportunity announcement.

**15.536 DESCHUTES RIVER CONSERVANCY (DRC)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Oregon Resource Conservation Act of 1996, Public Law 110-229, 110 Stat. 009.

**OBJECTIVES:**

The DRC Working Group shall give priority to voluntary market-based economic incentives for ecosystem restoration including, but not limited to, water leases and purchases; land leases and purchases; tradable discharge permits; and acquisition of timber, grazing, and land development rights to implement plans, programs, measures, and projects. For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

(5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Will propose ecological restoration projects on both Federal and non-Federal lands and waters to be undertaken in the Deschutes River Basin based on a consensus of the Working Group, provided that such projects, when involving Federal land or funds, shall be proposed to the Bureau of Reclamation in the Department of the Interior . . . with affected land or funds..

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives. Instructions for applications are contained in the announcement made available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. In accordance with Sec. 301, subsection (b)(3) of Public Law 104-208, as amended by Public Law 110-229, Federal project funding is limited to, under subsection (h) of this title up to 50 percent of the cost of performing any project proposed by the Working Group and approved by the Secretary, up to a total amount of . . . \$2,00,000 during each of fiscal years 2007 through 2016. Additionally, under subsection (b)(6), The Bureau of Reclamation is authorized to provide by grant to the Working Group not more than 5 percent of funds appropriated pursuant to subsection (h) of this title for not more than 50 percent of administrative costs relating to the implementation of this title.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding for these projects was authorized to be appropriated for fiscal years 2007 through 2016. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Post-award reporting requirements are prescribed within the terms and conditions of the financial assistance award. Projects funded under ARRA will have additional quarterly reporting requirements as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300 - ARRA Funds 14-0681-0-1-300. ARRA TAFS 14-0681 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$2,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$0 to \$2,000,000; Average: \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Required technical and environmental reports for on-going projects and reports of benefits derived from completed projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Mr. Richard Rieber, Biologist, Bureau of Reclamation, 1150 North Curtis Road, Boise, ID 83706. Telephone: (208) 378-5313, E-mail: [rrieber@pn.usbr.gov](mailto:rrieber@pn.usbr.gov).

**Headquarters Office:**

Bryant Lyndaker 1150 North Curtis Road, , Boise, Idaho 83706 Email: [blyndaker@pn.usbr.gov](mailto:blyndaker@pn.usbr.gov) Phone: 208-378-5138

**Website Address:**

<http://www.deschutesriver.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Water conservation projects (piping and lining canals), water leasing, and habitat restoration. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing Legislation and the appropriation ceiling. The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental. For ARRA funded projects: protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.537 MIDDLE RIO GRANDE ENDANGERED SPECIES COLLABORATIVE PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Energy and Water Development Appropriations Act 2005, Public Law 108-447, 118 Stat. 2949; Energy and Water Development Appropriations Act 2006, Public Law 109-103, 119 Stat. 2256; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Consolidated Appropriations Act of 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of the Middle Rio Grande Endangered Species Act Collaborative Program (Program) is to protect and improve the status of endangered listed species along the Middle Rio Grande (MRG) and to simultaneously protect existing and future regional water uses while complying with state and federal laws, including Rio Grande compact delivery obligations. Listed species means federally listed species under the Endangered Species Act (ESA), with special emphasis on the Rio Grande silvery minnow (silvery minnow) and the southwestern willow flycatcher.

For Recovery Act funded projects and in addition to the program objectives above, Section 3 of the ARRA states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance may be used in furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. The Program Area is defined as: the headwaters of the Rio Chama watershed and the Rio Grande, including tributaries, from the New Mexico-Colorado state line downstream to elevation 4,450 ft mean sea level, the elevation of the spillway crest of the Elephant Butte Dam. All appropriated funds are discretionary.

**Applicant Eligibility:**

Not available.

**Beneficiary Eligibility:**

Not available.

**Credentials/Documentation:**

Whenever applicable, all necessary federal, state, local, and/or private access, collection, and other environmental permits must be provided. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts (federal and non-federal stakeholders) in the program area. Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the

funding announcement. Final selection will be determined by the designated Grants Officer .

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov). The range of approval or disapproval time varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Federal assistance is typically available during the current fiscal year of appropriations. For planning purposes, grant opportunities are posted during the first and second quarters of the fiscal year. Depending on the number and magnitude of qualified projects, more funds are available during the first half of the fiscal year. The Program expects all awarded funds to be expended during the fiscal year in which grant awards were made or no more than 2 years from the time of grant award.

For more complex projects that may involve environmental compliance, design, feasibility studies, construction and implementation, effectiveness monitoring, and other related activities, the project will be divided into phases. The project will then be funded incrementally at phase level costs. Funding of subsequent phases will be based on project viability, effectiveness, and fund availability. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-425 Financial Status Reports, (2) Program performance reports. Annually, recipients shall submit an annual program performance report. (3) Upon completion of the agreement, recipients shall submit a final: SF-425 Financial Status Report, final program performance report, and (4) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the terms and conditions and announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis: (1) SF-425 Financial Status Reports, (2) Program performance reports. Annually, recipients shall submit an annual program performance report. (3) Upon completion of the agreement, recipients shall submit a final: SF-425 Financial Status Report, final program performance report, and (4) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the terms and conditions and announcement packages at [www.grants.gov](http://www.grants.gov). Unless otherwise stated in the agreement document, recipients shall submit the following reports on a

quarterly basis: (1) SF-425 Financial Status Reports, (2) Program performance reports. Annually, recipients shall submit an annual program performance report. (3) Upon completion of the agreement, recipients shall submit a final: SF-425 Financial Status Report, final program performance report, and (4) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the terms and conditions and announcement packages at [www.grants.gov](http://www.grants.gov).

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301 - ARRA Funds 14-0681-0-1-301. ARRA TAFS 14-0681 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 \$16,500,000; FY 09 est \$9,700,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$35,000 to \$2,100,000; Average \$13,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects funded for the furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. Program guidelines: <http://www.mrgesa.com>.

**Regional or Local Office:**

See Regional Agency Offices. Lisa Croft, Program Manager, Telephone: (505) 462-3541, Fax: (505) 462-3783, E-Mail: [lcroft@uc.usbr.gov](mailto:lcroft@uc.usbr.gov).

**Headquarters Office:**

Bureau of Reclamation Bureau of Reclamation, Albuquerque Area Office 555 Broadway Blvd. , Bureau of Reclamation, Albuquerque Area Office 555 Broadway Blvd. , New Mexico 87102 Email: [lcroft@uc.usbr.gov](mailto:lcroft@uc.usbr.gov) Phone: (505) 462-3540

**Website Address:**

<http://www.mrgesa.com> and <http://www.usbr.gov/uc/albuq/index.html>

**RELATED PROGRAMS:**

15.517 Fish and Wildlife Coordination Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Endangered Species Habitat Restoration Analysis and Recommendation on the Pueblo of Isleta, New Mexico - This project will provide a means to describe and to define existing conditions in the Pueblos project area, to provide qualitative and quantitative analyses of existing information, to recommend site-specific projects aimed at improving habitat for the Rio Grande Silvery Minnow and the Southwestern Willow Flycatcher. Additionally, the project will enable the Pueblo to identify specific monitoring and adaptive management approaches and techniques to ensure long-term success and sustainability of current and future habitat restoration sites.

Development of Habitat Restoration Monitoring Plan in the Pueblo of Santa Clara, New Mexico - The project is designed to complete a Habitat Restoration Plan for the Pueblo of Santa Clara Sub-reach of the Middle Rio Grande river. The Plan will systematically and comprehensively analyze and incorporate baseline conditions and existing information to provide specific habitat restoration/rehabilitation goals and recommendations for future Rio Grande habitat restoration projects within Pueblo of Santa Clara lands in accordance with restoration techniques, and priorities discussions outlined in prior habitat restoration planning documents and recovery plans. The restoration goals, techniques, and discussions will be targeted to directly benefit threatened and endangered species, culturally significant species, and other species of concern, all of which have experienced detrimental losses due to the failing health of the Rio Grande riverine and riparian ecosystem.

Operations and Maintenance of the Los Lunas Naturalized Refugium for the Rio Grande Silvery Minnow - The project aims at assisting in the cost of the operations and maintenance at the New Mexico Interstate Stream Commissions Rio Grande Silvery Minnow Naturalized Refugium located in Los Lunas, New Mexico. The facility is used to breed and to propagate silvery minnow for wild population augmentation to prevent extinction and to assist in the recovery of the species. The project also supports the maintenance of a captive population as a precautionary measure to prevent extinction from catastrophes in the wild and will also maintain an independent population to prevent captive population catastrophic loss.

Maintenance of Habitat Restoration Projects at the Pueblo of Ohkay-Owingeh, New Mexico The project involves the maintenance of a desirable habitat restoration trajectory in restored Southwest Willow Flycatcher habitats at the Pueblo of Ohkay-Owingehs geographical area of resource management. This project will benefit the SWFL recovery efforts by maintaining constructed habitats to ensure successional trajectory to a desirable SWFL habitat, and by collecting viable information in planning maintenance activities and adaptive management of on-going projects. Activities include locating and eradicating invasive trees and invasive herbaceous weeds and planting native grass and forbs seeds, among maintenance measures.

Habitat Restoration for the Isleta Reach, Phases I and II The project involves planning, design development, preparation of environmental compliance and implementing active and passive habitat restoration techniques in the area known as Isleta Reach of the Middle Rio Grande River. Monitoring results from this project in combination with results from other Albuquerque Reach work will provide information for the better identification and implementation of restoration techniques that are most successful in creating and maintaining silvery minnow habitats. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.538 LOWER COLORADO RIVER MULTI-SPECIES CONSERVATION PROGRAM.**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act, Title IX, Section 9401-9404, Public Law 111-11; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The MSCP's purposes are: Protect the lower Colorado River environment while

ensuring the certainty of existing river water and power operations, address the needs of threatened and endangered wildlife under the Endangered Species Act, and reduce the likelihood of listing additional species along the lower Colorado River.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The planning area for the LCR MSCP is defined as areas up to and including the full-pool elevations of Lakes Mead, Mohave, and Havasu and the historical floodplain of the Colorado River from Lake Mead downstream to the Southerly International Boundary with Mexico. The planning area provides habitat for Covered Species listed as endangered or threatened under the ESA; additionally there are region specific species that are inclusive of this program. Visit <http://www.lcrmscp.gov> for specific information.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov). The range of approval or disapproval time is 90 days.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 3 years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Periodic financial status and performance progress reports, final reports, and significant development reports as specified in the agreement terms and conditions. Projects funded under the American and Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the terms and conditions and announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Periodic financial status and performance progress reports, final reports, and significant development reports as specified in the agreement terms and conditions. Projects funded under the American and Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the terms and conditions and announcement packages at [www.grants.gov](http://www.grants.gov). Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est \$725,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; Average \$725,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Implementation of LCR MSCP conservation measures. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12 and applicable Office of Management and Budget Circulars.

**Regional or Local Office:**

See Regional Agency Offices. John Swett, MSCP Program Manager, PO Box 61470, Boulder City, NV 89006, Telephone: (702) 293-8555.

**Headquarters Office:**

John Swett PO Box 61470, Boulder City, Nevada 89006 Phone: (702) 293-8555

**Website Address:**

<http://www.lcrmscp.gov>

**RELATED PROGRAMS:**

Not Applicable.



**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See annual work plan at <http://www.lcrmscp.gov>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Need to meet LCR MSCP requirements for implementation of conservation measures outlined in the Habitat Conservation Plan. This can be found at <http://www.lcrmscp.gov>. For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.539 EQUUS BEDS DIVISION ACQUIFER STORAGE RECHARGE PROJECT**

Equus Beds Aquifer Storage Recharge Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Wichita Projects Equus Beds Division Authorization Act of 2005, Public Law 109-299.

**OBJECTIVES:**

To design and construct the City of Wichita's Aquifer Storage Recharge project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer in order to recover depleted storage and protect the Aquifer.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The program exists to provide funding (as appropriated by Congress) to the city of Wichita for reimbursement of the design and construction of the City's ASR project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer. Authority terminates 10 years from enactment of P.L. 109-299. The City of Wichita will hold title to all facilities.

**Applicant Eligibility:**

The City of Wichita is the eligible applicant.

**Beneficiary Eligibility:**

M & I and agricultural waters users of South-central Kansas.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Project construction may not be initiated until Reclamation has completed the NEPA compliance process (EIS). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budget are submitted annually.

**Award Procedure:**

The Great Plains Regional Office approves award and distribution of award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

City must submit quarterly requests within 30 days of the end of the reporting period. Authority to cost share expires October 2016.

**Appeals:**

Not Applicable.

**Renewals:**

Additional funding for the program is at the discretion of Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: City will fund 100% of project on a quarterly basis and receive reimbursement for the lesser of 25 percent or \$30 million (indexed from January 2003).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A 10-authorization currently exists for this program. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports, annual report, and significant developments are reported as necessary. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report, SF 425 are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$1,500,000; FY 10 est \$0 - FY 2008 is not separately identifiable and FY 2010 is to be determined.

**Range and Average of Financial Assistance:**

Range is \$0 to \$1,500,000; Average \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Phase II program administration started by Wichita in 2008. Reclamation disbursed funding for two quarterly reimbursement requests. The Environmental Impact Statement is partially completed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12 and the OMB Circulars. These documents may be obtained by contacting the Bureau of Reclamation Oklahoma-Texas Area Office.

**Regional or Local Office:**

See Regional Agency Offices. Benjamin Claggett (GOTR), Oklahoma-Texas Area Office, 5924 NW 2nd Street, Suite 200, Oklahoma City, OK 73127-6514. Phone: (405)470-4829, Fax: (405)470-4807 and E-mail: [bclaggett@usbr.gov](mailto:bclaggett@usbr.gov).

**Headquarters Office:**

Terry Zontek Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: [tzontek@usbr.gov](mailto:tzontek@usbr.gov) Phone: (406)247-7606 Fax: (406)247-7604

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Those scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

## 15.540 LAKE MEAD/LAS VEGAS WASH PROGRAM

Las Vegas Wash (LVW Program)

### FEDERAL AGENCY:

Bureau of Reclamation, Department of the Interior

### AUTHORIZATION:

Water Resources Development Act of 2000 and Energy and Water Appropriation Acts., Public Law 106-541; Soil Moisture Conservation Act of 1935, Public Law 74-46.

### OBJECTIVES:

The objective of this program is to develop and implement management strategies for the Las Vegas Wash to improve water quality, habitat integrity, and reduce the salinity and sediment transport while providing environmental enhancement and recreational opportunities.

### TYPES OF ASSISTANCE:

Project Grants

### USES AND USE RESTRICTIONS:

The Secretary of Interior shall continue to participate in implementation of the Project.

### Applicant Eligibility:

The Secretary of the Interior shall continue to participate in implementation of the Project at Las Vegas Wash and Lake Mead in accordance with the Comprehensive Adaptive Management Plan (Plan): Provided, that issuance of any such grants shall not modify the cost sharing requirements provided in section 529(b) of Public Law 106-541.

### Beneficiary Eligibility:

The Southern Nevada Water Authority (SNWA) and the General Public.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget for Information for Construction Projects, Standard Form 424D, Assurance for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects. Funding is authorized, mandatory, so posting on grants.gov is not necessary. This is a cost share program.

### Award Procedure:

For grant agreements awarded as a component of the eligible beneficiary (SNWA) and project, approved by the Secretary of the Interior, and funded under Public Law 106-541 and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and relies on the passing of a fiscal year appropriations bill for the availability of authorized funds.

### Appeals:

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

### Renewals:

When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to the availability of appropriated funds. The SNWA must submit written requests for renewals or extensions director to the Program Manager for approval, at least 45 days prior to the expiration of the specific project agreement. Once the term of the project is expired, no renewal or extension will be approved, due to non-compliance with the terms and conditions of the specific projects agreement.

### Formula and Matching Requirements:

This program has no statutory formula.

Matching Requirements: In accordance with Section 529(b) of Public Law 106-541, the cost share for the SNWA is 35 percent, Reclamation's is 75 percent, and the authorized appropriated amount is limited to a ceiling of \$20,000,000.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

There are no specific restrictions for these projects; however, most of the projects are awarded for a 1 to 3 year period and funded on a year-by-year basis. No projects exceed a 5 year period. See the following for information on how assistance is awarded/released: Information not available.

### Reports:

Performance reports are required and are prescribed within the terms and conditions of the financial assistance award. Cash reports are not applicable. Progress reports are not applicable. Post-award reporting requirements are prescribed within the terms and conditions of the financial assistance award utilizing Standard Form 425 Federal Financial Report and Standard Form 270 Request for Advance or Reimbursement. Generally reports are due on a quarterly basis, due not later than 30 days after the quarter ends, and final reports are due no later than 90 days following the termination or expiration of the agreement period. Reimbursements are submitted on a regular basis and usually accompany the quarterly or final reports. Performance monitoring is not applicable.

### Audits:

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

### Records:

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR.

### Account Identification:

14-0680-0-1-301.

### Obligations:

(Project Grants) FY 08 \$2,342,573; FY 09 est \$900,000; FY 10 est \$0

### Range and Average of Financial Assistance:

Range is \$25,000 to \$300,000; Average \$1,621,287.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: 11 of 22 grade control structures have been built. Four were constructed by Reclamation. The structures along with bank stabilization activities, vegetation efforts, scientific studies, and biological restoration activities help to support the fulfilling of the 44 action items identified in the Plan for the long-term management of the LVW. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations 43 Part 12 and the OMB Circulars. These documents may be

obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Resources Management Office, P.O. Box 61470, Boulder City, Nevada 89006. Telephone (702)293-8501. LC 2721.

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

http://None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Las Vegas Walsh projects have been awarded under this program since fiscal year 2000 and have included the following: conversation education initiatives; residential irrigation retrofit study; water smart calendars; efficient construction site water uses studies; restoration phases; Lake Mead Razorback studies; botanical inventories; diversity and distribution of bats in the Clark Count Wetlands Park; historical research and investigations on Euro-American sites in the Clark County Wetlands Park; native plant materials for revegetation; bioassessment monitoring plan; water quality analysis; archaeological studies and collection; wetlands enhancement; invasive plant and weed management/removal; biological resource studies and monitoring; landscape designs at revegetation sites; plant and animal field guide; avian monitoring phases; Henderson demonstration pond water quality analysis; tributary water quality improvement demonstration; revegetation site maintenance/monitoring with the Nevada Division of forestry for site protection and controlled burns; bank stabilization; fish and wildlife management plan; security enforcement for safety of personnel working, vandalism, vagrancy, illegal activities; loitering/dumping, etc.; development of recreational areas and activity opportunities; and ecological enhancement studies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Las Vegas Wash Coordination Committee has decided that the SNWA will be the lead agency for receiving funding for this program due to the high costs and types of environmental improvement and enhancement, and ability to maintain restoration projects. The Las Vegas Wash Program plays an important role in environmental and water resource issues in Southern Nevada. Historically, the Las Vegas was an ephemeral stream carrying storm flows from the Las Vegas Valley to Lake Mead and the Colorado River. Urban development over the past 60 years has resulted in the formation of the wetlands that helped remove nutrients from these wastewater flows. As the rate of discharges increased, erosion also increased, gradually destroying the existing natural treatment systems and wildlife habitat and creating a large delta in the Las Vegas Bay of Lake Mead. Accelerating erosion, declining water quality, and loss habitat are some of the more pressing issues. Proposals submitted will be reviewed and awarded based on priority fulfillment of the 44 action items identified in the Plan and the availability of funding appropriations.

**15.541 COLORADO RIVER BASIN PROJECTS ACT OF 1968**

Colorado River Basin Projects Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Colorado River Basin Act of September 30, 1968 amended by the Colorado River Basin Project Act, December 20, 1982., Public Law 90-537.

**OBJECTIVES:**

It is the objective of this Act under Title I, to provide a program for the further comprehensive development of water resources of the Colorado River Basin and for the provision of additional and adequate water supplies for the use in the upper as well as in the lower Colorado Basin. This program is declared to be for the purposes, among others, of regulating the flow of the Colorado River; controlling floods; improving navigation; providing for the storage and delivery of waters of the Colorado River for reclamation of lands, including

supplemental water supplies, and for municipal, industrial, and other beneficial purposes; improving water quality; providing for basic public outdoor recreation facilities; improving conditions of fish and wildlife, and the generation and sale of electrical power as an incident of the foregoing purpose.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Title II, Investigations and Planning -- With respect to coordination of studies, investigations and assessments, the Secretary of Interior, through the Bureau of Reclamation, shall conduct full and complete reconnaissance investigation for the purpose of developing a general plan to meet the future water needs of the Western United States. Such investigations shall include the long-range water supply available and the long-range water requirements in each water resource region of the Western United States.

Title III, Authorized Units: Protection of Existing Uses -- The "Central Arizona Project" (CAP) is a multipurpose water resource development and management project which provides irrigation, municipal and industrial water, power generation, flood control, outdoor recreation, environmental enhancement, and sediment control. In addition, the project will provide delivery of tribal homeland water, partial settlement of Indian water rights claims, and economic benefits accruing from leasing of Indian agricultural water rights to municipal entities.

**Applicant Eligibility:**

Must have a water allocation and water delivery from Reclamation water resource project.

**Beneficiary Eligibility:**

The general public in the state of Arizona, irrigation and water districts and local entities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF24 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area (indicate whether reviewers are Federal personnel). Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the Area Office Manager or his designated representative.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon the type and complexity of authorized units under the program or project at the time of funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact on the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why

their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be included in each funding announcement for this program on [www.grants.gov/](http://www.grants.gov/). See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Post award program reporting requirements are prescribed within the terms and conditions of each financial assistance award. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-3-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$27,179,000; FY 09 est \$26,850,000; FY 10 est \$0 - FY 2010 is to be determined.

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$27,014,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of September 30, 2007, the Central Arizona Project is approximately 84 percent complete. The percent complete is a composite of the Central Arizona Project, Water and Power Development, the Non-Indian Distribution Systems and the Indian Distribution Systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Carol Lynn Erwin Bureau of Reclamation, 6150 W. Thunderbird Road, Glendale, Arizona 85306-4001 Phone: (623)773-6200

**Website Address:**

<http://www.usbr.gov/lc/phoenix/>

**RELATED PROGRAMS:**

10.070 Colorado River Basin Salinity Control Program; 15.509 Colorado River Basin Salinity Control Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The 336-mile-long backbone delivery system includes 14 pumping plants and 1 pump/generating plant, 10 siphons carrying water under riverbeds and large washes, 3 tunnels, more than 45 turnouts connecting the

CAP aqueduct delivery systems, a large storage reservoir (formed by New Waddell Dam), a sophisticated control center, and Indian Distribution Division of the CAP.

Title XVIII Recreation, Scottsdale Horseman's Park (West World); Phoenix Reach 11 Recreation Park (Phoenix Horse Lovers Park). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in each funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.605 SPORT FISH RESTORATION PROGRAM**

(Dingell-Johnson Sport Fish Restoration Program)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Dingell-Johnson Sport Fish Restoration Act of 1950, 64 Stat. 430, as amended 16 U.S.C. 777-777n; and 50 CFR Part 80-Administrative Requirements, Pittman Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Act amended July 24, 2008.

**OBJECTIVES:**

Sport Fish Restoration funds support activities designed to restore, conserve, manage, or enhance sport fish populations; the public use and benefits from these resources; and activities that provide boat access to public waters. Sport fisheries research and management activities; boating access development and maintenance; aquatic resource education activities; lake construction and maintenance; land acquisition; technical assistance; planning; habitat enhancement; administration; coordination; and hatchery construction are eligible under the Act.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Approvable activities include land acquisition; development (including boating access sites); research; operations and maintenance; sport fish population management; and program coordination. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of sport fish that includes a prohibition against the diversion of license fees paid by anglers for any purpose other than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these fishery conservation measures.).

**Credentials/Documentation:**

Each year within 60 days of the apportionment notice, States, the District of Columbia, Commonwealths, and territories must notify the Secretary of the Interior that they want to participate in the program for the year. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid angler license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This

program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grantees submit grant proposals that include a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Formula-based apportionment; The program is funded by a permanent appropriation from revenues collected from taxes on sport fishing equipment, electric outboard motors and tackle boxes, fuel (gasoline) taxes which are attributable to motorboats and small-engine outdoor power equipment, import duties on fishing tackle, pleasure craft and yachts, and interest earned from Sport Fish Restoration and Boating Trust Fund the revenues are deposited into Sport Fish Restoration and Boating Trust Fund in the U.S. Treasury.

A portion of these funds is apportioned annually to the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of Northern Mariana Islands, and the U.S. Virgin Islands according to the following formula prescribed by the Act: 40 percent based on land and water area of the State and 60 percent based on licensed anglers; no State may receive more than 5 percent or less than one-third of 1 percent of the total funds apportioned to the program; the Commonwealth of Puerto Rico is apportioned 1 percent; and Guam, U.S. Virgin Islands; the Commonwealth of Northern Mariana Islands, American Samoa, and the District of Columbia are each apportioned up to one-third of 1 percent of the total apportioned. States and the District of Columbia may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share could come from license fees paid by anglers. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Sport Fish Restoration funds are available for a period of two years. Any funds not obligated within two years by a State, the District of Columbia, Commonwealth, or territorial fish and wildlife agency will revert to the U.S. Fish and Wildlife Service and placed back into the Sport Fish Restoration and

Boating Trust Fund for obligation to States, the District of Columbia, Commonwealths, or territories in the following year's apportionment. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Formula Grants) FY 08 \$398,337,729; FY 09 est \$404,449,843; FY 10 est \$377,423,844

**Range and Average of Financial Assistance:**

Range is \$900,000 to \$14,700,000; Average \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The U.S. Fish and Wildlife Service awarded grants to the fish and wildlife agencies for projects relating to sport fish and management including the acquisition of boating access sites; improvements in fresh water habitats; providing aquatic resource education to the public; and the maintenance of wetland and freshwater areas for fishing activity. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80 and Fish and Wildlife Service Manual. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fish habitat improvements; fish research; surveys; and inventories of sport fish populations and habitats; provision for public use of wildlife resources; development and maintenance of boating access sites; providing aquatic resource education to the public; and the maintenance of wetland and freshwater areas of fishing activity. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their fish resources must

submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

## **15.608 FISH AND WILDLIFE MANAGEMENT ASSISTANCE**

### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

### **AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Sikes Act of 1974, as amended, 16 U.S.C. 670(a)-670(o); Alaska National Interest Lands Conservation Act, 16 U.S.C. 3101; Marine Mammal Protection Act of 1972, Public Law 92-522, as amended, 16 U.S.C. 1361-1421; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C. 4701-4741; Great Lakes Fish and Wildlife Restoration Act as amended 1998.

### **OBJECTIVES:**

To provide technical information, advice, and assistance to other Federal agencies, other nations, States, and Native Americans on the conservation and management of fish and wildlife resources, including co-management by Alaskan Natives of marine mammals for subsistence use.

### **TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

### **USES AND USE RESTRICTIONS:**

Assistance in the form of biological, chemical, and physical advice regarding land and water management and specific recommendations and plans based on the conditions found to exist. Stocking of fishes from National Fish Hatcheries and advising on wildlife management techniques may be management tools considered. The program does not provide financial assistance for construction of ponds, lakes, wood duck boxes, or for other purposes.

### **Applicant Eligibility:**

Applicants may be other Federal agencies, State agencies, local governments, Native American Organizations, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

### **Beneficiary Eligibility:**

Federal agencies, State agencies, local governments, Native Americans, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

### **Credentials/Documentation:**

There must be factual evidence of the need for management assistance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction).

### **Award Procedure:**

After considering program commitments and obligations, State, Federal agencies, or Native Americans will generally be informed by letter from the Director or Regional Director, followed by development of a formal Memorandum of Agreement (MOA) or understanding (MOU).

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Awards are approved annually. Unfunded projects that are ranked highly by the Regional Directors of the 8 USFWS Regions are maintained in a FWS database until the project is funded or no longer viable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Annual award. See the following for information on how assistance is awarded/released: Assistance is provided on a cost recoverable basis.

### **Reports:**

Reports are submitted annually to the entities involved. Occasionally, progress reports are considered to be advisable. Fish and Wildlife Management Plans are developed as required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

### **Audits:**

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

### **Records:**

Grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

### **Account Identification:**

14-1611-0-1-303.

### **Obligations:**

(Provision of Specialized Services) FY 08 \$11,000,000; FY 09 est \$11,000,000; FY 10 est \$11,000,000

### **Range and Average of Financial Assistance:**

Range is \$1,000 to \$250,000; Average \$75,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the National Fish Passage Program in 1999, and with over 770 partner groups and organizations, the Program has supported cost-share projects removing or bypassing 655 barriers, restoring access to over 10,612 miles of river and 51,361 acres of wetlands of important spawning and growth habitats that have benefited over 85 species of fish and other aquatic organisms. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual Project Reports, Special Reports, and Fish and Wildlife Management Plans. See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html>.

### **Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

### **Headquarters Office:**

Leslie Hartsell US Fish and Wildlife Service, Fisheries and Aquatic Conservation, Branch of Fish and Wildlife Management Assistance, 4401

North Fairfax Drive Room 770, Arlington, Virginia 22203 Email: [leslie\\_hartsell@fws.gov](mailto:leslie_hartsell@fws.gov) Phone: (703)358-2195

**Website Address:**

[HTTP://fisheries.fws.gov](http://fisheries.fws.gov).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: For examples of funded fish passage improvement projects please see <http://www.fws.gov/fisheries/fwco/fishpassage>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html>.

**15.611 WILDLIFE RESTORATION**

(Pittman-Robertson Wildlife Restoration Program)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts, Title 50, Part 80; Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669k.

**OBJECTIVES:**

The Act provides grants to State, Commonwealth, and territorial fish and wildlife agencies for projects to restore, conserve, manage, and enhance wild birds and mammals and their habitat. Projects also include providing public use and access to wildlife resources; hunter education and safety; and the development and management of shooting ranges.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Approved activities include selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition; coordination; development of facilities; facilities and services for conducting hunter safety. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for conservation of wildlife that includes a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures.).

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for

coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grantees submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Average 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 16 USC 669b. The program is funded by a permanent appropriation from revenues collected from taxes on bows, arrows, archery equipment, sporting firearm, ammunition, handguns, pistols, and revolvers. The revenues are deposited in the Federal Aid to Wildlife Restoration fund in the U.S. Treasury.

These funds are annually apportioned according to the formula prescribed by the Act: 50 percent based on land area of the State, Commonwealth, or territory and 50 percent based on paid hunting license holders; no State may receive more than 5 percent or less than one-half of 1 percent of the total apportionment; the Commonwealth of Puerto Rico is apportioned up to one-half of 1 percent; and Guam, U.S. Virgin Islands, American Samoa, and Commonwealth of Northern Mariana Islands each receive up to one-sixth of 1 percent of the total apportionment. Section 4(c) Hunter Education and Safety Program Funds are formula-based apportionment based on the population of the States. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment.

Matching Requirements: States may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, American Samoa may not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share should come from license fees paid by hunters. Matching and cost sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability revert to the U.S. Fish and Wildlife Service. Any funds not obligated within two years by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S.

Fish and Wildlife Service and will be spent under the provision of the Migratory Bird Conservation Act. Also, under the provisions of the Wildlife Restoration Act, the interest accumulated by Wildlife Restoration account is available to the North American Wetland Conservation program. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 08 \$309,686,579; FY 09 est \$366,474,545; FY 10 est \$363,800,000

**Range and Average of Financial Assistance:**

Range is \$268,000 to \$7,187,000; Average \$2,750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The U.S. Fish and Wildlife Service awarded grants to the fish and wildlife agencies for projects relating to the conservation and management of wild birds and mammals. This included game management and population research and the purchase of wetland areas to benefit waterfowl. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program, 4402 North Fairfax Drive, WSRF-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.615 Cooperative Endangered Species Conservation Fund; 15.626 Hunter Education and Safety Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Wildlife habitat improvement; wildlife research; surveys; and inventories of wildlife populations and habitats; provision for public use of wildlife resources; hunter education and safety programs; and development of shooting ranges. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the

management of their wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.615 COOPERATIVE ENDANGERED SPECIES CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; Consolidated Appropriations Act 2008, P.L. 110-161.

**OBJECTIVES:**

To provide Federal financial assistance to any State or Territory (hereafter, "States"), through its appropriate State or territorial agency, to assist in the development of programs for the conservation of endangered and threatened species.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance provided to the State fish and wildlife agency can include animal, plant, and habitat surveys; research; planning; monitoring; habitat protection, restoration, management, and acquisition; and public education. Assistance is restricted to those State agencies with which the Fish and Wildlife Service has a current cooperative agreement for the species involved.

**Applicant Eligibility:**

Participation limited to State agencies that have a cooperative agreement with the Secretary of the Interior. The annual Request for Proposals announced through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html> will describe the criteria that must be satisfied for a proposal to be eligible for funding.

**Beneficiary Eligibility:**

All States that have entered into a cooperative agreement with the Secretary of the Interior.

**Credentials/Documentation:**

A current cooperative agreement(s) between the Secretary of the Interior and the State Conservation agency(ies) concerning endangered and threatened species is necessary. Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. Separate agreements for animals and plants are normally made with each State's responsible agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. An applicant must complete the Standard Form (SF)424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non Construction; or SF 424C and SF 424D - Construction). The project description section of the application should address



the evaluation factors identified in the annual request for proposals that will be posted at [www.grants.gov](http://www.grants.gov) and to the U.S. Fish and Wildlife Service website at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Award Procedure:**

Final selection is made by the Secretary of the Interior, based on recommendations by the Director or Regional Directors of the U.S. Fish and Wildlife Service. Funds are obligated by an authorized signature on an award agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Information regarding approval/disapproval time frames will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

Renewals can be made through submission of a project proposal and approval of a grant award document.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States may receive up to 75 percent of the program costs. When two or more States have a common interest in one or more endangered or threatened species and enter into a joint agreement, the Federal share of the total project cost may be increased to 90 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

So much of the annual appropriation allocated for obligation to any State for any fiscal year as remains unobligated at the close thereof is authorized to be made available to that State until the close of the succeeding fiscal year. Any amount allocated to any State which is unobligated at the end of the period during which it is available for expenditure is authorized to be made available for expenditure by the Secretary for conducting programs authorized by Section 6 of the Endangered Species Act. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A performance report is required for each project segment within 90 days following the close of the segment. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records must be maintained for 3 years following the submission of request for final reimbursement.

**Account Identification:**

14-5143-0-2-302.

**Obligations:**

(Project Grants) FY 08 \$73,831,000; FY 09 est \$75,501,000; FY 10 est \$75,501,000

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, approximately \$73,831,000 was available for projects and administration of the Cooperative Endangered Species Conservation Fund (CESCF) (Section 6 of the Endangered Species Act). Through the traditional Conservation Grants program, \$9,845,000 was allocated regionally, based on the number of species covered by cooperative agreements within each U.S. Fish and Wildlife Service region. Habitat Conservation Planning (HCP) Land Acquisition Grant funding was used to fund 9 individual projects in 6 states out of the 19 proposals received. The Recovery Land Acquisition Grant program awarded 22 out of 30 projects located in 12 states and one territory. The Habitat Conservation Planning Assistance Grant program awarded 19 out of 20 proposals to provide project funding in 15 states. In fiscal year 2009, the U.S. Fish and Wildlife Service anticipates providing approximately \$10,001,000 to States for traditional Conservation Grants; \$7,642,000 for Habitat Conservation Planning Assistance Grants; \$36,008,000 for Habitat Conservation Land Acquisition Grants; and \$14,186,000 for Recovery Land Acquisition Grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; 50 CFR 81, The U.S. Fish and Wildlife Service Manual Chapter 521 FW 4 (<http://www.fws.gov/policy/521fw4.html>); The Wildlife and Sport Fish Restoration Program Toolkit (<http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf>); and the annual request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Regional or Local Office:**

See Regional Agency Offices. Please visit <http://www.fws.gov/endangered/grants/section6/index.html> and click on the "How to contact us for information" link to access a list of regional program contacts.

**Headquarters Office:**

Chief Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW., (MS-420 ARLSQ), . Contact: Chief, Endangered Species: Division of Consultation, HCPs, Recovery and State Grants, Washington, District of Columbia 20240 Phone: (703) 358-2171

**Website Address:**

[Http://www.fws.gov/endangered/grants/section6/index.html](http://www.fws.gov/endangered/grants/section6/index.html) .

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.634 State Wildlife Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A variety of projects were funded through the Cooperative Endangered Species Conservation Fund in FY 2008, including Habitat Conservation Planning Assistance grants to develop Habitat Conservation Plans (HCP) across the country in areas ranging from the bottomland forests of Arkansas to sagebrush-steppe habitat in Utah. These HCPs will benefit a wide range of plants and animals, including the endangered Butte County meadowfoam, threatened Monetary spineflower, endangered Ivory-billed woodpecker and endangered Indian bat. Most of the HCPs will address multiple species, many of them on a city, county or large watershed basis. Recovery Land Acquisition grants awarded in fiscal year 2008 will be used to acquire and protect important forest, riparian, coastal, desert, wetland, and mountain areas that represent critical portions of species' last remaining habitats. Some of these acquisitions support more than one endangered or threatened species, as well as, provide important habitat for migratory birds, other plants, and wildlife. For example, acquisition of property in northern Idaho will benefit grizzly bear, mountain caribou, bull trout, Canada lynx, and gray wolf. The acquisition of relatively pristine coastal dune, coastal prairie and riparian wetlands habitats in California will enhance recovery of three federally listed species: Western snowy plover, Howell's spineflower, and Menzie's wallflower. HCP Land Acquisitions in fiscal year 2008 will be used to help acquire vital habitat for threatened and endangered species ranging from red-cockaded woodpecker in Georgia to the Lake Erie water snake in Ohio. The land acquired under the HCP

Land Acquisition program are purchased only from willing sellers, and are intended to complement but not replace the conservation responsibilities contained in the HCP. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for grant funding must be submitted by the State fish and wildlife agency. The State must have an approved cooperative agreement with the Secretary of the Interior which provides for sharing responsibilities for endangered species, prior to receiving Cooperative Endangered Species Conservation Fund (section 6 of the Endangered Species Act) funds. Individual project proposals must compete with other State submissions for funding.

**15.619 RHINOCEROS AND TIGER CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Mutlinal Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360; Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of rhinoceros and tigers. This program supports projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of rhinoceros and tiger or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-rhinoceros and human-tiger conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project work should occur within the rhinoceros/tiger range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to rhinoceros/tiger conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros and/or tiger conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros or tiger conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/DIC/species/rhino/rhino.html> and <http://www.fws.gov/international/DIC/species/tiger/tiger.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are competitively selected for funding using criteria from the Rhinoceros and Tiger Conservation Act (16 USC 5301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/pdf/NOFARhinoTiger.pdf>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2009 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/species/rhino/rhino.html>. animals/rhinoprogram.htm. Interim and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/species/rhino/rhino/html>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report, Standard Form 425. Domestic recipients with

program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5199-0-2-303.

**Obligations:**

(Project Grants) FY 08 \$1,822,000; FY 09 est \$1,822,000; FY 10 est \$1,822,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the Service funded 42 rhinoceros and tiger projects. A summary of each of those projects can be found at the program's webpage at [http://www.fws.gov/international/DIC/species/rhino/pdf/RTCF\\_Summaries\\_2008\\_Asia\\_Africa.pdf](http://www.fws.gov/international/DIC/species/rhino/pdf/RTCF_Summaries_2008_Asia_Africa.pdf). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief Department of the Interior, U.S. Fish and Wildlife Service, Division of International Conservation, 4401 North Fairfax Drive, ARLSQ 100, Arlington, Virginia 22203 Email: MSCF\_RhinoTiger@fws.gov Phone: (703) 358 1754 Fax: (703) 358 2115

**Website Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at [http://www.fws.gov/international/DIC/species/rhino/pdf/RTCF\\_Summaries\\_2008\\_Asia\\_Africa.pdf](http://www.fws.gov/international/DIC/species/rhino/pdf/RTCF_Summaries_2008_Asia_Africa.pdf). Hard copies of this information are available upon request

from the Division of Division of International Conservation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the requirements of the Rhinoceros and Tiger Conservation Act (16 U.S.C. 5301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Rhinoceros and Tiger Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/DIC/pdf/NOFARhinoTiger.pdf>. Hard copies of the criteria are available upon request from the Division of International Conservation.

**15.620 AFRICAN ELEPHANT CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

African Elephant Conservation Act, Title II Section 2001 et seq., Public Law 100-478, 102 Stat. 2315 et seq., 16 U.S.C. 201 et seq., 4211 et seq., 4221 et seq., 4241 et seq., and 1538. ; Multinational Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360.

**OBJECTIVES:**

To provide financial assistance to support projects that will enhance sustainable conservation programs to ensure effective, long-term conservation of African elephants. The African Elephant Conservation Fund supports projects that promote conservation through: Applied research on elephant populations and their habitat, including surveys and monitoring; Development and execution of elephant conservation management plans; Compliance with applicable treaties and laws that prohibit or regulate the taking or trade of elephants or regulate the use and management of elephant habitat; Conservation education and community outreach; Enhanced protection of at-risk elephant populations; Efforts to decrease human-elephant conflict; Habitat conservation and management; Protected area/reserve management in important elephant range; Strengthening local capacity to implement conservation programs; Transfrontier elephant conservation; and Wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the African elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to African elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Beneficiary Eligibility:**

Any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed on the requirements of the African Elephant Conservation Fund (16 USC et seq.) Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2009 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). Cash reports are not applicable. Progress reports are not applicable. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original

project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-8154-0-7-303.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,386,000; FY 09 est \$1,386,000; FY 10 est \$1,386,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During FY 2008, the Service funded 29 African elephant conservation projects. A summary of each of those projects can be found at the program's webpage at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR part 12 and the U.S. Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation. Telephone: (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief U.S. Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at our website at <http://www.fws.gov/international/afecf/afecf.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the African Elephant Conservation Act (16 USC 4201 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the African Elephant Notice of Funding Availability and Application Instructions found on our website at [http://www.fws.gov/international/DIC/species/afe/afe\\_howtoapply.html](http://www.fws.gov/international/DIC/species/afe/afe_howtoapply.html). Hard copies are available upon request from the Division of International Conservation.

**15.621 ASIAN ELEPHANT CONSERVATION FUND****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Asian Elephant Conservation Act, Public Law 105- 96, 111 Stat. 2150, 16 U.S.C. 4261-4266.; Asian Elephant Conservation Reauthorization Act of 2007, Public Law 110-133, 121 Stat. 1362.

**OBJECTIVES:**

To provide financial assistance to support the effective long-term conservation of Asian elephants. This program provides support for projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of Asian elephant or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-elephant conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the Asian elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to Asian elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan, and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Beneficiary Eligibility:**

Any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at Grants.gov website <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 730, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Asian Elephant Conservation Act (16 USC 4261 4266). Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). Once a proposal has been selected for funding an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by a FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2009 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Progress and final reports are due in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). Cash reports are not applicable. Progress reports are not applicable. For financial reporting, Domestic Recipients with no program income to report shall use the Federal Financial Report SF 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,429,000; FY 09 est \$1,429,000; FY 10 est \$1,429,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 the Service funded 30 Asian elephant conservation projects. A summary of each of those projects can be found at the program's webpage at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief, U.S. Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html)

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at [http://www.fws.gov/international/\\_elephant.html](http://www.fws.gov/international/_elephant.html). DIC/species/ase/asian Hard copies of this information are available upon request from the Division of International Conservation at (703) 358-1754. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Asian Elephant Conservation Act (16 U.S.C. 4261-4266). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the criteria can be found in the Asian Elephant Notice of Funding Availability and Application Instructions at [http://fws.gov/international/DIC/species/ase/ase\\_howtoapply.html](http://fws.gov/international/DIC/species/ase/ase_howtoapply.html). Hard copies

are available upon request from the Division of International Conservation at (703) 358-1754.

**15.622 SPORTFISHING AND BOATING SAFETY ACT**

(Boating Infrastructure Grant Program)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-l, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-59.

**OBJECTIVES:**

This program provides funding to States, the District of Columbia, Commonwealths, and territories for the construction, renovation, and maintenance of tie-up facilities for transient, recreational boats 26 feet or greater.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for constructing, renovating, or maintaining tie-up facilities for transient, recreational boats 26 feet or more in length and to produce and distribute information and educational materials about the program. Prohibited activities include; law enforcement, construct, renovate, or maintain tie up facilities for boats less than 26 feet or greater and any activity that does not provide public benefits.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa may submit grant proposals to the U.S. Fish and Wildlife Service.

**Beneficiary Eligibility:**

General Public, specifically owners and/or users of transient, recreational boats more than 26 feet or greater, and municipalities and private marinas within those eligible States, the District of Columbia, Commonwealths, and territories.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grantees submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be used. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding based on established criteria and available funding. Regional Offices make awards to approved applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The annual program funding comes from the Sport Fish Restoration and Boating Trust Fund. It receives two percent of the funds in the Trust Fund. Trust funds and derived from excise taxes on fishing equipment, motorboat and small engine fuels, import duties, and interest on the fund. The Federal share of the project costs cannot exceed 75 percent for the 50 States, the Commonwealth of Puerto Rico, and the District of Columbia. The Commonwealth of Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are normally funded through annual proposals. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after final submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants) FY 08 \$13,400,000; FY 09 est \$13,500,000; FY 10 est \$13,500,000 - FY 2011 estimate \$13,500,000.

**Range and Average of Financial Assistance:**

Tier 1 grants average at \$100,000; Tier 2 range from \$100,000 to \$1,500,000; Average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The U.S. Fish and Wildlife Service awarded grants for the construction, renovation, or maintenance of tie-up facilities for transient, recreational boats 26 feet or greater and to produce and distribute information and efforts to provide educational material about the program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 86.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include the construction of floating docks, breakwaters, and fuel docks for transient boats. Other examples include the construction of associated support infrastructure such as restrooms and showers for transient boaters. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The designated State, the District of Columbia, Commonwealth, or territorial agency must submit proposals to participate in this program. The purpose of these projects must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals are based upon the extent the project will contribute to constructing tie-up facilities according to the State's, the District of Columbia, Commonwealth's, or territory's approved plan; contribute to public/private partnerships; innovative approaches to increasing availability and use of tie-up facilities; that include private, local, or other State, the District of Columbia, Commonwealth, or territorial funds in addition to the 25 percent match; that are cost efficient; provide a significant link to prominent destination way points such as those near cultural or natural sites; provide access to recreational, historic, cultural, natural, or scenic opportunities of local, regional, or national significance; that provide significant economic impacts to a community; and include multistate efforts that result in coordinating location of tie-up facilities.

**15.623 NORTH AMERICAN WETLANDS CONSERVATION FUND (NAWCF)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

North American Wetlands Conservation Act, Public Law 101-233, as amended, 16 U.S.C. 4401.

**OBJECTIVES:**

To provide grant funds for wetlands conservation projects in the United States, Canada, and Mexico.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to acquire real property interest in lands or waters, including water rights. Funds may also be used to restore, manage, and/or enhance wetland ecosystems and other habitat for migratory birds and other fish and wildlife. Projects must provide long-term conservation for wetlands-associated migratory birds and other wetlands-associated wildlife. Coastal Wetlands Planning, Protection and Restoration Act-derived funds eligible for NAWCA projects may be used only in U.S. coastal wetlands ecosystems. More specific restrictions are outlined on the NAWCA grants information and instructions website.

**Applicant Eligibility:**

Available to private or public organizations or to individuals who have developed partnerships to carry out wetlands conservation projects in the U.S., Canada, and Mexico.

**Beneficiary Eligibility:**

Available to any private or public organization or individual.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Complete program information and application instruction can be found on the Division of Bird Habitat Conservation (DBHC) website, at <http://www.fws.gov/birdhabitat/Grants/NAWCA>, or can be accessed through [grants.gov](http://grants.gov). Grant applications, including Standard Form 424 Application for Federal Assistance, and the appropriate Assurance forms (SF 424C or SF 424D) are submitted directly to the Coordinator, North American Wetlands Conservation Council, Division of Habitat Conservation, U.S. Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; 703-358-1784.

**Award Procedure:**

Applications are screened by the Coordinator's staff, and further reviewed and ranked by the North American Wetlands Conservation Council (Council) Staff and North American Waterfowl Management Plan Joint Venture Coordinators. Site visits are conducted as needed. Grant proposals are recommended for approval by the Council to the Migratory Bird Conservation Commission (Commission). The U.S. Fish and Wildlife Service conducts a National Environmental Policy Act and National Historic Preservation Act review of the projects that the Council selects to recommend to the Commission. The Council selects proposals in March, July, and December that are recommended to the Commission for final funding approval in September, March, and June respectively. The grant is administered by FWS DBHC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of time from proposal submission to the Commission meeting for standard grants is 7 to 11 months. Small grants approvals are usually known in 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds should be spent within the 1-2 year grant period, although the grant period can be extended for reasonable cause. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Progress and final reports must be submitted in accordance with the terms and conditions of the grant agreement. Final reports must be filed with the Division of Bird Habitat Conservation within 90 days of the end of the project termination date. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Interim and final reports must be submitted in accordance with the terms and conditions of the grant agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and a detailed accounting of receipts and expenditures of nonfederal matching dollars or value of services. Records, accounts, and supporting documents must be retained for 3 years after submission for final request of reimbursement.

**Account Identification:**

14-5241-0-2-303.

**Obligations:**

(Project Grants) FY 08 \$83,500,000; FY 09 est \$80,300,000; FY 10 est \$0 - FY 2010 estimate is not available.

**Range and Average of Financial Assistance:**

Range is \$0 to \$75,000 for Small Grants; over \$75,000 to \$1,000,000 for U.S. Standard Grants. Average award is approximately \$42,000 and \$710,000 for Small Grants and U.S. Standard Grants, respectively.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: From September 1990 through September 2008, more than 4,000 partners have been involved in 1,829 Standard and Small Grant Programs' projects combined. More than \$918.6 million in Act grants has leveraged some \$1.8 billion in matching funds and \$1 billion in nonmatching funds to affect approximately 24.4 million acres of wetlands and associated uplands across the continent. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Standard Grants Application Instructions; Small Grants Instructions; U.S. Grant Administration Standards; 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

See Regional Agency Offices. Regional Office or Local Office For additional program information, see Appendix IV for addresses of USFWS Regional Offices.

**Headquarters Office:**

Chief Headquarters Office Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Division of Bird Habitat Conservation, MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1784.

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NAWCA>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.635 Neotropical Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Wetlands conservation projects funded by NAWCA acquire, restore and enhance wetlands and wetlands ecosystems. Summaries of some funded projects are available on the website. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Council selects proposals based on factors given in Section 5 of the North American Wetlands Conservation Act, results of site visits, available funds and other factors deemed important to meeting Act objectives. U.S. standard and small grant proposals are additionally evaluated against answers to Technical Assessment Questions taken from Section 5 of the Act and annually published on the web site in application instructions.

**15.626 FIREARM AND BOW HUNTER EDUCATION AND SAFETY PROGRAM****FEDERAL AGENCY:**



Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669h-1; and 50 CFR Part 80-Administrative Requirements, Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts.

**OBJECTIVES:**

This program provides funds for the enhancement of hunter and archery education programs and the enhancement or construction of firearm shooting ranges and archery ranges.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This program provides funds for the enhancement of: 1. hunter education programs, hunter and sporting firearms programs, and hunter development programs; 2. interstate coordination and development of hunter education programs; 3. bow hunter and archery education, safety, and development programs; 4. construction of firearm or archery shooting ranges; and 5. updating safety features of firearm and archery ranges. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grantees submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to

<http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider the differences of opinion about eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Formula-based apportionment: the program is funded by a permanent appropriation for revenues collected from taxes on bows, arrows, archery equipment, sporting firearms, ammunition, handguns, pistols, and revolvers (16 U.S.C. 669b). The revenues are deposited in the Federal Aid to Wildlife Restoration fund in the U.S. Treasury. These funds are annually apportioned according to the formula prescribed by the Act are based on population of the States. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment.

States may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director.

The non-Federal share could come from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Any funds not obligated within one year by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and reapportioned to States, Commonwealths, and territories that obligated their Section 4(c) Hunter Education and Safety apportionment on eligible hunter education and safety activities. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 08 \$8,000,000; FY 09 est \$8,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

Range is \$13,300 to \$240,000; Average \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The U.S. Fish and Wildlife Service awarded grants to the fish and wildlife agencies for projects relating to the enhancement of: 1. hunter education programs, hunter and sporting firearms programs, and hunter development programs; 2. interstate coordination and development of hunter education programs; 3. bow hunter and archery education, safety, and development programs; 4. construction of firearm or archery shooting ranges; and 5. updating safety features of firearm and archery ranges. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded by Section 10 Hunter Education Program could include bow hunter education, Archery in the Schools Program, Becoming an Outdoor Woman, Youth Hunter Mentoring Program, Muzzleloader Training Program, and construction or renovation of recreational shooting and archery ranges. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territory agency having responsibility for the management of their resources must submit the projects. The State, Commonwealth's, or territory's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.628 MULTISTATE CONSERVATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.

**OBJECTIVES:**

This program provides funding for sport fish and wildlife restoration projects identified by the Association of Fish and Wildlife Agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project types that are generally selected for funding are education and training, analysis and focus on the values and use of sport fish and wildlife programs and new technologies, and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats.

**Applicant Eligibility:**

States, group of States, and non-governmental organizations. By October 1st of each year the Association of Fish and Wildlife Agencies (AFWA) provides the U.S. Fish and Wildlife Service a priority list of projects recommended for funding. The U.S. Fish and Wildlife Service Director may only fund project proposals on the priority list.

**Beneficiary Eligibility:**

Projects must benefit at least 26 States, a majority of States in a Region of the U.S. Fish and Wildlife Service, or a Regional association of State fish and game departments.

**Credentials/Documentation:**

Costs for grants to States or group of States will be determined in accordance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). Cost for grants to non-governmental groups who are nonprofit organizations will be determined according to 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122). Cost principles for non-governmental groups which are commercial will be determined the Federal Acquisition Regulations (FAR) 31.2. Non-government applicants must certify that they will not use grant funds for activities, projects, or programs that promote or encourage opposition to regulated hunting or trapping of wildlife, or to the regulated taking of fish. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use standard Federal Application and Assurances forms approved by OMB, as well as proposal formatting requirements established by the Association of Fish and Wildlife Agencies in their requests for Multi-State Conservation Grant project proposals. Grantees submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and the Fish and Wildlife Service Manual. Specific application procedures for Nonprofits are described in 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Educations, Hospitals, and Other Nonprofit Organizations. Specific application procedures for commercial applicants and Fish and Wildlife Service applicants are described in th FAR, Subpart 311.2, Contracts with Commerical Organizations, and 50 CFR 80. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov)

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding from a priority list developed by the Association of Fish and Wildlife Agencies (AFWA) based on established criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 to 9 months from the deadline established by AFWA for

submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be approved for up to three years with funding dependant on annual competition. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each project for three years after submission of the final Financial Status Report. Record keeping requirements for grants to States are described in 43 CFR 12, Subpart C, and OMB Circular A-102. Record keeping requirements for grants to nonprofit organizations are described in 43 CFR 12, Subpart F, and OMB Circular A-110. For Commercial grantee and U.S. Fish and Wildlife Service grantees must use record keeping procedures described in 43 CFR 12, Subpart C, and OMB Circular A-110.

**Account Identification:**

14-5029-0-2-303; 14-8151-0-7-303.

**Obligations:**

(Project Grants) FY 08 \$6,000,000; FY 09 est \$6,000,000; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Project types that are generally selected for funding are education and training, analysis and focus on the values and use of sport fish and wildlife programs and new technologies, and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12; 50 CFR 80; Sections 521, 522, and 523 of the Fish and Wildlife Service Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program- Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/> or  
[http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Project types that are generally selected for funding are education and training, analysis and focus on the values and use of sport fish and wildlife programs and new technologies, and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be reviewed and evaluated for scope, significance, feasibility, and cost effectiveness. In addition, projects must address one or more focus areas as described in the National Conservation Needs established annually by the Association of Fish and Wildlife Agencies (AFWA).

**15.629 GREAT APES CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Great Ape Conservation Act of 2000, Public Law 106-411, 16 U.S.C. 6301. Tylersville Fish Hatchery Conveyance, Public Law 109-363.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of great apes and their habitats. This program supports projects that focus on one or more of the following areas: applied research on ape populations and their habitats, including surveys and monitoring; development and execution of ape conservation management plans; compliance with applicable treaties and laws that prohibit or regulate the taking or trade of ape or regulate the use and management of ape habitat; conservation education and community outreach; enhanced protection of at-risk ape populations; efforts to decrease human-ape conflicts; habitat conservation and management; protected area/reserve management in important ape range; strengthening local capacity to implement conservation programs; transfrontier ape conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project work should occur within the ape range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to ape conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunition; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training Federal Government personnel.

**Applicant Eligibility:**

Applicants may be submitted by any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Great Ape Conservation Act (16 USC 6301 et seq.). Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2009 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at the program web page at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Cash reports are not applicable. Progress reports are not applicable. For financial reporting, Domestic Recipients with no program income to report shall use the Federal Financial Report Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of

the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-303.

**Obligations:**

(Project Grants) FY 08 \$1,686,000; FY 09 est \$1,686,000; FY 10 est \$1,686,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 the Service funded 38 great ape conservation projects. A summary of each of those projects can be found at the program's webpage at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR Part 12 and the Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief U.S. Department of the Interior, U.S. Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: [MSCF\\_GreatApe@fws.gov](mailto:MSCF_GreatApe@fws.gov) Phone: (703)358-1754 Fax: (703)358-2115

**Website Address:**

<http://www.fws.gov/international/grants/grants.html>.

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Hard copies of this information are available upon request from the Division of International Conservation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Great Ape Conservation Fund (16 U.S.C. 6301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Great Ape Notice of Funding Availability and Application Instructions at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Hard copies are available upon request from the Division of International Conservation.

**15.630 COASTAL PROGRAM****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 742a-c, 747e-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 667(e).

**OBJECTIVES:**

To provide technical and financial assistance via partnerships to identify, protect, and restore or improve habitats in priority coastal areas for fish and wildlife.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are used for habitat assessments, protection and restoration of coastal habitats on private or public lands. The Coastal Program is geographically limited to 22 high priority areas. These are Gulf of Maine, Southern New England/New York Bight, Delaware Bay, Chesapeake Bay, Albemarle/Pamlico Sound, South Carolina Coast, South Florida/Everglades, Panama City, Florida, Florida Tampa Bay, the Caribbean, Texas Coast (Upper), Texas Coast (Southern), Great Lakes (Northern), Great Lakes (Southern), San Diego Bay, San Francisco Bay, Humboldt Bay, California, Oregon Coast, Puget Sound, Alaska (South East), Alaska (South Central), and the Pacific Islands.

**Applicant Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Beneficiary Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The local Coastal Program Coordinator works with cooperators to design a project that will benefit Federal trust resources. Contact the appropriate Coastal Program Office for application procedures. Information is also available on <http://www.grants.gov/>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Coastal Program coordinator will be able to inform the respective cooperator(s) whether or not the Service will provide financial assistance. When the cooperator has signed a cooperative agreement work can begin on the project. The Service

reimburses the landowner after the project is completed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, project partners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual segments. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Reporting requirements are stated in each cooperative agreement. Contact the appropriate Coastal Program Office for additional information and specific requirements. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HABITS). HABITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$11,500,000; FY 09 est \$12,300,000; FY 10 est \$12,500,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, the Coastal Program worked with partners to protect an estimated 46,214 acres of wetlands, 8,537 acres of uplands, and 38 miles of streams/shoreline; and restore an estimated 35,958 acres of wetlands, 10,930 acres of uplands, and 94 miles of streams/shoreline; and remove 38 barriers to fish passage. This was accomplished through 136 partnership agreements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.fws.gov/coastal> for contact information and addresses.

**Headquarters Office:**

Director U.S. Fish and Wildlife Service, Division of Fish and Wildlife Management and Habitat Restoration, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, Virginia 22203 Phone: (703)358-2232

**Website Address:**

<http://www.fws.gov/coastal>.

**RELATED PROGRAMS:**

15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See web page. Restoration of tidal flow to a degraded salt marsh, customized habitat assessments using GIS, dam removal for fish passage. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species and be cost effective. Project selection occurs at the field level. See the annual "Notice of Availability of Federal Assistance" in <http://grants.gov> for more details.

**15.631 PARTNERS FOR FISH AND WILDLIFE****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774; Fish and Wildlife Act of 1956; 16 U.S.C. 742a-c, 742e-j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e).

**OBJECTIVES:**

Provide technical and financial assistance to private landowners and Native American Tribes interested in voluntarily restoring or otherwise improving native habitats for fish and wildlife on their lands.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Assistance provided to private landowners (defined to include individuals, local governments, non-government organizations) and Native American Tribes. Program goal is to achieve a 50 percent cost share on projects with matching funds and in-kind contributions provided by the landowners and other partners.

**Applicant Eligibility:**

Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land this is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland. Private landowners, Tribal Governments, local governments, educational institutions and organizations are eligible for financial and technical assistance from the Partners for Fish and Wildlife Program.

**Beneficiary Eligibility:**

Private landowners, Tribal Governments, local governments, educational institutions and organizations and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The local Partners for Fish and Wildlife Program Coordinator works with private landowners and makes a site visit to design a project that will benefit Federal trust resources and is acceptable for the landowner's needs. Contact the appropriate Partners for Fish and Wildlife Program Office for application procedures. Information is also available at <http://www.grants.gov>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Partners Program coordinator will be able to inform the private landowner whether or not the Service will provide cost-share assistance. When the landowner has

signed a cooperative agreement (a minimum of 10 years) work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None. Private land owners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Program goal is to obtain a 50 percent match of Federal monies by partnering with landowners, local community groups and other local and national conservation organizations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cost-share is a one time event that occurs after project construction. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Reporting requirements are stated in each cooperative agreement. Contact the appropriate Partners for Fish and Wildlife Program Office for additional information and specific requirements. Detailed biological reports are prepared on a percentage of projects funded. All projects are monitored for accurate construction. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$42,600,000; FY 09 est \$42,000,000; FY 10 est \$40,000,000

**Range and Average of Financial Assistance:**

Cost-share range per project is from \$200 to \$25,000. The average cost per project is \$5,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, the Partners for Fish and Wildlife Program helped restore or enhance an estimated: 43,000 acres of wetlands; 346,000 acres of native grasslands and other uplands; 860 miles or riparian corridors, streambanks and in-stream habitats; and 160 fish passage barriers. This was accomplished using approximately 1,698 landowner agreements for fish and wildlife habitat restoration on private lands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information about Program policy and guidelines see the Partners for Fish and Wildlife Program Management Policy in the Fish and Wildlife Service Manual, 640 FW1 (at <http://www.fws.gov/policy/640fw1.html>).

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.fws.gov/partners> for addresses and contact information.

**Headquarters Office:**

Director U.S. Fish and Wildlife Service, Division of Fish and Wildlife Management and Habitat Restoration, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, Virginia 22203 Phone: (703)358-2201 Fax: (703)358-2232

**Website Address:**

<http://www.fws.gov/partners>.

**RELATED PROGRAMS:**

15.630 Coastal Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Typical wetland restoration and enhancement techniques involve restoring the natural hydrology of a site through the blocking of surface ditches, breaking sub-surface drain tiles, building shallow berms to trap water, filling in concentration pits, removing eroded sediment which fills in basins, installing grass buffers, or installing fences along wetlands or stream corridors that prevent cattle grazing within the stream or wetland. Other wetland enhancement activities include working with the landowners to better manage the wetlands through the use of grazing, haying, discing, and burning. Upland restoration and enhancement and riparian areas are restored and enhanced through re-seeding or planting native grass, forbs, woody shrubs and trees. The installation of cross fencing along with providing alternative sources of water, assist landowners develop grassland/grazing management plans that have greater benefits for wildlife. Removing barriers to fish migration and using natural channel design techniques is the main focus of the Partners Program in-stream restoration work. Riparian fencing and improved grazing systems compliments stream restoration work. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In general, projects must benefit Federal trust species, involve on-the-ground habitat restoration, and be cost-effective. Specific criteria for reviewing and ranking projects were established in the national Partners policy, at <http://www.fws.gov/policy/640fw1.html>. The program gives high priority to proposed projects that benefit the National Wildlife Refuge System and/or species at risk. Projects also receive priority if they: were identified as priority by Service ecosystem teams; reduce habitat fragmentation; conserve globally or nationally imperiled habitats; and are self-sustaining. Also take a look at the annual Notice of Availability of Federal Assistance referenced in <http://grants.gov>.

**15.634 STATE WILDLIFE GRANTS**

(SWG)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2006, Public Law 109-54; Title I.

**OBJECTIVES:**

This program funds the development and implementation of projects for the benefit of fish and wildlife and their habitats, including species that are not hunted or fished. Priority is placed on projects that benefit species of greatest conservation concern.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Approved activities include those, which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the

U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service who have the Service's approved Comprehensive Wildlife Conservation Plans.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.).

**Credentials/Documentation:**

The State, District of Columbia, Commonwealth, or territory must have the Service's approved Comprehensive Wildlife Restoration Plan on file to receive grant funds. The Plan must consider the broad range of the State, the District of Columbia, Commonwealth, or territory agencies' wildlife and associated habitats, with appropriate priority placed on those species of greatest conservation need. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grantees submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by the 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov). Grant proposals must clearly indicate how the proposed objectives address the conservation needs identified within the State's, the District of Columbia's, ommonwealth's, or territory's Comprehensive Wildlife Conservation Plan.

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Revenues collected from the Outer Continental Shelf Oil and Gas Royalties are deposited into the Land and Water Conservation Fund and appropriated annually by Congress based on a formula. The Department of the Interior and Related Agencies Appropriations Bill for FY 05, Public Law 108-447, Title I requires that: (1) The Secretary of the Interior shall, after deducting administrative expenses and \$6,000,000 for Tribal grants, apportion the remaining amount in the following manner: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not

more than one-half of 1 percent thereof; and (B) to the territories of American Samoa, Guam, the Commonwealth of Virgin Islands, and the Commonwealth of Northern Mariana Islands, each a sum equal to not more than one-fourth of one percent thereof. (2) The Secretary must apportion the remaining amount in the following manner: (A) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (B) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. The amounts apportioned under this paragraph must be adjusted equitably so that no State must be apportioned a sum which is less than 1 percent of the amount available for apportionment under this paragraph for any fiscal year or more than 5 percent of such amount: The Federal share of project costs is not to exceed 75 percent for planning or competitive grants, nor 50 percent for an implementation grant. More discussion is in the matching and cost sharing requirements found in 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the State, the District of Columbia, Commonwealth, or territory for a period of two years. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated after the period of availability or unspent after the final grant closeout must return to the U.S. Fish and Wildlife Service for reapportionment. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date or end of the grant. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5474-0-1-303.

**Obligations:**

(Formula Grants) FY 08 \$62,724,000; FY 09 est \$69,492,000; FY 10 est \$77,000,000

**Range and Average of Financial Assistance:**

Range is \$155,000 to \$3,104,000; Average \$1,109,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program funds the development and implementation for the benefit of fish and wildlife and their habitats, including species that are not hunted or fished. Priority is placed on projects that benefit species of greatest conservation concern. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Bill for FY 04, Public Law 108-108 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and

Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects must address conservation needs, such as research, surveys, species and habitat management, and monitoring identified in the Comprehensive Wildlife Conservation Plan. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the U.S. Fish and Wildlife Service Manual.

**15.635 NEOTROPICAL MIGRATORY BIRD CONSERVATION**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Neotropical Migratory Bird Conservation Act of 2000, Public Law 106-247, 16 U.S.C. 6101.

**OBJECTIVES:**

To assist in the conservation of neotropical migratory birds by providing financial resources for the projects of partnerships in countries within the ranges of neotropical migratory birds.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for approved neotropical migratory bird conservation projects. Projects must: enhance the conservation of neotropical bird species in the U.S., Latin America, or the Caribbean; ensure adequate local public participation in project development and implementation; be implemented in consultation with relevant wildlife management authorities and other appropriate government officials with jurisdiction over the resources addressed by the project; be sensitive to local historic and cultural resources and comply with applicable laws; promote sustainable effective, long-term programs to conserve neotropical migratory birds; and other requirements the Secretary considers to be necessary. The Act requires that not less than 75 percent of the amounts made available each fiscal year shall be expended for projects outside of the U.S. Projects are approved for up to a 2-year period of time.

**Applicant Eligibility:**

An individual, corporation, partnership, trust, association, or other private entity; an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Beneficiary Eligibility:**

An individual, profit organization, other private institution/organization, public nonprofit institution/organization, an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Credentials/Documentation:**



No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant application, including Standard Form 424, Application for Federal Assistance, is to be submitted electronically to the address referenced on the website, at <http://www.fws.gov/birdhabitat/Grants/NMBCA>. Information may also be accessed through [www.grants.gov](http://www.grants.gov). If unable to access the website, request a proposal package, which includes specific requirement information, from the Chief, Division of Habitat Conservation, U.S. Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; Telephone: (703)358-1784. Instructions are available in English, Portuguese and Spanish.

**Award Procedure:**

Proposals are reviewed by a panel of experts from the Fish and Wildlife Service, who make funding recommendations to the Director. After projects are selected for funding, a grant agreement between the Fish and Wildlife Service and the grantee is drafted by the Division of Bird Habitat Conservation (DBHC). The agreement is then processed by DBHC and sent to the recipient. The agreement is considered to be executed on the date of receipt by the recipient, as evidenced by return of registered mail receipt to DBHC. Other than the registered mail signature, an agreement signature is not required of the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposal.

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: In determining whether to accept projects for funding approval, applicants must guarantee a 3:1 match amount. That is, the applicant must match each Act dollar with 3 non-Federal dollars. Federal dollars refers to U.S. Federal dollars. Federal dollars of non-U.S. governments are eligible. In the U.S., match must be in cash; outside of the U.S., match may either be in cash or in-kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless the project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement, and in accordance with financial and reporting procedures specified in the grant agreement. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Progress and final reports are to be submitted in accordance with terms and conditions of the grant agreement. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1696-0-1-303.

**Obligations:**

(Project Grants) FY 08 \$4,296,906; FY 09 est \$4,500,000; FY 10 est \$0 - FY 2010 estimate is not available.

**Range and Average of Financial Assistance:**

Variable amounts. Awards have ranged from \$2,000 to \$250,000, with an average of \$88,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Between 2002 and 2008, the program supported 225 projects, coordinated by partners in 44 U.S. states/territories and 34 countries. More than \$21 million from NMBCA grants have leveraged about \$97 million in partner contributions. Projects involving land conservation have affected about 3 million acres of bird habitat. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NMBCA Grant Application Instructions; U.S. Grant Administration Standards (for grants within the U.S.); 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief U.S. Department of the Interior, U.S. Fish and Wildlife Service, Division of Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703)358-1784 Fax: (703)358-2282

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NMBCA>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Conservation projects that have as their focus enhancement and/or protection of neotropical migratory birds and their habitats, and that encourage and incorporate local jurisdictional and public participation in the project planning and execution process. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be screened and selected for funding primarily on the basis of criteria contained in 16 U.S.C. 6101. However, proposals will also be evaluated on: scope and significance of effort; importance of resource values; relationship of project to other efforts locally/regionally; feasibility and cost-effectiveness.

**15.636 ALASKA SUBSISTENCE MANAGEMENT**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Alaska National Interest Lands Conservation Act (ANILCA) of 1980, Title VIII, Public Law 96-487, 16 U.S.C. 3101-3233, Section 809. Fish and Wildlife Coordination Act (16 U.S.C. 661 to 666).

**OBJECTIVES:**

To identify and provide information needed to sustain subsistence fisheries and wildlife management on Federal public lands, for rural Alaskans, through a multidisciplinary, collaborative program. Three programs are administered under ANILCA to fulfill this objective. The Fisheries Resource Monitoring Program (Monitoring Program) funds approximately 80 studies annually to provide information on stock status and trends, harvests, and traditional ecological knowledge to manage and regulate Federal subsistence fisheries. The Partners for Fisheries Monitoring Program (Partners Program) strengthens Alaska Native and rural involvement in subsistence fisheries and research. The program provides funds directly to Alaska Native and rural organizations to hire fishery biologists, social scientists, and educators to implement fisheries monitoring projects and rural internship programs. The Liaison and Staff Support Grant to the State of Alaska is directed specifically to the Alaska Department of Fish and Game. The grant defrays salary and travel expenses that occur in support of the coordination between State and Federal subsistence fish and wildlife programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for approved fish and wildlife subsistence management, fisheries monitoring and traditional ecological knowledge projects.

**Applicant Eligibility:**

An individual/family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska; Federally recognized Indian Tribal Government (including any Native village as defined in the Alaska Native Claims Settlement Act).

**Beneficiary Eligibility:**

An individual/Family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department, or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska, or of any foreign government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. For both the Monitoring and Partners programs, a Request for Proposal (RFP) will be posted biennially on <http://fedbizopps.gov> and <http://grants.gov>. Complete application information can be found on the Office of Subsistence Management (OSM) website at: <http://alaska.fws.gov/asm/fisindex.cfm> or, if unable to access the website a proposal package containing specific requirement information can be requested from Attn: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, 1101 E Tudor Road, MS 121, Anchorage, Alaska 99503. For the Liaison and Staff Support Grant, a Request for Proposal will be posted annually on <http://grants.gov> APPLY. Information can be requested from Attn: Chuck Ardizzone, Wildlife Biologist, Office of Subsistence Management, 1101 E Tudor Road, MS 121, Anchorage, AK 99503.

**Award Procedure:**

For the Monitoring Program, an inter-agency technical review committee evaluates and ranks proposals, and, for those selected for further consideration, subsequently the full investigation plans. The committee develops a draft monitoring program from the highest priority projects, based on their technical review and available funds. The draft monitoring plan is reviewed by ten regional advisory councils and the public. An inter-agency staff committee reviews all recommendations, and reconciles differences between staff and public recommendations. The Federal Subsistence Board approves biennial monitoring plans with the benefit of both a technical recommendation by the Technical Review Committee and public review by the Regional Advisory Councils. For the Partners Program, an internal review committee evaluates proposals and makes recommendations for funding. The committee evaluations are based on the criteria outlined in the request for federal assistance. The review committee ranks proposals and the assistant regional director selects proposals that best support the program within available funding. Once a Monitoring Program project or Partners Program position is selected for funding, a funding instrument, i.e., notice of award, between Fish and Wildlife Service and the recipient is drafted by the OSM. The award is processed by OSM through the contracting office and sent to the recipient for signature. The award is considered executed when signed copies of the agreement are received from the recipient and the contracting office has obligated funds to the agreement. The awards are administered by OSM. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-Federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Federal Subsistence Board decisions on funding of Monitoring Program projects are made no later than January 20. OSM decisions on Partners Program positions are announced within one year of the Request for Proposals.

**Appeals:**

Not Applicable.

**Renewals:**

Monitoring projects and positions may be approved for one to four years duration. Applicants may re-apply during subsequent Request for Proposals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There is no requirement for cost sharing, matching, or cost participation. However, applicants are encouraged to document matching contributions. Proposals with substantial cost sharing will be ranked higher than similar proposals with no identified cost sharing. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For the Monitoring and Partners Programs, upon approval, the project may be extended or the agreement modified for a period not to exceed five years from initial award. Awarded funds must be spent during the approved Period of Performance of the award, and in accordance with financial and reporting procedures specified in the award. For the Liaison and Staff Support Grant, award is for one year. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress, annual, final, performance, and significant development reports are to be submitted in accordance with terms and conditions of the award. Financial reports (SF-269) are required a minimum of annually in accordance with 43 CFR 12. Interim and final Federal Financial Reports, SF-425 are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for cooperative agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for cooperative agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 08 \$5,075,000; FY 09 est \$5,200,000; FY 10 est \$5,200,000

**Range and Average of Financial Assistance:**

Variable amounts. In 2008, awards ranged from \$3,000 to \$600,000. In FY 2009, awards will range from \$3,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Monitoring and Partners programs provide critical information needed for the management and regulation of Alaska's subsistence resources, as directed by the ANILCA. The Monitoring Program provides over \$4 million annually for research and monitoring projects in Alaska. Approximately 80 projects are conducted annually. Projects provide information on over 70 fish populations important for subsistence fishers, who annually consume over 220 pounds of fish per person in rural Alaska. Over 100 Alaska Native and rural organizations have participated in the program. By providing sound scientific data, building capacity in rural organizations forging partnerships, and promoting local involvement, the Monitoring Program has enabled Federal and State governments to better manage fisheries and provide for subsistence uses. Through the Partners for Fisheries Monitoring Program, the U.S. Fish and Wildlife Service is building the capability and expertise of Alaska Native organizations to participate more fully in subsistence fishery management. With both Monitoring and Partners programs, subsistence fisheries are actively managed and sustained, proposed regulatory changes are analyzed, local concerns are addressed, conflicts among user groups are minimized, and Alaska Native and rural organizations are meaningfully involved in subsistence fisheries management and monitoring. Successful partnerships among government, Alaska Native, and other organizations have promoted more effective information collection, promoted internships and mentoring in rural Alaska, and improved local understanding and support for the subsistence management program. The Liaison and Staff Support Grant provides for effective dual management and coordination between the Alaska Department of Fish and Game and the Office of Subsistence Management. The grant provides funding for the State to meet its responsibilities to maintain healthy fish and wildlife resources while providing contained harvest opportunities for Alaska residents. In addition to the development of State and Federal harvest regulations, i.e., seasons, harvest limits, and methods and means, dual management also includes the recognition of customary and traditional uses and subsistence use amounts, as well as the sharing of harvest data. More specifically it is intended to protect and promote the sustained health of fish and wildlife populations, to ensure conservation and stability in fisheries and wildlife management and to include meaningful public involvement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants will be administered in conformance with the Fish and Wildlife Service Administrative Service Manual and 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. For the Fisheries Monitoring and Partners for Fisheries Monitoring Programs: Kathleen Orzechowski, Program Specialist,

Office of Subsistence Management, 1011 E Tudor Road, MS 121, Anchorage, Alaska 99503. Telephone: (907)786-3645, E-mail: kathleen\_orzechowski@fws.gov. For the Liaison and Staff Support Grant: Chuck Ardizzone, Wildlife Biologist, Office of Subsistence Management, 1011 E Tudor Road, MS 121, Anchorage, AK 99503, Telephone: (907) 786-3871, E-mail: chuck\_ardizzone@fws.gov.

**Headquarters Office:**

Karie Crow Office of Subsistence Management, 3601 C Street, Suite 1030, Anchorage, Alaska 99503 Email: karie\_crow@fws.gov Phone: (907)786-3387

**Website Address:**

<http://alaska.fws.gov/asm/fisindex.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Monitoring Program: There are more than 330 known steelhead streams in Southeast Alaska. The numbers of adult fish in these streams were estimated in the late 1980s. Most populations are thought to be quite small, with an annual run size of 100 or fewer adult steelhead. Approximately 56 streams are estimated to have run sizes of more than 200 fish, of which 12 are thought to contain more than 500 fish. Several systems may contain adult runs of 1,000 or more fish. Of the approximately 330 steelhead streams in Southeast Alaska, 75 are located on Prince of Wales Island. A three-year project to assess adult steelhead populations through the use of weirs on five Prince of Wales Island streams concluded in 2007 and a final report is being prepared. The data gathered will help ensure careful management of steelhead stocks. The steelhead population assessment project is a cooperative effort of the Alaska Department of Fish and Game, the Organized Village of Kasaan, the Bureau of Indian Affairs, and the Forest Service. A study documenting traditional methods of harvest, use and processing of steelhead was completed in 2005. This was a cooperative effort of the Alaska Department of Fish and Game, Craig Community Association, Klawock Cooperative Association, and Hyدابurg Cooperative Association. Partners Program: The success of the Fisheries Resource Monitoring Program depends upon a well informed public, and support of the program and resulting projects within rural communities. However, most rural communities and organizations do not have the capacity to meaningfully participate in the program, and many people do not understand how the program operates. Within the Kuskokwim region, Kuskokwim Native Association was recently awarded two positions, a fishery biologist and an educator position. The biologist will serve as a co-investigator on seven Monitoring Program projects and serve as a mentor for rural college student interns. The educator will mentor students working on Monitoring Program projects during the summer and assist students in the fall while they bring what they learned into their classrooms. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For the Monitoring Program, each proposal is evaluated using the following four criteria: (1) Strategic Priorities: Studies must be responsive to identified issues and information needs. All projects must have a direct association to a Federal subsistence fishery, and either the subsistence fishery or fish stocks in question must occur in waters within or adjacent to Federal public lands. (2) Technical and Scientific Merit: Technical quality of the study design must meet accepted standards for information and collection, compilation, analysis, and reporting. Studies must have clear objectives, appropriate sampling design, correct analytical procedures, and specified progress and final reports. (3) Investigator Ability and Resources: Investigators Ability and Resources: Investigators and their organizations should have demonstrated technical and administrative expertise to complete prior studies, or have co-investigators or appropriate partnerships with other organizations to meet all requirements of the study. (4) Partnership-Capacity Building: Studies must include appropriate partners and contribute to building capacities of rural organizations, local communities, and residents to participate in fisheries resource management. Investigators and their organizations should be able to demonstrate the ability to maintain effective local relationships and a commitment to capacity building. For the Partners Program, each proposal is evaluated using the following equally weighted criteria: (1) Ability to successfully implement the program as described. (2) Strategic priority and past performance of the Monitoring

Program project. (3) Letters of support from tribal and rural organizations, government agencies, project investigators, and schools/universities. (4) Annual and total cost of the proposal, including the use of in-kind or matching contributions that either decrease cost or expand support for implementing the Partners Program. (5) Past performance on implementing Monitoring Program projects. (6) Past performance on current or past agreements with the Office of Subsistence Management. (7) Previous experience in mentoring, training, and supervising personnel. (8) Past and current accounting practices to ensure deliverables and accountability. (9) The following items must be included in the application for successful submission and review. Each of these items carries a "Go/No-Go" impact: lack of direct linkage of a Monitoring Program project, enrollment in CCR; affirming in writing in your application that you have enrolled in CCR; providing your DUNS Number; submission of completed SF-424, SF-424A, and SF-424B package; and submission of indirect rate documentation (the agreement, the pool, and the base) if requesting reimbursement for indirect costs, unless no indirect reimbursement is being requested. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

### **15.637 MIGRATORY BIRD JOINT VENTURES**

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, (16U.S.C. 709a).

#### **OBJECTIVES:**

To protect, restore and enhance wetland and upland ecosystems for the conservation of migratory birds.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Joint Ventures are public/private partnerships, are guided by a Management Board of public/private representatives and use a Fish and Wildlife Service approved Implementation Plan that establishes conservation goals, priorities, and strategies. The Implementation Plan typically includes stepped down goals and objectives from a variety of national and international bird planning efforts. A Joint Venture Coordinator facilitates the coordination and implementation of the Joint Venture. The U.S. Fish and Wildlife Service provides basic administrative funding to Joint Ventures to cover costs associated with coordination; planning; monitoring, evaluation and applied research; communications and outreach; and project development and implementation. Joint Ventures may provide federal assistance to partners within these categories to achieve the goals of the Joint Venture. The FWS does not fund the entire scope of Joint Venture operations. Joint Venture partners are expected to contribute funding towards one or more of these categories. Non-federal match is not required, but leveraging FWS dollars provided for Joint Venture administration is a critical component of the Joint Venture program.

#### **Applicant Eligibility:**

Federal, State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; profit organizations, interstate and intrastate entities, and individuals or families who are also private landowners.

#### **Beneficiary Eligibility:**

General Public.

#### **Credentials/Documentation:**

Must participate or intend to participate in strategic conservation planning, implementation and evaluation activities designed to meet Joint Venture objectives as identified in an approved Implementation Plan and all related plans. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Joint venture partner/potential partner contact Joint Venture Coordinator to discuss Joint Venture (JV) needs and objectives, or JV Coordinator may initiate the contact. Coordinators work with partners/potential partners to design projects and discuss cost-share programs/activities that will contribute to meeting Joint Venture goals. Preparation of Environmental Impact Statements is not a prerequisite for receiving federal assistance/funding. State Plans are not required.

#### **Award Procedure:**

Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non Construction; or SF 424C and SF 424D - Construction). Once the project is designed and either fits within an approved Implementation Plan or is reviewed and approved by a Joint Venture Management Board, a cooperative agreement or grant agreement is written and work can begin.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

180 Days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Cooperative agreements are normally written for a 1 to 5 year period. For project cost-share grants, a 2 year period for expenditure of funds is the norm. Payments are generally made on a quarterly basis. See the following for information on how assistance is awarded/released: Information not available.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed on scope of work. Written reports on completion of the project are generally required. Recipients are required to submit annual Federal Financial Report SF 425 within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Federal Financial Report SF 425 is required 90 calendar days after the expiration or termination of the assistance agreement. Performance monitoring is not applicable.

#### **Audits:**

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

#### **Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

#### **Account Identification:**

14-1611-0-1-303.

#### **Obligations:**

(Cooperative Agreements) FY 08 \$4,067,545; FY 09 est \$4,100,000; FY 10 est \$4,100,000

**Range and Average of Financial Assistance:**

Range is \$2,400 to \$900,000; Average \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Six original Joint Ventures were formed in 1987 to implement the North American Waterfowl Management Plan. As of 2008, there are 18 joint ventures that focus on regions containing critical habitats and 3 that focus on individual species in the US, Canada, and Mexico. Joint venture partners have invested more than \$2.2 billion to protect, restore or enhance more than 10 million acres of wetlands, grasslands, forests and riparian habitats in the U.S. alone. Joint ventures adapt program principles to their own geographic and cultural conditions and pool limited resources to successful conservation actions that involve a variety of public and private stakeholders.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Service Policy 721 FW6, Joint Venture Implementation Plans, Joint Venture Accomplishment Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Joint Venture Liaison Officer U.S. Department of the Interior, U.S. Fish and Wildlife Service, Division of Bird Habitat Conservation, Joint Venture Liaison Officer, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: DBHC@fws.gov Phone: (703)358-1784 Fax: (703)358-2282

**Website Address:**

[www.grants.gov](http://www.grants.gov); <http://www.fws.gov/birdhabitat/JointVentures/index.shtm>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.635 Neotropical Migratory Bird Conservation ; 15.647 Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Administration, coordination and assessment of management practices necessary to ensure the effective operation and implementation of a joint venture. Develop integrated migratory bird habitat landscape planning, including development of biological models, spatial analysis and Geographic Information systems to develop joint venture objectives. Monitoring, evaluation and applied research including testing planning assumptions, management uncertainties, development of baseline data and data bases, biological assessments, species and habitat surveys and research projects necessary to assess biological performance; socio-economic surveys to better understand economic and cultural issues affecting conservation in the Joint Venture. Habitat conservation, such as protection, restoration and enhancement of wetland, riparian, grassland, forest, coastal and estuarine habitats, including work with private landowners, to achieve joint venture objectives. Communications and outreach efforts include newsletters, educational pamphlets, web sites, technical assistance, workshops and training for joint venture partners. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must be an existing or potential partner of a Joint Venture, and must agree to support Joint Venture goals and objectives. Project must fall within scope of a Management Board approved Joint Venture Implementation Plan and related conservation plans. Projects must contribute to overall Joint Venture goals and objectives. Project must be cost-effective. Projects that leverage grant funds with partner funds or in-kind services will receive preference.

**15.639 TRIBAL WILDLIFE GRANTS PROGRAM**

(TWG)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, FY 2004, Title I, Public Law 108-108, Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601-4 through 11.

**OBJECTIVES:**

To develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Approved activities include those which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**Applicant Eligibility:**

Participation is limited to Federally recognized Indian tribal governments. For the purposes of inclusion under TLI, tribal trust lands are treated similarly to lands under private ownership.

**Beneficiary Eligibility:**

Anyone/General Public (While direct participation is limited to Federally recognized Indian tribal governments, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

Only Federally recognized Tribes in all parts of the United States are eligible to receive grants under this program, including Federally recognized Tribes, pueblos, rancherias, and Alaska native villages or traditional councils as defined by the Alaska Native Claims Settlement Act. Federally recognized Tribes are listed in FR/Vol. 73, No. 66, p. 18553/April 4, 2008. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Application for Federal Assistance SF 424, and the appropriate Budget and Assurances forms, SF 424A and SF424B - Non Construction; or SF 424C and SF 424 D - Construction. Application procedures are spelled out in the "Tribal Wildlife Grant Application Kit" available electronically at: <http://grants.fws.gov/tribal.html>. To receive a paper copy, contact the regional Office of the Native American Liaison.

**Award Procedure:**

The Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee and will coordinate the development of the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Proposals will be scored, ranked and selected approximately 90 working days after the deadline for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director, Fish and Wildlife Service. Final determination rests with the Secretary of the Interior.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There is no matching requirement, however, the Service will consider matching funds as an indication of tribal commitment to

the program and to encourage partnerships. Matching and cost sharing requirements are discussed in 43 CFR Part 12, Section 12.64.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the tribe until expended. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated or unspent after the final grant closeout are returned to the Service for reapportionment. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

A Performance Report is required for each grant annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report SF 425 is required for each grant annually within 90 days after the anniversary date or end of the grant. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5474-0-1-303.

**Obligations:**

(Project Grants) FY 08 \$6,000,000; FY 09 est \$6,000,000; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

\$200,000 is the maximum allowable per tribe each fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 300 Fish and Wildlife Conservation Partnerships with 133 federally recognized Indian Tribal governments that protect and restore. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Bill for FY 2002, Public Law 107-63 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Native American Liaison Fish and Wildlife Service, Division of External Affairs, Mail Stop-3251, 1849 C Street N.W., Washington, District of Columbia 20240 Phone: (202)208-4133 Fax: (202)501-3524

**Website Address:**

<http://grants.fws.gov/tribal.html>

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Nooksack Cumulative Watershed Effects Assessment South Fork Nooksack In-Stream Restoration Project; Red Lake Wildlife Habitat Preservation and Maintenance, Enhancement and Evaluation Project; Habitat Use, Seasonal Movements and Stock Structure of Bearded Seals in Kotzebue Sound, Alaska. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria is used to select proposals: (1) Resource Benefit: What are the expected benefits to fish and wildlife resources, including species that are not hunted or fished, and their habitat if this program is successfully completed? The Service requires that the Tribe articulate how the benefits of its proposal support the goals and objectives of the TWG and Service and tribal Performance Goals in their proposal narratives. (2) Performance Measures: To what extent does the proposal provide obtainable and quantifiable performance measures and a means to monitor, evaluate, and report on these measures compared to an initial baseline? The measures should be specific and clear, and should provide demonstrable benefits to the target species of the action. These actions must support the goals and objectives of the TWG, the Service and the Tribe. (3) Work plan: Are the program activities and objectives well-designed and achievable? (4) Budget: Are all major budget items justified in relation to the program objectives and clearly explained in the narrative description? (5) Capacity Building: To what extent does the program increase the grantee's capacity to provide for the benefit of wildlife and their habitat? (6) Contributions and Partnerships: To what extent does the applicant display commitment to the project proposal through in-kind contribution or matching funds and to what extent does it incorporate contributions from other nonfederal partners in the form of either cash or in-kind services?.

**15.640 WILDLIFE WITHOUT BORDERS- LATIN AMERICA AND THE CARIBBEAN**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended (16 U.S.C. 1531-43).

**OBJECTIVES:**

The Wildlife Without Borders-Latin America and the Caribbean Program focuses on strengthening the ability of Latin American and Caribbean institutions to manage and conserve species, habitats and ecological processes for the benefit of the people of the Americas and the world. Of particular interest are projects that build the human and institutional capacity to effectively conserve and manage natural protected areas in Latin America and the Caribbean. Program objectives are: (1) To advance, through capacity building, the transition of protected areas from legally established but under-implemented paper parks to effectively managed landscapes, benefiting species of regional concern; and (2) To develop, strengthen and replicate high-quality conservation training programs that reach the priority audiences associated with protected areas. The priority audiences for the training supported by this Program include: Protected area managers and administrators; Protected area guards and rangers; Protected area outreach and education specialists; Community leaders (living in and around protected areas); Upper-level students (working on projects in and around protected areas); and Decision-makers who influence protected areas (including private landowners, legislators, and public officials).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects should take place in Latin America or the Caribbean, ideally in a recognized high priority ecosystem or ecoregion of biome, or a key location associated with flagship, endangered or migratory species of regional concern. If work is to be conducted outside that region, the proposal must explain why it is preferable that the project is implemented elsewhere. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunition; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards

training U.S. Federal Government personnel.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on the program website at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Latin America & the Caribbean, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed specifically for this program. Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 15, 2009 This program has two annual deadlines. The first deadline is October 15 each year. The second deadline is April 15 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes made.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Applicants or other project partners must contribute funds to the project, which may include cash or in-kind contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Cash reports are not applicable. Progress reports are not applicable. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report, Standard Form 425. Domestic recipients with program income to report shall use Standard Form 269. Non-domestic Recipients shall submit a financial report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Project Grants) FY 08 \$947,000; FY 09 est \$947,000; FY 10 est \$947,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will given to proposals requesting less than \$25,000. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, the Service funded 39 conservation projects under this program. A summary of each of those projects can be found at the program's webpage at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100

, Arlington, Virginia 22203-1622 Email: [WWB\\_LAC@fws.gov](mailto:WWB_LAC@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

<http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>

**RELATED PROGRAMS:**

15.641 Wildlife Without Borders-Mexico ; 15.651 Wildlife Without

## Borders-Africa Program

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/DICprograms/lac.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### CRITERIA FOR SELECTING PROPOSALS:

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$25,000. A complete list of the criteria used to select projects under this program can be found in the Latin America & the Caribbean Notice of Funding Availability and Application Instructions located on line at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Hard copies are available upon request from the Division of International Conservation.

## 15.641 WILDLIFE WITHOUT BORDERS-MEXICO

### FEDERAL AGENCY:

Fish and Wildlife Service, Department of the Interior

### AUTHORIZATION:

Endangered Species Act of 1973, as amended, 16 U.S.C. 1531-43.

### OBJECTIVES:

To provide support for projects that build Mexico's human and institutional capacity for biodiversity conservation and management through training associated with Mexican nature reserves. Of interest are projects that provide training in biodiversity conservation or natural resource management associated with federal, state, or local nature reserves, or areas in the process of acquiring protection status, as well as other priority biodiversity areas designated by the Government of Mexico.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Funding will be provided for training projects, including short-term (2-3 week) on-the-job courses certified by an educational institution (Diplomados), workshops, personnel exchanges, training provided through on-the-ground practices, among other delivery mechanisms, with the following objectives: (1) develop specific conservation/management skills of resources managers by addressing critical gaps in formal and informal training in Mexico while increasing the number of personnel trained; (2) promote training that links sound management practices in nature reserves to the creation of economic opportunities for buffer zone communities; and (3) raise the level of awareness and capacity of key stakeholder groups to deliver conservation. Applicants should be proposing work to be conducted in Mexico. If work is to be conducted in the United States, the proposal must show a clear connection to capacity building for biodiversity conservation in Mexico to be eligible for funding. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or Mexico. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

### Applicant Eligibility:

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

### Beneficiary Eligibility:

Federal, State and local government; public nonprofit institution/organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this programs website at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Mexico, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

### Award Procedure:

Projects are simultaneously reviewed by a panel convened by the U.S. Fish and Wildlife Service and a panel convened by the Mexican Ministry of the Environment and Natural Resources (SEMARNAT). Final funding decisions are made jointly by representatives of the Service and SEMARNAT based on the recommendations of the two review panels. Review criteria can be found in the application information at <http://www.fws.gov/international/DICprograms/mexico.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

### Deadlines:

Oct 01, 2009 Proposals must be submitted to both the Fish and Wildlife Service and SEMARNAT on or before October 1 each year.

### Range of Approval/Disapproval Time:

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: Applicants or other project partners must contribute funds to the project, which may include cash or in-kind contributions. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award document. See the following for information on how assistance is awarded/released: Information not available.

### Reports:

Performance reports are to be submitted in accordance with the terms and



conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.htm>. Cash reports are not applicable. Progress reports are not applicable. For financial reporting, Domestic Recipients shall use the Federal Financial Report, Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-303.

**Obligations:**

(Project Grants) FY 08 \$752,000; FY 09 est \$752,000; FY 10 est \$752,000

**Range and Average of Financial Assistance:**

Variable amounts. The average grant amount is \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 the Service awarded 14 Assistance Awards for projects in Mexico. A summary of each of those projects can be found at the program's webpage at <http://www.fws.gov/international/DICprograms/mexico.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at <http://www.fws.gov/international/DIC/regional%20prpgrams/mexico/mexico.htm> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_Mexico@fws.gov](mailto:WWB_Mexico@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

<http://www.fws.gov/international/grants/grants.html> .

**RELATED PROGRAMS:**

15.640 Wildlife Without Borders- Latin America and the Caribbean ; 15.651 Wildlife Without Borders-Africa Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Annual summaries of the projects funded under this program can be found at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.htm>. Hard copies of this information are available upon request from the Division of Division of International Conservation. Fiscal Year 2009: No

Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000.00. A complete list of the criteria used to select projects under this program can be found in the Wildlife Without Borders-Mexico Notice of Funding Availability and Application Instructions, located on line at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.htm>. Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754.

**15.656 RECOVERY ACT FUNDS - HABITAT ENHANCEMENT, RESTORATION AND IMPROVEMENT.**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Sikes Act of 1974, as amended, 16 U.S.C 670a-670o; Alaska National Interest Lands Conservation Act, 16 U.S.C 3101; Fish and Wildlife Coordination Act of 1958, 16 U.S.C 661-667; Marine Mammal Protection Act of 1972, as amended, Public Law 92-522; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C 4701-4741; Partners for Fish and Wildlife Act , 16 U.S.C 3771; Endangered Species Act of 1973, 16 U.S.C 1531; Great Lakes Fish and Wildlife Restoration Act, as amended.

**OBJECTIVES:**

To provide technical and financial assistance to identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance is provided to fund projects that improve habitat or any related activity necessary to accomplish this goal. Funds may be used for habitat assessments, protection and restoration of public and private land that include alternative/renewable energy efficient projects. Funds may also be used to encourage public usage of providing access, education, providing fish passage and stocking of fish from National or State Fish Hatcheries, and advising on wildlife management techniques. Working with interns on habitat restoration projects is acceptable.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of Interior. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application procedures are specified in [www.grants.gov](http://www.grants.gov), which require, at a minimum, the submission of a project proposal along with the completed SF 424 Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or the designee will approve or disapprove proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the Cooperative Agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Projects may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: No matching is required, however, matching funds are encouraged to allow for additional restoration.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Recovery Act places restrictions on the time permitted to spend the money awarded. The Regional Office Contact Person can further explain the restrictions placed upon the time period to fully spend the money awarded under the project. See the following for information on how assistance is awarded/released: The release of assistance award funds may vary depending upon the recipient. The Regional Office Contact Person can further explain the procedures for requiring either lump sum or quarterly payment methods.

**Reports:**

Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional performance reporting requirements as described in the award terms and conditions, announcement packages available on [www.grants.gov](http://www.grants.gov), and [Recovery.gov](http://Recovery.gov). Cash reports are not applicable. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional performance reporting requirements as described in the award terms and conditions, announcement packages available on [www.grants.gov](http://www.grants.gov), and [Recovery.gov](http://Recovery.gov). The Federal Financial Status Reports must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each awarded cooperative agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-1610-1-1-302 - 1409101610 TAFS, 109R Fund Code; 14-1613-1-1-302 - 1403101613 TAFS, 105R Fund Code.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$13,000,000; FY 10 est \$13,000,000

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Habitat restoration, land protection, species recovery and protection, public use to include access and education. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please visit [www.fws.gov](http://www.fws.gov) to locate the Regional and Local Office contacts.

**Headquarters Office:**

not available Fisheries and Habitat Conservation, U.S. Fish and Wildlife Service, Department of the Interior, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: 2022086394 Fax: 2022084674

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife; 66.708 Pollution Prevention Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Program specific criteria is specified in the announcements of the individual financial assistance programs.

**15.657 ENDANGERED SPECIES CONSERVATION RECOVERY IMPLEMENTATION FUNDS**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq, as amended; Public Law 93-205, 87 Stat. 884, Endangered Species Act Amendments of 1978, Public Law 95-632, 92 Stat. 3751, and Endangered Species Act Amendments of 1982, Public Law 97-304, 96 Stat. 1411.

**OBJECTIVES:**

To provide federal financial assistance to secure endangered or threatened species information, undertake restoration actions that will lead to delisting of a species; help prevent extinction of a species, or aid in the recovery of species. The purpose of the Endangered Species Act is to provide a means by which the ecosystems upon which endangered and threatened species depend may be conserved, to provide a program for the conservation of these species, and to take appropriate steps to achieve the purposes of treaties and conventions set forth in the law.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This financial assistance opportunity can be used for recovery implementation actions to conserve endangered or threatened species, and the ecosystems upon which they depend. Funding may be used for actions related to species recovery to: (1) accomplish high priority tasks identified in approved species recovery plans; (2) reduce threats to high priority species, such as propagation of imperiled freshwater mussels; or (3) conservation of endangered and threatened species, such as biological field work to conduct species surveys. There are no sub-grant projects funded under formula and project grants. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions.

**Applicant Eligibility:**

State and local government agencies. Institutions of higher education, including public, private state colleges and universities, nonprofits that have 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized), for-profit organizations, and small businesses.

**Beneficiary Eligibility:**

State and local government agencies, institutions of higher education, including public, private, state colleges and universities, nonprofits that have a 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized),

for-profit organizations, and small businesses.

**Credentials/Documentation:**

Applicants are expected to have demonstrated knowledge and understanding of the biology of the involved endangered or threatened species and their ecosystems, including preferably having worked with the species in the field and holding a currently valid Endangered Species Act permit to work with these species (or that have previously held a permit to do so). If funding is awarded, applicants that do not currently hold a valid permit for the proposed activity may need to apply for and obtain a permit (<http://www.fws.gov/endangered/permits/index.html>) before beginning the proposed activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants are expected to have demonstrated knowledge and understanding of the biology of the involved endangered or threatened species and their ecosystems, including preferably having worked with the species in the field and holding a currently valid Endangered Species Act permit to work with these species (or that have previously held a permit to do so). If funding is awarded, applicants that do not currently hold a valid permit for the proposed activity may need to apply for and obtain a permit (<http://www.fws.gov/endangered/permits/index.html>) before beginning the proposed activity. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Potential applicants must conduct pre-application coordination with the appropriate Regional Coordinator to discuss the proposed project. The Regional Coordinator will then refer the potential applicant to the appropriate Ecological Services Field Office. Applicants will then coordinate with the appropriate Field Office who will assess if the project is something that will help meet Service priority needs. If so, potential applicants will submit a formal application to the Field Office. Project proposals should meet specific criteria (see below) and must be accompanied by Standard Form 424, Application for Federal Assistance.

**Award Procedure:**

Proposals will compete at a Regional level for funding. After review of the proposals by Regional Coordinators, recommendations for funding will be made subject to final approval of the Assistant Regional Director Ecological Services.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. However, project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project will be funded.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within one year of the award date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date and/or the end of the grant. No cash reports are required. No progress reports are required. A Financial Status Report (SF 425) is required for each grant award annually within 90 days after the anniversary date and/or the end of the grant. No performance monitoring is required.

**Audits:**

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

**Records:**

The recipient is required to maintain all records concerning this financial assistance for a period of three (3) years after the project is completed.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$14,305,453; FY 09 est \$14,000,000; FY 10 est \$14,000,000

**Range and Average of Financial Assistance:**

Recovery Implementation - FY08 (\$1,000, smallest grant to \$760,000, largest grant); Average grant is \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supports the ultimate goal of threatened and endangered species conservation which is to recover listed species to levels where protection under the Endangered Species Act is no longer required and they can be removed from the list. Restoring listed species to a point where they are secure, self-sustaining components of their ecosystem is a challenging task. The factors responsible for their endangered status may have been at work for hundreds of years, and reversing declines, stabilizing populations, and achieving recovery goals may require coordinated actions from many partners over a lengthy period. The following are specific accomplishments from FY08: the Tinian monarch and West Virginia northern flying squirrel have been delisted due to recovery; the Hawaiian hawk and Maguire daisy have been proposed for delisting due to recovery; and proposed rules to down-list two other species from endangered to threatened are being drafted because the Service was able to implement actions from projects funded through the program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy and guidelines for our Endangered Species Program are available on the web at <http://www.fws.gov/endangered/policy/index.html>. Endangered and threatened species Recovery Plans revised or finalized since 1989 are available at <http://www.fws.gov/endangered/recovery/index.html#plans> Other Recovery Plans are available from the Regional Office (see attached list of Regional Coordinators). General permit regulations for the U.S. Fish and Wildlife Service can be found at 50 CFR 13. Regulations for Recovery and Interstate Commerce permits under the Endangered Species Act can be found at 50 CFR 17.22(a)(1) for endangered wildlife species, 50 CFR 17.32(a)(1) for threatened wildlife species, 50 CFR 17.62 for endangered plant species, and 50 CFR 17.72 for threatened plant species. Copies of the permit application forms are available on our web page at <http://www.fws.gov/endangered/permits/index.html>

**Regional or Local Office:**

See Regional Agency Offices. A list of Regional Coordinators can be found at the following website: <http://www.fws.gov/endangered/recovery/index.html>.

**Headquarters Office:**

Chief, Endangered Species Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW (MS 420 ARL SQ), Washington, District of Columbia 20240 Phone: (703) 358-2171

**Website Address:**

<http://www.fws.gov/endangered/recovery/index.html>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A variety of projects were funded in FY 08 using Recovery Implementation funding. Examples include: Development of a Population Viability Model for the Cape Fear shiner (\$24.8k), Continued production of boulder darters and beginning production of spotfins to establish viable populations of these fish in Shoal Creek (\$30K); Population structure and gene flow between patchy habitats of the amber darter to explore potential cryptic diversity and management options (\$40K); Contract with an Oregon Silverspot Butterfly (OSB) genetics expert to develop and prepare an OSB Reintroduction Plan that will discuss and describe the rationale and criteria for augmentation and reintroduction activities of captive reared larvae potentially within all conservation areas in accordance with the OSB Revised Recovery Plan and FWS Captive Propagation Policy (\$12k); and Koenig Restoration Project implemented to restore two permanent wetlands to provide suitable habitat for the endangered Oregon chub within the Santiam River sub-basin (\$22k). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Coordination with the Regional Coordinator is required for all potential projects to discuss the proposed project. The Regional Coordinator will refer the potential applicant to the appropriate Ecological Services Field Office. If the proposed project meets Service priority needs, an application will be submitted to the appropriate Ecological Services Field Office.

General Criteria that apply to all Recovery Implementation project proposals:

(1) Project should show a clear conservation benefit that will help prevent extinction of a species, improve the recovery status of a species, or lead to de-listing of a species. (2) All projects will be considered independently on a year-to-year basis. (3) Multi-year projects are not prohibited, but applicants will need to resubmit and compete annually for financial assistance. There is no guarantee that if the project is funded one year that subsequent funding will be available. (4) Projects that involve multiple partnerships are encouraged. (5) Projects that involve matching funding are strongly encouraged. (6) Potential applicants will need to provide credentials demonstrating they have the necessary biological and scientific education and experience to be able to complete the project satisfactorily.

In addition to the above-listed general criteria, the following specific criteria will be considered for selecting projects: (1) Initiate immediate actions to stabilize endangered/threatened species on the brink of extinction. (2) Implement final recovery actions so that a species can meet its down-listing or de-listing recovery criteria within a 5-year horizon.

**15.658 NATURAL RESOURCE DAMAGE ASSESSMENT, RESTORATION AND IMPLEMENTATION**

NRDAR

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380; Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C 9601, et seq.; Federal Water Pollution Control Act, 33 U.S.C 1251-1387; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j.

**OBJECTIVES:**

To restore natural resources injured by oil spills or hazardous substance releases. This is to be done by Natural Resource Trustees; seeking and identifying natural resources injured, determining the extent of the injuries, recovering damages from responsible parties, and planning and carrying out natural resource restoration activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is provided to individual and groups to fund assessments, implementation, recovery of damages or any related restoration activity necessary to meet the intent of the Natural Resource Damage Assessment and Restoration program.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures are specified in the Grants.gov announcement, which require the submission of a project proposal along with the completed SF-424 Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves of proposed projects. Regional Offices are responsible for notifying the grantee of grant approval by the return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Project may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There are no matching fund requirements, however, matching funds are encouraged to allow for additional restoration. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration is between 1 and 5 years. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A progress report or performance report is required annually within 90 days after the anniversary date of the award. A final report is also required. A financial status report is required periodically during the award period. Also a final financial status report is required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Cost records must be maintained separately for each awarded grant. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports.

**Account Identification:**

14-1611-0-1-303; 14-1611-9-1-303.

**Obligations:**

(Cooperative Agreements) FY 08 \$5,200,000; FY 09 est \$6,200,000; FY 10 est

\$6,000,000

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000 or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Habitat restoration, land protection, species recovery, and protection, public use to include access and education. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact Fish and Wildlife Service's Fisheries and Habitat Conservation Division at (202) 208-6394. Please see fws.gov to locate Regional and Local Office Contacts.

**Headquarters Office:**

Chief, Endangered Species Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW (MS 420 ARL SQ), Washington, District of Columbia 20240 Phone: (703) 358-2171

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.236 Environmental Quality and Protection Resource Management; 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice; 66.708 Pollution Prevention Grants Program; 66.802 Superfund State, Political Subdivision, and Indian Tribe Site\_Specific Cooperative Agreements; 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Habitat restoration, land protection, species recovery and protection, public use to include access and education. This program may be used for either construction or non-construction awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.659 NATIONAL WILDLIFE REFUGE FUND**

Refuge Revenue Sharing

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Refuge Revenue Sharing Act, Public Law 88-523, 78 Stat. 701, 16 U.S.C 715s; Refuge Revenue Sharing Act of 1978, Public Law 95-469, 92 Stat. 1319.

**OBJECTIVES:**

To provide revenue sharing payments to local governments to offset tax losses for fee and withdrawn domain lands within the approved acquisition boundaries, using revenues derived from the sale of products from National Wildlife Refuges and other fee acquisition lands administered solely or primarily by the Service including public domain lands. Congress may appropriate funds to cover any shortfall for payment to counties.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Counties may use the funds for any governmental purpose and may pass the funds to lesser units of local government within the county that experience a reduction of real property taxes as a result of the existence of fee and withdrawn domain lands.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Award procedure is available in the grants.gov announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Payments under the Act are made on the basis of: (a) 3/4 of 1 percent of the market value based on the appraised value of the land conducted every 5 years; or (b) 25 percent of the net receipts; or (c) 75 cents per acre. Payment of 25 percent of the net receipts is made to counties for public domain land that was never on the tax rolls. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

**Audits:**

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

**Records:**

Recipients shall maintain records in accordance with 43 CFR 12.82 and 12.953.

**Account Identification:**

14-1691-0-1-806; 14-5091-0-2-806.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$23,303,945; FY 09 est \$23,000,000; FY 10 est \$23,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Eric Alvarez U.S. Fish and Wildlife Service, National Wildlife Refuge System,

4401 N. Fairfax Drive, Arlington, Virginia 22203 Email:  
a\_eric\_alvarez@fws.gov Phone: (703)358-1713 Fax: (703)358-2223

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.226 Payments in Lieu of Taxes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.660 ENDANGERED SPECIES - CANDIDATE CONSERVATION ACTION FUNDS**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, Public Law 93-205, 87 Stat. 884, 16 U.S.C 1531 et. seq., as amended by Endangered Species Act Amendments of 1978, Public Law 95-632, 92 Stat. 3751, 16 U.S.C 1531, as amended by Endangered Species Act Amendments of 1982, Public Law 97-304, 96 Stat. 1411, 16 U.S.C 1531.

**OBJECTIVES:**

The objective is to secure endangered, threatened, candidate and other at-risk species information or undertake restoration actions that will help avert federal listing of species, lead to the recovery species, or prevent extinction. The purpose is to provide a means by which the ecosystems upon which endangered and threatened species depend may be conserved, to provide a program for the conservation of these species, and to take appropriate steps to achieve the purposes of treaties and conventions set forth in the law.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The assistance can be used for Candidate Conservation. Funding may be used for actions related to: (1) the development of scientific information that is useful in supporting candidate assessments, conservation actions and candidate conservation agreements; (2) reduce threats to a candidate and other high priority species, such as propagation of imperiled freshwater mussels; or (3) conservation of candidate species, such as biological field work to conduct species surveys. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applications should have demonstrated knowledge and understanding of the biology of the involved candidate species, including preferably having worked with the species in the field. If funding is awarded, applicants that do not currently hold a valid permit may need to apply for and obtain a permit <http://www.fws.gov/endangered/permits/index.html> before beginning the proposed activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination with the appropriate Regional Coordinator is needed. Potential applicants should contact the the appropriate Regional Coordinator to discuss the proposed project, and the Regional Coordinator will provide them with the name and contact information for the Ecological Service's Field Office for further coordination. A list of Regional Candidate Conservation Coordinators is available at the following website address <http://www.fws.gov/endangered/candidates/index.html>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Potential applicants must conduct pre-application coordination with the appropriate Regional Coordinator contact person to discuss the proposed project. The Regional Coordinator will then refer the potential applicant to the appropriate Ecological Services' Field Office. Applicants will then coordinate with the appropriate Field Office who will assess if the project is something that will help meet Service priority needs. If so, potential applicants will submit a formal application to the Field Office. Project proposals should meet specific criteria and must be accompanied by a Standard Form 424, Application for Federal Assistance.

**Award Procedure:**

Proposals will complete at a Regional level for funding. After review of the proposals by Regional Service Coordinators, recommendations for funding will be made subject to final approval of the Assistant Regional Director - Ecological Services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

None, however project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project will be funded.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within one year of the date of award. See the following for information on how assistance is awarded/released: not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A report is required for each award annually within 90 days after the anniversary date and at the end of the award. An interim financial status report is due annually within 90 days of the anniversary date and a final report is due at the end of the award. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

The recipient is required to maintain all records for a period of three (3) years after the project is completed.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,425,303; FY 09 est \$1,200,000; FY 10 est \$1,300,000

**Range and Average of Financial Assistance:**

FY 08 (\$1,000 smallest to \$140,000 largest award). Average \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Candidate Conservation program is implemented

through a proactive and collaborative approach with states and territories, tribes, federal agencies, and the private sector to keep species from declining to the point that they warrant listing under the Endangered Species Act. Through this program the Service work to: (1) identify species that are on the brink of becoming listed or that face threats that make listing a possibility; (2) provide information, planning assistance, and resources to encourage partnerships for conservation measures for these species; and (3) prioritize non-listed species so those most needing protection or additional study are addressed first. Some specific accomplishments in FY08 include the following: Funding for habitat restoration projects on federal lands; the development of important propagation and rearing of captive specimens; the use of remote sensing technologies and geographic information systems to identify and map important habitat areas. In FY 2007, five Candidate Conservation Agreements with landowners were completed, benefiting conservation listed species. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy and guidelines for the Endangered Species Program are available at <http://www.fws.gov/endangered/policy/index.html>.

General permit regulations for the U.S. Fish and Wildlife Service can be found at 50 CFR 13. Regulations relevant to candidate species can be found at 50 CFR 424.02, 50 CFR 424.13, 50 CFR 424.15, 50 CFR 17.22(d), 50 CFR 17.32(d). A draft of the Candidate Conservation Agreement with Assurances is available by contacting the Chief, Branch of Candidate Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 420, Arlington, VA 22203; Telephone (703)358-2105; Fax (703)358-1735. The CCAA policy and regulations were adopted in 1999 under section 10(a)(1)(A). Copies of the permit application forms are available on our web page at <http://www.fws.gov/endangered/permits/index.html>.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

Assistant Director 1849 C Street, NW, Washington, District of Columbia 20240  
Phone: 202 208 3100

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Status update and conservation initiative for whorled sunflower; develop conservation agreements to preclude the need to list the species (\$10K). Conservation actions to implement a Candidate Conservation Assurances Agreement for the yellowcheek darter, including propagation, partner led monitoring; creating a GIS layer and public outreach (\$30K). Development of single nucleotide polymorphism assay (SNPs) techniques to monitor the New England Cottontail. Development of important propagation and rearing of captive specimens. Use of remote sensing technologies and geographic information systems to identify and map important habitat areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Coordination with the Regional Coordinator is required for all potential projects to discuss the proposed project. The Regional Coordinator will refer the potential applicant to the appropriate Ecological Services' Field Office. If the proposed project meets Service priority needs, an application will be submitted to the appropriate Ecological Services Field Office. General Criteria that apply to all potential projects include: Projects should show a clear conservation benefit that will help prevent extinction of a species, lead to de-listing of a species, or prevent listing of a candidate species; All projects will be considered independently on a year-to-year basis. Multi-year projects are not prohibited, but applicants will need to resubmit and compete annually for financial assistance. There is no guarantee that if the project is funded on year that subsequent funding will be available; projects that involve multiple partnerships are encouraged; projects that involve matching funding are strongly

encouraged; and potential applicants will need to provide credentials demonstrating they have the necessary biological and scientific education and experience to be able to complete the project satisfactorily. In addition to the above-listed general criteria, the following specific criteria will be considered for selecting projects: Implement conservation actions so that a species can be removed from candidate status (i.e., preclude the need to list the species).

#### **15.661 LOWER SNAKE RIVER COMPENSATION PLAN**

LSRCP

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Water Resources Development Act of 1976, Public Law 94-587; Fish and Wildlife Coordination Act , 16 U.S.C 661-666.

#### **OBJECTIVES:**

To mitigate for the losses of fish and wildlife caused by the construction of four hydroelectric dams on the lower Snake River by the U.S. Army Corps of Engineers.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

To operate and maintain LSRCP authorized fish hatcheries owned by the U.S. Fish and Wildlife Service, to evaluate survival and harvest of fish released from LSRCP hatcheries, to assess impacts of LSRCP hatcheries and fish released on Endangered Species Act (ESA) listed species and to coordinated LSRCP programs with other fish hatchery and research programs in the Columbia Basin.

#### **Applicant Eligibility:**

None

#### **Beneficiary Eligibility:**

None

#### **Credentials/Documentation:**

Applicants must have legal authority to operate fish hatcheries and release fish in the states of Oregon, Washington and Idaho and demonstrated competence to operate fish hatcheries and conduct scientific research. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package must include an SF 424 Application for Federal Assistance, a statement of work or production summary, and an estimated budget.

#### **Award Procedure:**

Applications are evaluated by the LSRCP Program Administrator based on authorizing legislation and program goals. The Assistant Regional Director for Fisheries in the Specific Region approves all cooperative agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Applications must be submitted by June 1 each year. Applicant will be notified no later than July 31.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Must be submitted each year by June 1.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The LSRCP projects are approved annually. See the following for information on how assistance is awarded/released: not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual performance reports and a final report is due 90 days after the end of the award period. Standard Form 270, Request for Advance Reimbursement reports are submitted monthly. Standard Form 269, Financial Status Reports are submitted quarterly. October of 2009 all Federal recipients are required to use SF 425 Federal Financial Report in place of SF 270 and SF 269. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All files will be maintained for three years after the completion of the project and submission of the final financial and performance reports.

**Account Identification:**

14-1611-0-4-301.

**Obligations:**

(Cooperative Agreements) FY 08 \$19,784,428; FY 09 est \$21,774,000; FY 10 est \$22,862,000

**Range and Average of Financial Assistance:**

Range \$78,759 to \$4,004,698; Average \$1,232,835.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The 12 LSRCP fish hatcheries release about 5.7 million spring Chinook, 6 million steelhead and 3.1 million fall Chinook each year into the Snake Basin. Recreational, tribal or commercial fisherman harvest retuning adult salmon and steelhead that were released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Rainbow trout produced by LSRCP hatcheries are harvested in lakes, rivers and ponds in Washington and Idaho. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is operated under the authority of the Water Resources Development Act of 1976. Reports and publications are published on the web at <http://www.fws.gov/lsnakecomplan>.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Fish and Wildlife Service, Lower Snake River Compensation Plan Office, 1387 S. Vinnell Way, Suite 343, Boise, ID 83709, (208)378-5321.

**Headquarters Office:**

FWS Regional Office 911 NE 11th Avenue, Portland, Oregon 97232-4181  
Phone: 202 208 3100

**Website Address:**

<http://www.fws.gov/lsnakecomplan>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operation and maintenance of the Sawtooth, Magic Valley, Clearwater, and McCall fish hatcheries by the State of Idaho, Department of Fish and Game. Operation and maintenance of the Lyons Ferry and Tucannon fish hatcheries by the State of Washington, Department of Fish and Wildlife. Operation and maintenance of Irrigon, Wallowa and Lookingglass fish

hatcheries by the State of Oregon, Department of Fish and Wildlife. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Past program performance which demonstrated competency to fulfill program objectives.

**15.817 NATIONAL GEOSPATIAL PROGRAM: BUILDING THE NATIONAL MAP**

The National Map

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2003, Public Law 108-7, 43 U.S.C 36(d); American Recovery and Reinvestment Act, Public Law 111-5.

**OBJECTIVES:**

To utilize stimulus funds from the American Recovery and Reinvestment Act of 2009 (ARRA) to expand employment and business opportunities within a key sector of the geospatial industry while enabling America to revitalize its physical infrastructure, improve public safety, and adapt to climate change through the collection of high resolution lidar and orthoimagery data.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applications must be for data collection and research projects which are consistent with the objectives of the National Geospatial Program's orthoimagery and elevation activities. The majority of funds are used to support new data collections, existing, long-term collaborative projects that will enhance the datasets and research using those data. Specific objectives are identified in the program announcement. Applications for projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision OMB Circular A-110, Subpart C, \_25(e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Contracting officers are the individuals who have been delegated in writing by the USGS Office of Acquisition and Grants as the sole authority designated to obligate Federal funds and create terms and conditions of awards. They are the only individuals who have authority to negotiate, enter into, and administer awards resulting for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the Grants.gov announcement packages and the above regulations must be used for this program. Instructions for submitting applications are contained in each announcement package posted to [www.grants.gov](http://www.grants.gov). Links to USGS program announcements are available through the [www.usgs.gov/contracts](http://www.usgs.gov/contracts).

**Award Procedure:**

Notification of an award is cooperative agreement document signed by a contracting officer.

**Deadlines:**



Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. One to three months.

**Appeals:**

Not applicable except that application may be revised and resubmitted.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. This program has no statutory requirement for matching funds. However, proposals with 50 percent or greater matching funds will receive the highest consideration in order to maximize benefits from these assistance funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for, but not restricted to, 12-18 month budget periods. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Annual and final technical and financial reports are required. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306 - TAFS Code: 14-0803 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est not reported.; FY 10 est \$8,775,000

**Range and Average of Financial Assistance:**

\$50,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: High resolution elevation data collection and orthoimagery collection for FY 08 and FY 09 has been accomplished with non-ARRA funds and without the use of assistance funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. National Geospatial Program, Geological Survey, 12201 Sunrise Valley Drive, MS 510, Reston, VA 20192. Telephone: (703) 648-5519.

**Headquarters Office:**

National Geospatial Program Geological Survey, 12201 Sunrise Valley Drive,

MS 510, Reston, Virginia 20192 Phone: (703) 648-5519

**Website Address:**

<http://www.usgs.gov> <http://www.nationalmap.gov>

**RELATED PROGRAMS:**

10.903 Soil Survey; 15.808 U.S. Geological Survey\_ Research and Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Support for numerous and varied State and local lidar and orthoimagery programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of expert geographers, cartographers, physical scientists and geodesists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the mission of the National Geospatial Program of the Geological Survey. Other factors include geographic location and areal extent, value to potential partners, technical qualifications of the recipients, amount of matching funds, and adherence to goals of the ARRA such as number of jobs created or retained. Applications will be funded only to the extent permitted by available funds.

**15.818 VOLCANO HAZARDS PROGRAM RESEARCH AND MONITORING.**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf Resource Management, 43 U.S.C 36(d); American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To advance the scientific understanding of volcanic processes and to lessen the harmful impacts of volcanic activity. The Volcano Hazards Program monitors active and potentially active volcanoes, assesses their hazards, responds to volcanic crises, and conducts research on how volcanoes work to fulfill a Congressional mandate (Public Law 93-288) that the USGS issue "timely warnings" of potential volcanic hazards to responsible emergency-management authorities and to the populace affected. During FY09 and FY10, the Volcano Hazards Program will provide funding under the American Recovery and Reinvestment Act of 2009 (ARRA) for equipment replacement and upgrades of seismic and other monitoring systems. The ARRA goals supported by this funding include the preservation and creation of jobs, advancement of scientific technology, and improvements in environmental protection. Further details on this funding will be available at [www.doi.gov](http://www.doi.gov) and [www.recovery.gov](http://www.recovery.gov).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting monitoring and research as specified in Public Law 93-288.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research and operations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision at OMB Circular A-110, Subpart C, \_\_.25 (e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Contracting officers are individuals who have been delegated in writing by the USGS Office of Acquisition and Grants as the sole authority designated to obligate Federal funds and create terms and conditions of awards. They are the only individuals

who have authority to negotiate, enter into, and administer awards resulting for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application form Standard Form (SF) 424 must be used. This program is subject to the provisions of OMB Circular No. A-110 and the Department of the Interior regulations at 43 CFR Part 12. The application requirements as contained in the Grants.gov announcement packages. Instructions for submitting applications are contained in each announcement package posted to [www.grants.gov](http://www.grants.gov). Applicants are to submit required documentation electronically at <http://www.grants.gov>. Links to USGS program announcements are available through [www.usgs.gov/contracts](http://www.usgs.gov/contracts).

**Award Procedure:**

Notification of an award is by a cooperative agreement document signed by a contracting officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established annually. The range of approval/disapproval time is from 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable except that application may be revised and resubmitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Recipients are encouraged to share in the cost of each research project.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years. Funds are released as required. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports covering 12 months of activities and final technical and financial reports are required and must be submitted electronically as described in the award package. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Progress reports covering 12 months of activities and final technical and financial reports are required and must be submitted electronically as described in the award package. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306 - TAFS code: 14-0803 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,600,000; FY 09 est \$2,000,000; FY 10 est \$2,000,000 - ARRA Funds: FY08 \$0.00; FY09 estimate \$3,290,500.00; and FY10 estimate \$3,290,500.00.

**Range and Average of Financial Assistance:**

\$20,000 to \$1,400,000; average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Volcano Hazards Program funds projects covering operation of seismic and geodetic monitoring networks, research on volcanic processes, and evaluation of regional and national volcanic hazards. During fiscal year 2008, 8 cooperative projects received funding. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Eichelberger Volcano Hazards Program Office, Geologic Discipline, Geological Survey, 904 National Center, Reston, Virginia 20192 Email: [jeichelberger@usgs.gov](mailto:jeichelberger@usgs.gov) Phone: (703) 648-6711 Fax: (703) 648-5483

**Website Address:**

<http://volcanoes.usgs.gov/>

**RELATED PROGRAMS:**

47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Alaska volcano monitoring and research; Pacific NW seismic monitoring; Yellowstone seismic monitoring; Kilauea seismic and geodetic monitoring. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey, and the goals of the Recovery Act (ARRA). For the latter these include the preservation and creation of jobs, advancement of scientific technology, and improvements in environmental protection. Applications will be funded only to the extent permitted by available funds.

**15.819 ENERGY COOPERATIVES TO SUPPORT THE NATIONAL COAL RESOURCES DATA SYSTEM (NCRDS)**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Public Health and Welfare, 42 U.S.C 15801; Public Lands, 43 U.S.C 31 et. seq.; Minerals, Lands and Mines, 30 U.S.C 208-1.

**OBJECTIVES:**

To collect, interpret, correlate, and evaluate coal and other solid fuel energy-related stratigraphic, chemical, and GIS data; to build and maintain national databases of coal-related stratigraphic and chemical data; to conduct research relative to coal and other solid fuel energy and apply knowledge gained to conduct resource assessments within the United States in order to further the understanding of energy resources within a global, geologic, economic and environmental context.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Additional specific objectives may be identified in the new five-year program announcement beginning FY 2010. Applications for proposals not covered by

at least one of the objectives are not solicited.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

None specific, although proposal should contain evidence of qualifications for performance of the work. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement packages and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts/>.

**Award Procedure:**

Notification of an award is by a grant or cooperative agreement document signed by the contracting office.

**Deadlines:**

Dec 01, 2009 to Dec 31, 2009: December 2009. Deadlines for proposals for fiscal year 2010 funding is anticipated in December 2009. Program announcement (anticipated 5-year cycle) will be for projects to start on July 1, 2010.

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewals for continuation of work may occur through the 5-year cycle (FY 2010 to FY 2014), subject to the availability of annual funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No statutory requirement. In order to gain the greatest leverage of limited Federal and State funds, each proposed State-originated program should indicate some State matching of direct- and indirect-cost dollars. Exceptions may be granted for ratios far below 1:1. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12 month budget periods, with the budget periods cumulative to the end of the total project period. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Annual financial reports, final technical and financial must be submitted as described in the award terms and conditions. Brief annual reports describing progress are also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations.

**Records:**

Cost records must be maintained separately for each award. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$500,000; FY 09 est \$500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

In FY 2009: \$10,000 - \$16,000; Average \$13,800. In FY 2010 estimated \$10,000- \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NCRDS has supported a partnering of States and USGS energy program since 1975. In FY 2008, 26 agencies in 23 States received funding for data collection and research support. A resulting coal stratigraphic database has nearly 370,000 points with over 5 million coded geologic units. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Tewalt Department of the Interior, US Geological Survey, Energy Resources Program, MS 911 National Center, Reston, Virginia 20192 Email: [stewart@usgs.gov](mailto:stewart@usgs.gov) Phone: 7036486437 Fax: 7036486419

**Website Address:**

[http://energy.er.usgs.gov/coal\\_quality/state\\_coops](http://energy.er.usgs.gov/coal_quality/state_coops)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 2008 (year 4 of 5 year cycle), 26 agencies were funded. Tasks included the following: collect stratigraphic records for coals resources, collect samples for paleontological dating or chemical characterization, and study the occurrence of coal bed methane and shale gas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A panel evaluates proposal to relevance to announced priorities, technical merit, and prospect of attaining program objectives.

**15.820 NATIONAL CLIMATE CHANGE AND WILDLIFE SERVICE CENTER**

(NCCWSC)

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008, Public Law 110-161, 43 U.S.C 36(d).

**OBJECTIVES:**

To develop mechanisms that will ensure that the National Climate Change and Wildlife Science Center is responsive to the research and management needs of Federal and State agencies by working with partners to provide science and technical support regarding the impacts of climate change in fish, wildlife, plants and ecological processes and the mechanisms for adaptation to,

mitigation of, or prevention of those impacts. Center activities will focus on providing national and regional habitat and population modeling and forecasting tools, integrating physical climate models with ecological models, assessing vulnerabilities and forecasting changes, and developing standardized approaches.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Building on standardized approaches developed at the level by the NCCWSC, Regional Climate Science Hubs are being developed according to the national strategy. National coordination of research and modeling at the regional Hubs will ensure uniformity of downscaling and forecasting models and standardized information to support management of fish and wildlife resources and regional partnership collaborations. The Hubs will develop Cooperative Agreements with qualified institutions to ensure the Center is responsive to national, ecoregional and local needs of Federal, State, Tribal and local partners.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subpart F, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts/>.

**Award Procedure:**

Appropriate award notification will be made by the USGS Contracting Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or Bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewals for continuation of work may occur through the five-year cycle of a cooperative agreement (FY 2010 to FY 2014) subject to the availability of annual funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Recipients are encouraged to share in the cost of each project.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12 month budget periods, with budget periods cumulative to the end of the total five-year project period. Annual renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual progress reports and a final technical report are required, and must be submitted as described in the award package. Cash reports are not applicable. Progress reports are not applicable. Quarterly Federal Financial Reports SF 425 and final reports must be submitted as described in the award package. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records shall be retained and made available for audit for three years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$7,500,000; FY 10 est \$11,250,000 - FY 2011 \$17,250,000.

**Range and Average of Financial Assistance:**

Range is \$26,000 to \$667,000; Average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Results of scientific activities are communicated to customers in academia, science and resource management agencies, and the general public through models, decision support tools, project reports and peer-reviewed scientific papers, web sites, databases, and meetings with stakeholders. Metrics of program success in past years have included the number of products including models, reports and publications; number of people accessing web sites; and the frequency of meetings with stakeholders. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Nadine Hartke, U.S. Geological Survey, MS 300 National Center, Reston, Virginia 20192 Email: [nhartke@usgs.gov](mailto:nhartke@usgs.gov) Phone: (703) 648-4607

**Website Address:**

<http://nccw.usgs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In 2008 and 2009, research projects were implemented to investigate the responses of fish, wildlife, birds and vegetation to climate change impacts of climate change on bird conservation in arid and semi-arid regions of North America, for example: (1) fate of endangered species in San Francisco Bay tidal marshes in response to sea level rise; (2) impacts of past and future stream temperature and flow changes on survival of endangered Atlantic salmon populations; (3) potential influence of climate change on the survival of at-risk native salmonids; and (4) influence of climate change on migration and feed-ground use by Rocky Mountain ungulate populations and impacts on vegetation.

**15.875 ECONOMIC, SOCIAL, AND POLITICAL DEVELOPMENT OF THE TERRITORIES**

**FEDERAL AGENCY:**

Office of Territorial and International Affairs, Department of the Interior

**AUTHORIZATION:**

The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188.

**OBJECTIVES:**

To promote greater self-sufficiency through the social, economic, and political development of the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the commonwealth of the Northern Mariana Islands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is limited to the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands as well as to organizations whose missions directly benefit these four territories. A notable exception is Compact Impact aid to Hawaii which is mandated by Public Law 108-188. Grant funds are provided for capital improvements, government operations, and technical assistance activities.

**Applicant Eligibility:**

Eligible applicants are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, as well as organizations whose missions directly benefit these four territories.

**Beneficiary Eligibility:**

Beneficiaries are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12 Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62, identifies Federal cost principles for determining allowable costs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for technical assistance grants may be submitted at any time. Directed assistance application procedures, which make up the majority of the Office of Insular Affairs' (OIA) financial assistance, vary depending on the purpose of the funding. For capital improvement funds, call letters are sent out annually requesting spending plans from the 4 U.S. territories while government operations awards are made automatically once the funds are appropriated by the U.S. Congress. Direct payments are provided in accordance with laws and reports for Virgin Islands Rum Excise Tax advances and Guam Section 30 Income Tax Collection advances.

**Award Procedure:**

A grant award is made to each territorial government entity in the specific amounts and for the specific purposes set forth in the annual Department of the Interior and Related Agencies Appropriation Act signed by the President.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: There are no formula requirements. The majority of OIA's financial assistance programs do not have a matching requirement. The two exceptions are the American Samoa Operations and Maintenance Set-Aside

Program, which has a 50% local match requirement, and OIA's Operations and Maintenance Improvement Program (OMIP). However, OMIP match requirements are left to the discretion of the grant manager and may be waived should the application warrant it.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for OIA grants is dependent on the activity to be funded and is specified in the grant terms and conditions. Payments are generally made through wire transfer arrangements. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Reports that are required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," must be submitted on a timely basis as specified in the grant terms and conditions. Final reports are due within 90 days of grant completion or termination. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants are also subject to inspection and audit by Interior's Office of the Inspector General, OIA staff, or any other authorized representative of the Federal government.

**Records:**

Record retention requirements are the same as those contained in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-0414-0-1-806; 14-0412-0-1-806.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$223,475,000; FY 09 est \$209,621,000; FY 10 est \$0 - FY 2010 estimate is not available.

**Range and Average of Financial Assistance:**

OIA financial assistance awards range from a few thousand dollars to tens of millions.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OIA financial assistance has enabled the U.S. territories to develop economically, socially, and politically thereby fostering their self-sufficiency. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faride Komisar Department of the Interior, Office of Insular Affairs, The Budget and Grants Management Division or the Technical Assistance Division, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: (202)208-6971 Fax: (202)208-7585

**Website Address:**

<http://www.doi.gov/oia>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operational support to the American Samoa Government and grants for the construction of basic infrastructure including roads, water systems, power, sewer, schools, and hospitals. Fiscal Year 2009: No Current

Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded: (1) Directed appropriations, (2) Availability of funds; and (3) Relevance to program priorities.

**15.931 CONSERVATION ACTIVITIES BY YOUTH SERVICE ORGANIZATIONS**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C 1f; Youth Conservation Corps Act, Public Law 103-82, 107 Stat. 850; American Recovery and Reinvestment Act of 2009 (Section 702), Public Law 111-5; Challenge Cost Share Agreement Authority, 110 Stat. 4199; Public Lands Corps Healthy Forests Restoration Act of 2005, Public Law 109-154, 119 Stat. 2891, 2893, 16 U.S.C 1701-1706, 1723; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009 (181,189), 16 U.S.C 1g; Youth Conservation Corps Act of 1970, Public Law 91-378.

**OBJECTIVES:**

To utilize qualified youth or conservation corps to carry out appropriate conservation projects which the Secretary is authorized to carry out under other authority of law on public lands. Work cooperatively with the NPS on cultural and natural resource related conservation projects such as trail development and maintenance, historic, cultural, forest and timber management, minor construction work, archaeological conservation, and native plant habitat restoration and rehabilitation. Promote and stimulate public purposes such as education, job training, development of responsible citizenship, productive community involvement, and further the understanding and appreciation of natural and cultural resources through the involvement of youth and young adults in care and enhancement of public resources. Continue the longstanding efforts of the NPS to provide opportunities for public service, youth employment, minority youth development and training, and participation of young adults in accomplishing conservation-related work. For Recovery Act funded projects and in addition to the program objectives above, Section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. For American Recovery and Reinvestment Act of 2009 (ARRA) funded projects the requirements will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

**Applicant Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources.

**Beneficiary Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources; Individuals/Families; Graduate Students; youth or corps located in a specific area that have a substantial portion of members who are economically physically, or educationally disadvantaged (Public Land Corps Act of 1993); General Public, specifically, young people, minority groups, social and economically disadvantaged individuals will benefit from the education and skill development in the area of conservation as well as instilling a conservation ethics.

**Credentials/Documentation:**

Documentation demonstrating that an organizations purpose is strongly related or solely for the purpose of youth/student education in a conservation oriented environment. Documentation supporting affiliation with The Corps Network, formerly The National Associate of Service and Conservation Corps, and Proof of past performance in the areas of resource management, conservation and cultural resources and assistance to youth. If applying as a nonprofit organization, proof of nonprofit status will be required. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines. Each organization submitting an application will be required to follow the Grants.gov registration requirements in advance of submitting an application. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants will be required to submit an Application, SF-424, and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

**Award Procedure:**

Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Yes. Renewals are available at the end of each term and will be negotiated between the awardee and the National Park Service.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Projects completed under the Public Land Corp (PLC) Act require a 25 percent nonfederal match for all entities except where an award is provided to a State government and on Indian Lands as defined in the PLC Act. A 20 percent match is required when using the PLC authority and providing assistance to a State government entity. Challenge Cost Share projects are required to follow the National Park Service's Challenge Cost Share Program Guidelines.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a Project basis. Most projects are two to three months in duration depending on complexity and other factors. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Additionally all organizations will be required to submit a yearly narrative summary accomplishments reports to the National Park Service WASO Youth Programs Office at the end of each Fiscal Year. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the regulations promulgated in 2 CFR Part 176 - Award Terms For Assistance Agreements that Include Funds Under the American Recovery and Reinvestment Act of 2009, Public Law 111-5. These reports will be made publicly available. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270 Request for Advance or Reimbursement, Standard Form 272 Federal Cash Transaction Report, and a quarterly submittal of Standard Form 269 the Financial Status Report as outlined in 2 CFR 215.52. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement. For ARRA funds, the provisions of 2 CFR, Part 176 apply.

**Account Identification:**

14-1035-1-1-303 - ARRA TAFS 14-1035 2009/2010; 14-1042-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,400,000; FY 09 est \$11,000,000; FY 10 est \$11,000,000 - Estimated \$10.4 million for FY 08. This amount includes a specific appropriation, and other fund sources identified at individual operating units of the NPS. NPS had one national cooperative agreement with a youth service corp provider, the Student Conservation Association and approximately \$7.1 million was provided in financial assistance. NPS has numerous regional and park-based cooperative agreements with other youth corp service providers.

**Range and Average of Financial Assistance:**

In FY 2008 the NPS spent \$4.1 million on 187 completed Public Lands Corp projects with an average dollar amount of \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 187 completed Public Land Corps projects for FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NPS Youth Programs at <http://www.nps.gov/youthprograms/index.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Alaska Region, Clara Wooden, 2525 Gambell Street, Room 107, Anchorage, AK 99503; Telephone: (907) 644-3416. Northeast Region, Frank Middleton, 14 Beacon Street, Room 503, Boston, MA 02108; Telephone: (617) 227-6537. Midwest Region, Nora Lehmer, 601 Riverfront Drive, Omaha, NE 68102; Telephone: (402) 661-1672; National

Capital Region Cynthia, Salter-Stith, 110 Ohio Drive S.W., Washington, DC 20242; (202) 619-7055, Intermountain Region, Carol J. Bennetts, 12795 West Alameda Parkway, Denver, CO 80225-0287; Telephone: (303) 969-2030, Southeast Region, Priscilla Nalls, Atlanta Federal Center, 100 Alabama Street S.W., Atlanta, GA 30303; Telephone: (404) 562-3103 Ext. 652, Pacific West Region, Sonya Capek, Seattle System Support Office, 909 First Avenue, Seattle, WA 98104; Telephone: (206) 220-4271.

**Headquarters Office:**

George McDonald National Park Service, 1201 I Street, N.W., Washington, District of Columbia 20005 Email: [george\\_mcdonald@nps.gov](mailto:george_mcdonald@nps.gov) Phone: (202)513-7146 Fax: (202) 371-2263

**Website Address:**

<http://www.nps.gov/youthprograms/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Wilderness Restoration Program Removal and ecological restoration of inappropriate campsites, the removal of invasive non-native plants, and the obstruction and ecological restoration of multiple trail ruts. Work tasks include: hand pulling of invasive plants, placement of obstructions in trail ruts, fire-ring and charcoal dispersal, obstruction of the site through the placement of logs and rocks, decomposition of the soil and the placement of locally generated organic material. The goal of this project is to facilitate the return of natural processes in areas affected by humans. 2-month duration (2) Ranger Assistance Provide hiking and Leave No Trace camping information to visitors in the field and at the park visitor center; issue backcountry permits; assist backcountry rangers on a variety of projects; patrol backcountry on foot; assist with search and rescue and/or supervise groups of volunteers on short work projects in the backcountry. 3-month duration (3) Restoration and Conservation Project Take the lead in the reclamation of an abandoned mine; prepare the site with erosion control textile and assist in the development of methods to mitigate acidity levels in the soil; conduct site preparation and eventual revegetation. 3-month duration (4) Cultural Resource Project Conduct research, participate in meeting and develop a narrative history of a Historic Site. 2-month duration (5) Resource Management Assist park conservation staff in historic building structural rehabilitation; maintain the historic appearance of the structure; assist with sheep habitat restoration, 6-month duration. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Qualifications of the organization or institution; (2) The Secretary may give preference to qualified youth or conservation corps located in a specific area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area. The Secretary may give preference to qualified youth or conservation corps located in a specific geographic area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area; (3) Past performance in the area of youth conservation corps activities; (4) Organizations ability to reach undeserved and disadvantaged population groups; (5) Offering meaningful, full-time, productive work for individuals between the ages of 15 and 25 in a natural or cultural resource setting; (6) Giving participants a mix of work experience, basic and life skills, education, training, and support service; and (7) Providing participants with the opportunity to develop citizenship values and skills through service to their community and the United States.

**15.932 PRESERVATION OF HISTORIC STRUCTURES ON THE CAMPUSES OF HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCUS).**

**FEDERAL AGENCY:**

Department of the Interior

**AUTHORIZATION:**

Executive Order Executive Order 12232, White House Initiative on HBCU's; National Historic Preservation Act , U.S.C 101.3.e.b; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

Provides assistance to restore those historic structures on HBCU campuses considered to be the most historically significant and physically threatened the likelihood of loss of the structure if work was not performed as soon as possible to save it. Program was established in direct response to the needs of many of historically black colleges and universities, which were presented with critical rehabilitation needs, but lacked the resources to repair these buildings. For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the preservation and restoration of properties listed in the National Register of Historic Places. All work must comply with the Secretary of Interiors Standards for Treatment of Historic Properties.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

National Register listing of properties for which grant assistance be being applied. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A completed SF-424 Application Federal Assistance.; A concise history of building and its significance. High quality photographs that clearly depict the present condition of the building (interior and exterior). Photographs should include details of architectural character defining elements of the property, including doors, windows, roof, porches, lobby, corridors, decorative elements, fireplaces, and any additional features addressed in the proposed preservation project.; A copy of the National Register of Historic Places.; and Any available architectural analysis and/or assessment of the building.

**Award Procedure:**

Applications and accompanying documentation are reviewed by the NPS Cultural Resources staff for program eligibility. Their recommendations are approved by the Secretary of Interior through and apportionment process. Grants are awarded by NPS directly to HBCUs.

**Deadlines:**

Apr 10, 2009

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be requested by grant recipients within interim progress reports.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time is 2 to 3 years. Assistance is released on a reimbursable basis as costs are incurred. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Annual interim progress reports and financial reports (SF 425); Final project report and financial report. Projects under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions and in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Annual interim progress reports and financial reports (SF 425); Final project report and financial report. Projects under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions and in announcement packages at [www.grants.gov](http://www.grants.gov). Annual interim progress reports and financial reports (SF 425); Final project report and financial report. Projects under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions and in announcement packages at [www.grants.gov](http://www.grants.gov). Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations..

**Account Identification:**

14-5541-1-2-303 - TAFS 14-09/10-5541.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$15,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Minimum award \$100,000; Maximum award \$2.5 million; and Average \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: It is anticipated that 150 applications will be received and 35 awards will be granted in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12; HPF Grants Manual [http://www.nps.gov/history/hps/HPG/HPF/HPF\\_Manual.htm](http://www.nps.gov/history/hps/HPG/HPF/HPF_Manual.htm); Secretary of Interiors Standards for the Treatment of Historic Properties.

**Regional or Local Office:**

See Regional Agency Offices. Linda Hall, NPS SERO, (404) 507-5779.

**Headquarters Office:**

Historic Preservation Grants Division Historic Preservation Grants Division, National Park Service, 1849 C Street, N.W., (Org. code 2256), Washington, District of Columbia 20240 Email: [preservation\\_grants\\_info@nps.gov](mailto:preservation_grants_info@nps.gov) Phone: (202)354-2020

**Website Address:**

<http://www.nps.gov/history/hps/hpg/hbcu/index.htm>.

**RELATED PROGRAMS:**



Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Roof replacement on National Register listed dormitory on HBCU campus; Repair of historic siding on National Register listed academic building on HBCU campus; Weatherproofing and foundation repair on Presidents House on campus HBCU; Upgrade of HVAC an Fire prevention systems to historic buildings listed in the National Register on HBCU campus; and Preservation of Interior plaster finishes in historic buildings listed in the National Register on HBCU campus; Preservation of Interior plaster and finishes in historic buildings listed in the National Register on HBCU campus. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

: Properties of major historical and architectural significance; Properties retaining architectural integrity (the building has not been so altered as to have lost its historic appearance.); Properties demonstrating the most critical need for immediate intervention to correct structural and safety defects in order to preserve the building.; Applicants demonstrating the ability to complete the project successfully within the established timeline. The timeline shall indicate the start and completion dates for each activity (planning and design, general conditions, mobilization, site preparation, etc.) and the scope of work for the project. The timeline shall strictly adhere to the following guidelines: (1) The project must begin within six months after the grant agreement has been signed.

If activities have not begun in accordance with the approved project time line the grant will be suspended or terminated and the funds recaptured by the National Park Service.; (2) 50 percent of the total project shall be completed within 18 months after the signing of the grant agreement (including planning, design, and construction).; and 3. The project scope of work must be completed within 3 years of the start date of the grant agreement. Planning and design shall be completed within 1 year maximum and the construction phase shall be completed within 2 years maximum. The proposed cost estimates for the preservation of historic properties must be eligible activities under the Historic Preservation Fund (HPF), and appear reasonable and necessary for the proposed work. The grant application must be received by NPS by the announced deadline. The proposed plan for intervention of the historic structure should be a technically well planned proposal and the proposed work likely to achieve a quality treatment of historic structure in order to receive a grant.

**15.933 PRESERVATION OF JAPANESE AMERICAN CONFINEMENT SITES**

Japanese American Confinement Sites Grant Program

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Preservation of Japanese American Confinement Sites Act, Public Law 109-441, 120 Stat. 3288, 16 U.S.C 461.

**OBJECTIVES:**

Provides for the preservation and interpretation of historic confinement sites where Japanese Americans were detained during World War II. The program was established to encourage projects that identify, research, evaluate, interpret, protect, restore, repair, and acquire historic confinement sites in order that present and future generations may learn and gain inspiration from these sites and that these sites will demonstrate the Nation's commitment to equal justice under the law.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Japanese American Confinement Sites grant funds may be used for identifying, researching, evaluating, interpreting, protecting, restoring, repairing, and acquiring historic confinement sites where Japanese Americans were detained during World War II as authorized by the Preservation of Japanese American Confinement Sites Act of 2006. These historic confinement sites are defined as the ten War Relocation Authority internment camps (Gila River, Granada, Heart Mountain, Jerome, Manzanar, Minidoka, Poston, Rohwer, Topaz, and Tule Lake), as well as other historically significant locations, as determined by

the Secretary of the Interior, where Japanese Americans were detained during World War II. These sites are specifically identified in Confinement and Ethnicity: An Overview of World War II Japanese American Relocation Sites, published by the Department of the Interior, National Park Service, Western Archaeological and Conservation Center, in 1999.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicant must submit proof of applicant's governmental, non-profit or institutional status; a letter from the owner giving consent to the grant applicant as the grantee of record to undertake work on the property or collection (if applicable); and a federally approved Indirect Cost Rate Agreement (if applicable). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Annual announcements will provide detailed information on procedures and submission requirements. Required forms include the SF 424 Application for Federal Assistance, SF LLL Lobbying Activities, SF 424 A Budget Information, Non-Construction Programs, SF 424B Assurances, Non-Construction Programs, SF 424 C Budget Information, Construction and SF 424 D Assurances, Construction.

**Award Procedure:**

Eligible applications and accompanying documentation will be reviewed by the Japanese American Confinement Sites Grants Selection Panel, a panel of Federal agency experts representing applicable preservation, history, education, and conservation disciplines. The panel will provide recommendations to the Secretary of the Interior for final project selection. The panel's recommendations will be approved by the Secretary of Interior through an apportionment process. Grants will be awarded by NPS directly to selected grantees. The NPS and grant recipient will execute a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula. Match requirement: Each grant requires a 2:1 Federal to non-Federal match; that is, to receive two dollars of Federal funds at least one dollar non-Federal match is required. The match may be composed of cash or in-kind contributions. The non-Federal match may be raised and spent during the grant period; it does not have to be "in the bank" at the time of the application. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1-2 years will be the typical duration of funded awards. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim Progress Report every six months during the grant period. Initial Progress Report six months from the beginning date of the grant agreement. Final Report to be submitted within 90 days of the end of the grant agreement. SF

425 Financial Report as specified in the award and SF 270, Request for Advance or Reimbursement must be submitted to the NPS Grant Awarding Official for approval of payment requests. Final financial reports must be submitted. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All records must be maintained for three years after submission of the final reports.

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$1,000,000; FY 10 est \$1,000,000 - Congress authorized up to \$38 million for the grant program.

**Range and Average of Financial Assistance:**

Minimum \$5,000; No maximum amount set for fiscal year 2009; and average is to be determined. It is anticipated that 30 to 40 applications will be received and 10 to 15 awards will be granted in fiscal year 2009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior Administrative, Audit Requirements and Cost Principles for Assistance Programs, 43 CFR Part 12.

Japanese American Confinement Sites Grant website:  
<http://www.nps.gov/history/hps/HPG/JACS/index.html>

**Regional or Local Office:**

See Regional Agency Offices. Kara Miyagishima, NPS - Intermountain Regional Office, Phone (303)969-2885, Email [Kara\\_Miyagishima@nps.gov](mailto:Kara_Miyagishima@nps.gov).

**Headquarters Office:**

Kara Miyagishima National Park Service - Intermountain Regional Office, 12795 W. Alameda Parkway, Lakewood, Colorado 80228 Email: [Kara\\_Miyagishima@nps.gov](mailto:Kara_Miyagishima@nps.gov) Phone: (303) 969-2885

**Website Address:**

<http://www.nps.gov/history/hps/hpg/JACS/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No projects have been funded as of yet since FY 2009 is the first year of the program. Types of projects that maybe funded: Projects must benefit one or more historic Japanese American confinement sites. Project categories include:

Capital Projects: including construction of new interpretive centers, restrooms, and interpretive trails.

Documentation: including identification, research, and evaluation of historic sites; projects may include archaeological surveys; National Register of Historic Places nominations; and National Historic Landmark nominations. Oral history interviews: including recording, transcribing, digitally processing, and sharing the interviews.

Interpretation and education related to historic confinement sites: projects may include wayside exhibits, creative arts and educational curricula.

Preservation of confinement sites and related historic resources: projects may include stabilization, rehabilitation, restoration, acquisition, relocation of historic buildings and structures to their original locations, reconstruction of key structures, and collections conservation.

Planning projects: such as interpretive plans for new exhibits and programs, land use plans, and resource management plans.

Non-Federal real property acquisition: allowed only with the owner's written permission at only Jerome, Rohwer, Topaz, and Honouliuli, per stipulations of Public Law 109-441. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. What need does the project address?
  - a. How does this project address a critical issue?
  - b. How will the project increase public awareness and understanding of the Japanese American World War II confinement sites?
  - c. How will the project preserve or improve the conditions of Japanese American World War II confinement site resources?
2. What impact will the project have and how will the impact be measured?
3. What is the long-term impact of the project and how will the project be sustained?
4. How feasible is the project and does the applicant demonstrate the ability to successfully complete the project?
  - a. Is the project cost effective?
  - b. Does the applicant demonstrate an ability to complete the project in a timely, cost effective, and professional manner, ensuring that laws and standards are met?
  - c. Has adequate planning been completed for the project?
5. How much support and participation does the project have from former internees, stakeholders, or the general public?.

**15.934 ABANDONED MINE HAZARD MITIGATION**

Cleanup Of Abandoned Mine Sites On Park Lands/Abandoned Mine Land Mitigation

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Consolidated Natural Resources Act of 2008, Title III, Section 301, Public Law 110-229, 122 Stat. ; Conservation, 16 U.S.C 1g.

**OBJECTIVES:**

Mitigate mine hazards on park lands or effectively nearby state, federal or local land. An estimated 3,100 AML sites with 8,400 individual features exist in 127 units of the National Park System. AML features include deep underground mine openings, surface mine pits, and unplugged orphaned oil and gas wells. AML sites often pose severe human safety hazards, environmental contamination, and usually have disturbances to land, vegetation and related ecosystems. AML sites often provide critical habitat for protected and/or sensitive wildlife species such as bats and desert tortoise. Many AML sites are protected cultural sites. The AML Program mitigates AML sites throughout the national park system. Mitigation can involve: "bate gate" installation, plugging mine openings with polyurethane foam and earthen backfill, and site restoration through reshaping the land surface and planting native vegetation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

For ARRA funded projects the requirements of the American Recovery and Reinvestment Act of 2009 will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents. Applicant entity must have expertise in hazard mine mitigation in natural areas or research support for remediation plan development.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Examples of prior work in technical area of mine mitigation in natural areas or specific resource expertise to develop mitigation plans. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A completed SF 424 Application for Federal Assistance and other material are required by the Funding Opportunity Announcement - these will be announced upon funding availability and project needs. The standard application forms required by 43 CFR Part 12, Subparts C and F, must be used. Applications will be made available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. The National Park Service will make awards based on mission needs and priorities. Renewals are contingent upon available appropriations to the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis and released on a reimbursable basis as costs are incurred. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial reports SF-425 will be required in conjunction with requests for Reimbursement SF-270. The requirements for interim and final reports will be specified in the agreement. Recipients of ARRA funded agreements will be required to report the performance progress on a quarterly basis within ten (10) calendar days of the end of the quarter. Current user registration and instructions is provided at [Recovery.gov](http://Recovery.gov). Recipients are required to report data directly into [www.FederalReporting.gov](http://www.FederalReporting.gov). If sub-recipients are in receipt of these funds, additional information will be required by the recipient to report the data in [www.FederalReporting.gov](http://www.FederalReporting.gov) regarding the sub-recipient. These reports will be made publicly available.

**Audits:**

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

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and 2 CFR Part 176 for ARRA funded projects.

**Account Identification:**

14-1401-1-1-303 - TAS 1409/101041.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$4,000,000; FY 10 est \$7,000,000 - FY 2011 projected projects total \$500,000.

**Range and Average of Financial Assistance:**

\$11,000 to \$1.4 million. It is anticipated that 25 projects will receive assistance in 2009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior regulations regarding financial assistance is 43 CFR Part 12.

**Regional or Local Office:**

None. Dave Steensen, Geologic Resource Division, National Park Service, Denver Colorado.

**Headquarters Office:**

Dave Steensen National Park Service, Geologic Resource Division, Abandoned Mine Land Program, National Resource Program Center, P.O. Box 25287, Denver, Colorado 80225-0287 Email: [Dave\\_Steensen@nps.gov](mailto:Dave_Steensen@nps.gov) Phone: (303)969-2014

**Website Address:**

<http://www.nature.nps.gov/geology/aml/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Seal Mine and Remove Hazardous Structures to Improve Visitor Safety; Close Hazardous Mine to Improve Visitor Safety and Restore Natural Landscape; and Install Gate to Protect Visitors and Preserve Habitat at Remote Locations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For ARRA funded projects, the evaluation criteria also address the following priorities established for Title IV: (a) Programs, projects, or activities that can be obligated and executed quickly; (b) Programs, projects, or activities that will result in high, immediate employment; (c) Programs, projects, or activities that have little schedule risk; (d) Programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and (e) Programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding.

In addition, the project will meet the guidelines established by the NPS AML program. These guidelines are available at Handbook for Remediation of Abandoned Mineral Lands. The proposed cost estimates for the mine mitigation under the abandoned mine land assistance should appear reasonable and necessary for the proposed work. The proposal must be received by NPS by the announced deadline. The proposed agreement for mitigation of abandoned mine lands should be a technically well planned proposal and the proposed work likely to achieve a quality mitigation procedure in order to receive the assistance.

**15.935 NATIONAL TRAILS SYSTEM PROJECTS****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; The National Trails System Act, 16 U.S.C 1241-51.

**OBJECTIVES:**

To preserve, protect, and develop the components of the National Trails System, with a strong emphasis on volunteer involvement. The Secretary may

enter into written cooperative agreements to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area.

The Secretary may provide financial assistance to encourage participation in the acquisition, protection, operation, development, or maintenance of such trails.

For American Recovery and Reinvestment Act projects additional objectives include: To preserve and create jobs and promote economic recovery; To assist those most impacted by the recession; To provide investments needed to increase economic efficiency by spurring technological advances in science and health; To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and To stabilize State and local governments budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funding is to be used by States or their political subdivisions, landowners, private organizations, or individual to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area. Such agreements may include provisions for limited financial assistance to encourage participation in the acquisition, protection, operation, development or maintenance of such trails. The NPS shall also initiate consultations with affected States and their political subdivisions to encourage (A) the development and implementation by such entities of appropriate measures to protect private landowners from trespass resulting from trail use and from unreasonable person liability and property damage caused by trail use, and (B) the development and implementation by such entities of provisions for land practices compatible with the purposes of this Act, for property within or adjacent to trail rights-of-way. After consulting with States and their political subdivisions under the preceding sentence, the Secretary may provide assistance to such entities under appropriate cooperative agreements in the manner provided by this subsection. The availability of discretionary funding is determined by individual trail units each fiscal year.

#### **Applicant Eligibility:**

State, Local, Interstate, Intrastate, Federally Recognized Indian Tribes, Individual/Family, Native American Organizations.

#### **Beneficiary Eligibility:**

Interstate, Intrastate, State, Local, Federally Recognized Indian Tribal Governments, Individual/Family, Profit Organization, Anyone/general public.

#### **Credentials/Documentation:**

Documentation of ownership of the subject property is required of all applicants in the form of a registered deed or presentation of the most recent tax bill. All applicants other than individual property owners are required to cite laws or bylaws that authorize the organization to accept funds. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance and other required documentation. The announcement will be published on [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

A proposal for financial assistance can start with a letter of intent to the National Park Service office servicing the agreement. Or, direct face to face negotiations can result in NPS framing the agreement for later review and ratification by the receiving party. Before the agreement is finalized, it should include a detailed budget breakdown for each work element. The mutually agreed-upon cooperative agreement is reviewed within NPS and submitted to the appropriate Departmental Offices for approval. Once the agreement is approved and signed by a qualifying NPS contracting official, the work outlined in the agreement can begin.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Generally 30 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. When trail base funds are available through these cooperative agreements, this program has no matching requirements. When funds are made available from the NPS Challenge Cost-Share program, if the project will be credited to that program, at least a 50-50 non-Federal match is required. Such matches can include in-kind services, volunteer hours, and other non-monetary services. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Cooperative Agreements generally have a period of performance of up to five years. Funding availability and source will be a factor in determining the length of assistance. Reimbursement is accomplished as outlined in the proposal and subsequent agreement based on the particular project requirements. See the following for information on how assistance is awarded/released: Not available.

#### **Reports:**

All organizations will be required to submit a minimum of a yearly narrative summary accomplishments reports to the National Park Service in accordance with the terms of the agreement. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the reporting requirements as described in 2 CFR Part 176 -Award Terms for Assistance Agreements That Include Funds Under the American Recovery and Reinvestment Act of 2009. Requirements for reporting the use of awarded ARRA funds are found at [www.Recovery.gov](http://www.Recovery.gov) and will be incorporated into the agreement. Recipients must register and report on the use of awarded funds at [www.FederalReporting.gov](http://www.FederalReporting.gov). These reports will be made publicly available. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 Federal Financial Report. Performance monitoring is not applicable.

#### **Audits:**

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

#### **Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years submission for final request for reimbursement. For ARRA funds, the provisions of 2 CFR 176 apply.

#### **Account Identification:**

14-1035-1-1-303 - TAFS 1409/101035; TAS 14-1036-0-1-303.

#### **Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$4,700,000; FY 10 est \$0 - FY 2010

awards will depend on individual trail budgets. Currently the estimate for FY 2010 is not available.

**Range and Average of Financial Assistance:**

Range of awards \$1,000 to \$1 million. Average award \$96,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2009, the products and services resulting from this program's cooperative agreements were diverse in response to the conditions and needs of each trail. They include wayside exhibits and interpretive displays, an archaeological survey, student interns, conference sponsorship, National Trails Day events, documentary films, database updating, and promotion of A Decade for the National Trails 2008-2018. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Government-wide Guidance located at 2 CFR Part 12; Department of Interior Regulations regarding financial assistance located at 43 CFR Part 12, Guidance <http://www.nps.gov/nts/index.htm>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Steve Elkinton National Park Service, National Trails, 1849 C Street, Washington, District of Columbia 20240 Email: [steve\\_elkinton@nps.gov](mailto:steve_elkinton@nps.gov) Phone: (202) 354-6938

**Website Address:**

<http://www.nps.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Sponsorship of the 12th National Conference on National Scenic and Historic Trails, held in Missoula, MT, July 2009. An archaeological survey of a Revolutionary War mustering ground along the Overmountain NHT in Virginia. Scoping plan for a multi-million dollar public television series about the National Trails System. Updating of the web-based database for National Recreation Trails. Programmatic support for a coalition of groups involved with the National Historic Trail Preservation Initiative. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

These criteria may vary somewhat from region to region. Fosters components of the National Trails System. Helps local trail office carry current program objectives. Helps complete work started in previous years. Enhances public understanding and appreciation of a trail or the entire Trails System. Can be accomplished within the next year.

**15.936 SHENANDOAH VALLEY BATTLEFIELDS NATIONAL HISTORIC DISTRICT BATTLEFIELD ACQUISITION AND PROTECTION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Shenandoah Valley Battlefields National Historic District and Commission Act of 1996, 16 U.S.C 410 iii-10; 11.

**OBJECTIVES:**

The Shenandoah Valley Battlefields National Historic District and Commission Act established both the District and the Shenandoah Valley Battlefields National Historic District Commission (Commission). The District is comprised of Augusta, Clarke, Federick, Highland, Page, Rockingham, Shenandoah, and Warren counties, and the independent cities of Harrisonburg, Staunton, Winchester, and Waynesboro, as well as ten battlefields and a number of historically important transportation routes. To implement the provisions of the authority the Act pertaining to acquiring lands or interests in lands from willing sellers within the boundaries of Shenandoah Valley Battlefields National Historic District in the Commonwealth of Virginia.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This program will carry out the implementation of Section 606 of Public Law 104-333, which will result in the acquisition of lands or interest in lands from willing sellers for battlefield protection within the established boundaries of the Shenandoah Valley Battlefields National Historic District.

**Applicant Eligibility:**

Public nonprofit institution/organization (includes institutions of higher education and hospitals)-Recreation (includes Historic Preservation), Other private institutions/organizations-Recreation (includes Historic Preservation).

**Beneficiary Eligibility:**

Anyone/general public.

**Credentials/Documentation:**

The applicant will ensure that qualified professionals are used to conduct the appraisals in accord with the Uniform Appraisal Standards for Federal land Acquisition, which may be provided to the NPS for review and approval by a qualified review appraiser prior to initiation of negotiation; current title report; approved Phase I Environmental Site Assessment report; contract of sale; a map showing land or interest in lands to be acquired located within the area generally depicted on the map entitled "Shenandoah Valley National Battlefields," numbered SHVA/80,000, dated April 1994. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance and other required documentation. The procedures will be outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

**Award Procedure:**

The Shenandoah Valley Battlefields National Historic District Final Management Plan identifies the Foundation, as successor to the Commission, as the management entity responsible for land acquisition within the core areas of the Shenandoah Valley Battlefields National Historic District.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on an annual project basis. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

All organizations will be required to submit a minimum of a yearly narrative summary accomplishments reports to the National Park Service in accordance with the terms of the agreement. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form, 270 Request for Advance or Reimbursement, and a quarterly

submission of Standard Form 425 the Financial Report . Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records, supporting documents, and statistical records pertinent to the grant shall be retained in accordance with 43 CFR Part 12 for a period of three years; the deed or other instrument of property rights transfer and the survey for each parcel acquired shall be retained in perpetuity.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Project Grants) FY 08 \$1,665,488; FY 09 est \$493,000; FY 10 est \$1,639,498 - Land and Water Conservation Fund appropriations.

**Range and Average of Financial Assistance:**

Awards vary greatly based on appraised land value, generally from \$0 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To date, the program has resulted in the acquisition of land or interest in land valued at nearly \$8 million throughout the Shenandoah Valley Battlefields National Historic District. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior Financial Assistance Regulations at 43 CFR Part 12; the Shenandoah Valley Battlefields National Historic District Final Management Plan, September 2000. Map entitled Shenandoah Valley Battlefields, numbered SHVA/80,000, dated April 1994. Appraisals will be conducted in accordance with the Uniform Appraisal Standards for Federal Land Acquisition.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Donald T. King, National Park Service, National Trails Land Resources Program Center, 1314 Edwin Miller Boulevard, P.O. Box 908, Martinsburg, West Virginia 25402-0908 Email: donald\_t\_king@nps.gov;joe\_sobinovskiy@nps.gov Phone: (304) 263-4993.

**Website Address:**

http://www.nps.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Successful acquisition of land or easements in several of the ten battlefield areas within the established boundaries of the Shenandoah Valley Battlefields National Historic District as defined in Public Law 104-333. Examples include: At Cedar Creek: Whitham fee acquisition for \$380,000; Fair Meadows fee acquisition for \$350,000; and Fair Meadows fee acquisition for \$270,000; Hudson fee acquisition for \$1,615,488. At Cross Keys: Downs fee acquisition for \$140,000 and Marsh fee acquisition for \$100,000. At Fisher's Hill: Aaron fee acquisition for \$205,000 and Brill easement acquisition for \$129,000. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Shenandoah Valley Battlefields National Historic District Final Management Plan identifies the Foundation, as successor to the Commission, as the management entity responsible for land acquisition within the core areas of the Shenandoah Valley Battlefields National Historic District.

**DEPARTMENT OF JUSTICE**

**16.001 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS\_LABORATORY ANALYSIS**

**FEDERAL AGENCY:**

Drug Enforcement Administration, Department of Justice

**AUTHORIZATION:**

Comprehensive Drug and Abuse Prevention and Control Act of 1970.

**OBJECTIVES:**

To provide technical assistance to duly constituted state, county, and municipal law enforcement agencies regarding specialized forensic examinations involving drug evidence.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

DEA laboratories will conduct specialized forensic chemical analysis and examinations involving drug evidence for duly constituted state, county, and municipal law enforcement agencies on an as needed basis, in accordance with DEA policy and procedures. This service supplements but does not replace services provided by state, county, or municipal laboratories. The agencies/laboratories requesting the service must not have the capability of conducting the examination(s) requested. Examinations are made with the understanding that the evidence is connected with an official investigation of a criminal matter related to the mission of the DEA, and that the resulting laboratory report will be used only for official purposes related to the investigation or subsequent prosecution. Laboratory services and follow-up court testimony, if required, will be provided free of cost to agencies. DEA will assist state, county, and municipal agency laboratories with the training of their forensic chemists, as necessary and where appropriate. NOTE: THIS IS NOT A GRANT PROGRAM. NO FUNDING IS AVAILABLE.

**Applicant Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Credentials/Documentation:**

A formal written request is required from an appropriate official of the requesting law enforcement agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter on official letterhead to the Director of the DEA Laboratory which services the regional area where the agency is located; or to DEA Headquarters, Washington, DC 20537; Attn: Deputy Assistant Administrator, Office of Forensic Sciences.

**Award Procedure:**

Note: This is not a grant program. No funding is available.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$4,538,182; FY 09 est \$4,010,235; FY 10 est \$4,411,013

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 5,353 State and local exhibits were analyzed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please contact the field laboratories of the DEA; see Appendix IV of the catalog for a list of addresses.

**Headquarters Office:**

Office of Forensic Sciences 8701 Morrisette Drive, Springfield, Virginia  
22152 Phone: (202) 307-8866

**Website Address:**

<http://www.dea.gov>.

**RELATED PROGRAMS:**

16.301 Law Enforcement Assistance\_FBI Crime Laboratory Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.003 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS TECHNICAL LABORATORY PUBLICATIONS**

(Microgram)

**FEDERAL AGENCY:**

Drug Enforcement Administration, Department of Justice

**AUTHORIZATION:**

Comprehensive Drug Abuse Prevention and Control Act of 1970.

**OBJECTIVES:**

To disseminate scientific information on the detection and analysis of narcotics and dangerous drugs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

To provide current information on detection and analysis of narcotics and dangerous drugs.

**Applicant Eligibility:**

Forensic laboratories or scientists doing work for law enforcement agencies.

**Beneficiary Eligibility:**

Forensic laboratories or scientists doing work for law enforcement agencies.

**Credentials/Documentation:**

The applicant must apply on official letterhead of a law enforcement agency.  
This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter on official letterhead to DEA Headquarters, DC 20537; ATTN: Deputy Assistant Administrator, Office of Forensic Sciences.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$2,500; FY 09 est \$850; FY 10 est \$900

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2008, 12 Micrograms Bulletin issues and two Microgram Journal issues were published. Since the publications are currently available on the internet, the issues are no longer disseminated via U.S. Mail. Approximately 1.5 million page views were made on the Microgram site, <http://www.usdoj.gov/program/forensics/microgram/index.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Forensic Sciences 8701 Morrisette Drive, Springfield, Virginia  
22152 Phone: (202) 307-8866

**Website Address:**

<http://www.dea.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.004 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS TRAINING**

**FEDERAL AGENCY:**

Drug Enforcement Administration, Department of Justice

**AUTHORIZATION:**

Comprehensive Drug Abuse Prevention and Control Act of 1970.

**OBJECTIVES:**

To acquaint appropriate professional and enforcement personnel with (1) techniques in the conduct of drug investigations; (2) aspects of physical security in legitimate drug distribution; (3) techniques in analysis of drugs for evidential purpose; (4) pharmacology, socio-psychological aspects of drug abuse, drug education, and; (5) management and supervisory training for drug unit Commanders.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

For use by accredited members of agencies or organizations involved in the control of drug abuse or regulation of the drug industry.

**Applicant Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Beneficiary Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Credentials/Documentation:**

The applicant must furnish suitable credentials. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter or a pre-printed application to the Divisional Office in the area or to the DEA Office of Training.

**Award Procedure:**

By written communication to applicant (teletype, letter, etc).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$3,371,843; FY 09 est \$3,507,543; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Office of Training provided training to 46,942 state and local officers in FY 2008. Fiscal Year 2009: The Office of Training projects approximately 36,685 state and local officers to be trained in FY 2009. Fiscal Year 2010: The FY 2010 budget process is currently in progress, so the Office of Training has not been informed of approved funding levels for training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See the list of regional offices of the DEA in the Catalog address Appendix IV.

**Headquarters Office:**

Office of Training P.O. Box 1475, Quantico, Virginia 22134-1475 Phone: (703) 632-5141 Fax: (703) 632-5167

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.013 VIOLENCE AGAINST WOMEN ACT COURT TRAINING AND IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 105, Public Law 109-162, 42 U.S.C. 14043a.

**OBJECTIVES:**

To improve court responses to adult and youth domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purposes: (1) improved internal civil and criminal court functions, responses, practices, and procedures; (2) education for court-based and court-related personnel on issues relating to victims' needs, including safety, security, privacy, confidentiality, and economic independence, as well as information about perpetrator behavior and best practices for holding perpetrators accountable; (3) collaboration and training with Federal, State, tribal, territorial, and local public agencies and officials and nonprofit, nongovernmental organizations to improve implementation and enforcement of relevant Federal, State, tribal, territorial,



and local law; (4) enabling courts or court-based or court-related programs to develop new or enhance current -- (A) court infrastructure (such as specialized courts, dockets, intake centers, or interpreter services); (B) community-based initiatives within the court system (such as court watch programs, victim assistants, or community-based supplementary services); (C) offender management, monitoring, and accountability programs; (D) safe and confidential information-storage and -sharing databases within and between court systems; (E) education and outreach programs to improve community access, including enhanced access for underserved populations; and (F) other projects likely to improve court responses to domestic violence, dating violence, sexual assault, and stalking; and (5) providing technical assistance to Federal, State, tribal, territorial, or local courts wishing to improve their practices and procedures or to develop new programs.

**Applicant Eligibility:**

Federal, State, tribal, territorial, or local courts or court-based programs; and national, State, tribal, territorial, or local private, nonprofit organizations with demonstrated expertise in developing and providing judicial education about domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Courts and nonprofit organizations.

**Credentials/Documentation:**

Applicants must certify in writing that: (A) any courts or court-based personnel working directly with or making decisions about adult or youth parties experiencing domestic violence, dating violence, sexual assault, and stalking have completed or will complete education about domestic violence, dating violence, sexual assault, and stalking; (B) any education program developed under section 14043 of this title has been or will be developed with significant input from and in collaboration with a national, tribal, State, territorial, or local victim services provider or coalition; and (C) the grantee's internal organizational policies, procedures, or rules do not require mediation or counseling between offenders and victims physically together in cases where domestic violence, dating violence, sexual assault, or stalking is an issue. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Information regarding length of awards will be included in an Application Kit for the program. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$1,900,000; FY 10 est \$2,090,000

**Range and Average of Financial Assistance:**

Range: \$900,000 - \$1,000,000  
Average: \$950,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Awards: 54.  
Fiscal Year 2010: Awards: 54.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia  
20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

#### **16.014 ENGAGING MEN AND YOUTH IN PREVENTING DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING**

##### **FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

##### **AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IV, Section 401, Public Law 109-162, 42 U.S.C. 13033d-4.

##### **OBJECTIVES:**

To develop or enhance programs related to engaging men and youth in preventing domestic violence, dating violence, sexual assault, and stalking by helping them to develop mutually respectful, nonviolent relationships.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (A) to develop or enhance community-based programs, including gender-specific programs in accordance with applicable laws that--(i) encourage children and youth to pursue nonviolent relationships and reduce their risk of becoming victims or perpetrators of domestic violence, dating violence, sexual assault, or stalking; and (ii) that include at a minimum--(I) information on domestic violence, dating violence, sexual assault, stalking, or child sexual abuse and how they affect children and youth; and (II) strategies to help participants be as safe as possible; or (B) to create public education campaigns and community organizing to encourage men and boys to work as allies with women and girls to prevent violence against women and girls conducted by entities that have experience in conducting public education campaigns that address domestic violence, dating violence, sexual assault, or stalking.

##### **Applicant Eligibility:**

Eligible entities under the first statutory purpose area are--(A) nonprofit, nongovernmental domestic violence, dating violence, sexual assault, or stalking victim service providers or coalitions; (B) community-based child or youth services organizations with demonstrated experience and expertise in addressing the needs and concerns of young people; (C) a State, territorial, tribal, or unit of local governmental entity that is partnered with an organization described in subparagraph (A) or (B); or (D) a program that provides culturally specific services. Eligible entities under the second statutory purpose area (public education campaigns and community organizing) are nonprofit, nongovernmental organizations or coalitions that have a documented history of creating and administering effective public education campaigns addressing the prevention of domestic violence, dating violence, sexual assault or stalking.

##### **Beneficiary Eligibility:**

Other nonprofit, nongovernmental organizations including community and faith-based organizations.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

##### **Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Renewals are considered on a case-by-case basis.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Grants under this program will be for a period of two years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

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

##### **Records:**

The award recipient must keep complete records on disposition of funds.

##### **Account Identification:**

15-0409-0-1-754.

##### **Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$464,000; FY 10 est \$510,400

##### **Range and Average of Financial Assistance:**

Range: \$24,000 - \$400,000;

Average: \$212,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Awards: 33.

Fiscal Year 2010: Awards: 33.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia

20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

http://www.ovw.usdoj.gov.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.015 MISSING ALZHEIMER'S DISEASE PATIENT ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

This program provides funds for projects that aid in the protection and location of missing persons living with Alzheimers disease and related dementias and other missing elderly individuals. It is currently estimated that 5.3 million people in the United States alone are living with Alzheimers disease or some form of dementia. Over 60 percent (3.1 million individuals) of those with dementia will wander at some point. More than 50 percent of those who wander become lost and separated from their loved ones. Law enforcement agencies often expend resources searching for missing persons with Alzheimers disease, and if not found quickly, they are at high risk of serious injury or even death. In addition, law enforcement officers may not be trained or equipped to handle the special needs of those with Alzheimers, once they are found.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications are solicited for projects, pursuant to Congressional appropriations, that address one or more of the following: (1) Develop or enhance a national outreach program to increase awareness among law enforcement agencies and the public in addressing the needs of missing persons with Alzheimers disease. This national outreach program should include partnerships between national level law enforcement and Alzheimers disease associations, and may include providing a website that serves as a national clearinghouse of information and resources for those involved with missing persons. (2) Develop and/or sustain a national registry for persons living with Alzheimers disease or other form of dementia. (3) Develop and/or implement a process for aiding in the location of lost persons with Alzheimers disease. (4) Provide training and substantive informational material to law enforcement agencies through a national or regional initiative. (5) Support the development of a model policy that can be implemented nationwide by law enforcement agencies. Because there is no guarantee of future funding for this initiative, the successful applicant must address sustainability for any website and/or national registry developed or enhanced, beyond federal funding awarded under this solicitation.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An award is granted by the Assistant Attorney General, Office of Justice Programs, and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the Bureau of Justice Assistance office for review. Extensions are subject to approval by the Bureau of Justice Assistance and renewals of congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period will be up to 18 months. The project start date should be on or after October 1, 2009. See the following for information on how assistance is awarded/released: Contact BJA for further assistance.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports which consist of semi-annual program progress reports. Quarterly Financial Reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$94,000; FY 09 est \$2,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

BJA may make one or more awards under this category.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

## REGULATIONS, GUIDELINES, AND LITERATURE:

Office of Justice Programs Financial Guide.  
<http://www.ojp.usdoj.gov/financialguide/>

### Regional or Local Office:

See Regional Agency Offices.

### Headquarters Office:

Bureau of Justice Assistance Policy Office, 810 Seventh Street NW,  
Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone:  
(202-) 616-6500 or (1-866-) 859-

### Website Address:

<http://www.ojp.usdoj.gov/bja>

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: See BJA website : <http://www.ojp.usdoj.gov/bja>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### CRITERIA FOR SELECTING PROPOSALS:

Selection criteria are outlined in the OJP Program solicitation.

## 16.016 CULTURALLY AND LINGUISTICALLY SPECIFIC SERVICES PROGRAM

### FEDERAL AGENCY:

Violence Against Women Office, Department of Justice

### AUTHORIZATION:

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

### OBJECTIVES:

To enhance culturally and linguistically specific services for victims of domestic violence, dating violence, sexual assault, and stalking.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Funds shall be used for the following statutory program purposes: (A) working with State and local governments and social service agencies to develop and enhance effective strategies to provide culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; (B) increasing communities' capacity to provide culturally and linguistically specific resources and support for victims of domestic violence, dating violence, sexual assault, and stalking crimes and their families; (C) strengthening criminal justice interventions, by providing training for law enforcement, prosecution, courts, probation, and correctional facilities on culturally and linguistically specific responses to domestic violence, dating violence, sexual assault, and stalking; (D) enhancing traditional services to victims of domestic violence, dating violence, sexual assault, and stalking through the leadership of culturally and linguistically specific programs offering services to victims of domestic violence, dating violence, sexual assault, and stalking; (E) working in cooperation with the community to develop education and prevention strategies highlighting culturally and linguistically specific issues and resources regarding victims of domestic violence, dating violence, sexual assault, and stalking; (F) providing culturally and linguistically specific programs for children exposed to domestic violence, dating violence, sexual assault, and stalking; (G) providing culturally and linguistically specific resources and services that address the safety, economic, housing, and workplace needs of victims of domestic violence, dating violence, sexual assault, or stalking, including emergency assistance; or (H) examining the dynamics of culture and its impact on victimization and healing.

### Applicant Eligibility:

Community-based programs whose primary purpose is providing culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; and community-based programs whose primary purpose is providing culturally and linguistically specific services who can partner with a program having demonstrated expertise in serving victims of domestic violence, dating violence, sexual assault, and stalking.

### Beneficiary Eligibility:

Community and faith-based programs.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the [grants.gov](http://grants.gov) portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

### Award Procedure:

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Applicants will be notified by the end of the fiscal year.

### Appeals:

Not Applicable.

### Renewals:

Renewals are considered on a case-by-case basis.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Awards will be two years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

### Reports:

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

### Audits:

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

### Records:

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$13,018,455; FY 10 est \$14,320,301

**Range and Average of Financial Assistance:**

Range: \$162,499 - \$300,000;

Average: \$231,249.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Applications: 213

Awards: 46. Fiscal Year 2010: Awards: 46.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.017 SEXUAL ASSAULT SERVICES FORMULA PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To increase intervention, advocacy, accompaniment, support services, and related assistance for adult, youth, and child victims of sexual assault; family and household members of such victims; and those collaterally affected by the victimization, except for the perpetrator of such victimization.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are for intervention and related assistance to victims of sexual assault, including: (i) 24-hour hotline services providing crisis intervention services and referral; (ii) accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, police, and court proceedings; (iii) crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist sexual assault victims and family or household members; (iv) information and referral to assist the sexual assault victim and family or household members; (v) community-based, linguistically and culturally specific services and support mechanisms, including outreach activities for underserved communities; and (vi) the development and distribution of materials on issues related to the services described in clauses (i) through (v).

**Applicant Eligibility:**

Eligible applicants are States and territories.

**Beneficiary Eligibility:**

Beneficiaries are rape crisis centers and other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

Each application submitted under this program shall-- (i) set forth procedures designed to ensure meaningful involvement of the State or territorial sexual assault coalition and representatives from underserved communities in the development of the application and the implementation of the plans; (ii) set forth procedures designed to ensure an equitable distribution of grants and grant funds within the State or territory and between urban and rural areas within such State or territory; (iii) identify the State or territorial agency that is responsible for the administration of programs and activities; and (iv) meet other such requirements as the Attorney General reasonably determines are necessary to carry out the purposes and provisions of this section. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the online Grants Management System (GMS) portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

OVW will make awards for at least one year. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers

of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Formula Grants) FY 08 not reported.; FY 09 est \$18,282,810; FY 10 est \$20,111,091

**Range and Average of Financial Assistance:**

Range: \$18,720 - \$8,901,130;  
Average: \$4,459,925.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Applications: 56  
Awards: 56. Fiscal Year 2010: Awards: 56.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.019 TRIBAL REGISTRY**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 905(b), Public Law 109-162, 28 Stat. 534.

**OBJECTIVES:**

To develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**Applicant Eligibility:**

Eligible applicants are tribes, tribal organizations, or tribal nonprofit organizations.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Beneficiaries include tribes and tribal law enforcement.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or office designated as the single point of contact in his or her State for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Applications:0 Awards: 0. Fiscal Year 2010: Awards: 0.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.202 PRISONER REENTRY INITIATIVE DEMONSTRATION (OFFENDER REENTRY)**

Offender Reentry

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

H.R. 5548, as approved under H.R. 4577, the Consolidated Appropriations Act of 2001, 42 U.S.C. 3793w, Public Law No. 90-351, Title I, Part FF.

**OBJECTIVES:**

The Offender Reentry Initiative (Reentry Grant Program) is a combined federal effort to assist jurisdictions in facing the challenges presented by the return of offenders from prison to the community. The goal is to support the effective delivery of pre-release assessments and services, and to develop transition plans in collaboration with other justice and community-based agencies and providers, for supervised and non-supervised non-violent offenders. The current initiative addresses the continuing problem of offenders entering the community after incarceration with little or no surveillance, accountability, or resource investment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Reentry Initiative encourages the development of model reentry programs

that begin in correctional institutions and continue through an offender's transition (release) to and stabilization in the community. These programs provide for individual reentry plans that address issues confronting offenders as they return to their communities. The initiative encompasses three phases and is implemented through appropriate programs. Phase 1-Protect and Prepare: Institution-Based Programs, Phase 2-Control and Restore: Community-Based Transition Programs Phase 3-Sustain and Support: Community-Based Long-Term Support Programs.

**Applicant Eligibility:**

An applicant must select a lead agency responsible for the operational aspects of the grant. The applicant must also establish a multidisciplinary collaborative partnership, which includes members of faith-based and/or community organizations; e.g., State and local corrections agencies, the State and local mental health and substance abuse agencies, and the State and local Workforce Investment Boards (WIB). The partnership must select the lead agency to serve as the applicant and the fiscal agent or grantee. If the lead agency designates another to serve as fiscal agent, the lead will remain as grantee with ultimate responsibility for the grant. The lead agency and/or fiscal agent must be a State or tribal agency's unit of government. Federally Recognized Indian Tribes must establish a partnership that includes (but is not limited to) entities or agencies that address corrections, criminal justice, law enforcement, employment services, substance abuse, and mental health. Tribes may involve State level agencies as their key partners, although this is not a requirement. Eligibility is limited to jurisdictions in which grants were awarded to community- and faith-based organizations through the U.S. Department of Labor's FY 2005 Prisoner Reentry Initiative (See [www.dol.gov/opa/media/press/eta/eta20052123list.htm](http://www.dol.gov/opa/media/press/eta/eta20052123list.htm)). State agencies are encouraged to partner with local and regional jails when submitting applications, or to serve as a pass-through for funding. All applicants must coordinate applications with their community- and faith-based partners.

**Beneficiary Eligibility:**

State, units of local government, and federally recognized tribes.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A considerable amount of preapplication coordination is required amongst the required and suggested stakeholders. The Offender Reentry Program (Prisoner Reentry Initiative (PRI)) strengthens urban communities characterized by large numbers of returning, nonviolent prisoners. With the support of several federal agencies, PRI is designed to reduce recidivism by helping returning inmates find work and access other critical services in their communities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All competitive grant applications must be submitted electronically at: <http://www.grants.gov/>.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of receipt of a completed application.

**Appeals:**

See program office for more information.

**Renewals:**

Subject to congressional appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 20 awards of \$450,000 will be made under the PRI program depending on the availability of funding. The minimum project period is 24 months; the maximum project period is 36 months. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required. Expenditure reports are required. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$10,916,434; FY 09 est \$0; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert Hendricks, Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, NW, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: 202- 616-6500 or 1-866-859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.203 COMPREHENSIVE APPROACHES TO SEX OFFENDER MANAGEMENT DISCRETIONARY GRANT (CASOM)**

(CASOM)

**FEDERAL AGENCY:**

Corrections Program Office, Department of Justice

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994; Public Law 102-322, Section 40152, codified at 42 U.S.C. Section 13941, the Comprehensive Approaches to Sex Offender Management (CASOM) Discretionary Grant.

**OBJECTIVES:**

To assist state, local and tribal jurisdictions in improving their adult and/or juvenile sex offender management policies and practices by critically examining existing approaches to monitoring and managing the population; identifying significant gaps and needs in the monitoring and management of sex offenders and developing training and technical assistance to address these identified needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

The Sex Offender Management Discretionary Grant funds may be used to provide training and technical assistance to jurisdictions with reference to sex offender management and accountability. Training and technical assistance should be targeted to probation and parole officers and other personnel who provide case management, supervision, or relapse prevention services to non-incarcerated sex offenders or who are responsible for sex offender registration compliance.

**Applicant Eligibility:**

Non-profit and for-profit organizations, institutions of higher education, tribal entities, States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, local, and tribal communities who are interested in addressing the management of juvenile, adult, or a mixed population of sex offenders through the provision of training and technical assistance are eligible to apply for this grant program. Applicants must coordinate their proposal with others in their jurisdiction to ensure a collaborative response to this solicitation as well as to ensure that agencies within a single jurisdiction are not competing against one another in the grant process.

**Beneficiary Eligibility:**

State, local and tribal agencies (e.g. parole, probation, pretrial services, etc.) responsible for sex offender management, accountability, registration and supervision to implement training programs to enhance strategies for managing sex offender in the community. Non-profit or for-profit organizations, institutions of higher learning and tribal entities with demonstrated experience in sex offender management and accountability issues and delivery of training and technical assistance to implement national training and technical assistance program on sex offender management, accountability, registration and supervision.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact



information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applications must be submitted electronically at: <http://www.grants.gov> or via GMS. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Grantees are notified by e-mail 7 to 10 days after Congress has been notified. Grantees must print award, have signed by the authorized official and returned to the Office of Justice Programs by facsimile or mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of receipt of a completed application.

**Appeals:**

Discretionary grant applicants will be notified in writing of reasons for disapproval of their application.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the SMART Office for review. Extensions are subject to approval by the SMART Office and congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Grants are discretionary and are awarded based on the merits of the application submitted to the SMART Office. A 25 percent match may be required for this grant program, and the funding for this project may not exceed 75 percent. Contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus one additional year. See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. Performance measures, as stipulated in the solicitation, are required.

**Audits:**

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

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$3,136,325; FY 09 est \$3,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See program web site. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqueline O'Reilly, Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 514-5024.

**Website Address:**

<http://www.ojp.usdoj.gov/smart> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Visit web site address. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A review panel convened by the SMART Office will evaluate all applications on the basis of the following criteria: (1) The application clearly exhibits a commitment to collaboration, including meaningful collaboration across public sector agencies and with nonprofit, non-governmental victim services organizations; (2) the application identifies a problem that is consistent with the purposes of this initiative; (3) The application describes a project that effectively addresses the problem statement; (4) The implementation strategy, time line, and capability of the organization and staff are sound; (5) The application articulates clearly the jurisdiction's goals, outcomes, and objectives and describes the accountability system and performance measures to determine progress towards achieving them; (6) The project demonstrates meaningful attention to the safety of victims of sex offenses and holds offenders accountable for their criminal behavior by enhancing capacity through training and technical assistance; (7) The application identifies specific individuals, or a process to identify individuals, to serve as the Grant Manager, Grant Coordinator, and Research Coordinator for the effort, and demonstrates the skills, roles, and involvement of these individuals; and (8) The budget is reasonable as it relates to project activities.

**16.300 LAW ENFORCEMENT ASSISTANCE\_FBI ADVANCED POLICE TRAINING**

(FBI Academy, Advanced Specialized Courses)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide advanced training to experienced personnel of local, county, State, and selected Federal law enforcement agencies, with special emphasis on developing each graduate as a capable manager or administrator for his own department. To afford specialized advanced training to the above personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

The curriculum of the FBI National Academy program includes criminal law and investigations, behavioral science, forensic science, education, management, and health/fitness. The courses are continually adapted to meet the changing needs of law enforcement administration. Training is provided at the FBI Academy at Quantico, VA. Advanced specialized courses of instruction are provided on specific topics such as Firearms Administration, White-Collar and Computer-Related Crimes, Latent Fingerprint Examinations, Police Legal Issues, Hostage Negotiations, Executive Development, Advanced Training Technology, and Laboratory Matters, with conferences and seminars on topics such as Budgeting, Scientific Technical Analysis, Death Investigation,

Crime Prevention, Bombing and Arson Investigations, Violent Crimes Against the Elderly, and Sexual Exploitation of Children.

**Applicant Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local, or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Beneficiary Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Credentials/Documentation:**

The applications of candidates for enrollment in the Academy must be approved and submitted by the head of their agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal application to nominate representative to attend the FBI Academy National program (FBI Form FD- 164) submitted by nominee's agency head, followed by an interview of qualified applicants at FBI field office level. Applications of those nominated by agency heads to attend the specialized course are submitted to local office of the FBI for processing.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

National Academy training period of 11 weeks. Specialized training varies with subject, from one to four weeks. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 08 \$17,062,026; FY 09 est \$17,915,127; FY 10 est \$17,915,127

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

http://www.fbi.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.301 LAW ENFORCEMENT ASSISTANCE\_FBI CRIME LABORATORY SUPPORT**

(FBI Laboratory)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide forensic services to the FBI and any other duly constituted law enforcement agency; and provide technical and forensic assistance through research, training, technology transfer and access to information and forensic databases.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Submitted evidence is examined and the FBI Laboratory also furnishes the experts necessary to testify in connection with the results of these examinations. These examinations are made with the understanding that the evidence is connected with an official investigation of a criminal or terrorism matter and that the laboratory report will be used only for official purposes related to the investigation or a subsequent prosecution. The FBI Laboratory will not accept cases from other crime laboratories which have the capability of conducting the requested examinations. Additionally, specialized forensic training in many forensic disciplines is conducted. This training is provided to eligible applicants commensurate with available resources. Finally, through available resources, the FBI Laboratory provides new enhanced equipment and tools to State and forensic and law enforcement personnel.

**Applicant Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Credentials/Documentation:**

Formal request, normally written, from appropriate official of the requesting law enforcement agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Director, Federal Bureau of Investigation, Washington, DC 20535. Attention: FBI Laboratory.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 08 \$46,739,229; FY 09 est \$45,809,527; FY 10 est \$46,725,718

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. The FBI Laboratory is located at 2501 Investigation Parkway, Quantico, VA 20135. See Catalog Appendix IV for addresses and telephone numbers of FBI Field Offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.302 LAW ENFORCEMENT ASSISTANCE\_FBI FIELD POLICE****TRAINING**

(FBI Field Police Training)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop the professional skills of criminal justice personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Courses available from FBI instructors range from basic recruit training to specialized instruction in such areas as fingerprinting, legal topics, police-community relations, hostage negotiation, white collar crime, organized crime, computer fraud, management techniques, investigative support, criminal investigative analysis, etc. FBI training assistance is available in complete programs of instruction or as supplemental courses to already existing local police training sessions.

**Applicant Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Beneficiary Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact FBI Headquarters in Washington, DC or, preferably, the nearest FBI Field Office.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 08 \$11,343,310; FY 09 est \$12,111,027; FY 10 est \$12,111,027

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with their nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.303 LAW ENFORCEMENT ASSISTANCE\_FBI FINGERPRINT IDENTIFICATION**

(FBI Criminal Justice Information Services Division)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide fingerprint and arrest-record services to U.S. Government and criminal justice agencies; and to provide arrest- record services to State and local governmental authorities, as well as certain authorized nongovernmental entities for employment and licensing purposes.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Criminal identification by means of fingerprints; determination of a person's past criminal history, if any; fingerprint identification of missing persons, unknown deceased persons, unknown living persons and victims of major disasters; and processing of physical evidence for latent finger and palm prints. Information must be used for official purposes only and is not furnished for public dissemination.

**Applicant Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Beneficiary Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Credentials/Documentation:**

Initial request for services must be from a statutorily authorized agency; request must be written on letterhead of agency and list address of agency and title of official signing request; it must indicate that information is to be used only for criminal investigative or other official purpose authorized by statute; and reply will be sent only to head of requesting organization. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries must be sent to the Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 08 \$297,056,752; FY 09 est \$305,968,455; FY 10 est \$315,147,508

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 35,317,949 fingerprint cards were processed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses and telephone number of FBI field offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.304 LAW ENFORCEMENT ASSISTANCE\_NATIONAL CRIME INFORMATION CENTER**

(NCIC)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

The FBI National Crime Information Center (NCIC) is designed to complement the development of similar metropolitan and statewide criminal justice information systems and provide a computerized central index to documented files of local and State criminal justice agencies.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The FBI National Crime Information Center (NCIC) is a computerized index of crime and criminals of nationwide interest. Included are records concerning wanted persons, missing persons, unidentified persons, persons on supervised release, persons subject of a protection order, registered sexual offenders, persons violating immigration laws, persons associated with a violent gang or terrorist organization, and stolen property. Also provided is access to an index of criminal history records. The NCIC, located at the FBI's Criminal Justice Services Division in Clarksburg, WV, serves as a nucleus of a vast, high-speed criminal justice communications network which includes authorized local, State, and Federal criminal justice agencies throughout the United States, Canada, Puerto Rico, the U.S. Virgin Islands, Guam, and American Samoa. Through use of computer storage and retrieval, the NCIC is able to locate and transmit in seconds essential data for the efficient performance of criminal justice personnel. FBI personnel are available to assist States in operating their systems which are connected to the NCIC computer. Technical and other consultant services as well as training are provided at no expense to State agencies.

**Applicant Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Beneficiary Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Credentials/Documentation:**

Agencies accessing NCIC must be an authorized criminal justice agency or authorized entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Federal, State and local criminal justice agencies applying for access should contact their control terminal agency, or the Director, Federal Bureau of Investigation, 10th and Pennsylvania Ave., NW., Washington, DC 20535.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 08 \$22,881,973; FY 09 est \$23,568,432; FY 10 est \$24,275,485

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 6.8 million transactions handled during 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.305 LAW ENFORCEMENT ASSISTANCE\_UNIFORM CRIME REPORTS****FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To furnish data which will assist heads of law enforcement agencies in administration and operation of their departments. Further, to make information/data available to judges, penologists, sociologists, legislators, media, students, and others interested in crime and its social aspects.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The FBI collects, analyzes, and publishes certain crime statistics which it receives on a regular and voluntary basis from law enforcement agencies nationwide. These data are published annually in the publication, "Crime In The United States-Uniform Crime Reports," and are supplemented with preliminary annual and semiannual releases. The annual publication provides information on (1) crime trends; (2) offenses known to police; (3) age, sex, and race of persons arrested; (4) police disposition of juveniles arrested; (5) police employee; and (6) other information. Additionally, the FBI annually publishes statistics on Hate Crimes and Law Enforcement Officers Killed and Assaulted.

**Applicant Eligibility:**

All participating law enforcement agencies including State and local governments are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited annual copies of statistics on Hate Crime and Law Enforcement Officers Killed and Assaulted, along with preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available to the general public for purchase from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street NW., Washington, DC 20401.

**Beneficiary Eligibility:**

All participating State and local law enforcement agencies are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited copies of preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available for sale from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street, NW., Washington DC 20401.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 08 \$21,639,014; FY 09 est \$22,288,185; FY 10 est \$22,956,830

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.307 COMBINED DNA INDEX SYSTEM**

(CODIS)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop or improve forensic DNA analysis capabilities in State and local crime laboratories. The Combined DNA Index Systems (CODIS) allows State and local crime laboratories to store and match DNA records.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The CODIS program enables State and local laboratories to establish databases of convicted offenders, unsolved crime scenes, and missing persons. CODIS allows the forensic laboratories to exchange and compare DNA profiles electronically thereby linking serial violent crimes to each other and to identify suspects by matching DNA from crime scenes to convicted offenders.

**Applicant Eligibility:**

To receive CODIS software and technical assistance, participants must be publicly funded forensic laboratories performing DNA analysis, or private forensic laboratories performing DNA analysis under contract with crime laboratories.

**Beneficiary Eligibility:**

To be eligible for DNA grants, participants must be publicly funded State or local forensic laboratories performing DNA analysis.

**Credentials/Documentation:**

Formal written application from appropriate official of the requesting forensic

laboratory to NIJ under the Forensic DNA Laboratory Improvement Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Project Grants) FY 08 \$15,238,207; FY 09 est \$15,586,000; FY 10 est \$14,727,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of March 2005, there are 17 state and local laboratories. CODIS is installed in 50 states, FBI, US Army Crime and Laboratory and Puerto Rico. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.308 INDIAN COUNTRY INVESTIGATIONS**

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide training to the Bureau of Indian Affairs (BIA) and Tribal Law Enforcement Officers in conjunction with the Bureau of Indian Affairs Office of Justice Services to better conduct investigations in Indian Country. Coordination of the development of training curriculum with the BIA; and conduct training seminars in law enforcement techniques throughout the country. To coordinate investigative activities within Indian Country.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Funding may be utilized for expenses associated with investigative and managerial training for Indian Country law enforcement.

**Applicant Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Beneficiary Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FBI and Indian Police Academy select students for training.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

If the classes are full, the application will be denied.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 08 \$1,085,000; FY 09 est \$1,237,000; FY 10 est \$1,237,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Developed and provided uniform courses of instruction in death investigations, child sexual/physical abuse, gaming, evidence recovery, supervision and management, and critical incident response, child forensic interviewing, and street officer safety to all levels of law enforcement in Indian Country. This includes local, State, tribal, BIA and FBI officers/agents. Funded training in basic and advanced law enforcement skills provided by the BIA IPA; funded individual field office training initiatives for law enforcement in Indian Country. Provided training to more than 5,500 Indian Country law enforcement officers in FYs 1996-2005. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.309 LAW ENFORCEMENT ASSISTANCE NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM**

(NICS)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide a system so that any Federal Firearm Licensee (FFL) could receive an immediate determination by telephone or by other electronic means, on whether receipt of a firearm and/or explosive by a prospective buyer would violate Federal or State laws.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The NICS Operations Center conducts NICS background checks by analyzing and evaluating criminal history records to determine whether the transfer of a firearm to an individual may violate State or Federal law. The staff at the Operations Center provides technical and operational support to users, provides customer service to FFLs and State Point of Contacts (POCs), processes appeals of denied transactions, and prepares management and statistical reports on the operation of the NICS.

**Applicant Eligibility:**

All persons purchasing firearms.

**Beneficiary Eligibility:**

The Federal Firearm Licensees and American public.

**Credentials/Documentation:**

Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Section by telephone via a toll-free number or, electronically by the NICS E-Check via the Internet. The FFLs will provide the required descriptive information requested on the Bureau of Alcohol, Tobacco, Firearms and Explosives Form 4473 and each background check is assigned a unique NICS Transaction Number. If a NICS background check results in no matching records, the transfer will proceed.

If one or more matching records are found, a NICS Legal Instruments Examiner (Examiner) will review the record(s) to determine if the subject of the record may be identical with the prospective purchaser and to determine if the record contains state and/or federal firearm prohibitive criteria which may prohibit the transfer of the firearm. If it is determined that prohibitive criteria exists, the NICS Examiner will advise the FFL to deny the firearm transaction. If potentially prohibitive criteria exists and more information is required in order to make the determination, the NICS Examiner will advise the FFL to delay the firearm transaction. When a transaction is delayed, the NICS Examiner begins extensive research on the potential prohibitor. The NICS Examiner will contact local, state, and federal law enforcement agencies and courts to resolve questions about an individual who appears to be prohibited from purchasing or possessing a firearm, as well as to request clarification regarding information in a prior record or disposition. When the research is complete, the NICS Examiner calls the FFL and gives a decision on the firearm transaction. Individuals who are denied the purchase of a firearm will be advised by the FFL of the process for appealing the denial decision if he/she believes it is incorrect. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Operation Center by telephone via a toll-free number or, in the future, electronically by NICS E-check via the Internet.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Three business days.

**Appeals:**

Persons denied the right to purchase a firearm may appeal the denial by writing to the NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278. Another option that is available is e-mailing the appeal to: [nicsappeals@leo.gov](mailto:nicsappeals@leo.gov) .

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**



**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 08 \$91,603,996; FY 09 est \$94,352,116; FY 10 est \$97,182,680

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, CFR, Part 25 National Instant Criminal Background Check System Regulation, Public Laws 103-159 Federal Regulations, NICS Brochure, Appeals Brochure, POC Manual and FFL Manual.

**Regional or Local Office:**

See Regional Agency Offices. NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.320 SERVICES FOR TRAFFICKING VICTIMS****FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

22 USC 7105(b)(2)(A).

**OBJECTIVES:**

To provide assistance to victims of severe forms of trafficking (i.e., sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or the recruitment, harboring, transportation, provision or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery) without regard to the immigration status of the victim. A set aside of the total appropriation for the following purposes is as follows: three percent for research, evaluation, and statistics; five percent for training and technical assistance; and one percent for management and administration of grant funds.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding under this program is intended primarily, but not exclusively, to meet victims' pre-certification needs. Pre-certification refers to the period of time between when trafficking victims are initially identified by law enforcement and officially certified by the Federal government as such. In FY 04, 10 cooperative agreements to provide comprehensive victim services were awarded under this program. During FY 05, OVC made one award of \$281,595 to support training and technical assistance to victim service organizations to

enhance their services to trafficking victims. OVC also made one award of \$499,155 to a grantee for the provision of comprehensive services. Beginning in 2004, OVC joined with its sister agency, the Bureau of Justice Assistance (BJA) to support an expanded strategy of funding anti-trafficking task forces in cities throughout the country known to have a high concentration of trafficking victims. This task force strategy focuses on enhancing law enforcement's ability to identify and rescue victims of human trafficking; providing law enforcement with the resources and training to identify and rescue victims of trafficking; and to ensuring that comprehensive services are available wherever trafficking victims are found. OVC and BJA released a joint competitive solicitation in FY 06 that resulted in the creation of 10 new law enforcement task forces and funding for victim service provision in areas where new task forces were formed. In FY 07, BJA awarded supplemental funding to six task forces. BJA has provided funding to 42 local and state law enforcement anti-trafficking task forces across the country. In FY 07, OVC awarded supplemental funding to 14 Services for Trafficking Victims grantees to continue providing services to pre-certified trafficking victims. In FY 08, OVC and BJA competitively awarded five grants to support task forces and service providers in additional communities. To date, OVC has funded 43 victim service agencies to provide a wide range of services to trafficking victims in the United States. Comprehensive Services awards support the creation and/or enhancement of collaborative networks that will provide critical services for trafficking victims within a given community or region. These awards are intended to build community-based networks of comprehensive, integrated, and culturally appropriate services for trafficking victims. Applicants must demonstrate to capacity to quickly mobilize resources to accommodate the needs of potentially large numbers of victims and the ability to coordinate with other trafficking programs and other service providers. In FY 09, OVC plans to provide continuation funding to support ongoing services to victims in 12 existing task forces. In order to receive Department of Justice funding support and the assistance of the local U.S. Attorney, local law enforcement agencies and victim services providers are required to enter into a Memorandum of Understanding with all task force members committing themselves to collaborating together on investigations and assistance to victims. Also in FY 09, OVC anticipates releasing a competitive solicitation, entitled OVC Services for Domestic Minor Victims of Human Trafficking. This will be a demonstration project which will identify promising practices in the delivery of a comprehensive array of services to victims of severe forms of human trafficking who are U.S. citizens or lawful permanent residents under the age of 18. OVC will partner with the U.S. Department of Justice, Office of Justice Programs, National Institute of Justice (NIJ) to conduct a participatory process evaluation of the two OVC -funded demonstration sites.

**Applicant Eligibility:**

The Attorney General may make grants to States, Indian tribes, units of local government, and nonprofit, non- governmental victims service organizations.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Applications for this program must be submitted electronically via Grants.gov; at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including

subTitle A, Title II of the Americans with Disabilities Act (ADA) 1990 regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies in applying for funding under this program electronically via grants.gov. Forms for funds other than grants or for use by Federal Agencies will be supplied by OVC.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director of the Office for Victims of Crime. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3-5 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Supplements are considered on an individualized basis, based on grantee performance and the need for service provisions to trafficking victims within the geographic area of coverage, as well as the existence of anti-trafficking task forces funded through the Bureau of Justice Assistance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Eligible applicants must match the Trafficking Victims Protection Act grant program funds with a 25 percent cash contribution or the value equivalent of an in-kind contribution(s). In-kind match refers to the value of something received or provided that does not have a cost associated with it.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal Year 2003, 2004, 2005, 2006 and 2007 trafficking funds may be carried for obligation by the grantee for the duration of their grant award. Funds are released via electronic funds transfer. Grantees must become enrolled in the Automated Clearinghouse (ACH) Vendor Express Program to request any Federal funds. See the following for information on how assistance is awarded/released: Please see program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. As documented in the solicitation, performance measure data are required.

**Audits:**

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

the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$10,229,497; FY 09 est \$10,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

In FY 09, OVC may award grants ranging from \$200,000 to \$800,000 for 1-3 years to support services to trafficking victims. Additional awards to support research and evaluation and training and technical assistance may be made.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the program over 2,500 pre-certified trafficking victims have been served by grantee recipients. Grantees have also provided substantive training on trafficking to over 89,000 individuals, including law enforcement officers. OVC now funds a total of 35 direct service projects, as well as one project that provides mobile services. Comprehensive services grants provide direct services to meet the broad range of needs of trafficking victims, including case management; legal services; medical, dental, and mental health services; advocacy, emergency and longer-term housing; education and job skills training; and interpreter services. The specialized services grants provide a quickly mobilized single service over a broad geographical area, such as mental health assessment and crisis intervention. OVC continues to coordinate closely with the Office for Refugee Resettlement at the Department of Health and Human Services through periodic coordination meetings to ensure that their respective programs for trafficking victims, outreach efforts, and training and technical assistance priorities for trafficking grantees are not duplicative and proactively address issues that arise from the field on service provision to trafficking victims. Funding from this program was previously transferred to the National Institute of Justice to support a ground-breaking evaluation of three of the OVC funded comprehensive service sites. Final results were completed in 2007. Through its Training and Technical Assistance Center, OVC has developed substantive resources for its grantees to collect data and track performance of their projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVC discretionary grant solicitations and application guidelines and the current edition of the OJP Financial Guide are available on-line at the OVC webpage: <http://www.ojp.usdoj.gov/ovc/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joye Frost Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 305-1715

**Website Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (a) Comprehensive Services projects provide a holistic approach to assisting trafficking victims by either directly providing services or coordinating access to services that provide shelter and sustenance, general health and mental health care, legal services, jobs skills training, cultural support from the community, and educational services. Applicants must establish an advisory committee to guide the project; conduct an assessment of existing community services, resources, and needs; identify key partners including law enforcement and governmental and non-governmental entities; and develop a plan to sustain the project after Federal funding ends. (b)

Supplemental and Specialized Services projects must demonstrate capacity to provide discrete services such as legal, housing, or mental health services to trafficking victims with very little notice and lead time within a given geographical area; for fluctuating numbers of victims; for victims with extremely limited resources; for victims from diverse cultural and linguistic backgrounds; and for victims who have experienced distinct or multiple forms of victimization, including psychical and sexual assault, forced labor, denial of medical care, etc. Programs must collaborate as appropriate with recipients of funding for Comprehensive services, and ensure trafficking victims have access to: emergency and long-term medical and mental health care, legal services including immigration advocacy, interpreter and translation services, social service and criminal justice system-based advocacy, outreach services directed toward immigrant populations, special services for victims who are juveniles, and job skills training. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals have been developed by the Office for Victims of Crime and are included in the OVC Services for Trafficking Victims Discretionary Grant program Solicitations and Application Guidelines.

#### **16.321 ANTITERRORISM EMERGENCY RESERVE**

##### **FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

##### **AUTHORIZATION:**

42 U.S.C. 10601(d)(5), 42 U.S.C. 10603b(b), 42 U.S.C. 10603b(a).

##### **OBJECTIVES:**

Encompasses two programs for victims of terrorism and/or mass violence: (1) Antiterrorism and Emergency Assistance Program (AEAP) and (2) The International Terrorism Victim Expense Reimbursement Program (ITVERP). The AEAP provides assistance and compensation services for victims of domestic terrorism and intentional mass criminal violence and assistance for victims of international terrorism. ITVERP provides reimbursement for victims of acts of international terrorism that occur outside the United States for expenses associated with that victimization.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

AEAP funds are available specifically for services to victims of terrorism and/or intentional mass criminal violence. Funded activities may include compensation, emergency relief, including crisis response efforts, assistance, and ongoing assistance, including during any investigation or prosecution to victims of terrorist acts or mass violence occurring within and outside the United States. Nonmonetary assistance is available for training and technical assistance. ITVERP provides direct reimbursement for out-of-pocket expenses to victims of international terrorism. Claimants may seek reimbursement for expenses incurred for medical, mental health, funeral and burial, property loss, and other miscellaneous costs (including emergency travel, temporary lodging, and telephone costs).

##### **Applicant Eligibility:**

AEAP: Criteria will vary depending on the grant. For terrorism or mass violence occurring within or outside the U.S., eligible applicants for funding under VOCA, Title II, 42 U.S.C. 1603b, 1404B, include states, victim service organizations, and public agencies (including federal, State and local governments) and non-governmental organizations that provide assistance to victims of crime. With the exception of ITVERP, OVC does not provide funding directly to individual crime victims. ITVERP: For an applicant to be eligible to receive reimbursement under ITVERP as authorized under VOCA, Title II, 42 U.S.C. 10603c, 1404C, an individual must be a national of the United States or an officer or employee of the U.S. Government, as of the date on which the act of terrorism occurred. In addition, the individual must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after December 21, 1988, with respect to which an investigation or prosecution was ongoing after April 24, 1996.

##### **Beneficiary Eligibility:**

AEAP: Public and private nonprofit victim assistance agencies; victims of

domestic and international terrorism. Eligibility depends on the nature of the grant. ITVERP: The law requires that the individual victim must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after December 21, 1988, with respect to which an investigation or prosecution was ongoing or was commenced after April 24, 1996. In the case of a victim who is a minor, incompetent, incapacitated, or is killed, a family member or legally designated representative of the victim may receive expense reimbursement on behalf of the victim. In addition to the victim, claimants may include the following: Spouse of the victim, Parents of the victim, Children of the victim, Siblings of the victim, Legally designated victim representative.

##### **Credentials/Documentation:**

All potential applicants shall submit a written proposal along with a budget and budget narrative to the OVC Director for consideration. Proposals submitted by State crime victim compensation program administrators should include the following: (1) a description of the qualifying crime; (2) the projected number of claims to be paid and the projected number of claimants to receive payments; (3) the states maximum award amount by category, such as medical, mental health, lost wages, funeral, etc.; and (4) a description of the range of expenses covered by the program and the amount of state funding available to cover victim claims. Proposals submitted by State crime victim assistance administrators, and all other applicants seeking crime victim assistance, should include the following: (1) type of crime and description of the criminal event; (2) identification of the lead law enforcement agency conducting the investigation; (3) estimated number of victims affected by the crime; (4) description of the applicant's role in responding to the victim population since the date of the incident; (5) description of services that this funding will support and how these efforts will complement services already in place or will respond to an unmet need; (6) the amount of funding requested and the time frame for support; and (7) description of outreach and coordination with other public and private entities during the process of preparing the request for assistance. Once approved for applying, an AEAP solicitation, with detailed instructions on applying as well as reporting requirements, will be posted on the OJP electronic Grants Management System (GMS). Applicants, except Federal agencies, must submit through GMS (1) SF-424, Application for Federal Funding and applicable assurances and forms; and (2) Budget and budget narrative including a description of all other federal and nonfederal contributions (cash or in-kind). Applications for the AEAP must be submitted to the OVC Director as soon as practical following a terrorist or mass violence event by the appropriate State or federal official or private victim service and non-governmental organizations. ITVERP: All potential applicants shall submit a written application along with all supporting documentation to OVC for consideration. Claimants may apply for itemized, interim emergency, or supplemental reimbursement. An Itemized application should be used by those eligible claimants who are making a first-time request for reimbursement of out-of-pocket expenses that were paid following an international terrorism event. An Interim Emergency application should be used by eligible claimants seeking funds for an immediate need such as medical treatment, short-term lodging, or emergency transportation. A Supplemental application should be used by eligible claimants whose expenses have changed since they submitted an initial application. The supplemental application is for bills that may have been received late, or for new services that were not originally thought necessary or included in the original application. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. AEAP: Whereas the previously submitted proposal letter, budget, and budget narrative were key factors in determining eligibility for funding, they were submitted prior to the posting of a solicitation. Application materials submitted electronically through GMS in response to either the assistance or compensation solicitation become permanent parts of the award file. Thus, it will be necessary to resubmit the proposal letter, budget, and budget narrative documents as part of the application package. Applications will be accepted following an incident of terrorism or mass

violence in accordance with the timetable set forth in the AEAP Guidelines. There are two factors that determine the application submission requirements for the AEAP: (1) the applicant status, i.e., government agency (Federal, State, or local), non-governmental organization, or victim service organization; and (2) the type of support requested, i.e., crisis response, consequence management, criminal justice, victim compensation, technical assistance (nonmonetary assistance). Application requirements are listed below. Application requirements for State crime victim compensation programs - Funding will be made available to State crime victim compensation programs in response to an incident of terrorism or intentional mass criminal violence within the United States in the form of a grant. Requests for funding from State crime victim compensation programs may be made at any time in the aftermath of an incident and should include: (1) Responses to the questions or issues raised in the AEAP Compensation Solicitation ; (2) Proposal letter ; (3) Budget.; (4) Budget narrative; and (5) SF-424, Application for Federal Assistance and applicable assurances and forms.. Application requirements for all other recipients of funds -All other applicants seeking Antiterrorism Emergency Reserve support are required to submit: (1) Responses to the questions or issues raised in the AEAP Assistance Solicitation; (2) Proposal letter; (3) Budget; (4) Budget narrative; and (5) SF-424, Application for Federal Assistance and applicable assurances and forms. While no direct funding is available, OVC may provide its own consultants to meet the training and technical assistance needs of applicants. Training and technical assistance may be requested by submitting a letter describing the nature of the problem; the type of expertise or assistance needed; the duration of assistance; and the projected outcomes of the technical assistance or training. See OVC guidelines published in the Federal Register (Vol. 67, No. 21, Thursday, January 31, 2002) for additional information on application requirements for the AEAP. ITVERP: Step 1: Identify the type of application you are applying for by marking the appropriate type at the top of the application form. In addition, a supplemental sheet must be filled out by applicants. Sections B, F and H should be answered by all applicants; section G should be answered by Itemized and Supplemental applicants only. Detailed instructions are included. Step 2: If you believe that you are an eligible victim of a "designated" international terrorism event, please use the following forms and information to prepare your application for reimbursement. Required Documentation: A victim is required to submit documentation that provides proof of identity, citizenship, employment, and damage/injury sustained during the international terrorism event. A victim's family member or representative is required to submit documentation of his/her relationship to the victim plus medical information or a death certificate as appropriate, in addition to the items named above. In all cases, receipts for expenses incurred in the recovery process will be required. If any of the required documents have been destroyed and are unavailable from any other source, you must provide and certify a list of destroyed documents and how each would apply to your ITVERP application.

**Award Procedure:**

AEAP: Upon receipt and internal review of a complete application, it is the intention of OVC to notify applicants of funding decision within 5 business days or as soon as practicable. The applicant may be notified by telephone, Internet or facsimile. ITVERP: After review of each application, the Director shall determine the eligibility of the victim or representative and the amount, if any, eligible for reimbursement, specifying the reasons for such determination and the findings of fact and conclusions of law supporting it. A copy of the determination shall be mailed to the claimant at his last known address.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

AEAP: It is OVC's intention to make a funding decision within 5 business days of receipt of a complete application or as soon as practicable. ITVERP: It is OVCs intention to review and process payments as soon as practicable. For itemized and supplemental claims, range of approval/disapproval is dependant upon receipt of an official determination of a reasonable indication of an act of international terrorism from the Assistant Attorney General of National Security for a particular event. Processing time is also dependant upon timely response by claimants of any outstanding documents or information required to

process claim applications. Claimants may apply for an interim emergency payment, prior to a determination under Section 94.21(a). If the Director determines that such payment is necessary to avoid or mitigate substantial hardship that may result from delaying reimbursement until complete and final consideration of an application, such payment may be made to cover immediate expenses such as those of medical care, funeral and burial, short-term lodging, and emergency transportation.

**Appeals:**

For both programs, hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

AEAP: See OVC guidelines for Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes published in the Federal Register, Vol. 67, No. 21, Thursday, January 31, 2002. ITVERP: Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

AEAP: For grants, dollars remaining unspent by the State or program within 3 fiscal years after the end of the fiscal year in which the award was made, will revert to the Crime Victims Fund/Antiterrorism Emergency Reserve. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the recipient.

ITVERP: Reimbursements are released via the Electronic Transfer System directly into the claimants bank account. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. AEAP: semi-annual progress reports are required. ITVERP: There are no reporting requirements for claimants under ITVERP. Quarterly financial reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. ITVERP: There are no reporting requirements for claimants under ITVERP. Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. AEAP: All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Not applicable to ITVERP.

**Records:**

AEAP: Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years. ITVERP: Files are retained on hard copy and on a computer database. All claim files and automated data pertaining to a claim are destroyed 10 years after the date the claim has been fully processed and/or payment made, as approved by the National Archives and Records Administration (NARA). Automated data is retained in its most current form only, however, and as information is updated, outdated information is deleted.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$4,797,982; FY 09 est not reported.; FY 10

est not reported.

**Range and Average of Financial Assistance:**

Varies depending on terrorism/mass violence event and specific need(s).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OVC has been routinely called upon to respond to incidents of terrorism and mass violence such as the 2009 shootings at the Immigration Assistance Center in Binghamton, New York, the 2008 University shootings at Virginia Tech and Northern Illinois University; and the 2007 shootings at Omahas West Roads Shopping Mall;

OVC provided mental health counseling and other services or compensation to students, faculty, and emergency services personnel following fatal school shootings in 2005 and 2006 at the Nickel Mines Amish Schoolhouse in Pennsylvania, Platte Canyon High School in Colorado, and Red Lake High School on the Red Lake Indian Reservation in Minnesota, and to witnesses of a courthouse shooting and subsequent carjacking in 2005 in Atlanta, Georgia. OVC has supported mental health services for New York City firefighters, police officers, emergency medical technicians, and other emergency responders who experienced emotional and psychological trauma at Ground Zero. OVC has also provided funding for assistance and services for victims of the September 11, 2001 terrorist attacks in the USA, Oklahoma City, the bombings of Pan Am 103, the US Embassies in Kenya and Tanzania, Khobar Towers, the USS Cole, and the terrorist attacks in Bali, Indonesia, Saudi Arabia, Afghanistan and Iraq (e.g. bombing of UN Headquarters in Baghdad). Assistance has included toll-free information lines, family web sites, informational briefings, travel to criminal justice proceedings, and mental health counseling. In addition, OVC works in liaison with other Federal agencies to coordinate services for victims of terrorism; has worked with the Center for Mental Health Services at HHS to develop training for mental health service providers on assisting victims of terrorism and mass violence; and is working with the Federal Emergency Management Agency (FEMA) to better coordinate and collaborate on victim services in the event of a mass crisis incident.

ITVERP: As of May 2009, ITVERP has received seventy-three applications. Of those, 43 are in process; seven have been denied; 5 have been closed; and 18 applications have been approved, processed, and paid. Over \$242,400 in reimbursement payments has been paid out to claimants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further guidance on the AEAP application procedure and current edition of the OJP Financial Guide are available on the OVC web site at [www.ovc.gov](http://www.ovc.gov) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (202) 307-5983. ITVERP application materials and program information are available on the OVC web site at [www.ovc.gov/itverp](http://www.ovc.gov/itverp) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (1-800) 363-0441.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office for Victims of Crime Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Phone: (202) 307-5983

**Website Address:**

<http://www.ovc.gov>.

**RELATED PROGRAMS:**

16.575 Crime Victim Assistance; 16.576 Crime Victim Compensation; 16.582 Crime Victim Assistance/Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: AEAP: Potential projects may include, but are not limited to: crisis response grants to provide resources to help victims rebuild adaptive capacities, decrease stressors, and to reduce symptoms of trauma immediately following the terrorism or mass violence event; consequence management grants designed to provide supplemental resources to help victims adapt to the trauma event and to restore victims' sense of equilibrium; criminal justice support grants to facilitate victim participation in an investigation or

prosecution directly related to the terrorist and mass violence event; crime victim compensation grants to provide supplemental funding to a State crime victim compensation program that reimburses victims for out-of-pocket expenses related to their victimization in cases of terrorism or mass violence occurring within the United States; training and technical assistance for States and local communities to help when responding to terrorism and mass violence; and assistance to victims of acts of international terrorism that occur outside the United States. ITVERP: Applicants have received payments for the following terrorism events: bombing of a housing compound in Riyadh, Saudi Arabia; nightclub bombings in Bali, Indonesia; the airport bombing in Davao City, Philippines; the U.S. embassy bombings in Nairobi, Kenya; and the Khobar Towers bombing in Dhahran, Saudi Arabia; and the coordinated terrorist attacks in Mumbai, India. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the guidelines, regulations, and application kits for these programs. Additional criteria may be developed by the Office for Victims of Crime and will be published in the application packages.

**16.523 JUVENILE ACCOUNTABILITY BLOCK GRANTS**

(JABG)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Public Law 107-273.

**OBJECTIVES:**

To provide States and units of local government with funds to develop programs to strengthen and promote greater accountability in the juvenile justice system. To survey the field and identify projects that would benefit from research, demonstration, and evaluation in the 17 purpose areas identified in the JABG Program. To provide training and technical assistance to States and units of local government so they may develop programs outlined in the 16 program areas to promote greater accountability in the juvenile justice system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A total of \$51,700,000 was appropriated in FY 2008 and used: Block in the following areas: (1) Developing, implementing, and administering graduated sanctions for juvenile offenders. (2) Building, expanding, renovating or operating temporary or permanent juvenile correction, detention, or corrections facilities. (3) Hiring juvenile court judges, probation officers, and court-appointed defenders and special advocates, and funding pretrial services (including mental health screening and assessment) for juvenile offenders, to promote the effective and expeditious administration of the juvenile justice system. (4) Hiring additional prosecutors so that more cases involving violent juvenile offenders can be prosecuted and case backlogs reduced. (5) Providing funding to enable prosecutors to address drug, gang, and youth violence problems more effectively and for technology, equipment and training to assist prosecutors in identifying and expediting the prosecution of violent juvenile offenders. (6) Establishing and maintaining training programs for law enforcement and other court personnel with respect to preventing and controlling juvenile crime. (7) Establishing juvenile gun courts for the prosecution and adjudication of juvenile firearms offenders. (8) Establishing drug court programs for juvenile offenders that provide continuing judicial supervision over juvenile offenders with substance abuse problems and the integrated administration of other sanctions and services for such offenders. (9) Establishing and maintaining a system of juvenile records designed to promote public safety. (10) Establishing and maintaining interagency information-sharing programs that enable the juvenile and criminal justice systems, schools, and social services agencies to make more informed decisions regarding the early identification, control, supervision, and treatment of juveniles who repeatedly commit serious delinquent or criminal acts. (11) Establishing and maintaining accountability-based programs designed to reduce recidivism amount juveniles who are referred by law referred by law enforcement personnel or agencies. (12) Establishing and maintaining programs

to conduct risk and needs assessments of juvenile offenders that facilitate effective early intervention and the provision of comprehensive services, including mental health screening and treatment and substance abuse testing and treatment, to such offenders. (13) Establishing and maintaining accountability-based programs that are designed to enhance school safety. (14) Establishing and maintaining restorative justice programs. (15) Establishing and maintaining programs to enable juvenile courts and juvenile probation officers to be more effective and efficient in holding juvenile offenders accountable and reducing recidivism. (16) Hiring detention and corrections personnel and establishing and maintaining training programs for such personnel, to improve facility practices and programming. (17) Establishing, improving and coordinating pre-release and post-release systems and programs to facilitate the successful reentry of juvenile offenders from state and local custody in the community. Up to 10% of appropriated funds are available to support research, evaluation, and demonstration projects consistent with this program. Input will be solicited from the States to determine which of the 17 areas are most important and where the greatest needs are. This information will guide and provide insight for research, evaluation, and demonstration activities under this program. Training and technical assistance funds, 2% of appropriated funds, are available to support the 17 program areas targeted by the JABG Program.

**Applicant Eligibility:**

Each State and territory (except Palau) is eligible to receive an allocation and award of funds for State and units of local government if the Governor certifies-, consistent with guidelines established by the Attorney General.

**Beneficiary Eligibility:**

All States and territories are eligible to receive an allocation and award of funds for State and units of local government. Funds are available to public and private agencies, organizations, or individuals to apply for discretionary and training and technical assistance funds.

**Credentials/Documentation:**

Each applicant must submit a completed application, including signed assurances that it will comply with statutory and administrative requirements. For Research and Evaluation grants, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System. The receipt, review and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. The State Relations and Assistance Division is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

**Award Procedure:**

A letter with copies of the grant award is sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs. Local units of government will receive JABG funds through the applicant agency subgrant award process. Each State and territory that receives monies under the JABG program must establish an interest-bearing trust fund to deposit program funds. Each State and territory (recipient) or unit of local government (subrecipient) that receives program funds must establish a coordinated enforcement plan for reducing juvenile crime, developed by an Advisory Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Formula grant applications will generally be approved within 30 to 45 days of receipt of a complete application. Discretionary grant applications generally take 2 to 4 months.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR, Part 18, of the Department of Justice Regulations.

**Renewals:**

Renewals are subject to appropriations.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 10.%. Public Law 107-273 allocates 0.5 percent of the appropriated amount for each State and territory and of the total funds remaining, allocates to each State an amount that bears the same ratio as the population of people under the age of 18 living in each State for the most recent calendar year in which the data is available. The Program requires a cash match of 10 percent of total program costs; Federal funds may not exceed 90 percent of total program costs. (Each State and territory that receives money under the JABG program must establish an interest-bearing trust fund to deposit program funds.) Interest derived from the award does not have to be matched, but interest generated from the trust fund cannot be used to match the Federal award. Matching contributions need not be applied at the exact time or in proportion to the obligation of Federal funds. However, the full match amount must be obligated by the end of the 36 month project period. For discretionary grants, no match is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Formula grant awards are made for 36 months; discretionary grants are generally for 1 to 3 years. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress reports are required. Quarterly financial reports are required. Performance measure data, as specified in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as described in OJP's Financial Guide, Chapter 19.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$46,587,643; FY 09 est \$55,000,000; FY 10 est \$55,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OJJDP's National Training and Technical Assistance Center (NTTAC) serves as the national training and technical assistance provider for the JABG program to ensure that comprehensive support is available to states and units of local government. SRAD is working with the Designated State Agencies (DSAs) to help assure the timely award of allocations to Units of local government, and where appropriate approve waiver requests to retain a percentage of funds at the State level equal to the State's level of primary financial burden for the administration of juvenile justice within the twelve program purpose areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

OJP Financial Guide.

### Regional or Local Office:

None. Gregory Thompson, Associate Administrator, State Relations and Assistance Division, Telephone: (202) 307-5924, or Thomas Murphy, Program Manager; Telephone: (202) 353-8734; and Jeff Slowikowski, Associate Administrator, Demonstration Programs Division, Telephone: (202) 616-3646.

### Headquarters Office:

Lou Ann Holland Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 305-2742

### Website Address:

<http://www.usdoj.gov>.

## RELATED PROGRAMS:

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: In addition to the FY 2008 Block Grant awards, funds were awarded to several tribal entities and a tribal training and technical assistance provider to enhance OJJDP's effort to provide funds to Indian Country. Additionally, an award was made to the National Training and Technical Assistance Center. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

Criteria are established by the Juvenile Accountability Block Grants (JABG) FY 2002 Guidance Manual as established by the Office of Juvenile Justice and Delinquency Prevention.

## 16.524 LEGAL ASSISTANCE FOR VICTIMS

### FEDERAL AGENCY:

Violence Against Women Office, Department of Justice

### AUTHORIZATION:

Violence Against Women Act of 2000, Section 1201, 42 U.S.C. 3796gg-6, as amended; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 103, Public Law 109-162.

### OBJECTIVES:

These grants are for increasing the availability of comprehensive and criminal legal services to victims of domestic violence, dating violence, sexual assault, and stalking in matters arising from the abuse or violence. The goal is to develop innovative, collaborative programs within the legal system that promote victim safety and increase victim economic autonomy.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The Legal Assistance for Victims Grant Program provides an opportunity for communities to enhance legal assistance for victims. Funds may be used: (1) to implement, expand, and establish cooperative efforts and projects between domestic violence, dating violence, and sexual assault victim services organizations and legal assistance providers to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault; (2) to implement, expand, and establish efforts and projects to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault by organizations with a demonstrated history of providing direct legal or advocacy services on behalf of these victims; and (3) to provide training, technical assistance, and data collection to improve the capacity of grantees and other entities to offer legal assistance to victims of domestic violence, dating violence, stalking, and sexual assault.

### Applicant Eligibility:

Eligible grantees for this program are private, nonprofit entities, Indian tribal governments and tribal organizations, territorial organizations, and publicly funded organizations not acting in their governmental capacity, such as law schools.

### Beneficiary Eligibility:

Beneficiaries include public or private nonprofit entities providing legal assistance primarily to victims of domestic violence, sexual assault, and or stalking.

### Credentials/Documentation:

Grantees must certify that any person providing legal assistance has completed or will complete training that was developed with a domestic violence, dating violence, stalking, or sexual assault coalition or program and that the grantee's policies do not require mediation or counseling of offenders and victims together. Grantees must also verify that any person or organization providing legal assistance has informed and will continue to inform State, local, or tribal domestic violence or sexual assault programs and coalitions and appropriate State, territorial, tribal, and local law enforcement of their work. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

An applicant should consult the office designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply online through the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

### Award Procedure:

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Applicants will be notified by the end of the fiscal year.

### Appeals:

Not Applicable.

### Renewals:

Continuation grant awards are competitively selected and determined on a case-by-case basis.

### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

### Reports:

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out

and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$27,671,944; FY 09 est \$29,392,105; FY 10 est \$29,686,026

**Range and Average of Financial Assistance:**

Range: \$226,000 - \$33,205,899;

Average: \$16,715,949.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 242

Awards: 66. Fiscal Year 2009: Applications: 256

Awards: 231. Fiscal Year 2010: Awards: 260.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable. Legal Assistance for Victims Grantee Policy Guidebook.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual Application Kit.

**16.525 GRANTS TO REDUCE DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ON CAMPUS FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.

**OBJECTIVES:**

To develop and strengthen effective security and investigation strategies to combat domestic violence, dating violence, sexual assault, and stalking on campuses, and to develop and strengthen victim services in cases involving such crimes against women on campuses, which may include partnerships with

local criminal justice authorities and community-based victim services agencies.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Funds may be used for one or more of the following statutory program purpose areas: (1) To provide personnel, training, technical assistance, data collection, and other equipment with respect to the increased apprehension, investigation, and adjudication of persons committing domestic violence, dating violence, sexual assault, and stalking on campus. (2) To develop and implement campus policies, protocols, and services that more effectively identify and respond to crimes of domestic violence, dating violence, sexual assault, and stalking, and to train campus administrators, campus security personnel, and personnel serving on campus disciplinary or judicial boards on such policies, protocols, and services.(3) To implement and operate education programs for the prevention of domestic violence, dating violence, sexual assault, and stalking. (4) To develop, enlarge, or strengthen victim services programs on the campuses of the institutions involved, including programs providing legal, medical, or psychological counseling, for victims of domestic violence, dating violence, sexual assault, and stalking, and to improve delivery of victim assistance on campus. To the extent practicable, such an institution shall collaborate with any entities carrying out nonprofit and other victim services programs, including domestic violence, dating violence, sexual assault, and stalking victim services programs in the community in which the institution is located. If appropriate victim services programs are not available in the community or are not accessible to students, the institution shall, to the extent practicable, provide a victim services program on campus or create a victim services program in collaboration with a community-based organization. The institution shall use not less than 20 percent of the funds made available through the grant for a victim services program provided in accordance with this paragraph. (5) To create, disseminate, or otherwise provide assistance and information about victims' options on and off campus to bring disciplinary or other legal action, including assistance to victims in immigration matters. (6) To develop, install, or expand data collection and communication systems, including computerized systems, linking campus security to the local law enforcement for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions with respect to the crimes of domestic violence, dating violence, sexual assault, and stalking on campus. (7) To provide capital improvements (including improved lighting and communications facilities but not including the construction of buildings) on campuses to address the crimes of domestic violence, dating violence, sexual assault, and stalking. (8) To support improved coordination among campus administrators, campus security personnel, and local law enforcement to reduce domestic violence, dating violence, sexual assault, and stalking on campus.

**Applicant Eligibility:**

Institutions of higher education as defined under the Higher Education Amendments of 1998 that are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Sec. 486 (e) (1998). A consortia of institutions of higher education may also apply for these grants provided that each individual consortium member is also eligible to apply.

**Beneficiary Eligibility:**

Institutions of higher education.

**Credentials/Documentation:**

Applicants must certify that they are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Section 486 (e) (1998) In addition, applicants must meet the following minimum requirements: (1) Collaborate with at least one nonprofit, nongovernmental victim services agency within the community and criminal justice or civil legal agencies (2) Create a coordinated community response to violence against women on campus (3) Establish a mandatory intervention and education campaign for all incoming students (4) Train campus police to respond effectively to domestic violence, dating violence, sexual assault, and stalking (5) Train members of campus disciplinary boards to respond effectively to charges of domestic violence, dating violence, sexual



assault, and stalking. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, an electronic notification will be sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis and competitively selected.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete and accurate records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$6,442,850; FY 09 est \$10,589,062; FY 10 est \$11,647,968

**Range and Average of Financial Assistance:**

Range: \$275,000 - \$550,000;  
Average: \$412,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 132  
Awards: 21. Fiscal Year 2009: Applications: 61  
Awards: 58. Fiscal Year 2010: Awards: 100.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by Violence Against Women and Department of Justice Reauthorization Act of 2005 and published program guidelines.

**16.526 OVW TECHNICAL ASSISTANCE INITIATIVE**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, Section 3(a), 42 U.S.C. 13925(b)(11).

**OBJECTIVES:**

To provide communities with critical resources that help them forge partnerships across agencies and disciplines to respond effectively to violent crimes against women. OVW's Technical Assistance Program was created to provide grantees with the expertise and support they need to develop and implement successful local projects, increase victim safety, and bolster offender accountability. Grantees participate in educational initiatives, conferences, peer-to-peer consultations, and targeted assistance that allow them to learn from experts and one another about how to overcome obstacles and incorporate promising practices in their efforts to address violence against women. In addition, the Technical Assistance Program focuses on building the capacity of national criminal justice and victim advocacy organizations to effectively address violent crimes against women and examine issues of special interest to OVW and its constituents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

OVW funds a constellation of technical assistance projects to support the

activities of its grantees and to forge partnerships among organizations that have not traditionally worked together to address domestic violence, dating violence, sexual assault, or stalking. Grantees learn from national experts and each other how best to develop and implement locally responsive programs. OVW encourages applicants to the Technical Assistance Program to design educational initiatives that are interactive and experiential and that seek to change values and attitudes that have traditionally prevented victim advocates and criminal justice professionals from responding effectively to sexual assault, domestic violence, dating violence, and stalking. Applicants proposing education programs must detail the adult education methods they will use to promote new insight, knowledge, skills, and abilities in the individuals with whom they propose to work.

**Applicant Eligibility:**

Eligible applicants are organizations or individuals partnered with organizations.

**Beneficiary Eligibility:**

Beneficiaries are organizations or individuals partnered with organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

No statutory rights of appeal.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$13,759,046; FY 09 est \$48,840,973; FY 10 est \$57,153,038 - Past FY 2008  
Recovery Act: N/A  
Budget: \$13,759,046.00  
Total: \$13,759,046.00

Current FY 2009  
Recovery Act: \$0.00  
Budget: \$48,840,973.00  
Total: \$48,840,973.00

Budget FY 2010:  
Recovery Act: \$2,000,000.00  
Budget: \$55,153,037.50  
Total: \$57,153,037.50.

**Range and Average of Financial Assistance:**

Range  
Recovery Act: \$17,000 - \$836,618  
Budget: \$10,000 - \$2,750,000  
Total: \$27,000 - \$3,586,618

Average  
Recovery Act: \$426,809  
Budget: \$1,380,000  
Total: \$1,806,809.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applicants: 13  
Awards: 12  
Recovery Act N/A. Fiscal Year 2009: Applicants: 13  
Awards (Recovery Act): 4  
Awards (Budget): 12. Fiscal Year 2010: Awards (Recovery Act): 4  
Awards (Budget): 12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia  
20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.524 Legal Assistance for Victims; 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual Call for Concept Papers.

**16.527 SUPERVISED VISITATION, SAFE HAVENS FOR CHILDREN**

(Supervised Visitation)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Victims of Trafficking and Violence Protection Act of 2000; Public Law 106-386, Section 1301, as amended; 42 U.S.C. 10420; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 306, Public Law 109-162.

**OBJECTIVES:**

To provide an opportunity for communities to support supervised visitation and safe exchange of children, in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available for one or more of the following statutory purposes: (1) to provide supervised visitation and safe visitation exchange of children by and between parents in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking; (2) to protect children from the trauma of witnessing domestic or dating violence or experiencing abduction, injury, or death during parent and child visitation exchanges; (3) to protect parents or caretakers who are victims of domestic and dating violence from experiencing further violence, abuse, and threats during child visitation exchanges; and (4) to protect children from the trauma of experiencing sexual assault or other forms of physical assault or abuse during parent and child visitation and visitation exchanges.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, and units of local government.

**Beneficiary Eligibility:**

Beneficiaries include public and private nonprofit entities that provide supervised visitation and safe exchange of children.

**Credentials/Documentation:**

Applicants must demonstrate expertise in the area of family violence, including the areas of domestic violence or sexual assault, as appropriate; ensure that any fees charged to individuals for use of programs and services are based on the income of those individuals, unless otherwise provided by court order; demonstrate that adequate security measures, including adequate facilities, procedures, and personnel capable of preventing violence, are in place for the operation of supervised visitation programs and services or safe visitation exchange; and prescribe standards by which the supervised visitation or safe visitation exchange will occur. In addition, all applicants are required to enter into a collaborative working relationship with state or local courts and a

nonprofit, nongovernmental victim services provider in the local community to be served, such as the State or tribal domestic violence coalition, State or tribal sexual assault coalition, local shelters, and programs for domestic violence and sexual assault victims. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual application kit. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$10,413,671; FY 09 est \$9,067,903; FY 10 est \$11,788,274

**Range and Average of Financial Assistance:**

Range: \$400,000 - \$400,000;

Average: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 88

Awards: 29. Fiscal Year 2009: Applications: 88

Awards: 20. Fiscal Year 2010: Awards: 20.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.528 ENHANCED TRAINING AND SERVICES TO END VIOLENCE AND ABUSE OF WOMEN LATER IN LIFE**

(Elder Abuse, Neglect, and Exploitation)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, section 205(a); Victims of Trafficking and Violence Protections Act of 2000; Public Law 106-386; 42 U.S.C. 14041a.

**OBJECTIVES:**

To provide training, services, and collaboration to address the needs of victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory purposes: (1) training programs

to assist law enforcement, prosecutors, governmental agencies, victim assistants, and relevant officers of Federal, State, tribal, territorial, and local courts in recognizing, addressing, investigating, and prosecuting instances of elder abuse, neglect, and exploitation, including domestic violence, dating violence, and sexual assault, or stalking against victims who are 50 years of age or older; (2) providing or enhancing services for victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, or stalking, who are 50 years of age or older; (3) creating or supporting multidisciplinary collaborative community responses to victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older; and (4) conducting cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**Applicant Eligibility:**

Eligible applicants include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants are notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 36 months for new recipients; up to 24 months for continuation recipients. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. Cash reports are not applicable. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$3,497,172; FY 09 est \$3,648,598; FY 10 est \$3,648,598

**Range and Average of Financial Assistance:**

Range: \$150,000 - \$399,911;  
Average: \$274,955.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 53  
Awards: 10. Fiscal Year 2009: Applications: 58  
Awards: 44. Fiscal Year 2010: Applications: 65.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities ; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and

Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.529 EDUCATION, TRAINING, AND ENHANCED SERVICES TO END VIOLENCE AGAINST AND ABUSE OF WOMEN WITH DISABILITIES**

(Disability Grant Program)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Victims of Trafficking and Violence Protections Act of 2000, Section 1402, 42 U.S.C. 3796gg-7), as amended; ; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title II, Section 204, Public Law 109-162.

**OBJECTIVES:**

To provide training, consultation, and information on domestic violence, dating violence, stalking, and sexual assault against individuals with disabilities (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)); and to enhance direct services to such individuals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants awarded under this program shall be used for the following statutory program purposes: (1) to provide personnel, training, technical assistance, advocacy, intervention, risk reduction and prevention of domestic violence, dating violence, stalking, and sexual assault against disabled individuals; (2) to conduct outreach activities to ensure that disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault receive appropriate assistance; (3) to conduct cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving individuals with disabilities about risk reduction, intervention, prevention and the nature of domestic violence, dating violence, stalking, and sexual assault for disabled individuals; (4) to provide technical assistance to assist with modifications to existing policies, protocols, and procedures to ensure equal access to the services, programs, and activities of victim service organizations for disabled individuals; (5) to provide training and technical assistance on the requirements of shelters and victim services organizations under Federal antidiscrimination laws, including: (A) the Americans with Disabilities Act of 1990; and (B) section 504 of the Rehabilitation Act of 1973; (6) to modify facilities, purchase equipment, and provide personnel so that shelters and victim service organizations can accommodate the needs of disabled individuals; (7) to provide advocacy and intervention services for disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault; or (8) to develop model programs providing advocacy and intervention services within organizations serving disabled individuals who are victims of domestic violence, dating violence, sexual assault, or stalking. (Grants for this purpose may only be awarded to an eligible agency as defined in section 410 of the Rehabilitation Act of 1973 (29 U.S.C. 796f-5)).

**Applicant Eligibility:**

States, units of local government, Indian tribal governments or tribal organizations, and nonprofit, nongovernmental victim services organizations, such as state domestic violence or sexual assault coalitions or nonprofit, nongovernmental organizations serving disabled individuals. For profit organizations and individuals are not eligible.

**Beneficiary Eligibility:**

Beneficiaries include victim service agencies who respond to crime victims who are individuals with disabilities.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than 9 months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$7,055,000; FY 09 est \$5,919,309; FY 10 est \$5,919,309

**Range and Average of Financial Assistance:**

Range: \$400,000 - \$650,000;

Average: \$525,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 53

Awards: 10. Fiscal Year 2009: Applications: 58

Awards: 44. Fiscal Year 2010: Applications: 65.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.540 JUVENILE JUSTICE AND DELINQUENCY PREVENTION\_ALLOCATION TO STATES**

(State Formula Grants)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 2002, Sections 221-223, 42 U.S.C. Sections 5631-5633.

**OBJECTIVES:**

To increase the capacity of State and local governments to support a variety of programs related to delinquency prevention and reduction, juvenile justice system improvement, research, evaluation, statistical analysis, and training and technical assistance.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program, established by the Juvenile Justice and Delinquency Prevention Act of 2002, allocates formula grant funds to States and territories on the basis of their relative population under age 18. The minimum allocation to each State is \$600,000 and to the Territories is \$100,000. States/Territories must demonstrate compliance with four core requirements of the JJDP act in order to receive their full allocation of Formula Grants funds. The core requirements

are: Section 223(a) (11) deinstitutionalization of status offenders; (12) separation of adults and juveniles in secure custody; (13) removal of juveniles from adult jails and lockups; and (22) the elimination of the disproportionate contact of minority juveniles, where such conditions exist. The State's allocation will be reduced by 20 percent for each core requirement with which the State is in non-compliance. Technical Assistance: Not in excess of two percent of the funds available each fiscal year to formula grants is available for grants and contracts with public and private agencies, organizations and individuals to provide assistance to States, units of general local governments, and combinations thereof, and local private agencies to facilitate compliance with Section 223 of the JJDP Act and implementation of the State Plan approved by OJJDP. Technical assistance provided under this provision is coordinated with the State agencies designated to implement the formula grants program. To be eligible for formula grant funds, a State must submit electronically a comprehensive plan applicable to a 3-year period embodying the purposes of the Act and including provisions that: (1) provide for an advisory group appointed by the chief executive of the State to carry out specified functions and to participate in the development and review of the State's juvenile justice plan; (2) provide that juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, or offenses which do not constitute violations of valid court orders or such non-offenders as dependent and neglected children, are removed from secure juvenile detention and secure correctional facilities; (3) provide that juveniles alleged to be or found to be delinquent and youths within the purview of the deinstitutionalization core requirement not be confined or detained in any institution in which they have contact with adult persons incarcerated because they have been convicted of a crime or are awaiting trial on criminal charges; (4) provide that no juvenile shall be detained or confined in any jail or lockup for adults (with specified exceptions); and (5) provide for programs to eliminate the disproportionate contact of minority juveniles where such condition exists. Once the plan is approved, each State determines the specific programs to be funded. The States are responsible for processing applications for subgrants and administering funded projects. Two-thirds of funds must be passed through to units of general local government, private nonprofit agencies, and Indian Tribes performing law enforcement functions unless a waiver is granted.

**Applicant Eligibility:**

The Chief Executive of each State which chooses to apply for a formula grant shall establish or designate a State agency as the sole agency for supervising the preparation and administration of the plan, in accordance with the Juvenile Justice and Delinquency (JJDP) Act of 2002. Technical Assistance: Grants and contracts may only be made to agencies, organizations and individuals that have experience in providing technical assistance to State agencies in implementing State plans, and in facilitating compliance with Section 223 of the JJDP Act, Public Law 102-586.

**Beneficiary Eligibility:**

Units of a State and its local government, public and private organizations, Indian tribes performing law enforcement functions, and agencies involved in juvenile delinquency prevention, treatment, and rehabilitation.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

A letter with copies of the grant award and special conditions are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Formula Grants Plans will generally be approved within 30 to 45 days of receipt of a complete application. Technical Assistance: Approval/disapproval time is provided on three levels (immediate response, total system response, and specialized, developmental response) from one to two hours to ten days.

**Appeals:**

Hearings held by OJJDP. Technical assistance: Federal Acquisition Regulations apply.

**Renewals:**

Comprehensive Plan submission required every 3 years. Annual updates and applications required each of the other 2 years. Technical Assistance: Contracts are renewed throughout contract modifications and competition processes.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fiscal year action funds may be carried forward for obligation for 2 years subsequent to the fiscal year of award. Under a Letter of Credit, drawdowns may be made. Technical Assistance: Three year incremental contract is funded. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year).

**Records:**

Grantee must keep complete records on disposition of funds.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$64,169,525; FY 09 est \$75,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Allocation of formula grants to States and territories are based on of relative populations under 18.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 55 out of 56 eligible States and territories participated in the Formula Grant Program. All participating States and territories are required to establish systems for monitoring jails, lockups and other facilities which may be used to detain or incarcerate juveniles. Substantial progress has been made in the removal of nonoffender juveniles from these

institutions. All participating States must collect data and initiate activities to eliminate the disproportionate confinement of minority juveniles, where such conditions exist. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for Formula Grants (28 CFR Part 31) and OJP Financial Guide applicable editions.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lou Ann Holland Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 305-2742

**Website Address:**

<http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

16.541 Part E - Developing, Testing and Demonstrating Promising New Programs; 16.548 Title V\_Delinquency Prevention Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the regulations governing the Formula Grant Program provisions of the Juvenile Justice and Delinquency Prevention Act as published in the Federal Register.

**16.541 PART E - DEVELOPING, TESTING AND DEMONSTRATING PROMISING NEW PROGRAMS**

(Program Grants, Discretionary Grants and Contracts)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 2002, Sections 261, 262, Public Law 93-415, as amended; Public Laws 95-509, 98-473, 100-690, and 102-586, 42 U.S.C. 5601 et seq.

**OBJECTIVES:**

To develop and implement programs that design, test, and demonstrate effective approaches, techniques and methods for preventing and controlling juvenile delinquency such as community based- alternatives to institutional confinement; developing and implementing effective means of diverting juveniles from the traditional juvenile justice system; programs stressing advocacy activities aimed at improving services to youth impacted by the juvenile justice system; model programs to strengthen and maintain the family unit including self-help programs; prevention and treatment programs relating to juveniles who commit serious crimes; programs to prevent hate crimes; programs to provide aftercare and reintegration services; programs to prevent youth gun and gang violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

To be eligible for an Award or contract under Part E, an applicant must: (1) respond to legislative requirements contained in Section 261 (a) and (b) of the JJDP Act, as amended as well as specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP; (3) provide for proper program administration, evaluation, and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; and (5) respond to clear and documentable needs.

**Applicant Eligibility:**

Part E funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies,

organizations, individuals, Indian Tribal government, State and local units of government, combinations of State or local units. (Section 263 of JJDP Act as Amended.).

**Beneficiary Eligibility:**

Public and private youth serving agencies/organizations, State and local units of government, combinations of such units, or other private agencies, organizations, institutions or individuals.

**Credentials/Documentation:**

Administration and cost appropriateness will be determined in accordance with the provisions of OMB circulars and government-wide common rules applicable to grants and cooperative agreements, including OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant must submit an application electronically through the Office of Justice Programs' Grant Management System or grants.gov as directed by the program announcement. Applicants are expected to address each concern or requirement in the guidelines as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. A peer review group is established as mandated in Section 262(d)(1)(A) of JJDP Act and applications are rated and ranked in relation to pre-defined selection criteria. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

**Award Procedure:**

Assistance awards and contracts are awarded directly to applicants Deadlines (094):

Published in program announcements or requests for proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Informal reconsideration by Administrator for assistance applicants, administrative hearings for assistance award terminations. See CFR Part 18, 50 FR 28199, July 11, 1985.

**Renewals:**

Continuation grant, supplemental award or contract modification.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Initial Awards usually are made for 12 to 36 months with further funding based upon the project period, grantee performance, and availability of funds. Drawdowns are possible under a Letter of Credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual progress reports and quarterly financial reports are required.

Quarterly financial reports are required. Semi-annual progress reports.

Quarterly financial reports are required. Semi-annual progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years after the date of the final report.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$88,302,463; FY 09 est \$82,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2006, OJJDP provided funding to over 350 Congressional earmark programs across the nation. Programs funded focused on preventing, reducing, and controlling juvenile delinquency. Examples of the types of programs funded include: mentoring, gang prevention and intervention, truancy reduction, bullying, life skills development for youth, school-based mental health, school-based probation, aftercare/reentry, family strengthening/parenting, and diversion programs. In FY 2007, Part E funds were used to support over 30 grant awards in three program areas: national juvenile justice programs; substance abuse prevention and intervention programs; and prevention and intervention programs. In FY 2008, the funds were awarded to approximately 350 congressionally mandated earmark programs. A list of these programs may be viewed at the agency's Web site, <http://www.ojjdp.ncjrs.org/funding/fy08awards.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Developing, Testing and Demonstrating Promising New Programs awards are governed by the OJP Financial Guide which is available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lou Ann Holland Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 305-2742

**Website Address:**

<http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

16.540 Juvenile Justice and Delinquency Prevention\_Allocation to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Under the Demonstration Programs discretionary program Developing, Testing and Demonstrating Promising New Programs Program, several programs were continued in FY 2007. Examples of funded projects include Girls and Boys Town USA Father Flanagan; Big Brothers/Big Sisters of America; FirstPic; and Boys and Girls clubs of America. In addition, over 30 grant awards were made in three program areas: national juvenile justice programs; substance abuse prevention and intervention programs; and prevention and intervention programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in

the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy 28 CFR Part 34.

**16.543 MISSING CHILDREN'S ASSISTANCE**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act, Section 405, 42 U.S.C. Section 5775, The Missing Children's Assistance Act, and the Protect Our Children Act of 2008.

**OBJECTIVES:**

To coordinate Federal missing and exploited children activities and to support research, training, technical assistance, and demonstration programs to enhance the overall response to missing children and their families. Establish and maintain a national resource center and clearinghouse dedicated to missing and exploited children issues that: (1) provides a toll-free hotline where citizens can report investigative leads and parents and other interested individuals can receive information concerning missing children; (2) provides technical assistance to parents, law enforcement, and other professionals working on missing and exploited children cases; (3) promotes information sharing and provides technical assistance by networking with regional nonprofit organizations, State missing children clearinghouses, and law enforcement agencies; (4) develops publications that contain practical, timely information; and (5) provides information regarding programs offering free or low-cost transportation services that assist in reuniting children with their families. On a periodic basis, as funding is designated by Congress for this purpose, conduct national incidence studies to determine the type and extent of missing children in America. Support law enforcement demonstration programs (e.g., the Internet Crimes Against Children Task Force Program) to enhance the investigative response to missing and exploited children cases. Support research to broaden understanding of a wide range of missing and exploited children issues (e.g., abduction homicide investigation solvability factors), to inform training and technical assistance efforts and to identify promising practices and programs for replication. Develop training programs for law enforcement, child protective services, medical personnel, and prosecutors to enhance coordination and effectiveness of missing and exploited children investigations and to enhance the overall system response. Identify service gaps and develop programs to meet specialized needs of parents or guardians of children who are reported missing.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Administrator is authorized to make grants to and enter into contracts with public agencies or private nonprofit organizations, or combinations thereof, for research, demonstration projects, or service programs designed (1) to educate parents, children, and community agencies and organizations in ways to prevent the abductions and sexual exploitation of children; (2) to provide information to assist in the locating and return of missing children; (3) to aid communities in the collection of materials which would be useful to parents in assisting others in the identification of missing children; (4) to increase knowledge of and develop effective treatment pertaining to the psychological consequences, on both parents and children, of (a) the abduction of a child, both during the period of disappearance and after the child is recovered; and (b) the sexual exploitation of a missing child; (5) to collect detailed data from selected States or localities on the actual investigative practices utilized by law enforcement agencies in missing children's cases; (6) to address the particular needs of missing children by minimizing the negative impact of judicial and law enforcement procedures on children who are victims of abuse or sexual exploitation and by promoting the active participation of children and their families in cases involving abuse or sexual exploitation of children; (7) to address the needs of missing children and their families following the recovery of such children; and (8) reduce the likelihood that individuals under 18 years of age will be removed from the control of such individuals legal custodians without such custodians' consent; (9) and to establish or operate statewide clearinghouses to assist in recovering or locating missing children.

**Applicant Eligibility:**

Missing Children's funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies, organizations, individuals, State and local units of government, combinations of State or local units.

**Beneficiary Eligibility:**

State and local units of government, private nonprofit agencies, organizations, institutions or individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications following directions from the Office of Justice Programs. Unsolicited applications are not accepted. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Successful applicants are notified by the Office of Justice Programs according to established procedures. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 6 months.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Supplemental grants or contract modification.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Initial awards usually are made for 12 to 36 months with further funding based upon the project period and grantee performance. Drawdowns are possible under a Letter of Credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Contact Program Office. Contact Program Office. Contact Program Office. Contact Program Office. Contact Program Office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Effective 6/30/2004 (increase from 300,000 to \$500,000) All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$46,774,841; FY 09 est \$70,000,000; FY 10 est \$60,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 Missing Children's Assistance funds were used to support the operation of the National Center for Missing and Exploited Children, the AMBER Alert training and technical assistance program, the Association of Missing and Exploited Children's Organizations, and the Internet Crimes Against Children Task Force Program. Program accomplishments include the following: The Missing Child Hotline (1-800-THE-LOST). During FY 2007, NCMEC answered 109,004 calls on its hotline and assisted in the recovery of 11,066 children. The Child Victim Identification Program (CVIP), a mechanism to identify victims of child pornography, has been used to date to identify more than 260 children in pornographic images and videos. To date there are a total of 1,247 identified child victims in the system. NCMEC works with the private sector to distribute photos of missing children. During FY 2005, 221 children were found as a result of this program. NCMEC uses computer technology and graphic artists to age progress photos of long-term missing children. Almost 600 missing children whose photographs were computer age enhanced have been located, and 20 unidentified deceased children have been identified as a result of NCMEC's imaging specialists' work on facial reconstructions. Project Alert. NCMEC provides targeted fax distribution for missing-child posters. Utilizing the coded databases of 4 million fax numbers, NCMEC distributes more than 50,000 fax transmissions per month to law-enforcement personnel, media outlets, and the general public. Now numbering 59, the ICAC Task Forces are on the front line addressing computer facilitated child sexual exploitation through aggressive investigations, prosecutions, computer forensics and community outreach. The Task Forces have become regional centers of technical and investigative expertise offering both prevention and investigative services to youth, parents, educators, law enforcement, and others working on child sexual exploitation issues. Since the program's inception in 1998, the Task Forces have reviewed over 200,000 complaints over the last nine years, resulting in the arrest of almost 11,000 individuals across the country intent on sexually victimizing children. Once source of complaints reviewed by the ICAC Task Forces is Cybertipline referrals forwarded from the National Center for Missing Exploited Children's. The Cybertipline has received over 500,000 tips and complaints since the system was activated in 1998. The ICAC Training and Technical Assistance Program, an OJJDP supported effort, provides training to tens of thousands of law enforcement personnel and prosecutors in the United States and around the world in 17 countries. In fiscal year 2007 alone, ICAC investigations led to more than 2,400 arrests and more than 10,500 forensic examinations. To date there have been 399 successful AMBER alert child recoveries. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lou Ann Holland Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 305-2742

**Website Address:**

<http://www.ojjdp.ncjrs.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, OJJDP made awards to State and local law enforcement agencies to support regional task forces to prevent, interdict, or investigate crimes against children by sex offenders using the Internet. Additional awards supported the National Center for Missing and Exploited Children national resource center and clearinghouse functions, operation of the Cyber Tipline, and continuation of the Jimmy Ryce Law Enforcement Training Center. OJJDP supported training and technical assistance programs to provide assistance to State clearinghouses, law enforcement, prosecutors, and other individuals or community organizations working on missing and exploited

children issues. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.544 GANG-FREE SCHOOLS AND COMMUNITIES\_COMMUNITY-BASED GANG INTERVENTION**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Sections 281 and 282, Public Law 93-415, as amended.

**OBJECTIVES:**

To prevent and to reduce the participation of juveniles in the activities of gangs that commit crimes. Such programs and activities may include: 1) individual, peer, family, and group counseling, including provision of life skills training and preparation for living independently, which shall include cooperation with social services, welfare, and health care programs; 2) education and social services designed to address the social and developmental needs of juveniles; 3) crisis intervention and counseling to juveniles, who are particularly at risk of gang involvement, and their families; 4) the organization of the neighborhood and community groups to work closely with parents, schools, law enforcement, and other public and private agencies in the community; and 5) training and assistance to adults who have significant relationships with juveniles who are or may become members of gangs, to assist such adults in providing constructive alternatives to participating in the activities of gangs. To develop within the juvenile adjudicatory and correctional systems new and innovative means to address the problems of juveniles convicted of serious drug-related and gang-related offenses. To provide treatment to juveniles who are members of such gangs, including members who are accused of committing a serious crime and members who have been adjudicated as being delinquent. To promote the involvement of juveniles in lawful activities in geographical areas in which gangs commit crimes. To promote and support, with the cooperation of community-based organizations experienced in providing services to juveniles engaged in gang-related activities and cooperation of local law enforcement agencies, the development of policies and activities in public elementary and secondary schools which will assist such schools in maintaining a safe environment conducive to learning. To assist juveniles who are or may become members of gangs to obtain appropriate educational instruction, in or outside a regular school program, including the provision of counseling and other services to promote and support the continued participation of such juveniles in such instructional programs. To expand the availability of prevention and treatment services relating to the illegal use of controlled substances and controlled substances analogues (as defined in paragraphs (6) and (32) of section 102 of the Controlled Substances Act (21 U.S.C. 802) by juveniles, provided through State and local health and social services agencies. To provide services to prevent juveniles from coming into contact with the juvenile justice system again as a result of gang-related activity. To provide services at a special location in a school or housing project. To facilitate coordination and cooperation among: 1) local education, juvenile justice, employment, and social service agencies; and 2) community-based programs with a proven record of effectively providing intervention services to juvenile gang members for the purpose of reducing the participation of juveniles in illegal gang activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To be eligible for an award or contract, an applicant must: (1) respond to legislative requirements contained in Section 281A and 282A of the JJDP Act, as amended as well as specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP; (3) provide for adequate program administration, evaluation and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; and (5) respond to clear and documentable needs.

**Applicant Eligibility:**

Part D funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public or private nonprofit agencies, organizations or individuals.

**Beneficiary Eligibility:**

Public or private nonprofit agencies, organizations or individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant submits proposal on Standard Form 424. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule. Proposals must be prepared and submitted in accordance with program announcements published by OJJDP in the Federal Register.

**Award Procedure:**

Award package is sent to grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Supplemental grants or contract modification.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Initial awards usually are made for a period of 12 to 18 months with further funding based upon the project period and grantee performance and availability of funds. Drawdowns are possible under a Letter of Credit. See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual and final financial and progress reports are required. Semiannual and final financial and progress reports are required. Performance measures are required.

**Audits:**

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

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years after the date of the final report.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$17,350,215; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2001, the Office of Juvenile Justice and Delinquency Prevention provided continuation funds to the National Youth Gang Center which assesses the nature and extent of the gang problem, reviews the current gang literature, advances statistical data collection and analyses, identifies promising program models, and integrates this body of information into user-friendly dissemination products. OJJDP also provided continuation funds to two existing demonstration sites to continue and enhance the implementation of a Comprehensive Community-Wide Approach to Gang Prevention, Intervention, and Suppression Program, which utilizes the program model developed by Dr. Irving Spergel and colleagues at the University of Chicago. These sites continued implementing the comprehensive model program which is based on a thorough assessment of the nature, causes, and extent of the community's gang violence problem. In addition, an Evaluation of the Comprehensive Community-Wide Approach to Gang Prevention, Intervention, and Suppression Program was provided continuation funds. In 2001, OJJDP funded the Rural Gang Initiative (RGI) which provides support to rural communities interested in addressing local gang problems using the OJJDP Comprehensive Model. OJJDP's Comprehensive gang model is also being implemented in 10 communities as part of the Gang Free Schools and Communities initiative. Four of these communities are demonstrating a school emphasis in their community-wide gang programs. The Boys and Girls Clubs of America (B&GCA) will continue to expand its efforts in preventing at-risk youth from becoming involved in gangs. During FY 2001, the Boys and Girls Clubs added 30 new gang prevention sites, 4 new gang intervention sites and 3 new "Targeted Reintegration" sites where clubs provide services to youth returning to the community from juvenile correctional facilities to help prevent them from returning to gangs and violence. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Office of Justice Programs (OJP) Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

OJJDP Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, Washington, District of Columbia 20351  
Phone: n/a

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.540 Juvenile Justice and Delinquency Prevention Allocation to States;  
16.541 Part E - Developing, Testing and Demonstrating Promising New Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded during fiscal year 2001 include continuation programs designed to prevent youth from entering gangs and to intervene with gang members and to divert them away from gangs and toward more constructive programs by providing education/recreation and counseling services; programs to prevent high school students from dropping out of school and joining gangs; several gang related research activities; and to provide training and technical assistance to key policy makers, and to foster improved public and private agency gang and drug prevention, intervention and suppression strategies. In addition, a comprehensive gang program that integrates the various components of the juvenile justice system with schools and supports the mobilization of the community to address the prevention of gang involvement and intervention with gangs to reduce violence. This program model also is being implemented as part of a larger effort to develop a "continuum of care" for youth in five additional communities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are assessed according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of each program announcement. Applications may undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy 28 CFR Part 34.

**16.547 VICTIMS OF CHILD ABUSE**

(Judicial Child Abuse Training, Investigation and Prosecution of Child Abuse Through the Criminal Justice System, Court Appointed Special Advocates (CASA), and Children's Advocacy Centers)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**OBJECTIVES:**

To develop model technical assistance and training programs to improve the courts' handling of child abuse and neglect cases to facilitate the adoption of laws to protect children against the potential second assault of the courtroom proceeding; to address the present situation in which many States have adopted innovative procedures that have far outpaced Federal law, leaving those children who do enter the Federal system inadequately protected; to address the inconsistency and disparity among State laws on child abuse; to train criminal justice system personnel on up-to-date, innovative techniques for investigating and prosecuting child abuse cases; and, to promote a multidisciplinary approach to coordinating the investigations and prosecution of child abuse cases and, thereby, limiting the number of pre-trial interviews a child must go through as well as better assure the accuracy of each interview, and to increase the number of communities making use of a Children's Advocacy Center approach to the investigation, prosecution and treatment of child abuse cases. The National Court Appointed Special Advocate Association provides technical assistance, information and support to local CASA programs, as well as assists communities in developing new programs, and provides support to existing and developing State organizations on issues such as the development of goals and objectives, State legislation, and State standards to strengthen local programs. Assist communities in developing child-focused programs designed to improve the resources available to children and families; provide support to non-offending family members; enhance coordination among community agencies, professionals, and provide medical support to health care and mental health care professionals involved in the intervention, prevention, prosecution, and investigation systems that respond to child abuse cases. The American Prosecutors Research Institute's National Center for the Prosecution of Child Abuse (NCPICA) pursues improvement of the quality of child abuse prosecution by providing training and technical assistance in the subject area.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of the Judicial Child Abuse Training, Investigation and Prosecution of Child Abuse Through the Criminal Justice System, Court Appointed Special Advocates (CASA), and the Regional and Local Advocacy Centers.

**Applicant Eligibility:**

Eligible applicants are designated in the congressional appropriations process for judicial child abuse training, investigation and prosecution of child abuse through the criminal justice system, and Court Appointed Special Advocates (CASA). Local nonprofit agencies/organizations may apply to National Court Appointed Special Advocates (NCASA) for State CASA programs and to start or expand local court appointed special advocate programs. Advocacy centers or agencies/organizations interested in start-up of children's advocacy centers may apply to the National Children's Alliance (NCA) for funds awarded to them by OJJDP for this purpose.

**Beneficiary Eligibility:**

Public or private agencies/organizations addressing child maltreatment.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Procedures for application for funds to support CASA programs will be available through competitive proposals issued by National Court Appointed Special Advocates (NCASA), 100 W. Harrison St., North Tower, Suite 500, Seattle, Washington 98119-4123; and funds to support local children's advocacy centers will be available through solicitations issued by the National Children's Alliance (NCA) 1612 K Street, NW., Ste 500, Washington, DC 20006.

**Award Procedure:**

Grantees are notified via the Grant Management System when an award is made. Procedures for applications for CASA and local children's advocacy funds will be provided in the solicitations for competitive proposals issued by NCASA and NCA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Please contact the program office for more information.

**Appeals:**

Please contact the program office for more information.

**Renewals:**

The terms for these grant program budget periods range from 12 to 36 months.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for a 12 to 24 month time period, but may be awarded for up to 36 month project period. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Semi-annual progress reports. Quarterly financial reports are required.

Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0405-0-1-754; 15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$30,534,353; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Victims of Child Abuse Act Programs enhance the coordination among community agencies and professionals responding to child abuse and neglect by: Establishing and strengthening facility-based, child-focused programs that coordinate the response to victims of child abuse through multidisciplinary teams; Preventing the inadvertent revictimization of an abused child by the justice and social service systems in their efforts to protect the child; Providing information, technical assistance and training at the local, state, regional, and national levels; Assisting communities seeking to improve their response to child abuse by supporting the development, growth, and continuation of children's advocacy centers; Providing training, technical assistance, and networking opportunities to local children's advocacy center programs nationally; Providing training and technical assistance to child abuse professionals across the country, especially those working within a child advocacy center or a multidisciplinary team; Providing training and technical assistance to prosecutors, investigators, and other professional personnel in the child protection field; Developing training curricula and guideline materials for the field; Developing State level capacity to train child abuse prosecutors, investigators, and related child protection practitioners. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current edition of the OJP Financial Guide is available at <http://www.ojp.usdoj.gov/finguide06/index.htm> .

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron Laney Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: 202-616-3637

**Website Address:**

<http://www.usdoj.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

By congressional designation, funds will be made available specifically for the Judicial Child Abuse Training to the National Council of Juvenile and Family Court Judges, for the Investigation and Prosecution of Child Abuse through the Criminal Justice System to the American Prosecutor Research Institute, Court Appointed Special Advocates and the National Court Appointed Special Advocate Association, for the development of local Children's Advocacy Centers through the National Children's Alliance Centers and the four Regional Children's Advocacy Centers.

**16.548 TITLE V DELINQUENCY PREVENTION PROGRAM**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To increase the capacity of State and local governments to support the development of more effective prevention programs to improve the juvenile justice system through risk and protective factor focused programming approach.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This program authorizes the Administrator to make grants to a State, to be transmitted through the State Advisory Group (SAG), to units of local government for delinquency prevention programming.

**Applicant Eligibility:**

All State agencies designated by the Chief Executive under Section 223(a)(1) of the 2002 JJDP Act are eligible to apply for Title V funds. States will invite units of local government that meet the statutorily mandated eligibility requirements to apply for funding and competitively select for funding those jurisdictions that meet the minimum selection criteria specified in the guidelines as published in the Federal Register, and other such criteria as the State shall adopt.

**Beneficiary Eligibility:**

Youth at risk of juvenile justice involvement and their families.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State applicants are submitted to OJJDP electronically following pre-established criteria.

**Award Procedure:**

After OJJDP awards grants to the States, the SAG, in consultation with the State Agency, awards subgrants to units of local government through a competitive process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Hearings for State applicants held by OJJDP, subject to applicable Federal regulations. Appeal process for units of local government are determined by each State, subject to applicable Federal regulations.

**Renewals:**

Applications are invited annually. Fund availability will be determined by Congressional appropriation.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 50%. Formula based on population of youth under the maximum age of original juvenile court delinquency jurisdiction.

State and/or units of local government must match Title V fund with a 50 percent cash or the value of in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants to States will be awarded for a 36-month project period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V. Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V. Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V. Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V.

Financial, subgrant data and others as required by effective edition of the OJP Financial Guide on a monthly, quarterly, semi-annually, and/or annual basis, and additional reporting requirements listed in OJJDP guidelines for Title V.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise.

These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year.

**Records:**

Recipients must keep complete records on disposition of funds.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$2,986,637; FY 09 est \$2,000,000; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for Formula Grants and the OJP Financial Guide applicable editions, and Title V guidelines issued by OJJDP.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Wolfe Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Email: Elizabeth.Wolfe@ojp.usdoj.gov Phone: 202-307-5924

**Website Address:**

<http://www.ojjdp.ncjrs.org/titleV>

**RELATED PROGRAMS:**

16.540 Juvenile Justice and Delinquency Prevention Allocation to States; 16.541 Part E - Developing, Testing and Demonstrating Promising New Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Programs implemented by participating communities include a broad range of prevention activities, from early child development strategies such as nurse home visitation and preschool/parent training programs to youth development initiatives involving the use of mentoring, after-school activities, tutoring, truancy and dropout reduction, substance abuse prevention, gang prevention outreach, and police/probation teams. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the Guideline governing the Title V Grant Program provisions of the JJDP Act as published in the Federal Register.

**16.550 STATE JUSTICE STATISTICS PROGRAM FOR STATISTICAL ANALYSIS CENTERS**

(SACs)

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3731-3732.

**OBJECTIVES:**

To provide financial and technical assistance to State governments for the establishment and operation of Statistical Analysis Centers (SACs) to collect, analyze, and disseminate justice statistics.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To improve the administration of justice by encouraging the development of State-level capabilities for collecting, analyzing, utilizing, and disseminating statistical information pertaining to crime, criminal justice, sex offenses, incident based reporting, and for providing statistical information to the Federal Government for national compilations. To analyze particular criminal justice issues of current concern and significance to criminal justice practitioners, as identified by BJS in conjunction with other Office of Justice Programs components, the Justice Research and Statistics Association, and selected SAC Directors. Further information is available in the "State Justice Statistics Program for Statistical Analysis Centers: Program Application Guidelines, 2009.

**Applicant Eligibility:**

Eligible applicants are State agencies whose responsibilities include statistical activities consistent with the goals of the specific programs and are designated as the State Statistical Analysis Center through an Executive Order or legislation.

**Beneficiary Eligibility:**

Eligible beneficiaries are State agencies whose responsibilities include statistical activities consistent with the goals of the specific programs.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Hearing by Director.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP). See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are due in GMS. Quarterly financial statements are due in GMS. Performance measure data, as specified in the solicitation, are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources including pass through sub awards) in the organizational fiscal year (12 month turn around reporting period) shall have a single organizational audit conducted in accordance with the provisions of OMB Circular A-133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from audit requirements for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least three years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,322,339; FY 09 est \$2,500,000; FY 10 est \$2,500,000

**Range and Average of Financial Assistance:**

\$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 42 cooperative agreements in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephanie L. Burroughs BJS, US Department of Justice, Washington, District of Columbia 20531 Email: [Stephanie.Burroughs@usdoj.gov](mailto:Stephanie.Burroughs@usdoj.gov) Phone: 202-514-9012

**Website Address:**

<http://www.ojp.usdoj.gov/bjs>

**RELATED PROGRAMS:**

16.734 Special Data Collections and Statistical Studies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Establishment of State statistical analysis centers; continued support of State-level statistical analysis centers; support for States to provide data for national reporting, and support for projects covered by SJS themes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the program announcement.

**16.554 NATIONAL CRIMINAL HISTORY IMPROVEMENT PROGRAM (NCHIP)**

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 105-251; 42 U.S.C. 3760.

**OBJECTIVES:**

To enhance the quality and completeness of the nation's criminal history record systems; to provide financial and technical assistance to States for the establishment or improvement of computerized criminal history record systems and in their efforts to collect data on stalking and domestic violence; to improve data accessibility and support data transmissions to national systems will permit the immediate identification of persons who are prohibited from purchasing firearms, are subject to domestic violence protective orders, or are ineligible to hold positions of responsibility involving children, the elderly, or the disabled; to support the development of accurate and complete State sex offender identification and registration systems which interface with the FBI's Sex Offender Registry and meet applicable Federal and State requirements; to develop and improve the processes for identifying, classifying, collecting, and entering data regarding stalking and domestic violence into local, State, and national crime information databases; to ensure that criminal justice systems are designed, implemented, or upgraded to be compliant where applicable, with the FBI operated National Instant Criminal Background Check System and Interstate Automated Fingerprint Identification System, meet other applicable statewide or regional criminal justice information sharing standards and plans; and, build upon ongoing efforts so as to support the wide range of technology based, criminal justice information, identification, and communications needs identified by the States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the NCHIP fiscal year 2008 Program Announcement released December 2007.

**Applicant Eligibility:**

Awards will be made to the agency designated by the Governor to administer the NCHIP program. An award will be made to each eligible applicant State. The designated agency may be the agency with primary responsibility for implementing the major activity to be funded with NCHIP funds or a parent agency with programmatic oversight over, and legislative authority to transfer funds to, such agency.

**Beneficiary Eligibility:**

Funds awarded to the State may be allocated for use in State or local agencies or the courts. Private organizations may receive funds under contract arrangements with a State agency or its subgrantees to which NCHIP funds are allocated by the State.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, a detailed budget, a budget narrative, and a program narrative including the accomplishments, goals, impact, methods, evaluation plan, and resources of the project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which can be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must

be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Hearing by Director.

**Renewals:**

Awards may be for up to 12 months. Activities must be completed by September 30, 2009.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Provision of a 20 percent cash or in-kind match by the recipient is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration period will be for up to 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP). See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for reporting periods June 30 and December 31. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS. Performance measures, as specified in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources including passthrough sub awards) in the organizational fiscal year (12 month turn around reporting period) shall have a single organizational audit conducted in accordance with the provisions of OMB Circular A133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from audit requirements for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754; 15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$11,973,610; FY 09 est \$13,000,000; FY 10 est \$13,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The NCHIP grant program is designed to improve the Nation's safety and security by enhancing the quality, completeness, and accessibility of criminal history record information and by insuring the nationwide implementation of criminal justice and noncriminal justice



background check systems. For more information on program accomplishments, go to <http://www.ojp.usdoj.gov/bjs/nchip.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Gerald Ramker Bureau of Justice Statistics, Department of Justice, Washington, District of Columbia 20531 Phone: 202-307-0765

#### **Website Address:**

<http://www.ojp.usdoj.gov/bjs>.

#### **RELATED PROGRAMS:**

16.813 NICS Act Record Improvement Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the fiscal year 2008 NCHIP Program Announcement at <http://www.ojp.usdoj.gov/bjs/pub/html/nchip09sol.htm#contents>.

### **16.556 STATE DOMESTIC VIOLENCE AND SEXUAL ASSAULT COALITIONS**

#### **FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

#### **AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162 and Section 3(b), Public Law 109-271; Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g; Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(c) and 2007(b)(2) and (3), 42 U.S.C. 3796gg and gg-1, as amended.

#### **OBJECTIVES:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

#### **Applicant Eligibility:**

Each State domestic violence coalition as determined by the Secretary of Health and Human Services under the Family Violence Prevention and Services Act and each State sexual assault coalition as determined by the Center for Injury Prevention and Control at the Centers for Disease Control and Prevention under the Public Health Service Act.

#### **Beneficiary Eligibility:**

State domestic violence and sexual assault coalitions.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The date that the application was sent to the SPOC or the reason such submission is not required must be included in the application. A copy of the application must also be submitted to the State office that administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program. Environmental impact information is not

required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the Office of Justice Programs' Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

#### **Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Applications are submitted on an annual basis.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Each eligible entity receives 1/112 of the funding available for this program (except that dual domestic violence and sexual assault coalitions receive 2 shares). Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Up to 12 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit conducted for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

#### **Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$8,877,254; FY 09 est \$17,985,935; FY 10 est

\$18,165,794 - Past FY 2008

Recovery Act: N/A

Budget: \$8,877,254

Total: \$8,877,254

Current FY 2009:

Recovery Act Obligations: \$8,515,625

Obligations: \$9,470,310

Total Obligation: \$17,985,935

Budget FY 2010

Recovery Act Estimate: \$8,600,781.25

Budget: \$9,565,013.10

Total: \$18,165,794.35.

**Range and Average of Financial Assistance:**

Range

Recovery Act: \$78,125 - \$78,125

Budget: \$84,821 - \$84,821

Total: \$162,946 - \$162,946

Average

Recovery Act: \$78,125

Budget: \$84,821

Total: \$162,946.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applicants: 87

Awards: 87. Fiscal Year 2009: Applicants (Recovery Act): 95

Awards (Recovery Act): 95

Applicants (Budget): 87

Awards (Budget): 87

Applicants (Total): 182

Awards (Total): 182. Fiscal Year 2010: Awards (Recovery Act): 95

Awards (Budget): 87

Awards (Total): 182.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia

20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current

Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants will receive the appropriate share of funding.

**16.557 TRIBAL DOMESTIC VIOLENCE AND SEXUAL ASSAULT COALITIONS GRANT PROGRAM****FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(d) and 2007(b)(4), 42 U.S.C. 3796gg and gg-1, as amended; Violence Against Women and Department of Justice Reauthorization Act, Title 1, Section 101, Public Law 109-162 and 109-271, 42 U.S.C. 1403g, Section 101; Violence Against Women Act of 2000, Public Law 106-386.

**OBJECTIVES:**

To increase awareness of domestic violence and sexual assault against American Indian and Alaska Native women; enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State levels; identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence; and supporting the establishment, maintenance, and expansion of tribal sexual assault coalitions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (A) increasing awareness of domestic violence and sexual assault against American Indian and Alaska Native women; (B) enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State levels; and (C) identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence.

**Applicant Eligibility:**

Established nonprofit, nongovernmental tribal coalitions addressing domestic violence and sexual assault against American Indian and Alaska Native women; and individuals or organizations that propose to incorporate as nonprofit, nongovernmental tribal coalitions to address domestic violence and sexual assault against American Indian and Alaska Native women.

**Beneficiary Eligibility:**

Tribal sexual assault and domestic violence coalitions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$5,108,893; FY 09 est \$5,413,922; FY 10 est \$5,907,310 - Past FY 2008  
Recovery Act: N/A  
Budget: \$5,108,893.00  
Total: \$5,108,893.00

Current FY 2009

Recovery Act Obligations: \$2,657,922.00  
Obligations: \$2,756,000.00  
Total: \$5,413,922.00

Budget FY 2010

Recovery Act Obligations: \$3,123,750.00  
Obligations: \$2,783,560.00  
Total: \$5,907,310.

**Range and Average of Financial Assistance:**

Range

Recovery Act: \$154,000 - \$350,300  
Budget: \$225,000 - \$400,000  
Total: \$379,000 - \$750,300

Average

Recovery Act: \$252,150  
Budget: \$312,500  
Total: \$564,650.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applicants: 11

Awards: 11. Fiscal Year 2009: Applicants (Recovery Act): 20

Applicants (Budget): 16

Applicants (Total): 36

Awards (Recovery Act): 11

Awards (Budget): 9

Awards (Total): 20. Fiscal Year 2010: Awards (Recovery Act): 11

Awards (Budget): 15

Awards (Total): 26.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Increasing Awareness about domestic violence and sexual assault against American Indian and Alaska Native women, enhancing the response to violence against American Indian and Alaska Native women at the tribal, state, and federal levels, and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic violence and sexual assault. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.560 NATIONAL INSTITUTE OF JUSTICE RESEARCH, EVALUATION, AND DEVELOPMENT PROJECT GRANTS****FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To encourage and support research, development, and evaluation to further understanding of the causes and correlates of crime and violence, methods of crime prevention and control, and criminal justice system responses to crime and violence and contribute to the improvement of the criminal justice system and its responses to crime, violence, and delinquency.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds may be used to conduct research and development pertaining to the above objectives, including the development of new or improved approaches, techniques, systems, and technologies and to carry out programs of research on the causes of crime and means of preventing crime, and to evaluate criminal justice programs and procedures, and responses to crime, violence, and delinquency.

**Applicant Eligibility:**

The National Institute of Justice (NIJ) is authorized to make grants to, or enter into contracts or cooperative agreements with State and local governments,

private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program.

**Beneficiary Eligibility:**

State and local governments; private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for a grant, cooperative agreement or contract, resumes of principal investigator and key personnel, details of the budget composition, goals, impact, methods, evaluation, schedule and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. General information is provided in individual program solicitations, which are obtained by accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; or calling toll free to request a copy. Telephone: (800) 851-3420. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

All applications are reviewed and evaluated by program managers for compatibility with the needs of the Institute's research plan, on-going or prior studies, and the particular promise of the proposal itself. The Institute uses external peer review processes, in addition to NIJ program manager review, in order to weigh each application in terms of proposed methodology, economy, and other criteria bearing on the technical merit of the proposal. The Institute Director makes final award decisions, incorporating the recommendations of the relevant NIJ staff and management-level personnel and external peer reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days for concept papers and 180 days for full proposals.

**Appeals:**

Hearing by the Director.

**Renewals:**

Please contact the program office for more information.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. However, the Institute shall require, whenever feasible, as a condition of approval of a grant or contract that the recipient contribute money, facilities, or services to carry out the purpose for which the grant or contract is sought.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project durations are normally up to 24 months but longer awards are possible.

See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual. Quarterly. Performance measures are required, as specified in the solicitation.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise.

These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or contractor contributed funds shall be maintained during the grant and contract period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$28,644,489; FY 09 est \$48,000,000; FY 10 est \$48,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and funding information are available free from the National Criminal Justice Reference Service, Box 6000, Rockville, MD 20849-6000. Telephone: (800) 851-3420. It is also available electronically through the NCJRS web site at [www.ncjrs.org](http://www.ncjrs.org) or through the NIJ website under "Funding Opportunities" at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-6394

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

16.562 Criminal Justice Research and Development Graduate Research Fellowships; 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated according to the criteria specified in the program solicitation. With few exceptions, all proposals are reviewed competitively by a peer review panel consisting of outside experts in the field for technical quality and the general merits of the problems addressed. The Institute uses the peer review process to ensure fair and knowledgeable evaluation of preapplications and proposals. Program solicitations are announced in the Federal Register and advertised on the Institute's website at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**16.562 CRIMINAL JUSTICE RESEARCH AND DEVELOPMENT GRADUATE RESEARCH FELLOWSHIPS**

(Graduate Research Fellowship Program)

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; Anti-Drug

Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To improve the quality and quantity of knowledge about crime and the criminal justice system, while, at the same time, helping to increase the number of persons who are qualified to teach in collegiate criminal justice programs, to conduct research related to criminal justice issues, and to perform more effectively within the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible students are doctoral candidates engaged in dissertation research and writing on a problem related to law enforcement, crime or criminal justice. A fellowship is funded for up to 18 months. This competitive program provides fellowship stipends, major project costs, and certain university fees for a maximum amount of \$15,000. Students who do not qualify for the doctoral program may consider applying for other research grants under the fellowship solicitation.

**Applicant Eligibility:**

Accredited institution of higher education offering a doctoral degree program. Degree does not have to be in criminal justice, but proposed dissertation work must be related to criminal justice issues.

**Beneficiary Eligibility:**

The student must be engaged in writing a doctoral dissertation directly relevant to crime, law enforcement and/or criminal justice.

**Credentials/Documentation:**

Eligible graduate students interested in competing for a fellowship must furnish along with the application for a grant, a letter of endorsement from the faculty advisor. Applicants must have completed all degree requirements except the research writing, and defense of the dissertation or an internship prior to the start of the grant. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Detailed information is provided in the program solicitation which is obtained by sending a self-addressed mailing label to the National Criminal Justice Reference Service, Box 6000, Rockville, MD 20849-6000 or calling toll free to request a copy at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities". This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of criminal justice experts from outside reviewers and Institute staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from application deadline.

**Appeals:**

Hearings by the Director.

**Renewals:**

Please contact program office for more information.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project durations are not normally less than 6 months nor more than 18 months. See the following for information on how assistance is awarded/released: Please contact program office.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress reports are required. Three copies of the dissertation and an Executive Summary are required upon completion. Quarterly financial reports are required. Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise.

These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

All project records shall be retained for 3 years.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$59,785; FY 09 est \$109,285; FY 10 est \$100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program solicitation, "Fellowship Opportunities," is available by sending a self-addressed mailing label to: National Criminal Justice Reference Service, Box 6000, Rockville, MD 20850, or call toll free to request a copy. Telephone: (800) 851-3420. Also available electronically from the Justice Information Center on the world wide web at [www.ncjrs.org](http://www.ncjrs.org) or on NIJ's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities".

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-2942

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

84.032 Federal Family Education Loans; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Resisting Drug Use Among Adolescents; Controlling the Offender in the Community; Eyewitness Memory and Aging; Sentencing Child Sexual Abusers; An Analysis of Police Post Assault Reactions Measuring Procedural Justice; The Fear of Crime by Older Americans; the Criminal Justice System's Handling of Drug Offenders, and Influences of Adolescent Delinquent Behavior. Fear of Crime and Its Antecedents; Drug Use and Help-Seeking Patterns Among University Students; Differential Drug-Use Patterns Between Institutionalized White and Black Male Delinquents in Georgia; Court Orders of Protection for Battered Women; Forensic Evidence in Sexual Assault Cases; A Survey of Federal, State and Local Prosecutors on Computer Crime; Community Policing and Domestic Violence; Female Gang Involvement in the Midwest: A Two-City Comparison; Violation of Probation Release Conditions and Criminal Recidivism; Impact on Crime of Criminal and Juvenile Justice System Policies and Practices; Specifying Public Support for Corrections Rehabilitation: A Factual Survey Approach; Impact of Managerial Style on the Colombian Distribution of Cocaine to the Wholesale Level; Influence of Neighborhood Disadvantage or Delinquency and Drug Abuse; Evaluation and Review of the Peacemaker Court of the Navajo Nation;

Non-Fatal Workplace Violence Epidemiology: Risk Factors and Legal Implications; Variation in Community Policing Activities Across Neighborhoods; The Peer Group Revisited: A Network Approach for Understanding Adolescent Delinquency; and New Estimates of the Cost of Crime: A Hedonic Evaluation. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grasp of issues and the relationship of issues to significant problems confronting criminal justice in the United States, description of design and methodology, the potential utility of results, and qualifications of applicant to produce acceptable doctoral dissertation (based upon proposal paper, university endorsement, and researcher's background statement).

**16.566 NATIONAL INSTITUTE OF JUSTICE W.E.B. DUBOIS FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To provide opportunities for researchers with an interest in building knowledge for the enhancement of justice system administration, delinquency prevention, and violence reduction with opportunities to pursue projects aimed at addressing these issues from diverse cultural perspectives and evaluating the operational complexities of justice system administration manifested in various cultural contexts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds may be used to conduct research for both adult and juvenile systems on crime causation, crime measurements, crime prevention, law enforcement, criminal justice administration, and the effectiveness and efficiency of anti-crime programs. Fellows conduct their studies while based at the National Institute of Justice.

**Applicant Eligibility:**

Fellowship grants are awarded to individuals or to their parent agencies or organizations. IPA appointments also may be negotiated with Fellows' parent agencies. Generally, researchers and academicians working in the criminal justice field, including university or college-based academic researchers and upper-level managers in criminal justice agencies are eligible.

**Beneficiary Eligibility:**

Generally, researchers and academicians with research experience in criminal-justice or criminal-justice relevant fields are eligible for grants; those working for law enforcement related branches of State or local government units are eligible for grants or IPA appointments. Each prospective candidate must have at least a doctoral-level or a legal degree of J.D. or higher.

**Credentials/Documentation:**

The applicant must furnish, along with the application for a grant, a resume, a project description which includes the project's scope, a discussion of the state-of-the-art methodology, project period, and the anticipated impact of the study on the justice system. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll free to request a

copy. Telephone: (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities." This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable.

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of the Institute staff and outside reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from application deadline.

**Appeals:**

Hearing by the Director.

**Renewals:**

Please contact program office for more information.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project durations are normally not less than 6 months nor more than 12 months.

See the following for information on how assistance is awarded/released:

Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reports consisting of bi-annual progress reports; and a final report including a summary are required. Other reports may be requested. Fiscal report consisting of quarterly expenditures and budget expenditure reports are required. Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profits Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$74,934; FY 09 est \$0; FY 10 est \$75,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available  
Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants may obtain program information by accessing the Institute's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities" or calling NCJRS toll free. Telephone: (800) 851-3420.

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ National Institute of Justice, Department of Justice, 810 7th Street, N.W.,

Washington, District of Columbia 20531 Phone: (202) 307-2942

**Website Address:**

http://www.usdoj.gov.

**RELATED PROGRAMS:**

16.562 Criminal Justice Research and Development\_Graduate Research Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals will be reviewed by a peer review panel. Their selection will be based on the applicant's experience, the significance and conceptualization of the project topic, the quality and feasibility of the research design, and the potential impact of the project on the criminal justice system.

**16.571 PUBLIC SAFETY OFFICERS' BENEFITS PROGRAM**

PSOB

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Safety Officers' Benefits Act of 1976, as amended (42 U.S.C. 3796, Section 1201, Public Law No. 90-351, part L of Title I of the Omnibus Crime Control and Safe Streets Act of 1968).

**OBJECTIVES:**

To provide death benefits to the eligible survivors of Federal, State or local public safety officers whose deaths are the direct and proximate result of a personal (traumatic) injury sustained in the line of duty. Effective November 29, 1990, the Act also provides the same benefit to a public safety officer who has been permanently and totally disabled as the direct result of a catastrophic personal injury sustained in the line of duty. The injury must permanently prevent the officer from performing any gainful work.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

To provide a one-time financial death benefit to the eligible survivors of Federal, State or local public safety officers, and disability benefit to the Federal, State or local public safety officer whose permanent and total disability is the direct and proximate result of a catastrophic personal injury sustained in the line of duty. There are no restrictions as to how the monies are spent once they reach the recipient with the exception that monies paid on behalf of minor children must be used for their care and benefit.

**Applicant Eligibility:**

Public safety officers--A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter or member of a public rescue squad or ambulance crew. Law enforcement officers include but are not limited to police, corrections, probation, parole and judicial officers. Volunteer firefighters and members of volunteer rescue squads and ambulance crews are covered if they are officially recognized or designated members of legally organized volunteer fire, rescue or ambulance departments. Disabled public safety officers and eligible survivors of deceased public safety officers in the District of Columbia, Puerto Rico, Guam, Virgin Islands, American Samoa, the Pacific Trust Territories and the Northern Mariana Islands are also entitled to benefits under the Act. Death benefit coverage for (1) State and local law enforcement officers and firefighters applies to deaths occurring on or after September 29, 1976; (2) Federal law enforcement officers and firefighters applies to deaths occurring on or after October 12, 1984; (3) Federal, State and local rescue squad and ambulance crew members applies to death occurring on or after October 15, 1986; and (4) Federal Emergency Management Agency (FEMA) personnel and State, local, and tribal emergency management and civil defense agency employees are covered for deaths occurring on or after October 30, 2000. Disability benefit coverage for Federal, State and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and State, local and tribal emergency management and civil

defense agency employees are covered for such injuries sustained on or after October 30, 2000. Disability benefit coverage for Federal, State and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and State, local and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

**Beneficiary Eligibility:**

The Public Safety Officers' Benefits (PSOB) Act, enacted in 1976, was designed to offer peace of mind to men and women seeking careers in public safety and to make a strong statement about the value American society places on the contributions of those who serve their communities in potentially dangerous circumstances. The PSOB Program provides a one-time financial benefit to the eligible survivors of public safety officers whose deaths are the direct and proximate result of a traumatic injury sustained in the line of duty. As of October 1, 2007, the death benefit amount is \$303,064.

**Credentials/Documentation:**

Claim forms entitled "Claim for Death Benefits" and "Report of Public Safety Officer's Death" or "Report of Public Safety Officers' Permanent and Total Disability," and supporting family, medical and investigative documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Employing agencies and/or claimants should initiate a claim by writing to or telephoning the Public Safety Officers' Benefits Program, Bureau of Justice Assistance, 810 7th Street NW, Washington, DC 20531. Telephone: 1-888-744-6513. Upon receiving such notification, program staff will provide claim forms and advise the employing agency and claimant of claim documentation requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit "Claim for Death Benefits" and "Report of Public Safety Officer's Death" or "Report of Public Safety Officers' Permanent and Total Disability," and supporting documentation to the Public Safety Officers' Benefits Program, Bureau of Justice Assistance, 810 7th Street NW, Washington, DC 20531.

**Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, eligible claimants are awarded a lump sum benefit. For Death Benefit: If the officer is survived by spouse, but there are no eligible children, the spouse will receive 100% of the benefit. If the officer is survived by spouse and eligible children, the spouse will receive 50% of the benefit and the children will receive equal shares of the remaining 50%. If the officer is survived by eligible children but no spouse, the children will receive equal shares of the benefit. If the officer is survived by neither a spouse, nor eligible children and did not have a life insurance policy on file with his or her employing agency, then the benefit will be made payable to the surviving parents in equal shares.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dependent on circumstances of death, sufficiency of claim documentation, and/or the need for expert medical reviews. This varies from case to case.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-0403-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$118,116,071; FY 09 est \$55,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2006, PSOB developed an E-package. Using the E-package, PSOB program staff proactively email claim packages to public safety agencies when a public safety officer is either killed or becomes permanently and totally disabled in the line of duty. All standard documents are available in English and Spanish. All PSOB applications are now web-based. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, Code of Federal Regulations, Part 32.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie Neal 810 7th Street, NW, Washington, District of Columbia 20531  
Email: AskPSOB@usdoj.gov Phone: (202) 616-6500 or 1-888-744-6513

**Website Address:**

[http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_main.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_main.html).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.575 CRIME VICTIM ASSISTANCE****FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10603(a).

**OBJECTIVES:**

Enacted in 1984, the Victims of Crime Act (VOCA) is the central source of federal financial support for direct services to victim of crime. VOCA is administered at the federal level through the U.S. Department of Justice, Office for Victims of Crime which annually awards a grant to each state, the District of Columbia and U.S. Territories to support victim assistance services for victims and survivors of domestic violence, sexual assault, child abuse, drunk driving, homicide, and other crimes. Each state has a designated VOCA assistance agency to administer VOCA grants. Those state agencies in turn, subgrant to organizations that provide direct services to victims of crime. While minimal federal requirements must be met, each state is given great discretion in awarding specific subgrants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds under this program shall be used by States and territories to provide direct services to crime victims with the following exception: States may retain up to 5 percent of their grant for administrative and training purposes. All States

and most Territories receive an annual VOCA victim assistance grant. Each State, the District of Columbia, the U.S. Virgin Islands, and Puerto Rico receive a base amount of \$500,000. The territories of the Northern Mariana Islands, Guam, and American Samoa, each receive a base amount of \$200,000. (Duplicative of next sentence) That portion of the then remaining funds will be divided among all States or territories according to population (U.S. Census Bureau). If the amount available for grants under this program is insufficient to provide \$500,000 to each State, the base amount available shall be distributed equally among the States and territories. A victim assistance program is an eligible crime victim assistance program under VOCA if it: (A) is operated by a public agency or a nonprofit organization, or combination; (B) meets the appropriate match requirements; (C) uses volunteers unless the VOCA administrator grants a waiver for a compelling reason; (D) promotes coordinated public and private efforts to aid crime victims within the community served; (E) assists victims in applying for crime victim compensation; (F) complies with Federal rules regulating VOCA, including Program Guidelines/Rules and the effective edition of the OJP Financial Guide; (G) maintains civil rights information; (H) complies with additional eligibility or service criteria established by the State grantees; (I) provides services to victims of Federal crimes on the same basis as services are provided to victims of State and local crimes; (J) provides services to crime victims without charge unless a waiver is obtained from the State grantee; and, (K) maintains confidentiality of client-counselor and research information. An eligible crime victim assistance program shall expend sums received under subsection (a) only for providing direct services to victims of crime. The chief executive of each State shall (A) certify that priority shall be given to eligible crime victim assistance programs providing assistance to victims of sexual assault, spousal abuse, or child abuse, and to programs serving previously underserved victims of violent crime, as determined by the State, (B) certify that funds awarded to eligible crime victim assistance programs will not be used to supplant State and local funds otherwise available for crime victim assistance; and (C) provide such other information and assurances related to the purposes of this section as the Director may reasonably require. As used in this program, (1) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, and any other territory or possession of the United States; and (2) the term "services to victims of crime" includes (a) crisis intervention services to provide emotional support in cases arising from the occurrence of crime; (b) providing, in an emergency, transportation to court, short-term child care services, and temporary housing and security measures; (c) assistance in participating in criminal justice proceedings; and (d) payment of all reasonable costs for a forensic medical examination of sexual assault victims, to the extent that such costs are otherwise not reimbursed or paid; (3) the term "chief executive" includes a person designated by the governor to perform the functions of the chief executive under this section.

**Applicant Eligibility:**

Any State, the District of Columbia, all Commonwealths and any other territory or possession of the United States are eligible. Funds will be subgranted to eligible public and nonprofit organizations or combinations of such agencies or organizations or of both such agencies and organizations, who provide direct services to victims of crime.

**Beneficiary Eligibility:**

Any member of the general public who has been a victim of a crime or those who are survivors of victims of crime.

**Credentials/Documentation:**

Applications from the designated State agency for this program must be submitted on Standard Form 424 electronically via the Office of Justice Programs Grants Management System (GMS), at a time specified by the Office for Victims of Crime, Office of Justice Programs. The State grant applicant, by completing the grant application, and by receiving a VOCA victim assistance grant award, certifies: (1) that funds awarded to eligible crime victim assistance programs will not be utilized to supplant State and/or local funds that would otherwise be available for crime victim assistance; (2) that the State will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) that the State shall give priority to programs aiding victims of sexual assault, spousal abuse, or child abuse, and to programs



servicing previously underserved victims of violent crimes as determined by the State; (4) that the State will submit to the Office of Justice Programs Subgrant Award Reports and Performance Reports concerning the activities carried out with the Federal funds received and will maintain and report such data and information as required; (5) that the State will adhere to the audit and financial management requirements set forth in the OJP Financial Guide; (6) that the State will comply with all applicable Federal nondiscrimination requirements; and, (7) certify that the information in the application is correct and that the State will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant applies on-line at <http://www.ojp.usdoj.gov> under "Grants/Funding" once posted by the Office for Victims of Crime.

**Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Once an award is granted to a State, the State will subgrant the monies to private nonprofit and/or public agencies for the purpose specified in the application and in conformance with all general and special conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 weeks.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards are for the year of award plus 3 years; applications will be submitted annually.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

States have the year of award plus 3 years to expend the funds. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Subgrant Award Report for each subrecipient of VOCA funds. Quarterly, final financial reports will be required as stipulated in the Program Guidelines/Rules and the OJP Financial Guide. Annual Program Performance reports will be required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend \$500,000 or more in federal funds per organizational fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. The audit report and transmittal letter must be submitted within 9 months from the end of the state fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least three years after the grant has been closed.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Formula Grants) FY 08 \$309,094,057; FY 09 est \$363,711,000; FY 10 est \$302,972,000

**Range and Average of Financial Assistance:**

Base of \$500,000 to each State, Commonwealth, and the District of Columbia. Territories of the United States receive a base of \$200,000. Remaining dollars will be divided based on population.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, an estimated 3,780,068 crime victims received a combined total of 17,103,883 direct services through this program (Source: FY 2008 VOCA Victim Assistance Nationwide Performance Report Summary). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidelines/Rules are published in the Federal Register. The OJP Financial Guide is available at <http://www.usdoj.gov/oc>, or call the Office of the Comptroller, Customer Service Center at 1-800-458-0786 to request a copy.

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas Domestic and International Victim Assistance Services, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Phone: 202-307-5983

**Website Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

16.576 Crime Victim Compensation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Potential projects include, but are not limited to: funding to support (a) domestic violence shelter services; (b) rape crisis programs, including coverage for sexual assault examinations; child abuse treatment programs; and (d) support groups for survivors of homicide victim and DUI/DWI crash victims, etc. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are specifically spelled out in the Victims of Crime Act of 1984, as amended. Additional criteria will be developed by the Office for Victims of Crime. These criteria are listed on the OVC web page [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

**16.576 CRIME VICTIM COMPENSATION**

**FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10602 (a).

**OBJECTIVES:**

The Office for Victims of Crime (OVC), Department of Justice, administers the Crime Victim Compensation formula grant program. OVC annually awards a grant to each state, the District of Columbia, the U.S. Virgin Islands, and the Commonwealth of Puerto Rico to support state crime victim compensation programs. These programs help pay for some of the expenses resulting from crimes involving violence or abuse.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds under this program shall be used by the States for awards of compensation benefits to crime victims, with the following exception: States may retain up to 5 percent of their total grant for administrative and training purposes. As provided in recent VOCA amendments, formula grant funds to an eligible State crime victim compensation program is based on 60 percent of the amounts States expended during the fiscal year preceding the year of collections for the Crime Victims Fund, other than amounts awarded for

property damage. If the sums available in the Fund for grants under this program are insufficient to provide grants of 60 percent as provided above, grants from the sums available will be made to each eligible crime victim compensation program so that all such programs receive the same percentage of the amounts awarded by such programs during the preceding fiscal year, other than amounts awarded for property damage. A crime victim compensation program is an eligible crime victim compensation program if (1) such program is operated by a State and offers compensation to victims and survivors of victims of criminal violence, including drunk driving and domestic violence for: (A) medical expenses attributable to a physical injury resulting from a compensable crime, including expenses for mental health counseling and care; (B) loss of wages attributable to a physical injury resulting from a compensable crime; and (C) funeral expenses attributable to a death resulting from a compensable crime; (2) such program promotes victim cooperation with the reasonable requests of law enforcement authorities; (3) such State, possession or territory certifies that grants received under this program will not be used to supplant funds otherwise available to provide crime victim compensation; (4) such program, as to compensable crimes occurring within the State, possession or territory, makes compensation awards to victims who are nonresidents of the State, possession or territory on the basis of the same criteria used to make awards to victims who are residents of the State, possession or territory; (5) such program provides compensation to victims of Federal crimes occurring within the State on the same basis that such program provides compensation to victims of State crimes; (6) such program does not, except pursuant to rules issued by the program to prevent unjust enrichment of the offender, deny compensation to any victim because of that victim's familial relationship to the offender, or because of the sharing of a residence by the victim and the offender; (7) such program does not provide compensation to any person who has been convicted of an offense under Federal law with respect to any time period during which the person is delinquent in paying a fine, other monetary penalty, or restitution imposed for the offense; and (8) such program provides such other information and assurances related to the purposes of this section as the Director may reasonably require. Section 1403(c), any amount of crime victim compensation that the applicant receives through a crime victim compensation program under this section shall not be included in the income of the applicant until the total amount of assistance that the applicant receives from all such programs is sufficient to fully compensate the applicant for losses suffered as a result of the crime. As used in this section; (1) the term "property damage" does not include damage to prosthetic devices, eyeglasses or other corrective lenses, or dental devices; (2) the term "medical expenses" includes, to the extent provided under the eligible crime victim compensation program, expenses for eyeglasses and other corrective lenses, for dental services and devices and prosthetic devices, and for services rendered in accordance with a method of healing recognized by the law of the State; (3) the term "compensable crime" means a crime the victims of which are eligible for compensation under the eligible crime victim compensation program, and includes crimes involving driving while intoxicated and domestic violence; and (4) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, and any other possession or territory of the United States.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, and any other possession or territory of the United States who have an established eligible crime victim compensation program, and who meet the eligibility requirements discussed above.

**Beneficiary Eligibility:**

Victims of crime that results in death or physical or personal injury and are determined eligible under the State victim compensation statute. State compensation statutes either declare that coverage extends generally to any crime resulting in physical or personal injury, or they list all specific crimes that can be covered.

**Credentials/Documentation:**

The Governor designated State agencies are required to submit the following information and assurance along with the application for assistance: (1) a statement certified by the individual designated by the Governor to administer the VOCA crime victims compensation grant. This statement should specify the total amount of money spent by the program from State funding sources for

crime victim compensation awards in a given Federal fiscal year ; (2) the amount of such compensation paid for "property damage"; (3) the total amount and each source of revenue for the program; (4) a copy of the State statute or other legal authority establishing the program and any amendments thereto, and (5) an assurance that funds received under the Act will not be used to supplant State funds otherwise available for crime victim compensation. Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant applies on-line at <http://ojp.usdoj.gov> under "Grants/Funding" once posted by the Office for Victims of Crime.

**Award Procedure:**

An award is granted by the Director of the Office for Victims of Crime, the Office of Justice Programs. The award must be accepted and signed by the applicant with assurance of compliance with standard and special conditions of the grant award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 weeks.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards are for the year of award plus 3 years. Applications will be annually.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Compensation funds may be carried forward for obligation by the grantee for 3 years subsequent to the fiscal year of award. Funds are released via electronic funds transfer. States must be enrolled in the Automated Clearinghouse (ACH) Vendor Express Program to request any Federal funds. See the following for information on how assistance is awarded/released: Please contact program office for more detail.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Both quarterly and final financial status reports are required as stipulated in the effective edition of the OJP Financial Guide. In addition, an annual program performance report to OVC on the effect that the Federal funds had on the program will be required as stipulated in the Program Guidelines/Rules. See above. Performance measures, as specified in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend \$500,000 or more in federal funds per organizational fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. The audit report and transmittal letter must be submitted within 9 months from the end of the state fiscal year.

**Records:**

The annual program reporting requirement and accounts concerning the

expenditures of the award shall be maintained during the award and retained for three years thereafter.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Formula Grants) FY 08 \$171,349,000; FY 09 est \$181,963,000; FY 10 est \$302,972,000

**Range and Average of Financial Assistance:**

Each State receives 60 percent of its prior year payout of State compensation funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, an estimated 151,643 crime victims received compensation support totaling \$460,654,964 through this program (Source: FY 2008 VOCA Victim Compensation Nationwide Performance Report Summary). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidelines/Rules are published in the Federal Register. The OJP Financial Guide is available at <http://www.ojp.usdoj.gov/financialguide/>, or by calling the Office of the Chief Financial Officer, Customer Service Center at (1-800) 458-0786 to request a copy.

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas Associate Director, Domestic and International Victim Assistance Services, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Phone: (202) 307-5983

**Website Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

16.575 Crime Victim Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program funds State formula grants to be used for crime victim compensation only. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Victims of Crime Act of 1984, as amended, and Program Guidelines/Rules published in the Federal Register.

**16.578 FEDERAL SURPLUS PROPERTY TRANSFER PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, as amended, and codified at 40 U.S.C. Section 553(b)(1)(2). Property for correctional facility, law enforcement, and emergency management response purposes.

**OBJECTIVES:**

To facilitate the possible no cost conveyance, by the General Services Administration, to State and local governments, of surplus real and related personal property determined by the Attorney General to be required for correctional facility use, under programs or projects for the care or rehabilitation of criminal offenders, and for law enforcement purposes.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Deed of Conveyance. The Deed of Conveyance of any surplus real and related personal property disposed of under this program - (1) shall provide that all of the property be used and maintained for the purpose for which it was conveyed in perpetuity, and that if the property ceases to be used or maintained for that purpose, all or any portion of the property shall, in its then existing condition, at

the option of the Government, revert to the Government; and (2) may contain additional terms, reservations, restrictions, and conditions that the Administrator determines are necessary to safeguard the interests of the Government.

**Applicant Eligibility:**

State governments, and political subdivision or instrumentality of State governments. Under this program, the term "State" is defined by 40 U.S.C. Section 553(a) to include the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, The Marshall Islands, Palau, and the Northern Mariana Islands.

**Beneficiary Eligibility:**

State, local and territorial governments, that are engaged in activities to control or reduce crime and juvenile delinquency or the enforcement of criminal law or the care or rehabilitation of criminal offenders.

**Credentials/Documentation:**

DOJ/OJP/BJA application for a correctional facility use or law enforcement purpose determination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Notify BJA and GSA or DOD by letter, of the State's interest in an identified property. This program requires coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Applicants interested in applying for property under the Base Realignment and Closure Act (BRAC) must consult with their designated Local Redevelopment Authority for the community's plan for economic recovery. A list of the recognized LRAs can be viewed at: <http://www.oea.gov/OEAWeb.nsf/Home?OpenForm>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a completed DOJ/OJP/BJA application kit, including environmental information.

**Award Procedure:**

(1) Applicant must be a State or local governmental entity; (2) applicant must propose a correctional facility use or law enforcement purpose consistent with the requirements set forth in 40 U.S.C. Section 553(b)(1) and (2).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: Please contact BJA.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

None.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Seven properties have been conveyed to State and/or to local government entities for correctional purposes and 43 have been conveyed for law enforcement purposes. A total of 50 determinations by the Assistant Attorney General have been made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. General Services Administration: [www.propertydisposal.gsa.gov](http://www.propertydisposal.gsa.gov). Office of Economic Adjustment: <http://www.defenselink.mil/brac/>.

**Headquarters Office:**

M. Berry, 810 Seventh Street, N.W., 4th Floor, Washington, DC 20531. , Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

Federal Surplus Real Property Conveyance Program: <http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.579 EDWARD BYRNE MEMORIAL FORMULA GRANT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title I, 42 U.S.C. 50 et seq. Public Law 109-162, Title XI - Department of Justice Reauthorization, Subtitle B-Improving the Department of Justice's Grant Programs, Chapter 1-Assisting Law Enforcement and Criminal Justice Agencies, Sec. 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.

**OBJECTIVES:**

To reduce and prevent illegal drug activity, crime, and violence and to improve the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support 29 specified purpose areas as outlined in the authorizing legislation. Funds may be used to provide additional personnel, equipment, facilities (including upgraded and additional law enforcement crime laboratories), personnel training and equipment for more widespread apprehension, prosecution and adjudication of persons who violate state and local laws relating to the production, possession and transfer of controlled

substances and to improve the criminal justice system. The Act restricts the use of these funds for supplanting state and local funds and land acquisition, and construction other than penal or correctional facilities.

**Applicant Eligibility:**

All States, the District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico, Virgin Islands and Northern Mariana Islands.

**Beneficiary Eligibility:**

State and units of local governments.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used with this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to BJA following the criteria set out in the Act, OJP Financial Guide, and Byrne Formula Grant Program Guidance. All applications must be submitted electronically by the Office of Justice Programs Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Letter to the Governor upon approval by BJA, with copies of the grant award sent to the designated State Administrative Agency. One copy of the grant award must be signed by Chief Executive's designee and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The State Administering Agency will receive a grant award notification, no later than 45 days after receipt of application. BJA will also notify the State congressional representatives, the governor and State U.S. attorneys.

**Appeals:**

See 28 C.F.R., Part 18.

**Renewals:**

Annual application is required.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Each participant State will receive a base amount of \$500,000 or 25 percent of the amount available for the program, whichever is greater, with the remaining funds allocated to each State on the basis of the State's relative share of total U.S. population. If a State elects not to participate, all funds may be awarded directly to local units of government and combinations of units of local governments within the State. (a) Funds from the Act may be used to pay up to 75 percent of the cost of a program or project. The remaining nonfederal share will be provided in cash. Match for the formula grant programs will be provided for on a project-by-project basis, State-wide basis, unit-of-government basis, or a combination of the above. Requests will be contained in the application. (b) Funds distributed to an Indian tribe which performs law enforcement functions (as determined by the Secretary of the Interior) for any program or project described in the Act shall be 100 percent of such costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

48 months/4 years. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

An annual performance report is also required. No cash reports are required. No progress reports are required. Financial reports are required quarterly, as required by the OJP financial guide. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Grantee must keep complete records on disposition of funds.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$4,245; FY 09 est \$0; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Varies. This is a formula based funding program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See State Annual Reports. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide, Byrne Formula Grant Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. Please contact your local State Administrative Agency (SAA).

**Headquarters Office:**

Programs Office Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 7th St., N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/grant/jag.html>

**RELATED PROGRAMS:**

16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 16.738 Edward Byrne Memorial Justice Assistance Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Multi-Jurisdictional Drug Enforcement Task Forces, Criminal Justice System Improvement, Violent Crime Prevention, DARE Education, Community Policing Training and Technical Assistance Projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.580 EDWARD BYRNE MEMORIAL STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE DISCRETIONARY GRANTS PROGRAM**

Byrne Discretionary Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Not applicable.

**OBJECTIVES:**

To provide leadership and direction in improving the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary grant funds provide federal financial assistance to public or private agencies and private nonprofit organizations for law enforcement program; prosecution and court program; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement program; programs, planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation). This assistance supports site-based demonstration programs that in view of previous research or experience are likely to be a success in more than one jurisdiction; projects that are national or multijurisdictional in scope; and many training and technical assistance initiatives. Funds are not to be used for supplanting of state and local funds, land acquisition or construction projects.

**Applicant Eligibility:**

Federal, State and local government agencies as well as public and private nonprofit organizations and federally recognized Indian Tribal governments are eligible to receive funds including faith-based and community organizations, under this program.

**Beneficiary Eligibility:**

State and local governments, public and private organizations and Tribal governments.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are due semi-annually; in some cases, evaluation reports may be required. Unless otherwise specified in the award's special conditions, financial reports are due quarterly. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$22,190,700; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to drug law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531  
Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bja/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.582 CRIME VICTIM ASSISTANCE/DISCRETIONARY GRANTS****FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10603(c)(1)(A); 42 U.S.C. 10603(c)(1)(B); 42 U.S.C. 10603d(a); and 42 U.S.C. 10603e(a).

**OBJECTIVES:**

The Office for Victims of Crime (OVC) administers a discretionary grant program and other assistance programs for crime victims with amounts set-aside from deposits into the Crime Victims Fund for (a) demonstration projects and training and technical assistance services to eligible crime victims assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. The purpose of the demonstration and training and technical assistance grants is to improve the overall quality of services delivered to crime victims through the provision of training and technical assistance to providers. Of the amount available for training and technical assistance and services to victims of Federal crimes, no less than 50 percent shall be used for demonstration programs and training and technical assistance, and not more than 50 percent for services to victims of Federal crimes.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available specifically for (a) demonstration projects and training and technical assistance service to eligible crime victim assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. For the purpose of the grants authorized in 42 U.S.C. 10603, an eligible crime victim assistance program is defined as: (a) operated by a public agency or a nonprofit organization, or a combination of such agencies or organizations or both such agencies and organizations, and providing service to victims of crime; (b) demonstrating (i) a record of providing effective services to victims of crime and financial support from sources other than the Fund; or (ii) substantial financial support from sources other than the Fund; (c) utilizing volunteers in providing such services, unless to the extent the chief executive determines that compelling reasons exist to waive this requirement; (d) promoting within the community served coordinated public and private efforts to the crime victims; and (e) assisting potential recipients in seeking crime victim compensation benefits. For the purpose of grants authorized for assistance to victims of federal crime, services includes (a) training of law enforcement personnel in the delivery of services to victims of Federal crime; (b) preparation, publication, and distribution of informational materials, setting forth services offered to victims of crime; and concerning services for victims of Federal crime for use by Federal law enforcement and other responsible Federal officials; and (c) salaries of personnel who provide services to victims of crime, to the extent that these personnel provide such services.

**Applicant Eligibility:**

Criteria will vary depending on the grant or grant program. Generally, eligible applicants may include American Indian/Alaska Native Tribes and tribal organizations, States, United States Attorneys' offices, universities and colleges, eligible public agencies that provide victim services and private nonprofit agencies. Applicants for Tribal Victim Assistance grants must be an Indian Tribe, Tribal organization, partnership or nonprofit organization that provides direct services to victims of crime in Indian Country.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Competitive applications under this program must be submitted electronically via [Grants.gov](http://Grants.gov) or the Office of Justice Programs Grants Management System, as specified. OVC develops solicitations and application guidelines that includes funding strategy, eligibility requirements, required certifications that

must be submitted at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133. Applicants from other types of agencies will use forms to be provided by OVC. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In accordance with the Common Rule, Standard Form 424 must be submitted electronically at Grants.gov by nonfederal agencies in applying for funding under this program. Forms for funds other than grants or for use by Federal agencies will be supplied by OVC. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards range from 6 to 24 months, unless otherwise noted. Supplements are considered on a case by case basis. (See OVC guidelines for the Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes.)

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: There are no formula or matching requirements for discretionary funding, unless stated in the funding applications. The State Victim Assistance Academy grants require a 25 percent "in-kind" match. The Tribal Victim Assistance Discretionary Grants requires a 10 percent "in-kind" match, which increases to 15 percent and 25 percent, respectively, for the 2nd and 3rd years of the award. The Counseling and Faith-Based Services for Crime Victims in Indian Country for Crime victims in Indian Country by Faith-Based Organizations grants require a 10 percent "in-kind" match per year. The Childrens Justice Act Partnerships for Indian Communities grant program does not require a match during the current competitive cycle. Federal agencies are not expected to provide a financial contribution, but in general are asked to demonstrate a commitment to continuing the funded effort after OVC funding

is terminated.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Any amount awarded that remains unspent at the end of a fiscal year in which the award is made may be expended for the purpose for which the award is made at any time during the three succeeding fiscal years, at the end of which period, any remaining unobligated sums shall be available for deposit into the emergency reserve fund referred to in subsection (d)(5) of the VOCA at the discretion of the Director. Any remaining unobligated sums shall be returned to the Fund. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the Recipient. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports will be required as stipulated by the program office. A final financial and program report also will be required. Quarterly financial reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. Performance measure data is required, as stipulated in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants) FY 08 \$9,381,027; FY 09 est \$28,723,000; FY 10 est \$31,892,000

**Range and Average of Financial Assistance:**

For the Federal Crime Victims Division, awards range from approximately \$40,000 to \$500,000 with an approximate average of \$75,000 per award. For the Program Development and Dissemination Division from \$25,000 to \$1,000,000 with an average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OVC supports the development of training, technical assistance, and demonstration projects to expand and improve the quality of services to crime victims. In recent years, OVC has directed substantial funding to developing resources for the field that will assist victim advocates and other allied practitioners in reaching and serving victims from populations that have been largely underserved including victims with disabilities, immigrant victims, victims in rural areas or large urban centers, victims from cultural, ethnic and racial minority groups, teen victims, and victims who are Lesbian, Gay, Bisexual, Transgendered, and Questioning. Serving child and adult victims of sexual assault remains problematic for many communities, and OVC continues to support several training and technical resources that foster the replication of Sexual Assault Response Teams across the nation, OVC also funds a biennial Sexual Assault Response Team (SART) National Training Conference to provide multi-disciplinary training to SART members. Various other solicitations provide funding for projects in Indian Country. These grants support victim assistance programs for Indian tribes under Federal criminal justice jurisdiction, including 28 victim assistance programs, one elder abuse demonstration program, a training and technical assistance grant for OVC's

American Indian/Alaska Native grantees, tribal CASA programs, grants to support faith-based organizations which provide counseling services to American Indian/Alaska Native crime victims, and a project to provide training to tribal leaders on the critical role of their support of tribal victim assistance programs. OVC also has funded the planning and implementation of State Victim Assistance Academies to meet the entry-level educational and training needs of a broad range of victim assistance providers and allied professionals who work directly with victims of crime. OVC also supports public awareness initiatives on crime victims' rights and issues, including the annual dissemination of a resource kit to the field to assist their activities during National Crime Victims Rights Week (NCVRW) and the sponsorship of an annual NCVRW awards ceremony for exemplary service providers and organizations. OVC has funded several key projects that focus on strengthening collaboration and cross-training between victim assistance and faith-based providers, in order to improve services for crime victims. In FY 2007, OVC funded discretionary programs to assist victims of identity theft and financial fraud. Also in FY 2007, OVC funded the development and delivery of a National Professional Training Conference on Responding to Victims of Crime with Disabilities to be held in 2009 and two national demonstration projects designed to replicate successful multidisciplinary response models to victims with disabilities. In FY 2008, OVC continued many of these initiatives and also funded initiatives for postsecondary educational institutions to incorporate crime victims issues into college and university curricula; new State Victim Assistance Academies; new public awareness and outreach campaigns for underserved communities; and for counseling and faith-based services to victims in Indian Country, among others. OVC has continued to fund assistance and services for victims of terrorist attacks. Assistance has included toll-free information lines, Family web sites, informational briefings, travel to criminal Justice proceedings, and mental health counseling. In addition, OVC works in liaison with other Federal agencies to coordinate services for victims of terrorism; has worked with the Center for Mental Health Services at HHS to develop training for mental health service providers on assisting victims of terrorism and mass violence; is working with the Office for Domestic Preparedness to provide training to enhance the capacity of first responders to deal effectively with victims of terrorism; provides funding for a community-based assessment and planning process to help states and local communities design and implement a strategic plan for responding to victims of criminal mass violence; and provides funding to track kidnapped children taken across international borders (in parental abductions) to help their left-behind parents attend court hearings and return to the US with their children. In FY 2009, OVC continued many of these projects as well as set aside money in the Antiterrorism Emergency Reserve to respond to future incidents of terrorism and mass violence occurring both within the United States and abroad and to fund an International Terrorism Victim Expense Reimbursement Program. Other examples of programs to be funded in FY 2009 include intensive case management programs for family members of homicide victims in rural areas; tribal victim assistance programs, including the Tribal Victim Assistance Program, the Counseling and Faith-Based Services in Indian Country program and the National Court-Appointed Special Advocates in Indian Country initiative; identity theft victim assistance collaborative networks; and new public awareness and outreach programs focused on underserved communities as well as national-scope partnership projects with allied professionals. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Current solicitations and application guidelines and the current edition of the OJP Financial Guide, are available on line at the OVC webpage at <http://www.ovc.gov>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office for Victims of Crime 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: 202-307-5983

#### **Website Address:**

<http://www.ovc.gov>.

#### **RELATED PROGRAMS:**

16.320 Services for Trafficking Victims; 16.321 Antiterrorism Emergency Reserve; 16.575 Crime Victim Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Potential projects include, but are not limited to: demonstrations programs that assist victims in rural communities or those programs meeting the needs of special populations such as immigrant victims, victims with disabilities and other underserved populations, and victims of identity theft and financial fraud; training and technical assistance for States and local communities to help when responding to terrorism and mass violence; training to improve or expand victim services provided by particular groups of professionals such as judges, prosecutors, law enforcement professionals, and medical personnel. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Victims of Crime Act, 42 U.S.C. Section 10601-10604 (Supp. 1981). Additional criteria may be developed by the Office for Victims of Crime and will be published in the OJP grant packages.

#### **16.583 CHILDREN'S JUSTICE ACT PARTNERSHIPS FOR INDIAN COMMUNITIES**

##### **FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

##### **AUTHORIZATION:**

Victims of Crime Act of 1984, as amended, Public Law 98-473; Children's Justice and Assistance Act of 1986, Public Law 99-401, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402 (g)(L); Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act of 1995; Violent Crime Control and Law Enforcement Act of 1994; Subtitle C, Public Law 104-132; Anti-Terrorism and Effective Death Penalty Act of 1996; Child Abuse Prevention and Treatment Enforcement Act of 2000; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-298; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386.

##### **OBJECTIVES:**

Fifteen percent of the first \$20 million of funds from the Crime Victims Fund that are transferred to the Department of Health and Human Services as part of the Children's Justice Act are to be statutorily reserved by the Office for Victims of Crime (OVC) to make grants for the purpose of assisting Native American Indian tribes in developing, establishing, and operating programs designed to improve the handling of child abuse cases, particularly cases of child sexual abuse, in a manner which limits additional trauma to the child victim and improves the investigation and prosecution of cases of child abuse.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds are available specifically for the purpose of assisting Indian tribes in developing, establishing, and operating programs designed to improve (a) the handling of child abuse cases, particularly cases of child sexual abuse, in a manner which limits additional trauma to the victim and (b) the investigation and prosecution of cases of child abuse, particularly child sexual abuse.

##### **Applicant Eligibility:**

Federally recognized Indian tribal governments and nonprofit Indian organizations that provide services to American Indians and Alaska Natives. Specific criteria will vary depending on the grant.

##### **Beneficiary Eligibility:**

American Indian youth who are victims of child abuse and/or child sexual abuse.

##### **Credentials/Documentation:**

Applications must be on Standard Form 424 at a time specified by the Office for Victims of Crime, Office of Justice Programs and must: (1) contain OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements); (2) assure that the grantee will provide such accounting, auditing, monitoring and



evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) assure that the Grantee will submit to the Office of Justice Programs a semiannual program performance report of data and information as required; (4) assure that the Grantee will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide, and (5) certify that the information in the application is correct and that the Grantee will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars, including Subtitle A, Title II of the Americans With Disabilities Act (ADA) 1990. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies applying for funding under this program. Competitive solicitations are announced on Grants.gov.

**Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Grants are made directly to Indian tribes as defined in Section 450(b) of the Indian Self Determination and Education Assistance Act. Awards may also be granted to nonprofit organizations that provide services to American Indians or State or local governments. Generally, awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards range from 12 to 36 months. Renewals are considered on a case-by case-basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for a 12 to 36 month time period. See the following for information on how assistance is awarded/released: Please see program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual program performance reports will be required as stipulated by the program office. Quarterly reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. Performance measure data are required as specified in the solicitation.

**Audits:**

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

audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants) FY 08 \$2,804,543; FY 09 est \$3,000,000; FY 10 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 1989, the Office for Victims of Crime has funded over 200 individual grants to tribes and nonprofit tribal agencies through the CJA grant program. These tribal programs have made a number of systemic improvements in the investigation, prosecution and case management of child abuse cases in Indian Country. These improvements include:

- Established Multi-Disciplinary Teams and provide training;
- Revised tribal codes and procedures to address child abuse and neglect;
- Trained and reinforced protocols for reporting, investigating, and prosecuting child abuse and neglect
- Provided specialized training for professionals who handle child sexual abuse cases; and
- Collaborated with child advocacy centers to implement the utilization of child centered interview rooms. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications and current edition of the Financial Guide are available by writing to the Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531.

**Regional or Local Office:**

None.

**Headquarters Office:**

Renee Williams Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington,, District of Columbia 20531 Email: Renee.Williams@usdoj.gov Phone: 202-616-3218 or 202-616-9559

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.582 Crime Victim Assistance/Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Tribes will implement a variety of programs to improve the way in which child sexual abuse cases are handled in Indian country. Examples of some of the activities are: development of written protocols between agencies to minimize the number of child interviews and improve case management; provision of child advocacy in the court process; reduction in the amount of time required to investigate cases of child sexual abuse; revision of tribal codes to include child abuse; establishment of special multidisciplinary child interviewing teams; provision of specialized training for investigators and judicial personnel; and hiring of staff to increase the numbers of child sexual abuse cases prosecuted in tribal, State, and Federal courts. CJA funds will also be used for training and technical assistance for tribes in implementing the grants awarded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402. Additional criteria will be developed by the Office for Victims of Crime and will be announced at

## **16.585 DRUG COURT DISCRETIONARY GRANT PROGRAM**

Drug Court Program (DCP)

### **FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

### **AUTHORIZATION:**

The Drug Court Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351d, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Public Law 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002).

### **OBJECTIVES:**

The Drug Court Discretionary Grant Program provides financial and technical assistance to states, state courts, local courts, units of local government, and Indian tribal governments to develop and implement treatment drug courts that effectively integrate substance abuse treatment, mandatory drug testing, sanctions and incentives, and transitional services in a judicially supervised court setting with jurisdiction over nonviolent, substance-abusing offenders.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the Drug Court Program Guideline available from the Department of Justice Response Center. Drug Court Programs under Title V will be for nonviolent adult and juvenile offenders and involve early and continuous judicial supervision over the nonviolent substance abusing offenders and the integrated administration of sanctions and services including: (1) mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation; (2) substance abuse treatment for each participant; (3) diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements; and (4) programmatic, offender management and aftercare services.

### **Applicant Eligibility:**

Grants can be given to States, State courts, local courts, units of local government and Indian tribal governments, acting directly or through agreements with other public or private entities. Applicants may choose to submit joint applications with other eligible jurisdictions for statewide, regional, and multi-jurisdictional drug court programs. With joint applications, one organization must be designated as the applicant and any coapplicants designated accordingly. The applicant organization must be eligible and the other agencies/organizations must provide supporting documentation. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants. For an application from a subunit of government (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be designated by letter as representing an eligible applicant (described above). For example, the county court or county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. In this instance, the applicant continues to be the designating State, court system, or unit of local government.

The county probation, district attorney's office, or other designated subunit, is the organization authorized to submit an application on behalf of the eligible applicant.

### **Beneficiary Eligibility:**

States, local governments, Indian tribal governments, public or private entities.

### **Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Applicant Information page; a one-page program abstract summarizing the goals and objectives of the grant request; program narrative; letters of support; detailed budget and budget narrative; administrative requirements; and assurances and certifications. See program announcement for more information. This program is excluded from coverage under OMB

Circular No. A-87.

### **Preapplication Coordination:**

Prospective applicants may view the preapplication requirements by visiting the web site at <http://www.ojp.usdoj.gov/BJA/grant/drugcourts.html>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

### **Award Procedure:**

An award is granted by the Assistant Attorney General, Office of Justice Programs, and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 60 days.

### **Appeals:**

Determined by the Assistant Attorney General, OJP.

### **Renewals:**

Grants can be extended by submitting a written justification for an extension to the Bureau of Justice Assistance office for review. Extensions are subject to approval by the Bureau of Justice Assistance and renewals by congressional funding.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. The Federal share of a grant received under this subtitle may not exceed 75 percent of the total cost of an applicant's projected budget. The matching requirement is a 25 percent match provided by the applicant. A portion of the match must be cash. This is required by statute; the term "portion" is not defined.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Project duration period will be up to 3 years for Implementation Grants, up to 2 years for Enhancement Grants. See the following for information on how assistance is awarded/released: By reimbursement.

### **Reports:**

Drug Court Grantee Data Collection Survey. No cash reports are required. "Progress Reports", which consist of semi-annual program progress reports. "Fiscal Reports", which consist of quarterly budget expenditure reports. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$19,345,710; FY 09 est \$40,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Up to \$350,000 for Implementation Grants; and up to \$200,000 for Enhancement grants.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The overall purpose of this program is to assist jurisdictions in the development and implementation of new and existing drug courts.

Through early court intervention and substance abuse treatment, drug courts help reduce recidivism among these types of offenders. Funds will be made available to support the planning process, conduct implementation, or offer additional support to preexisting drug court programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eunice Pierre 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

16.523 Juvenile Accountability Block Grants; 16.579 Edward Byrne Memorial Formula Grant Program; 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 93.959 Block Grants for Prevention and Treatment of Substance Abuse

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Please visit web site address for current information. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement.

**16.586 VIOLENT OFFENDER INCARCERATION AND TRUTH IN SENTENCING INCENTIVE GRANTS**

Prison Grants (VOI/TIS)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994, Title II, Subtitle A, as amended, Public Law 103-322; 42 U.S.C. 13701 et seq.

**OBJECTIVES:**

To provide funds to individual States and States organized as regional compacts to build or expand 1) correctional facilities to increase the bed capacity for the confinement of Part 1 violent offenders; 2) temporary or permanent correctional facilities including facilities on military bases, prison barges and boot camps for the confinement of nonviolent offenders for the purpose of freeing prison space for violent offenders; 3) jails.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to build or expand permanent or temporary correctional facilities to increase bed space for the confinement of adult and juvenile violent offenders. Up to 15 percent of a State's formula grant may be awarded to counties and other units of local government to construct, develop,

expand, modify or improve jails and other correctional facilities. Under exigent circumstances, funds may be used to increase capacity for the confinement of nonviolent juvenile offenders. Beginning with fiscal year 1999 grant funds, ten percent of the award may be used to implement drug testing policies that meet the Attorney General's Guidelines.

**Applicant Eligibility:**

States and States organized in multi-State compacts are eligible to apply. State means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. All awards are made to the State Office. Local units of government must apply directly to the States for grant funds.

**Beneficiary Eligibility:**

State and local correctional agencies.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (standard form 424), including signed assurances that it will comply with statutory and administrative requirements. Applicants must also demonstrate compliance with statutory requirements for the three Tiers of the Violent Offender Incarceration Program and those for Truth In Sentencing to qualify for funding from each allocation. States must also demonstrate an ability to operate facilities built with these funds, recognize the rights of crime victims, and have implemented a program of drug testing and intervention for offenders under corrections supervision. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit a completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Bureau of Justice Assistance. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. All applications must be submitted electronically through the Office of Justice Programs, Grant Management System at <https://grants.ojp.usdoj.gov>.

**Award Procedure:**

A letter with copies of the grant award is sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications for Violent Offender Incarceration Tier 1 funds will be approved or denied within 30 days of receipt of a complete application. Applications for Violent Offender Incarceration Tiers 2 and 3 and Truth In Sentencing will generally be approved or denied within 90 days of receipt of a complete application.

**Appeals:**

Formula grant applicants will be notified in writing of reasons for disapproval of their application and will be given an opportunity for reconsideration.

**Renewals:**

Subject to appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10%. The Federal share of a grant funded project may not exceed 90 percent of the total costs of the project. The 10 percent matching funds must be in the form of a cash match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus four additional years. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Recipients are required to submit Individual Project Reports as subawards are made. No cash reports are required. Semiannual progress reports. Quarterly Financial Reports. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$1,307,723; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Please visit web site for current information at <http://www.ojp.usdoj.gov/BJA/grant/voitis.html>.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, Answers to Frequently Asked Questions, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Burch Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bja/grant/voitis.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals under the formula grant awards within the authorized purpose areas will be defined by States.

**16.587 VIOLENCE AGAINST WOMEN DISCRETIONARY GRANTS FOR INDIAN TRIBAL GOVERNMENTS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g.

**OBJECTIVES:**

To increase tribal capacity to respond to violent crimes against Indian women, and to develop and strengthen victim services in cases involving violent crimes against Indian women.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (1) develop and enhance effective governmental strategies to curtail violent crimes against and increase the safety of Indian women consistent with tribal law and custom; (2) increase tribal capacity to respond to domestic violence, dating violence, sexual assault, and stalking crimes against Indian women; (3) strengthen tribal justice interventions including tribal law enforcement, prosecution, courts, probation, correctional facilities; (4) enhance services to Indian women victimized by domestic violence, dating violence, sexual assault, and stalking; (5) work in cooperation with the community to develop education and prevention strategies directed toward issues of domestic violence, dating violence, and stalking programs and to address the needs of children exposed to domestic violence; (6) provide programs for supervised visitation and safe visitation exchange of children in situations involving domestic violence, sexual assault, or stalking committed by one parent against the other with appropriate security measures, policies, and procedures to protect the safety of victims and their children; (7) provide transitional housing for victims of domestic violence, dating violence, sexual assault, or stalking, including rental or utilities payments assistance and assistance with related expenses such as security deposits and other costs incidental to relocation to transitional housing, and support services to enable a victim of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community; and (8) provide legal assistance necessary to provide effective aid to victims of domestic violence, dating violence, sexual assault, or stalking who are seeking relief in legal matters arising as a consequence of that abuse or violence, at minimal or no cost to the victims. Funds may also be used for tribal sexual assault victim services. Applicants must demonstrate their proposal was developed in consultation with a nonprofit, nongovernmental Indian victim services program, including sexual assault and domestic violence victim services providers in the tribal or local community, or a nonprofit tribal domestic violence and sexual assault coalition to the extent that they exist. In the absence of such a demonstration, the applicant may meet the requirement of this subsection through consultation with women in the community to be served.

**Applicant Eligibility:**

Indian tribal governments and authorized designees of tribal governments. The term "tribal government" means-- (A) the governing body of an Indian tribe; or (B) a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

Tribal governments and authorized designees of tribal governments.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

At least one year. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$29,938,828; FY 09 est \$33,362,280; FY 10 est \$33,695,903

**Range and Average of Financial Assistance:**

Range - \$250,000 - \$1,048,029

Average - \$649,014.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applicants: 66

Awards: 65. Fiscal Year 2009: Applicants: 38

Awards: 65. Fiscal Year 2010: Awards: 75.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Violence Against Women and Department of Justice Reauthorization Act of 2005 and program guidelines published annually.

**16.588 VIOLENCE AGAINST WOMEN FORMULA GRANTS**

STOP Violence Against Women Formula Grants

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist States, Indian tribal governments, tribal courts, State and local courts, and units of local government to develop and strengthen effective law enforcement and prosecution strategies to combat violent crimes against women, and develop and strengthen victim services in cases involving crimes against women. The Program encourages the development and implementation of effective, victim-centered law enforcement, prosecution, and court strategies to address violent crimes against women and the development and enhancement of victim services in cases involving violent crimes against women. For funds under the ARRA, the program also focuses on creating and retaining jobs and improving the economy.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (1) training law enforcement officers, judges, other court personnel, and prosecutors to more effectively identify and respond to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (2) developing, training, or expanding units of law enforcement officers, judges, other court personnel, and prosecutors specifically targeting violent crimes against women, including the crimes of sexual assault and domestic violence; (3) developing and implementing more effective police,

court, and prosecution policies, protocols, orders, and services specifically devoted to preventing, identifying, and responding to violent crimes against women, including the crimes of sexual assault and domestic violence; (4) developing, installing, or expanding data collection and communication systems, including computerized systems, linking police, prosecutors, and courts or for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women, including the crimes of sexual assault and domestic violence; (5) developing, enlarging, or strengthening victim services programs, including sexual assault, domestic violence and dating violence programs, developing or improving delivery of victim services to underserved populations, providing specialized domestic violence court advocates in courts where a significant number of protection orders are granted, and increasing reporting and reducing attrition rates for cases involving violent crimes against women, including crimes of sexual assault and domestic violence; (6) developing, enlarging, or strengthening programs addressing stalking; (7) developing, enlarging, or strengthening programs addressing the needs and circumstances of Indian tribes in dealing with violent crimes against women, including the crimes of sexual assault and domestic violence; (8) supporting formal and informal statewide, multidisciplinary efforts, to the extent not supported by State funds, to coordinate the response of State law enforcement agencies, prosecutors, courts, victim services agencies, and other State agencies and departments, to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (9) training of sexual assault forensic medical personnel examiners in the collection and preservation of evidence, analysis, prevention, and providing expert testimony and treatment of trauma related to sexual assault; (10) developing, enlarging, or strengthening programs to assist law enforcement, prosecutors, courts, and others to address the needs and circumstances of older and disabled women who are victims of domestic violence or sexual assault, including recognizing, investigating, and prosecuting instances of such violence or assault and targeting outreach and support, counseling, and other victim services to such older and disabled individuals; (11) providing assistance to victims of domestic violence and sexual assault in immigration matters; (12) maintaining core victim services and criminal justice initiatives, while supporting complementary new initiatives and emergency services for victims and their families; (13) supporting the placement of special victim assistants (to be known as "Jessica Gonzales Victim Assistants") in local law enforcement agencies to serve as liaisons between victims of domestic violence, dating violence, sexual assault, and stalking and personnel in local law enforcement agencies in order to improve the enforcement of protection orders. Jessica Gonzales Victim Assistants shall have expertise in domestic violence, dating violence, sexual assault, or stalking and may undertake the following activities-- (A) developing, in collaboration with prosecutors, courts, and victimserviceproviders, standardized response policies for local law enforcement agencies, including triage protocols to ensure that dangerous or potentially lethal cases are identified and prioritized; (B) notifying persons seeking enforcement of protection orders as to what responses will be provided by the relevant law enforcement agency; (C) referring persons seeking enforcement of protection orders to supplementary services (such as emergency shelter programs, hotlines, or legal assistance services); and (D) taking other appropriate action to assist or secure the safety of the person seeking enforcement of a protection order; and (14) to provide funding to law enforcement agencies, nonprofit nongovernmental victim services providers, and State, tribal, territorial, and local governments, (which funding stream shall be known as the Crystal Judson Domestic Violence Protocol Program) to promote-- (A) the development and implementation of training for local victim domestic violence service providers, and to fund victim services personnel, to be known as "Crystal Judson Victim Advocates," to provide supportive services and advocacy for victims of domestic violence committed by law enforcement personnel; (B) the implementation of protocols within law enforcement agencies to ensure consistent and effective responses to the commission of domestic violence by personnel within such agencies (such as the model policy promulgated by the International Association of Chiefs of Police ("Domestic Violence by Police Officers: A Policy of the IACP, Police Response to Violence Against Women Project" July 2003)); (C) the development of such protocols in collaboration with State, tribal, territorial and local victim service providers and domestic violence coalitions. States must allocate a minimum of 25 percent of each year's grant award to each of the following areas: prosecution and law enforcement. In addition, States must allocate a minimum

of 30 percent to victim services, a minimum of 5 percent to courts. Within the 30 percent for victim services, states must allocate 10 percent for culturally-specific community-based organizations. The remainder of the funds may be spent at the discretion of the state within the statutory purpose areas.

**Applicant Eligibility:**

All States, Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and the District of Columbia, are eligible.

**Beneficiary Eligibility:**

State and local units of government, nonprofit nongovernmental victim services programs, state, local, and tribal courts, and Indian tribal governments.

**Credentials/Documentation:**

Grantees under this program are subject to 4 certification requirements: (1) A State, Indian tribal government, or unit of local government shall not be entitled to funds under this program unless the State, Indian tribal government, or another governmental entity incurs the full out-of-pocket cost of forensic medical examinations for victims of sexual assault. A State or Indian tribal government may use Federal grant funds under this part to pay for forensic medical exams performed by trained examiners for victims of sexual assault, except that such funds may not be used to pay for forensic medical exams by any State, Indian tribal government, or territorial government that requires victims of sexual assault to seek reimbursement for such exams from their insurance carriers. Nothing in this section shall be construed to permit a State, Indian tribal government, or territorial government to require a victim of sexual assault to participate in the criminal justice system or cooperate with law enforcement in order to be provided with a forensic medical exam, reimbursement for charges incurred on account of such an exam, or both. (2) a State shall not be entitled to funds under this program unless it certifies that its laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal or local jurisdiction (3) States must certify that that their judicial administrative policies and practices include notification to domestic violence offenders of the requirements delineated in section 922(g)(8) and (g)(9) of title 18, United States Code, and any applicable related Federal, State, or local laws; or give the Attorney General assurances that their judicial administrative policies and practices will be in compliance with this requirement within the later of the period ending on the date on which the next session of the State legislature ends or January 5, 2008. (4) In order to be eligible for grants under this part, a State, Indian tribal government, territorial government, or unit of local government shall certify that, not later than January 5, 2009., their laws, policies, or practices will ensure that no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of an alleged sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. This would be if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply

through the Office of Justice Programs' online Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 120 days after receipt of an application.

**Appeals:**

Contact the Office on Violence Against Women for further information.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Each eligible entity receives a base amount of \$600,000. Remaining funds are divided in an amount that bears the same ratio to the amount of remaining funds as the population of the State bears to the population of all of the States that results from a distribution among the States on the basis of each State's population in relation to the population of all States (not including populations of Indian tribes). The Federal share of these grants may not exceed 75 percent of the total costs of the projects described in the applications. States may satisfy this 25 percent match through in-kind services. All funds designated as match are restricted to the same uses as the Office on Violence Against Women funds and must be expended within the grant period. States and subgrantees may apply for a waiver of the match requirement based on an adequate demonstration of financial need. Match may not be required in subgrants for victim services or tribes. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds can be accessed by the State via the Phone Activated Paperless System (PAPRS) on an as needed basis. The State in turn subgrants the money to eligible public and/or private nonprofit programs via drawdowns. See the following for information on how assistance is awarded/released: Funds can be accessed by the State via the Phone Activated Paperless System (PAPERS) on an as needed basis. The State in turn subgrants the money to eligible public and/or private programs via drawdowns.

**Reports:**

Quarterly and final financial reports plus annual and end-of-grant program performance reports will be required, as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. In the progress reports, States must provide a statistical summary of persons served, detailing the nature of victimization and providing data on age, sex, relationship of victim to offender, geographic distribution, race, ethnicity, disability, and the number of persons served in any underserved population. The reports must also explain the activities carried out and provide an assessment of the effectiveness of those activities, including the number of persons served and the numbers of persons seeking services who could not be served. States are responsible for submitting State reports and ensuring that subgrantees submit annual progress reports as well. Grantees receiving funding under the ARRA are also required to submit quarterly financial and programmatic reports. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete and accurate records on the disposition of funds. ARRA funding must be kept separate from other funding sources.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Salaries) FY 08 \$114,354,000; FY 09 est \$249,765,177; FY 10 est \$317,990,936 - Past FY 2008  
Recovery Act: N/A  
Obligations: \$114,354,000.00  
Total: \$114,354,000.00

Current FY 2009

Recovery Act Obligations: \$121,071,569.00  
Obligations: \$128,693,608.00  
Total: \$249,765,177.00

Budget FY 2010

Recovery Act Estimate: \$175,000,000.00  
Estimate: \$142,990,936.00  
Total: \$317,990,936.00

**Range and Average of Financial Assistance:**

Range

Recovery Act: \$622,658 - \$9,042,754  
Budget: \$619,119 - \$11,315,645  
Total: \$1,241,777 - \$20,358,399

Average

Recovery Act: \$4,832,706  
Budget: \$5,967,382  
Total: \$10,800,088.00

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applicants: 61  
Awards: 61. Fiscal Year 2009: Applicants (Recovery Act): 69  
Applicants (Budget): 57  
Applicants (Total): 126

Awards (Recovery Act): 69

Awards (Budget): 57

Awards (Total): 126. Fiscal Year 2010: Awards (Recovery Act): 69

Awards (Budget): 57

Awards (Total): 126.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications submitted by the Chief Executive Officer of a State, or his or her designee, will be accepted by the grantor Federal Agency for consideration.

**16.589 RURAL DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ASSISTANCE PROGRAM****FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act, Title II, Section 203, Public Law 109-162.; Violence Against Women Act of 2000, Public Law 106-386; ; Violent Crime Control and Law Enforcement Act of 1994, Section 40295, 42 U.S.C. 13971, as amended;.

**OBJECTIVES:**

(1) To identify, assess, and appropriately respond to child, youth, and adult victims of domestic violence, sexual assault, dating violence, and stalking in rural communities, by encouraging collaboration among-- (A) domestic violence, dating violence, sexual assault, and stalking victim service providers; (B) law enforcement agencies; (C) prosecutors; (D) courts; (E) other criminal justice service providers; (F) human and community service providers; (G) educational institutions; and (H) health care providers; (2) to establish and expand nonprofit, nongovernmental, State, tribal, territorial, and local government victim services in rural communities to child, youth, and adult victims; and (3) to increase the safety and well-being of women and children in rural communities, by- (A) dealing directly and immediately with domestic violence, sexual assault, dating violence, and stalking occurring in rural communities; and (B) creating and implementing strategies to increase awareness and prevent domestic violence, sexual assault, dating violence, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be used to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking by implementing, expanding, and establishing cooperative efforts and projects among law enforcement officers, prosecutors, victim advocacy groups, and other related parties to investigate and prosecute incidents of domestic violence, dating violence, sexual assault, and stalking; providing treatment, counseling, advocacy, and other long- and short-term assistance to adult and minor victims of domestic violence, dating violence, sexual assault, and stalking in rural communities, including assistance in immigration matters; and working in cooperation with the community to develop education and prevention strategies directed toward such issues.

**Applicant Eligibility:**

States, Indian tribes, local governments, and nonprofit, public or private entities, including tribal nonprofit organizations, are eligible to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners and service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking in rural jurisdictions and Indian country.

**Credentials/Documentation:**

Applicants must provide documentation as specific in the Application Kit that the project will be limited to rural areas. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in

accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the online Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

Applicants must provide documentation as specified in the Application Kit that the project will be limited to rural areas.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.



**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$23,956,385; FY 09 est \$38,350,097; FY 10 est \$42,185,107

**Range and Average of Financial Assistance:**

Range: \$700,00 - \$2,750,000;

Average: \$1,725,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 244

Awards:57. Fiscal Year 2009: Applications: 193

Awards:174. Fiscal Year 2010: Applications: 230.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current

Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual Application Kit.

**16.590 GRANTS TO ENCOURAGE ARREST POLICIES AND ENFORCEMENT OF PROTECTION ORDERS****FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 102, Public Law 109-162; Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 3796hh, as amended.

**OBJECTIVES:**

To encourage States, Indian tribal governments, State and local courts (including juvenile courts), tribal courts, and units of local government to treat domestic violence, dating violence, sexual assault, and stalking as serious violations of criminal law.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory program purposes: (1) To implement proarrest programs and policies in police departments, including policies for protection order violations. (2) To develop policies, educational programs, protection order registries, and training in police departments to improve tracking of cases involving domestic violence, dating violence, sexual assault, and stalking. Policies, educational programs, protection order registries, and training described in this paragraph shall incorporate confidentiality, and privacy protections for victims of domestic violence, dating violence, sexual assault, and stalking. (3) To centralize and coordinate police enforcement, prosecution, or judicial responsibility for domestic violence, dating violence,

sexual assault, and stalking cases in teams or units of police officers, prosecutors, parole and probation officers, or judges. (4) To coordinate computer tracking systems to ensure communication between police, prosecutors, parole and probation officers, and both criminal and family courts. (5) To strengthen legal advocacy service programs for victims of domestic violence, dating violence, sexual assault, and stalking, including strengthening assistance to such victims in immigration matters. (6) To educate judges in criminal and civil courts (including juvenile courts) about domestic violence, dating violence, sexual assault, and stalking and to improve judicial handling of such cases. (7) To provide technical assistance and computer and other equipment to police departments, prosecutors, courts, and tribal jurisdictions to facilitate the widespread enforcement of protection orders, including interstate enforcement, enforcement between States and tribal jurisdictions, and enforcement between tribal jurisdictions. (8) To develop or strengthen policies and training for police, prosecutors, and the judiciary in recognizing, investigating, and prosecuting instances of domestic violence and sexual assault against older individuals (as defined in section 3002 of this title) and individuals with disabilities (as defined in section 12102(2) of this title). (9) To develop State, tribal, territorial, or local policies, procedures, and protocols for preventing dual arrests and prosecutions in cases of domestic violence, dating violence, sexual assault, and stalking, and to develop effective methods for identifying the pattern and history of abuse that indicates which party is the actual perpetrator of abuse. (10) To plan, develop and establish comprehensive victim service and support centers, such as family justice centers, designed to bring together victim advocates from non-profit, non-governmental victim services organizations, law enforcement officers, prosecutors, probation officers, governmental victim assistants, forensic medical professionals, civil legal attorneys, chaplains, legal advocates, representatives from community-based organizations and other relevant public or private agencies or organizations into one centralized location, in order to improve safety, access to services, and confidentiality for victims and families. Although funds may be used to support the colocation of project partners under this paragraph, funds may not support construction or major renovation expenses or activities that fall outside of the scope of the other statutory purpose areas. (11) To develop and implement policies and training for police, prosecutors, probation and parole officers, and the judiciary in recognizing, investigating, and prosecuting instances of sexual assault, with an emphasis on recognizing the threat to the community for repeat crime perpetration by such individuals. (12) To develop, enhance, and maintain protection order registries. (13) To develop human immunodeficiency virus (HIV) testing programs for sexual assault perpetrators and notification and counseling protocols.

**Applicant Eligibility:**

Grants are available to States, Indian tribal governments, units of local government, and State, tribal, territorial, and local courts.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners, domestic violence, dating violence, sexual assault and stalking victim advocates, and other service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Eligible applicants must: (1) certify that their laws or official policies-- (A) encourage or mandate arrests of domestic violence offenders based on probable cause that an offense has been committed; and (B) encourage or mandate arrest of domestic violence offenders who violate the terms of a valid and outstanding protection order; (2) demonstrate that their laws, policies, or practices and their training programs discourage dual arrests of offender and victim; (3) certify that their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; (4) certify that their laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order,

petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal, or local jurisdiction; and (5) certify that, not later than 3 years after January, 5, 2006, their laws, policies, or practices will ensure that-- (A) no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of a sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense; and (B) the refusal of a victim to submit to an examination described in subparagraph (A) shall not prevent the investigation of the offense. In addition, a State or unit of local government shall not be entitled to 5 percent of the funds allocated under this program unless the State or unit of local government-- (1) certifies that it has a law or regulation that requires-- (A) the State or unit of local government at the request of a victim to administer to a defendant, against whom an information or indictment is presented for a crime in which by force or threat of force the perpetrator compels the victim to engage in sexual activity, testing for the immunodeficiency virus (HIV) not later than 48 hours after the date on which the information or indictment is presented; (B) as soon as practicable notification to the victim, or parent and guardian of the victim, and defendant of the testing results; and (C) follow-up tests for HIV as may be medically appropriate, and that as soon as practicable after each such test the results be made available in accordance with subparagraph (B); or (2) gives the Attorney General assurances that its laws and regulations will be in compliance with requirements of paragraph (1) within the later of -- (A) the period ending on the date on which the next session of the State legislature ends; or (B) 2 years. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by

contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organization," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$42,839,262; FY 09 est \$48,087,792; FY 10 est \$52,896,571

**Range and Average of Financial Assistance:**

Range: \$376,213 - \$500,000;

Average: \$438,106.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 170

Awards:67. Fiscal Year 2009: Applications: 228

Awards: 92. Fiscal Year 2010: Applications: 200.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included

in an annual Application Kit.

## **16.593 RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS**

RSAT

### **FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

### **AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Title I, Section 1001, as amended, Public Law 90-351, 42 U.S.C. 3796ff et seq.

### **OBJECTIVES:**

To assist States and units of local government develop and implement residential substance abuse treatment programs within State and local correctional facilities in which prisoners are incarcerated for a period of time sufficient to permit substance abuse treatment.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

The Residential Substance Abuse Treatment formula grant funds may be used to implement residential substance abuse programs that provide individual and group treatment activities for offenders in residential facilities operated by State and local correctional agencies. These programs must 1) last between 6 and 12 months; 2) be provided in residential treatment facilities set apart from the general correctional population; 3) focus on the substance abuse problems of the inmate; and 4) develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems. Grant funds shall not be used for land acquisition or construction projects.

### **Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands are eligible to apply. The State office may award subgrants to State agencies and units of local government. Applicant States must agree to implement or continue to require urinalysis and/or other proven reliable forms of drug and alcohol testing of individuals assigned to residential substance abuse treatment programs in correctional facilities.

### **Beneficiary Eligibility:**

State and local correctional agencies will implement programs to provide treatment to incarcerated offenders.

### **Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: Immediately after enactment of the appropriations (usually in the first quarter of the fiscal year). BJA notifies the Byrne State Administering Agencies (SAAs) that the program solicitation is available online. The Byrne SAAs then have 60 days in which to submit an application through the online, Internet-based Grants Management System (GMS).

### **Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

### **Appeals:**

Formula grant applicants will be notified in writing of reasons for disapproval of their application and will be given an opportunity for reconsideration.

### **Renewals:**

Formula grants will be renewed each year.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Grant funds are allocated to the States using the following formula: a) each participating State is allocated a base amount of 0.4 percent of the total funds available for the program; and b) the remaining funds are allocated to each participating State in the ratio its prison population bears to the total prison population of all participating States. The most recent National Prisoner Statistics collected by the Bureau of Justice Statistics will be used to make these allocations. The Federal share of a grant-funded project may not exceed 75 percent of the total costs of the project. The 25 percent matching funds must be in the form of a cash match. This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus two additional years. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual. Quarterly financial reports are required. To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

### **Audits:**

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

### **Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

### **Account Identification:**

15-0404-0-1-754.

### **Obligations:**

(Formula Grants) FY 08 \$8,812,378; FY 09 est \$10,000,000; FY 10 est \$30,000,000

### **Range and Average of Financial Assistance:**

Approximately \$250,000 to \$6.8 million.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Timothy Wight Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: 202-616-6500

**Website Address:**

<http://www.ojp.usdoj.gov/bja>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals to implement State and local residential substance abuse treatment programs for prisoners with formula grant funds will be defined by the States.

**16.595 COMMUNITY CAPACITY DEVELOPMENT OFFICE**

The Weed and Seed Program

**FEDERAL AGENCY:**

Executive Office for Weed and Seed, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Dept. of Justice Reauthorization Act of 2005, Section 1121, Public Law 109-162.

**OBJECTIVES:**

The Program's objective is national implementation of Operation Weed and Seed. Operation Weed and Seed is a comprehensive, multi-disciplinary approach to combating violent crime, drug use, and gang activity in high crime neighborhoods. The goal is to "weed out" violence and drug activity in high crime neighborhoods and then to "seed" the sites with a wide range of crime and drug prevention programs, human service resources, and neighborhood restoration activities to prevent crime from reoccurring. The strategy emphasizes the importance of a coordinated approach, bringing together Federal, State and local government, the community, and the private sector to form a partnership to create a safe, drug-free environment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Weed and Seed funding is for grants, cooperative agreements, and contracts, with non-profit entities, State and local agencies engaged in the investigation and prosecution, and prevention of violent crimes and drug offenses in "Weed and Seed" designated communities, and for either reimbursements or transfers to appropriation accounts of the Department of Justice and other Federal agencies which shall be specified by the Attorney General to execute the "Weed and Seed" program strategy.

**Applicant Eligibility:**

The eligible applicant is a coalition of community residents, local, county, and State agencies, Federal agencies, and the private sector.

**Beneficiary Eligibility:**

Eligibility criteria for selecting and funding Weed and Seed sites are as follows: High incidence of violent crime; existing, workable community infrastructure; cooperative governmental partnerships; good cooperation between governmental and private civic and social service organizations; cooperative business community; strong U.S. Attorney Office; and history of innovative programming at the local level. If a large city is being considered, the project site should be a clearly, easily identifiable section of the metropolitan area. The strategy also seeks to encompass available funding from reprogrammable Federal program dollars and existing private/local leveraged funds.

**Credentials/Documentation:**

An interested community should establish contact with the United States Attorney, who convenes a formal steering committee. The steering committee, through the guidance and facilitation of the United States Attorney, produces an implementation plan along the lines set forth in the Weed and Seed

Implementation Manual. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The DOJ solicitations for continuation and competitive applications for fiscal year 2006 funding were issued in April 2006. A competitive applications kit was issued in April 2006 for sites which are interested in becoming Weed and Seed Communities. Letters of intent to apply will be due in late June 2006 with full applications due in January 2007.

**Award Procedure:**

As set forth in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As provided in the application.

**Appeals:**

As provided in the application.

**Renewals:**

As provided in the application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Approximately 1-year funding is provided, subject to consideration for continuation for up to 5 years based on past performance and the availability of funding. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Please contact program office for more information. Quarterly financial reports are required. Performance measures, as specified in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Community Capacity Development Office files and Office of Justice Programs files.

**Account Identification:**

15-0334-0-1-751.

**Obligations:**

(Project Grants) FY 08 \$33,799,228; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

The site award levels assuming program compliance are \$100,000 for first year sites, up to \$175,000 for second, through fifth year sites.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Weed and Seed sites have experienced significant declines in crime rates. The Community Capacity Development Office (CCDO) has been working to supplement Weed and Seed funds by coordinating with other Federal agencies and nonprofit organizations. In addition, CCDO continues to assist sites in adopting the Weed and Seed strategy and in seeking both funding and Official Recognition of local efforts without funding. CCDO works with other agencies to design and provide training and technical assistance related to the Weed and Seed strategy and coordinates with the participating agencies to inform the sites when that training is available. CCDO has upgraded and expanded the Weed and Seed program newsletter, "In-Sites." It is published quarterly and announces developments in Weed and Seed policy and shares information among Weed and Seed sites. CCDO has also developed a videotape library for use by those developing a Weed and Seed strategy. Visit [www.ojp.usdoj.gov/ccdo](http://www.ojp.usdoj.gov/ccdo) for more information. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Operation Weed and Seed Implementation Manual, Newsletter ("In-Sites"), and "Weed and Seed Best Practices" periodical. Visit [www.ojp.usdoj.gov/ccdo](http://www.ojp.usdoj.gov/ccdo) for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise Viera 810 Seventh Street, NW, Washington, District of Columbia 20531  
Phone: 202-616-1152 Fax: 202-616-1159

**Website Address:**

<http://www.ojp.usdoj.gov/ccdo>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting and funding Weed and Seed sites are as follows: High incidence of violent crime; existing, workable community infrastructure; cooperative governmental partnerships; good cooperation between governmental and private civic and social service organizations; strong U.S. Attorney involvement; history of innovative programming at the local level; if a large city is being considered, the project site should be a clearly, easily identifiable section of the metropolitan area; available funding from reprogrammable Federal program dollars and existing private/local funds.

**16.596 CORRECTIONAL GRANT PROGRAM FOR INDIAN TRIBES****CORRECTIONAL FACILITIES ON TRIBAL LANDS****FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Section 114, Public Law 104-134; Violent Crime Control and Law Enforcement Act of 1994, Title II, Subtitle A, Public Law 103-322, 105 Stat. 1796, as amended, 42 U.S.C. 13701 et seq.

**OBJECTIVES:**

To renovate and/or construct correctional facilities on tribal lands for the incarceration and supervision of offenders subject to tribal jurisdiction.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Grant Program for Indian Tribes may be used to assist Indian tribes in developing or expanding correctional facilities for both adult and juvenile

offenders.

**Applicant Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Beneficiary Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description of the program, the implementation process, and a timetable for implementation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Targeted tribes are invited to submit applications for construction of juvenile correctional facilities.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to appropriation and program priorities.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 24 to 60 months based on the facility constructed and/or renovated. See the following for information on how assistance is awarded/released: See BJA.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual. Semi-annual. As specified in solicitation.

**Audits:**

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

financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$12,963,062; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance Application Kit and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Burch Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

[http://www.ojp.usdoj.gov/BJA/grant/tribal\\_correction.html](http://www.ojp.usdoj.gov/BJA/grant/tribal_correction.html)

**RELATED PROGRAMS:**

16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants; 16.731 Tribal Youth Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of grants made under the tribal grant program include regional detention centers and tribes on the Bureau of Indian Affairs priority list for new construction. Please visit web site for current information. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Past projects were selected on the basis of need for correctional facility space, demonstrated ability to operate the facilities, soundness of implementation plan, thoroughness of budget submission, and proposed strategy to measure impact/outcomes. Additionally, BJA considers BIAs priority list for facilities that are in need of repair or new construction.

**16.606 STATE CRIMINAL ALIEN ASSISTANCE PROGRAM**

SCAAP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Appropriations Act, Public Law 106-113, Division B, Section 1000(a); Immigration and Nationality Act, 8 U.S.C. 1252, Section 242 as Amended; Title II, subtitle C, Section 20301; Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322.

**OBJECTIVES:**

The State Criminal Alien Assistance Program (SCAAP) is a payment program designed to provide federal assistance to states and localities that incur costs for

incarcerating undocumented criminal aliens who are being held as a result of state and/or local charges or convictions. BJA administers this program in conjunction with the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services branches.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

The Department of Justice Reauthorization Act of 2005 (Public Law 109-162, Title XI) included the following requirement regarding the use of SCAAP funds: "Amounts appropriated pursuant to the authorization of appropriations in paragraph (5) that are distributed to a State or political subdivision of a State, including a municipality, may be used only for correctional purposes." All funds must be used for correctional purposes only. To be eligible for reporting, inmates must have been convicted of a felony or second misdemeanor for violations of state or local law, and housed in the applicant's state or local correctional facility for 4 or more consecutive days during the reporting period. Once a person meets these criteria, all pre-trial and post-conviction time served may be included in the application. Salary information reported in the SCAAP application must reflect the total salaries and wages paid to full and part-time correctional officers and others who meet the SCAAP definition. See the SCAAP Guidelines at <http://www.ojp.usdoj.gov/BJA/>.

**Applicant Eligibility:**

Eligible applicants include States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions exercising authority with respect to the incarceration of an undocumented criminal alien. This covers state prison facilities (including those housing juveniles convicted as adults of felony offenses or two or more misdemeanors) and local jails, whether operated by counties or cities. Applicants are generally State and units of local government. Note: Only one application is accepted from each separate political division (i.e., State, county, city).

**Beneficiary Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions.

**Credentials/Documentation:**

Applicants who are seeking funding must complete an electronic application form via the Office of Justice Programs Grant Management System (GMS). Inmate data, including the proper inmate identifiers, will either be manually key-stroked into the on-line application system, or submitted on-line by electronically attaching the applicable portions of the applicants inmate databases. The authorized official certifies compliance with all SCAAP requirements, including that: the applicant has been authorized by the Chief Executive Officer of the applicable unit of government; the inmate identifiers required have been submitted to BJA in the proper format(s) for Immigration and Customs Enforcement (ICE) verification within the prescribed deadlines; all inmates counted by the applicant have been convicted of either a felony or two misdemeanor offenses under the applicant's law; and, only salary costs for corrections officers were included in the Total Salary Costs. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. SCAAP

applications are administered via the Office of Justice Programs Internet-based Grants Management System. Inmate data, including the proper inmate identifiers, may either be manually key-stroked into the on-line application system, or submitted on-line by electronically attaching the applicable portions of their inmate databases. Awards are announced after the ICE inmate verification process is done. Technical assistance is available to applicants for preparation of the on-line application process by calling the OJP Grants Management System Hotline at 1-888-549-9901.

**Award Procedure:**

The final payment process requires that all applications and all data be fully processed and verified before any payments are made. Inmate data will be verified by the Immigration and Customs Enforcement. ICE will attempt to match the inmate data records provided to records in its databases to obtain the maximum number of confirmed matches. These matches are expected to include three categories: 1) those positively identified (matched) as qualifying undocumented criminal aliens; 2) those unknowns and 3) those positively identified as non criminal aliens. Applicants will be given credit for a percentage of inmates whose eligibility cannot be determined through positive identification or "match," but have valid foreign countries of birth. Payments will be based on the days of incarceration for the verified number of aliens incarcerated by each applicant. Payments are granted by the Director of the Bureau of Justice Assistance, Office of Justice Programs, Department of Justice. The payment must be accepted on-line and the acceptance will effect a simultaneous assurance of compliance with conditions. Acceptance of the payment online initiates the automatic electronic transfer of funds from OJP to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact BJA.

**Appeals:**

Not Applicable.

**Renewals:**

If additional funding for the State Criminal Alien Assistance Program is allocated by Congress, applications can be submitted annually.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Contact BJA.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal

entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, a copy of the inmate records submission, and all other records pertinent to a grant shall be retained for a period of at least three (3) years following the closeout of the grant.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$775,402,370; FY 09 est \$400,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program has assisted states and localities which have requested assistance in defraying the cost incurred for the imprisonment of undocumented criminal aliens, resulting in more than \$4 billion in SCAAP funds being distributed to over 660 unique jurisdictions in the last 9 years. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide and the State Criminal Alien Assistance Program Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Hammond-Deckard Bureau of Justice Assistance, 4th floor, 810 7th Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bja/grant/scaap.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.607 BULLETPROOF VEST PARTNERSHIP PROGRAM**

BVP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Bulletproof Vest Partnership Grant Act of 1998, Public Law 105-181, June 16, 1998, and Bulletproof Vest Program Act of 2000, Public Law 106-517.

**OBJECTIVES:**

To protect the lives of law enforcement officers by helping State, local, and tribal law enforcement agencies provide officers with armored vests.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The program pays up to 50 percent of the total cost of each vest order. Total cost includes the cost of the vests, vest carriers, attachments, inserts, and covers considered integral or essential for its proper care, use, and wearability, shipping, handling, fitting charges, and applicable taxes. The total invoiced price, after all vendor and prompt payment discounts have been deducted, is what the Bureau of Justice Assistance (BJA) uses to determine the Federal match. This program only allows the purchase of body armor that has been

tested and found to comply with applicable ballistic and stab standards promulgated by the National Institute of Justice's (NIJ) Standard 0101.03 Ballistic Resistance of Police Body Armor. In FY 2001, stab-resistant body armor was also included in the program as an allowable purchase.

**Applicant Eligibility:**

Only chief executives of jurisdictions (or their designees) may apply for funds. Jurisdictions are defined as general purpose units of local government (e.g., cities, towns, townships, boroughs, counties, etc.), Federally-recognized Indian tribes, the 50 State governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The chief executive of the jurisdiction registers on-line, submits the jurisdiction application, and requests payment for completed vest orders.

**Beneficiary Eligibility:**

Only law enforcement officers may receive vests through this program. According to the Act, "law enforcement officer" means any officer, agent, or employee of a State, unit of local government, or an Indian tribe authorized by law or by a government agency to engage in or supervise the prevention, detection, or investigation of any violation of criminal law, or authorized by law to supervise sentenced criminal offenders. Eligible officers may be full-time, part-time, paid or volunteer.

**Credentials/Documentation:**

Eligible jurisdictions must be general purpose units of local government, Federally-recognized Indian tribes, the 50 state governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The validity of the on-line registration process is verified through independent reviews which may include certification by the banking institutions serving the jurisdiction, the U.S. Census Bureau, and agencies within the U.S. Department of Justice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This is an Internet-based program. The jurisdiction is required to complete and submit an on-line registration form, providing information about the jurisdiction's chief executive officer, program contact person, and electronic banking information. The registration process is handled through the program's web site <http://vests.ojp.gov>. For jurisdictions without Internet capability, other means of registration are available. Only those jurisdictions with approved registrations are permitted to make application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The jurisdiction submits the application to BJA via the Internet web site <http://vests.ojp.gov>. On-line instructions guide the jurisdiction through the application process. Law enforcement agencies or agencies with law enforcement functions which meet the Act's definition, will assist in completing the jurisdiction's on-line application by indicating the types, numbers, and costs of vests they intend to order. For jurisdictions and/or agencies without Internet capability, other means of application are available. Only those jurisdictions that complete and submit applications will be eligible for matching funds from BJA.

**Award Procedure:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements. Each application is then checked against the availability of funds to cover up to 50 percent of the application's total cost, in keeping with established criteria for program fund allocation. When all checks are complete and the application approved, the jurisdiction is notified through e-mail that the necessary funds have been obligated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A minimum of 15 working days may be required for complete registration validation, although jurisdictions and law enforcement agencies will have

immediate access to certain program components during this validation process. A minimum of 20 working days may be required after the program closes for approval of the jurisdiction's application for funding. A minimum of 25 working days may be required for the electronic transfer of funds from the U.S. Treasury to the jurisdiction's bank account, once the request for funds has been received, reviewed, and approved by the Office of Justice Programs.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. The program requires that each applicant jurisdiction be responsible for providing at least 50 percent of the cost of each vest purchased. Tribal governments may use Federal funds to provide this match; all other jurisdictions must use nonfederal match funds. Nonfederal fund sources include State and/or local jurisdiction revenues, private or personal funds, and contributions from insurance or workman's compensation consortiums. Asset forfeiture funds may also be used to meet the jurisdiction's matching requirement. Beginning in FY 2002, changes (Bulletproof Vest Partnership Act of 2000; Public Law 106-517) gives preference to small jurisdictions (those populations below 100,000) guaranteeing them the full 50 percent match payment before payments are calculated and approved for larger jurisdictions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Jurisdictions with approved applications must request the federal match no later than September 30th of the fourth federal fiscal year following the end of the federal fiscal year in which their application was approved. In other words, the jurisdiction has four years beyond the year of their application to request payments for vests contained in that application. Payments of the federal match will be made whenever the jurisdiction indicates that at least part of the approved vest order was received and invoiced. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local procurement policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$863,728; FY 09 est \$23,500,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program approved 5,129 applications from states, territories, municipalities and tribal governments. These applications are



expected to result in the purchase of approximately 190,000 vests. BJA experiences over a 4 year period of program operations show that system design, technology and hardware adequately supported the program. The technical support help desk successfully fielded thousands of calls and e-mail inquiries from participants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, September 23, 1998 (Volume 63, Number 184), Internet web site <http://vests.ojp.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Hammond-Deckard Bureau of Justice Assistance, 4th floor, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.usdoj.gov/bvpbasi>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.608 TRIBAL COURT ASSISTANCE PROGRAM**

TCAP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Indian Tribal Justice Technical and Legal Assistance Act of 2000; Statue 2778; Public Law 106-559 Title II Indian Tribal Court, Sec. 201 (a) (25 USC 3681).

**OBJECTIVES:**

To assist tribal governments in the development, enhancement, and continuing operation of tribal judicial systems, including inter-tribal court systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

CATEGORY I: Planning and implementing an intertribal court system for smaller populations. CATEGORY II: Planning and implementing a single tribe court system. CATEGORY III: Enhancing or continuing the operation of the tribal courts.

The following tribes are subject to the above restriction on use of funds: (1) tribes in which fewer than 25 Native members live in the village year round; and (2) tribes that are located within the boundaries of the Fairbanks North Star Borough, the Matanuska Susitna Borough, the Municipality of Anchorage, the Kenai Peninsula Borough, the City and Borough of Juneau, the Sitka Borough, or the Ketchikan Borough.

Match is not required for personnel. However, if a position under this program is supported with BJA funds, total costs associated with salary and fringe benefits may not exceed 50 percent of the grant.

**Applicant Eligibility:**

Federally recognized Indian Tribal governments are eligible to apply for and receive funds under this program. Tribes that received FY 2006 or FY 2007 funding are not eligible to apply for a FY 2008 grant.

**Beneficiary Eligibility:**

Indian Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by the Common Rule, must be used for this program. Awards through this program will be competitive, based upon the extent and urgency of the need of each applicant. Applications must be submitted electronically at: <http://www.grants.gov/>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally, 90 days after receipt of applications.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Progress reports are due semi-annually. Unless otherwise specified in the award's special conditions, financial reports are due quarterly. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$7,815,640; FY 09 est \$9,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

CATEGORY I: PLANNING AND IMPLEMENTING AN INTERTRIBAL COURT SYSTEM FOR SMALLER POPULATIONS. Grant will not exceed \$200,000. CATEGORY II: PLANNING AND IMPLEMENTING A SINGLE-TRIBE COURT SYSTEM. Grant will not exceed \$200,000. CATEGORY III: ENHANCING OR CONTINUING THE OPERATION OF TRIBAL COURTS: Grant range: \$150,000 to \$175,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Visit website for current updates. Tribal Court Assistance Program: <http://www.ojp.usdoj.gov/BJA>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2c, Policies and Procedure for the Administration of OJP Grants, are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eunice Pierre Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-514-1473 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bja>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.609 COMMUNITY PROSECUTION AND PROJECT SAFE NEIGHBORHOODS**

Project Safe Neighborhoods (PSN)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title I; 42 U.S.C. 50 et seq.; Crime Control Act of 1990, Public Law 101-647; Appropriations Act of 2001, Public Law 106-553; Appropriations Act of 2002, Public Law 107-77. Appropriations Act of 2003, 2004, 2006.

**OBJECTIVES:**

Project Safe Neighborhoods (PSN) is a nationwide commitment and a comprehensive, strategic approach to reducing gun crime in America by networking existing local programs that target gun crime and providing those programs with additional tools and/or resources needed to reduce gun violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Community Prosecution program focuses on problem solving, strategic planning, and working in partnership with the community to prevent crime and violence and improve public safety. Project Safe Neighborhoods is a national strategy designed to reduce offenses committed with guns in streets and local neighborhoods. In addition to hiring new state and local prosecutors, the funds will be available to support investigations, provide training, develop and promote community outreach efforts, and improve public safety by supporting other gun crime reduction strategies.

**Applicant Eligibility:**

A PSN Task Force has been established in each of the 94 U.S. Attorney Districts. Each task force selects a fiscal agent to apply for this program. Eligible fiscal agents include states, units of local government, educational

institutions, faith-based and other community organizations, and private nonprofit organizations.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, Indian Tribal government, prosecutor offices.

**Credentials/Documentation:**

Eligible applicants must be certified by the U.S. Attorney's Office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. The application procedure and time lines will be contained in the program solicitation. Applications must be submitted on-line at the Office of Justice Programs, Grant Management System: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to grantee. One copy of grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies. 24 to 36 months. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Progress reports are due semi-annually. Unless otherwise specified in the awards special conditions, financial reports are due quarterly. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal

control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$3,166,800; FY 09 est \$15,000,000; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

Prior awards have ranged from approximately \$200,000 to \$1,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See web site for current program updates. Bureau of Justice Assistance: <http://www.ojp.usdoj.gov/BJA/grant/psn.html>; Project Safe Neighborhoods: <http://www.psn.gov/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2c, Policies and Procedure for the Administration of OJP Grants, are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonathan Faley or James Chavis Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

Bureau of Justice Assistance: <http://www.ojp.usdoj.gov/BJA/grant/psn.html>. Project Safe Neighborhoods: <http://www.psn.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Project Summaries: <http://www.ojp.usdoj.gov/BJA/grant/04PSNsummary.pdf>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, criteria for selecting proposals is contained within the individual program solicitations. For non-competitive grants, applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.610 REGIONAL INFORMATION SHARING SYSTEMS**

RISS

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351; 42 U.S.C. 3796h.

**OBJECTIVES:**

To enhance the ability of the state and local criminal justice agencies to identify, target, and remove criminal conspiracies and activities that span jurisdictional boundaries. The first objective of the Regional Information Sharing Systems Program (RISS) is to encourage and facilitate the rapid exchange and sharing of information among federal, state, and local law enforcement agencies pertaining to known or suspected terrorist, or criminal activity. The second objective is to enhance coordination and communication

among agencies that are in pursuit of criminal conspiracies determined to be interjurisdictional in nature. In addition, the RISS Program may provide technical and financial resources to member agencies, such as specialized equipment, training, and investigative funds, to augment existing multijurisdictional enforcement resources and operations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Up to 100 percent of total project grant costs are funded through Federal assistance. Cost-sharing is governed by Appropriation Act requirements. However, projects are encouraged to obtain and utilize additional funds through voluntary contributions, membership fees or dues, fees for service, or other sources from member agencies or governmental units benefiting from project services. Such funds will be considered program income and must be used to augment project operations or to reduce the Federal share of project costs.

**Applicant Eligibility:**

Six RISS projects are authorized as eligible to receive funding to provide services to law enforcement agencies throughout the nation. The projects are: The Middle Atlantic Great-Lakes Organized Crime Law Enforcement Center (MAGLOCLLEN), the Mid-States Organized Crime Information Center (MOCIC), the New England State Police Information Network (NESPIN), the Regional Organized Crime Information Center (ROCIC), the Rocky Mountain Information Network (RMIN), and the Western States Information Network (WSIN).

**Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, State, and local law enforcement agencies and personnel benefit from this program.

**Credentials/Documentation:**

The six RISS projects are required to submit a Federal application for assistance, as well as a detailed program and budget narrative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms furnished by the Federal agency and required by the Common Rule, must be used for this program.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days prior to the expiration of the project's current active grant.

**Appeals:**

Not Applicable.

**Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of 12 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Reporting requirements for grants/projects awarded under the RISS Program are articulated in the OJP Financial Guide, as well as the Funding and Administration Guidelines of the Regional Information Sharing Systems (RISS) Program Guide. No cash reports are required. No progress reports are required. No expenditure reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$38,039,279; FY 09 est \$45,000,000; FY 10 est \$45,000,000

**Range and Average of Financial Assistance:**

\$25 million to be divided among the six RISS projects. (Note: May want to tie this dollar amount to a specific fiscal year since amount will fluctuate from year-to-year).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See web site for current information. Regional Information Sharing Systems: <http://www.rissinfo.com/> RISS/ATIX: <http://www.rissinfo.com/rissatix.htm> <http://www.iir.com/riss/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of Justice Programs, Office of the Comptroller; BJA's Funding and Administration Guidelines of the Regional Information Sharing Systems Program, and The Criminal Intelligence Systems Operating Policies (28 CFR Part 23).

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.iir.com/riss/> for the six regions.

**Headquarters Office:**

Patrick McCreary Bureau of Justice Assistance, Fourth Floor, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500 or 1-800-421-6770

**Website Address:**

Regional Information Sharing Systems: <http://www.rissinfo.com/> RISS/ATIX: <http://www.rissinfo.com/rissatix.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.611 CLOSED-CIRCUIT TELEVISIONING OF CHILD VICTIMS OF ABUSE**

CCTV

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, Public Law 90-351, as amended, 42 U.S.C. 3796aa, et seq.

**OBJECTIVES:**

To provide equipment and personnel training for the closed-circuit televising and videotaping of the testimony of children in criminal proceedings for the violation of laws relating to the abuse of children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Up to 75 percent of total project grant costs may be funded through Federal assistance.

**Applicant Eligibility:**

Limited competition--a state or local unit of government that has in effect a law allowing the closed-circuit televising or video taping of testimony of children in criminal proceedings relating to the abuse of children.

**Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, state, and local law enforcement agencies and personnel; public non-profit organizations, and youth benefit from this program.

**Credentials/Documentation:**

Eligible states and units of local government. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must follow the instructions contained in the solicitation for the Closed-Circuit Televising of Testimony of Children Who Are Victims of Abuse Grant Program and submit a fully executed application to the Bureau of Justice Assistance, 810 Seventh Street, NW, Fourth Floor, Washington, DC 20531, Attention: Closed-Circuit TV Program Manager. Applicants should submit an original and two copies of the application, along with an electronic copy of the application on disk in WordPerfect or Word for Windows, to BJA for review. BJA must receive the application at least 90 days prior to the anticipated start date of a new or continuation award.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications must be approved no later than 60 days after first received unless the Director of BJA informs the applicant of specific reasons for disapproval.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days. A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Projects are awarded 75 percent of the total project costs. A match of 25 percent is required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grantees selected for awards will be funded for a period of 12 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Reporting requirements for grants and projects awarded under this program are articulated in the OJP Financial Guide, as well as in the program solicitation. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$809,660; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Approximately 10 to 15 grants ranging from a minimum of \$50,000 to a maximum of \$100,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The American Bar Association (ABA) received an award of \$363,731 to evaluate the CCTV projects to determine the effectiveness and impact of the funded projects in reducing the trauma to child abuse victims during criminal hearings or trials. The ABA organized a two-day evaluation conference to assist grantees in developing individual evaluation plans; provide technical assistance to grantees in developing individual evaluation plans and obtaining the data needed to assess the projects; and, on the preparation of a final report documenting the assessment, best practices, lessons learned, and recommendations to improve the CCTV Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of the Comptroller, Office of Justice Programs; BJA's Program Guide and Application Kit for the Closed-Circuit Televising of Testimony of Children Who Are Victims of Abuse Grant Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

K. Norris Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

www.usdoj.gov/bja.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Applicants can use grant funds to: purchase videotape and closed-circuit television equipment to remain in courthouses and/or portable equipment to be used by courthouses in other jurisdictions; provide training in videotape and closed-circuit interviewing to law enforcement, prosecutors, and related staff; prepare booklets outlining the legal requirements and procedures involved in the use and operation of videotape and closed-circuit televising; and provide training to appropriate staff in the setup and operation of the equipment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are contained in the Program Solicitation.

**16.614 STATE AND LOCAL ANTI-TERRORISM TRAINING**

**SLATT**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Anti-Terrorism and Effective Death Penalty Act of 1996, Section 822, Public Law 104-132; 42 U.S.C. 3760, 3751, (b)(26).

**OBJECTIVES:**

To provide specialized, terrorism/extremism orientation, interdiction, investigation, and prevention to state and local law enforcement executives, command personnel, intelligence officers, investigators, analytical personnel, training directors, and prosecutors.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

**USES AND USE RESTRICTIONS:**

Grant program funds are intended to: (1) provide state and local law enforcement (including prosecution authorities) a general awareness and working knowledge of domestic terrorist and "political" extremist movements; (2) disseminate information relating to vital elements of law enforcement anti-terrorism preparedness and readiness; (3) provide a general planning orientation to State and local law enforcement pertaining to crisis and consequence management and incident command, including essential elements requisite to conducting criminal investigations and prosecutions of terrorist threats and incidents; and (4) maintain and enhance a domestic terrorism public source database. Standard restrictions as outlined in OJP's Financial Guide apply.

**Applicant Eligibility:**

For-profit (commercial) organizations; nonprofit organizations; faith-based and community organizations; institutions of higher education; and consortiums with significant and demonstrated experience in terror prevention strategies and in delivering training and technical assistance to law enforcement and tribal communities are eligible to apply. For-profit organizations must agree to waive any profit or fees for services. Joint applications from a consortium must identify the primary applicant and co-applicant(s), and letters of support that outline the partners' responsibilities must be provided. Faith-Based and other

community organizations consistent with President George W. Bush's Executive Order 13279, dated December 12, 2002, and 28 C.F.R. Part 38. It is DOJ's policy that faith-based and other community organizations that statutorily qualify as eligible applicants under DOJ programs are invited and encouraged to apply for assistance awards to fund eligible grant activities. Faith-based and other community organizations will be considered for awards on the same basis as other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be discriminated for or against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization. Faith-based organizations receiving DOJ assistance awards retain their independence and do not lose or have to modify their religious identity (e.g., removing religious symbols) to receive assistance awards. DOJ grant funds, however, may not be used to fund any inherently religious activity, such as prayer or worship. Inherently religious activity is permissible, although it cannot occur during an activity funded with DOJ grant funds; rather, such religious activity must be separate in time or place from the DOJ-funded program. Further, participation in such activity by individuals receiving services must be voluntary. Programs funded by DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion.

**Beneficiary Eligibility:**

State and local criminal justice agencies are the primary beneficiaries of this program.

**Credentials/Documentation:**

The Institute for Intergovernmental Research is required to submit an application for assistance, as well as a detailed program and budget narrative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must follow the instructions pertinent to completing the SF-424, and the financial conditions prescribed in the OJP Financial Guide, and submit a fully executed application to the Bureau of Justice Assistance, 810 7th Street, NW., Fourth Floor, Washington, DC 20531. Complete instructions can be found at [www.grants.gov](http://www.grants.gov). If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at 1-800-518-4726.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, award letters and award documents are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a completed application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal is contingent upon: 1) Congressional funding; and 2) Justification. A project must submit a written request justifying the need for the extension and

how an extension would be consistent with the objectives of the grant within 60 days of expiration.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Reporting requirements for grants awarded under this program are articulated in the OJP Financial Guide. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds must retain all project related documentation for 3 years from the date of the final financial status report unless an audit has been initiated or an unresolved audit finding remains. This is in accordance with Federal retention requirements to ensure the availability of complete information should an audit be conducted.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Training) FY 08 \$1,902,869; FY 09 est \$2,000,000; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

One cooperative agreement for up to \$4.75 million will be awarded for a project period of 12 months.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Institute for Intergovernmental Research (IIR) coordinated curriculum development activities, secured appropriate facilities for training delivery, and delivered training through the Center for Task Force Training, SLATT Project. SLATT conducted a total of 50 workshops, training sessions, and focus groups for 7,600 line officers and 586 law enforcement executive officers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Guide, Office of Justice Programs, Office of the Comptroller.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Medaris Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.usdoj.gov/bja/tta/index.html>

**RELATED PROGRAMS:**

97.004 State Domestic Preparedness Equipment Support Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Anti-terrorist preparedness training, anti-terrorist research, operational issues development, and technical assistance support activities.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.615 PUBLIC SAFETY OFFICERS' EDUCATIONAL ASSISTANCE**

PSOEA

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Educational Assistance to Dependents of Civilian Federal Law Enforcement Officers Killed or Disabled in the Line of Duty, 42 U.S.C. 3796d. Section 1211 and Section 1212; Public Law 104-238, Section 2(2), 110 Statute 3114; Public Law 105-390, Section 2 (2) Statute 3495.

**OBJECTIVES:**

The PSOEA Program, an expansion of the Federal Law Enforcement Dependents Assistance (FLEDA) Program, provides financial assistance for higher education to the spouses and children of public safety officers killed in line of duty. The PSOEA Program also makes assistance available to spouses and children of public safety officers permanently and totally disabled by catastrophic injuries sustained in the line of duty. Under the PSOEA program, the families of state and local police, fire, and emergency public safety officers are covered for line-of-duty deaths that occurred on or after January 1, 1978. The families of Federal law enforcement officers and firefighters are covered for line of duty deaths occurring on or after October 12, 1984. The effective date for families of permanently and totally disabled Federal law enforcement officers is October 3, 1996. Families of state and local police, fire, and emergency public safety officers are covered for line-of-duty permanent and totally disabling injuries that occurred on or after November 13, 1998. Families of Federal Emergency Management Agency (FEMA) personnel and state, local and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Program funds are intended solely to defray eligible applicants' educational expenses, which may include tuition, fees, room and board, books, supplies, and other expenditures consistent with the educational, professional or vocational objectives of the applicant. Funds are restricted to defray above costs only.

**Applicant Eligibility:**

Dependents who (1) attend a program of education at an eligible institution; or (2) are the spouse and/or surviving children under the age of 27 of Federal, state and local public safety officers, whose deaths or permanent and totally disabling injuries are covered by the Public Safety Officers' Benefits (PSOB) Program (42 U.S.C. 3796 et seq.) are eligible for this program. A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter or member of a public rescue squad or ambulance crew.

**Beneficiary Eligibility:**

The spouse and surviving children of Federal, state and local public safety officers receive the ultimate benefits from this program. The children may receive benefits for classes taken before their twenty-seventh birthday. There is no age restriction for spouses.

**Credentials/Documentation:**

Documentation needed to apply for assistance includes: the Application for Public Safety Officer's Educational Assistance (42 U.S.C. 3796 d); educational transcripts; tuition/fees statements; acceptance letters to

educational/professional institutions; schedule of classes; verification of full or part-time status; and certification of other forms of educational assistance.

Contact the PSOB office at 1-888-744-6513 or by e-mail at AskPSOB@usdoj.gov, for full credential/documentation requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Claimants may initiate a claim by writing or telephoning the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531, (1-888) 744-6513 or AskPSOB@usdoj.gov.

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit a fully executed application to the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531.

**Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, claimants are typically awarded funds for the current or upcoming term, and they may apply for the following term once the earlier term has been completed. Funds can be received for multiple terms at one time if they have already been completed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Dependent upon validity of claim and submission of required documentation.

**Appeals:**

Applicants may appeal within 30 days of denial notification. The appeal process consists of a record review by an administration hearing officer.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for the equivalent of 45 months of full-time education or training, or for a proportional period of time for a part-time program.

Assistance is typically awarded in 4-month installments to coincide with the length of a school term. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-0403-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$1,280,006; FY 09 est \$4,100,000; FY 10 est \$4,100,000

**Range and Average of Financial Assistance:**

For classes taken since October 1, 2008, the rates of assistance are \$915 per month for full-time students. \$686 for three-quarter-time student. \$456 for half-time students and \$228.75 for less-than-half-time students. The amount of assistance is subject to change consistent with the current computation of educational assistance allowance set forth in Title IV of the Higher Education Act, Section 3532 of Title 38, U.S.C.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: PSOEA has developed an E-package. The PSOEA application can be downloaded from the PSOB website at:

<http://www.ojp.usdoj.gov/BJA/index.html>, or  
[http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_education.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_education.html). Fiscal Year  
2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Bureau of Justice Assistance's Public Safety Officers' Educational Assistance Program Fact Sheet (August 1999); Federal Register guidelines are available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eric Martin, Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskPSOB@usdoj.gov Phone: 1-888 744-6513 or (202) 616-6500

**Website Address:**

[http://www.ojp.usdoj.gov/BJA/grant/psob/psob\\_main.html](http://www.ojp.usdoj.gov/BJA/grant/psob/psob_main.html)

**RELATED PROGRAMS:**

16.571 Public Safety Officers' Benefits Program; 16.575 Crime Victim Assistance; 16.576 Crime Victim Compensation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.616 INDIAN COUNTRY ALCOHOL AND DRUG PREVENTION**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To assist tribal governments in the development and enhancement of tribal justice strategies to address crime issues related to alcohol and substance abuse.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Indian Alcohol and Substance Abuse Program (IASAP) provides funding and technical assistance to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia, to plan, implement, or enhance tribal justice strategies to address crime issues related to alcohol and substance abuse. No match is required for personnel. However, if a position under IASAP is supported with BJA funds, total costs associated with salary and fringe benefits may not exceed 50 percent of the grant. Funds awarded through this program to the following tribes may not be used for courts or law enforcement officers for a tribe or village, pursuant to Public Law 108-199 S. 112(a)(1): (1) tribes in which fewer than 25 Native members live in the village year round; and (2) tribes that are located within the boundaries of the Fairbanks North Star Borough, the Matanuska Susitna Borough, the Municipality of Anchorage, the Kenai Peninsula Borough, the City and Borough of Juneau, the Sitka Borough, or the Ketchikan Borough.

**Applicant Eligibility:**

Pursuant to 28 U.S.C. Section 524 note, applicants are limited to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia see 25 U.S.C. Section 450. Intertribal consortia must have and retain written authorization from each member tribe prior to this solicitation's submission deadline and certify the same in the application. Tribes that received funding from the FY 2006 or FY 2007 program ARE NOT ELIGIBLE to apply for a FY 2008 supplemental award.

**Beneficiary Eligibility:**

Federally recognized Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR, Part 225 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the federal agency and required by 28 CFR, Part 66, must be used for this program. Awards through this program will be competitive, based upon the extent and the urgency of the need of each applicant. All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at: <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJPs Assistant Attorney General, who will make final determinations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of the receipt of a completed application.

**Appeals:**

See 28 CFR Part 18 for standards.

**Renewals:**

Contingent upon Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not to exceed 36 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required. Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required. Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required. Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required. Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required. Financial reports are due quarterly and progress reports are due semi-annually. Program evaluation reports may be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all programs transactions for at least 3 years after the closure of audit reports



related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$4,381,276; FY 09 est \$6,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Program announcement contains information regarding the range and average level of financial assistance. Additional information is posted on the BJA website.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For information on tribal justice strategies and best practices, visit the National Tribal Justice Resource Center's web site at <http://www.tribalresourcecenter.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide and Handbook 4500.2C, Policies and Procedures for the Administration of OJP Grants, are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eunice Pierre Office of Justice Programs, Bureau of Justice Assistance  
810 Seventh Street, N.W.  
, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone:  
202-514-1473

**Website Address:**

Indian Country Alcohol and Drug Prevention Program:  
<http://www.ojp.usdoj.gov/BJA/grant/indian.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.710 PUBLIC SAFETY PARTNERSHIP AND COMMUNITY POLICING GRANTS**

COPS Office

**FEDERAL AGENCY:**

Office of Community Oriented Policing Services, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3796dd, as amended; Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322.

**OBJECTIVES:**

To advance the practice of community policing as an effective strategy in communities' efforts to improve public safety. COPS grants support innovative programs that respond directly to the existing and emerging needs of state, local, and tribal law enforcement, to shift law enforcements focus to preventing, rather than solely responding to crime and disorder within their communities; develop state-of-the-art training and technical assistance to enhance law enforcement officers problem- solving and community interaction skills, promote collaboration between law enforcement and community members to develop innovative initiatives to prevent crime, and provide responsive, cost effective service delivery to our grantees to ensure success in advancing community policing strategies within their communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants provide funding to (1) provide state, local, and tribal law enforcement agencies with grants for equipment, technology, officers, and training that enable law enforcement to build and strengthen their community policing infrastructure, and provided technical assistance to ensure that agencies are properly and effectively implementing the grant funding; (2) provide training, convening conferences, developing and disseminating knowledge resource products (publications, guides, toolkits, best practices, etc.), promoting law enforcement and community partnerships, and conducting program evaluations. The COPS Office authorizing statute contains specific restrictions applicable to all programs. In addition, annual appropriations acts may impose additional restrictions. 100% of COPS funds are Discretionary funds.

**Applicant Eligibility:**

States, units of local government, Federally Recognized Indian tribal governments, U.S. territories or possessions (including the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Mariana Islands), other public and private entities, and multi-jurisdictional or regional consortia thereof.

**Beneficiary Eligibility:**

States, units of local government, Federally Recognized Indian tribal governments, U.S. territories or possessions (including the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Mariana Islands), other public and private entities, and multi-jurisdictional or regional consortia thereof.

**Credentials/Documentation:**

Documentation varies by program, but may include proof of primary law enforcement authority, any specified Memorandums of Understanding, and Certifications, Assurances and Disclosure of Lobbying Activities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant submits application and budget forms as well as other required documentation (including required assurances, certifications, retention information, lobbying, etc.) prescribed by the grantor agency and approved by OMB, as outlined in the Application Guide. Application Guides are available from the grantor agency. At the time of submission, original or certified electronic signatures of duly authorized representatives (usually the Law Enforcement and Government Executive). The COPS Office offers the option of applying for COPS Grants online through the COPS website and using the collaborative, multiple-agency E-government initiative Grants.gov. If applicants apply online, the agency is required to complete the mandatory online forms and submit the application through their Authorized Organizational Representative.

**Award Procedure:**

Upon approval by the Director, Office of Community Oriented Policing Services, award notification letters will be sent to grantees. The grant award must be signed by a duly authorized representative and returned to the designated office within 90 days of the award mail date.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Typically between 4-6 months after receipt of

application, however grants awarded under the 2009 American Recovery and Reinvestment Act may have accelerated award announcement timelines.

**Appeals:**

See 28 C.F.R. Part 18.

**Renewals:**

COPS grants are made for between 1 and 3 years depending on the program. Renewals and/or extensions may be available under some grant programs and will be considered on a case-by-case basis. If available, extensions should be requested not sooner than 90 days prior to the expiration of the original project period.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Awards can be made for 75 percent of allowable project costs. Innovative grant programs may cover 100 percent of the total project cost, up to a maximum amount as specified in the application, with no local match required. Unless the requirement of a nonfederal share is waived, nonfederal funds must pay the difference. The nonfederal share of hiring grants must increase year-to-year over the grant period. Under the Secure Our Schools Recovery Program (CHRP) grants awarded under the American Recovery and Reinvestment Act of 2009 (Recovery Act), 100 percent federal funding of the approved total project cost for entry-level salary and benefits is provided. However, any additional costs for higher salaries or benefits above those of an entry-level position will be the responsibility of the grantee agency. This program has MOE requirements, see funding agency for further details. COPS grants have Non-supplanting and Retention requirements.

**Length and Time Phasing of Assistance:**

COPS grants are made for between 1 and 3 years depending on the program. Assistance is released on a reimbursement or limited advance basis. See the following for information on how assistance is awarded/released: Grantees submit request for payment when needed.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Programmatic reports and quarterly financial status reports will be required by the COPS Office as stipulated in the effective edition of the relevant grant owner's manual distributed by the grantor agency. Other reporting requirements, such as a final progress report and/or a closeout report may also be required depending on the grant program. For CHRP award recipients, the Recovery Act requires grantees to report their financial and programmatic progress within 10 days after the end of each calendar quarter. The Recovery Act reporting requirements are in addition to the COPS reporting requirements. The COPS Office plans to request information from grantees consistent with Section 1512 of the Recovery Act, including collecting information on the number of new jobs created and the number of jobs preserved using CHRP funding. Using SF-269A. Beginning with the quarter ending December 31, 2009, the SF-269A form will be replaced by the SF-425. COPS uses a risk-assessment model to determine on-site monitoring locations.

**Audits:**

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

**Records:**

Financial records, supporting documents, and all other records pertinent to a grant shall be retained for a period of three years following the conclusion of Federal assistance.

**Account Identification:**

15-0412-0-1-754 - COPS ARRA Funding; 15-0406-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$999,899,314; FY 10 est \$0. (Project Grants) FY 08 \$339,404,855; FY 09 est \$278,500,000; FY 10 est \$761,000,000

**Range and Average of Financial Assistance:**

ARRA: \$63,199 to \$19,747,117 \$957,757 (average)  
Non-ARRA: \$1,914 to \$3,400,000; \$292,820 (average).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Funded 4,699 community policing officers through the Recovery Act. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application Guides and current edition of M7100.1, which are available from Headquarters.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephen Ng 1100 Vermont Avenue, NW, Washington, District of Columbia 20530 Email: stephen.ng@usdoj.gov Phone: 2025148074

**Website Address:**

<http://usdoj.gov/cops> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are set forth in the Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322. Additional criteria may be developed by the Office of Community Oriented Policing Services and will be published in COPS application materials.

**16.726 JUVENILE MENTORING PROGRAM**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Section 288, as amended, Public Law 93-415, as amended; Public Law 94-503, 95-115, 96-509, 98-473, 100-690, and 102-586, and Public Law 110-161, 42 U.S.C. 5667c.

**OBJECTIVES:**

This program includes three OJJDP youth mentoring programs for FY 2008: OJJDP FY 2008 Latino Youth Mentoring Program, OJJDP FY 2008 National Mentoring Programs, and OJJDP FY 2008 Strengthening Youth Mentoring Through Community Partnerships, which together seek to make grants available across a wide spectrum of communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

FY 06 Mentoring Initiatives for System Involved Youth Solicitation - mentoring programs and strategies designed to meet the needs of youth involved in the juvenile justice system; re-entry youth; and youth in foster care. FY 07 Support for Mentoring Initiatives - the type of guidance or mentoring support includes assisting the guidance recipient with mentoring recruitment strategies and mentor retention, mentor training, mentor matching, developing and implementing evaluation plans, data collection and analysis, developing action plans and strategic plans, cultural competence, developing mentoring collaboratives and coalitions, and educating community members. The purpose of this program is to support organizations to implement initiatives that will develop new mentoring approaches or strengthen/expand existing mentoring programs. Examples may include support to address new mentoring approaches in underserved communities such as public housing or Native American reservations or special efforts to recruit underutilized groups, i.e., college students, youth groups, associations and fraternal organizations. This initiative also seeks to promote collaboration among community organizations and agencies committed to supporting mentoring services. Applicants will assess, develop, implement, and pilot mentoring strategies, and are encouraged to incorporate best practices based on research and to consider a variety of

mentoring approaches.

**Applicant Eligibility:**

Please see individual solicitations for applicant eligibility.

**Beneficiary Eligibility:**

States, Territories, and public/private nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must submit a proposal to the Office of Justice Programs through the Grants Management System (GMS). The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office of Justice Programs, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Informal reconsideration by Administrator for assistance applicants; administrative hearings for assistance award terminations, SCE CFR Pat. 18, 50 FR 28199, July 11, 1985.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under Title II, Part G of the JJDP Act, awards will be made for three years. Drawdowns are possible under a letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Contact the program office for further details. Contact the program office for further details. Demonstration Programs Division grantees are required to submit semi-annual progress and quarterly financial reports. Demonstration Programs Division grantees are required to submit semi-annual progress and quarterly financial reports. Contact the program office for further details.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$66,460,009; FY 09 est \$80,000,000; FY 10 est \$80,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs 810 Seventh Street, N.W., Washington, District of Columbia 20531  
Phone: (202) 307-5914

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are published in the individual program announcement. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

**16.727 ENFORCING UNDERAGE DRINKING LAWS PROGRAM  
FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice  
**AUTHORIZATION:**

The statutory authority for the EUDL Block Grant Program may be found within Section 504 of the Juvenile Justice and Delinquency Prevention Act, 42 U.S.C. 5783. Congress has delegated the authority to administer the EUDL Program to the Office of Juvenile Justice and Delinquency Prevention (OJJDP), in the U. S. Department of Justice's (DOJ's) Office of Justice Programs (OJP) under the Consolidated Appropriations Act, 2008, P.L. 110-161.

**OBJECTIVES:**

The EUDL Program supports and enhances states' and local jurisdictions' efforts to prohibit the sale of alcoholic beverages to minors and the purchase and consumption of alcoholic beverages by minors. (For the purpose of this solicitation, "minors" are defined as individuals under the age of 21.) Activities under the EUDL Program may include: -Statewide task forces of state and local law enforcement and prosecutorial agencies to target establishments suspected of a pattern of violations of state laws governing the sale and consumption of alcohol by minors. -Public advertising programs to educate establishments about statutory prohibitions and sanctions. -Innovative programs to prevent and combat underage drinking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Enforcing the Underage Drinking Laws (EUDL) Program allocates block grants for every state and the District of Columbia to enforce state laws prohibiting the sale of alcoholic beverages to minors and to prevent the purchase or consumption of alcoholic beverages by minors. From fiscal years (FYs) 1998 to 2008, Congress appropriated \$25 million annually to OJJDP for

its EUDL program. In fiscal year 2008, a total of \$25 million will be awarded as block and discretionary grants in the following manner: Funds will be dispersed in the amount of \$350,000 to each State, each Territory, and the District of Columbia in block grants totaling \$19,600,000.00 to support and enhance efforts by States, in cooperation with local jurisdictions, to prohibit the sale of alcoholic beverages to, or consumption of alcoholic beverages by minors. Funds will be dispersed to support discretionary program activities in local jurisdictions, as well as training and technical assistance to all States. To support local discretionary programming activity, funds plan to be competitively awarded to State agencies receiving block grants. The local programs implement the comprehensive approach to curtailing access and consumption of alcoholic beverages by minors, including the enforcement of laws pertaining to underage alcohol purchase, possession, and use. For purposes of this initiative, minors are defined as individuals under 21 years of age. These funds cannot be used to supplant existing programs and activities (Supplanting means to deliberately reduce State or local funds because of the existence of Federal funds).

**Applicant Eligibility:**

To receive a Block Grant, Governors and the Mayor of the District of Columbia designated an agency to serve as the point of contact to apply for, receive, and administer the targeted grant funds. The designated State agencies may apply to receive a Discretionary Grant. Their applications must detail a comprehensive approach to curtailing access and consumption of alcoholic beverages by minors, including the enforcement of underage drinking laws and how that approach will be implemented by State-selected local communities. States are encouraged to link with ongoing public and private efforts (including those of foundations and national organizations). Training and technical assistance were made available through a separate application process.

**Beneficiary Eligibility:**

States are eligible to apply for discretionary funds through a separate application process.

**Credentials/Documentation:**

Each applicant applying for funds must submit a completed application, including signed assurances that it will comply with administrative requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention. Each applicant must detail a comprehensive approach to enforcing underage drinking laws and describe how the Federal funds will be used to contribute to the implementation of that comprehensive approach. States are encouraged to link with ongoing public and private efforts (including law enforcement agencies and those of foundations and national organizations). The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

A letter with copies of the grant award is sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by an authorized official and returned to the Office of Justice Programs. Local units of government will receive Enforcing Underage Drinking Laws funds through the applicant agency subgrant award process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved within 30 to 45 days of receipt of a complete application.

**Appeals:**

Hearings and appeal procedures will follow 28 CFR Part 18, of the Department of Justice Regulations.

**Renewals:**

Renewals are subject to appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made for 12 to 36 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly financial and semiannual progress reports are required. Contact program office. Contact program office. Contact program office. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as described in OJP's Financial Guide, Chapter 19.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, recipients must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$24,171,606; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Griffith Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

<http://www.ojjdp.ncjrs.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Enforcing Underage Drinking Laws Program Guideline of FY 2008, as established by the Office of Juvenile Justice and Delinquency Prevention.

**16.730 REDUCTION AND PREVENTION OF CHILDREN'S EXPOSURE TO VIOLENCE**

(Safe Start)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Public Law 105-277.

**OBJECTIVES:**

To develop an initiative to understand, prevent and reduce the impact of family and community violence on young children by helping communities to expand existing partnerships between service providers (such as law enforcement, mental health, health, early childhood education and others) to create a comprehensive service delivery system. To study the efficacy of these service delivery systems, replicate the most effect systems, and study the scope of the problem of children's exposure to violence in the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applicant selected to receive Safe Start cooperative agreements may use funds to establish and enhance a broad range of local prevention, intervention and treatment services for young children who have been exposed and are at risk of being exposed to violence; develop effective multi-agency protocols; coordinate services to develop a community-wide system for responding to the needs of children exposed or at risk of exposure to violence; study the efficacy of these systems; and study the scope of the problem of children's exposure to violence in the U.S.

**Applicant Eligibility:**

To be eligible for a Safe Start cooperative agreement, applicants must be public agencies (including state agencies, local units of government, and tribal governments) and/or private organizations who agree to waive any profit or fee.

**Beneficiary Eligibility:**

Eligible applicants for the Safe Start Demonstration Projects are communities that have formed a strong collaborative group (or shown the ability and commitment to expand coordination with key partners such as courts, law enforcement, early childhood development and domestic violence agencies, and mental health services) to prevent and address the impact that exposure to violence has on young children. Applicants for the research and evaluation projects are public and private agencies (private, for-profit organizations must agree to waive any profit for fee), organizations, institutions, or individuals that have demonstrated experience in evaluating broad-based community initiatives and whose experience includes the design of studies capable of analyzing process and measuring impact across multiple communities and the development and delivery of evaluation-based training and technical assistance.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, Circular No. A-21 for educational institutions, and Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OJJDP will determine whether applications for funding be submitted through the Internet using the Office of Justice Programs online Grants Management System (GMS) or through Grants.gov. Applicants are expected to address each concern or requirement in the solicitation as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. A peer review group is established as mandated in Section 262(d)(1)(A) of JJDP Act and applications are rated and ranked in relation to pre-defined selection criteria. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

**Award Procedure:**

Cooperative agreements are awarded directly to selected applicants, who are

notified of a pending award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation grant and/or supplemental award.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards may be for projects from 12 to 48 months. Specific direction about the length of the projects to be funded is given in the solicitation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Biannual progress reports, performance measure data submission and quarterly financial reports are required. No cash reports are required. Biannual progress reports. No expenditure reports are required. Performance measure data submission and quarterly financial reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise.

These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years after the date of the final report.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$199,471; FY 09 est \$0; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe Start solicitation/guideline is published in the Federal Register and awards are governed by the OJP Financial Guide, which is available upon request. Reports and studies developed through the OJJDP National Institute are available and can be secured by contacting OJJDP in Washington, DC.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Griffith Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

<http://www.usdoj.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are published in the Federal Register as part of the individual program announcement. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

**16.731 TRIBAL YOUTH PROGRAM**

(TYP)

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act, Public Law 105-277.

**OBJECTIVES:**

To support and enhance tribal efforts for comprehensive delinquency prevention, control, and juvenile justice system improvement for Native American youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To reduce, control, and prevent crime both by and against tribal youth; to provide interventions for court-involved tribal youth; to improve tribal juvenile justice systems; and to provide prevention programs focusing on alcohol and drugs.

**Applicant Eligibility:**

Applications are only invited from Federally recognized tribes and Alaskan Native villages, however, tribes and villages may partner with others as applicable. If partnering with others, a Memorandum of Understanding (MOU) should be submitted with the application. Additionally, one tribe must be chosen as the primary agency for funding and reporting purposes. Only tribal governments and tribal organizations that have a tribal resolution sharing the endorsement of the tribal government are eligible to apply. A tribal resolution must be included with the application.

**Beneficiary Eligibility:**

All Federally recognized tribes and Alaskan Native villages.

**Credentials/Documentation:**

Each applicant must submit a completed application, including signed assurances that it will comply with statutory and administrative requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. OJP requires that applications for funding be submitted through OJP's Grants Management System (GMS). Access the system at <https://grnts.ojp.usdoj.gov>. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant tribe upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved within 45-60 days of receipt of a complete application.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18, of the Department of Justice Regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made for 36 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly financial and semiannually progress reports are required. No cash reports are required. Quarterly financial and semiannually progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All tribes that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. These audits are due to the Office of the Comptroller and the Federal Audit Clearinghouse no later than thirteen (13) months after the close of each fiscal year during the term of the award (for fiscal years beginning on/after July 1, 1998, audit report packages are due nine (9) months after the close of the fiscal year.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$13,163,187; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura Ansera Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs 810 7th Street, NW, Washington , District of Columbia 20531 Phone: 202 307-5924

**Website Address:**

<http://www.ojp.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Suquamish Tribe, Washington is addressing substance

abuse related delinquency among Indian youth through a prevention program targeting young people ages 10 to 21. The program consists of after school activities focusing on teaching youth leadership skills, communication skills, and traditional survival skills. The program includes cultural activities and opportunities for youth to become involved with the community. The goal of the activities and skills building is to improve young people's ability to avoid involvement with drugs and alcohol and delinquent behavior, and to strengthen youth, family, and community interactions. Implementing a graduated sanctions program for youth convicted of underage drinking and curfew violations. The program is administered through the joint effort of the Tribal Court and the Menominee Office of Family Preservation and Support. Juveniles are referred to the program by the Tribal Court. The program seeks to reduce recidivism amongst juveniles that enter the program. The program includes alcohol abuse education classes to teach juveniles about the danger, both physically and spiritually, that alcohol can cause. The program also provides drug and alcohol abuse assessment and treatment along with a community service component. Muscogee (Creek) Nation proposes to establish a Juvenile Delinquency Prevention and Services Program to provide prevention services to impact risk factors for delinquency and improve its juvenile justice system. The Nation's proposed project will promote delinquency prevention by providing intervention and education, resource, and support activities to tribal youth identified as at-risk; provide advocacy to tribal youth entering the state juvenile justice system; and develop and implement juvenile probation services. During the three year project period, the Nation will provide the following: delinquency prevention services, including individual/family needs assessment, service plan development, and individual/family home-based counseling, to at least seventy-five 12-17; advocacy to at least thirty (30) youth under the age of 17 entering the State of Oklahoma juvenile justice system; and probation services, including home visits, community service, and case management, to between 10-15 youth under the age of 17, who are identified as delinquent by the Nation's District Court. The Cheyenne and Arapaho Tribes of Oklahoma intend to develop a program that will reduce the high incidence of violence among the Tribal Youth that reside within the eight county service area through a community-based approach. The project will be developed in order to prevent the widespread use of alcohol and drugs through the use of education awareness, recreational activities, and tradition/cultural activities by developing on-site classes and on-site activities in the four target communities during the summer months for the tribal youth, ages 6 - 17. The other objective of this grant shall be to reduce the high incidence of school truancy, the high percentage rate of dropouts from the local school system through increased awareness of the importance of a formal education from the local school districts. The project will work with the whole family unit by providing a Mentor within the communities that will strive to increase the self-esteem of the Cheyenne and Arapaho students, and to reduce the incidence of child neglect, teen pregnancy, through the use of Parenting Skills Training and Sex Education classes. The Southern Ute Indian Tribe in Colorado is attempting to reduce delinquency and substance abuse among at-risk and court-involved Native American youth. Using FY04 Tribal Youth Program funds, the Southern Ute Tribe is supporting the collaborative efforts of two tribal government departments (the Southern Ute Social Services Division and the Southern Ute Tribal Court) and a tribally affiliated nonprofit (Youth Services Division of SouthernUteCommunity Action Programs, Inc.) to address juvenile delinquency on multiple fronts. The program, which serves approximately 85 juveniles a year (ages 8 to 17), includes a variety of elements such as an evidence-based parenting program which aims to improve the communication, problem solving, and life skills of at-risk youth and their parents, and a Teen Court which allows Native American youth to participate in the sentencing portion of certain juvenile misdemeanor and felony cases. In addition, the Teen Court is developing its sentencing procedures to use sentencing circles, a process that engages youth in meaningful interactions with defendants and is designed to increase their connection to the community. The Swinomish Indian Tribal Community of Washington is a relatively small rural community, gripped by significant drug and alcohol abuse. Recognizing the importance of stemming the tide of youth substance abuse and delinquent behavior, the Swinomish Tribal Community has established a team of tribal court and social services personnel to plan and implement the Swinomish Youth Wellness Court (SYWC). The focus is to improve the tribal juvenile justice system and provide alcohol and drug abuse prevention programs. The expected target population for the SYWC is youths between the ages of 12 and 17. There are currently 64

tribal members within the target age and 228 members under the age of 18. It is anticipated that the SYWC will provide services to 10 to 15 clients yearly when fully operational. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated and rated by a modified peer review process according to prescribed selection criteria.

#### **16.734 SPECIAL DATA COLLECTIONS AND STATISTICAL STUDIES (Statistics)**

##### **FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

##### **AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3731-3735.

##### **OBJECTIVES:**

To produce official national statistics on crime and the administration of justice to be used to guide Federal, State, and local policy-making and improve the quality of and access to information used for decision making.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds are to be used for a variety of activities in support of BJS's statistical programs including: to conduct data collection and processing activities; carry out statistical and methodological research; provide technical assistance to State, local, and tribal governments to develop their capabilities to produce justice statistics; and provide dissemination and clearinghouse services to data users.

##### **Applicant Eligibility:**

The Bureau of Justice Statistics is authorized to award grants and cooperative agreements to State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program.

##### **Beneficiary Eligibility:**

Eligible beneficiaries are State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

##### **Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

##### **Award Procedure:**

Awards are made by OJP and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. The applicant agency or institution according to the special conditions of the grant or cooperative agreement.

##### **Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. .

**Appeals:**

Not Applicable.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12 months. Assistance is released by "direct disbursement" at the request of the grantee. See the following for information on how assistance is awarded/released: Contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports presenting information relevant to the performance of the project must be submitted online through GMS for the reporting periods June 30 and December 31. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award must be submitted quarterly online through GMS. Performance measure data, as outlined in the solicitation, are required.

**Audits:**

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

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report. Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,081,163; FY 09 est \$42,500,000; FY 10 est \$5,750,000

**Range and Average of Financial Assistance:**

\$50,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lisa Price-Grear BJS, US Department of Justice, Washington, District of Columbia 20531 Email: price@ojp.usdoj.gov Phone: 202-616-3561

**Website Address:**

<http://www.ojp.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be outlined in the program announcements or solicitations. program announcements or solicitations.

**16.735 PROTECTING INMATES AND SAFEGUARDING COMMUNITIES DISCRETIONARY GRANT PROGRAM**

Prison Rape Elimination

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Prison Rape Elimination Act of 2003.

**OBJECTIVES:**

To make grants to States and to assist those States in ensuring that budgetary circumstances (such as reduced State and local spending on prisons) do not compromise efforts to protect male and female inmates in adult and juvenile correctional facilities from prison rape as well as safeguarding the communities to which inmates return.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program is divided into two parts: Protecting Inmates and Safeguarding Communities. Protecting Inmates focuses on providing funding to State and local agencies for the costs of personnel, training, technical assistance, data collection, and equipment necessary for the proper prevention, investigation, and prosecution of prison rape and the provision of victim service and treatment. Safeguarding Communities focuses on training and technical assistance to states on moderating the growth of prison populations without compromising public safety; developing and utilizing analyses of prison populations and risk assessment instruments to educate State and local governments' understanding of risks to the community of inmate reentry; preparing and updating maps that provide on a community-by-community basis a roster of returning offenders; promoting collaborative efforts with State and local governments to understand and address the risks involved when a large number of inmates reenter a community; and developing policies and programs that reduce spending on prisons by effectively reducing rates of parole and probation revocation without compromising public safety. Grant awards of up to \$1,000,000 will be made, with a grant period not to exceed 24 months.

**Applicant Eligibility:**

Eligible applicants are States which are interested in: (1) protecting inmates by undertaking efforts to more effectively prevent, investigate, and prosecute prison rape incidents and providing the appropriate victim services and treatment, and (2) safeguarding communities through various mediums such as intergovernmental collaboration, assessment, training, and technical assistance. Applicants in varying stages of developing a prison rape initiative are eligible and encouraged to apply. Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which State agency will manage the grant. (Note: The Chief Executive must certify that his/her State has adopted, or will consider adopting, the national prison rape standards.) States are encouraged to make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation.

**Beneficiary Eligibility:**

Eligible applicants are States.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes: (1) program goals; (2) implementation process; (3) timetable for implementation; and (4) documentation that includes



organizational experience, name of grantee agency or fiscal agent, identification of management structure, letters of support/commitment and/or memoranda of understanding, and description of previous collaboration. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which state agency will manage the grant. (Note: The Chief Executive must certify that his/her state has adopted, or will consider adopting, the national prison rape standards.) States may make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit a completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Bureau of Justice Assistance. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Applications must be submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

A letter with copies of the grant award are sent to the applicant agency upon approval by the Office of Justice Programs. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

24 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Recipients are required to submit Individual Project Reports as sub-awards are made, and an annual Evaluation Report. No cash reports are required. No progress reports are required. Quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70,

grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$16,378,262; FY 09 est \$2,100,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Griffith Bureau of Justice Assistance, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be scored based upon ability to clearly articulate strategy in the following areas: Budget Applicants must provide a budget that is complete, allowable, and cost effective in relation to the activities to be undertaken. Program Narrative Project Abstract Applicants must briefly describe in 200 words or less the project's purpose, goals and objectives, and summarize the activities that will be implemented to achieve the goals and objectives, as well as the infrastructure and collaboration necessary to manage the proposed activities. Problem To Be Addressed -- Applicants must demonstrate an understanding of the problem; discuss historical and current efforts for addressing the problem; provide statistical evidence of the problem; illustrate what the applicant is proposing to do and how the applicant intends to do it; and provide qualitative and quantitative data to evaluate outcomes. Goals and Objectives Applicants must identify the progressive steps to be taken in order to accomplish the goal; identify how the agency's purpose area goal will enhance or expand an existing strategy; and include how achievement of the enhancement of expansion will be measured. Project Design/Strategy Applicants must provide a strategy that discusses the program's concept, identifies the program's target population(s) and target area(s), and explains how this strategy will achieve the project's goals and objectives. Management and Organizational Capability.

**16.736 TRANSITIONAL HOUSING ASSISTANCE FOR VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, STALKING, OR SEXUAL ASSAULT**

(Transitional Housing)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.; Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;

**OBJECTIVES:**

To provide transitional housing assistance and related support services to

minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Credentials/Documentation:**

Applicants must provide assurances that supportive services offered to participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the

Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$13,973,949; FY 09 est \$15,044,965; FY 10 est \$15,195,415

**Range and Average of Financial Assistance:**

Range: \$208,909 - \$250,000;

Average: \$229,454.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications: 112

Awards: 58. Fiscal Year 2009: Applications: 260

Awards: 235. Fiscal Year 2010: Awards: 325.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia  
20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.737 GANG RESISTANCE EDUCATION AND TRAINING**

G.R.E.A.T

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

The Consolidated Appropriations Act 2004, Public Law 108-109.

**OBJECTIVES:**

The Gang Resistance Education and Training (G.R.E.A.T.) is a school-based, law enforcement officer-instructed classroom training curriculum. G.R.E.A.T.'s violence prevention curriculum is a life-skills competency program designed to provide students with the skills they need to avoid gang pressure and youth violence. The program's primary objective is prevention and minimizing the probability of high risk youth engaging in delinquency, youth violence, and gang membership. The instruction is taught in the classroom by specially trained, uniformed law enforcement officers. The curriculum can be used in conjunction with other prevention programs encouraging positive relationships between the community, parents, schools, and law enforcement. The G.R.E.A.T. program is comprised of a continuum of curricula Middle School (6th -8th grades); Elementary (3rd and 4th grades); Families Component (parents/guardians and youth) and Summer Component. The various components and curricula build on and reinforce each other in addressing the factors that contribute to youth violence and gang involvement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Law enforcement agencies can only use the funds provided to administer the G.R.E.A.T. Program in their respective communities. This includes providing G.R.E.A.T. training for law enforcement officers and the purchasing of materials and supplies for the implementation and ongoing operation of the program.

**Applicant Eligibility:**

All State, county, tribal and municipal units of general purpose government and law enforcement agencies and other special purpose law enforcement agencies (i.e., independent school districts) in the United States and U.S. Territories.

**Beneficiary Eligibility:**

All State, county, tribal and municipal governments, law enforcement agencies and schools in the United States and U.S. Territories.

**Credentials/Documentation:**

Jurisdiction or agency head must enter into the award agreement with the Office of Justice Programs (OJP). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted by the Chief Executive Officer of a jurisdiction, or formal designee or law enforcement agency head, via the Internet-based Office of Justice Programs (OJP) Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about the OJP GMS, call the OJP GMS Hotline. Telephone: 1-888-549-9901; or access the BJA home page at [www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA). For general information about the G.R.E.A.T. Program, contact the U.S. Department of Justice. Telephone: 1-866-859-2687 or by email at [AskGreat@usdoj.gov](mailto:AskGreat@usdoj.gov).

**Award Procedure:**

Awards are issued by the Assistant Attorney General, Office of Justice Programs via the Internet-based Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Grantees will be notified of the availability of the award via e-mail. The award must be accepted by the jurisdiction or agency head, with assurance of compliance with standard and special conditions of the grant award. To accept the award, grantees must print the award document from the GMS. The award must be accepted (signed) by applicant jurisdiction or agency head or his/her official designee and faxed to the Office of the Comptroller Control Desk.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant awards and denials are generally made within 90 days of application submission.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are issued for 12 or 18 months. Grantees may request extensions, which cannot exceed 12 additional months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Applicants are required to submit semi-annual Categorical Assistance Progress Reports. Applicants are required to submit quarterly Financial Status reports. To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Program/project reviews will be conducted by Department of Justice personnel, as needed, to ensure correct usage of funds and compliance with program requirements.

**Records:**

Agencies are required to maintain a system of standardized records for inspection or disclosure.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$17,350,215; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Level I: Up to \$60,000. Agencies implementing the G.R.E.A.T. Middle School component.

Level II: Up to \$100,000. Agencies implementing the G.R.E.A.T. Middle School component and one other component.

Level III: Up to \$150,000. Agencies implementing the G.R.E.A.T. Middle School component and two other components.

Level IV: Up to \$250,000. Agencies implementing the G.R.E.A.T. Middle School Component and three other components.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of July 29, 2004, 7,027 officers from 5,485 agencies, representing 50 States, D.C., Puerto Rico, Canada, and military personnel from overseas bases have been trained to present the core curriculum in elementary and middle school classrooms. Approximately 3.9 million children have been trained with the G.R.E.A.T. curriculum. For fiscal year 2002, more than 364,000 and in fiscal year 2003 nearly 307,000 children received G.R.E.A.T. certificates for completing the program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Funding guidelines and criteria are published annually in the National Federal Register. Information on the program can be obtained by contacting the G.R.E.A.T. Program Headquarters office. A cross-sectional evaluation of the program can be found in the National Institute of Justice Research in Brief, November 1997 issue, "National Evaluation of G.R.E.A.T." by Finn-Aage Esbensen and D. Wayne Osgood.

**Regional or Local Office:**

See Regional Agency Offices. The G.R.E.A.T. Program currently has five regional offices that are each run by a local law enforcement agency. The offices and contacts are: (1) Southeast Region, Orange County Sheriff's Office, 2500 W. Colonial Drive - 2nd Floor., Orlando, Florida 32804. Telephone: (407) 254-7369; (2) Northeast Region, Philadelphia Police Department, Community Relations Division, 1328 Race Street - 2nd Floor., Philadelphia, Pennsylvania 19107. Telephone: (215) 686-1477; (3) Midwest Region, La Crosse Police Department, 400 La Crosse Street, La Crosse, Wisconsin 54601. Telephone: (608) 789-8202; (4) Southwest Region, Phoenix Police Department, 620 West Washington Street, Phoenix, Arizona 85003. Telephone: (602) 495-0432; and (5) Northwest Region, Portland Police Bureau, 449 NE Emerson, Portland, Oregon 97211. Telephone: (503) 823-2111.

**Headquarters Office:**

Linda Hammond-Deckard Bureau of Justice Assistance - Policy Office; 810 Seventh Street, NW, 4th Floor, Washington, District of Columbia 20531  
Email: AskGreat@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

Bureau of Justice Assistance, GREAT:  
<http://www.ojp.usdoj.gov/BJA/grant/great.html>; GREAT On-Line:  
<http://www.great-online.org>; GREAT Officer Training:  
<http://www.great-nline.org/greatofficertaining.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The City of Sylvester, Georgia, Police Department will engage 1,000 students in the classroom and provide them with the G.R.E.A.T. core curriculum. The funds will also allow the Sylvester, Georgia, Police Department to sponsor a Summer G.R.E.A.T. program for at-risk youth. The City of Flagstaff Police Department will operate its 6th annual G.R.E.A.T. Summer Camp, involving more than 80 youth. The Cities of East Cleveland and Parma and Village of Chagrin Falls, OH sponsored a G.R.E.A.T. Community Service Day, during which 75 Middle School students partnered with local college and university art departments and businesses to paint murals over gang graffiti on 3 vacant buildings in East Cleveland. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are evaluated on a variety of criteria in order to determine funding, including: the number of children to which the applicant teaches the G.R.E.A.T. Program, other programs applicants have in place that could reinforce the program goals and the applicant's participation in the national

administration of the program are all taken into consideration. Additional considerations include community population size, scope of gang-related issues in the community, and applicant's past performance. During each funding period, due consideration will be given to funding new applicants whose applications meet the program criteria.

**16.738 EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM**

Byrne JAG Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended Subpart 1 of such part (42 U.S.C. 3751-3759). Consolidated Appropriations Act, 2008, Public Law 110-161. Public Law 109-162, Title XI, Department of Justice Reauthorization, Subtitle B, Improving the Department of Justice's Grant Programs, Chapter 1, Assisting Law Enforcement and Criminal Justice Agencies, Section 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.

**OBJECTIVES:**

JAG funds support all components of the criminal justice system from multijurisdictional drug and gang task forces to crime prevention and domestic violence programs, courts, corrections, treatment, and justice information sharing initiatives. JAG funded projects may address crime through the provision of services directly to individuals and/or communities and by improving the effectiveness and efficiency of criminal justice systems, processes, and procedures.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Law enforcement programs; prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment programs; and planning, evaluation, and technology improvement programs, and crime victim and witness programs. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

All States, the District of Columbia, Guam, America Samoa, the Commonwealths of Puerto Rico, the Virgin Islands, and the Northern Mariana Islands. Units of local government are eligible consistent with established guidelines.

**Beneficiary Eligibility:**

States, Territories, and units of local government.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in the program guidance. Costs will be determined in accordance with 2 CFR, Part 225 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28CFR, Part 66 must be used with this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as the JAG Program Guidance Manual.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Assistance, and must be accepted by the applicant agency or institution according to the special conditions of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance will not disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity for correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18 Code of Federal Regulations.

**Renewals:**

Subject to annual appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Bureau of Justice Statistics (BJS) calculates, for each state and territory, a minimum base allocation which, based on the congressionally mandated JAG formula, can be enhanced by (1) the states share of the national population, and (2) the states share of the country's Part 1 violent crime statistics. Once the State funding is calculated, 60 percent of the funding is awarded to the State and 40 percent to the eligible units of local government. State also have a variable percentage of the allocation that is required to be passed through to units of local government. This amount, as calculated by BJS, is based on each State's crime expenditures. Additionally, the formula then calculates direct allocations for local governments within each state, based on their share of the total violent crime reported within the state. Local governments entitled to at least \$10,000 awards may apply directly to BJA for local JAG grants. There is no match required at the Federal level. However matching is an effective strategy for states and local units of government to expand justice funds and build buy-in for local criminal justice initiatives.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of formula grant awards under this program is 4 years. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with the Office of Justice Programs Financial Guide. Financial reports are required in accordance with the Office of Justice Programs Financial Guide. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents

pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$167,818,252; FY 09 est \$546,000,000; FY 10 est \$519,000,000

**Range and Average of Financial Assistance:**

\$10,000 to \$37,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See program web site <http://www.ojp.usdoj.gov/BJA/index.html> or contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide, the Bureau of Justice Assistance Justice Assistance Grant Program Guidance Manual.

**Regional or Local Office:**

See Regional Agency Offices. Contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>.

**Headquarters Office:**

Eileen Garry Office of Justice Programs, Bureau of Justice Assistance, 4th Floor, State Policy Office, 810 Seventh Street, N.W., Washington, District of Columbia 20351 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/>

**RELATED PROGRAMS:**

16.579 Edward Byrne Memorial Formula Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.739 NATIONAL PRISON RAPE STATISTICS PROGRAM**

PREA

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3732, and Prison Rape Elimination Act, Public Law 108-79.

**OBJECTIVES:**

To collect and analyze data on the incidence of sexual assault among individuals held in Federal and State prisons, local jails, and juvenile facilities as well as former inmates.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used for a variety of activities in support of the Implementation of the National Prison Rape Statistics program including: to conduct data collection and processing activities, and carry out statistical and methodological research.

**Applicant Eligibility:**

The Bureau of Justice Statistics is authorized to award grants and cooperative agreements to State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

**Beneficiary Eligibility:**

Eligible beneficiaries are State and local governments, private nonprofit

organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Hearing by Director.

**Renewals:**

Most awards are for periods of 12 - 18 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12-18 months. See the following for information on how assistance is awarded/released: Assistance is released by "direct disbursement" at request of grantee.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for the reporting periods June 30 and December 31. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS. No performance monitoring is required.

**Audits:**

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

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for a least three years following the closure of the most recent audit report.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$16,378,262; FY 09 est \$12,500,000; FY 10 est \$12,500,000

**Range and Average of Financial Assistance:**

\$1,000,000 to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In FY 2009, BJS is processing and analyzing data from four different collections obtained under the Prison Rape Elimination Act of 2003 (PREA) the Survey of Sexual Violence (SSV), the first and second years of the National Inmate Survey (NIS), the National Survey of Youth in Custody (NSYC), and the Former Prisoner Survey (FPS). Between October 2008 and April 2009, data were collected from 32,000 inmates in 167 prison facilities in the second round of the NIS; data collection in jail facilities is ongoing and will be completed in August 2009. Between June 2008 and April 2009, BJS fielded the NSYC, the first and largest self-report data collection to focus on sexual victimization in juvenile facilities. At the end of data collection, the NSYC surveyed roughly 10,500 adjudicated youth in 168 State-operated facilities and 29 large non-State facilities. Facility rankings will be released in December 2009. The FPS was fielded from January through November 2008, with nearly 18,000 interviews completed with former state prisoners being actively supervised by 285 state parole offices nationwide. The FPS represents the first national survey of offenders under parole supervision. Because former inmates have completed their term of incarceration, the FPS provides the first look at reports of sexual victimization across the entire period of confinement, including both local jail and state prison stays. BJS anticipates publication of final data findings by the end of the year. BJS, in conjunction with NIJ and CDC, has continued work on the National Prison Rape Surveillance Project, using medical indicators and medical surveillance methodologies to measure the incidence and prevalence of sexual assault in correctional facilities. OMB approval for the Clinical Indicators of Sexual Violence in Custody (CISVC) was received in April 2009, and data collection is expected to begin in January 2010. Upcoming reports include findings from the most recent SSV administrative records collections and findings from the NSYC, the second year of NIS, and the FPS. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lisa Price-Grear Bureau of Justice Statistics, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: [lisa.price-grear@usdoj.gov](mailto:lisa.price-grear@usdoj.gov) Phone: (202) 616-3561

**Website Address:**

<http://www.ojp.usdoj.gov/bjs>.

**RELATED PROGRAMS:**

16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: National Prisoner Survey of Sexual Assault; National Survey of Sexual Assault Reported by Former Prisoners; National Prison Rape Surveillance Project; National Survey of Youths in Custody. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be outlined in the program announcements or solicitations.

**16.740 STATEWIDE AUTOMATED VICTIM INFORMATION NOTIFICATION (SAVIN) PROGRAM**

SAVIN

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of the SAVIN grant program is to assist States in building, implementing or improving their statewide automated victim notification system, thereby enabling them to provide critical information to victims in near-real time and to build a nationwide information sharing capability.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Technology improvement programs. SAVIN grantees are required to use the National Information Exchange Model (NIEM) ([www.niem.gov](http://www.niem.gov)), follow associated SAVIN implementation guidelines, and adopt the guidelines as part of their SAVIN program planning. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

Qualified agencies of State governments or other agencies authorized by State governments are eligible to apply for grant funds to establish new statewide automated victim notification programs in their States, or to expand the functionality of existing statewide automated victim notification programs. American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations: All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal counsel or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal counsel or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

**Beneficiary Eligibility:**

States, Territories and Tribal governments.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in the program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 must be used with this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at: <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

A letter and copies of the grant award are sent to the applicant agency upon approval by the Assistant Attorney General. One copy of the grant award must be signed by the grantee's authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance shall not finally disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity to correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18, Code of Federal Regulations.

**Renewals:**

Renewals are subject to annual appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Congress has mandated that Federal funds provided under the SAVIN program "require a 50 percent match from State, local or private sources." For each Federal dollar awarded, the managing agency must provide \$0.50 towards the planning, implementation, operation and/or assessment of the project from state, local or private sources. Matching contributions may be a cash match, an 'in-kind' match, or a combination of the two. For the purpose of this grant, cash match contributions consist of cash funds contributed to the planning, implementation, operation and/or assessment of the SAVIN project. For the purpose of this grant, in-kind matching contributions consist of indirect expenditures in support of the SAVIN project, including the cost of state/local program staffing, facilities, communication infrastructure, and equipment used in the planning, implementation, operation, management or assessment of the program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

BJA will award funding to deploy and operate the program for 24 months from the date of award. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with the Office of Justice Programs Financial Guide. Financial reports are required in accordance with the Office of Justice Programs Financial Guide. To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$7,790,661; FY 09 est \$12,000,000; FY 10 est \$12,000,000

**Range and Average of Financial Assistance:**

BJA will determine the number of awards based on available resources, the number of submissions received, and criteria set forth in this grant announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: BJA combined the funding available in FY 2005 (\$7,393,000) and FY 2006 (\$8,965,825) for an open solicitation for applications. BJA selected 16 statewide systems for award, with \$3,372,964 carried over and made available in FY 2007. BJA also established the SAVIN Guidelines and Standards Advisory Committee and published the SAVIN Guidelines and Standards document in October 2006 for planning, managing and operating a successful SAVIN system. The SAVIN Guidelines and Standards document also includes a set of technology standards to ensure newly developed systems conform to national criminal justice information sharing standards. In FY 2007, the \$8,829,239 in new funding combined with carry-over for a total of \$12,202,203 in available funding. BJA issued a competitive solicitation in FY 2007 and selected 11 new awards and 4 supplemental awards for system enhancements. The FY 2007 awards brought the total number of statewide SAVIN systems to 27.

The amount of FY 2008 funding available was \$8,432,185. A total of 19 applications from 18 states and one territory were received. Seven of the eight new SAVIN applicants in Category I, as well as the top nine enhancement applicants that received the strongest scores in Category II were funded for a total of 16 awards in FY 2008. BJA funded the 16 applications rated highest through the competitive review process for a total of \$7,307,279. The FY 2008 awards brought the total number of statewide SAVIN systems to 33 states and the Territory of Puerto Rico.

BJA also funded the Integrated Justice Information Sharing (IJIS) Institute \$625,000. The SAVIN Program is supported by the Integrated Justice Information Sharing (IJIS) Institutes SAVIN Advisory Committee (Committee). The Committee was established and is managed by IJIS which is a non-profit membership organization of technology professionals focused on building information sharing capacity for the criminal justice community. The Committee consists of representatives from state agencies and industry professionals for the purpose of achieving the goals of effective development and implementation of the SAVIN program. The Committee has drafted for BJA publication the SAVIN Program Guidelines and Standards document, and actively participated in the development and execution of the SAVIN 2007 and SAVIN 2008 national conferences.

The FY 2008 SAVIN program implementation total was \$7,932,279, with \$499,906 available in carry-over funding for FY 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Michael Dever 810 7th Street, N.W., 4th Floor, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

#### **Website Address:**

<http://www.ojp.usdoj.gov/BJA/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

### **16.741 FORENSIC DNA BACKLOG REDUCTION PROGRAM**

#### **FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

#### **AUTHORIZATION:**

Department of Justice Appropriations Act, 2005, Public Law 108-447, 118 Stat. 2809, 2853, 2865 (2004).

#### **OBJECTIVES:**

The goal of NIJ's Forensic DNA Backlog Reduction Program for Fiscal Year (FY) 2008 is to assist eligible States and units of local government to reduce forensic DNA case turnaround time, increase the throughput of public DNA laboratories, and reduce DNA forensic casework backlogs. These improvements are critical to preventing future DNA backlogs and to helping the criminal justice system use the full potential of DNA technology.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Expenditures from Forensic DNA Backlog Reduction Program awards may include the following: (1) Salary and benefits of additional laboratory employees: Funds may be used to hire additional full-time or part-time laboratory employees who will be directly engaged in handling, screening, and/or analyzing forensic evidence that may contain DNA, or in validating new DNA analysis technologies. Matching funds are not required. NIJ makes no

assurance that funds will be available for this purpose in future award announcements. (2) Overtime for existing laboratory staff: Funds may be used to pay overtime for existing laboratory employees who will be directly engaged in handling, screening, and analyzing forensic evidence that may contain DNA, or in validating new DNA analysis technologies. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/finguide06>. (3) Training: Funds may be used for appropriate training of DNA laboratory personnel. - Existing members of the DNA unit: Appropriate training may include internal or external training, appropriate continuing education/training opportunities, and/or applicable graduate-level coursework that is directly related to the applicant's forensic DNA laboratory operation and is for members of the DNA Unit. (Reasonable travel expenses directly associated with training may be paid in accordance with the provisions of the OJP Financial Guide.) Funds associated with internal or external training, appropriate continuing education/training opportunities, and/or applicable graduate-level coursework for existing members of the DNA Unit (including travel expenses) are limited to no more than 5 percent of the total award. Such funds will be awarded with the intended purpose of aiding existing members of the DNA Unit to meet the continuing educational requirements mandated in DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. - New members of the DNA Unit: States and units of local government that wish to use funds to train new employees to handle, screen or analyze DNA evidence should submit a detailed plan for training these individuals with their proposal. There is no fixed percentage cap on the funds for this purpose. (4) Travel (Limited): Funds may be used for travel to public or private accredited laboratories that will conduct DNA analyses to review procedures and practices prior to initial sample shipment, and to make one additional unannounced site visit. Funds may also be used for travel associated with DNA training as described above. Travel expenses must be reasonable and must comply with the applicable provisions of the OJP Financial Guide. (5) Equipment: Funds may be used for upgrading, replacing, and purchasing laboratory equipment, instrumentation, and computer hardware or software (e.g., LIMS or expert systems) for forensic DNA analyses and data management. (6) Supplies for Validation: Allowable supply expenses include the purchase of laboratory supplies that can be directly attributed to the validation of new DNA analysis technologies. Convicted offender-related evidence collection kits may also be purchased. (7) Supplies for in-house laboratory handling, screening, and analysis of forensic DNA casework samples: Funds may be used for costs associated with in-house laboratory handling, screening, and analysis of forensic DNA casework samples. These costs include supply expenses (to include any supplies necessary for the handling, screening, and analysis of backlogged forensic casework samples in addition to supplies discussed above) directly attributable to forensic DNA casework. (8) Renovation: Funds may be used for renovations to existing DNA laboratory facilities if it can be demonstrated that the purchases will directly and specifically improve the efficiency of the forensic DNA laboratory. Expenses that may be allowable include the purchase or upgrade of benches, cabinets, interior dividing walls, plumbing, HVAC systems, electrical wiring, evidence examination and preparation rooms, evidence storage rooms, drying rooms, walk-in freezers, and extraction or amplification rooms. (9) Consultant and contractor services other than sending forensic DNA casework samples to accredited fee-for-service laboratories for analysis: Funds may be used to hire consultants and/or temporary contract staff to handle, screen, and analyze forensic evidence that may contain DNA or to validate new DNA analysis technologies. Funds may also be used to hire consultants or contractors to assist laboratories with the installation of LIMS or expert systems, or with the implementation of DNA process-improvement measures. (10) Sending forensic DNA casework samples to public or private accredited forensic DNA laboratories for analyses: Funds may be used to send samples to accredited fee-for-service laboratories to conduct DNA analyses. Funds may also be used to enter into agreements with accredited government-owned laboratories to conduct DNA analyses, perform data review, enter eligible forensic DNA profiles into CODIS, and, where applicable, upload to NDIS. If an eligible applicant chooses to send samples to an external accredited forensic DNA laboratory, the applicant will be responsible for ensuring that applicable NDIS Data Acceptance Standards are met for all profiles uploaded to NDIS. Administrative expenses: Up to 3 percent of the Federal portion of a grant awarded under this program may be used for direct and indirect administrative expenses specifically related to grant



administration and management.

**Applicant Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., or (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

**Beneficiary Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., or (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

**Credentials/Documentation:**

The applicant must furnish a copy of their current accreditation certificate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the provisions of OMB Circular No.A-110 or the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at (1-888) 549-9901.

**Award Procedure:**

All applications will be reviewed by the Program Office. All final decisions will be made by the NIJ Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from application deadline.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

Please contact the program office for more information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 18 months. See the

following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project. Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

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

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$144,189,903; FY 09 est \$156,000,000; FY 10 est \$151,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Forensic DNA Backlog Reduction Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mark Nelson National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Email: [Mark.S.Nelson@usdoj.gov](mailto:Mark.S.Nelson@usdoj.gov) Phone: 202-305-2664

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible State and units of local government with existing crime laboratories conducting DNA analysis that are accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., and undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation.

**16.742 PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561; as amended by Public Law 107-273; as amended by the Justice for All Act of 2004, Public Law 108-405.

**OBJECTIVES:**

To improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by States and those operated by units of local government. Among other purposes, funds may be used to eliminate backlogs in the analysis of general forensic evidence, or to train and employ forensic laboratory personnel to eliminate such backlogs. State Administering Agencies and units of local government may apply directly to NIJ for funding. Funds may be used for personnel, computerization, laboratory equipment, supplies, accreditation, education, training, and certification, facilities' a formula, found in the funding announcement, determines the limit to the amount of funding that can be used for facilities, and administration expenses (not to exceed 10 percent). Funds may not be used for expenses other than those listed above.

**Applicant Eligibility:**

Coverdell State Administering Agencies and units of local government may apply directly to NIJ for funding. All applicants for Coverdell grants - whether States or units of local government - must have developed a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services, and must specifically describe the manner in which grant funds will be used to carry out that plan. States are expected to consider the needs of laboratories operated by units of local government as well as those operated by the State. Any forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant must use generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies. Each applicant for a Coverdell grant must be able to certify with respect to any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility that will receive any portion of the grant that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results.

**Beneficiary Eligibility:**

In accordance with the Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561, amended by Public Law 107-273, and the amendments in the Justice for All Act, Public Law 108-405, eligible applicants must be State or local (i.e., county and municipal) governments or combinations thereof. The purpose of this solicitation is to request applications for grants from State and local (i.e., county and municipal) governments to improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes in State and local forensic laboratories.

**Credentials/Documentation:**

The applicant must furnish the following along with the application for a grant: a certification that states there exists a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services; a certification that states each forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant uses generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies; a certification that states that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by

employees or contractors substantially affecting the integrity of forensic results, and resumes of key personnel. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements and application and selection procedures. The standard application form as furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Applicants must contact their State Administering Agency to determine if the program has been selected for review by the State. The date that the application was sent to the State Administering Agency, or the reason such submission is not required, must be included in the application. A. Base Funds for States: Seventy-five percent of the funds available for Coverdell grants will be allocated among eligible States based on population (State base funds). To be eligible, a State must satisfy the specific application requirements outlined in this announcement and all other general requirements for NIJ and OJP grants. Applications for State base funding must be submitted by the Coverdell State Administering Agency listed on the Office of Justice Programs web site at: <http://www.ojp.usdoj.gov/state.htm>. B. Competitive Funds for States and Units of Local Government: Twenty-five percent of the available funds will be allocated among States and units of local government through a competitive process. Units of local government that provide forensic science or medical examiner services (whether through a forensic science laboratory, medical examiner's office, or coroner's office) may apply directly to NIJ for competitive funds. Coverdell State Administering Agencies may apply for competitive funds for forensic sciences improvements above and beyond those it can accomplish with its base funds. State applications for competitive funding will only be accepted from Coverdell State Administering Agencies. Other State agencies or departments who wish to apply for competitive funds must coordinate with their respective State Administering Agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll-free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <https://grants.ojp.usdoj.gov>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this program. The NIJ Director makes the final award decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

It generally takes 3 to 6 months after the closing date of the announcement to receive Coverdell funding.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In general, NIJ will limit grants under the Coverdell program to a maximum of 12 months. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

In addition, Coverdell grantees must submit a final report that must include a summary and assessment of the program carried out with the fiscal year grant funds and must cite the specific improvements in the quality and/or timeliness of forensic science and medical examiner services (including any reduction in forensic analysis backlog) that occurred as a direct result of the grant award. Other reports may be requested. No cash reports are required. Each State and unit of local government that receives funding under the Coverdell program must submit semiannual progress reports. Quarterly financial status reports for the life of the award. Fiscal reports consist of quarterly expenditures and budget expenditure reports; the final financial report gives costs and expenditures of the complete project. No performance monitoring is required.

**Audits:**

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

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter. Each State or local unit of government within the State that receives funding under this program must maintain adequate records relating to the receipt and use of the total grant amount. The Attorney General and the Comptroller General of the United States (or designees thereof) will have access to these records for audit and examination purposes.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$17,629,999; FY 09 est \$25,000,000; FY 10 est \$35,000,000

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For fiscal years 2006 and 2007, the Paul Coverdell Forensic Sciences Improvement Grant program provided assistance to State and local crime laboratories and medical examiner/coroner's offices to improve the quality and timeliness of forensic science and medical examiner services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Coverdell grant announcement may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-2942

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Arizona Criminal Justice Commission \$207,068 (base), State of Connecticut - \$79,312 (base), Georgia Criminal Justice Coordinating Council - \$275,550 (base), Maryland Governor's Office of Crime Control and Prevention - \$125,430, North Dakota - \$95,318 (formula), State of Texas - \$503,611 (base), Erie County, New York - \$54,510, Town of Fishers Police Department, Indiana - \$13,994, City of Quincy Massachusetts - \$78,783, County of Allegheny Pennsylvania - \$70,000. To obtain information about additional projects funding through this program, potential applicants may contact the National Institute of Justice by addressing correspondence to National Institute of Justice, Office of Science and Technology, 810 7th Street, N.W., Washington, DC, 20531; Telephone: (202) 307-2942. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this solicitation. The NIJ Director makes the final award decision.

**16.744 ANTI-GANG INITIATIVE**

Anti-Gang Initiative

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide support for new and expanded anti-gang enforcement and prevention activities under the Project Safe Neighborhood Initiative (PSN).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support anti-gang enforcement and prevention activities as specified in the authorization legislation. Generally, funds may be used to provide additional personnel and equipment for widespread prevention, apprehension, prosecution and adjudication of persons who violate Federal, State, and local laws relating to violent criminal gang activity. Federal funds must be used to supplement existing funds for program activities and cannot replace, or supplant, nonfederal funds that have been appropriated for the same purpose. For additional unallowable costs, please refer to the OJP, Office of the Comptroller's Financial Guide.

**Applicant Eligibility:**

The PSN or gang task force must identify the fiscal agent for the district, which then must be certified by the U.S. Attorney's Office. Eligible fiscal agent applicants include states, units of local government, educational institutions, faith-based and other community organizations, and private nonprofit organizations. Sub-recipient eligibility is determined by the PSN Task Force Selection Subcommittee in each of the 94 USA Districts. Each District's chosen fiscal agent submits the application to BJA.

**Beneficiary Eligibility:**

State and units of local governments.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to

review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Interested parties should contact their local United States Attorney's Office. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used with this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through Grants.gov. Each U.S. Attorney district must select a fiscal agent to administer the grant.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award will be for a period of up to 36 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Grant recipients will be required to submit online quarterly financial (Standard Form 269A) reports, as required by the OJP financial guide. Grant recipients will be required to submit semi-annual progress reports, as required by the OJP financial guide. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

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

**Records:**

Grantee must keep complete records on the disposition of funds, and adhere to the Federal Retention Requirements Act.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$10,153,231; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Each Federal judicial district will be eligible to receive allocation based on a formula that consists of the districts population and crime statistics, including gang crime. FY 2007 Anti-Gang Initiative funding totaled \$49 million. Funding amounts ranged from \$54,987 to \$1,691,216.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Please see: <http://www.psn.gov/press/News.aspx?nt=p>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, the OJP Financial Guide and H.R. 2862.

**Regional or Local Office:**

See Regional Agency Offices. Six cities: Los Angeles, Tampa, Cleveland, Dallas/Ft. Worth, Milwaukee, and the "222 Corridor" Easton to Lancaster, Pennsylvania, near Philadelphia, PA.

**Headquarters Office:**

Jonathan Faley Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202) 514-2350

**Website Address:**

Bureau of Justice Assistance: [www.ojp.usdoj.gov/bja](http://www.ojp.usdoj.gov/bja), Project Safe Neighborhood: <http://www.psn.gov/>.

**RELATED PROGRAMS:**

16.609 Community Prosecution and Project Safe Neighborhoods

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Multi-Jurisdictional Drug/Gang Enforcement Task Forces, Community Policing, Training and Technical Assistance Projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.745 CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law 108-414, Mentally Ill Offender Treatment and Crime Reduction Act; Public Law 110-416, Mentally Ill Offender Treatment and Crime Reduction Reauthorization and Improvement Act of 2008.

**OBJECTIVES:**

To increase public safety through innovative cross-system collaboration for individuals with mental illness or co-occurring mental health and substance use disorders who come into contact with the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to: plan, create, or expand programs that promote public safety and public health by providing appropriate services for system-involved individuals with mental illnesses or co-occurring disorders; plan, create, or expand specialized training programs for criminal justice and mental health and substance abuse treatment personnel; plan, create, or expand law enforcement strategies to provide response options that are tailored to the needs of people with mental illnesses; plan, create, or expand mental health courts, other court-based programs, pre-trial, and diversion and alternative prosecution and sentencing programs; and/or promote and provide mental health or co-occurring treatment and transitional services for those incarcerated or transitional reentry programs for those released from a correctional institution.

Funding for planning grants can be used to design a strategic, collaborative plan to initiate systemic change for the identification and treatment of system-involved individuals with mental illnesses or co-occurring disorders.

Funding for planning and implementation grants can be used to complete an already initiated strategic plan for their criminal justice and mental health collaboration program, and then begin implementation of the plan during the project period. Funding for expansion grants can be used to expand upon or improve a well-established collaboration plan. Expansion funding must clearly demonstrate an expansion to the current functioning of an existing program. There are limitations on funding certain activities, including construction funds. See also the OJP financial guide for other funding prohibitions.

**Applicant Eligibility:**

Applicants are limited to States, units of local government, Indian tribes, and tribal organizations. BJA will only accept joint applications; each application must include a mental health agency as well as a unit of government with responsibility for criminal justice activities.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)). Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

All applications will be reviewed the program office. The Assistant Attorney General, Office of Justice Programs, US Department of Justice makes the final award decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 120 days from application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. A grant made under this program may not cover more than 80 percent of the total costs of the project being funded during the first two years of the grant. For Category II (Planning and Implementation), the grant can cover no more than 60 percent of the total costs of the project during the third year. Match can include cash and in-kind sources. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Program reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Cash reports are not applicable. Progress reports are not applicable. Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of grants funds and grantee contributed funds shall be maintained during the grant period and retained for 3 years thereafter.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$6,658,057; FY 09 est \$10,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the BJA's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since inception of the program in FY2006, BJA has made 76 awards to state, local, and tribal jurisdictions to plan, implement or expand programs for individuals involved in the criminal justice system with mental illnesses or co-occurring mental illness and substance use disorders. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Criminal and Juvenile Justice and Mental Health Collaboration Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at <http://www.ojp.usdoj.gov/BJA/funding/index.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531  
Phone: 202-616-6500 or 1-866- 859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/BJA>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are defined specifically in the solicitation to include a statement of need for the program, a description of the proposed strategy, a description of the management plan and the capacity to implement the program, an outline of how the program will be assessed or evaluated, and an explanation of how the project will be sustained once federal funding ends.

**16.746 CAPITAL CASE LITIGATION**

CCL

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

42 U.S.C. Section 14163; 42 U.S.C. Section 14163a.

**OBJECTIVES:**

To provide attorneys who litigate death penalty cases, with specialized legal training on death penalty issues in an effort to improve the quality of representation, produce reliable jury verdicts and minimize post conviction litigation.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Priority will be given to States that currently enforce their death penalty statutes. Funding under this initiative cannot be used for training on the appellate process. Funds may not be used to supplant State and local funds.

### Applicant Eligibility:

Limited to State-based agencies or organizations and units of local government that serve defense counsel, prosecutors and judges; and are located in States that currently enforce their death penalty statutes. American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations: All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal council or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

### Beneficiary Eligibility:

Defense counsel, prosecutors and judges in the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands that currently enforce their death penalty statutes.

### Credentials/Documentation:

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all Federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

No formal preapplication coordination is required. While informal preapplication coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

### Award Procedure:

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

### Appeals:

Not Applicable.

### Renewals:

Subject to congressional appropriation.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Please contact the program office for further information.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Successful applicants will be required to work with designated national organizations to implement the training at the state level and keep the training current with changing laws. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

### Account Identification:

15-0404-0-1-754.

### Obligations:

(Project Grants) FY 08 \$2,120,957; FY 09 est \$5,500,000; FY 10 est \$5,500,000

### Range and Average of Financial Assistance:

Applicant can request up to \$250,000.00. The maximum project period is 18 months.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: In preparation for this initiative, the National Judicial College (NJC), National District Attorneys Association (NDAA), the National Legal Aid and Defenders Association (NLADA) respectively, outlined a strategy defining their constituents' (prosecutors, and defense counsel) need for training and technical assistance. Each group conducted gap analysis, compiled current resources and developed a training curriculum that was piloted at a national level. The developed curriculum has been adapted to include relevant state statutes that will be delivered by State agencies. NDAA conducted pilot trainings in AR and FL; NJC conducted pilot trainings in AR, VA, NC, TX and PA; and NLADA conducted pilot trainings in CA, TX, SC, PA, and IL. The defenders had approximately 34-36 participants per training, the judges had approximately 30 participants per training, and the prosecutors trained 53 students in Florida and 39 in Arkansas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/>. OJP Financial Guide.

### Regional or Local Office:

None.

### Headquarters Office:

Danica Szarvas-Kidd, J.D. Bureau of Justice Assistance, Policy Office, 810 Seventh Street N.W., Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2687

### Website Address:

<http://www.ojp.usdoj.gov/BJA/grant/>

### RELATED PROGRAMS:

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.748 CONVICTED OFFENDER AND/OR ARRESTEE DNA BACKLOG REDUCTION PROGRAM (IN-HOUSE ANALYSIS AND DATA REVIEW)**

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Science, State, Justice, Commerce, and Related Agencies Appropriations Act.

**OBJECTIVES:**

The objective of this program is to accelerate the analysis of convicted offender and/or arrestee DNA samples collected by States pursuant to applicable law for databasing purposes (hereinafter, "DNA database samples"), in order to provide timely Combined DNA Index System (CODIS)- compatible data for all 13 CODIS core STR loci for State and national DNA databases. Funds are to be used by a State's designated existing and accredited DNA database laboratory to reduce the backlog of DNA database samples in one of three ways: a) Through in-house analysis. The DNA database laboratory will determine what its backlog is and can apply for \$35.00 per sample to be analyzed. If the database laboratory lacks funding to ensure timely review of the profiles generated, it may apply for an additional \$5.00 per DNA profile generated in-house for a total of \$40.00 per sample tested in-house. b) Through sending samples to be tested by accredited fee-for-service laboratories. Funding requests for this option are to be calculated in exactly the same fashion as for the in-house testing option above. c) Through data review of sample profiles generated by an accredited fee-for-service laboratory. If the database laboratory lacks funding to ensure timely review of the profiles generated, it may apply for an additional \$5.00 per DNA profile generated. All profiles obtained from DNA database samples with funding provided under this announcement must be entered in the Combined DNA Index System (CODIS) within 90 days of completion of analysis and uploaded to the National DNA Index System (NDIS). Laboratories that receive funds from awards made under this announcement for sample testing and review must track and report the number of DNA database samples analyzed and/or reviewed under this fiscal year (FY) 2008 program and the number of resulting CODIS hits.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

All expenditures from DNA Backlog Reduction Program Awards must directly relate to analysis and data review of Convicted Offender and/or Arrestee DNA database samples by the State's designated DNA database laboratory or to data review profiles generated by an accredited-fee for service laboratory from such samples. Types of expenditures from awards under this program for in-house testing may include the following: Overtime - funds may be used for overtime of in-house laboratory staff directly engaged in (a) handling and analyzing DNA database samples, including handling and analyzing quality assurance samples, and (b) data review of profiles generated by an accredited fee-for-service vendor from DNA database samples that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS; Salary and Benefits of Additional Laboratory Employees - funds may be used to hire additional full-time or part-time laboratory employees who will be directly engaged in the handling or analysis of DNA database samples, or the data review of DNA profiles generated from such samples (including profiles generated by accredited fee-for-service vendors); Consultant and Contractor Services for Data Review - Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service vendor from DNA database samples that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS; Laboratory and Computer Equipment for the DNA database laboratory - funds may be used for upgrading, replacing, and purchasing laboratory equipment, instrumentation, and computer hardware or software (e.g., expert systems and

Laboratory Information Management Systems) for use in the DNA database laboratory; Certain Supplies - funds may be used to acquire commercially available PCR kits accepted by NDIS, and other laboratory supplies for analysis of DNA database samples, including analysis of quality assurance samples; Renovations - funds may be used for the renovation of facilities that will directly and specifically improve the effectiveness or efficiency of the DNA database laboratory operation; and Administrative Expenses - up to 3 percent of the Federal portion of the award may be used for administrative and grant management expenses directly related to the performance of the project. Types of expenditures from awards under this program for sending samples out for analysis by an accredited fee-for-service laboratory may include the following: O review of DNA database profiles generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>. Contracts. Funds may be used to establish a contract for testing DNA Database samples with an accredited fee-for-service laboratory. Agencies will follow their own procurement procedures for establishing these contracts. Any sole source requests in excess of \$100,000 must be submitted and approved through GMS as required in the OJP Financial Guide. Contracts may only be established under this solicitation with accredited fee-for-service laboratories that are on the GSA Blanket Purchase Agreement list for Convicted Offender DNA Backlog Reduction Program (Outsourcing) used by the OJP Contract Office. Consultant and Contractor Services for Data Review. Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service laboratory that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS. Consultants or contract laboratory personnel must meet all NDIS requirements for the review of DNA data. Administrative Expenses. Up to 3 percent of the Federal portion of a grant awarded under this program may be used for director or indirect administrative expenses specifically related to grant administration and management. Types of expenditures from awards under this program for data review of DNA profiles generated by accredited fee-for-service laboratories may include: Overtime for Existing Laboratory Employees. Funds may be used to pay overtime for existing laboratory employees who will be directly engaged in the review of DNA profiles generated by an accredited fee-for-service laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at <http://www.ojp.usdoj.gov/financialguide/>. Consultant and Contractor Services for Data Review. Funds may be used to hire consultants and/or temporary contract staff to conduct data review of profiles generated by an accredited fee-for-service laboratory that, due to the lack of laboratory resources, have yet to be reviewed and entered into NDIS. Consultants or contract laboratory personnel must meet all NDIS requirements for the review of DNA data. Administrative Expenses: Up to 3 percent of the Federal portion of a grant awarded under this program may be used for direct or indirect administrative expenses specifically related to grant administration and management.

**Applicant Eligibility:**

Eligible applicants are States with a designated existing crime laboratory that conducts analysis of DNA database samples, provided the designated DNA database laboratory meets all of the following requirements: The laboratory is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community. If the laboratory requests assistance with analysis of samples in-house, then the laboratory must possess sufficient in-house DNA analysis capacity to analyze at least 50 percent of its annual receipt of DNA database samples, or a minimum of 5,000 DNA database samples per month. The laboratory is a participant in the National DNA Index System (NDIS). The laboratory undergoes external audits, not less than once every 2 years, to demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. For purposes of this announcement, the term "State" includes the District of Columbia and the Commonwealth of Puerto Rico. For those States that use a laboratory operated by a unit of local government for analysis of the State's DNA database samples, the application must be submitted by the unit of local government having oversight of the DNA database program.

**Beneficiary Eligibility:**

Eligible applicants are States with a designated existing crime laboratory that

conducts analysis of DNA database samples, provided the designated DNA database laboratory meets all of the following requirements: The laboratory is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community. If the laboratory requests assistance with analysis of samples in-house, then the laboratory must possess sufficient in-house DNA analysis capacity to analyze at least 50 percent of its annual receipt of DNA database samples, or a minimum of 5,000 DNA database samples per month. The laboratory is a participant in the National DNA Index System (NDIS). The laboratory undergoes external audits, not less than once every 2 years, to demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. For purposes of this announcement, the term "State" includes the District of Columbia and the Commonwealth of Puerto Rico. For those States that use a laboratory operated by a unit of local government for analysis of the State's DNA database samples, the application must be submitted by the unit of local government having oversight of the DNA database program.

**Credentials/Documentation:**

Applicants must submit a copy of the accreditation certificate of the State's designated DNA database laboratory. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. General information is provided in individual program solicitations, which are obtained by accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; or calling toll free to request a copy at; Telephone: (800) 851-3420. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at 1-888-549-9901.

**Award Procedure:**

All applications will be reviewed by the program office. The NIJ Director makes all final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from application deadline.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

Please contact the program office for more information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 18 months. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments

are required. Fiscal report consisting of quarterly expenditures and budget expenditure reports are required; final financial report giving costs and expenditures of the complete project. Performance data, as stipulated in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for three years thereafter.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$144,189,903; FY 09 est \$156,000,000; FY 10 est \$151,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For specific information on eligibility, deadlines, specific uses of funds, application requirements, selection criteria, and all additional requirements, please access the "Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review)" solicitation, which is available on NIJ's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**Regional or Local Office:**

None.

**Headquarters Office:**

Mark Nelson National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Email: [Mark.S.Nelson@usdoj.gov](mailto:Mark.S.Nelson@usdoj.gov) Phone: 202-305-2664

**Website Address:**

[www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**RELATED PROGRAMS:**

16.741 Forensic DNA Backlog Reduction Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Subject to the availability of appropriated funds and to any modifications or additional requirements imposed by law, NIJ anticipates that it will make an award to each eligible applicant that satisfies the specific application requirements outlined in this announcement (including those concerning permissible expenses), the general requirements for NIJ and OJP grants, and all other applicable legal requirements. NIJ may also reject applications from applicants with prior awards for convicted offender (and/or arrestee) in-house analysis that remain entirely unobligated as of the posting date of this solicitation.

**16.750 SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM**

Adam Walsh Act

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

Adam Walsh Child Protection and Safety Act of 2006 (AWA).



**OBJECTIVES:**

To assist State, local, and tribal jurisdictions with developing and/or enhancing programs designed to implement requirements of the Sex Offender Registration and Notification Act (SORNA) under AWA and to support the maintenance and operation of the Dru Sjodin National Sex Offender Public Website (NSOPW). In summary, SORNA requires: (1) all States, the District of Columbia, the principal U.S. territories, and federally recognized American Indian tribes to maintain a sex offender registry; and (2) sex offenders to register and maintain a current registration in each jurisdiction where the offender resides, is an employee, and is a student. SORNA also sets forth requirements for sex offender registries, to include: specified required information, duration of registration, and in-person verification of sex offender identity as well as participation in the NSOPW. NSOPW links to state, territory and tribal public sex offender registries thus allowing the ability to search for registered sex offenders on a national level.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The AWA Implementation grant funds must be used to assist jurisdictions in implementing requirements of the Sex Offender Registration and Notification Act (SORNA), Title I of the Adam Walsh Child Protection and Safety Act of 2006. Funds must be used to implement or enhance sex offender registration and tracking programs in jurisdictions for the purpose of substantial compliance with SORNA. Additionally, funds must be used to ensure continued operation of NSOPW.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, units of local government, and Federally recognized American Indian tribes who have elected to carry out the requirements of SORNA. Only applicant jurisdictions that have the intention of substantially implementing the requirements of SORNA are eligible to apply.

**Beneficiary Eligibility:**

State, local and tribal government agencies that have sex offender registry and tracking responsibilities. Collaborative endeavors are permissible which can include public as well as private organizations.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the activities of the project will assist the jurisdiction in complying with SORNA or, for NSOPW, how the activities of the project will ensure continuous operation of NSOPW to include enhancements and SORNA specific software. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applications must be submitted electronically at: <http://www.grants.gov> or via OJP's Grant Management System (GMS). Applications or supplemental materials received by facsimile or postal mail will not be accepted. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application

submissions based on established criteria and forward a recommendation to the Director. The Assistant Attorney General, Office of Justice Programs has final approval authority. Grantees are notified by E-mail seven to ten days after Congress has been notified. Grantees must print award, have signed by the authorized official and returned to the Office of Justice Programs by facsimile or mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications will generally be approved or denied within 180 days of receipt of a completed application.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Awards range from 12 to 18 months, and 24 months for NSOPW unless otherwise noted.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. A 25 percent match may be required for this grant program. If required, funding for this project may not exceed 75 percent. Contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 12 to 18 months, and 24 months for NSOPW. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. Performance measure data, as laid out in the solicitation are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least three years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$3,959,870; FY 09 est \$6,000,000; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

Varies, up to \$300,000; up to \$1 million for NSOPW.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidance and Application Kit, and the OJP Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

SMART Office Office of Justice Programs, Department of Justice, 810 Seventh Street, NW, Washington, District of Columbia 20531 Phone: 202-514-4689

**Website Address:**

<http://www.ojp.usdoj.gov/smart>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A review panel convened by the SMART Office will evaluate all applications on the basis of the following criteria: (1) the application identifies a problem that is consistent with the purposes of this initiative; (2) the application describes a project that effectively addresses the problem statement; (3) the implementation strategy, time line, and capability of the organization and staff are sound; (4) the application articulates clearly the jurisdiction's goals, outcomes, and objectives and describes the accountability system and performance measures to determine progress towards achieving them; (5) the project demonstrates meaningful attention to the safety of victims and the general public by supporting jurisdiction's efforts to substantially comply with SORNA thus ensuring sex offender registration and tracking; (6) the application identifies specific individuals, or a process to identify individuals, to serve as the Grant Manager/Grant Coordinator, and demonstrates the skills, roles, and involvement of these individuals; and (7) the budget is reasonable as it relates to project activities.

For NSOPW: (1) the application identifies a need that is consistent with the purposes of this program ; (2) the application describes a project that effectively addresses the statement of need; (3) the implementation strategy, time line, and capability of the organization and staff are sound; (4) the application articulates clearly the goals, outcomes, and objectives of the project and describes the accountability system and performance measures to determine progress towards achieving them; (5) the project demonstrates meaningful attention to the public safety by supporting the operation of the Dru Sjodin National Sex Offender Public Website, which supports the SORNA goal of sex offender registration and tracking; (6) the application identifies specific individuals, or a process to identify individuals, to serve as the Grant Manager/Grant Coordinator, and demonstrates the skills, roles, and involvement of these individuals; and (7) the budget is reasonable as it relates to project activities.

**16.751 EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM**

Byrne Competitive Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008.

**OBJECTIVES:**

To improve the functioning of the criminal justice system, such as activities pertaining to crime prevention, control, or reduction, or the enforcement of the criminal law, including, but not limited to, police efforts to prevent, control, or reduce crime or to apprehend criminals, including juveniles, activities of courts having criminal jurisdiction, and related agencies (including but not limited to prosecutorial and defender services, juvenile delinquency agencies and pretrial service or release agencies), activities of corrections, probation, or parole authorities and related agencies assisting in the rehabilitation, supervision, and care of criminal offenders, and programs relating to the prevention, control, or reduction of narcotic addiction and juvenile delinquency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Byrne Competitive Program helps improve the capacity of local criminal justice systems and provides for national support efforts such as training and

technical assistance projects to strategically address needs. Funds can be used for national scope replication, expansion, enhancement, training, and/or technical assistance programs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, individuals and tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Unless otherwise specified in the award's special conditions, progress reports are due semi-annually. Unless otherwise specified in the award's special conditions, financial reports are due quarterly. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,049,598; FY 09 est \$30,000,000; FY 10 est \$30,000,000

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531  
Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

[www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Neighborhood Watch; preventing and investigating motor vehicle title fraud and theft; law enforcement gang investigations; community prosecution; problem-solving courts; state and local prosecutor training; offender reentry initiatives; substance abuse and mental health needs of offenders; information sharing within the criminal justice system; and training and technical assistance to prevent crime and drug abuse; enhance local law enforcement, courts, and corrections; and facilitate justice information sharing. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for additional information at [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov).

**16.752 ECONOMIC HIGH-TECH AND CYBER CRIME PREVENTION FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008.

**OBJECTIVES:**

To provide a nationwide support system for agencies involved in the prevention, investigation, and prosecution of economic electronic and cyber crimes and to support and partner with other appropriate entities in addressing homeland security initiatives, as they relate to electronic and cyber crimes. It provides training, technical assistance, and/or resources to State, local and tribal law enforcement, prosecutor, and other agencies on how to prevent, combat, investigate and prosecute electronic and cyber crimes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Economic High-Tech and Cyber Crime Prevention program helps improve the capacity of local criminal justice systems to address electronic and cyber crimes and provides for national support efforts such as training and technical assistance projects to strategically address needs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local law enforcement agencies, prosecutor, and other criminal justice agencies.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>). Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress reports are required. Quarterly financial reports are required. To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754; 15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,083,442; FY 09 est \$18,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program will enhance the ability of federal, State, and local agencies to identify, prevent, investigate, apprehend, and prosecute electronic and cyber criminals. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)), Criminal Intelligence Systems Operating Policies (28 CFR 23), Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531  
Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

[www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.753 CONGRESSIONALLY RECOMMENDED AWARDS**

Congressionally Recommended

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide leadership and direction in improving the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Congressionally recommended grant funds provide federal financial assistance to public or private agencies and private nonprofit organizations for law enforcement program; prosecution and court program; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement program; programs, planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

**Applicant Eligibility:**

State and local government agencies as well as public and private nonprofit organizations and federally recognized Indian Tribal governments are eligible to receive funds including faith-based and community organizations, under this program.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, and tribal governments.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual reports. Quarterly financial statements. To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$284,148,503; FY 09 est \$178,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to drug law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide 2006 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531  
Email: AskBJA@usdoj.gov Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/bja/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.754 HAROLD ROGERS PRESCRIPTION DRUG MONITORING PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law 110-161, 121 Stat. 1909; Public Law 110-329.

**OBJECTIVES:**

To enhance the capacity of regulatory and law enforcement agencies to collect and analyze controlled substance prescription data through a centralized database administered by an authorized state agency.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding for planning grants can be used to assist in planning for a data collection and analysis system by engaging key stakeholders in the state in the planning process. Funding for implementation grants may be used to plan, establish, and build a data collection and analysis system; develop an infrastructure to support programmatic activities; facilitate the exchange of information and collected prescription data among states; facilitate the establishment of collaborations; develop a training program for system users; produce and disseminate educational materials; and assess the efficiency and effectiveness of the program. Funding for enhancement grants may be used to enhance a data collection and analysis system; develop infrastructure to support programmatic activities; enhance an existing training program; support collaborations with law enforcement and prosecutors; support collaborations with treatment providers and drug courts; facilitate information sharing among states; expand monitoring to Schedules III, IV, and V; and assess the efficiency and effectiveness of the program. Up to 25% of enhancement funds can be used towards operating expenses. The remaining funds should be used to enhance the functioning of an existing program.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No formal pre application coordination is required. While informal pre application coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award

recommendations to OJPs Assistant Attorney General, who will make a final determination.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Please contact the program office for further assistance.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Successful applicants will be required to work with designated national organizations to implement the training at the state level and keep the training current with changing laws. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$6,063,225; FY 09 est \$7,000,000; FY 10 est \$7,000,000

**Range and Average of Financial Assistance:**

For planning grants, applicant can request up to \$50,000. The maximum project period for planning grants is 15 months.

For implementation grants, applicant can request up to \$400,000. The maximum project period for implementation grants is 24 months.

For enhancement grants, applicant can request up to \$400,000. The maximum project period for enhancement grants is 24 months.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since inception of the program in 2002, over 100 grants have been awarded through the Harold Rogers Prescription Drug Monitoring Program to states to support them in their efforts to plan for, implement, or enhance a prescription drug monitoring program. Prior to fiscal year 2002, there were 15 states operating PDMPs. Since the inception of the Harold Rogers Prescription Drug Monitoring Program, this funding opportunity has resulted in 21 states receiving new program grants and 13 states netting planning grants.

There are now 26 operating PDMPs and 9 states with legislation in place to establish a program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/> . The OJP Financial Guide can be viewed at:

<http://www.ojp.usdoj.gov/financialguide/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Rose Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Please refer to website for funded projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.755 SOUTHWEST BORDER PROSECUTION INITIATIVE PROGRAM**

SWBPI

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law 106-246, as amended by Public Law 106-554, authorizes the reimbursement of county and municipal governments in the States of California, Texas, Arizona, and the New Mexico state government, for specific categories of expenses associated with the handling and processing of federally initiated controlled substances cases along the Southwest Border. In FY 2000, \$12 million was made available until expended and divided equally among the States of Arizona, Southern California, New Mexico, and Southern and Western Texas. For FY 2001, another \$12 million has been made available. This additional \$12 million must be used during this Fiscal Year. Of this amount, \$10 million is for Texas and \$2 million in for Arizona.

**OBJECTIVES:**

The objective of the Southwest Border Prosecution Initiative (SWBPI) is to reimburse state, county, parish, tribal, or municipal governments only for costs associated with the prosecution of criminal cases declined by local U.S. Attorneys' offices.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

While funds from the SWBPI federal payments may be used by applicant jurisdictions for any purpose not otherwise prohibited by federal law, using funds for the support and enhancement of prosecutorial and detention services is encouraged.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No formal pre application coordination is required. Previous year applicants are notified two to three weeks prior to the opening of each application period. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Southwest Border Prosecution Initiative system: <https://external.ojp.usdoj.gov/swbpi/login.jsp>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

Applications are reviewed and approved on the basis of their adherence to program guidelines and funding availability. Applicants will receive up to 100 percent of eligible case costs, based on the availability of funds. Should application amounts exceed available funding, applicants will receive funds on a uniform, pro-rata basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Please contact the program office for further assistance.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Documents supporting a federally initiated and declined/referred case must be retained for three years after the submission of the case for SWBPI funds. Documents can include paper or electronic case files, e-mails from the U.S. Attorneys Office, case notes, or documentation of telephone or face-to-face meetings with U.S. Attorneys Office staff or federal law enforcement officials.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$27,505,882; FY 09 est \$31,000,000; FY 10 est \$30,000,000

**Range and Average of Financial Assistance:**

Applicants do not request an amount. Instead their award is based on available funding and the number of eligible cases. There is no maximum project period associated with this program since it is a payments reimbursement program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Southwest Border Prosecution Initiative program has

successfully reimbursed jurisdictions for \$82.4 million dollars over the last three fiscal years for federally deferred prosecution cases in the four eligible states. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

**Guidelines:**

[http://www.ojp.usdoj.gov/swbpi/docs/SWBPI\\_OIG\\_Guidelines2008Hope.pdf](http://www.ojp.usdoj.gov/swbpi/docs/SWBPI_OIG_Guidelines2008Hope.pdf)

**Regional or Local Office:**

None.

**Headquarters Office:**

Darius Locicero Bureau of Justice Assistance, Programs Office, 810 Seventh Street N.W., Washington, District of Columbia 20531 Email: [southwest@usdoj.gov](mailto:southwest@usdoj.gov) Phone: 202-514-2533 or 1-866-817-9274

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/grant/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.756 COURT APPOINTED SPECIAL ADVOCATES**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**OBJECTIVES:**

The Court Appointed Special Advocates (CASA) Program ensures that abused and neglected children receive high quality, timely representation in dependency court hearings. Under this program, OJJDP provides grant support and training and technical assistance to local and state programs to support existing and new CASA programs across the nation and CASA services in communities where representation rates are low, the numbers of abused and neglect children are high, and service systems do not meet the needs of families and children.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of the Court Appointed Special Advocates (CASA) Program as described in the Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

The Office of Justice Programs utilizes a Grants Management System (GMS).

GMS downloads applications from Grants.gov and is the system in which OJP reviews applications and manages awarded grants. Registration with www.grants.gov is required. Detailed instructions can be found at www.grants.gov. The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a Data Universal Numbering System (DUNS) number in their application for a new award or renewal of an award. Detailed information about this requirement can be found at www.dunandbradstreet.com. OJP requires that all applicants for federal financial assistance, other than individuals, maintain current registrations in the Central Contractor Registration (CCR) database. Information about registration procedures can be accessed at www.ccr.gov.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The award will be renewable for a period not to exceed 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance vary by project and are posted on the OJP web site as solicitations are released. See the following for information on how assistance is awarded/released: Contact program office for more details.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final financial reports and semi-annual and final program performance reports and performance measure data submission will be required as stipulated in the effective edition of the OJP Financial Guide and in award documents. Grantees submit performance measure data via the DCTAT reporting system bi-annually. see above. Performance measures are required, as specified in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0404-0-1-754; 15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,397,800; FY 09 est \$15,000,000; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

Funding for the Training and Technical Assistance Program is approximately \$3 Million per year. Funding for the State Grants program is approximately \$9 Million per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Children with a CASA volunteer are substantially less

likely to spend time in long-term foster care, defined as more than 3 years in care: 13.3 percent for CASA cases versus 27.0 percent of all children in foster care.

When a CASA volunteer was involved, both children and their parents were ordered by the courts to receive more services. The audit concluded that this was an indication that CASA is effective in identifying the needs of children and parents.

Cases involving a CASA volunteer are more likely to be permanently closed (i.e., the children are less likely to reenter the child welfare system) than cases where a CASA volunteer is not involved. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current edition of the OJP Financial Guide is available at <http://www.ojp.usdoj.gov/finguide08/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cecilia Duquela Fuentes Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 514-9372

**Website Address:**

<http://www.usdoj.gov>; <http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The National Court Appointed Special Advocates Associations (NCASAA) Training and Technical Assistance and Grants Programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The successful applicant will be selected through a competitive solicitation process.

**16.757 JUDICIAL TRAINING ON CHILD MALTREATMENT FOR COURT PERSONNEL JUVENILE JUSTICE PROGRAMS**

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, 42 U.S.C. Section 13001 et seq.

**OBJECTIVES:**

The Judicial Training on Child Maltreatment for Court Personnel Program provides technical assistance, information and support to local CASA programs, assists communities in developing new programs, and provides support to existing and developing State organizations on issues such as the development of goals and objectives, State legislation, and State standards to strengthen local programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of the Judicial Training on Child Maltreatment for Court Personnel Program.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.



**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Office of Justice Programs utilizes a Grants Management System (GMS). GMS downloads applications from Grants.gov and is the system in which OJP reviews applications and manages awarded grants. Registration with www.grants.gov is required. Detailed instructions can be found at www.grants.gov. The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a Data Universal Numbering System (DUNS) number in their application for a new award or renewal of an award. Detailed information about this requirement can be found at www.dunandbradstreet.com. OJP requires that all applicants for federal financial assistance, other than individuals, maintain current registrations in the Central Contractor Registration (CCR) database. Information about registration procedures can be accessed at www.ccr.gov.

**Award Procedure:**

Grantees are notified via the Grant Management System when an award is made.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance vary by project and are posted on the OJP web site as solicitations are released. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final financial reports and semi-annual and final program performance reports and performance measure data submission will be required as stipulated in the effective edition of the OJP Financial Guide and in award documents. Grantees submit performance measure data via the DCTAT reporting system bi-annually. See above. Performance measures, as specified in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,213,891; FY 09 est \$2,500,000; FY 10 est

\$2,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program provides intensive training and technical assistance to judges and dependency court personnel and professionals to improve the courts' handling of child abuse and neglect cases and to ensure more timely decision making in permanency planning. Impediments to timely court practices and delivery of services to children in care and their families are identified as a prelude to designing and implementing strategies that address those barriers. These innovative practices are tested and refined as part of ongoing systems change. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current edition of the OJP Financial Guide is available at <http://www.ojp.usdoj.gov/finguide08/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cecilia Duquela Fuentes Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20351 Phone: (202) 514-9372

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The National Council of Juvenile and Family Court Judges (NCJFCJ) Model Dependency Courts Initiative. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The successful applicant will be selected through a competitive solicitation process.

**16.758 IMPROVING THE INVESTIGATION AND PROSECUTION OF CHILD ABUSE AND THE REGIONAL AND LOCAL CHILDREN'S ADVOCACY CENTERS****FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**OBJECTIVES:**

The Improving the Investigation and Prosecution of Child Abuse Program has the following objectives: (1) To train criminal justice system professionals on innovative techniques for investigating, and prosecuting child abuse cases; (2) To promote a multidisciplinary approach to coordinating the investigations and prosecution of child abuse cases and, thereby limiting the number of necessary pre-trial interviews for child victims, as well as to better assure the accuracy of each interview; (3) To increase the number of communities utilizing a Childrens Advocacy Center approach to the investigation, prosecution and treatment of child abuse cases; (4) To assist communities in developing child-focused programs designed to improve the resources available to children and families; (5) To provide support to non-offending family members; (6) To enhance coordination among community agencies, professionals, and provide medical support to health care and mental health care professionals involved in the intervention, prevention, prosecution, and investigation systems that respond to child abuse cases; and (7) To improve the quality of child abuse prosecution by providing specialized training and technical assistance to prosecutors.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Childrens Advocacy Centers as set forth in Victims of Child Abuse Act, 42 U.S.C. Section 13001, et seq.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Procedures for application for funds to support VOCA programs will be available through competitive proposals issued by the Office of Juvenile Justice and Delinquency Prevention. The Office of Justice Programs (OJP) utilizes a Grants Management System (GMS). GMS downloads applications from Grants.gov and is the system in which OJP reviews applications and manages awarded grants. Registration with www.grants.gov is required. Detailed instructions can be found at www.grants.gov. The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a Data Universal Numbering System (DUNS) number in their application for a new award or renewal of an award. Detailed information about this requirement can be found at www.dunandbradstreet.com. OJP requires that all applicants for federal financial assistance, other than individuals, maintain current registrations in the Central Contractor Registration (CCR) database. Information about registration procedures can be accessed at www.ccr.gov.

**Award Procedure:**

Grantees are notified via the Office of Justice Programs Grant Management System (GMS) when an award is made. Procedures for applications for local childrens advocacy center funding will be provided in the Request for Proposals (RFP) issued by the entity designated by OJJDP to manage the national grant program for local childrens advocacy centers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

up to 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance varies by project and are posted on the OJP web site as solicitations are released. See the following for information on how assistance is awarded/released: Contact program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final financial reports and semi-annual and final program performance reports and performance measure data submission will be required as stipulated in the effective edition of the OJP Financial Guide and in award documents. Grantees

submit performance measure data via the DCTAT reporting system bi-annually. Standard reporting requirements will be required for subaward recipients. Quarterly. Performance reporting is required, as specified in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,922,663; FY 09 est \$20,000,000; FY 10 est \$20,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Currently, there are more than 700 Childrens Advocacy Centers across the nation in various stages of development. Last year, Childrens Advocacy Centers provided services to more than 240,000 children.

In August 2008, OJJDP published a bulletin Evaluating Childrens Advocacy Centers Response to Child Sexual Abuse which describes an evaluation of the effectiveness of four prominent Childrens Advocacy Centers and comparison communities in coordinating child abuse investigations and providing victim services. Important findings included:

- o Coordination of investigations: Police in CAC communities were involved in 81 percent of child protective services investigations of sexual abuse, compared to 52 percent in other communities. Team interviews (two or more observers) were more common in CAC cases (28 percent) than non-CAC cases (6 percent).

- o Medical exams: In the CAC sample, nearly half (48 percent) of child victims received a forensic medical examination, compared to less than a fourth (21 percent) of non-CAC cases.

- o Mental health services: Sixty percent of CAC children received referrals for mental health services compared to 22 percent in non-CAC communities. Of the CAC children referred, 31 percent were counseled onsite by a therapist specializing in treatment of child abuse victims.

Childrens Advocacy Centers have been growing internationally and are under development in Canada, Iceland, Poland, Norway, and Sweden. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The current edition of the OJP Financial Guide is available at <http://www.ojp.usdoj.gov/financialguide>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lou Ann Holland Child Protection Division, Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, District of Columbia 20531 Phone: (202) 305-2742

**Website Address:**

<http://www.usdoj.gov>; <http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The National Childrens Alliance, National Grants Program for Local Advocacy Centers, Regional Childrens Advocacy Centers, National Childrens Advocacy Center, National Center for Prosecution of Child Abuse.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The successful applicant will be selected through a competitive solicitation process.

**16.800 RECOVERY ACT - INTERNET CRIMES AGAINST CHILDREN TASK FORCE PROGRAM (ICAC)****FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009 (ICAC Initiatives) Public Law No. 111-5; 42 U.S.C. .17601 42 U.S.C .17617; Title I, Section 102 of the Protect Our Children Act of 2008, Public Law 110-40.

**OBJECTIVES:**

The ICAC Task Force Program supports a national network of multiagency, multijurisdictional task forces and other projects to prevent technology facilitated child sexual exploitation with at least one task force in each of the 50 states. The ICAC task forces provide forensic and investigative technical assistance to law enforcement and prosecutorial officials, as well as community education information to parents, educators, prosecutors, law enforcement, and others concerned with child victimization.

As provided for in Section 103 of the Protect Our Children Act of 2008 (the Protect Act), the ICAC task forces shall be dedicated to the following:

- increasing the investigative capabilities of state and local law enforcement officers in the detection, investigation, and apprehension of Internet crimes against children offenses or offenders, including technology-facilitated child exploitation offenses.

- conducting proactive and reactive Internet crimes against children investigations.

- providing training and technical assistance to ICAC task forces and other Federal, state, and local law enforcement agencies in the areas of investigations, forensics, prosecution, community outreach, and capacity-building, using recognized experts to assist in the development and delivery of training programs.

- increasing the number of Internet crimes against children offenses being investigated and prosecuted in both Federal and state courts.

- creating a multiagency task force response to Internet crimes against children offenses within each state.

- enhancing nationwide responses to Internet crimes against children offenses, including assisting other ICAC task forces, as well as other Federal, state, and local agencies with Internet crimes against children investigations and prosecutions.

- developing and delivering Internet crimes against children public awareness and prevention programs.

- participating in such other activities, both proactive and reactive, that will enhance investigations and prosecutions of Internet crimes against children.

In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes

of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Administrator is authorized to make grants to and enter into contracts with public agencies or private nonprofit organizations, or combinations thereof, for research, demonstration projects, or other purposes designed to support the state and regional ICAC task forces in order to prevent, interdict, investigate, and prosecute technology-facilitated child exploitation and Internet crimes against children.

To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

Law, Justice, and Legal Services.

**Beneficiary Eligibility:**

State, Local, Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments and, if an ICAC task force makes a sub-award to a non-profit organization, A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System at: <https://grants.ojp.usdoj.gov/> and must follow established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information

on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

An environmental impact statement is required for construction proposed under this program.

**Award Procedure:**

Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 1 to 6 months.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. A match is not required for general operation of the ICAC Formula. However, if funds are distributed under Section 106(2)(A) of the Protect Act after funds have otherwise been made available to satisfy the formula awards, then a 25 percent match of the additional distribution is required. If match is required, the Attorney General may waive, in whole or in part, the match requirement if the state or local ICAC task force demonstrates good cause or financial hardship. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made for 12 to 36 months. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Awardees are required by the OJP Financial Guide to report financial, subgrant, and other data on a monthly, quarterly, semi-annually, and/or annual basis. Awardees are also required to comply with the reporting requirements contained in the Protect Act. Reporting guidelines are determined by the Office of Juvenile Justice and Delinquency Prevention and communicated to awardees. No cash reports are required. No progress reports are required. Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Effective 6/30/2004, all organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0402-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$50,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The ICAC Task Force Program has been working to protect American children since 1998. The ICAC program is a national network of fifty-nine coordinated task forces representing over 2,000 federal, State and local law enforcement and prosecutorial agencies. These agencies are engaged in proactive investigations, forensic examinations, and effective prosecutions. By helping state and local law enforcement agencies develop effective and sustainable responses to online child victimization and child pornography, OJJDP and the ICAC program have built capacity at the local level to address ICAC related offences.

Since the programs inception in 1998, the ICAC Task Forces have reviewed over 100,000 complaints of alleged child sexual victimization resulting in the arrest of over 13,500 individuals.

In fiscal year 2007, ICAC investigations led to more than 2,400 arrests, over 10,500 forensic examinations, and the identification of nearly 400 children who were victims of some form of abuse and neglect.

In fiscal year 2008, the ICACs arrested over 3,000 individuals. Over one-third of those arrests (1,109) resulted in the acceptance of a plea agreement by the defendant in lieu of a trial.

In fiscal year 2007, the ICAC program trained over 20,000 law enforcement personnel and nearly 1,700 prosecutors. In fiscal year 2008, the number of trained law enforcement personnel increased to over 26,500, while an additional 2,219 prosecutors were trained.

Since the ICAC programs inception in 1998, nearly 100,000 law enforcement officers, prosecutors, and other professionals have been trained throughout the United States and in 17 countries around the world on techniques to investigate and effectively prosecute ICAC related cases. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Recovery Act ICAC Task Force solicitation, the Office of Justice Programs Financial Guide, applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 CFR.).

Additional government-wide guidance pertinent to Recovery Act programs is available on Recovery.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron C. Laney Child Protection Division  
Office of Juvenile Justice and Delinquency Prevention  
810 7th Street NW, Washington, District of Columbia 20531 Phone:  
202-616-3637 Fax: 202-353-9093

**Website Address:**

<http://ojjdp.ncjrs.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects include state and regional task forces working on the following goals:  
engaging in proactive investigations, forensic examinations, and effective prosecutions of Internet crimes against children.

providing forensic, preventive, and investigative assistance to parents, educators, prosecutors, law enforcement, and others concerned with Internet crimes against children.

developing multijurisdictional, multiagency responses and partnerships to

prevent, interdict, investigate and prosecute technology facilitated crimes against children through ongoing informational, administrative, and technological support to other state and local law enforcement agencies, as a means for such agencies to acquire the necessary knowledge, personnel, and specialized equipment to investigate and prosecute such offenses.

participating in nationally coordinated investigations in any case in which the Attorney General determines such participation to be necessary, as permitted by the available resources of such task force.

establishing or adopting investigative and prosecution standards, consistent with established norms, to which such task force shall comply.

investigating tips related to Internet crimes against children, and seeking prosecution, as appropriate, including tips from Operation Fairplay, the National Internet Crimes Against Children Data System (established in section 105 of the Act), the National Center for Missing and Exploited Children's CyberTipline, ICAC task forces, and other Federal, state, and local agencies, with priority to investigative leads that indicate the possibility of identifying or rescuing child victims, including investigative leads that indicate a likelihood of a serious offense or danger to the community.

developing procedures for handling seized evidence. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program; there is no discretionary selection by OJP of the principal recipients of this funding. To the extent that a formula grant recipient make discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should consider including factors related to the purposes of the Recovery Act as a part of the selection process for sub-awardees. Such factors might include

- (1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- (2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- (3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

#### **16.801 RECOVERY ACT - STATE VICTIM ASSISTANCE FORMULA GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Department of Justice

##### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115; Victims of Crime Act, Public Law 98-473, Title II, sections 1402(d)(4) and 1404(a) (codified at 42 U.S.C. 10601(d)(4) and 10603(a) respectively).

##### **OBJECTIVES:**

The Office for Victims of Crime (OVC) will award each eligible state victim assistance program a Recovery Act - VOCA victim assistance formula grant to support the provision of services to victims of crime throughout the Nation. Services are defined as those efforts that (1) respond to the emotional and physical needs of crime victims; (2) assist primary and secondary victims of crime to stabilize their lives after a victimization; (3) assist victims to understand and participate in the criminal justice system; and (4) provide victims of crime with a measure of safety and security such as boarding up broken windows and replacing and repairing locks.

In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental

protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting. To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

##### **Applicant Eligibility:**

Law, Justice, and Legal Services.

##### **Beneficiary Eligibility:**

Specialized group (e.g. health professionals, students, veterans).

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Award Procedure:**

Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

See 28 CFR Part 18.

**Renewals:**

No renewals are available with Recovery Act funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Consistent with the VOCA statute, awards will be made for the year of award, plus three years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide.

To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required (including complete performance measure data) to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide.

To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required (including complete performance measure data) to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Effective 6/30/2004, all organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0910-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$47,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Recovery - VOCA Victim Assistance Formula Grant program will be administered by OVC under the applicable provisions of VOCA, 42 U.S.C. 10603(a), the Recovery Act - State Victim Assistance Formula Program solicitation, the Final Program Guidelines for the VOCA Crime Victim Assistance Formula Grant Program (published in the Federal Register on April 22, 1997), and the applicable provisions of the American Recovery and

Reinvestment Act of 2009, H.R. 1., signed by the President on February 17, 2009, the Office of Justice Programs Financial Guide, applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas Associate Director, Domestic and International Victim Assistance Services, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Email: POC@DHS.gov Phone: (202)616-3579

**Website Address:**

<http://www.ojp.usdoj.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program; there is no discretionary selection by OJP of the principal recipients of this funding. To the extent that a formula grant recipient make discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should consider including factors related to the purposes of the Recovery Act as a part of the selection process for sub-awardees. Such factors might include

- 1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- 2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- 3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

**16.802 RECOVERY ACT - STATE VICTIM COMPENSATION FORMULA GRANT PROGRAM****FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Victims of Crime Act, Public Law 98-473, Title II, Sections 1402(d)(4) and 1403(a) (codified at 42 U.S.C. 10601(d)(4) and 10602(a) respectively).

**OBJECTIVES:**

The Office for Victims of Crime (OVC) will award each eligible state victim compensation program a Recovery Act - VOCA victim compensation formula grant to support the provision of crucial financial assistance to victims of crime throughout the Nation. In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be

aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see Section 1605 of the Recovery Act (Buy American), Section 1606 (wage rate requirements), Section 1602 (preference for quick-start activities), and Section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act. Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

State (includes District of Columbia, public institutions of higher education and hospitals), U.S. Territories and possessions (includes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

No renewals are available with Recovery Act funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Consistent with the VOCA statute, awards will be made for the year of award,

plus three years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide.

To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required (including complete performance measure data) to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Effective 6/30/2004, all organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0910-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$47,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Recovery - VOCA Victim Compensation Formula Grant program will be administered by OVC under the applicable provisions of VOCA, 42 U.S.C. 10602, the Recovery Act - State Victim Compensation Formula Program solicitation, the Final Program Guidelines for the VOCA Crime Victim Compensation Formula Grant Program (published in the Federal Register on May 16, 2001), the applicable provisions of the American Recovery and Reinvestment Act of 2009, Public Law 111-5, signed by the President on February 17, 2009, the Office of Justice Programs Financial Guide, applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas State Compensation and Assistance Division, Office for Victims of Crime, Department of Justice, Washington, DC 20531, Washington, District of Columbia 20531 Phone: 202-616-3579

**Website Address:**

<http://www.ojp.usdoj.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

This is a formula grant program; there is no discretionary selection by OJP of the principal recipients of this funding. To the extent that a formula grant recipient make discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should consider including factors related to the purposes of the Recovery Act as a part of the selection process for sub-awardees. Such factors might include

- 1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- 2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- 3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

## 16.803 RECOVERY ACT - EWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT (JAG) PROGRAM/ GRANTS TO STATES AND TERRITORIES

### FEDERAL AGENCY:

Department of Justice

### AUTHORIZATION:

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115 (the Recovery Act); Subpart 1 of Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3750-3758);.

### OBJECTIVES:

The Recovery Act JAG programs allow states and local governments to support a broad range of activities to prevent and control crime and to improve the criminal justice system. The Recovery Act JAG programs will solicit applications from eligible states, territories, tribes, and units of local government for state and local initiatives, technical assistance, training, personnel, equipment, supplies, contractual support, and information systems for criminal justice, as well as research and evaluation activities that will improve or enhance law enforcement programs related to criminal justice such as: prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement programs; planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

In addition to fulfilling JAG program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <<http://www.ojp.usdoj.gov/recovery/>>.

### TYPES OF ASSISTANCE:

Formula Grants; Project Grants

### USES AND USE RESTRICTIONS:

Law enforcement programs related to criminal justice such as: prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment programs; planning, evaluation, and technology improvement programs; and crime victim and witness programs. Funds may not be used to supplant State and local funds. Additionally, not more than 10 percent of a grant made under this program may be used for costs incurred to administer such grant.

JAG funds cannot be used directly or indirectly for security enhancements or equipment for nongovernmental entities not engaged in criminal justice or

public safety. JAG funds also cannot be used directly or indirectly to provide for any of the following matters unless the Attorney General or his designee certifies that extraordinary and exigent circumstances exist, making them essential to the maintenance of public safety and good order:

- Vehicles (excluding police cruisers), vessels (excluding police boats), or aircraft (excluding police helicopters).
- Luxury items.
- Real estate.
- Construction projects (other than penal or correctional institutions).
- Any similar matters.

To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

### Applicant Eligibility:

Law, Justice, and Legal Services.

### Beneficiary Eligibility:

State, Local.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as the JAG Program Guidance Manual.

### Award Procedure:

An award is granted by the Director of the Bureau of Justice Assistance, and must be accepted by the applicant State or Territory according to the special conditions of the grant.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

The Bureau of Justice Assistance will not disapprove any application (or amendment to that application) without affording the applicant reasonable



notice of any deficiencies and providing an opportunity for correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 C.F.R., Part 18.

**Renewals:**

No renewals are available with Recovery Act funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of formula grant awards under this program is 4 years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must

**Records:**

In accordance with the requirements set forth in 28 C.F.R., Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0910-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$1,200,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$1.6 million to \$225 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See program web site <http://www.ojp.usdoj.gov/BJA/index.html> or contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Recovery Act Byrne Jag State solicitation, the Office of Justice Programs Financial Guide, the Bureau of Justice Assistance Justice Assistance Grant Program Guidance Manual, applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

Additional government-wide guidance pertinent to Recovery Act programs is available on [Recovery.gov](http://Recovery.gov).

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>.

**Headquarters Office:**

Eileen Garry Office of Justice Programs, Bureau of Justice Assistance, 4th Floor, State Policy Office, 810 Seventh Street NW, Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/recovery/>

**RELATED PROGRAMS:**

16.738 Edward Byrne Memorial Justice Assistance Grant Program; 16.803 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable legal and guideline requirements. Additionally, since this is a formula grant program; there is no discretionary selection by OJP of the principal recipients of this funding. To the extent that a formula grant recipient makes discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should consider including factors related to the purposes of the Recovery Act as a part of the selection process for sub-awardees. Such factors might include

- 1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- 2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- 3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

**16.804 RECOVERY ACT - EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT (JAG) PROGRAM / GRANTS TO UNITS OF LOCAL GOVERNMENT**

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, (the Recovery Act); Subpart I of Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3750-3758).

**OBJECTIVES:**

The Recovery Act JAG programs allow states and local governments to support a broad range of activities to prevent and control crime and to improve the criminal justice system. The Recovery Act JAG program will solicit applications from eligible States, territories, tribes, and units of local government for state and local initiatives, technical assistance, training, personnel, equipment, supplies, contractual support, and information systems for criminal justice, as well as research and evaluation activities that will improve or enhance law enforcement programs related to criminal justice such as: prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement programs; planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

In addition to fulfilling JAG program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to

provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <<http://www.ojp.usdoj.gov/recovery/>>.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Law enforcement programs related to criminal justice such as: prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment programs; planning, evaluation, and technology improvement programs; and crime victim and witness programs. Funds may not be used to supplant State and local funds. Additionally, not more than 10 percent of a grant made under this program may be used for costs incurred to administer such grant.

JAG funds cannot be used directly or indirectly for security enhancements or equipment for nongovernmental entities not engaged in criminal justice or public safety. JAG funds also cannot be used directly or indirectly to provide for any of the following matters unless the Attorney General certifies that extraordinary and exigent circumstances exist, making them essential to the maintenance of public safety and good order:

- Vehicles (excluding police cruisers), vessels (excluding police boats), or aircraft (excluding police helicopters).
- Luxury items.
- Real estate.
- Construction projects (other than penal or correctional institutions).
- Any similar matters.

To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

Law, Justice and Legal Services.

**Beneficiary Eligibility:**

Local.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in law, the program solicitation, and the program guidance. Costs will be determined in accordance with 2 C.F.R., Part 225 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as the JAG Program Guidance Manual.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Assistance, and must be accepted by the applicant agency according to the special conditions of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance will not disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity for correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 C.F.R., Part 18.

**Renewals:**

No renewals are available with Recovery Act funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The funding for states is allocated based on the number of violent crimes reported by the state from 2005 through 2007 to the FBI's UCR, and the population as provided by the U.S. Census Bureau for 2008.

For purposes of Recovery Act Byrne/JAG, by statute, the initial allocation to each state and Puerto Rico (excluding the remaining territories) is divided between the state and the local jurisdictions at a rate of 60 and 40 percent, respectively.

For the local jurisdictions, the allocation process begins by determining which of the local jurisdictions are eligible to receive an award. To be eligible, a jurisdiction must provide to the FBI's UCR--a count of the number of violent crimes reported each year for a minimum of three years in the last ten years. By statute, jurisdictions that have not reported any data for at least three years in the last ten years for which UCR data is available, do not receive an award.

For each eligible jurisdiction, BJS computes the average number of violent crimes committed for the three most recent years in which they reported data. Next, BJS uses the sum of these averages to determine the jurisdictions share of the local award they may receive. Finally, BJS examines the initial amount of the award, and jurisdictions that were allocated an initial award that is greater than or equal to \$10,000 receive a direct award from BJA for their own use. If the initial allocation is less than \$10,000, the statute provides that the allocation is given to the state, rather than to the local jurisdiction.

There is no match required at the Federal level. However matching is an effective strategy for states and local units of government to expand justice funds and build buy-in for local criminal justice initiatives. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of formula grant awards under this program is 4 years. See the following for information on how assistance is awarded/released: No

information provided.

**Reports:**

Pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data ) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. Financial and Progress reports are required in accordance with the Office of Justice Programs Financial Guide. No expenditure reports are required. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must

**Records:**

: In accordance with the requirements set forth in 28 C.F.R., Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0910-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$800,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$10,000 to \$29 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See program web site <http://www.ojp.usdoj.gov/BJA/index.html> or contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide, the Bureau of Justice Assistance Justice Assistance Grant Program Guidance Manual; applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

Additional government-wide guidance pertinent to Recovery Act programs is available on [Recovery.gov](http://Recovery.gov).

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Contact the State Administering Agency <http://www.ojp.usdoj.gov/saa/>.

**Headquarters Office:**

Eileen Garry Office of Justice Programs, Bureau of Justice Assistance, 4th Floor, State Policy Office, 810 Seventh Street NW, Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/recovery/>

**RELATED PROGRAMS:**

16.738 Edward Byrne Memorial Justice Assistance Grant Program; 16.804 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable legal and guideline requirements. Additionally, to the extent that a formula grant recipient makes discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should consider including factors related to the purposes of the Recovery Act as a part of the selection process for sub-awardees. Such factors might include

- 1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- 2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- 3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

**16.805 RECOVERY ACT TRANSITIONAL HOUSING**

Recovery Act Transitional Housing

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;; The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.

**OBJECTIVES:**

To provide transitional housing assistance and related support services to minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented history of effective work concerning domestic violence, dating violence, sexual

assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Credentials/Documentation:**

Applicants must provide assurances that supportive services offered to participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OJP Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and

numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$42,651,316; FY 10 est \$50,000,000

**Range and Average of Financial Assistance:**

Range: \$184,910 - \$707,816;

Average: \$446,363.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Applications: 565 Awards: 91. Fiscal Year 2010: Awards: 75.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: FY 2009 Recovery Act funds based from CFDA 16.736 - Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, and Transitional Housing. Fiscal Year 2010: Pending Congressional determination for further Recovery Act funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.806 RECOVERY ACT - VIOLENCE AGAINST WOMEN DISCRETIONARY GRANTS FOR INDIAN TRIBAL GOVERNMENTS**  
(Tribal Governments)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10. Funding was provided by the American Recovery and Reinvestment Act of 2009 (Recovery Act).

**OBJECTIVES:**

To increase tribal capacity to respond to violent crimes against Indian women, and to develop and strengthen victim services in cases involving violent crimes against Indian women.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (1) develop and enhance effective governmental strategies to curtail violent crimes against and increase the safety of Indian women consistent with tribal law and custom; (2) increase tribal capacity to respond to domestic violence, dating violence, sexual assault, and stalking crimes against Indian women; (3) strengthen tribal justice interventions including tribal law enforcement, prosecution, courts, probation, correctional facilities; (4) enhance services to Indian women victimized by domestic violence, dating violence, sexual assault, and stalking; (5) work in cooperation with the community to develop education and prevention strategies directed toward issues of domestic violence, dating violence, and stalking programs and to address the needs of children exposed to domestic violence; (6) provide programs for supervised visitation and safe visitation exchange of children in situations involving domestic violence, sexual assault, or stalking committed by one parent against the other with appropriate security measures, policies, and procedures to protect the safety of victims and their children; (7) provide transitional housing for victims of domestic violence, dating violence, sexual assault, or stalking, including rental or utilities payments assistance and assistance with related expenses such as security deposits and other costs incidental to relocation to transitional housing, and support services to enable a victim of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community; and (8) provide legal assistance necessary to provide effective aid to victims of domestic violence, dating violence, sexual assault, or stalking who are seeking relief in legal matters arising as a consequence of that abuse or violence, at minimal or no cost to the victims. Applicants must demonstrate their proposal was developed in consultation with a nonprofit, nongovernmental Indian victim services program, including sexual assault and domestic violence victim services providers in the tribal or local community, or a nonprofit tribal domestic violence and sexual assault coalition to the extent that they exist. In the absence of such a demonstration, the applicant may meet the requirement of this subsection through consultation with women in the community to be served. Funds can be used for renovations as long as grantees meet the requirements of the National Historic Preservation Act, the National Environmental Policy Act, section 1605 of the Recovery Act (Buy American), section 1606 of the Recovery Act (Wage rate Requirements).

**Applicant Eligibility:**

Indian tribal governments and authorized designees of tribal governments. The term "tribal government" means-- (A) the governing body of an Indian tribe; or (B) a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

Tribal governments and authorized designees of tribal governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply

through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications. This program is subject to provisions of OMB Circular No. A-110.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

At least one year. See the following for information on how assistance is awarded/released: Funds are released on an as needed basis to the grantee.

**Reports:**

Quarterly financial reports are required, as stipulated in the effective edition of the OJP Financial Guide. Cash reports are not applicable. Grantees shall also file semi-annual performance reports explaining the activities carried out and an assessment of the effectiveness of those activities in achieving the purposes of the program, including the number of persons served and the number of persons seeking services who could not be served, as well as a final performance report. In addition, quarterly reports on the use of funds are required under section 1512(c) of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$20,800,190; FY 10 est \$22,500,000

**Range and Average of Financial Assistance:**

Range: 261,299 - 899,999

Average: \$580,649.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OJP Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice 800 K Street NW, Suite 920, Washington, District of Columbia 20530 Phone: (202) 307-6026

**Website Address:**

<http://www.ovv.usdoj.gov/>

**RELATED PROGRAMS:**

16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Violence Against Women and Department of Justice Reauthorization Act of 2005 and program guidelines published annually.

**16.807 RECOVERY ACT - VOCA CRIME VICTIM ASSISTANCE DISCRETIONARY GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Pub. L. No. 111-5; Victims of Crime Act, Pub. L. No. 98-473, Title II, sections 1402(d)(4) and 1404(c) (codified at 42 U.S.C. 10601(d)(4) and 10603(c) respectively).

**OBJECTIVES:**

The objective of the Office for Victims of Crime (OVC) Recovery Act VOCA Crime Victim Assistance Discretionary Grant Program is to improve the capacity of victim service providers and allied practitioners in advancing rights and services for crime victims.

OVC will award funding for training, technical assistance, and demonstration projects that are (1) national in scope (defined as relevant and useful to many or most communities and states across the Nation); and either (2) address gaps in the field in the areas of training and technical assistance; or (3) develop promising practices, models, or programs through demonstration projects.

All initiatives, whether related to training, technical assistance, or development of promising practices, models, and programs, must focus on improving the capacity of victim service providers and allied practitioners in advancing rights and services to victims in the following areas: Elder abuse, sexual assault, victim restitution, child abuse, youth victimization (including cybercrime victimization), victim services in corrections settings, stalking, the implications of forensic technologies for victims, and training and technical assistance on crime victims rights.

In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

To the extent (if any) that this Recovery Act program permits recipients to use

funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website ([www.ojp.usdoj.gov](http://www.ojp.usdoj.gov)) for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

See program solicitation for details (available on the OVC website at [www.ojp.usdoj.gov/ovc](http://www.ojp.usdoj.gov/ovc)). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule) must be used for all grants made by OVC. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Detailed application procedures are set forth in the Recovery Act program solicitation for this discretionary program, which is available on the OVC website at [www.ojp.usdoj.gov/ovc](http://www.ojp.usdoj.gov/ovc). Applicants must submit completed applications via the Office of Justice Programs, Grants Management System (GMS) at: [https://grants.ojp.usdoj.gov/..](https://grants.ojp.usdoj.gov/) The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director.

All final grant award decisions will be made by the Assistant Attorney General, Office of Justice Programs, who may also give consideration to factors including, but not limited to, underserved populations, strategic priorities, past performance, and available funding when making awards.

Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Consistent with the VOCA statute, awards will be made for the fiscal year of award, plus the three subsequent fiscal years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. No progress reports are required. Pursuant to the Recovery Act, certain financial and programmatic progress reports are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

Additional performance measures reporting may be required throughout the grant period.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Effective June 30, 2004, all organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than nine months after the end of the grantee's fis

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0402-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$5,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Recovery Act VOCA Crime Victim Assistance Discretionary Grant Program will be administered by OVC under the applicable provisions of the Victims of Crime Act, 42 U.S.C. 10603(e); the program solicitation for the OVC Recovery Act discretionary program; the applicable provisions of the American Recovery and Reinvestment Act of 2009, Public Law 111-5, signed by the President on February 17, 2009; the Office of Justice Programs Financial Guide; applicable OMB Circulars; and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard Greenough Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW, Washington, District of Columbia 20531 Phone: 202-616-8715

**Website Address:**

<http://www.ojp.usdoj.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A peer review panel will review the applications that pass an initial eligibility screening, and score these applications in the following categories: Project Abstract, Statement of the Problem, Project Goals and Objectives, Project Design and Implementation, Organizational Capability and Project Management, Budget, Impact/Outcomes and Evaluation/Performance Measure Data Collection Plan. The peer reviewers ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations may include, but are not limited to, underserved populations, strategic priorities, past performance, and available funding.

Applications for funding under the Recovery Act VOCA Crime Victim Assistance Discretionary Grant Program may also be evaluated based on the following criteria:

- 1) Project objectives that are linked to meaningful and measurable outcomes consistent with the goals of the Recovery Act, and the likelihood of achieving such outcomes, such as job creation and preservation.
- 2) Activities that can be started and completed expeditiously, and in a manner that maximizes job creation and economic benefit.
- 3) Sound financial systems and procedures that can track and report funds separately and in a clear, accurate, and timely manner.

To the extent that a grant recipient makes discretionary sub-awards, in addition to its own requirements, and those requirements identified in the program solicitation, the recipient should also consider the above factors as a part of the selection process for sub-awardees.

**16.808 RECOVERY ACT - EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM****FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, PubPublic . LLaw. 111-5 (the Recovery Act); Consolidated Appropriations Act of 2008.

**OBJECTIVES:**

To improve the functioning of the criminal justice system, assist victims of crime (other than compensation), youth mentoring, and activities pertaining to crime prevention, control, or reduction, or the enforcement of the criminal law, including, but not limited to, police efforts to prevent, control, or reduce crime or to apprehend criminals, including juveniles, activities of courts having criminal jurisdiction, and related agencies (including but not limited to prosecutorial and defender services, juvenile delinquency agencies and pretrial service or release agencies), activities of corrections, probation, or parole authorities and related agencies assisting in the rehabilitation, supervision, and care of criminal offenders, and programs relating to the prevention, control, or reduction of narcotic addiction and juvenile delinquency.

In addition to fulfilling the program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to

provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <http://www.ojp.usdoj.gov/recovery/>.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

The Byrne Competitive Recovery Program helps improve the capacity of criminal justice systems, assist victims of crime (other than compensation), provide youth mentoring, and focuses efforts on programs that emphasize more comprehensive community approaches; programs that stimulate the economy (i.e., workforce development); and other factors that impact economic conditions, and provides resources to improve the capacity of state and local criminal justice systems. The 2009 Recovery Act Byrne Competitive funding will focus on evidence-based and data-driven programs in the following areas: (1) preventing and reducing violent crime; (2) providing for funding of neighborhood-based probation and parole officers, as a compliment to the COPS program; (3) reducing mortgage fraud and crime related to vacant properties; (4) hiring of civilian law enforcement (support personnel); (5) enhancing forensic and crime scene investigations; (6) improving resources and services for victims of crime; and (7) supporting problem-solving courts; and (8) national training and technical assistance partnerships.

In addition, a percentage of this funding may be available to fund projects that conduct evaluation or research related to the overall objectives of the program. To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

see Index.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements.

By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is

excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically through the online, Internet-based Grants Management System (GMS) at: <http://grants.ojp.usdoj.gov/>. Applications or supplemental materials received by facsimile or postal mail will not be accepted

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJPs Assistant Attorney General, who will make a final determination. Successful applicants are notified via GMS. Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to the Office of the Chief Financial Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Application deadlines as specified by the Bureau of Justice Assistance are included with the application instructions, which are posted on the Office of Justice Programs website.

Range of approval/disapproval time varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Contingent upon program goals and objectives, generally 24 months. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required (including performance measure data) to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that



year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0402-1-1-754.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$225,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a general purpose assistance program for all components of the criminal justice system with programs ranging from crime prevention to correctional alternatives to law enforcement to community justice interventions. It supports a broad range of technical assistance and training agents as well as site-based demonstration programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs' Financial Guide ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and post award instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: [byrne.discretionary@usdoj.gov](mailto:byrne.discretionary@usdoj.gov) Phone: : (202) 616-6500 or (1-866) 859-

**Website Address:**

<http://www.ojp.usdoj.gov/BJA>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No prior year Recovery Act funding. Examples of projects funded in previous years that bear similarity to the 2009 Recovery Act Byrne Competitive Grant Program are: Neighborhood Watch; preventing and investigating motor vehicle title fraud and theft; law enforcement gang investigations; community prosecution; problem-solving courts; state and local prosecutor training; offender reentry initiatives; substance abuse and mental health needs of offenders; information sharing within the criminal justice system; and training and technical assistance to prevent crime and drug abuse; enhance local law enforcement, courts, and corrections; and facilitate justice information sharing. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.809 RECOVERY ACT - STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE PROGRAM: COMBATING CRIMINAL NARCOTICS ACTIVITY STEMMING FROM THE SOUTHERN BORDER OF THE UNITED STATES COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Pub. L.Public Law 111-5 (the Recovery Act).

**OBJECTIVES:**

The Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border provides resources, assistance, and equipment to local law enforcement along the Southern border and in High-Intensity Drug Trafficking areas in order to combat criminal narcotics activity stemming from the Southern border of the United States.

In addition to fulfilling the program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <http://www.ojp.usdoj.gov/recovery/>.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border helps to improve the capacity of local law enforcement to address the growing issue of illicit narcotics activity stemming from the southern border region. Competitively selected projects under this solicitation will focus on programs in the following areas: 1) Combating Criminal Narcotics Activity along the Southern border; 2) Enhancing Southern Border Jails, Community Corrections and Detention Operations; 3) Facilitating Justice Information Sharing, Collaboration and Problem Solving; and 4) Training & Technical Assistance.

In addition, a percentage of this funding may be available to fund projects that conduct evaluation or research related to the overall objectives of the program. To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with

statutory and administrative requirements.

By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJPs Assistant Attorney General, who will make a final determination. Successful applicants are notified via GMS. Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to the Office of the Chief Financial Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Contingent upon program goals and objectives, generally 24 months. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. No progress reports are required. Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0402-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$40,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The maximum project period is 24 months.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/>. OJP Financial Guide

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance Policy Office, 810 Seventh Street NW, Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202-) 616-6500 or (1-866-) 859-

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/grant/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.810 RECOVERY ACT ASSISTANCE TO RURAL LAW ENFORCEMENT TO COMBAT CRIME AND DRUGS COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Pub. LPublic Law. 111-5 (the Recovery Act).

**OBJECTIVES:**

The Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program helps rural states and rural areas to prevent and combat crime, especially drug-related crime and provides for national support efforts, including training and technical assistance programs, strategically targeted to address rural needs.

In addition to fulfilling the program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation,

environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <http://www.ojp.usdoj.gov/recovery/>.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program helps to improve the capacity of rural local, tribal, and state law enforcement to prevent and combat crime, especially drug related crime. The Rural Law Enforcement Assistance funding will focus on comprehensive programs in the following areas: 1) combating rural crime; 2) improving rural law enforcement investigations; 3) enhancing rural corrections, detention, and jail operations; 4) facilitating rural justice information sharing; and 5) training and technical assistance. Hiring personnel to accomplish program goals for each category is an acceptable use of funds.

In addition, a percentage of this funding may be available to fund projects that conduct evaluation or research related to the overall objectives of the program. To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements.

By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination. Successful applicants are notified via GMS. Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to the Office of the Chief Financial Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Pursuant to the Recovery Act, certain financial and programmatic progress reports are required (including performance measure data) to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment

**Records:**

Grantee must keep complete records on the disposition of funds. Although Recovery Act funds may be used in conjunction with other funding as necessary to complete projects, tracking and reporting of Recovery Act funds must be separate, to meet the reporting and other requirements of the Recovery Act and other applicable law. There can be no commingling of funds.

**Account Identification:**

15-0402-1-1-754 - Treasury Symbol: 1509100402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$125,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Application Kit and Questions and Answers posted regularly on the OJP website at: <http://www.ojp.usdoj.gov/BJA/> . OJP Financial Guide

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance Policy Office, 810 Seventh Street NW, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202-) 616-6500 or (1-866-) 859-

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/grant/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.811 RECOVERY ACT - CORRECTIONAL FACILITIES ON TRIBAL LANDS****FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, (the Recovery Act); Section 20109 of the Violent Crime Control and Law Enforcement Act of 1994 (42 U.S.C. 13709).

**OBJECTIVES:**

The Recovery Act - Correctional Facilities on Tribal Lands Program provides resources to allow eligible American Indian tribes and Alaska Native villages to construct correctional facilities on tribal lands, with consideration given to the detention bed space needs and the violent crime statistics of the applicant tribe or village. The grant program will allow eligible tribes to apply for a grant within one or more of four categories: (1) construction of tribal detention facilities; (2) construction of multipurpose justice centers; (3) renovation of existing detention facilities; and (4) construction of alternative sentencing facilities and supervision of offenders subject to tribal jurisdiction.

In addition to fulfilling program-specific purposes, projects funded under the Recovery Act should be designed to further one or more of the general purposes of the Recovery Act, which are to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. For additional information on Office of Justice Programs Recovery Act Grant Programs, please visit the OJP website at <<http://www.ojp.usdoj.gov/recovery/>>.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This Program for Indian Tribes may be used to assist Indian tribes in developing or expanding correctional facilities for both adult and juvenile offenders. To the extent (if any) that this Recovery Act program permits recipients to use funds for construction, renovation, or related projects, the recipient should be aware that special restrictions may be applicable under particular sections of the Recovery Act. For example, see section 1605 of the Recovery Act (Buy American), section 1606 (wage rate requirements), section 1602 (preference for quick-start activities), and section 1554 (special contracting rules). Recipients should also be aware of the requirements of the

National Environmental Policy Act.

Under the Recovery Act, funds may not be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

Additional government-wide guidance that applies to Recovery Act programs may become available that could affect proposal narratives, time lines, budget requests, certifications and other matters, including appropriate uses of funds and restrictions on uses of funds. Interested applicants are encouraged to regularly check the OJP website for further information and updates. All recipients of any funding under the Recovery Act will be required to follow any and all applicable provisions of government-wide guidance that may be issued pursuant to the Recovery Act, even if that guidance is not reflected in this CFDA posting.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements that are specified in law, the program solicitation, and the program guidance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted online through the Office of Justice Programs Grant Management System (GMS) at <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as any additional program language

**Award Procedure:**

Successful applicants are notified via GMS. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Federal share of a grant-funded project may not exceed 90 percent of the total costs of the project. Match may be cash or in-kind.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made for between 18 and 60 months, based on the type of construction/renovation involved in the project. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the

end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. No cash reports are required. No progress reports are required. Additionally, pursuant to the Recovery Act, certain financial and programmatic progress reports (including complete performance measure data) are required to be submitted by each recipient of funds to OJP within 10 calendar days of the end of each calendar quarter, throughout the life of the grant. Reports should be submitted beginning July 10, 2009. Performance Measures: To fulfill the requirements of the Recovery Act and assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0402-1-1-754.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$225,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Office of Justice Programs Financial Guide, the Recovery Act Correctional Facilities on Tribal Lands program solicitation; application OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in Title 28 of the Code of Federal Regulations (28 C.F.R.CFR.).

Additional government-wide guidance pertinent to Recovery Act programs is available on [Recovery.gov](http://Recovery.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance Policy Office, 810 Seventh Street NW, Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202-) 616-6500 or (1-866-) 859-

**Website Address:**

<http://www.ojp.usdoj.gov/recovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of grants made under the Correctional Facilities on Tribal Lands grant program include regional detention centers and tribes on the Bureau of Indian Affairs priority list for new construction. Please visit web site for current information. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected on the basis of need for correctional facility space, demonstrated ability to operate the facilities, soundness of implementation plan, thoroughness of budget submission, and proposed strategy to measure impact/outcomes. Additionally, BJA considers BIAs priority list for facilities that are in need of repair or new construction.

**16.812 SECOND CHANCE ACT PRISONER REENTRY INITIATIVE**

Second Chance

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Second Chance Act of 2007 (H.R. 1593/S. 1060).

**OBJECTIVES:**

To facilitate inmates successful reintegration into society.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Second Chance Act of 2007 (H.R. 1593/S. 1060) provides a comprehensive response to the increasing number of people who are released from prison and jail and returning to communities. There are currently over 2.3 million individuals serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all prisoners incarcerated today will eventually be released and will return to communities. The Second Chance Act will help ensure the transition individuals make from prison or jail to the community is safe and successful. Section 101 of the Act provides (1) grants to state and local governments and federally recognized Indian tribes that may be used for demonstration projects to promote the safe and successful reintegration into the community of individuals who have been incarcerated, and (2) a National Adult and Juvenile Offender Reentry Resource Center.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via the Office of Justice Programs Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 C.F.R. Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Match is required for the state and local grants.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise specified in the awards special conditions, financial reports are due quarterly and progress reports are due semi-annually; in some cases, evaluation reports may be required. Please see above. As specified in the solicitation, performance measures are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est \$15,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Varies. In FY 2009, awards to state and locals are expected to be up to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide 2008 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA Office of Justice Programs, Bureau of Justice Assistance, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20351  
Phone: 202-616-6500 or 1-866- 859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/BJA>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Please contact the program office for more information.

**16.813 NICS ACT RECORD IMPROVEMENT PROGRAM**

(NARIP)

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

The NICS Improvement Amendments Act of 2007.

**OBJECTIVES:**

To improve the FBI's National Instant Criminal Background Check System (NICS) by providing assistance to States to improve the completeness, automation and transmittal to state and federal systems the records utilized by the NICS. Such records include criminal history records, records of felony convictions, warrants, records of protective orders, convictions for misdemeanor involving domestic violence and stalking, records of mental health adjudications, and others, which may disqualify an individual from possessing or receiving a firearm under federal law. Helping States to automate these records will also reduce delays for law-abiding gun purchasers.

The NICS Improvement Act amends the Brady Handgun Violence Prevention Act of 1993 (the Brady Act) (Pub. L. 103-159), under which the Attorney General established the National Instant Criminal Background Check System (NICS). The Brady Act requires Federal Firearms Licensees (FFLs) to contact the NICS before transferring a firearm to an unlicensed person for information on whether the proposed transferee is prohibited from receiving or possessing a firearm under state or federal law.

The NICS Improvement Act was enacted in the wake of the April 2007 shooting tragedy at Virginia Tech. The Virginia Tech shooter was able to purchase firearms from an FFL because information about his prohibiting mental health history was not available to the NICS and the system was therefore unable to deny the transfer of the firearms used in the shootings.

The Act seeks to address the gap in information available to NICS about such prohibiting mental health adjudications and commitments and other prohibiting backgrounds. Filling these information gaps will better enable the system to operate as intended to keep guns out of the hands of persons prohibited by federal or state law from receiving or possessing firearms.

The Act authorized two grant programs to assist states in providing certain information to the NICS, and prescribes grant penalties for non-compliance with the Acts record completeness goals.

Pursuant to the Act, there are certain conditions, described below, that a state must satisfy in advance of receiving grants under the Act.

The NICS Improvement Act has provisions that require states to meet specified goals for completeness of the records submitted to the Attorney General on individuals prohibited by federal law from possessing firearms. The records covered include automated information needed by the NICS to identify felony convictions, felony indictments, fugitives from justice, drug arrests and convictions, prohibiting mental health adjudications and commitments, domestic violence protection orders, and misdemeanor crimes of domestic violence. The Act provides for a number of incentives for states to meet the goals it sets for greater record completeness.

First, the Act allows states to obtain a waiver, beginning in 2011, of the state matching requirement under the National Criminal History Improvement Program (NCHIP) grant program, if a state provides at least 90 percent of its records identifying persons in specified prohibited categories.

Second, the Act authorizes grant programs described herein, which, pursuant to the Act, are being administered consistent with NCHIP, for state executive and judicial agencies to establish and upgrade information automation and identification technologies for timely submission of final criminal record dispositions and other information relevant to NICS checks.

Finally, the Act provides for discretionary and mandatory Byrne Justice Assistance Grant (JAG) program grant penalties, beginning 3 years after enactment, for non-compliance with specified record completeness

requirements within certain timeframes: after 3 years, 3 percent may be withheld in the case of less than 50 percent completeness; after 5 years, 4 percent may be withheld in the case of less than 70 percent completeness; and after 10 years, 5 percent shall be withheld in the case of less than 90 percent completeness (although the mandatory reduction can be waived if there is substantial evidence of the state making a reasonable effort to comply).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Act outlines the allowable uses of grant funds:

Grants to States:

Section 103 of the NICS Improvement Act, regarding implementation assistance to the states, provides that the grants "shall be used by the States and Indian tribal governments, in conjunction with units of local government and State and local courts, to establish or upgrade information and identification technologies for firearms eligibility determinations." In accordance with the Act, a grant to a state, territory or Indian tribes may only be used to:

Create electronic systems, which provide accurate and up-to-date information which is directly related to checks under the NICS, including court disposition and corrections records;

Assist states in establishing or enhancing their own capacities to perform NICS background checks;

Supply accurate and timely information to the Attorney General concerning final dispositions of criminal records to databases accessed by NICS;

Supply accurate and timely information to the Attorney General concerning the identity of persons who have a federally prohibiting mental health adjudication or commitment;

Supply accurate and timely court orders and records of misdemeanor crimes of domestic violence for inclusion in federal and state law enforcement databases used to conduct NICS background checks;

Collect and analyze data needed to demonstrate levels of state compliance with the Act; and

Maintain the required relief from disabilities program in accordance with the Act however, not less than 3 percent and no more than 10 percent of each grant shall be used for this purpose.

State Court Grants

Section 301 of the Act provides that grants shall be made to each state and territory, consistent with the states plans for the integration, automation, and accessibility of criminal history records, for use by the court systems to improve automation and transmittal to federal and state repositories of: (1) criminal history dispositions; (2) records relevant to determining whether a person has been convicted of a misdemeanor crime of domestic violence or a prohibiting domestic violence protection order; and (3) prohibiting mental adjudications and commitments. Further, the law provides that the amounts granted shall be used by the state court system only to:

Carry out, as necessary, assessments of the capabilities of state courts to automate and transmit arrest and conviction records, court orders, and mental health adjudications or commitments to federal and state record repositories; and

Implement policies, systems, procedures to automate and transmit arrest and conviction records, court orders, and mental health adjudications or commitments to federal and state record repositories.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, a detailed budget, a budget narrative, and a program narrative describing how funds would be utilized. Applicants must also furnish a NICS Record Improvement

Plan as part of the application which reflects (a) the formation of a NICS Record Improvement Task Force, an assessment of the quality and availability of qualifying NICS records in the State, obstacles preventing full and complete transmission to the NICS of the available records, and strategies planned to address such challenges and achieve completeness goals. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A potential grantee should contact the Headquarters Office, Devon B. Adams, NARIP Program Administrator, Bureau of Justice Statistics, U.S. Department of Justice, Washington, DC 20531; Telephone: (202) 307-0765, or E-mail: Devon.Adams@usdoj.gov, to obtain a copy of the current program announcement. The standard application forms as furnished by the Office of Justice Programs (OJP), in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Office of Justice Programs (OJP) now requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which can be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Hearing by Director of BJS.

**Renewals:**

Awards may be for up to 12 months. Activities must be completed by September 30, 2010.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period will be for up to 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP). See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports are required that present information relevant to the performance of the project. They must be submitted online through GMS for reporting periods ending June 30th and December 31st. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award must be submitted quarterly online through GMS. Data related to the performance measures outlined in the solicitation must be submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend

\$500,000 or more in Federal funds (from all sources including passthrough sub awards) in the organizational fiscal year (12 month turn around reporting period) shall have a single organizational audit conducted in accordance with the provisions of OMB Circular A133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from audit requirements for that year.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least 3 years following the closure of the most recent audit report.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Devon B. Adams Bureau of Justice Statistics, Department of Justice, Washington, District of Columbia 20531 Email: Devon.Adams@usdoj.gov Phone: (202) 307-0765

**Website Address:**

<http://www.ojp.usdoj.gov/bjs>

**RELATED PROGRAMS:**

16.554 National Criminal History Improvement Program (NCHIP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.814 NORTHERN BORDER PROSECUTION INITIATIVE PROGRAM**

Northern Border (NBPI)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law No. 111-8, 123 Stat. 524, 580 authorizes the reimbursement of county and municipal governments in Alaska, Idaho, Maine, Michigan, Minnesota, Montana, New Hampshire, New York, North Dakota, Ohio, Pennsylvania, Vermont, Washington, and Wisconsin for specific categories of expenses associated with the handling and processing of federally initiated cases along the Northern Border.

**OBJECTIVES:**

To reimburse State, county, parish, tribal, or municipal governments only for costs associated with the prosecution of criminal cases declined by local U.S. Attorneys' offices.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

While funds from Northern Border Prosecution Initiative federal payments may be used by applicant jurisdictions for any purpose not otherwise prohibited by federal law, using funds for the support and enhancement of prosecutorial and detention services is encouraged.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No formal preapplication coordination is required. Previous year applicants are notified two to three weeks prior to the opening of each application period. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Northern Border Prosecution Initiative system: <http://www.ojp.usdoj.gov/BJA/grant/northernborder.html>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

Applications are reviewed and approved on the basis of their adherence to program guidelines and funding availability. Applicants will receive up to 100 percent of eligible case costs, based on the availability of funds. Should application amounts exceed available funding, applicants will receive funds on a uniform, pro-rata basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation. Consult the Application Kit or contact the Bureau of Justice Assistance in the office of Justice Programs for application deadline.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Please contact program office for more assistance.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Documents supporting a federally initiated and declined/referred case must be retained for three years after the submission of the case for NBPI funds. Documents can include paper or electronic case files, e-mails from the U.S. Attorneys Office, case notes, or documentation of telephone or face-to-face meetings with U.S. Attorneys Office staff or federal law enforcement officials.

**Account Identification:**

15-0404-0-1-754.



**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$26,374; FY 09 est \$3,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Applicants do not request an amount. Instead their award is based on available funding and the number of eligible cases. There is no maximum project period associated with this program since it is a payments reimbursement program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The NBPI system is in the process of being completed to allow potential grantees on the Northern Border to apply for this funding. The Bureau of Justice Assistance expects to open the online application in mid June. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the NBPI website:

<http://www.ojp.usdoj.gov/BJA/grant/northernborder.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Joseph Husted, Bureau of Justice Assistance, State Policy Office, 810 Seventh Street N.W., Washington, District of Columbia 20531 Email: [joseph.husted@usdoj.gov](mailto:joseph.husted@usdoj.gov) Phone: (202) 353-4411 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/BJA/grant/northernborder.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**DEPARTMENT OF LABOR****17.002 LABOR FORCE STATISTICS****FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 58-57, 62-426, 71-537, 82-203, 93-203, 93-567, 94-206, 94-311, and 94-369; 29 U.S.C. 1, 2, 2b,5, 8, 882, 1601.

**OBJECTIVES:**

To provide statistical data on labor force activities and to provide data for analyzing the effect of current and long-run economic developments on employment trends.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds in the form of cooperative agreements are available to State Agencies designated by the Governor, usually State Workforce Agencies (SWA), for staffing, travel, equipment, expenses, and indirect costs of statistical business process operations such as sample refinement, data collection, non-response follow-up, data review and editing, estimation, data analysis, and data dissemination.

**Applicant Eligibility:**

SWAs designated under Section 4 of the Wagner-Peyser Act are eligible to apply for cooperative agreement funding to operate the Current Employment Statistics (CES), Local Area Unemployment Statistics (LAUS), Quarterly Census of Employment and Wages (QCEW), Occupational Employment Statistics (OES), and Mass Layoff Statistics (MLS) programs in the States. BLS may select an alternative applicant if a SWA declines to apply for cooperative agreement funding or otherwise substantially fails to meet BLS application and performance requirements. Requests for technical information may be made by the general public.

**Beneficiary Eligibility:**

General public may request information from the SWAs and the Bureau of Labor Statistics.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Draft and final applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics according to a schedule of key dates. Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:**

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the SWA.

**Deadlines:**

Jul 01, 2009: Cooperative agreements which cover a given Federal fiscal year are executed prior to the beginning of the fiscal year (October 1). Cooperative agreements which cover a given Federal fiscal year are executed prior to the beginning of the fiscal year (October 1).

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Guidelines and application materials are mailed to SWA in mid-May. Initial drafts are required by early July, and final applications by August 31. The cooperative agreements are executed by mid-September, and become effective October 1.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate SWAs.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreement funding generally is for a single fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

LMI Cooperative Agreement reporting requirements are based on the SWAs Cost Accounting System (CAS) reports or their Financial Accounting and Reporting System (FARS) equivalents. CAS report 65, or FARS Report 11, is submitted monthly. CAS reports 61, and 94B, or FARS Report 12A and 17, are submitted quarterly. SWAs choosing not to use the CAS- or FARS- generated reports must submit the LMI Cooperative Statistics Financial Report in lieu of CAS reports 61, 65 and 94B or FARS reports 11, 12A and 17. This report is submitted monthly for data which would appear on CAS report 65 or FARS report 11, and quarterly for CAS reports 61 and 94B, or FARS reports or 12A and 17. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Recordkeeping is in accordance with 29 CFR 97, implementing OMB Circular A-102.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 08 \$242,650,463; FY 09 est \$266,470,000; FY 10 est \$276,292,000 - (Grants) FY 08 \$80,287,900; FY 09 est \$88,265,000; FY 10 est \$89,595,000.

**Range and Average of Financial Assistance:**

The size of each cooperative agreement reflects the staff and non-personal resources required to operate the programs in a State. The range of awards in fiscal year 2008 is from \$58,000.00 (Guam) to \$7,637,871.00 (California). The average is \$1,486,813.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal year 2007 activities: Labor force survey-approximately 60,000 in monthly sample; employment, hours and earnings survey - about 390,000 establishments in the monthly sample; occupational employment and wage statistics - 400,000 establishments surveyed during the year; State and local area unemployment statistics-monthly publications for approximately 7,200 areas; data from 9.1 million establishments providing monthly employment and quarterly wages of workers covered by State unemployment insurance program; publication of new series on Business Employment Dynamics at the state level of job creation and destruction, expansions, and contractions; monthly and quarterly reporting and publication of mass layoffs and plant closings; work on the 2006-2016 projections and on the 2008-09 editions of the Occupational Outlook Handbook, Career Guide to Industries, and Occupational Projections and Training Data; and monthly publication of measures of job openings and labor turnover, including hires and separations. Release 2006 time use microdata and estimates. Fiscal Year 2009: Fiscal year 2008 activities: Current Employment Statistics survey - about 390,000 establishments in the monthly sample; Occupational Employment Statistics survey - 400,000 establishments surveyed during the year; State and local area unemployment statistics-monthly publications for approximately 7,200 areas; data from 9.1 million establishments providing monthly employment and quarterly wages of workers covered by State unemployment insurance program; publication of new series on Business Employment Dynamics at the state level of job creation and destruction, expansions, and contractions; and monthly and quarterly reporting and publication of mass layoffs and plant closings. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Employment and Earnings;" "Monthly Labor Review;" "Occupational Employment and Wages;" BLS Handbook of Methods;" "Major Programs of the Bureau of Labor Statistics;" "Publications of the Bureau of Labor Statistics;" "Handbook of Labor Statistics;" "Unemployment in States and Local Areas;" "Geographic Profile of Employment and Unemployment;" and "Employment and Wages." Monthly Press Releases: "The Employment Situation;" "Metropolitan Area Employment and Unemployment;" "Regional and State Employment and Unemployment;" "Real Earnings;" and "Mass Layoffs." Quarterly Press Releases: "County Employment and Wages," "Business Employment Dynamics," and "Extended Mass Layoffs." Cooperative agreement application instructions, including all applicable regulations, are available from Bureau of Labor Statistics regional offices free of charge.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Harper 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-5600

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.001 Census Bureau Data Products; 11.005 Census Special Tabulations and Services; 11.025 Measures and Analyses of the U.S. Economy; 17.004 Productivity and Technology Data; 17.005 Compensation and Working Conditions

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.003 PRICES AND COST OF LIVING DATA****FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 62-426, 71-537, and 94-206, 29 U.S.C. 1-2.

**OBJECTIVES:**

To provide statistical data for assisting in the evaluation of consumer, producer, export and import prices and price changes, and consumer expenditures.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Provides for Consumer Price Indexes (CPI) which measure changes in prices of goods and services consumed by all urban households as well as urban wage earners and clerical workers. As the basis for most estimates of changes in the purchasing power of the consumer's dollar, the CPI is a major economic indicator and has widespread use in escalation adjustments in both private and public sectors. Provides for Producer Price Indexes (PPI) which measure average changes in selling prices received by domestic producers for their output and which are widely cited within price escalation clauses of long term sales contracts to protect both parties against inflation. Provides Export and Import Price Indexes to measure the effect of international trade prices on U.S. economy. The Consumer Expenditure (CE) Surveys provide periodic updates to the market basket and the weights used to calculate the CPI. In addition, the CE supplies information on consumers' spending and income by characteristics such as income, age, race, family size, and region.

**Applicant Eligibility:**

Request for information may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 08 \$177,840,778; FY 09 est \$198,464,000; FY 10 est \$201,081,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the Consumer Price Indexes (CPI), Producer Price Indexes (PPI), International Price Indexes (IPP), and Consumer Expenditure Surveys (CE) continued regular publication of price statistics data. During 2008, the CPI program continued publication of the new superlative measure of changes in living costs. The new measure more fully reflected the impact of changes in relative prices on consumers. IPP offered its new web-based repricing collection to 95 percent of its respondents. PPI began publishing price indexes for nonresidential construction and special trades with the publication of prices indexed for four specialty trade construction industries. In 2008, the CE added questions about the new tax rebate and began collecting the data, revised and tested changes to the upcoming 2009 Interview questionnaire. Fiscal Year 2009: In fiscal year 2009, the Consumer Price Indexes (CPI), Producer Price Indexes (PPI), International Price Indexes (IPP), and Consumer Expenditure Surveys (CE) continue, as will regular publication of data from these price statistics programs. During 2009, the CPI program will continue publication of the new superlative measure of changes in living costs. The new measure more fully reflects the impact of changes in relative prices on consumers. As part of its 2009 initiative, the CPI will begin work on introducing a new sample of housing units and a process for updating these units on a continuous basis. IPP will offer its new web-based repricing collection to 100 percent of its respondents by the end of 2009. PPI will publish a new group of wherever-provided services indexes, adding to its current product line of commodity-based indexes. In 2009, the CE will implement changes to the interview questionnaire to improve wording, streamline the question flow, and collect new products and services. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Consumer Price Index"; "Producer Price Index"; "Export Price Index"; "Import Price Index"; "Consumer Expenditure Survey," "Monthly Labor Review"; "BLS Handbook of Methods," BLS Bulletin 2490; "Major Programs of the Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics."

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael W. Horrigan 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-6960

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

10.950 Agricultural Statistics Reports; 11.025 Measures and Analyses of the U.S. Economy; 17.005 Compensation and Working Conditions

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.004 PRODUCTIVITY AND TECHNOLOGY DATA****FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 54-249, 62-426, 71-537, 76-77, and 94-206, 29 U.S.C. 1, 29 U.S.C. 2b.

**OBJECTIVES:**

To provide and analyze data on productivity in major sectors of the U.S. economy and specific industries and develop productivity and other measures for selected countries.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Provides for: (a) Productivity measures of output per hour of all persons for the business sector and for major sub-sectors; (b) multifactor productivity indexes (output per unit of combined labor and capital inputs) for private business, private nonfarm business, manufacturing, and major industries, and indexes of output per unit of capital; (c) multifactor productivity measures for selected industries including capital, labor, energy, materials, and purchased business services inputs; (d) industry measures of output per hour, unit labor costs, and related data for selected industries; and (e) international comparisons of productivity; hourly compensation; labor force, unemployment and employment rates; and consumer prices.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 08 \$10,839,212; FY 09 est \$11,706,000; FY 10 est \$11,904,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly labor productivity and cost measures for major sectors are published regularly. Multifactor productivity measures for major-sectors, and industry labor and multifactor productivity measures are published each year. International comparisons of productivity, compensation, and unemployment are also ongoing activities of this Office. Approximately 23 reports, studies, and articles were completed in fiscal year 2008, and 3,024 labor productivity and international comparative series were updated. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"BLS Handbook of Methods"; "Major Programs Bureau of Labor Statistics"; "BLS Publications on Productivity and Technology"; "Estimating Capital Inputs for Productivity Measurement: An Overview of Concepts and Methods"; "The Impact of Research and Development on Productivity Growth"; "Trends in Multifactor Productivity, 1948-81"; "Labor Composition and U.S. Productivity Growth, 1948-90"; "Monthly Labor Review."

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Harper 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-5600

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.025 Measures and Analyses of the U.S. Economy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.005 COMPENSATION AND WORKING CONDITIONS**

**FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 62-426, 71-537, 91-596 and 94-206, 29 U.S.C. 1-2; 29 U.S.C. 2b; 29 U.S.C. 4; 5 U.S.C. 5305; 29 U.S.C. 651; 29 U.S.C. 673.

**OBJECTIVES:**

To provide timely and relevant data on levels and trends in wages; employee benefits; occupational safety and health; and work stoppages.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides the following information: (A) trend data on employee wages and compensation; (B) occupational wage data in about 150 localities nationwide and studies of employee benefits plans; (C) national and State data on occupational injuries, illness and fatalities; and (D) information on work stoppages. It also makes available funds in the form of cooperative agreements to State agencies or designated local governments for collection of data on occupational injuries, illnesses, and fatalities. The Occupational Safety and

Health Statistics program authorizes funds on a matching basis to States or local governments to assist them in developing and administering programs.

**Applicant Eligibility:**

State agencies or designated local governments are eligible to apply for cooperative agreement funding to share costs in operating statistical programs dealing with occupational safety and health statistics. Request for copies of published studies and reports may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the catalog. Applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics.

**Award Procedure:**

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the State or local government.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The typical process would include guidelines and application material being mailed to State or local government in early summer, with initial drafts required by mid-summer, and final applications due by late summer. Cooperative agreements are executed by early-September and become effective October 1.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate State or local governments.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreement funding generally is for a single fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Cooperative agreements with State or local government specify quarterly financial reports and periodic program reports. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, in Federal Register June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping is in accordance with 29 CFR 97 (implementing OMB Circulars No. A-102 and No. A-110).

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 08 \$82,147,990; FY 09 est \$86,881,000; FY 10 est \$88,151,000 - (Grants) FY 08 \$5,911,735; FY 09 est \$6,574,000; FY 10 est \$6,574,000.

**Range and Average of Financial Assistance:**

The size of each cooperative agreement reflects the staff and nonpersonal resources required to operate the program. The range of awards in fiscal year 2008 is from \$4,100 (Idaho) to \$642,100 (California). The average is \$111,542.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The Office of Compensation and Working Conditions (OCWC) produces statistics in the areas of employee compensation, working conditions, and safety and health. Major programs within OCWC include the National Compensation Survey (NCS) and Occupational Safety and Health Statistics (OSHS). The NCS program provides comprehensive measures of occupational wages, employment cost trends, benefit incidence, and detailed benefit plan provisions. Throughout the year the NCS program published data on occupational earnings for metropolitan and non-metropolitan areas, broad geographic regions, and on a national basis. The index component of the NCS, the Employment Cost Index (ECI), measures changes in labor costs and was published quarterly. Average hourly employer costs were also presented quarterly by the NCS in the Employer Costs Index for Employee Compensation (ECEC). The OSH program produces data on illnesses and injuries on the job and data on worker fatalities. The Survey Occupational Injuries and Illnesses (SOII) within the OSHS program produced annual statistics on nonfatal occupational injuries and illnesses including industry counts and frequency rates as well as information on the characteristics of cases and affected workers for nonfatal injuries and illnesses requiring days away from work. Fatality data come from the Census of Fatal Occupational Injuries (CFOI) data were also produced for metropolitan areas. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NCS national news releases on Employee Benefits in the U.S., the Employment Costs Index, and Employer Costs for Employee Compensation; NCS regional news releases on compensation data for localities and metropolitan area Employment Costs Index data; NCS publications on wages at the national level, census division level, and localities; NCS publications on benefits at the national level; monthly releases on Major Work Stoppages and an annual summary; OSHS news releases on occupational injuries, illnesses and fatalities; OSHS publications on injuries, illnesses, and fatalities at the national and State level; other information about these programs can be found in "Major Programs of the Bureau of Labor Statistics," "Bureau of Labor Statistics Customer Service Guide," and "BLS Handbook of Methods."

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

William Wiatrowski 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-6300

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

17.002 Labor Force Statistics; 17.003 Prices and Cost of Living Data

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Acceptable application and specific program deliverables and cost.

**17.150 EMPLOYEE BENEFITS SECURITY ADMINISTRATION (EBSA)**

**FEDERAL AGENCY:**

Employee Benefits Security Administration, Department of Labor

**AUTHORIZATION:**

Employee Retirement Income Security Act of 1974, Public Law 93-406.

**OBJECTIVES:**

The primary mission of EBSA is to protect the pension health and other benefits of American workers and their families. EBSA is committed to educating and assisting the 150 million Americans covered by more than 679,000 private retirement plans, 2.5 million health plans, and similar numbers of other welfare benefit plans, as well as, plan sponsors and members of the employee benefits community. EBSA promotes voluntary compliance and facilitates self-regulation, working diligently to provide quality assistance to plan participants and beneficiaries. It is the policy of EBSA to provide the highest quality of service to stakeholders and the regulated community. EBSA carries out its mission by: (1) deterring and correcting violations of ERISA; (2) helping plan officials understand and comply with the legal requirements of ERISA; (3) educating workers on their benefit rights; and, (4) developing policies that encourage the growth of employment-based benefits.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Plan professionals, participants and beneficiaries of employee pension, health care and welfare benefit plans obtain information about the legal requirements for plan administration, plan provisions, financial operations or how to obtain a benefit.

**Applicant Eligibility:**

Plan administrators, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration may obtain assistance in complying with the Act. Interested persons may obtain certain plan documents which are required to be filed by plan administrators.

**Beneficiary Eligibility:**

Plan officials, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the nearest field office of the Employee Benefits Security Administration listed in Appendix IV of the Catalog, EBSA's web site at [www.dol.gov/ebsa](http://www.dol.gov/ebsa) or EBSA's hotline at (1 866) 444-EBSA (3272). (Participants and beneficiaries should first contact their plan administrator for plan information.)

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1700-0-1-601.

**Obligations:**

(Salaries) FY 08 \$139,304,000; FY 09 est \$143,400,000; FY 10 est \$156,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: EBSA is proactive in its efforts to enhance pension and health benefits security. In this regard, EBSA's customer service staff provides assistance to approximately 150,000 participants, employers and plan administrators each year. The nature of assistance ranges from receiving information brochures, booklets and/or regulations to individualized assistance relative to a specific problem along with information on how the law applies, sometimes resulting in a direct or indirect recovery of an appropriate benefit.

As part of its technical assistance program, EBSA conducts educational outreach workshops and participates in additional outreach conferences sponsored by professional organizations. Additionally, through its enforcement program, EBSA actions resulted in monetary recoveries to employee benefit plans of approximately \$1.2 billion in fiscal year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the final regulations, proposed regulations, and other directives are available from the national office or on EBSA's website at [www.dol.gov/ebsa](http://www.dol.gov/ebsa). Certain audio-visual material also are available for hearing-impaired audiences. EBSA publishes a variety of free publications directed to employers and participants which can be obtained from its website and its publication hotline at (1 866) 444-EBSA (3272).

**Regional or Local Office:**

See Regional Agency Offices. Persons desiring assistance should contact the nearest Department of Labor, Employee Benefits Security Administration field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gloria Della Employee Benefits Security Administration, Department of Labor, 200 Constitution Avenue, NW., Room N5623, Washington, District of Columbia 20210 Phone: 202-693-8666

**Website Address:**

<http://www.dol.gov/ebsa>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.151 EMPLOYEE BENEFITS SECURITY ADMINISTRATION (EBSA)**

COBRA Premium Assistance

**FEDERAL AGENCY:**

Employee Benefits Security Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 Stat. 123, Section 3001(5). Section 3001(a)(5) of the American Recovery and

Reinvestment Act of 2009, Public Law 111-5 Stat. 123, Section 3001, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 contains COBRA premium assistance provisions that expand COBRA eligibility and provide eligible individuals with a 65 percent reduction of their COBRA premiums for up to 9 months. If eligible, these individuals pay only 35 percent of their COBRA premiums to the plan and the remaining 65 percent is paid by the employer through a payroll tax credit.

Section 3001(a)(5) of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 Stat. 123 allows individuals who have been denied COBRA premium assistance by their ERISA-covered group health plans to seek expedited review of the denials from the Secretary of Labor. The Act further directs the Secretary to (1) develop and issues models notices to be used by group health plans to notify terminating employees of their rights under COBRA and potential right to the premium assistance; (2) Conduct an aggressive outreach and education effort to educate plan participants and plan administrators about these new provisions and (3) to establish a process for the individuals who have been denied the COBRA Premium Assistance to seek the Secretary's expedited review. The Secretary is required to make a determination of an individual's eligibility within 15 business days after receiving an application for review. The Employee Benefits Security Administration has been delegated the responsibility and authority for making these determinations and has established an adjudication process to review these applications.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Individuals denied the COBRA Premium Assistance made available under the American Recovery and Reinvestment Act may seek an expedited review of that denial by the Secretary of Labor. Individuals denied COBRA Premium Assistance made available under the American Recovery and Reinvestment Act may seek an expedited review of that denial by the Secretary of Labor.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants must complete the Application to the Department of Labor for Expedited Review of Denial of COBRA Premium Reduction and submit relevant documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications may be mailed to Department of Labor, EBSA, Attn: COBRA Appeals, PO Box 78038, Washington, DC. 20013-8038 or filed electronically at <http://www.dol.gov/ebsa/COBRA>.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: No information provided.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-1700-0-1-601 - TAFS: 169/0/1700.

**Obligations:**

(Insurance) FY 08 \$0; FY 09 est \$5,925,000; FY 10 est \$3,780,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the final regulations, proposed regulations, and other directives are available from the national office or on EBSA's website at [www.dol.gov/ebsa](http://www.dol.gov/ebsa). COBRA. Certain audio-visual materials also are available for hearing-impaired audiences. EBSA publishes a variety of free publications directed to employers and participants which can be obtained from its website and its publication hotline at 1-866 444-EBSA (3272)

**Regional or Local Office:**

None.

**Headquarters Office:**

Teresa Thomas/DOL/EBSA 200 Constitution Ave., NW  
Room N5623, Washington, District of Columbia 20210 Phone: 1-866-444-3272

**Website Address:**

<http://www.dol.gov/ebsa/cobra>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.201 REGISTERED APPRENTICESHIP AND OTHER TRAINING****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

National Apprenticeship Act of 1937 (Fitzgerald Act), Title 29, Part 29, Public Law 075-75-308, 50 Stat. 664, 29 U.S.C 50-50a-50b.

**OBJECTIVES:**

To stimulate and assist industry in the development, expansion, and improvement of Registered Apprenticeship and other training programs designed to provide the skilled workers required by U.S. employers, ensure equal employment opportunities in Registered Apprenticeship and other training programs, and ensure the quality of all new and existing Registered Apprenticeship programs.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Under the Office of Apprenticeship (OA), apprenticeship training programs and apprentices are registered in 25 States. OA also provides technical assistance and works closely with State Apprenticeship Agencies (SAAs) in the remaining 25 States, the District of Columbia, and three territories that register programs and apprentices in accordance with Federal standards. OA provides information on existing and recommended standards of training in Registered Apprenticeship as well as on other types of industrial skill improvement programs. The wage rates of apprentices in registered programs (Federal and State) are exempt from the prevailing wage requirements of the Davis-Bacon Act and the Service Contract Act. Registered Apprenticeship is the combination of learning on-the-job and related technical and theoretical instruction in a skilled occupation. Registered programs are driven directly by the demands of the labor market. The training is industry-driven, voluntarily sponsored by individual employers, employer associations, and/or by joint employer-employee groups. OA brings these entities together, as appropriate, to formulate Registered Apprenticeship training programs which meet the federal standards. Various educational institutions and sponsors provide theoretical and related instruction. Special efforts are being made to introduce the apprenticeship concept of training into high-growth/emerging industries and occupations and also to build a pipeline of skilled workers, particularly in the health care, green jobs, and advanced manufacturing sectors. The Advisory Committee on Apprenticeship, representing employers, labor, vocational education, and others with an interest in skill training, advises the Secretary of Labor on apprenticeship and training issues. Special grants are provided to eligible organizations to assist employers and labor unions in placement and retention of women in apprenticeship and nontraditional occupations.

**Applicant Eligibility:**

Employers, a group of employers, or an association of employers, or individual employers with or without in each case the participation of a labor union. For grants: community based organizations, which may be faith based - see announcement of solicitation for grant applications.

**Beneficiary Eligibility:**

Individuals applying for acceptance into an apprenticeship training program must be at least 16 years old and must satisfy the apprenticeship program sponsor that they have sufficient ability, aptitude, and education to master the rudiments of the trade/occupation and to satisfactorily complete the related theoretical instruction required in the program.

**Credentials/Documentation:**

Along with the completed application form, each prospective apprentice may be required by the sponsor to submit a transcript of school subjects and grades, proof of age, an honorable military discharge (if applicable), and a high-school diploma or equivalence certificate (if applicable). References from all previous employers may be required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prospective program sponsors must meet with an OA or SAA field representative, as appropriate, to draw up a set of apprenticeship training program standards. These include the age and educational background of apprentices, and a schedule of the work processes and related theoretical instruction subjects to be covered during the training program. The program will be registered if it meets Federal requirements covering (a) the apprenticeability of the occupation(s) and (b) the suitability of the training standards for providing apprentices with sufficient knowledge to become skilled workers. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that

demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Not applicable for advisory services and counseling type of assistance. Procedures for grant projects are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For grants, from 45 to 90 days.

**Appeals:**

From 15 to 30 days. OA refusal to register programs and OA de-registration of existing programs may be appealed to the OA Administrator as provided in Title 29 CFR Part 29. For grants, procedures for each project are specified in the applicable request for proposals.

**Renewals:**

Reinstatement of program registration is set out in Title 29 CFR Part 29.9.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For grants, procedures for each project are specified in the applicable request for proposals. See the following for information on how assistance is awarded/released: For grants, procedures for each project are specified in the applicable request for proposals.

**Reports:**

No program reports are required. No cash reports are required. The program sponsor reports new apprentice registrations, suspensions, cancellations, completions, and program status to the OA or SAA field representative. Quarterly financial reports are normally required for grants. See SGA for further information. Quarterly performance reports are normally required for grants. See SGA for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For grants, this program is subject to audits by the Department of Labor or other authorized Government agencies. Not applicable for advisory services and counseling type of assistance.

**Records:**

Apprenticeship selection records showing compliance with the nondiscrimination requirements set out in Title 29 CFR Part 30 are required to be kept for 5 years. Also, recording and maintenance of all records concerning apprenticeship as may be required by OA or recognized SAA and other applicable law as provided in Title 29 CFR Part 29.

**Account Identification:**

16-0172-0-1-504 - Federal Salaries and Expenses; 16-0174-0-1-504 - Project Grants.

**Obligations:**

(Salaries) FY 08 \$22,000,000; FY 09 est \$21,000,000; FY 10 est \$28,000,000. (Project Grants) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000 - WANTO.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website: [http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2009: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found in Title 29 CFR 29: "Labor Standards for the Registration of Apprenticeship Programs"; Title 29 CFR Part 30: "Equal Employment Opportunity in Apprenticeship and Training".

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office Persons are encouraged to communicate with the Regional Directors of the Office of Apprenticeship (OA), as appropriate. The Regional Directors are the following: Region I (Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, Virgin Islands), Ms. Jill Houser, Boston Regional Director, USDOL/ETA/OA, JFK Federal Building, Room E 370, Boston, MA 02203, Telephone (617) 788-0177, FAX (617) 788-0304, E-mail: [houser.jill@dol.gov](mailto:houser.jill@dol.gov); Region II (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia), Mr. Joseph T. Hersh, Philadelphia Regional Director, USDOL/ETA/OA, 170 S. Independence Mall West, Suite 820 East, Philadelphia, PA 19106, Telephone (215) 861-4830, FAX (215) 861-4833, E-mail: [hersh.joseph@dol.gov](mailto:hersh.joseph@dol.gov); Region III (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Mr. Garfield G. Garner, Jr., Atlanta Regional Director, USDOL/ETA/OA, 61 Forsyth Street, SW, Room 6T71, Atlanta, GA 30303, Telephone (404) 302-5478, FAX (404) 302-5479, E-mail: [garner.garfield@dol.gov](mailto:garner.garfield@dol.gov); Region IV (Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming), Mr. Steven D. Opitz, Dallas Regional Director, USDOL/ETA/OA, Federal Building, Room 303, 525 S. Griffin Street, Dallas, TX 75202, Telephone (972) 850-4681, FAX (972) 850-4688, E-Mail: [opitz.steve@dol.gov](mailto:opitz.steve@dol.gov); Region V (Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin), Mr. Dean Guido, Chicago Regional Director, USDOL/ETA/OA, 230 South Dearborn Street, Room 656, Chicago, IL 60604, Telephone (312) 596-5500, FAX (312) 596-5501, E-Mail: [guido.dean@dol.gov](mailto:guido.dean@dol.gov); Region VI (Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Washington), Mr. Michael W. Longueay, San Francisco Regional Director, USDOL/ETA/OA, 90 Seventh St., Suite 17-100, San Francisco, CA 94103, Telephone (415) 625-2230, FAX (415) 625-2235, E-Mail [longueay.michael@dol.gov](mailto:longueay.michael@dol.gov).

**Headquarters Office:**

Anna Velez USDOL/ETA/OA, Room N-5311  
Frances Perkins Building  
200 Constitution Ave., NW, Washington, District of Columbia 20210 Email: [velez.anna@dol.gov](mailto:velez.anna@dol.gov) Phone: (202) 693-3812 Fax: (202) 693-3799

**Website Address:**

<http://www.doleta.gov/oa>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.260 WIA Dislocated Workers; 17.303 Wage and Hour Standards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Six grants have been awarded under the Women in Apprenticeship and Nontraditional Occupations (WANTO) program, which is jointly administered by the Womens Bureau and the Employment and Training Administrations Office of Apprenticeship. Three grants were awarded in June 2007 and another three in June 2008. The total amount awarded was \$2 million dollars among the six grantees. The Department emphasized training women for jobs in the construction industry. The purpose



of WANTO grants is to increase the number of women entering and remaining in apprenticeships associated with non-traditional occupations. Grant funds are provided to eligible community-based organizations that, in turn, provide technical assistance to help employers and labor unions place and retain women in apprenticeships that are in nontraditional occupations. Fiscal Year 2009: NA. Fiscal Year 2010: NA.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.207 EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Wagner-Peyser Act of 1933, 48 Stat. 113; The American Reinvestment and Recovery Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

To assist persons to secure employment and workforce information by providing a variety of job search assistance and information services without charge to job seekers and to employers seeking qualified individuals to fill job openings.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

The Wagner-Peyser Act of 1933 established a nationwide system of public employment offices which is known as the Employment Service. Wagner-Peyser was amended by the Workforce Investment Act of 1998, making the Employment Service part of the One-Stop Career Center delivery system. Wagner-Peyser funded activities are an integral part of the One-Stop Career Center delivery system that provides an integrated array of high-quality services so that workers, job seekers, and businesses can access the services they need under one roof in easy-to-reach locations, with many services also offered through self-service electronic access.

These services include assessment of skill levels, abilities, and aptitudes, career guidance when appropriate, job search workshops, and referral to jobs or training as appropriate. The services offered to employers, in addition to referral of job seekers to job openings, include matching job requirements with job seeker experience, skills and other attributes, helping with special recruitment needs, assisting employers analyze hard-to-fill job orders, assisting with job restructuring and helping employers deal with layoffs.

Additional services may include: 1) a computerized career information system including access to state job bank resources and institutions and organizations that provide training; 2) the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries.

These Wagner-Peyser-funded programs involve a Federal-state partnership between the U.S. Department of Labor (DOL), Employment and Training Administration (ETA) and the state workforce agency. The Federal government provides general direction, funding, and oversight.

In addition the Federal government partners with states to provide tools and resources, such as development and maintenance of the Occupational Information Network (O\*NET), The Projective Managing Partnership, the Analyst Resource Center and CareerOneStop ([www.careeronestop.org](http://www.careeronestop.org)). CareerOneStop is a self-service, integrated suite of workforce information Web sites that provide career resources and workforce information to businesses, job seekers, students, and workforce professionals. CareerOneStop includes: 1. Career InfoNet ([www.careerinfonet.org](http://www.careerinfonet.org)), which helps individuals explore their career opportunities to make informed career choices by providing national, state, and local career information and workforce data; 2. America's Service Locator ([www.servicelocator.org](http://www.servicelocator.org)), which connects individuals to employment

and training opportunities available at their local One-Stop Career Center and links them to a range of local workforce services; 3. O\*Net Online (<http://online.onetcenter.org>) is the nation's primary source of occupational skills and competency information, providing comprehensive information on key attributes and characteristics of workers and occupations; and 4. Competency Model Clearinghouse ([www.careeronestop.org/CompetencyModel](http://www.careeronestop.org/CompetencyModel)), which provides access to competency models for careers in high-growth industries, giving educators, the workforce system, and businesses a common industry-driven framework for developing curriculum, and increasing awareness of industry skill requirements.

Under Wagner -Peyser Act Section 7(b), ten percent of the total sums allotted to each state workforce agency shall be reserved for use by the governor to provide performance incentives; services for groups with special needs; and for the extra costs of exemplary models for delivering job services. In addition, a Toll Free Help Line is funded to provide customer service: 1-877-US2-JOBS or TTY 1-877-889-5627. The funds must be used for labor exchange activities, labor market, and workforce information purposes. Training is not an allowable activity.

**Applicant Eligibility:**

States, the District of Columbia, Virgin Islands, Puerto Rico, and Guam.

**Beneficiary Eligibility:**

All employers seeking workers, persons seeking employment, and associated groups. Priority of service is given to veterans and other covered persons. Veterans should receive priority referral to jobs, as well as specialized employment services and assistance. In addition, the system provides specialized services to individuals with disabilities, as well as groups such as Indians and Native Americans, migrant and seasonal farmworkers, ex-offenders, youth, and older workers.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State workforce agencies are provided preliminary planning estimates in January of each year preceding the program year for which funds are allotted. Final planning estimates are issued annually by late March. The standard application forms furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provides detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in regulations.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title The Wagner-Peyser Act , Chapter Section 6 (b)(4), Public Law 29 U.S.C. 493.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula funds are provided at the beginning of a program year and are available for expenditure during that program year and the succeeding two program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual performance reporting is required in addition to quarterly activities and outcomes reports. No cash reports are required. No progress reports are required. Quarterly financial reports are required. Performance monitoring is conducted by Regional Federal Project Officers based on a risk assessment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$396,000,000; FY 10 est \$0. (Formula Grants) FY 08 \$703,000,000; FY 09 est \$704,000,000; FY 10 est \$704,000,000. (Project Grants) FY 08 \$70,000,000; FY 09 est \$59,000,000; FY 10 est \$54,000,000

**Range and Average of Financial Assistance:**

Recovery Act Formula Grants ranged from \$1,106,097 to \$46,970,564. Wagner-Peyser Formula Grants vary by year. Funding is published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Performance data are posted annually on the Internet and are available at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance

plans are posted annually on the Internet and are available at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: Once

finalized, performance budgets are posted annually on the Internet and are available at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 - Establishment and Functioning of State Employment Services; Part 662 - Description of the One Stop System under Title I of the Workforce Investment Act; Part 663 - Adult and Dislocated Worker Activities under Title I of the Workforce Investment Act; Subpart A - Delivery of Adult and Dislocated Worker Services through the One Stop Service Delivery System; Part 1001-Services for Veterans.

**Regional or Local Office:**

None. Contact the nearest office of the local One Stop Career Center or state workforce agency by checking the local telephone directory or visit the Web site, America's Service Locator at [www.servicelocator.org](http://www.servicelocator.org), or phone the

Toll-Free Help Line at 1-877-872-5627 (TTY 1-877-889-5627).

**Headquarters Office:**

Margaret Ewell 200 Constitution Avenue, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[ewell.maggie@dol.gov](mailto:ewell.maggie@dol.gov) Phone: 202-693-3980 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.768 Business and Industry Loans; 17.225 Unemployment Insurance; 17.235 Senior Community Service Employment Program; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.272 Permanent Labor Certification for Foreign Workers; 17.273 Temporary Labor Certification for Foreign Workers; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.804 Local Veterans' Employment Representative Program; 27.001 Federal Civil Service Employment; 27.002 Federal Employment Assistance for Veterans; 27.003 Federal Student Temporary Employment Program; 27.005 Federal Employment for Individuals With Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.225 UNEMPLOYMENT INSURANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Federal Unemployment Tax Act, 26 U.S.C 3301 et seq.; Social Security Act (Titles III, IX, XI, XII) 42 USC 501-504; 1101-1110; 1320b-7; 1321-1324; Supplemental Appropriations Act of 2008, Public Law 110-252; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Unemployment Compensation for Federal Civilian Employees, 5 U.S.C 8521 et seq.; Unemployment Compensation for Ex-Servicemembers, 5 U.S.C 8521 et seq.; Trade and Globalization Adjustment Assistance Act of 2009, Public Law 111-5; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5177; Trade Act of 2002, 19 U.S.C 2291 et seq.; Federal-State Extended Unemployment Compensation Act, 26 U.S.C 3304(a)(11).

**OBJECTIVES:**

To administer a program of unemployment insurance for eligible workers through Federal and State cooperation; to administer payment of trade adjustment assistance, alternative trade adjustment assistance, disaster unemployment assistance, unemployment compensation for Federal employees and ex-service members.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE; FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The states have the direct responsibility for establishing and operating their own unemployment insurance programs, while the Federal Government finances the cost of administration. State unemployment insurance tax collections are used solely for the payment of benefits. Federal unemployment insurance tax collections are used to finance expenses deemed necessary for proper and efficient administration of the state unemployment insurance laws; to reimburse state funds for one-half the costs of extended benefits paid under the provisions of state laws which conform to the provisions of the Social Security Act and the Federal Unemployment Tax Act; and to make repayable advances to states when needed to pay benefit costs. Funds used for benefit payments may not be used for any program administration costs nor for training, job search, and job relocation payments. Disaster Unemployment Assistance (DUA) is paid out of funds provided by the Federal Emergency Management Agency (FEMA). Benefits for former Federal civilian employees, including postal workers, and former members of the Armed Forces are paid out of the Federal Employees Compensation Account (FECA) in the Unemployment Trust Fund, subject to reimbursement by the former employing agency.

**Applicant Eligibility:**

State workforce agencies, including those in the District of Columbia, Puerto Rico and the Virgin Islands.

**Beneficiary Eligibility:**

All workers whose wages are subject to State unemployment insurance laws, Federal civilian employees, ex-service members, trade readjustment allowance for workers who become unemployed or underemployed because of the adverse effect of increased imports or because of shifts in production outside the U.S., and workers whose unemployment is caused by a Presidentially declared disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, are eligible if they are involuntarily unemployed, able to work, available for work, meet the eligibility and qualifying requirements of the state law, and are free from disqualifications. Individual State information on eligibility requirements is available from local One-Stop Career Centers. The American Recovery and Reinvestment Act (ARRA) provides for a temporary \$25 increase in weekly benefit amounts. The temporary emergency unemployment compensation program was also extended in ARRA.

**Credentials/Documentation:**

Awards of grants to states are conditioned on the Secretary of Labor's determination that the states' unemployment compensation laws are in conformity with the Social Security Act and the Federal Unemployment Tax Act and that State practices substantially comply with these laws. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

National and Regional Offices issues guidance to states annually regarding the procedures and documents for the application process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants are furnished applications (State Quality Service Plan) by the Employment and Training Administration for this program. States submit the plans to apply for grants to the appropriate regional office of the Employment and Training Administration, based on target performance levels issued to the states through ETA regional offices pursuant to nationally-developed workload estimates. All plans are to be constructed in terms of selected workloads to be undertaken and the resources and numbers of employees needed to accomplish them.

**Award Procedure:**

The Regional Administrator for Employment and Training issues a preliminary approval for a State within the dollar target provided by the ETA National Office, based on the State plan submitted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days at the Regional Office level.

**Appeals:**

Contact Federal agency. A hearing is required if state law is not certified to be in conformity.

Funding is based on workload formula.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants for base operation of programs based on workload projections pursuant to economic assumptions and nationally developed workload estimates. Additional quarterly funding based on actual workloads. Financing of administrative costs is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements. Method of awarding/releasing

assistance: by letter of credit.

**Reports:**

Weekly, monthly, quarterly and yearly statistical reports of unemployment insurance workloads. Cash reports include the following transactions: federal cash receipts/disbursements; Federal expenditures and unobligated balance; Recipient share of obligations and expenditures; program income. Additional expenditure data required includes other federal funds expended and real property proceeds expended. The comprehensive performance management system requires a State Quality Service Plan (SQSP) be submitted as part of the application. Where performance is below the established minimum criteria, a corrective action plan (CAP) is required as part of the SQSP. The CAP identifies state activities and planning targets for performance improvement activities. Weekly, monthly, quarterly and yearly statistical reports of unemployment insurance workloads. Separate quarterly financial status reports are required for grants used for administration of each type of program. Data and progress towards performance targets are reviewed by the Regional and National Office staff. The State Quality Service Plan and corrective action plans are reviewed quarterly by Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

State laws and requirements are to be in conformity with Federal statutes. States are expected to report any legislative and regulatory changes to the federal agency. National office staff provide guidance on the time frame for data and corrections to data reports.

**Account Identification:**

16-0326-0-1-999 - Benefits; 16-0179-0-1-999 - Grants; 20-8042-0-7-999 - Benefits.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$0; FY 09 est \$16,104,000,000; FY 10 est \$16,279,000,000. (Direct Payments with Unrestricted Use) FY 08 \$43,592,000,000; FY 09 est \$98,309,000,000; FY 10 est \$85,063,000,000. (Formula Grants) FY 08 \$2,642,000,000; FY 09 est \$3,879,000,000; FY 10 est \$3,267,000,000. (Formula Grants) FY 08 \$0; FY 09 est \$192,000,000; FY 10 est \$234,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website: [http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2009: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Unemployment Insurance For Ex-Service Members;" "Unemployment Insurance For Federal Workers;" "Significant Provisions of State Unemployment Insurance Laws;" "Comparison of State Unemployment Insurance Laws;" and regulations, factsheets, and other program information are available on the Internet at <http://workforcesecurity.doleta.gov/unemploy>.

**Regional or Local Office:**

None. Local One-Stop center; State Workforce Agency; Employment and Training Administration regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gay Gilbert Francis Perkins Building - 200 Constitution Avenue, Room S4231, Washington, District of Columbia 20210 Email: [gilbert.gay@dol.gov](mailto:gilbert.gay@dol.gov) Phone: 202-693-3029 Fax: 202-693-3229

**Website Address:**

<http://workforcsecurity.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 57.001 Social Insurance for Railroad Workers; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See section on uses and restrictions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.235 SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Older Americans Act of 2006, Title V, Public Law 109-365, 120 Stat. 2522, 42 U.S.C 3001; Older Americans Act of 1965; The American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

To foster individual economic self sufficiency; provide training in meaningful part-time opportunities in community service activities for unemployed low-income persons who are age 55 years of age or older, particularly persons who have poor employment prospects; and to increase the number of older persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations that receive grants use the funds to create and pay for part-time community service training positions for persons age 55 and above whose income is at or below 125 percent of the poverty level. The individuals who are enrolled may be trained in work assignments at local 501(c)(3) non-profit or government agencies. A portion of the funds may be used to provide participants with classroom training and supportive services. Participants may not train in projects involving political activities, sectarian activities, nor may participants displace any employed worker or perform work which impairs existing contracts for service. Each local project is required to coordinate its activities with local Workforce Investment Act projects and One-Stop Career Centers and the State Office of the Aging. Seventy-five percent of funding must be used to pay the wages and fringe benefits of participants for their part-time assignments. The remaining funds may be used to provide participants with classroom training and supportive services. No more than 13.5 percent of the Federal share of the costs may be spent for administration. (If justified, a waiver to 15 percent may be provided by the Department of Labor.). The Secretary of Labor may reserve up to 1.5 percent of annual appropriation for pilots, demonstration, and evaluation activities.

**Applicant Eligibility:**

The following types of organizations are eligible to receive grants: (1) states and U.S. territories; (2) national public and private non-profit institutions/organizations, other than political parties but including faith-based and community organizations; and (3) tribal organizations.

**Beneficiary Eligibility:**

Adults 55 years or older with a family income at or below 125 percent of the Department of Health and Human Services (DHHS) poverty level. Prospective participants must provide documentation relative to age and personal financial status which is required to determine whether the individual is program eligible.

With certain exceptions, the Census Bureau's Current Population Survey definition of income governs the determination of SCSEP applicant income eligibility. Section 518 (a)(3)(A)OAA-2006 specifies that any income that is unemployment compensation, a benefit received under title XVI of the Social Security Act; a payment made to or on behalf of veterans or former members of the Armed forces under the laws administered by the Secretary of Veterans

Affairs, or 25 percent of a benefit received under title II of the Social Security Act is excluded from SCSEP income eligibility determinations.

**Credentials/Documentation:**

Applicants must meet the eligibility test under Section 514(c) and the responsibility test under Section 514(d) of the Older Americans Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. National nonprofit organizations are required under Section 502(d) of the Older Americans Act to submit an application to the state agency, in addition to the Department of Labor. The Division of Adult Services in the Employment and Training Administration will provide information concerning proper application, format, and content and furnish standard application forms. Governors may comment on SCSEP grant proposals prior to award and may make recommendations to the Secretary of Labor to improve the distribution of SCSEP services.

**Award Procedure:**

Awards are made directly to eligible applicants by the Employment and Training Administration of the Department of Labor.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The approval range for formula grants is approximately 30 to 60 days.

**Appeals:**

From 1 to 15 days. Appeals may be filed according to the regulations at 20 CFR 641.900.

**Renewals:**

Grantees must meet the eligibility and responsibility test each year in order to be funded. In addition, grantees must meet negotiated performance measures described in Section 513(b) of OAA-2006, in administrative guidance, and in an Interim Final Rule on SCSEP Performance Accountability published June 29, 2007.

**Formula and Matching Requirements:**

Statutory Formula: Title Older Americans Act 2006 Amendments, Chapter 20 CFR 641.844 of the 2004 Final Rule, Public Law P.L. 109-365.

Matching Requirements: Grantees must provide or arrange through third parties at least ten percent of the cost of the project from non-Federal sources. The grantee share of the cost may be contributed in cash or in-kind. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funding is provided annually. The program year runs from July 1 to June 30. The Secretary has the authority to extend the period of performance under specified conditions. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Equitable Distribution Report and the Four Year Strategic State Plan (for state grantees only), to be reviewed and updated no less frequently than every two years. Quarterly Financial Status Report (FSR) - SF9130. The Quarterly Progress Report (QPR). QPRs are generated by the SCSEP Performance and Results QPR (SPARQ) system located within the Department of Labor based on participant data entered by grantees into the SPARQ on-line system. Quarterly Financial Status Report (FSR) - SF9130. Permitted applicant organizational costs will be determined in accordance with OMB Circular Nos A-87 for state and local governments and A-122 for non profit organizations.

Federal Project Officers conduct quarterly desk reviews and on-site reviews as needed. Performance is evaluated annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normally to be retained by the grant or contract recipient for a three-year period following the completion of the grant or contract. Grantees are required to submit participant data via high-speed Internet access to a DOL-sponsored data collection system (SPARQ).

**Account Identification:**

16-0176-0-1-504 - ARRA; 16-0175-0-1-504.

**Obligations:**

(Formula Grants) FY 08 \$390,000,000; FY 09 est \$440,000,000; FY 10 est \$443,000,000 - National Programs. (Formula Grants) FY 08 \$0; FY 09 est \$119,000,000; FY 10 est \$0. (Formula Grants) FY 08 \$114,000,000; FY 09 est \$132,000,000; FY 10 est \$132,000,000 - State Programs.

**Range and Average of Financial Assistance:**

For Recovery Act Funding grants ranged from \$90,000 to \$23.7M.

For Program Year 2009, grants ranged from \$429,000 to \$113.5M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website:

<http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year

2009: Quarterly Workforce System Results Website:

<http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year

2010: Budget Performance Information is available at

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 641; Training and Employment Guidance Letters, Training and Employment Notices, previously issued Older Worker Bulletins that are still in effect and other SCSEP directives.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Keva Davis, Telephone: (617) 788-0141; Region 2, Chantal Watler, Telephone: (215) 861-5224; Region 3, Charlotte Norton, Telephone: (404) 302-5340; Region 4, Marilyn Brandenburg, Telephone: (214) 767-2257; Region 5, Lori Harris, Telephone: (312) 596-5496; Region 6, John Jacobs, Telephone: (415) 625-7940.

**Headquarters Office:**

Judith Gilbert 200 Constitution Avenue NW

Room S-4209, Washington, District of Columbia 20210 Email:

[gilbert.judith@dol.gov](mailto:gilbert.judith@dol.gov) Phone: 202-693-3938 Fax: 202-693-3817

**Website Address:**

<http://www.doleta.gov/seniors/>.

**RELATED PROGRAMS:**

17.258 WIA Adult Program; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Employment and Training Administration makes grant awards available to 50 states, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, and Virgin Islands, along with 18 national non-profit organizations. A variety of organizational arrangements are used to administer the SCSEP projects. Many of the grantees have contractual relationships and agreements with local government and non-profit organizations. In many cases the SCSEP program is operated by the state aging agency and within sub-state areas by area agencies on aging. Some of the national grantee organizations administer the SCSEP local projects directly through their affiliates, while others sub-grant funds to local agencies. Most of the projects operated under the auspices of the SCSEP provide service through host agencies to the community at large or to the elderly community.

Some of the activities have included transportation for the elderly, serving the community as librarians, teachers' aides, nutritional aides, etc. The dual purpose of the program is to foster individual economic self sufficiency and promote useful opportunities in community service activities. Fiscal Year 2009: See above. Fiscal Year 2010: See above.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department annually renews grant agreements. The Department may have an open competition from time to time to select national grantees. National grants were competed in 2003 and 2006. The next competition opportunity, as specified in the authorizing legislation, will be no sooner than 2011. When such a competition occurs, a notice will be published in the Federal Register.

**17.245 TRADE ADJUSTMENT ASSISTANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Trade Act of 1974, as amended, Title II, Public Law 93-618, 88 Stat. 1979, 19 U.S.C 2271-2322, as amended by Trade and Globalization Adjustment Assistance Act of 2009 (Division B, Title I of the American Recovery and Reinvestment Act of 2009), Public Law 111-5, as amended by Deficit Reduction Act of 1984, as amended, Public Law 98-369, as amended by Foreign Assistance and Related Programs Appropriations Act, 1986., Public Law 99-190, as amended by Third Continuing Resolution for Fiscal Year 1986 Funds, as amended, as amended by Miscellaneous Revenue Act of 1983, as amended, Public Law 97-362, as amended by North American Free Trade Agreement Implementation Act, Title V, Public Law 103-182, as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Title XXV, Public Law 97-35, as amended by Omnibus Trade and Competitiveness Act of 1988, Title I, Public Law 100-418, as amended by Consolidated Appropriations Act of 2000, Public Law 106-113, as amended by Trade Act of 2002, Title I-II, Public Law 107-210, as amended by Amendment to the International Coffee Agreement Act of 1980, as amended, Public Law 98-120, as amended by Consolidated Omnibus Budget Reconciliation Act of 1985, Title XIII, Public Law 99-272.

**OBJECTIVES:**

To provide adjustment assistance to qualified workers adversely affected by foreign trade which will assist them to obtain suitable employment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State Workforce Agencies (SWAs) serve as agents of the United States for administering the worker adjustment assistance benefit provisions of the Trade Act. SWAs, through the local offices, provide testing, counseling, and job placement services; job search and relocation assistance; training; and payment of weekly trade readjustment allowances (TRA). State unemployment compensation and extended benefits must generally be exhausted before TRA is paid to eligible claimants. Trade impacted workers are eligible to receive job search and relocation allowances in addition to the costs of training. They may be paid subsistence and transportation allowances to attend approved training outside the normal commuting distance of a worker's regular place of residence.

**Applicant Eligibility:**

A petition for Trade Adjustment Assistance (TAA) may be filed by a group of adversely affected workers and be signed by at least three workers; alternatively, a petition may be filed by a company official, one-stop operators or one-stop partners, including State employment security agencies or the State dislocated worker unit, union representative, or other authorized representatives, requiring only one signature. After receiving a TAA petition, Division of Trade Adjustment Assistance (DTAA) investigators will establish if the workers' company produces a product and that a required minimum of the workforce has been laid off in the 12 months preceding the date of the petition or is threatened with layoffs (3 workers in groups of fewer than 50, 5 percent of the workforce in groups of 50 or more, or at least 50 workers in groups of 1000 or more). Additionally, DTAA will analyze facts contributing to the workers' layoffs or work reductions in order to determine one of the following sets of conditions have been met: (1) Increased imports contributed importantly to an

actual decline in sales or production and to a layoff or threat of a layoff; or (2) There has been a shift in production to certain countries which contributed to a layoff or threat of a layoff; or (3) there has been a shift in production outside of the United States and there has been or is likely to be an increase in the import of like or similar articles; or (4) loss of business as a supplier of component parts, a final assembler, or a finisher where workers were TAA certified and contributed importantly to an actual decline in sales or production, and to a layoff or threat of a layoff. In accordance with the requirement of Section 246 of the Trade Adjustment Assistance Reform Act of 2002, the Secretary implemented on August 6, 2003, the Alternative Trade Adjustment Assistance (ATAA) for Older Workers. A request for ATAA consideration is part of the TAA petition and is filed at the same time the TAA petition is filed. In order for the Department to certify a worker group eligible to apply for the ATAA, the petitioning worker group must be determined eligible to apply for TAA. The criteria that the Department must consider for ATAA certification are: (1) a significant number of workers in the firm must be 50 years of age or older, (2) whether the workers possess skills that are easily transferable in the local area, and (3) the competitive conditions within the workers' industry.

**Beneficiary Eligibility:**

A TAA beneficiary must: (1) be found by the Labor Department to have been adversely affected by increased imports or a shift in production to certain countries, (2) be certified by the Secretary of Labor as eligible to apply for adjustment assistance, and (3) meet the following individual requirements: (a) his or her unemployment or underemployment must have begun on or after the impact date specified in the Secretary's certification as the beginning of the import-impacted unemployment or underemployment; (b) his or her unemployment must begin before the expiration of the two-year period beginning on the date on which the Secretary issued the certification for his or her group or before the termination date, if any, specified in the certification. In addition, to be eligible for weekly trade readjustment allowance (TRA) payments he or she must: (1) have been employed with wages at a minimum of \$30 per week by the import-affected firm for at least 26 of the previous 52 weeks including the week of total layoff (up to seven weeks of employer-authorized leave may be counted as qualifying weeks of employment or up to 26 weeks of disability compensation); and (2) be enrolled in or have completed a TAA approved job training program, unless the determination is made that training is either not feasible or not appropriate, in which case a waiver of the training requirement may be issued. To receive TRA, the claimant must be enrolled in an approved training program within eight weeks of the Secretary's issuance of the certification or within 16 weeks of the worker's most recent qualifying separation, whichever is later.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for TAA under the Trade Act of 1974, as amended, a "Petition for Trade Adjustment Assistance" must be filed directly with the Division of Trade Adjustment Assistance at the address listed below and with the State official or organization designated by the Governor of the State in which the workers' firm or subdivision is located. DTAA and State contact information, as well as petition forms in English and Spanish, are available through the State Workforce Agencies or from the Division of Trade Adjustment Assistance listed below. The Petition forms may also be downloaded from our web-site at: <http://www.doleta.gov/tradeact>. Petitions must be filed with both the DTAA and the State agency in which the worker group's plant is located. Notice of such filing shall be promptly published in the Federal Register. Within 10 days after publication, the petitioner or any other person found by the Secretary to have a substantial interest may request a hearing and be afforded the opportunity to be present, to present evidence, and to be heard.

**Award Procedure:**

A Certification of Eligibility to apply for worker adjustment assistance may be issued by the Secretary of Labor to groups of workers who have been found by the Department of Labor to have met the requirements concerning foreign trade-affected separations from employment. Individual workers covered by the certification can apply to the local office of their State Workforce Agency for individual determinations of eligibility to receive benefits.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. For the TAA program, eligibility investigations begun by the receipt of a valid petition are completed, and a determination issued, within 40 calendar days of the receipt of the petition.

**Appeals:**

From 30 to 60 days. There are two courses of appeal, one administrative and the other judicial. Petitioners aggrieved by a final determination by the Secretary may, within 30 days after notice of such determination is published in the Federal Register, file an application for reconsideration with the Director of the Division of Trade Adjustment Assistance. If the determination following reconsideration is negative, they may, within 60 days after notice of the negative determination upon reconsideration, file a petition for review of such determination with the United States Court of International Trade in New York City. Aggrieved petitioners may request judicial appeal without first seeking administrative reconsideration, within 60 days after notice of such determination is published in the Federal Register.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cash trade readjustment allowances (TRA) generally becomes payable only after workers have exhausted their entitlement to State unemployment compensation including extended benefits. For TAA certifications on petitions filed on or after May 18, 2009, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 78 additional weeks may be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes pre-requisite and/or remedial education. Participation in RTAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The RTAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$12,000 for up to two years. The individual must earn not more than \$55,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Performance Reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports on grants for administration of TAA/TRA program are required. Program performance is monitored both by state staff and by Federal Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the U.S. Department of Labor or other authorized Government agencies.

**Records:**

Not applicable.

**Account Identification:**

16-0326-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$260,000,000; FY 09 est \$516,000,000; FY 10 est \$686,000,000

**Range and Average of Financial Assistance:**

Weekly allowance payments are the same as the amount of weekly State unemployment compensation.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website: [http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2009: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations at 29 CFR 90, Certification of Eligibility to Apply for Worker Adjustment Assistance, and 20 CFR 617, Trade Adjustment Assistance for Workers.

**Regional or Local Office:**

See Regional Agency Offices. Regional offices of the Employment and Training Administration, Department of Labor listed in Appendix IV, and local offices of affiliated State Employment Security Agencies.

**Headquarters Office:**

Brian Johnston 200 Constitution Avenue NW  
Room N5428, Washington, District of Columbia 20210 Email: [johnston.brian@dol.gov](mailto:johnston.brian@dol.gov) Phone: 202-693-3566

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.258 WIA ADULT PROGRAM**

(WIA-Adult Program)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998 (WIA), Title I, Part B, Section Chap 5, Public Law 105-220, 20 U.S.C 9201; The American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The purpose of this program is to improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and earnings. For cross-cutting goals, the program intends to enhance customer satisfaction for participants and for employers. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling. The hold harmless funding agreement incorporated in Section 173 (e) to the Workforce Investment Act, provides additional WIA funding from the Dislocated Worker National Reserve to not more than eight states and is used to support WIA Adult or WIA Dislocated Worker program activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Act specifies that most services for adults will be provided through One Stop Career Centers. The Act authorizes three levels of service which are available to all jobseekers. "Core" services include outreach, job search, placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to all those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Consistent with the allowable activities in the statute.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive funding from the Department are the 50 States, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula. The states in turn allocate funds to local workforce investment boards (approximately 600), by formula.

**Beneficiary Eligibility:**

All adults 18 years and older are eligible for core services. Priority for intensive and training services must be given to recipients of public assistance and other low-income individuals where funds are limited. States and local areas are responsible for establishing procedures for applying the priority requirements. Priority of service is given to veterans and other covered persons.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidances provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other ETA and non-ETA DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval currently Janet Sten, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the State Plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the State Plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in Section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted every year to a State in two portions during a program year and are available for expenditure by the State for that program year and the two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Performance Reports. No cash reports are required. No progress reports are required. Quarterly Financial Reports. Monitoring is conducted by Regional Federal Project Officers based on a risk assessment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504; 16-0184-0-1-504 - ARRA.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$495,000,000; FY 10 est \$0. (Formula Grants) FY 08 \$829,000,000; FY 09 est \$869,000,000; FY 10 est \$869,000,000 - -Includes WIA Adult and Section 173(e) funds.

**Range and Average of Financial Assistance:**

Recovery Act Grants ranged from \$1,234,406 to \$80,117,954.

WIA formula grant amounts vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Program accomplishments are published annually and posted on the Internet at:

[http://www.doleta.gov/performance/results/wia\\_national\\_performance.cfm](http://www.doleta.gov/performance/results/wia_national_performance.cfm). A copy of the report may be obtained by writing to: Office of Workforce Investment, Employment and Training Administration, Department of Labor,

200 Constitution Avenue, N.W., Washington, DC 20210. Fiscal Year 2009: Program accomplishments are published annually and posted on the Internet at:

[http://www.doleta.gov/performance/results/wia\\_national\\_performance.cfm](http://www.doleta.gov/performance/results/wia_national_performance.cfm). A copy of the report may be obtained by writing to: Office of Workforce Investment, Employment and Training Administration, Department of Labor,

200 Constitution Avenue, N.W., Washington, DC 20210. Fiscal Year 2010: The budget is published annually and posted on the Internet at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Margaret Ewell, 200 Constitution Avenue NW, Room S-4209, Washington, District of Columbia 20210 Email: [Ewell.Margaret@dol.gov](mailto:Ewell.Margaret@dol.gov) Phone: (202) 693-3046 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.259 WIA YOUTH ACTIVITIES**

(WIA Formula Youth)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle B, Section Chapter 4, Public Law 105-220, ( U.S.C 9201; The American Recovery and Reinvestment Act of 2009, Title VIII, Section 2, Public Law 111-5, Stat. 58.

**OBJECTIVES:**

To help low income youth, between the ages of 14 and 21, acquire the educational and occupational skills, training, and support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Title I of the Act authorizes the Workforce Investment System and establishes state workforce investment boards with oversight responsibility by the governors for local workforce investment boards; and establishes the process by which eligible providers of training and youth activities are identified. The Act authorizes the use of funds for youth employment and training activities that will provide eligible youth assistance in achieving careers and academic and employment success; ensures ongoing mentoring opportunities; provides opportunities for training; provides continued supportive services; provides incentives for recognition and achievement; and provides opportunities for leadership, development, decision making, citizenship, and community service. Funds must be used in accordance with the rules and regulations.

**Applicant Eligibility:**

Under WIA, 50 states, Puerto Rico, the District of Columbia, and the outlying areas are identified as the recipients of youth training activities funds. For a state to be eligible to receive youth funds, the governor of the state will submit to the Secretary for consideration by the Secretary, a single state plan that outlines a 5-year strategy for the statewide workforce investment system.

**Beneficiary Eligibility:**

An eligible youth is an individual who: (1) is 14 to 21 years of age\*; and (2) is an individual who received an income or is a member of a family that received a total family income that, in relation to family size, does not exceed the higher of (a) the poverty line; or (b) 70 percent of the lower living standard income; and (3) meets one or more of the following criteria: is an individual who is deficient in basic literacy skills; a school dropout; homeless; a runaway; a foster child; pregnant or a parent; an offender; or requires additional assistance to complete their education or secure and hold employment.



\* Age eligibility for youth services funded by the American Recovery and Reinvestment Act of 2009, increased from age 21 to age 24.

**Credentials/Documentation:**

In order to establish a continuing relationship under the Act, the governor and the Secretary of Labor shall sign a governor/Secretary Agreement. This agreement assures that the state will comply with the Workforce Investment Act and the applicable rules and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval (currently Janet Sten), Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. A State plan submitted to the Secretary will be considered to be approved by the Secretary at the end of the 90-day period beginning on the day the Secretary received the plan, unless the Secretary makes a written determination, during the 90-day period, that the plan is inconsistent with the provisions of Title I.

**Appeals:**

Contact Headquarters Office to obtain information on appeal procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Chapter 4, Subpart B, Public Law 105-220. This program has no matching requirements. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds allotted to a state each year are available for expenditure by the State for that program year plus two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300. No cash reports are required. Quarterly reports are required. Quarterly financial reports are required. Regional Federal Project Offices conduct risk analysis, desk reviews, and on-site monitoring. They also review quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504 - Annual Appropriation; 16-0184-0-1-504 - ARRA.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,170,000,000; FY 10 est \$0. (Formula Grants) FY 08 \$910,000,000; FY 09 est \$861,000,000; FY 10 est \$927,000,000

**Range and Average of Financial Assistance:**

Formula grant award amounts ranged from \$ 75,000 to \$ 145,161,310. The average is not computed. Recovery grant award amounts ranged from \$ 186,622,034 to \$ 86,779. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Outcomes are published annually on the Internet and are available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are published annually on the Internet and are available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: Once finalized, performance budgets are posted on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR PART 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000. Federal Register: Thursday, February 28, 2002 (Volume 67, Number 403) "Solicitation of Comments on the Reauthorization of the Workforce Investment Act (WIA) and Linkages with the Temporary Assistance for Needy Families (TANF); Notice.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Evan Rosenberg 200 Constitution Avenue, NW Room N-4464, Washington, District of Columbia 20210 Email: [rosenberg.evan@dol.gov](mailto:rosenberg.evan@dol.gov) Phone: 202-693-3593 Fax: 202-693-3592

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.260 WIA DISLOCATED WORKERS**

(WIA-Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201; The American Reinvestment and Recovery Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The purpose of the WIA Dislocated Worker program is to reemploy dislocated

workers, improve the quality of the workforce, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. For cross cutting goals, the program intends to enhance customer satisfaction for participants and for employers. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling. The purpose of National Emergency Grants (NEGs) are to temporarily expand service capacity at the state and local levels by providing time-limited funding assistance in response to significant dislocation events. Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the on-going operations of the formula-funded Dislocated Worker program, including the discretionary resources reserved at the state level.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service, which are available to all job seekers. "Core" services include outreach, job search and placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs. Eligible circumstances for NEG funding include: Plant closures; mass layoffs affecting 50 or more workers; and special assistance, including health insurance coverage assistance to trade impacted workers and other individuals eligible under the Trade and Globalization Adjustment Assistance Act of 2009. Currently, CFDA number 17.260 represents both the WIA Dislocated Worker formula grants and the National Emergency Grants (NEGs). Beginning in Program Year (PY) 2010 CFDA number 17.260 will be archived and any new funds allocated through these two programs will be referenced using two new CFDA numbers: 17.277 for NEGs and 17.278 for WIA Dislocated Worker Formula Grants. All subsequent information listed here under 17.260 refers to WIA Dislocated Worker Formula Grants. For further information on NEGs please see the entry under CFDA number 17.277. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, the District of Columbia, and the outlying areas. Funds are allotted based on a statutory formula and states in turn allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor. Applicants for NEGs may be states, outlying areas, local workforce boards, and non-profit and private organizations whose purpose is to provide targeted services to eligible beneficiaries.

**Beneficiary Eligibility:**

Individuals eligible for assistance through the applicants receiving the funds include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have been dependent on income of another family member, but are no longer supported by that income. Priority of Service is given to veterans and other covered persons. The NEGs have identical eligibility to the above and also includes certain military personnel and defense employees. Services through NEGs are targeted on individuals affected by mass layoffs, natural disasters, Federal government actions, and other circumstances specified

by the Secretary.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, currently Janet Sten, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Formula Funds: Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are submitted annually. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct

monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0184-0-1-504 - ARRA; 16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,241,000,000; FY 10 est \$0 - Dislocated Worker Formula Grants (ARRA). (Formula Grants) FY 08 \$1,001,000,000; FY 09 est \$971,000,000; FY 10 est \$0 - Dislocated Worker Formula Grants (see 17.278 for 2010 obligation estimate). (Project Grants) FY 08 \$0; FY 09 est \$194,000,000; FY 10 est \$0 - National Emergency Grants (ARRA). (Project Grants) FY 08 \$118,000,000; FY 09 est \$84,000,000; FY 10 est \$0 - National Emergency Grants (see 17.277 for 2010 obligation estimate).

**Range and Average of Financial Assistance:**

Dislocated Worker Formula fund grants ranged from \$ 1,950,897 to \$ 212,284,647.

Dislocated Worker Recovery Act grants ranged from \$ 2,039,325 to \$ 221,906,888.

National Emergency Grant (NEG) amounts awarded have ranged from \$149,000 to \$22,000,000.

NEG Recovery Act grant amounts awarded have ranged from \$254,000 to \$18,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Outcomes are published annually and posted on the Internet at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are published annually and posted on the Internet at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2010: Once finalized, Department of Labor budgets are posted on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Margaret Ewell 200 Constitution Avenue, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[ewell.maggie@dol.gov](mailto:ewell.maggie@dol.gov) Phone: 202-693-3160 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.277 Workforce Investment Act (WIA) National Emergency Grants; 17.278 WIA Dislocated Worker Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.261 WIA PILOTS, DEMONSTRATIONS, AND RESEARCH**

**PROJECTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part D, Section 171, Public Law 105-220.

**OBJECTIVES:**

Through demonstration, pilot projects, and applied research, to address national employment and training problems that have interstate validity and will aid policymakers and stakeholders in addressing these problems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Through demonstration, pilot projects, and applied research, resources address national employment and training problems that have interstate validity and aid policymakers and stakeholders in addressing these problems. Such projects shall include: the provision of direct services to individuals to enhance employment opportunities and an evaluation component and may include: (1) The establishment of advanced manufacturing technology skill centers developed through local partnerships; (2) projects that provide training to upgrade the skills of employed workers who reside and are employed in enterprise communities or empowerment zones; (3) programs conducted jointly with the Department of Defense to develop training programs using innovative learning technologies; (4) projects that promote the use of distance learning; (5) projects that assist in providing comprehensive services to increase the employment rates of out-of-school youth residing in high poverty areas within empowerment zones and enterprise communities; (6) the establishment of partnerships with national organizations expert in developing, organizing, and administering employment and training projects; (7) projects to assist public housing authorities that provide job training programs to residents; and (8) projects that assist local areas to evaluate the degree to which participants in programs under this title achieve self-sufficiency. Grants and contracts awarded for carrying out demonstration and pilot projects under this subsection are intended to be awarded only on a competitive basis, except that a noncompetitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a portion of the funding for the project.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for-profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Generally limited to the economically disadvantaged and those who are underemployed, unemployed, need to upgrade their skills in order to retain jobs, at-risk youth, and/or to those who evidence barriers to employability.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.

**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects last one to two years. See the following for information on how assistance is awarded/released: Most grants and contracts are awarded on a cost-reimbursement basis.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accounting purposes. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Quarterly expenditure reports on all grants awarded are a mandatory requirement of all solicitations. Monthly expenditure reports are required for contracts/task orders. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 08 \$14,000,000; FY 09 est \$44,000,000; FY 10 est \$26,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, approximately 7 new pilot or demonstration projects or major modifications of existing project were

initiated. Fiscal Year 2009: In fiscal year 2009, approximately 5 new pilot or demonstration projects or major modifications of existing project will be initiated. Fiscal Year 2010: No projections at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA Web site at [www.doleta.gov](http://www.doleta.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jonathan Simonetta 200 Constitution Avenue NW  
Room N-5641  
, Washington, District of Columbia 20210 Email: [simonetta.jonathan@dol.gov](mailto:simonetta.jonathan@dol.gov)  
Phone: 202-693-3911

**Website Address:**

<http://www.doleta.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: One example of a funded projects is the Young Parent's Demonstration (YPD) grants. The YPD grants are demonstration grants that target the employment and training needs of young parents. The YPD grants provide educational and occupational skills training leading to family economic self-sufficiency to both mothers and fathers, and expectant mothers ages 16 to 24. Projects funded are encouraged to serve young parents in high-risk categories, including those who are court-involved, in the child welfare or foster care system, homeless, or victims of child abuse. Fiscal Year 2009: One example of a funded projects is the Young Parent's Demonstration (YPD) grants. The YPD grants are demonstration grants that target the employment and training needs of young parents. The YPD grants provide educational and occupational skills training leading to family economic self-sufficiency to both mothers and fathers, and expectant mothers ages 16 to 24. Projects funded are encouraged to serve young parents in high-risk categories, including those who are court-involved, in the child welfare or foster care system, homeless, or victims of child abuse. Fiscal Year 2010: No projections at this time.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.264 NATIONAL FARMWORKER JOBS PROGRAM**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998; Title I, Subtitle D, Section 167; Public Law 105-220.

**OBJECTIVES:**

To provide job training and other employability development services and related assistance for those individuals, including their dependents, who are primarily employed in agricultural labor that is characterized by chronic unemployment and underemployment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

In the National Farmworker Jobs Program (NFJP), eligible seasonal farmworkers and their dependents may be offered core services (including initial assessment, One Stop Center services, job placement, and eligibility determination) intensive services developed under a case management system (such as objective assessment, individual employment planning, basic education, allowance payments, dropout assistance, and work experience) training services (such as classroom training that is occupationally specific and on the job training), and related assistance (such as emergency assistance and other supportive services that allow a farmworker to stay employed or continue his or her participation in program activities). Funds must be used in accordance with Federal Regulations.

**Applicant Eligibility:**

Public agencies and units of government (State and local); and private non-profit institutions/organizations authorized by their charters or articles of incorporation to operate employment and training programs.

**Beneficiary Eligibility:**

The ultimate beneficiaries are low income individuals and their dependents who have, during any consecutive 12-month period in the 24 months preceding their application for enrollment, been primarily employed in agricultural labor that is characterized by chronic unemployment or under employment due to the seasonal or migratory nature of the work. Individuals must also be legally available for work and males must not have violated the Selective Service Act registration requirement.

**Credentials/Documentation:**

Applicants must be able to demonstrate an understanding of the problems of seasonal farmworkers and the capacity to respond to their needs, a familiarity with the local agricultural industry, and the administrative capacity to administer workforce investment programs, including their capacity to be an effective One Stop system partner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for operating NFJP programs are awarded under a biennial competitive process. Applications are solicited, normally for each state's service area, through a Solicitation for Grant Applications (SGA) announcement published in the Federal Register and on ETA's Web site, [www.doleta.gov](http://www.doleta.gov). Applicants may be required under the solicitation to provide their proposed plan to operate NFJP services in the areas where they propose to operate. A separate program is funded to serve the geographic area of each State, except as follows: more than one applicant may be selected to serve areas within California and some service areas comprise the geography of two adjoining states. (A provision for waiver of competition for a maximum four-year period may be exercised by the Department).

**Award Procedure:**

Competing applications will be rated according to criteria included in the Solicitation for Grant Application. Awards are made directly to eligible applicants by the Employment and Training Administration.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Sixty to ninety days.

**Appeals:**

Petition for reconsideration of non-selection as a potential grantee may be made to an Administrative Law Judge within 21 days of notification of the Department's decision.

**Renewals:**

Grants may be renewed without further competition for a third and fourth year provided performance for the first two years has been satisfactory.

**Formula and Matching Requirements:**

Statutory Formula: Title 20 CFR, Chapter 669.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards initially apply for one or two years, with the option of a subsequent

two-year renewal if performance is satisfactory and a national competition is not held. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports are required. No cash reports are required. Quarterly Performance Reports are required. Financial reports are required quarterly. Regional Federal Project Officers conduct monitoring - desk audits, risk assessments and filed audits are utilized.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the U.S. Department of Labor or other authorized Government agencies.

**Records:**

Grantees are required to maintain complete accounting, personnel, and individual participant records in accordance with OMB Circulars A-102 and A-110. Participant records must support eligibility and the need for services provided.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 08 \$80,000,000; FY 09 est \$83,000,000; FY 10 est \$83,000,000

**Range and Average of Financial Assistance:**

The range and average varies by year. Amounts are published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Results are published annually and available through the DOL Web site at <http://www.doleta.gov/MSFW/html/PerfData.cfm>. Fiscal Year 2009: Not yet available. Fiscal Year 2010: The budget is published annually and available on the DOL Web site at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 669.

**Regional or Local Office:**

See Regional Agency Offices. Regional contact information is available on the Website at [www.doleta.gov/MSFW](http://www.doleta.gov/MSFW).

**Headquarters Office:**

Juan Regalado 200 Constitution Ave, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[regalado.juan@dol.gov](mailto:regalado.juan@dol.gov) Phone: 202-693-2661 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov/msfw/>

**RELATED PROGRAMS:**

17.258 WIA Adult Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Grant Application published in the Federal Register whenever there is a competition for grant awards. (Also, see paragraph 92, above.).

**17.265 NATIVE AMERICAN EMPLOYMENT AND TRAINING FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998 (Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2), Title I, Section 166, Public Law 105-220, 112 Stat. 936, 29

U.S.C 2801 et seq.; The American Recovery and Reinvestment Act of 2009, Title VIII, Section 2, Public Law 111-5, Stat. 58.

**OBJECTIVES:**

To support employment and training activities for Indian, Alaska Native, and Native Hawaiian individuals in order: to develop more fully the academic, occupational, and literacy skills of such individuals; to make such individuals more competitive in the workforce; and to promote the economic and social development of Indian, Alaska Native, and Native Hawaiian communities in accordance with the goals and values of such communities. Supplemental youth funding is also awarded to help low income Native American youth and Native Hawaiian youth, between the ages of 14 and 21, acquire the educational skills, training and the support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be utilized for employment and training programs and services, including classroom training, On-The-Job training, training assistance, work experience, youth employment programs, day care, health care, job search, relocation, and transportation allowances designed to assist eligible participants to obtain employment. There are specified restrictions on the amount of grant funds which can be used for administrative costs. Supplemental youth funds may be utilized to provide employment and training activities that assist youth in achieving academic and employment success. Such activities may include; mentoring, career exploration, work experience, community service, education programs including cultural education, leadership development and supportive services. Funds are restricted to Indian, Alaska Native, and Native American youth and Native Hawaiian youth between the ages of 14 and 21 living on or near reservations and the States of Oklahoma, Hawaii, and Alaska. Administrative costs are limited to 15% but are negotiable up to 20% upon prior agency approval. Recovery Act funds serve Indian and Native American youth through age 24. See above.

**Applicant Eligibility:**

Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) selected by the Secretary on a competitive basis. Tribes, bands, and groups may also form consortia in order to qualify for designation as a grantee. An independently eligible grantee shall be a Federally-recognized tribe or other Indian or Native American entity which has: (1) A governing body as defined in 20 CFR 668.200(a); (2) (for new grantees) an identifiable Native American resident population sufficient to generate the funding level(s) outlined at 20 CFR 668.200(a)(3) within its designated service area; and (3) the capability to administer Indian and Native American employment and training programs as outlined at 20 CFR 668.220. Detailed requirements for consortium grantee applicants are set forth at 20 CFR 668.200(b). Supplemental funding is automatically awarded to entities that serve Native American youth and Native Hawaiian youth living on or near reservations, and the States of Oklahoma, Hawaii, and Alaska.

**Beneficiary Eligibility:**

American Indians (members of federally- recognized Indian tribes, bands, and groups); other individuals of Native American descent, such as, but not limited to, the Klamaths in Oregon, Micmac and Maliseet in Maine, the Lumbees in North Carolina and South Carolina; Indians variously described as terminated or landless, Eskimos and Aleuts in Alaska, and Hawaiian Natives. ("Hawaiian Native" means an individual any of whose ancestors were natives prior to 1778 of the area which now comprises the State of Hawaii.) Applicants must also be economically disadvantaged, unemployed, or underemployed. A Native American grantee may in some cases enroll participants who are not economically disadvantaged, unemployed, or underemployed in upgrading and retraining programs. See 20 CFR 668.300(b)(4) and (5). Native American youth between the ages of 14 and 21 who live on or near a reservation or in the States of Oklahoma, Alaska, and Hawaii and are low income, are eligible to receive supplemental youth services.

**Credentials/Documentation:**

An entity requesting to apply for a grant must submit a notification of intent to apply biennially. Consortium applicants must include a formal consortium agreement with attachments specified in 20 CFR 668.200. A Comprehensive Services Plan must be submitted by the designated grantees. It includes, among other things: (1) a program narrative description; (2) a planning summary; and (3) a brief budget summary. Individuals requesting services through this grant must provide documentation of Native American Descent such and Certificate Degree of Indian Blood (CDIB). Individuals must also provide documentation that they are low income or unemployed, or working part-time but are seeking full-time work or employed in a job that is not commensurate with the individual's demonstrated level of education or skill achievement. Males eligible for Selective Service must provide proof of registration. Youth receiving services under the Supplemental Youth Services Program (SYSP) must be low income and be between the age of 14 and 21. Recovery Act funds serve Indian and Native American Youth through age 24. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Employment and Training Administration publishes a Solicitation for Grant Application (SGA) in the Federal Register every two years. The SGA provides the application and award process for interested entities to apply for funding to serve specified geographic areas. After prospective grantees have filed a notice of intent and new applicants have additionally provided the information cited in 20 CFR 668.240, designation decisions are made. Subsequently, designated grantees must submit a Comprehensive Services Plan to the Employment and Training Administration, Office of Workforce Investment, Indian and Native American Programs (INAP), Department of Labor. In addition, grantees must describe the administrative, planning, and operational elements needed to implement a WIA Section 166 program. Instructions for completing these documents are issued by the Employment and Training Administration through a Training and Employment Guidance Letter (TEGL).

**Award Procedure:**

Grants will be made directly to eligible grantees for their service areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

From 60 to 90 days. Applicants will be notified of approval or disapproval of the Comprehensive Services Plan and if disapproved, given a reasonable time to make adjustments and resubmit the Plan. Final disapproval of an application or plan submitted by a designated grantee will not be made without affording the grantee an opportunity for reconsideration.

**Renewals:**

From 30 to 60 days. Grant awards may be renewed annually, while designation as a grantee applies for two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 1, Part Subtitle D - National Programs, , Subpart Section 166 - Indian and Native American Programs, Public Law Workforce Investment Act of 1998. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are made available through annual program year grants. The program year runs from July 1 to June 30, except that the Supplemental Youth Services Program runs from April 1 to March 31. Funds obligated for any program year may be expended by each recipient during the program year and the two succeeding program years. Method of awarding/releasing assistance: by letter

of credit.

**Reports:**

OMB 9084 form for comprehensive services to adult program and OMB 9085 for supplemental youth services program are submitted quarterly. Cash reports are not applicable. Progress reports are not applicable. OMB 9130 Form financial report is submitted quarterly. National office staff monitors performance using risk assessments, on site monitoring, and desk reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records and all other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0184-0-1-504 - ARRA; 16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$18,000,000; FY 10 est \$0. (Project Grants) FY 08 \$67,000,000; FY 09 est \$66,000,000; FY 10 est \$67,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies by year. Amounts are published annually in the Federal Register. Under the Recovery Act of 2009, the range of grants was \$ 6,554 to 3,956,397. The average was not calculated.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Information is published annually and available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are published on the DOL Web site at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: The Department of Labor Budget information is available on the Web site at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 65, No. 156, Friday, August 11, 2000, 20 CFR Parts 667 and 668 (20 CFR 652 et al.), Employment and Training Administration, United States Department of Labor.

**Regional or Local Office:**

None.

**Headquarters Office:**

Evangeline M. Campbell 200 Constitution Avenue, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[campbell.evangelina@dol.gov](mailto:campbell.evangelina@dol.gov) Phone: 202-693-3737 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov/dinap>

**RELATED PROGRAMS:**

15.108 Indian Employment Assistance; 15.124 Indian Loans\_Economic Development; 17.207 Employment Service/Wagner-Peyser Funded Activities; 17.258 WIA Adult Program; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the regulations and DINAP administrative instructions issued biennially in the Solicitation for Grant Application published in the Federal Register. In general, designation is based on the regulatory requirements found at 20 CFR 668.210, 668.220, and 668.230, concerning legal status, ability to administer Federal funds, and prior experience and success in

providing employment and training services to the client population. In addition, the other requirements for designation found at 20 CFR Part 668, Subpart B, must also be met.

**17.266 WORK INCENTIVE GRANTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act Sections 121, 134(c), 189(c) (29 U.S.C 2841, 2864 (c), and 2939(c)). Key regulations governing the Workforce Investment Act (WIA) program are at 20 CFR Parts 651-652 and 660-671., 29 U.S.C ; Wagner-Peyser Act. Key regulations governing the Wagner-Peyser Act program are at 20 CFR Parts 651-652 and 660-671., 29 U.S.C 49f.

**OBJECTIVES:**

Work Incentive Grants (WIGs) and Disability Program Navigators (DPNs) were established to increase the labor force participation and career advancement of persons with disabilities by effecting systemic change in the One Stop Career Centers. These programs support the capacity of the One Stop Career Center system to achieve integrated, seamless, and comprehensive services for people with disabilities, thereby increasing their employment, retention, and earnings. The competitive WIG Program has been reoriented from a competitive solicitation to the Disability Program Navigator (DPN) cooperative agreement, thereby assuring that the essential goals of the WIGs are achieved in the Workforce Investment System. The Department of Labor (DOL) and the Social Security Administration (SSA) jointly established a new position, the Disability Program Navigator (DPN), in One Stop Career Centers. The DPN guides the One Stop Career Center staff in helping people with disabilities access and navigate the various programs that impact upon their ability to gain/retain good jobs. Complex rules surrounding entitlement programs, along with the fear of losing cash assistance and health benefits, can often discourage people with disabilities from working. Consequently, the DPN initiative was established to better inform beneficiaries and other people with disabilities about the work support programs now available at the DOL-funded One Stop Career Centers. The major objectives of the DPN initiative are: (1) creating systemic change and transforming the culture of how the One Stop Career Center system serves customers with disabilities; (2) promoting meaningful and effective access, both physical and programmatic, to the One Stop Career Center system for all customers, including persons with disabilities; (3) creating attitudinal change about the abilities of people with disabilities to work in a variety of jobs and industries; (4) developing new/ongoing partnerships to achieve comprehensive services to people with disabilities; (5) expanding and enhancing the workforce development system's capacity to serve customers with disabilities and employers through the implementation of effective DPN strategies and practices; and (6) increasing the number of people with disabilities served under the WIA and achieving quality employment outcomes for job seekers with disabilities through accessing WIA Title I and Wagner-Peyser Programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are used for establishing Disability Program Navigators in One Stop Career Centers and improving the centers' physical and programmatic access for customers with disabilities. All proposed costs should be necessary and reasonable according to the Federal guidelines set forth in the Uniform Administrative Requirements for Grants and Cooperative Agreements to state and local governments, codified at 289 CFR Part 97, and must comply with the applicable OMB cost principles circulars, as identified in 29 CFR 96.27 and 29 CFR 97.22(b). Awardees must comply with the all other applicable administrative standards and national policy provisions (listed in the SGA). Indirect costs cannot exceed ten percent of the award. Funds must be used in accordance with Federal Regulations for this program. Restrictions are noted in grant agreements.

**Applicant Eligibility:**

State WIA administrating agencies.

**Beneficiary Eligibility:**

Limited to persons with disabilities eligible for employment and training services under the WIA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Solicitations for cooperative agreements are published on the ETA Web site: <http://www.doleta.gov/disability/>. All information concerning the proper application, format, content, and applicable forms are contained in the solicitation and published cooperative agreement. The state WIA administrative entity in the states that meets the eligibility criteria will receive a cooperative agreement solicitation requesting a response within 30 days of receipt.

**Award Procedure:**

Awards for cooperative agreements are made directly to successful applicants by the U.S. Department of Labor, Employment and Training Administration (ETA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval times are specified in individual Solicitation for Grant Applications.

**Appeals:**

Appeal information is noted in individual Solicitation for Grant Applications.

**Renewals:**

The cooperative agreements may be extended beyond the initial period of award, depending upon the availability of funds, to provide additional support.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance will be up to approximately 24 months from the date of execution by the Department. The Department may extend the period of performance based on the availability of funds and satisfactory performance. Payment will be made through electronic funds transfer utilizing the computerized Payment Management System (PMS). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. A quarterly narrative report is required within 45 days of the end of each quarter. A quarterly financial report is required within 45 days of the end of each quarter. Regional Federal Project Officers perform monitoring through desk or on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the U.S. Department of Labor or other authorized Government agencies.

**Records:**

Grant recipients are required to maintain records in accordance with 29 CFR 95 and 97. Financial records, supporting documents, statistical records, and all

other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$18,000,000; FY 09 est \$17,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Cooperative agreements ranged from \$ 75,000 to \$ 2 million dollars. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Performance data are posted annually on the Internet and are available at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are posted annually on the Internet and are available at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: Once finalized, performance budgets are posted annually on the U.S. Department of Labor Web site and are available at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the WIA are at 20 CFR Parts 651 through 652, 660 through 671 (65 FR 49294, August 11, 2000). The Uniform Requirements for Grants and Cooperative Agreements to State and Local Governments (also known as the "Common Rule") are applicable. The "Common Rule" is codified at 29 CFR Part 97 (97.22).

**Regional or Local Office:**

See Regional Agency Offices. Contact the Federal Project Officer (FPO) for the DPN Cooperative Agreements in the appropriate Regional Employment and Training Administrative Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Randee Chafkin 200 Constitution Avenue, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[chafkin.randee@dol.gov](mailto:chafkin.randee@dol.gov) Phone: 202-693-2723 Fax: 202-693-3817

**Website Address:**

<http://www.doleta.gov/disability/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The cooperative agreement funds are to establish positions for Disability Program Navigators in the One Stop Career Centers. These positions facilitate universal access to the One Stop Career Center for job seekers with disabilities through reaching out to the disability community, assuring the availability of trained and expert staff, and enhancing coordination across programs and services. Fiscal Year 2009: See above. Fiscal Year 2010: No additional funds are anticipated.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Cooperative Agreement published on ETA's Web site.

**17.267 INCENTIVE GRANTS - WIA SECTION 503**

WIA Incentive Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Adult Education and Family Literacy Act, 20 U.S.C 9211; Workforce Investment Act of 1998, Title I, Part B, Section 174, 503, Public Law 105-220, 20 U.S.C 9273.

**OBJECTIVES:**

To carry out innovative programs consistent with the purposes of Title I of WIA (Workforce Investment Systems), Title II of WIA (Adult Education and



Family Literacy Act (AEFLA), 20 U.S.C. 9201 et seq.), the Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Public Law 105-332, 20 U.S.C. 2301 et seq.) or a combination of two or more of these acts.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States have great flexibility in using these funds and are not limited to conducting only one type of innovative program. However, the use of grant funds must be consistent with WIA Section 503, including the requirement that they be used for innovative programs which further the purposes of WIA Titles I and II, AEFLA and/or the Perkins Act. In addition, grantees must comply with the requirements of whichever program the innovation affects. For example, if the incentive funds will be used for innovations in the delivery of youth activities under WIA Title I, the program must be consistent with WIA Title I provisions applicable to youth activities and the WIA regulations at 20 CFR part 664. States must submit a plan describing the innovative activities to be funded with this grant. States are expected to use funds for services and activities: (1) beyond those provided with regular funds from the three programs, particularly those authorized by one of these programs and another program; (2) which serve the needs of populations intended to be served by one or more of these programs; and (3) targeted to improving the performance of State systems of employment, training, and education. In addition, States are encouraged to plan activities that promote cooperation and collaboration among the agencies administering WIA Title I, AEFLA, and Perkins Act programs. States may only use funds in accordance with WIA, AEFLA, or Perkins Law III/IV.

**Applicant Eligibility:**

States, including Washington, DC, the Virgin Islands, Puerto Rico, and Guam. A listing of States eligible to receive incentive grants for program year 2005 performance will be published in the Federal Register in May 2007. To qualify for a grant, a State must exceed performance levels agreed to by the Secretary of Education, the Secretary of Labor, the Governor, and the State Education Officer, for outcomes in Titles I and II of the Workforce Investment Act (WIA) and the Perkins Act (Public Law 105-332, 20 U.S.C. 2301 et seq.), which include placement after training, retention in employment, and improvement in literacy levels, among other measures.

**Beneficiary Eligibility:**

States, including Washington, DC, the Virgin Islands, Puerto Rico, and Guam.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application must include assurances that: The State legislature was consulted with respect to the development of the application; the application was approved by the Governor, the eligible agency for adult education, as defined in WIA Section 203(4) (20 U.S.C. 9202(4)); and the State agency responsible for vocational and technical education programs, as defined in Perkins Act Section 3(9) (20 U.S.C. 2302(9)); and The State and the eligible agency, as appropriate, exceeded the State adjusted levels of performance for WIA Title I, the State adjusted levels of performance for AEFLA, and the performance levels established for Perkins Act programs. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance. ETA will coordinate review of applications with the Department of Education.

**Award Procedure:**

States must exceed performance for WIA Adult, Dislocated Worker and Youth programs as well as meet performance in AEFLA. Representatives from DOL and Education review those states and compile a list of those states meeting both sets of performance requirements. States are allocated a share of the incentive funds based on their proportionate share of WIA and AEFLA title funds. States must submit an application indicating they will meet all requirements of WIA and AEFLA as well as Perkins IV before funds can be granted. See USDOL ETA guidance TEGL 20-01, Change 7 at: [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2754](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2754).

**Deadlines:**

May 11, 2009 to Jun 25, 2009: 45 days. Specified in the applicable request for proposals, but generally 45 days from announcement in the Federal Register.

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

From 15 to 30 days. Appeal procedures are at 20 CFR Part 667, Subpart H.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a program year (July to June) basis and are available for expenditure for two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. See TEGL 14-00, Change 1 and TEGL 14-03 for reporting guidance. See TEGL 14-00, Change 1 and TEGL 14-03 for reporting guidance. See TEGL 14-00, Change 1 and TEGL 14-03 for reporting guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted in accordance with 20 CFR 667.200(b).

**Records:**

States are required to maintain adequate records in accordance with DOL uniform administrative requirements in 29 CFR Sections 97.20 and 97.42.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$10,000,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

For PY08 the range is \$761,088-\$1,099,410.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 666.200 - 666.230; Training and Employment Guidance Letters No. 20-01, change 7, TEGL 14-03 and TEGL 14-00, Change 1.

**Regional or Local Office:**

See Regional Agency Offices. State Federal Project Officers for those states receiving the awards.

**Headquarters Office:**

Gail Sather Room S5206  
200 Constitution Ave. NW, Washington, District of Columbia 20210 Email:

sather.gail@dol.gov Phone: 202-693-3995 Fax: 202-693-3490

**Website Address:**

<http://www.doleta.gov/performance>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.268 H-1B JOB TRAINING GRANTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Competitiveness and Workforce Improvement Act of 1998, Section 414(c), Public Law 105-227.

**OBJECTIVES:**

The H-1B Job Training Grant Program funds projects that provide training and related activities to workers to assist them in gaining the skills and competencies needed to obtain or upgrade employment in high-growth industries or economic sectors.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to provide job training services and related activities to assist workers in gaining the skills and competencies needed to obtain or upgrade career ladder employment positions in high-growth industries and economic sectors. See above. Approximately one hundred percent of these funds are used for discretionary activities.

**Applicant Eligibility:**

Applicants may generally be public, and non-profit organizations. See the Solicitation for Grant Application for specific requirements.

**Beneficiary Eligibility:**

Generally, the scope of potential trainees under these programs can be very broad. Please review the Solicitation for Grant Application for specific requirements. Training may be targeted to a wide variety of populations, including unemployed individuals and incumbent workers.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative

rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Some grants may be required to provide cash or in-kind matching resources. Please refer to the Solicitation for Grant Application for specific requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last one to three years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit quarterly reports within 45 days of the end of the quarter regarding the status of their project. Quarterly financial reports are required within 45 days of the end of the quarter. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk reviews, and on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 08 \$134,000,000; FY 09 est \$125,000,000; FY 10 est \$125,000,000

**Range and Average of Financial Assistance:**

Past awards have ranged from \$750,000 to \$15,000,000. Please review specific Solicitation for Grant Awards for range of awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Performance data are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010:

Performance plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). DOL Budget information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in applicable Solicitation for Grant Application.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thomas Hooper 200 Constitution Avenue, NW  
Room N-4643, Washington, District of Columbia 20210 Email:  
[hooper.thomas@dol.gov](mailto:hooper.thomas@dol.gov) Phone: 202-693-3865 Fax: 202-693-3890

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.269 COMMUNITY BASED JOB TRAINING GRANTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle D, Section 171(d), Public Law 105-220.

**OBJECTIVES:**

Workers must have the skills needed to secure good jobs and pursue careers in high-growth, high-demand industries. Community colleges are important training providers for workers needing to develop, retool, refine, and broaden their skills in high-growth, high-demand occupations because of their close connection to local labor markets. Community Based Job Training Grants strengthen the role of community colleges in promoting the U.S. workforce's full potential. Community Based Job Training Grants are awarded through a competitive process to support workforce training for workers to prepare them for careers in high-growth industries through the national system of community and technical colleges.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds must be used to train new and experienced workers for careers in identified high-growth, high-demand industries. Specific rules and requirements are published in each Solicitation for Grant Application. Approximately one hundred percent of available funds are used for discretionary activities. Grant opportunities are published in the Federal Register.

**Applicant Eligibility:**

Eligible applicants, under the fourth Solicitation for Grant Applications (SGA) for Community-Based Job Training Grants, included (1) community and technical colleges; (2) community college districts; (3) State community college systems; and (4) One-Stop Career Centers who meet specific criteria. Under the exception to eligible applicants for rural and other educationally underserved areas with no access to community colleges, additional eligible applicants included: Publicly-funded Institutions of Higher Education, as defined in 20 U.S.C. 1001; and Alternate Educational Entities that are governmental or not-for-profit organizations that directly deliver, or broker for delivery, post secondary education opportunities.

**Beneficiary Eligibility:**

Generally, the scope of potential trainees under Community-Based Job Training Grants is very broad. Specific requirements are published in each Solicitation for Grant Application. WIA Section 171(d) authorizes demonstration programs

to serve dislocated workers, incumbent workers, and new entrants to the workforce. This authorization supports a broad range of training for a variety of populations, including: incumbent workers who need new skills for jobs in demand up the career ladder or because the skill needs for their current job have changed; untapped labor pools such as immigrant workers, individuals with disabilities, veterans, older workers, youth, etc; or entry level workers who need basic skills and/or specific occupational skill training.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organization capacity, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Consult the Solicitation for Grant Application for deadlines.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last two to three years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 08 \$123,000,000; FY 09 est \$125,000,000; FY 10 est \$74,000,000

**Range and Average of Financial Assistance:**

Grants typically range from \$500,000 to \$2 million dollars per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Performance data is posted annually on the Internet and is available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance plans are posted annually on the Internet and are available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: Once finalized, performance budgets are posted on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thomas Hooper 200 Constitution Avenue, NW  
Room N-4643, Washington, District of Columbia 20210 Email:  
[hooper.thomas@dol.gov](mailto:hooper.thomas@dol.gov) Phone: 202-693-3865 Fax: 202-693-3890

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.270 REINTEGRATION OF EX-OFFENDERS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle D, Section 171, Public Law 105-220, U.S.C 171.

**OBJECTIVES:**

This program includes both Prisoner Reentry Initiative (PRI) grants to serve adult returning offenders and Youthful Offender grants aimed at youth involved or at risk of involvement in crime and violence. The objectives of the PRI grants include increasing the employment rate, employment retention rate, and earnings of released prisoners, and decreasing their recidivism. The objectives of the Youthful Offender grants include preventing in-school youth from

dropping out of school, increasing the employment rate of out-of-school youth, increasing the reading and math skills of youth, reducing the involvement of youth in crime and violence, and reducing the recidivism rate of youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Services under the PRI grants include assistance in finding employment, mentoring, job training, remedial education, and other comprehensive transitional services. Services under the Youthful Offender grants include a wide array of educational, employment, mentoring, case management, and violence reduction efforts. Restrictions for specific projects are listed in grant announcements. One hundred percent of these funds are set aside for discretionary activities to be distributed almost exclusively through competitive procurements.

**Applicant Eligibility:**

Eligible applicants for PRI grants are faith-based and community organizations (FBCOs) that are located in, or have a staff presence in, the urban community being served. Eligible applicants for Youthful Offenders vary depending on the solicitation, but have included community-based organizations, school districts, and juvenile justice agencies.

**Beneficiary Eligibility:**

PRI grants serve individuals, 18 years old and older, who have been convicted as an adult and have been imprisoned for violating a state or federal law, and who have never been committed a sex-related offense. Depending on the solicitation, enrollment may be limited based on whether the presenting offense was violent or whether the individual has previously committed a violent crime. Individuals eligible for Youthful Offender grants vary depending on the solicitation.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance. Please note that competitions for PRI and Youth Offender grants do not necessarily occur every year, depending on availability of funds and the extent to which existing grants are continuing.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. The general procedure is as follows. A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days. Procedures for each project are specified in the applicable request for proposals.

**Renewals:**

From 60 to 90 days. Extensions available upon approval; renewals are not automatic.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance varies by grant announcement. The possibility of additional years of funding varies by grant announcement. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports are required. Depending on the solicitation, grantees also may be required to participate in DOL's Management Information System data collection system. Quarterly financial reports are required. Regional Federal Project Officers are responsible for monitoring performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504 - Project Grants.

**Obligations:**

(Project Grants) FY 08 \$63,000,000; FY 09 est \$74,000,000; FY 10 est \$112,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies. The information is published in Federal Register grant announcements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Accomplishments are published quarterly on the Internet and are available at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Goals are to have a recidivism rate at twelve months of 16 percent or less for young offenders, ages 17 and under, and 17 percent or less for young offenders, ages 18 and above, and to place at least 49 percent of out-of-school enrollees, ages 18 and above, in unsubsidized jobs, post secondary education, long-term training, or the military. Fiscal Year 2010: DOL budgets are posted on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in SGA Announcement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard Morris 200 Constitution Ave, NW  
Room N-4507, Washington, District of Columbia 20210 Email:  
[morris.richard@dol.gov](mailto:morris.richard@dol.gov) Phone: 202-693-3603 Fax: 202-693-2764

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: PRI Grants: Grants of \$660,000 to community and faith-based organizations to support a project director, three job counselors, one job developer, a mentoring supervisor, an administrative assistant, tryout jobs for participants, materials, and supplies. Youthful Offender Grants: Grants to school districts to serve students in persistently dangerous schools. Fiscal Year 2009: See above. Fiscal Year 2010: See above.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable request for proposals.

**17.271 WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Small Business Job Protection Act of 1996, as amended, Public Law 104-188; The Small Business and Work Opportunity Tax Act of 2007, Public Law 110-28; Tax Relief and Health Care Act of 2006, Public Law 109-432; Internal Revenue Code, Section 51; The American Recovery and Reinvestment Act of 2009, Public Law 111-5; Tax Payer Relief Act of 1997, as amended, Public Law 105-34; Working Families Tax Relief Act of 2004, Public Law 108-311.

**OBJECTIVES:**

The tax credit was designed to help individuals from twelve target groups who consistently have faced significant barriers to employment move from economic dependency to self-sufficiency by encouraging businesses in the private sector to hire target group members and be eligible to claim tax credits against the wages paid to the new hires during the first year of employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States are to use these formula grants for: determining eligibility of individuals as members of targeted groups; issuing employer certifications or denials; developing working agreements with partner agencies in the One Stop Service Delivery system and coordinating efforts to promote WOTC to employers and job seekers and other Workforce Investment Act (WIA) partners. The Federal government provides general direction, funding, and oversight. See above.

**Applicant Eligibility:**

States (not individuals), the District of Columbia, the Virgin Islands, and Puerto Rico.

**Beneficiary Eligibility:**

All employers seeking WOTC target group workers and target group members seeking employment. The members of the different target groups have statutory definitions (per Public Law 109-188, as amended) with specific eligibility requirements that must be verified by the state workforce agencies before a certification can be issued to an employer or his representatives. Participating employers and their representatives must file their certification requests using IRS Form 8850 and ETA Form 9061 or 9062 within 28 days after the employment-start day of the new hires. This timeliness requirement cannot be waived and must be met before a state can issue a certification for eligible target group members.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State workforce agencies (SWAs) must submit an annual grant plan and statement of work to ETA according to the requirements issued in policy guidance. SWAs may request extensions through ETA regional offices.

**Award Procedure:**

Review of State Plans occurs at Employment and Training Administration National Office. WOTC grant funds for approved state plans are provided under separate annual funding agreements for each program year with the designated SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in regulations.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is provided by annual formula allotments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly program reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required. The Internal Revenue Service (IRS) requires that the SWAs keep and maintain certification records for four years and denial records for one year in the event of an employer audit by IRS or an employer appeal to the SWAs.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 08 \$17,000,000; FY 09 est \$19,000,000; FY 10 est \$19,000,000

**Range and Average of Financial Assistance:**

FY 2009 Allotments ranged from \$ 66,863 to \$ 2,216,782. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 51 of the Internal Revenue Code, Title 26 U.S.C. ETA Handbook No. 408, Third Edition, November 2002 as amended. An e-copy can be obtained at [www.doleta.gov/business/incentives/opptax](http://www.doleta.gov/business/incentives/opptax). The report may be obtained from the Division of Adult Services, 200 Constitution Ave, N.W., Room S-4209, Washington, DC 20210, or on the Employment and Training Administration Web page at <http://www.doleta.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Regional Office or state workforce agencies by checking the local telephone directory or obtaining directories of WOTC Regional and State Coordinators at: [www.doleta.gov/business/Incentives/opptax/](http://www.doleta.gov/business/Incentives/opptax/).

**Headquarters Office:**

Carmen Ortiz 200 Constitution Ave, NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[ortiz.carmen@dol.gov](mailto:ortiz.carmen@dol.gov) Phone: 202-693-2786 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov/business/Incentives/opptax/> .

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 27.002 Federal Employment Assistance for Veterans; 27.003 Federal Student Temporary Employment Program; 27.005 Federal Employment for Individuals With Disabilities; 64.116 Vocational Rehabilitation for Disabled Veterans; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.272 PERMANENT LABOR CERTIFICATION FOR FOREIGN WORKERS****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Immigration and Nationality Act of 1952, as amended, Sections 101 (a) (15) H (II), 214 (c) and 212 (a) (5) (A), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq.

**OBJECTIVES:**

To protect the jobs of American workers; ensure the wages and working conditions of U.S. workers will not be adversely affected by the admission of permanent foreign workers; and assist employers by supplementing the work force with needed skills.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Under Section 212 (a)(5)(A) of the Immigration and Nationality Act, foreign workers who seek to immigrate to the United States for employment shall be excluded from admission unless the Secretary of Labor determines and certifies to the Secretary of State and to the Secretary of Homeland Security that there are not sufficient U.S. workers available for the position, and that the employment of such foreign workers will not adversely affect the wages and working conditions of U.S. workers similarly employed. The certified employer must hire the foreign worker as a full-time employee; there must be a bona fide job opening available to U.S. workers; job requirements must adhere to what is customarily required for the occupation in the U.S. and may not be tailored to the foreign worker's qualifications. In addition, the employer shall document that the job opportunity has been and is being described without unduly restrictive job requirements, unless adequately documented as arising from business necessity. The employer must pay at least the prevailing wage for the occupation in the area of intended employment.

**Applicant Eligibility:**

(1) Any employer who is unable to find qualified U.S. workers to meet his or her needs and seeks to hire a foreign worker to fill a given job vacancy on a permanent basis is eligible to file an application for permanent labor certification with the Department of Labor. (2) An employer who seeks to employ a foreign worker whose category of employment is included in the Department of Labor, Schedule A list of precertified occupations contained in Part 656, Title 20, Code of Federal Regulations is eligible to file an application directly with the appropriate U.S. Citizenship and Immigration Services Office.

**Beneficiary Eligibility:**

Employers and foreign workers.

**Credentials/Documentation:**

Employers seeking labor certification, and thereafter filing an immigration petition to sponsor a foreign worker for employment-based permanent residency, must document that worker's education, experience, and job qualifications to the satisfaction of the U.S. Citizenship and Immigration Services. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to filing the application for permanent employment certification, the employer must request a prevailing wage determination from the State Workforce Agency (SWA) having jurisdiction over the proposed area of intended employment and must attest, in addition to a number of other conditions of employment, to having conducted recruitment prior to filing the application. Commencing January 1, 2010, employers intending to file permanent labor certification applications must request prevailing wage determinations from the Employment and Training Administrations center located in Washington, DC. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employers must file labor certification applications for permanent employment directly with the appropriate National Processing Center (except for Schedule A occupations). See <http://workforcsecurity.doleta.gov/foreign/perm.asp> for additional details.

**Award Procedure:**

If the appropriate National Processing Center approves the application, the application form is "certified" (approved) by the Certifying Officer and returned to the employer/agent who submitted the application. The labor certification is then filed by the sponsoring employer in support of its immigrant worker petition with USCIS.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Timeframe for processing of permanent labor certification applications varies with the circumstances of each case.

**Appeals:**

The permanent labor certification program provides for reconsideration by a Certifying Officer of denial of an application, upon the employer's request. Instead of or following a request for reconsideration, requests for administrative review of final determinations (denials of permanent labor certification applications) may be made directly to the Department of Labor's Board of Alien Labor Certification Appeals (BALCA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Employment and Training Administration issues formula grants to State Workforce Agencies for activities supporting federal labor certification programs. Grants are issued on a fiscal year basis. For purposes of the permanent program, state labor agencies currently receive funding for processing and analysis necessary to issue prevailing wage rates to employers planning to file permanent labor certification applications. Commenting January 1, 2010, employers must request prevailing wage rates directly from the ETA prevailing wage determination center located in Washington, DC. See the following for information on how assistance is awarded/released: Fiscal year basis.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress

reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Selected audits are conducted by the Department of Labor.

**Records:**

The employer is required to retain all supporting documentation for five years from the date of filing the Application for Permanent Employment Certification.

**Account Identification:**

16-0179-0-1-999; 16-0172-0-1-504.

**Obligations:**

(Salaries) FY 08 \$41,000,000; FY 09 est \$53,000,000; FY 10 est \$53,000,000 - Funds for the Permanent Labor Certification Program are not appropriated separately from other foreign labor certification funds.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website: [http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2009: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

References in the Code of Federal Regulations: For permanent employment-Title 20, CFR Part 656. Applicable statutes, regulations, and policies are described on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

**Regional or Local Office:**

None. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, envelopes should be clearly marked according to the appropriate program type. Atlanta Processing Center Address: Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410 Atlanta, GA 30303, Telephone: (404) 893-0101 Fax: (404) 893-4642. Chicago Processing Center Address: Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Telephone: (312) 886-8000 Fax: (312) 886-1688.

**Headquarters Office:**

Leticia Sierra, Office of Foreign Labor Certification, National Office, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20210 Email: [sierra.leticia@dol.gov](mailto:sierra.leticia@dol.gov) Phone: 202-693-3010.

**Website Address:**

<http://www.foreignlaborcert.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.273 Temporary Labor Certification for Foreign Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.273 TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Immigration Reform and Control Act of 1986, Public Law 99-603, 100 Stat. 3359, 8 U.S.C 1186; Immigration Act of 1990, Public Law 101-649, 104 Stat. 4978, 8 U.S.C 1182(n), 1184; Omnibus Insular Areas Act of 1991, Public Law 102-232, 105 Stat. 1733, 8 U.S.C 1182; Immigration and Nationality Act of 1952, as amended, Sections 101(a)(15)(H), 212(n), 214(c) and 214(i), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq.

**OBJECTIVES:**

To provide greater protection for U.S. and foreign workers while assisting U.S. employers to obtain temporary foreign workers, when needed. Also, to enable agricultural and other employers to obtain foreign workers for temporary or seasonal jobs when domestic workers are not available; and to assure adequate working and living conditions for domestic and foreign workers employed in similar tasks.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Department of Labor issues labor certifications for temporary employment under several programs: H-1B Specialty (Professional) Worker Program, H-1B1 Specialty Worker Program (professionals from Chile or Singapore working in specialty occupations), E-3 Specialty Worker Program (professionals from Australia working in specialty occupations), H-2A Temporary Labor Certification (Agricultural), H-2B Temporary Labor Certification (Non-Agricultural), and D-1 Crewmember Program.

**Applicant Eligibility:**

H-2A Program: An agricultural employer who anticipates a shortage of U.S. workers needed to perform agricultural labor or services of a temporary or seasonal nature. The employer may be an individual proprietorship, a partnership or a corporation. An association of agricultural producers may file as a sole employer, a joint employer with its members, or as an agent of its members. An authorized agent, whether an individual (e.g., and attorney) or an entity (e.g., an association), may file an application on behalf of an employer. Associations may file master applications on behalf of their members. H-2B Program: The job and the employer's need must be one time, seasonal, peak load or intermittent; the job must be for less than one year; and there must be no qualified and willing U.S. workers available for the job. An employer can file an application for labor certification with the appropriate National Processing Center of the Employment and Training Administration. State Workforce Agencies are federally funded to issue prevailing wage determinations for foreign labor certification programs.

**Beneficiary Eligibility:**

Employers and foreign workers to be employed in specialty occupations or as fashion models or in temporary agricultural or non-agricultural employment.

**Credentials/Documentation:**

In the major temporary labor certification programs, employers sponsoring foreign workers to fill a temporary need file the certification from the Department of Labor as documentation in support of their respective I-129 nonimmigrant worker petitions with the Department of Homeland Security, United States Citizenship and Immigration Services (USCIS). In the H-1B1 and E-3 programs, a USCIS petition is not needed for initial visa issuance, and the foreign national may use proof of certification in support of the visa application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employers contact the appropriate office of the Employment and Training Administration. Also see <http://www.doleta.gov/business/gw/guestwkr/> for additional details on specific programs.

**Award Procedure:**

Certifications are sent to the employer in support of the petition to be filed with the U.S. Citizenship and Immigration Services which determines admissibility and Visa classification. Certified copies of accepted attestations for the D-1 Crewmember program are returned to the employer and the USCIS is notified of the filing in writing. Grants: State Workforce Agencies receive funds upon acceptance of their work plans.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

H-1B: From one to seven days. H-2A: Statute requires an initial acceptance by ETA within seven days of filing, and a final determination 30 days prior to the employer's date of need. 8 U.S.C. Section 1188(c).

**Appeals:**

There is no procedure for appealing Employment and Training Administration determination to accept or reject a Labor Condition Application. Complaints regarding misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor.

**Renewals:**

Treated as filing of new labor condition applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal year basis. See the following for information on how assistance is awarded/released: ETA issues formula grants to State Workforce Agencies to fund activities supporting federal labor certification programs.

**Reports:**

Activity and workload reports. Cash reports are not applicable. Progress reports are not applicable. Grants: Quarterly financial reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Employer has to make a filed labor condition application and necessary supporting documentation available for public examination at the employer's principal place of business in the United States, or at the place of employment within one working day after the date on which the labor condition application is filed with the Employment and Training Administration. Complaints concerning misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor. The Administrator, Wage and Hour Division, performs the entire Secretary's investigative and enforcement functions under 8 U.S.C. 1182(n) and subparts I and K of 29 C.F.R. Part 504.

**Records:**

Employer shall make the Labor Condition Application (LCA) and necessary supporting documentation available for public examination at the employer's principal place of business in the United States or at the place of employment within one working day after the date on which the LCA is filed with Employment and Training Administration.

**Account Identification:**

16-0179-0-1-999; 16-0172-0-1-504.

**Obligations:**

(Formula Grants) FY 08 \$13,000,000; FY 09 est \$15,000,000; FY 10 est \$15,000,000 - Congressional funding for temporary labor certification programs is not appropriated separately from funds for other federal labor certification activities.



**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Quarterly Workforce System Results Website: [http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2009: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found at 20 CFR 655. Additional information on applicable statutes, regulations, and Departmental guidance is posted on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

**Regional or Local Office:**

None. Contact the appropriate State Workforce Agency (See Appendix IV) or Employment and Training Administration National Processing Center. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, or the ETA National Office, envelopes should be clearly marked according to the appropriate program type, i.e. H-1B, H-1B1, E-3, H-2A, H-2B, or D-1. Atlanta Processing Center Address: U.S. Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410, Atlanta, GA 30303 Phone: (404) 893-0101 FAX: (404) 893-4642. Chicago Processing Center Address: U.S. Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Phone: (312) 886-8000 FAX: (312) 886-1688.

**Headquarters Office:**

Leticia Sierra, Office of Foreign Labor Certification, Employment and Training Administration Department of Labor, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20010 Email: [sierra.leticia@dol.gov](mailto:sierra.leticia@dol.gov) Phone: (202) 693-3010.

**Website Address:**

<http://www.foreignlaborcert.doleta.gov/>.

**RELATED PROGRAMS:**

17.272 Permanent Labor Certification for Foreign Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.274 YOUTHBUILD****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act (WIA) of 1998, Title I, Subtitle D, Section 173A, YouthBuild Program, Public Law 109-28. Public Law 105-220, 20 U.S.C. 9201. The American Recovery and Reinvestment Act of 2009, Section 2, Public Law 111-5, 115 Stat. 59, VIII U.S.C 2.

**OBJECTIVES:**

Grant funds will be used to provide disadvantaged youth with: the education and employment skills necessary to achieve economic self sufficiency in occupations in high demand and postsecondary education and training opportunities; opportunities for meaningful work and service to their communities; and opportunities to develop employment and leadership skills and a commitment to community development among youth in low-income communities. As part of their programming, YouthBuild grantees will tap the energies and talents of disadvantaged youth to increase the supply of permanent affordable housing for homeless individuals and low-income families and to assist youth develop the leadership, learning, and high-demand occupational

skills needed to succeed in today's global economy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds must be used for: (1) Education and workforce activities, such as: basic skills instruction and remedial education; language instruction educational programs for individuals with limited English proficiency; secondary education services and activities, including tutoring, study skills training, and dropout prevention activities, designed to lead to the attainment of a secondary school diploma, General Education Development (GED) credential, or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities); counseling and assistance in obtaining postsecondary education and required financial aid; alternative secondary school services; work experience and skills training (coordinated, to the maximum extent feasible, with pre-apprenticeship and registered apprenticeship programs) in housing rehabilitation and construction activities; occupational skills training; and other paid and unpaid work experiences, including internships and job shadowing. (2) Counseling services and related activities, such as comprehensive guidance and counseling on drug and alcohol abuse and referral; (3) Youth development activities, such as: community service and peer-centered activities encouraging responsibility and other positive social behaviors, and activities related to youth policy committees that allow YouthBuild participants to engage in local policy and decision-making related to the program. (4) Supportive services and provision of need-based stipends necessary to enable individuals to participate in the program. (5) Supportive services to assist individuals, for a period not to exceed 12 months after the completion of training, in obtaining or retaining employment, or applying for and transitioning to postsecondary education; and job search and assistance. (6) Supervision and training for participants in the rehabilitation or construction of housing, including residential housing for homeless individuals or low-income families, or transitional housing for homeless individuals. (7) Supervision and training for participants in the rehabilitation or construction of community and other public facilities. (8) Payment of a portion of the administrative costs of the grantee. (9) Mentoring of participants by qualified adults (10) Provision of wages, stipends, or benefits to participants in the program. (11) Ongoing training and technical assistance for staff that are related to developing and carrying out the program. (12) Follow-up services. (13) Equipment and/or supplies related to the YouthBuild activities funded through this grant. Funds must be used to provide prescribed education and workforce activities for eligible youth, including construction of housing, including residential housing for homeless individuals or low income families, or transitional housing for homeless individuals. Up to ten percent of the funds may be used in the rehabilitation or construction of a community or other public facilities. One hundred percent of funds are distributed through a competitive grant process.

**Applicant Eligibility:**

Eligible applicants for these grants are public or private nonprofit agency or organization (including a consortium of such agencies or organizations), including: community-based organizations; faith-based organizations; an entity carrying out activities under this WIA, such as a local workforce investment board or One-Stop Career Center; a community action agency; a state or local housing development agency; an Indian tribe or other agency primarily serving Indians; a community development corporation; a state or local youth service conservation corps; or any other relevant public or private nonprofit entity that provides education or employment training and can meet the required elements of the grant.

**Beneficiary Eligibility:**

An eligible youth is an individual who is (1) between the ages of 16 and 24 on the date of enrollment; and (2) a member of a disadvantaged youth population such as a member of a low-income family, a youth in foster care (including youth aging out of foster care), a youth offender, a youth who is an individual with a disability, a child of an incarcerated parent, or a migrant youth; and (3) an individual who has dropped out of high school and re-enrolled in an alternative school, if that re-enrollment is part of a sequential service strategy. Up to (but not more than) 25 percent of the participants in the program may be youth who do not meet the education and disadvantaged criteria above but who are: (1) basic skills deficient, despite attainment of a secondary school diploma,

General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); or (2) have been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma.

**Credentials/Documentation:**

Grantees must demonstrate adequate organizational capacity to implement a YouthBuild program. Additionally, grantees must provide evidence of the capacity to track and report performance outcomes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.dol.gov](http://www.dol.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 2 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A quarterly narrative report must be submitted within 45 days following the quarter. Cash reports are not applicable. The quarterly performance report must be submitted within 45 days following the quarter. A quarterly financial report is submitted within 45 days following the quarter. Regional Federal Project Offices conduct monitoring using risk assessments, desk audits, and on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment, unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0184-0-1-504 - ARRA; 16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 08 \$60,000,000; FY 09 est \$61,000,000; FY 10 est \$77,000,000. (Project Grants) FY 08 \$0; FY 09 est \$50,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Grants ranged from \$ 700,000 to \$1.1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Data not yet available. Fiscal Year 2009: Program plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2010: Once finalized, performance budgets are posted annually and are available on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Application.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anne Stom 200 Constitution Avenue, NW  
Room N-4508, Washington, District of Columbia 20210 Email: [stom.anne@dol.gov](mailto:stom.anne@dol.gov) Phone: 202-693-3377 Fax: 202-693-3861

**Website Address:**

<http://www.doleta.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.275 PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (ARRA) is intended to preserve and create jobs and promote economic recovery; assist those most impacted by the recession; provide investments needed to increase economic efficiency by spurring technological advances in science and health; and invest in transportation, environmental protection, and other infrastructure that will

provide long-term economic benefits.

The ARRA makes \$750,000,000 available for a program of competitive grants for worker training and placement in high growth and emerging industry sectors.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants awarded through this program are to be used for worker training and placement in high-growth and emerging industry sectors: \$500 million shall be for research, labor exchange and job training projects that prepare workers for careers in energy efficiency and renewable energy; and the Recovery Act further provided that in awarding grants for the remaining \$250 million, projects that prepare workers for careers in the health care sector would receive priority. Restrictions are specified in Solicitation for Grant Announcements. TBD.

**Applicant Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Beneficiary Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Application (SGAs) in the Federal Register, on Grants.gov, and also on ETA's Internet Web site at www.doleta.gov.

**Award Procedure:**

Procedures for each grant award are specified in the applicable request for grant applicants. Generally, the procedure is as follows: A technical review panel composed of Department of Labor staff as well as other peer reviewers evaluates the grant applications from eligible applicants. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at www.doleta.gov. If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Please check the Federal Register or Grants.gov for deadlines.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals of funds are generally not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing or matching funds are not required as a condition for application unless specified in the SGA. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance will be from one to three years, as specified in the SGA. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the solicitation. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$743,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Applicants should refer to individual SGAs to determine the range of awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thomas Hooper, Business Relations Group, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., NW., Room N-4643, Washington, District of Columbia 20210 Email: hooper.thomas@dol.gov Phone: (202) 693-3949. Fax: 202-693-3865

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

**17.276 HEALTH COVERAGE TAX CREDIT (HCTC)**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Trade Act of 1974 (Public Law 93-618), as amended; Trade Adjustment Assistance (TAA) Reform Act of 2002 (Public Law 107-210); Trade and Globalization Assistance Act of 2009 (Public Law 111-5), Workforce Investment Act Section 173(g)(29 U.S.C. 2918), Public Law 111-5.

**OBJECTIVES:**

To provide health insurance coverage assistance and support related services to eligible TAA-impacted workers and other eligible individuals, as authorized under the Trade Adjustment Assistance Reform Act of 2002 and the expansion of the program in the Trade and Globalization Assistance Act of 2009.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

HCTC is a tax credit administered by the Internal Revenue Service. The tax credit is equal to 80 percent of the amount paid by an eligible individual for qualified health coverage as specified in section 35 of the Internal Revenue Code. Monthly payments are made directly to a health plan administrator on behalf of participants, allowing them to receive the benefit on the tax credit at the time of need.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

TAA certification. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HCTC applications are submitted electronically through the National Emergency Grant Electronic Application system. States are required to complete and submit the following OMB approved forms:

Completed and signed SF 424 Application for Federal Assistance. This form is the required application for requesting federal funds.

Project Synopsis (ETA 9106) - This form summarizes key aspects of the proposed project such as project type, planned number of participants and contact information.

Planning Form (ETA 9103) This form provides cumulative quarterly estimates on project scope (e.g. number of participants, exits), designs (e.g. mix of services), and budget (e.g., cost by type of activity, administrative costs)

Narrative Statement Explanation must be provided in cases where one or more of the following are reflected in the project plan:

Indirect costs are included in the budget, which requires identifying the following: cognizant approval agency, approved cost rate and base, and date of approval.

Other costs are included in the budget, which requires identifying the specific cost items and amounts

Administrative costs related to processing payments for qualified health insurance coverage and/or income support are included in the budget, which requires explaining how the administrative cost estimate was derived (i.e. based on the number of check payments and check processing costs)

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the

dollar amount, purpose of the funds and the terms and conditions of the grant, based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HCTC grants are awarded on a rolling basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. HCTC Infrastructure reports outline the administrative costs of and the premium payments processed. HCTC gap filler reports outline the number of participants receiving payments and the amount of payments issued. A separate quarterly financial report (9130) is also submitted. NEG Quarterly Performance report (ETA 9104) is submitted through the NEG Electronic System on actual performance to date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State requirements are to be in conformity with Federal statutes.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$15,000,000; FY 10 est \$100,000,000

**Range and Average of Financial Assistance:**

\$12,702 to \$12,566,852. Average: \$823,438.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States pay healthcare premiums for up to three months for eligible participants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training and Employment Guidance Letter (TEGL) 20-02 Use of National Emergency Grant (NEG) Funds under the Workforce Investment Act (WIA), as amended, to Support Health Insurance Coverage Assistance for Trade-Impacted Workers. TEGL 20-02, Change 1 Policy Guidance for Use of National Emergency Grant (NEG) Funds under Workforce Investment Act (WIA), as amended, to Support Gap-Filler Payments for Individuals Eligible for Health Coverage Tax Credit (HCTC).

**Regional or Local Office:**

See Regional Agency Offices. Employment and Training Administration regional offices.

**Headquarters Office:**

Erica R. Cantor, Francis Perkins Building, Room C-5321, Washington, District of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500. Fax: (202) 693-3149

**Website Address:**

<http://www.doleta.gov/neg/>

**RELATED PROGRAMS:**

17.245 Trade Adjustment Assistance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Awards are made to states for HCTC program and system development (infrastructure) and gap filler health care premium payments (up to 3 months.). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for approving applications are based on applicant and beneficiary eligibility as follows:

Eligible Applicants: State Workforce Agencies, including those in the District of Columbia, Puerto Rico and the Virgin Islands

Beneficiary Eligibility: individuals must meet one of the criteria:

Eligible TAA recipient, which is defined as an individual who is receiving a trade readjustment allowance (TRA) under the TAA program, or would be eligible for TRA except that he/she has not exhausted unemployment benefits;

Eligible alternative TAA recipient, which is defined as an individual who is receiving benefits under a demonstration program of alternative trade adjustment assistance for older workers under Section 246 of the Trade Act of 1974 (as amended by the Act)

Eligible Pension Benefit Guaranty Corporation (PBGC) pension recipient, which is defined as an individual who is 55 years of age or older and is receiving a pension benefit paid in whole or part by the PBGC.

**17.277 WORKFORCE INVESTMENT ACT (WIA) NATIONAL EMERGENCY GRANTS**

National Emergency Grants (NEGs)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201; The American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The purpose of the National Emergency Grant program is to temporarily expand service capacity at the state and local levels by providing time-limited funding assistance in response to significant dislocation events. Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the on-going operations of the formula-funded Dislocated Worker program, including the discretionary resources reserved at the state level.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible circumstances for funding include: Plant closures; mass layoffs affecting 50 or more workers; and special assistance, including health insurance coverage assistance to trade impacted workers and other individuals eligible under the Trade and Globalization Adjustment Assistance Act of 2009.

**Applicant Eligibility:**

Specifically, entities that are eligible to receive a National Emergency Grant include: a designated state Workforce Investment Act (WIA) program grantee agencies, a Local Workforce Investment Area, a consortium of local boards for adjoining local areas, a designated organization receiving WIA funding through the Native American Program provision of WIA, and a consortium of states.

**Beneficiary Eligibility:**

Individuals who are eligible for assistance vary by type of National Emergency Grant project, however they must meet the criteria provided in the Workforce Investment Act: National Emergency Grants - Application Procedures, 69

Federal Register 23052 at 23057 (April 27, 2004).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for NEGs are submitted via the NEG Electronic Application System.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds, and the terms and conditions of the grant based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. A decision on an initial application and monetary grant modifications such as requests for incremental funding, are made within 30 working days from receipt of a complete and responsive request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications for NEG funds can be funded in whole or in part. Generally, NEGs are funded incrementally. Awarded NEG funds may be expended during the months remaining in the Program Year in which the grant award is made plus the subsequent two program years. Generally, planned project durations should not exceed 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are submitted annually. No cash reports are required. Progress Reports and Workforce Investment Act Performance Reports are submitted quarterly. Financial reports are submitted quarterly. Performance monitoring occurs on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504 - Program Year Funding.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$98,000,000 - (see 17.260 for actual and estimated obligations for 2008 and 2009).

**Range and Average of Financial Assistance:**

Grant amounts awarded have ranged from \$149,000 to \$22,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Outcomes are published annually and posted on the Internet at:

www.doleta.gov/Performance/eta\_default.cfm. Fiscal Year 2009: Performance plans are published annually and posted on the Internet at: www.dol.gov/dol/aboutdol/main.htm#budget. Fiscal Year 2010: Once finalized, Department of Labor budgets are posted on the Internet and are available at: www.dol.gov/dol/aboutdol/main.htm#budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Erica R. Cantor 200 Constitution Ave. NW  
Room C-5321, Washington, District of Columbia 20210 Email:  
cantor.eric@dol.gov Phone: (202) 693-3500 Fax: (202) 693-3149

**Website Address:**

http://www.doleta.gov

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.276 Health Coverage Tax Credit (HCTC)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.278 WIA DISLOCATED WORKER FORMULA GRANTS**

(WIA Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201; The American Reinvestment and Recovery Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

To reemploy dislocated workers, improve the quality of the workforce, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. For cross cutting goals, the program intends to enhance customer satisfaction for participants and for employers. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service, which are available to all job seekers. "Core" services include outreach, job search and placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "individual training account" to select an appropriate training program from an eligible training

provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, The District of Columbia and the outlying areas. Funds are allotted based on a statutory formula and states, in turn, allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor.

**Beneficiary Eligibility:**

Individuals eligible for assistance through the applicants receiving the funds include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have dependent on income of another family member, but are no longer supported by that income.

**Credentials/Documentation:**

Formula-funded programs are subject to governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, currently Janet Sten, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Formula Funds: Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998 , Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are submitted annually. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$1,130,000,000 - See 17.260 for actual and estimated obligations for 2008 and 2009.

**Range and Average of Financial Assistance:**

Formula fund grants ranged from \$ 1,950,897 to \$ 212,284,647.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Outcomes are published annually and posted on the Internet at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). Fiscal Year 2009: Performance

plans are published annually and posted on the Internet at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2010: Once finalized,

Department of Labor budgets are posted on the Internet and are available at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Margaret Ewell, 200 Constitution Ave, N.W., Room S-4209, Washington, District of Columbia 20210 Email: [ewell.maggie@dol.gov](mailto:ewell.maggie@dol.gov) Phone: (202)

693-3160 Fax: 202-693-3587

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.301 NON-DISCRIMINATION AND AFFIRMATIVE ACTION BY FEDERAL CONTRACTORS AND FEDERALLY ASSISTED CONSTRUCTION CONTRACTORS**

Office of Federal Contract Compliance Programs (OFCCP)

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Executive Order 11246, as amended, September 24, 1965; Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, Public Law 93-508; Executive Order 12086, October 5, 1978; Rehabilitation Act of 1973, as amended, Section 503, Public Law 93-112; Americans with Disabilities Act of 1990, as amended, Title I, Public Law 101-336; Veterans Codification Act of 1991, as amended, Section 5(a), Public Law 102-83, 38 U.S.C 4212; Executive Order 11375, October 13, 1967; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Immigration Reform and Control Act of 1986, Public Law 99-603, 8 U.S.C 1101.

**OBJECTIVES:**

To assure non-discrimination and affirmative action in employment by covered Federal contractors, including Federal construction contractors, and federally assisted construction contractors.

**TYPES OF ASSISTANCE:**

Investigation of Complaints

**USES AND USE RESTRICTIONS:**

Setting policy, monitoring and evaluating the compliance of Federal contractors and federally assisted construction contractors with their obligation to ensure non-discrimination and affirmative action in employment without regard to race, religion, color, sex, or national origin; ensuring non-discrimination and affirmative action in employment for individuals with disabilities and covered veterans, i.e., with disabled veterans, Armed Forces service medal veterans, recently separated veterans, and other protected veterans. (Note: The terms "subcontract" and "subcontractor" are subsumed under the terms "contract" and "contractor", respectively.)

**Applicant Eligibility:**

Complaints against Federal contractors and federally assisted construction contractors which allege employment discrimination on the basis of race, sex, religion or national origin, may be filed with OFCCP. In addition, any employee, former employee, or applicant for employment with a Government contractor who believes he or she has been the subject of discrimination on the basis of disability or covered veteran status may file an individual complaint of discrimination. Program benefits are available to applicants and employees of Federal contractors performing work in the United States; including the District of Columbia, the Commonwealth of Puerto Rico, the Panama Canal Zone, and the possessions of the United States (Virgin Islands, Guam, American Samoa, Trust Territories of the Pacific). Applicants and employees who were recruited in the United States by a Federal contractor to perform work outside of the United States are also covered.

**Beneficiary Eligibility:**

Employees, former employees, or applicants with a Government contractor or federally assisted construction contractor, including construction sub-contractors.

**Credentials/Documentation:**

None for Executive Order or Section 503 regulations; Veterans need DD 214 (discharge); disabled veterans need evidence of qualifying disability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Any

person seeking information or wishing to file a complaint may contact the nearest Office of Federal Contract Compliance Programs, Employment Standards Administration. Complaints are forwarded to the appropriate OFCCP or EEOC (in the case of non-class type complaints under E.O. 11246) office for processing. Complainants who submit incomplete information will be requested to make additional submittal, and must do so within 60 days of the request.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Under the Executive Order program, complaints must be investigated within 60 days. The Deputy Assistant Secretary for OFCCP may extend this time for good cause shown. Under the veterans and Section 503 programs, investigations must be instituted promptly.

**Appeals:**

Under the Executive Order program, findings by OFCCP District and Regional Directors are subject to review by the Deputy Assistant Secretary for OFCCP. In the Section 503 and veterans programs, complainants may request a review by the Deputy Assistant Secretary for OFCCP. The Deputy Assistant Secretary, on his or her own initiative, may reconsider the determination. The parties will then be notified of the final determination.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries) FY 08 \$81,001,000; FY 09 est \$82,107,000; FY 10 est \$109,521,000.  
(Salaries) FY 08 not reported.; FY 09 est \$2,498,000; FY 10 est \$4,702,000 - American Recovery and Reinvestment Act Funding.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Program information is available on the OFCCP web page (<http://www.dol.gov/esa/ofccp/>). Fiscal Year 2009: Not Available. Fiscal Year 2010: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Equal Employment Opportunity, Executive Order 11246 as amended by Executive Orders 11375 and 12086; Regulations 41 CFR Part 60-1, Obligations of Contractors and Subcontractors; 41 CFR Part 60-2, Affirmative Action Programs (Revised Order 4); 41 CFR Part 60-3, Uniform Guidelines on Employee Selection Procedures (1978); 41 CFR Part 60-4, Construction Contractors Affirmative Action Requirements; 41 CFR Part 60-20, Sex Discrimination Guidelines; 41 CFR Part 60-30, Rules of Practice for Administrative Proceedings; 41 CFR Part 60-40, Examination and Copying of OFCCP Documents; 41 CFR Part 60-50, Guidelines on Discrimination Because

of Religion or National Origin; 41 CFR Part 60-250, Affirmative Action and Nondiscrimination Obligations of Contractors and Subcontractors regarding special Disabled Veterans and Veterans of the Vietnam Era; 41 CFR Part 60-300, Affirmative Action and Nondiscrimination Obligations of Contractors and Subcontractors Regarding Disabled Veterans, Recently Separated Veterans, Other Protected Veterans, and Armed Forces Service Medal Veterans; 41 CFR Part 60-741, Affirmative Action and Nondiscrimination Obligations of Contractors and Subcontractors regarding Individuals with Disabilities and 41 CFR Part 60-742, Procedures for Complaints/Charges of Employment Discrimination Based on Disability Filed Against Employers Holding Government Contracts or Subcontracts. Questions and Answers on the Federal Executive Agency Uniform Guidelines on Employee Selection Procedures, March 1979, 44 Fed. Reg. 11996. These materials can be found on OFCCP's website at <http://www.dol.gov/esa/ofccp/>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for addresses and telephone numbers of regional offices of the Office of Federal Contract Compliance Programs, listed under the Employment Standards Administration, Department of Labor.

**Headquarters Office:**

Lorenzo D. Harrison, Acting Director for Federal Contract Compliance Programs, 200 Constitution Avenue, NW, Washington, DC, District of Columbia 20210; Phone: 202-693-0101 Fax: 202-693-1304

**Website Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 17.207 Employment Service/Wagner-Peyser Funded Activities; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.302 LONGSHORE AND HARBOR WORKERS' COMPENSATION FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Longshore and Harbor Workers' Compensation Act as extended, 43 U.S.C 1331; Longshore and Harbor Workers' Compensation Act as extended, Public Law 92-576, 5 U.S.C 8171, as amended by Longshore and Harbor Workers' Compensation Act as extended, 42 U.S.C 1651,1701, as amended by Longshore and Harbor Workers' Compensation Act as extended, Public Law 98-426, 33 U.S.C 901-952.

**OBJECTIVES:**

To provide compensation for disability or death resulting from injury, including occupational disease, to eligible private employees.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

This program provides income replacement and supplement; schedule awards for the loss of sight or hearing, dismemberment, disfigurement etc., medical expenses (including hospital care); and funeral expenses up to \$3,000. Benefits are paid by private insurance carriers or self-insured employers.

**Applicant Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified,



including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Beneficiary Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and other as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Credentials/Documentation:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Necessary documentation is developed when claim is filed by employee/employer or insurance carrier. The claimant may be required to submit to physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor files written claim for compensation (Form LS-203 or LS-262) to the local district office of the Office of Workers' Compensation Programs (OWCP). Employer may pay benefits voluntarily.

**Award Procedure:**

Authority to adjudicate claims informally under this program rests with the District Director in (OWCP) district offices. Claims unresolved on voluntary basis are referred to the Office of Administrative Law Judges for formal hearing under the Administrative Procedure Act. Claim must be filed within one year after (a) the injury or death (2 years if injury is an occupational disease which does not immediately result in death or disability), or (b) the last compensation payment. Time begins to run when prudent person should have been aware of relationship between injury or death and employment. For hearing loss claims, time does not begin to run until an audiogram together with a report showing a hearing loss, is given claimant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Insurance carrier or self-insured employer must pay compensation after 14 days of having knowledge of an injury causing disability or death, or controvert claim.

**Appeals:**

Application for modification of awards must be filed within 1 year after (a) the last compensation payment, or (b) rejection of a claim by an Administrative Law Judge or District Director Office of Workers' Compensation Programs. Appeal from Administrative Law Judge's decision must be filed within 30 days; Appeals from Benefits Review Board decision must be filed within 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Injury: The period of total or partial disability, with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined in the Act. Employers or their insurance carriers are required to begin compensation within 14 days of (a) knowledge of the injury or death or (b) injured employee's report of loss of wages. Payments are generally disbursed on a bi-weekly basis. See the following for information on how assistance is awarded/released: Payments are generally disbursed on a bi-weekly basis.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1521-0-1-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$140,935,698; FY 09 est \$150,623,000; FY 10 est \$151,168,000

**Range and Average of Financial Assistance:**

Disability - 66-2/3 percent of average weekly wage; death benefits 50 percent average wages of deceased to such widow or widower, plus 16-2/3 percent for one or more surviving children with 66-2/3 percent limit. Average benefit unknown. Weekly compensation payments limited to 200 percent of national average weekly wage.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Longshore and Harbor Workers' Compensation Act, as extended. Copies may be obtained from the Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Ave. NW, Suite C-4315, Washington, DC 20210.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Longshore and Harbor Worker's Compensation (DLHWC).

**Headquarters Office:**

Michael Niss, Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DLHWC-PUBLIC@dol.gov Phone: (202) 693-0038

**Website Address:**

<http://www.dol.gov/esa/owcp/dlhwc>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.303 WAGE AND HOUR STANDARDS**

(Federal Wage-Hour Laws)

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Fair Labor Standards Act, Public Law 75-718, as amended, 29 U.S.C. 201-219; Walsh-Healey Public Contracts Act, Public Law 74-846, as amended, 41 U.S.C. 35-45; McNamara-O'Hara Service Contract Act of 1965, Public Law 89-286, as amended, 41 U.S.C. 351-358.; Davis-Bacon Act, Public Law 74-403, as amended, 40 U.S.C., Chapter 31, Subpart IV.; Contract Work Hours and Safety Standards Act, Public Law 87-581, as amended, 40 U.S.C. 3701-3708.; Copeland Act, Public Law 103-322, 18 U.S.C. 874, as amended; 40 U.S.C. 314.5; National Foundation on the Arts and the Humanities Act of 1965, Public Law 82-209, as amended, 20 U.S.C. 954(j) and 956(a); Employee Polygraph Protection Act of 1988, Public Law 100-347, 29 U.S.C. 2001, et seq.; Immigration and Nationality Act, as amended; Immigration Reform and Control Act of 1986, Public Law 99-603, 8 U.S.C. 1324, 8 U.S.C. 1101(a)(15)(H)(ii)(a), 1160, 1161, 1182(n) 1184(c) and 1186, 1824, 29 U.S.C. 1802, 1813(a); Family and Medical Leave Act of 1993, Public Law 103-3, 107 Stat. 6, as amended, 29 U.S.C. 2601 et seq.

**OBJECTIVES:**

To provide standards protecting wages of working persons by requiring a minimum hourly wage rate and overtime pay; or prevailing hourly wage rates, fringe benefits and overtime pay under the Government Contract Acts. Additional standards apply to child labor; to wage payment standards for professional performers and related or supporting professional employees of productions assisted by grants from the National Endowments for the Arts and Humanities; to curtail employer use of lie detector tests, including polygraph tests for pre-employment screening or during the course of employment; to enforce contractual obligations regarding wages and other working conditions between certain temporary, alien agricultural workers (H-2A) and their employers; to enforce worker protection provisions applicable to nonimmigrant workers in "specialty occupations" (H-1B) and foreign crew members performing longshore work; to require private employers with 50 or more employees and all schools and public employers to provide eligible employees up to 12 weeks of unpaid leave, job restoration, and continued employer provided health insurance due to the employee's serious health condition, the birth of or placement for adoption/foster care of a child, for the care of a child, spouse or parent with a serious health condition or for any "qualifying exigency" arising out of the fact that the employee's spouse, son, daughter, or parent is on active military duty, or has been notified of an impending call or order to active military duty in support of a contingency operation (provided the active duty relates to a military member of the National Guard or Reserves), or require these same employers to provide up to 26 weeks of unpaid leave, job restoration, and continued employer provided health insurance to an eligible employee who is a spouse, son, daughter, parent, or next of kin of a covered service member with a serious injury or illness.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Federal wage and hour standards apply generally to employees engaged in interstate or foreign commerce or in the production of goods for such commerce or in enterprises so engaged and, in addition, to employees of Federal, State and local governments, hospitals, businesses providing medical or nursing care for residents, schools and preschools. Generally, for covered employment the minimum wage is \$6.55 per hour (\$7.25 per hour effective July 24, 2009) with time and one-half the regular rate of pay required for hours worked over 40 in a workweek. There are special rules applicable to employees of State and local governments, including provisions concerning volunteer work, compensatory time-off, and outside employment. To the extent necessary to prevent curtailment of employment opportunity, certificates authorizing special minimum wage rates are issued for learners, workers with disabilities, full-time students, student workers, and apprentices. In nonagricultural employment, the basic minimum age is 16 years for general employment, 14 for work outside school hours in certain occupations under specified conditions, and 18 in occupations found hazardous by the Secretary. In agricultural employment, the basic minimum age is 16 years during school hours and in occupations found hazardous by the Secretary; otherwise, age 14 for work outside school hours except for 12- and 13-year-olds with written parental consent or on farms where

their parents are employed, or under age 12 with written parental consent on a farm not subject to Federal minimum wage or under a limited waiver for local 10- and 11-year-old hand-harvesters of short-season crops under specified conditions. Failure to comply with the child labor provisions of the Fair Labor Standards Act or regulations issued there under may generally result in an assessment of a civil money penalty not to exceed \$11,000 for each minor involved in violations; however, a penalty of up to \$50,000 may be assessed for each violation that caused the death of or serious injury to a working youth, and this penalty may be increased to \$100,000 where the employer's violation is repeated or willful. Employees of contractors performing on most federally financed or assisted construction projects, or providing services under contract to Federal agencies, are subject to special standards. These special standards require that employees receive no less than the wages and fringe benefits prevailing in the locality as determined by the Secretary of Labor, and that overtime compensation, with few exceptions, be paid for hours worked on such contracts in excess of 40 in a week. The standards apply to performance on direct Federal contracts and also to most construction projects financed in whole or in part by the Federal Government (e.g., projects under the National Housing Act). Under current law, for Federal and federally assisted construction contracts over \$2,000 and Federal service contracts over \$2,500 subject to prevailing wage requirements, contracting agencies must obtain a wage determination issued by the Wage and Hour Division. Also under current law, employees working on Federal contracts in excess of \$10,000 calling for the manufacture or furnishing of supplies are required to be paid not less than the Federal minimum wage and overtime pay for hours worked in excess of 40 a week. Labor standards are set under the Arts and Humanities Act which require the payment of the prevailing minimum compensation as determined by the Secretary of Labor to professional performers or supporting personnel who work on projects or productions assisted by grants from the National Endowments for the Arts and Humanities. The Employee Polygraph Protection Act prohibits most private employers from administering lie detector tests to employees or prospective employees but permits the use of polygraph tests under certain conditions. The H-2A provisions of the Immigration and Nationality Act provide for the enforcement of contractual obligations concerning wages and other working conditions between certain temporary, alien agricultural workers and their employers. Section 203 of the Immigration Act of 1990 places limitations on the performance of Longshore work by alien crew members in U.S. ports; Section 212(n) places limitations on the employment of nonimmigrant workers in H-1B Specialty Occupations. The Family and Medical Leave Act requires a private employer of 50 or more employees and all public employers and schools to grant up to 12 weeks of unpaid leave in a 12-month period to any employee who was employed at least 12 months for 1,250 hours of service during the preceding 12 months, and is employed at a work site where there are 50 employees within 75 miles for certain qualifying events related to self and family care, and up to 26 weeks to care for a qualified service member with a serious injury or illness.

**Applicant Eligibility:**

Any covered employee, unless specifically exempt, is entitled to be paid in accordance with applicable monetary standards in the United States, District of Columbia, Puerto Rico, Virgin Islands, American Samoa, Guam, Wake Island, Johnston Island, and the Outer Continental Shelf Lands defined in the Outer Continental Shelf Lands Act. (Geographic application varies under the respective statutes and eligibility is dependent upon specific statutory language.) For family and medical leave, coverage includes any employer with 50 or more employees but excludes any employer at a worksite with fewer than 50 employees within a 75-mile radius.

**Beneficiary Eligibility:**

Employees.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting additional information concerning these standards, should contact the nearest office of the Wage and Hour Division, listed in the telephone Directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration. Information should be provided describing the type of business and the nature of the work performed. Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law. For Federal construction contracts or Federal service contracts subject to prevailing wage requirements, the contracting agency must obtain a wage determination issued by the Wage and Hour Division. The wage determination must be furnished to bidders and made a part of the contract along with certain contract stipulations.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An appeal process is available where child labor civil money penalties are assessed, where civil money penalties are assessed for minimum wage and overtime violations, and under the Government contracts statutes.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries) FY 08 \$175,533,073; FY 09 est \$193,092,000; FY 10 est \$227,656,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Employment Standards Administration's Wage and Hour Division (WHD) recovered more than \$185 million in back wages in fiscal year 2008. Back wage collections have increased since fiscal year 2001. The agency concluded some 23,845 compliance actions in fiscal year 2008. WHD assessed over \$9.9 million in civil money penalties in FY 2008. Fiscal Year 2009: Not applicable. Fiscal Year 2010: Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications furnished free in limited quantities: "Handy Reference Guide to the Fair Labor Standards Act," "A Guide to the Walsh-Healey Public Contracts Act," "Guide to the Service Contract Act," "A Guide to the Child Labor Provisions of the FLSA" (Nonagricultural and Agricultural Occupations)

"Compliance Guide to the Family and Medical Leave Act." Additional technical and nontechnical materials are also available at no cost.

**Regional or Local Office:**

See Regional Agency Offices. Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting information or publications should contact the nearest office of the Wage and Hour Division, listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

**Headquarters Office:**

Robert DeVore 200 Constitution Ave., N.W., Washington, District of Columbia 20210 Email: devore.robert@dol.gov Phone: 202-693-0539

**Website Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

17.201 Registered Apprenticeship and Other Training; 17.306 Consumer Credit Protection; 17.308 Farm Labor Contractor Registration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.306 CONSUMER CREDIT PROTECTION**

(Federal Wage Garnishment Law)

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Consumer Credit Protection Act, Public Law 90-321, 5 U.S.C. 1671-1677, as amended; Public Law 95-30.

**OBJECTIVES:**

To provide restrictions on the amount of an employee's wages or salary which may be garnished, and to prohibit employers from discharging employees by reason of garnishment for any one indebtedness.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The general rules for applying the Federal restrictions on garnishment are: If an individual's weekly disposable earnings are \$196.50 or less, no amount may be garnished; if the weekly disposable earnings are more than \$196.50 but less than \$262.00 (\$290.00 effective July, 24, 2009), only the amount in excess of \$196.50 (\$217.50 effective July 24, 2009) may be garnished; and if the weekly disposable earnings are in excess of \$262.00 or more, 25 percent of disposable earnings may be garnished. The Act, as amended, limits court orders for the support of any person to 50 percent of the disposable earnings of an individual supporting another spouse or child and to 60 percent of disposable earnings if not. An additional 5 percent may be garnished for support payments more than 12 weeks in arrears. The order must be issued by a court of competent jurisdiction or in accordance with an administrative procedure, which is established by law, which affords substantial due process, and which is subject to judicial review. The restrictions do not apply under Federal bankruptcy proceedings for wage-earners, nor do they apply to debts due for State or Federal taxes. In addition, garnishments issued under the laws of any State may be exempted from the operation of the Federal law where the Secretary of Labor determines that such laws provide substantially similar restrictions. Under no circumstances may an employee be discharged from employment by reason of garnishment for any one indebtedness, although State laws may provide additional protection.

**Applicant Eligibility:**

Any person whose earnings have been subjected to garnishment is entitled to the protection provided by the Act in the United States, the District of

Columbia, Puerto Rico, the Virgin Islands; Outer Continental Shelf lands defined in the Outer Continental Shelf Lands Act (Chapter 345, 67 Stat. 462); American Samoa, Guam, Wake Island; and Johnston Island. Under the law, earnings are defined as compensation paid or payable for personal services, including wages, salary, commissions, bonuses, and including periodic payments pursuant to a pension or retirement program.

**Beneficiary Eligibility:**

Any person whose earnings have been subjected to garnishment.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons seeking advice or assistance concerning the application of the Federal wage garnishment law to specific situations, including persons seeking remedy to an illegal action under the law, should contact the nearest office of the Employment Standards Administration, Wage and Hour Division listed in the telephone directory under United States Government, Labor Department. If no listing is shown for you locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration. Unless otherwise authorized, the names of persons making inquiries are kept confidential to the maximum extent possible under existing law.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications furnished free in limited quantities: Fact Sheet: The Federal Wage Garnishment Law, Regulations, 29 CFR Part 870, Restriction on Garnishment.

**Regional or Local Office:**

See Regional Agency Offices. Persons having knowledge of wage and employment practices which are not in compliance with the minimum standards of these acts, and persons requesting information or publications should contact the nearest Office of the Wage and Hour Division, listed in the telephone directory under United States Government, Labor Department. If no listing is shown for your locality, contact the nearest district office of the Employment Standards Administration, Wage and Hour Division, listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Robert DeVore 200 Constitution Ave., N.W., Washington, District of Columbia 20210 Email: devore.robert@dol.gov Phone: 202-693-0539

**Website Address:**

<http://www.dol.gov/ESA/WHD/garnishment/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.307 COAL MINE WORKERS' COMPENSATION**

(Black Lung)

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Black Lung Benefits Act, as amended, 30 U.S.C 901 et seq.

**OBJECTIVES:**

To provide benefits to coal miners who have become totally disabled due to coal workers' pneumoconiosis (CWP), and to widows and other surviving dependents of miners who have died of this disease.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to coal miners disabled from coal workers' pneumoconiosis and to widows and other survivors of miners who have died of this disease. There are no restrictions on the use of these benefits by a beneficiary. Medical payments for treatment related to coal workers' pneumoconiosis are available to miners only after January 1, 1974.

**Applicant Eligibility:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply.

**Beneficiary Eligibility:**

Disabled coal miners, widows and other surviving dependents of the deceased.

**Credentials/Documentation:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled"

(as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply. Medical tests, at Department of Labor expense, which include an x-ray, pulmonary function study, physical examination, and blood gas tests. Proof of work in or around a coal mine or coal preparation facility. Also proof of death, relationship and dependency required for widows and other survivors applying. Identification of a responsible mine operator is made as specified in regulations published in the Code of Federal Regulations (20 CFR 725). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are required to state on the claim form whether a claim for disability benefits due to the same condition has been filed under any State or other Federal workers' compensation law. Benefits received as a result of such a claim could be offset against Federal benefits. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone, write-in, or visit the local Division of Coal Mine Workers' Compensation district or local office listed in Appendix IV of the Catalog.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 months to 8 months for initial findings depending on availability of supporting evidence. A miner must file a claim for benefits within 3 years after a medical determination of total disability due to pneumoconiosis or within 3 years after the date of enactment of Public Law 95-239, whichever comes later, (Black Lung Benefits Reform Act of 1977). There are no time limitations for dependent survivors to file claims.

**Appeals:**

Notify Office of Workers' Compensation Programs (OWCP), Employment Standards Administration. The appeal process includes formal hearings, Benefits Review Board consideration, and review by Federal courts, as appropriate.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of total disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined by the Act unless under a disability as defined in Section 223(d) of the Social Security Act, 42 U.S.C. 423(d). Employers or their insurance carriers are required to begin compensation within 30 days of the initial determination of eligibility. See the following for information on how assistance is awarded/released: Payments are disbursed on a monthly basis.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as, State workers' compensation awards, or change in status of a dependent, must be reported to the Office of Workers' Compensation Programs when it occurs.

**Account Identification:**

20-8144-0-7-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$530,437,962; FY 09 est \$500,317,000; FY 10 est \$461,605,000 - These are benefits for both Parts B & C of the program.

**Range and Average of Financial Assistance:**

On January 1, 2009, new monthly rates went into effect for Black Lung benefits that included a 2.9 percent increase over the 2008 benefit amounts. The new rates are as follows: PART B MONTHLY BENEFITS RATES (claims approved by the Social Security Administration - payments received around the 3rd of each month): Primary beneficiary: \$616.00, Primary beneficiary and one dependent: \$924.00, Primary beneficiary and two dependents: \$1,078.00, Primary beneficiary and three or more dependents: \$1,232.00. PART C BLACK LUNG MONTHLY BENEFIT RATES (claims approved by the Department of Labor - payments received around the 15th of each month): Primary beneficiary: \$616.30, Primary beneficiary and one dependent: \$924.50, Primary beneficiary and two dependents: \$1,078.50, Primary beneficiary and three or more dependents: \$1,232.60.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 410.401 et seq., 718, 722, 725, 726, and 727. "Black Lung Benefits," Fact Sheet No. ESA 91-14.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Coal Mine Workers' Compensation (DCMWC).

**Headquarters Office:**

James L. DeMarce, Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: Demarce.James@dol.gov Phone: (202) 693-0850

**Website Address:**

<http://www.dol.gov/esa/owcp/dcmwc/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.308 FARM LABOR CONTRACTOR REGISTRATION**

(Crew Leader)

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Migrant and Seasonal Agricultural Worker Protection Act, Public Law 97-470, as amended, 96 Stat. 2583; 29 U.S.C. 1801-1872.

**OBJECTIVES:**

To provide protection in the areas of wages, housing, and transportation for migrant and seasonal agricultural workers.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The program requires the contractor, agricultural employer or agricultural association to keep certain records and to comply with appropriate Federal and State safety and health standards for transportation and housing. It requires that contractors, agricultural employers and agricultural associations transporting migrant or seasonal farmworkers obtain motor vehicle liability insurance or, in some instances, Workers' Compensation Insurance and that they insure the migrant/seasonal agricultural worker and his/her personal property against injury or damage arising out of a transportation accident. Contractors, agricultural employers and agricultural associations must also comply with the applicable regulations of the Department of Transportation, Bureau of Motor Carrier Safety. The Act distinguishes between the traditional farm labor contractor and fixed-situs agricultural employers. It provides important worker protections such as vehicle safety and insurance coverage against both personal liability and property damage while being transported in connection with their employment; housing safety and health; disclosure of wages, hours and working conditions; maintenance of necessary records and furnishing to workers itemized information concerning pay and withholding. It further provides exemptions for both family businesses and small businesses. Any farm labor contractor who, for any money or other valuable consideration paid or promised to be paid, recruits, solicits, hires, employs, furnishes, or transports any migrant or seasonal agricultural worker (excluding members of his/her immediate family) for agricultural employment, must register under the Act, unless qualified for specific exemptions. Agricultural employers and agricultural associations must comply with the worker protection standards, but are not required to register. Persons having knowledge of any practices or omissions which are not in compliance with the requirements of the Act, and persons requesting additional information concerning the Act are encouraged to write, telephone or visit the nearest State employment service office or the nearest Wage and Hour Division Office listed in Appendix IV of the Catalog. Information should be provided describing the type of business activity and the nature of the work performed. The names of persons making inquiries are treated in complete confidence. Users of the services of a farm labor contractor are prohibited from engaging the services of one who is unregistered. Failure to comply with this Act and its regulations may result in criminal prosecution, civil injunctive action, civil money damages and assessment of civil money penalties of up to \$1,000 for each violation.

**Applicant Eligibility:**

Farm labor contractors and their full-time or regular employees who recruit, solicit, hire, employ, furnish or transport migrant or seasonal agricultural workers for any money or other valuable consideration paid or promised to be paid for agricultural employment, must register with the Department of Labor.

**Beneficiary Eligibility:**

Migrant and seasonal agricultural workers.

**Credentials/Documentation:**

Certificate of Registration or Employee Certificate of Registration. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Farm labor contractors and their full-time or regular employees who recruit, solicit, hire, employ, furnish, or transport migrant or seasonal agricultural workers for any money or other valuable consideration paid or promised to be paid for agricultural employment, should contact the local office of the Employment Service or the nearest district office of the Wage and Hour Division for application forms and assistance.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications for Farm labor contractor employee certificates of registration or

farm labor contractor employee certificates of registration are usually processed within 2 to 3 weeks.

**Appeals:**

Applicants whose applications have been denied or revoked have 30 days to request a hearing on the decision to refuse to issue, refuse to renew or revoke. Persons who have been assessed civil money penalties have 30 days to request a hearing on the decision to assess.

**Renewals:**

Same procedure as making initial application. When application for renewal of a valid certificate is submitted prior to at least 30 days before the expiration date, the applicant may continue to operate under the terms of the existing certificate until a final determination is made on the renewal application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Any employer subject to the Act is required to keep payroll records.

**Account Identification:**

16-0105-0-1-505.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Program emphasis continues to be placed upon registration activities and achieving greater compliance by farm labor contractors with the provisions of the Migrant and Seasonal Agricultural Worker Protection Act. In fiscal year 2008 the agency collected over \$2,116,000 in back wages for approximately 5,400 agricultural workers. Fiscal Year 2009: Not applicable. Fiscal Year 2010: Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Migrant and Seasonal Agricultural Worker Protection Act. 29 CFR Part 500, contains information about the Act. Fact sheet ESA-13, Worker Rights Card - Farm Workers, "Agricultural Workers-- Your Rights Under the Migrant and Seasonal Agricultural Worker Protection Act," is available free of charge in limited quantities.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the State Employment Service Office, or contact the nearest Wage and Hour Division Office listed in the telephone directory under United States Government, Labor Department Employment Standards Administration. If no listing is shown for your locality, contact the nearest district office of the Wage and Hour Division listed in Appendix IV of the Catalog under the Employment Standards Administration.

**Headquarters Office:**

Robert DeVore 200 Constitution Ave., N.W., Washington, District of Columbia 20210 Email: devore.robert@dol.gov Phone: 202-693-0539

**Website Address:**

<http://www.dol.gov/whd/mspa/index.htm>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.303 Wage and Hour Standards

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.309 LABOR ORGANIZATION REPORTS**

(Landrum-Griffin Act)

**FEDERAL AGENCY:**

Office of Labor-Management Standards, Department of Labor

**AUTHORIZATION:**

Labor-Management Reporting and Disclosure Act of 1959, Public Law 86-257, as amended by Labor-Management Reporting and Disclosure Act of 1959, Public Law 98-473, as amended by Labor-Management Reporting and Disclosure Act of 1959, Public Law 100-182, 29 U.S.C 401, as amended by Labor-Management Reporting and Disclosure Act of 1959, Public Law 99-217, as amended by Labor-Management Reporting and Disclosure Act of 1959, Public Law 89-216.

**OBJECTIVES:**

To provide for the reporting and disclosure of financial transactions and administrative practices of labor organizations, employers, labor consultants and others required to report under the Landrum-Griffin Act; to provide standards for the election of union officers, trusteeships, fiduciary responsibilities of union officers, and rights of union members; and to provide investigative authority to the Secretary of Labor.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Provides union members the authority to bring civil action in the district courts of the United States to enforce the rights and protections granted them under the Bill of Rights of Members of Labor Organizations; enables union members and employees whose rights are affected by a collective bargaining contract, to obtain or examine a copy of the agreement; enables union members to secure information on the organization, administrative practices, and financial transactions of their unions and to prevent abuses in these areas and in the administration of trusteeships imposed upon labor organizations; assures union members free and democratic officer elections through enforcement of standards and procedures with respect to such elections, and the removal of officers; and safeguards assets of labor organizations by imposing upon union officials fiduciary responsibility, enforceable in the courts, and by requiring the bonding of persons who handle union funds.

**Applicant Eligibility:**

Officers of unions may obtain assistance in preparing reports or otherwise complying with the Act. Union members or union organizations may request assistance in investigating alleged violations. All reports required to be filed are available for inspection and disclosure to the general public.

**Beneficiary Eligibility:**

Union officers, union members, union organizations. All reports required to be filed are available for inspection and disclosure to the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Write or call the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

May 27, 2010 Union members may file an election complaint with the Department of Labor within one calendar month after having exhausted internal union remedies or within one calendar month after having invoked internal union remedies without obtaining a final decision within three calendar months after invoking them.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0104-0-1-505.

**Obligations:**

(Salaries) FY 08 \$44,938; FY 09 est \$44,938; FY 10 est \$40,557

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, OLMS conducted 798 union audits, 3,686 civil and criminal investigations, supervised 35 union officer election reruns and conducted 112 compliance assistance seminars for union officials to administer and enforce the LMRDA. Fiscal Year 2009: In fiscal year 2009, OLMS projects conducting 657 union audits, 3,412 civil and criminal investigations, supervised 35 union officer election reruns and conduct 112 compliance assistance seminars for union officials to administer and enforce the LMRDA. Fiscal Year 2010: In fiscal year 2010, OLMS projects conducting 204 union audits, 3,376 civil and criminal investigations, supervised 35 union officer election reruns and conduct 112 compliance assistance seminars for union officials to administer and enforce the LMRDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR 401-453. 29 CFR 457-459. The Labor-Management Reporting and Disclosure Act of 1959, as amended, Rights and Responsibilities under the LMRDA; Reports Required under the LMRDA (Spanish edition also available); Bonding Requirements under LMRDA; Trusteeship Requirements under the LMRDA, Electing Union Officers (Spanish edition also available); LMRDA Regulations and Interpretative Bulletins: Election of Officers of Labor Organizations, 29 CFR 452; Standards of Conduct Regulations, 29 CFR 457-459. The above literature is available free of charge in limited quantities from the Headquarters Office listed below or field offices in Appendix IV of the Catalog. Conducting Local Union Officer Elections - a guide for election officials is available for sale by the U.S. Government Printing Office.

**Regional or Local Office:**

None. Persons desiring assistance should contact the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Steve J. Willertz Department of Labor

ESA/OLMS/DOE  
Room N-5119  
200 Constitution Avenue NW  
, Washington, District of Columbia 20020 Email: Willertz.Stephen@dol.gov  
Phone: 202-693-1182 Fax: 202-693-1343

**Website Address:**

<http://www.dol.gov> E-mail: [OLMS-Public@dol.gov](mailto:OLMS-Public@dol.gov)

**RELATED PROGRAMS:**

17.150 Employee Benefits Security Administration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.310 ENERGY EMPLOYEES OCCUPATIONAL ILLNESS  
COMPENSATION**

**FEDERAL AGENCY:**

Employment Standards Administration, Department of Labor

**AUTHORIZATION:**

Energy Employees Occupational Illness Compensation Program Act of 2000, as amended, 42 U.S.C 7384 et seq.

**OBJECTIVES:**

Part B provides lump-sum monetary payments and medical benefits to covered employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies and certain of its vendors, contractors and subcontractors. Part B also provides lump-sum payments and medical benefits to individuals found eligible by the Department of Justice (DOJ) under section 5 of the Radiation Exposure Compensation Act (RECA) and, where applicable, to their survivors. Part E of the Act provides variable lump-sum payments (based on a worker's permanent impairment and/or calendar years of qualifying wage-loss) and medical benefits for covered DOE contractor employees and, where applicable, provides variable lump-sum payments to survivors of such employees (based on a worker's death due to a covered illness and either 10 or 20 calendar years of qualifying wage-loss). Part E also provides these same payments and benefits to uranium miners, millers and ore transporters covered by section 5 of RECA and, where applicable, to survivors of such employees.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

This program provides lump-sum monetary payments to employees and former employees (or their eligible survivors) as compensation for occupational illnesses under Part B, and covered illnesses under Part E; medical expenses (including hospital care). Benefits are paid from a mandatory appropriation of Federal funds.

**Applicant Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Beneficiary Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Credentials/Documentation:**

Necessary documentation is developed when claim is filed with the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor(s) files written claim for compensation (Form EE-1 or EE-2) with the local district office of the Office of Workers' Compensation Programs (OWCP), or with a Resource Center.

**Award Procedure:**

Authority to issue recommended decisions under this program rests with the District Director in OWCP district offices. Authority to issue final decisions rests with the Final Adjudication Branch.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

From 120 to 180 days. Request for review of or hearing on a recommended decision must be made within 60 days. Request for reconsideration of a final agency decision must be filed within 30 days of issuance of the final decision. Request to reopen claim after issuance of a final decision may be made at any time, if supported by material evidence.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Benefits are not length-based. Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-1523-0-1-053.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$1,072,796,000; FY 09 est \$1,101,192,000; FY 10 est \$950,505,000

**Range and Average of Financial Assistance:**

Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Claims for Compensation Under the Energy Employees Occupational Illness Compensation Program Act, 20 CFR part 30, are available on the Internet at <http://www.dol.gov>, or from OWCP.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Energy Employees Occupational Illness Compensation (DEEOIC).

**Headquarters Office:**



Rachel Leiton, Office of Workers' Compensation Programs, Division of Energy Employees Occupational Illness Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DEEOIC-PUBLIC@dol.gov Phone: (202) 693-0081

**Website Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.311 FEDERAL TRANSIT EMPLOYEE PROTECTION CERTIFICATIONS: OFFICE OF LABOR-MANAGEMENT STANDARDS FEDERAL AGENCY:**

Office of Labor-Management Standards, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Pursuant to section 5333(b) of 49 U.S.C., the Department must certify that, as a condition of certain grants of Federal financial assistance, fair and equitable labor protective provisions are in place to protect the interests of employees affected by such Federal assistance. These arrangements must be approved by the Department of Labor (DOL) before the Department of Transportation Federal Transit Administration (FTA) can release funds to grantees.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assistance will be used for transit capital improvements, improvements to fixed-guideway systems, and new and small start programs. Applicants eligibility is determined by the DOT, FTA.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application process is regulated by DOT, FTA. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The grant is submitted to DOL, FTA. The FTA then forwards the application to DOL, Office of Labor Management Standards (OLMS), Division of Statutory Programs (DSP) for review and certification of employee protections.

**Award Procedure:**

Pursuant to the Guidelines, DOL refers for review the grant application received from FTA and the proposed terms and conditions to unions representing transit employees in the service area of the project and to the applicant and/or recipient. No referral is made if the application falls under one of the following exceptions: (1) employees in the service area are not represented by a union; (2) the grant is for routine replacement items, (3) the grant amends a previous grant in a manner that is not material, (4) the grant is for a Job Access project serving populations less than 200,000; (5) the grant capitalizes a State Infrastructure Bank account; or (6) the grant is for the Over-the-Road Bus or Other Than Urbanized program. When a grant application is referred to the parties, DOL recommends the terms and

conditions to serve as the basis for certification. The parties have 15 days to inform DOL of any objections to the recommended terms including reasons for such objections. If no objections are registered, or if objections are found not sufficient, DOL certifies the project on the basis of the recommended terms. If DOL determines that the objections are sufficient, the parties are directed to negotiate for up to 30 days, limited to issues defined by DOL. If the parties are unable to reach agreement within 30 days, DOL will review the final proposals and issue an interim certification permitting FTA to release funds, provided that no action is taken relating to the issues in dispute that would irreparably harm employees. Following the interim certification, the parties may continue negotiations. If they are unable to reach agreement, DOL sets the terms for Final Certification within 60 days. DOL may request briefs on the issues in dispute before issuing the final certification. Employees who believe they have been adversely affected as a result of Federal transit assistance may file claims under the procedures set forth in the protective arrangements certified by DOL. DOL transmits certification letter containing protective terms to be applied to the grant application to FTA, thereby allowing the release of assistance to grantees.

**Deadlines:**

Jul 01, 2009 The DOT, FTA has encouraged grantees to submit applications to them by July 1, 2009.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Regarding DOLs certification process, the DOL has 60 days from the day processing is initiated, by DOL, to certify protective arrangements.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: None.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-0105-0-1-505 - Treasury Appropriation Fund Symbol (TAFS) is 16 09/10 0105.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$391,000; FY 10 est \$190,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OLMS/DSP issued 2368 certifications to the DOT, FTA in FY-08. As a result of ARRA funding the DOL expects to process for certification an additional 800-1000 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 5333(b) and 215 CFR.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Labor-Management Standards Division of Statutory Programs, 200 Constitution Avenue NW, Room N-5122, Washington, District of Columbia

20210 Email: Willertz.Stephen@dol.gov Phone: (202) 693-0126 Fax: 202-693-1343

**Website Address:**

<http://www.dol.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.502 OCCUPATIONAL SAFETY AND HEALTH\_SUSAN HARWOOD TRAINING GRANTS**

Susan Harwood Training Grants

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Public Law 91-596, 29 U.S.C 670(c).

**OBJECTIVES:**

To provide occupational safety and health training and education to employees and employers, particularly in the recognition, avoidance and abatement of workplace hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to nonprofit organizations to provide training or other educational services to employees and/or employers in priority areas designated by OSHA.

**Applicant Eligibility:**

Nonprofit organizations.

**Beneficiary Eligibility:**

Individuals employed in workplaces covered by the OSH Act that receive training and/or educational services under grants.

**Credentials/Documentation:**

Applicants must show nonprofit status. Beneficiary Eligibility includes individuals employed in workplaces covered by the OSH Act that receive training and/or educational services under grants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application instructions are distributed by Occupational Safety and Health Administration, Directorate of Training and Education. Completed applications are returned to the Directorate of Training and Education.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for a minimum of 12 months.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a minimum of 12 months. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly. Federal Financial Reports are required to be completed quarterly. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Training) FY 08 \$9,939,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Fiscal Year 2008 grants ranged from \$89,620 to \$551,862.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 51 training and education grants were awarded. Fiscal Year 2009: An estimate of 50 training and education grants will be awarded. Fiscal Year 2010: An estimate of 50 training and education grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95 and 96; OMB Circulars A-21 (2 CFR Part 220), A-110 (2 CFR Part 215), and A-122 (2 CFR Part 230).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Cynthia Bencheck Assistant Secretary, Occupational Safety and Health Administration, Department of Labor, Washington, District of Columbia 20210 Email: Bencheck.Cindy@dol.gov Phone: (847) 297-4810

**Website Address:**

<http://www.osha.gov>.

**RELATED PROGRAMS:**

17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.602 Mine Health and Safety Education and Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A labor organization developing a safety and health program for its membership and providing training to key staff from its locals; a safety council providing training and assistance to area small businesses in complying with OSHA standards; a trade association developing training material on a new OSHA Standard and using it to train its membership. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications. They include program, administration and budget categories.

### **17.503 OCCUPATIONAL SAFETY AND HEALTH\_STATE PROGRAM**

State Plan Grant Awards

#### **FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

#### **AUTHORIZATION:**

Occupational Safety and Health Act, Section 23(g), Public Law 91-596, 29 U.S.C 60(c).

#### **OBJECTIVES:**

To fund federally approved comprehensive State occupational safety and health programs that are "at least as effective" as the Federal program.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants to States to administer and enforce State programs for occupational safety and health, limited to States having federally approved plans.

#### **Applicant Eligibility:**

Designated State agencies which have federally approved occupational safety and health plans.

#### **Beneficiary Eligibility:**

Any employer, worker or their representative from a business engaged in interstate commerce except those under jurisdiction of other Federal agencies.

#### **Credentials/Documentation:**

State agency responsible for occupational safety and health must show that its program is "at least as effective" as the Federal occupational safety and health program. This is accomplished by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate the program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed by the Occupational Safety and Health Administration to the approved State plan States through OSHA's Directives System. Completed applications are returned to the National Office.

#### **Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Grants to States for administering their own safety and health programs that can be renewed indefinitely, provided they continue to meet the "at least as effective" requirements. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. The Federal share may not exceed 50 percent of the total cost to the State.  
MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

State program grants are aspects of a continuing program. Grantees receive

funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Program reports are required quarterly and annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required quarterly. Performance monitoring is conducted by the Regional Offices on a quarterly and annual basis.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

#### **Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

#### **Account Identification:**

16-0400-0-1-554.

#### **Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$3,750,000; FY 10 est \$0. (Salaries) FY 08 \$89,502,000; FY 09 est \$92,593,000; FY 10 est \$106,393,000

#### **Range and Average of Financial Assistance:**

Fiscal year 2008 grants ranged from \$197,000 to \$22,612,000. These awards represent approximately 50 percent of total program cost.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: State inspections totaled 57,380. Fiscal Year 2009: State inspections are estimated at 50,000. Fiscal Year 2010: State inspections are estimated at 57,650.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 1902, 1903, 1904, 1905, 1908, 1952, 1953, 1954, 1955, 1956, 2200; OMB Circulars A-102 and A-87 (2 CFR Part 225); and 29 CFR Parts 96 and 97.

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

#### **Headquarters Office:**

Pavlo Oborski US Department of Labor, Occupational Safety and Health Administration, 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: oborski.pavlo@dol.gov Phone: 202-693-2422

#### **Website Address:**

<http://www.osha.gov>.

#### **RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Twenty-six State agencies operate approved State plans by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate their programs. Fiscal Year 2009: Twenty-seven State agencies operate approved State plans by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate their programs. Fiscal Year 2010: Twenty-seven State agencies operate approved State plans by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate their programs.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Grants may be awarded only to a State agency, designated by the Governor of a State, which has had its State Plan approved by the Assistant Secretary and which has submitted an application for a grant.

#### **17.504 CONSULTATION AGREEMENTS**

Consultation Grant Program

##### **FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

##### **AUTHORIZATION:**

Occupational Safety and Health Act, Section 21(d), Public Law 105-197, 29 U.S.C 651.

##### **OBJECTIVES:**

To fund consultative workplace safety and health services, targeting smaller employers with more hazardous operations.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to provide occupational safety and health consultative services to employers.

##### **Applicant Eligibility:**

Designated State agencies which have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds as well as State funds as required.

##### **Beneficiary Eligibility:**

Any private employer operating within a State, with priority given to smaller employers with the more hazardous operations.

##### **Credentials/Documentation:**

State agency responsible for providing consultative services to employers must meet the minimum requirements of the consultation program set forth in 29 CFR 1908. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies through OSHA's Directives System. Completed applications are returned to OSHA's National Office..

##### **Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Funding to States for administering their consultation program can be renewed indefinitely, provided that State consultation projects continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share may not exceed 90 percent of the total cost to the recipient.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Consultation Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

Program Reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required and submitted on a quarterly basis. Performance Monitoring is conducted on a quarterly basis.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

##### **Account Identification:**

16-0400-0-1-554.

##### **Obligations:**

(Salaries) FY 08 \$52,425,000; FY 09 est \$54,531,000; FY 10 est \$54,798,000

##### **Range and Average of Financial Assistance:**

Fiscal year 2008 grants ranged from \$196,000 to \$5,070,000. These awards represent approximately 90 percent of total program costs.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: State consultations visits totaled 29,315. Fiscal Year 2009: State consultations visits are estimated at 31,900. Fiscal Year 2010: State consultations visits are estimated at 31,100.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95, 97, and 1908; and OMB Circular Nos. A-21, A-87, A-102 and A-110.

##### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

##### **Headquarters Office:**

Pavlo Oborski US Department of Labor, Occupational Safety and Health Administration, 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: oborski.pavlo@dol.gov Phone: 202-693-2422

##### **Website Address:**

<http://www.osha.gov>

##### **RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

#### **17.505 OSHA DATA INITIATIVE**

OSHA Data Collection Award

##### **FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

##### **AUTHORIZATION:**

Occupational Safety and Health Act, Section 7(c)(1), Public Law 91-596, 29 U.S.C 651.

**OBJECTIVES:**

To fund collection of occupational injury and illness data from employers in specified industries nationwide.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to collect occupational injury and illness data from employers in specified industries.

**Applicant Eligibility:**

Designated State agencies that have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds.

**Beneficiary Eligibility:**

Any state agency that is capable of collecting data.

**Credentials/Documentation:**

State agency that is capable of collecting data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies. Completed applications are returned to OSHA's National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Director of Administrative Programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding to States for administering their collection program can be renewed indefinitely, provided that the States continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. A Federal Financial Report is required quarterly. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for three years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,321,000; FY 09 est \$1,321,000; FY 10 est \$1,321,000

**Range and Average of Financial Assistance:**

Fiscal year 2009 grant awards ranged from \$5,750 to \$186,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 62,392 employer samples collected. Fiscal Year 2009: 60,791 employer samples estimated to be collected. Fiscal Year 2010: 62,392 employer samples estimated to be collected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Pavlo Oborski US Department of Labor, Occupational Safety and Health Administration, 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: oborski.pavlo@dol.gov Phone: 202-693-2422 Fax: 202-693-1696

**Website Address:**

<http://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.600 MINE HEALTH AND SAFETY GRANTS**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To assist States in providing safety and health training and developing programs to improve mine health and safety conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants (1) To assist States in developing and enforcing effective coal or other mine health and safety laws and regulations consistent with the provisions of section 506 of the Federal Mine Safety and Health Act of 1977; (2) to improve State workers' compensation and occupational disease laws and programs related to coal or other mine employment; and (3) to provide Federal-State coordination and cooperation in improving the health and safety conditions in the coal or other mines.

**Applicant Eligibility:**

Any mining State of the United States.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

In addition to items as stated in Grant Solicitation from Mine Safety and Health Administration (MSHA), State official mine inspection or safety agency has or will employ an adequate and competent staff of qualified trainers to provide health and safety training for miners and trained inspectors qualified under the laws of the State to make mine inspections within the State. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application will be submitted in an original and two copies to the Assistant Secretary of Labor for Mine Safety and Health.

**Award Procedure:**

Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

May 01, 2009 Applications are due in May each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within three months.

**Appeals:**

From 15 to 30 days. Within 30 days from the final decision date, an appeal may be filed with the U.S. Court of Appeals for the District of Columbia.

**Renewals:**

Renewals may be made on a fiscal year basis, or a portion thereof when necessary, in the same manner as that required for the original request.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 95-164, Section 503 (g).

Matching Requirements: Percent: 20%. A maximum of 80 percent of the amount expended by any mining State for a fiscal year is paid from Federal funds and at least 20 percent are paid by the Applicant State.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of assistance is on a fiscal year basis or a portion thereof. Time phasing of assistance is on a cost reimbursable basis, normally quarterly. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semi-annual Technical reports as required by MSHA shall be furnished to the Assistant Secretary of Labor for Mine Safety and Health stating work accomplished, benefits derived, project status. No cash reports are required. No progress reports are required. Quarterly Financial Reports listing expenditures and amounts obligated are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to each grant shall be retained and made available until the expiration of three years after the grantees' last disbursement of such funds.

Prescribed guidelines are set forth in attachment C, OMB Circular No. A-102 (revised).

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 08 \$8,441,000; FY 09 est \$8,441,000; FY 10 est \$8,441,000

**Range and Average of Financial Assistance:**

From \$3,993 to \$617,956. Average: \$166,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Alabama - \$193,000; Alaska - \$49,000; Arizona - \$277,000; Arkansas - \$96,000; California - \$327,000; Colorado - \$203,000; Connecticut - \$43,000; Delaware - \$4,000; Florida - \$166,000; Georgia - \$186,000; Idaho - \$89,000; Illinois - \$212,000; Indiana - \$185,000; Iowa - \$112,000; Kansas - \$80,000; Kentucky \$606,000; Louisiana - \$79,000; Maine - \$54,000; Maryland - \$56,000; Massachusetts - \$63,000; Michigan - \$208,000; Minnesota - \$264,000; Mississippi - \$59,000; Missouri - \$200,000; Montana - \$133,000; Nebraska - \$64,000; Nevada - \$227,000; New Hampshire - \$39,000; New Jersey - \$48,000; New Mexico - \$142,000; New York - \$250,000; North Carolina - \$148,000; North Dakota - \$57,000; Ohio - \$254,000; Oklahoma - \$104,000; Oregon - \$102,000; Pennsylvania - \$511,000; Puerto Rico - \$53,000; Rhode Island - \$9,000; South Carolina - \$64,000; South Dakota - \$57,000; Tennessee - \$135,000; Texas - \$415,000; Utah - \$166,000; Vermont - \$68,000; Virginia - \$260,000; Washington - \$143,000; West Virginia - \$544,000; Wisconsin - \$186,000; Wyoming - \$187,000; and Navajo Nation - \$26,000. Fiscal Year 2009: Alabama - \$196,000; Alaska - \$50,000; Arizona - \$283,000; Arkansas - \$98,000; California - \$333,000; Colorado - \$207,000; Connecticut - \$44,000; Delaware - \$4,000; Florida - \$169,000; Georgia - \$190,000; Idaho - \$91,000; Illinois - \$217,000; Indiana - \$189,000; Iowa - \$114,000; Kansas - \$82,000; Kentucky \$618,000; Louisiana - \$80,000; Maine - \$55,000; Maryland - \$57,000; Massachusetts - \$65,000; Michigan - \$212,000; Minnesota - \$270,000; Mississippi - \$60,000; Missouri - \$204,000; Montana - \$135,000; Nebraska - \$66,000; Nevada - \$232,000; New Hampshire - \$40,000; New Jersey - \$49,000; New Mexico - \$145,000; New York - \$255,000; North Carolina - \$151,000; North Dakota - \$58,000; Ohio - \$259,000; Oklahoma - \$106,000; Oregon - \$104,000; Pennsylvania - \$521,000; Rhode Island - \$10,000; South Carolina - \$65,000; South Dakota - \$58,000; Tennessee - \$138,000; Texas - \$423,000; Utah - \$169,000; Vermont - \$69,000; Virginia - \$265,000; Washington - \$146,000; West Virginia - \$555,000; Wisconsin - \$189,000; Wyoming - \$190,000; and Navajo Nation - \$26,000. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Part 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9572

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.601 Mine Health and Safety Counseling and Technical Assistance; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2009: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2010: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States

in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Responses related to the following proposal criteria enable the applicant to show that the proposed grant is consistent with the purposes of the Act: (a) Programs, policies, and methods to be followed in administering the grant, (b) designation of the State mining agency as the sole agency with authority and responsibility for administering the grant throughout the State, (c) assurances that such agency has an adequate and competent staff of trained and qualified inspectors, (d) use of the grant will extend and improve mine health and safety in the State while providing for no advance notice of an inspection, (e) assurances that grant will supplement not supplant existing State mine health and safety programs, (f) period over which program will be pursued, (g) financial plan, (h) fiscal control and accounting procedures, (i) name and title of person who will direct the program, (j) approximate number of qualified personnel who will work on the program, (k) location or locations where program will be pursued, (l) assurance that matching funds from nonfederal sources will be forthcoming, (m) indication of whether the programs or any part have been or will be submitted to other organizations for the purpose of obtaining a grant, and (n) agreement that the official State mine agency shall make required reports.

**17.601 MINE HEALTH AND SAFETY COUNSELING AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164, as amended by Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236.

**OBJECTIVES:**

To improve conditions of health and safety in and around coal, metal and nonmetallic mines and mineral facilities through technical advice, special studies, investigations, development of State mine health and safety programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Assistance can be used for establishing or improving State mine health and safety programs. Technical advice and assistance is available to States, organizations, companies, or persons with mine health and safety programs and/or problems.

**Applicant Eligibility:**

Any State, organization or person interested in employing healthful and safe mine or mineral industry working conditions can apply.

**Beneficiary Eligibility:**

States, organizations, individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the form of a letter to the Mine Safety and Health Administration.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Salaries) FY 08 \$29,476,000; FY 09 est \$30,117,000; FY 10 est \$30,642,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2009: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

30 Code of Federal Regulations; Bureau of Mines Information Circulars; Bureau of Mines Reports of Investigations; MSHA Informational Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of the addresses of Mine Safety and Health Administration Field Installations. Information on health and safety programs, inspections, and enforcement should be sought from Coal Mine Safety and Health or Metal and Nonmetal Mine Safety and Health District Offices listed in Appendix IV of the Catalog, or the Headquarters Office. Technical information can be sought from the same sources or from the Technical Support Field Centers.

**Headquarters Office:**

Linda Zeiler 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9478

**Website Address:**

<http://www.msha.gov>.

**RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.602 Mine Health and Safety Education and Training; 17.603 Brookwood-Sago Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **17.602 MINE HEALTH AND SAFETY EDUCATION AND TRAINING**

### **FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

### **AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164, as amended by Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236.

### **OBJECTIVES:**

To provide technical training for Federal mine inspectors and representatives of the mining industry.

### **TYPES OF ASSISTANCE:**

TRAINING

### **USES AND USE RESTRICTIONS:**

Provide initial and advanced Mine Safety and Health Training for Federal Mine Inspectors. This Technical training is available to Mine Operators, Miners, States, and labor Organizations. Assistance is also provided in the form of written and audio visual training materials. These materials deal with Mining Safety and Health Technical Materials.

### **Applicant Eligibility:**

Any mine operator, miner or their agent can request training or training materials.

### **Beneficiary Eligibility:**

Mine operators, miners or their agent, organizations and individuals.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By telephone or written request.

### **Award Procedure:**

None.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

None.

### **Reports:**

### **Audits:**

No audits are required for this program.

### **Records:**

None.

### **Account Identification:**

16-1200-0-1-554.

### **Obligations:**

(Salaries) FY 08 \$14,219,000; FY 09 est \$15,000,000; FY 10 est \$15,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Training was provided through approximately 1,519 course days for Federal and other employees and 271 course days for the Mining Industry, as well as distributing 6,497,947 mine safety publications. Fiscal Year 2009: Training will be provided through approximately 1,200 course days for Federal and other employees and 275 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications. Fiscal Year 2010: Training will be provided through approximately 1,150 course days for Federal and other employees and 275 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of Mine Safety and Health Administration Offices.

### **Headquarters Office:**

Jeffrey A. Duncan 1100 Wilson Boulevard, Arlington, Virginia 22213 Phone: (202) 693-9570

### **Website Address:**

<http://www.msha.gov>

### **RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.603 Brookwood-Sago Grant

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **17.603 BROOKWOOD-SAGO GRANT**

### **FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

### **AUTHORIZATION:**

Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236; Brookwood-Sago Mine Safety Grants, 30 U.S.C 965.

### **OBJECTIVES:**

To provide mine safety and health training and education programs for workers and mine operators, to better identify, avoid, and prevent unsafe working conditions in and around mines. To establish and implement education and training programs, or to develop training materials for employers and miners, concerning safety and health topics in mines, as determined appropriate by Mine Safety and Health Administration (MSHA).

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Provides grants to states, public, and private nonprofit organizations to provide training and other educational programs or develop training materials for employers and miners concerning safety and health topics in priority areas designated by MSHA.

### **Applicant Eligibility:**

Any mining State of the United States, nonprofit public and private organizations.

### **Beneficiary Eligibility:**

Recipient of the training workers at mines, any organization employing these individuals, and mine operators.

### **Credentials/Documentation:**



Any credential or documentation requirements are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures are detailed in each solicitation for grant applications. See the Federal Register for each solicitation for grant applications.

**Award Procedure:**

Competitive grant applications, submitted in response to a solicitation for grant application, will be reviewed by a panel for consistency with the solicitation for grant application requirements, and are subject to availability of funds and performance achievement. Funding decisions are at the discretion of the Assistant Secretary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications.

**Appeals:**

None.

**Renewals:**

Renewal and option year availability is detailed in each solicitation for grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See the Federal Register for solicitation for grant applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for grant applications. See the Federal Register for current solicitations for grant applications. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Program Reports (SF 269) are required. No cash reports are required. No progress reports are required. Quarterly Financial Reports (SF 272) are required. All grants require cooperation and sharing of program reports with an independent external evaluator. See the Federal Register for solicitations for grant applications. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 08 \$500,000; FY 09 est \$500,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

At a minimum, \$50,000, depending on the project needs as detailed in the solicitation for grant application and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Pennsylvania - \$158,000; Illinois - \$52,000; Colorado - \$50,000; Alabama - \$89,000; Kentucky - \$55,000; and the United Mine Workers of America - \$96,000. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Mine Safety and Health Act of 1977, Public Law 91-173 as amended by Public Law 95-164.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9570

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications.

**17.604 SAFETY AND HEALTH GRANTS**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977 (Mine Act), Public Law 95-164, as amended by Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236.

**OBJECTIVES:**

To provide mine safety and health training and education to miners, mine operators, and other individuals who may work at a mine; and to develop training and other programs (to include research and equipment development) to improve health and safety conditions at mines.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are restricted to the use, services, mine type, or any other priority that MSHA has designated or is mandated by its legislation.

**Applicant Eligibility:**

Any mining State of the United States, non-profit public and private organizations, commercial entity, or the legislatively mandated entity.

**Beneficiary Eligibility:**

Individuals employed in workplaces covered by the Mine Act, as amended by Miner Act that receive training and/or educational services and owners and employers covered by the Mine Act receiving the benefits of the health and safety project under these grants.

**Credentials/Documentation:**

All applicants must produce the required documents for the grant, including any expertise requested. All applicants that are non-profits must show non-profit status. If MSHA issues a solicitation for grant application (SGA), applicants must produce all items as requested in the SGA. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed by MSHA. The standard application forms furnished by the Federal agency and required by the applicable OMB Circular must be used for this program. Completed applications are returned to MSHA as noted in the application.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary. Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Primarily, grants are awarded for 12 months and may be renewed for an additional 12 months. In certain circumstances, MSHA may award grants up to a three-year performance period with a one-year renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12 months. Grantees receive funds through the Department of Labor, Mine Safety and Health Administration, Educational Policy and Development. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required quarterly. No cash reports are required. No progress reports are required. Fiscal reports are required quarterly. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,161,566; FY 09 est \$1,808,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: United Mine Workers of America - \$2,162,000. Fiscal Year 2009: United Mine Workers of America - \$1,808,000. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 31, 32, 33, 35, 36, 93, 94, 95, 96, 97, 98, and 99; OMB Circulars A-21, A-110 and A-122.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9570

**Website Address:**

<http://www.msh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications, if applicable.

**17.700 WOMEN'S BUREAU**

(Women's Bureau)

**FEDERAL AGENCY:**

Office of the Secretary, Women's Bureau, Department of Labor

**AUTHORIZATION:**

Public Law 66-259; 29 U.S.C. 11-16.

**OBJECTIVES:**

To improve the status of wage-earning women, improve their working conditions, increase their efficiency, advance their opportunities for profitable employment, and to provide employers with more alternatives to meet their labor needs. Through its initiatives focusing on nontraditional employment opportunities, financial security, workplace flexibility, and mentoring, the Bureau works to promote an environment that is responsive to the demands and challenges of the 21st Century workforce; it establishes and maintains linkage with national, community and faith-based organizations, business and industry, trade unions, research foundations, academic, and Federal, State, and local government agencies for cooperative projects that address the employment and supportive service needs of women.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical information and referrals are provided to interested constituents. This information includes program models and advisory services that increase opportunities for women to plan for their economic and retirement security, aid in the development of training and educational programs designed to increase employment and earning opportunities, and support the establishment of programs that encourage a balance between home and work-life through flexible policies and programs. The Women's Bureau does not provide financial assistance to individuals.

**Applicant Eligibility:**

Any individual or group located in the United States or its territories.

**Beneficiary Eligibility:**

Individuals (particularly women) and groups.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for information or advice may be made to the appropriate Department of Labor, Women's Bureau regional office listed in Appendix IV of the Catalog, or to the Headquarters Office listed under the Information Contacts section of this program. The Women's Bureau does not provide financial assistance to

individuals.

**Award Procedure:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals. See the following for information on how assistance is awarded/released: The Women's Bureau does not provide financial assistance to individuals.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

16-0165-0-1-505.

**Obligations:**

(Salaries) FY 08 \$9,465,000; FY 09 est \$10,419,000; FY 10 est \$10,604,000

**Range and Average of Financial Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During Fiscal Year 2008, the Women's Bureau continued to support and develop on-going projects; several additional projects were designed and implemented in its effort to promote an environment responsive to the demands and challenges of the 21st century workforce. These targeted initiatives were designed to enhance opportunities for women under the Department's goals of A Competitive Workforce, A Prepared Workforce, and Strengthened Economic Protections. The following examples are highlights of the Bureau's accomplishments: A COMPETITIVE WORKFORCE -- The Women's Bureau continued its Flex-Options for Women project, which started in January 2004. The project links mentors who have experience in developing flexible workplace policies and procedures with women business owners who want to develop flexible workplace policies and procedures. A PREPARED WORKFORCE -- The Bureau's Working Women in Transition (WWIT) program continued its efforts in support of women who are making a transition in their work lives. Building on the best practices of Better Jobs! projects, WWIT implemented the Bureau's unique high-touch and high-tech strategy that combines online and face-to-face resources. Participants were provided access to online mentors (e-mentoring), online employment tools, and distance learning opportunities while working with local service providers. A SECURE WORKFORCE -- Wi\$eUp is a financial education demonstration project targeted to Generation X women ages 22 to 35. The centerpiece of the program is an eight-module curriculum offered online, as well as in a classroom setting in educational institutions and other organizations. In the online program, the curriculum is complemented by an "Ask the Experts" feature, which permits participants to send questions by e-mail to volunteers with financial expertise. Another feature available to participants in both the online and classroom-based versions is a series of monthly one-hour teleconference calls with featured

speakers and a question and answer session. The Women's Bureau also continued to host financial security and education events throughout the country. OUTREACH -- Through its National and Regional offices, web page, speaking engagements, and publications, the Women's Bureau continued to provide up-to-date, consistent, and relevant information and resources to employees, employers, and interested constituents on a variety of work-related topics, including job options, training and employment, flexible work schedules, and women's employment-related statistics. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Department of Labor, Women's Bureau regional office in Appendix IV of the Catalog listed under the Office of the Secretary.

**Headquarters Office:**

Angela Adams 200 Constitution Avenue, NW Room S3002, Washington, District of Columbia 20210 Email: adams.angela@dol.gov Phone: 202-693-6710

**Website Address:**

<http://www.dol.gov/wb/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.720 DISABILITY EMPLOYMENT POLICY DEVELOPMENT**

ODEP

**FEDERAL AGENCY:**

Office of Disability Employment Policy, Department of Labor

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2001, Public Law 106-554, 29 U.S.C 557b.

**OBJECTIVES:**

The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP develops and fosters implementation of comprehensive and integrated disability employment policies and strategies throughout the workforce development system, in workplaces, and in employment-related supports programs and services. Implementation of these effective policies and practices will increase employment opportunities and the recruitment, retention and promotion of people with disabilities. ODEP's response to the low labor force participation of people with disabilities is comprehensive and aggressive, and includes securing the active involvement of and cooperation among a number of stakeholders, including Federal, State and local government agencies, private and public employers, educational and training institutions, and the disability community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses and use restrictions are detailed in each solicitation for cooperative agreement or grant applications and in each request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current Solicitations for Grant Applications (SGAs) and Requests for Proposals (RFPs). All ODEP funds are discretionary.

**Applicant Eligibility:**

While individuals are not eligible for ODEP's cooperative agreements and grants, nonprofit and for-profit organizations, State and local government agencies, academic institutions, and other entities are eligible. Eligibility requirements are detailed in each SGA and in RFPs. See [www.grants.gov](http://www.grants.gov), the

Federal Register, or FedBizOpps for current SGAs and RFPs.

**Beneficiary Eligibility:**

Beneficiary eligibility is detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Credentials/Documentation:**

See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Competitive cooperative agreement and grant applications, submitted in response to a solicitation for cooperative agreement or grant application, will be reviewed by a Federal panel for fidelity to Federal principles and to ensure adherence to solicitation for cooperative agreement or grant application requirements. Awards are made subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Appeals:**

Appeal information and contact procedures for each solicitation are contained and detailed within the solicitation for cooperative agreement or grant application and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Renewals:**

Renewal and option year availability is detailed in each solicitation for cooperative agreement or grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. See the following for information on how assistance is awarded/released: Length of time and phasing of assistance are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Reports:**

All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. Cash reports are not applicable. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as

well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

16-0166-0-1-505.

**Obligations:**

(Salaries) FY 08 \$26,953,000; FY 09 est \$26,679,000; FY 10 est \$37,031,000

**Range and Average of Financial Assistance:**

Previous awards for cooperative agreement, grants and contracts have ranged from approximately \$15,000 to \$3,500,000 per funding year, depending on the project needs as detailed in the solicitation for cooperative agreement or grant application or proposal and availability of funds. Awards have been to nonprofit and for-profit organizations, State and local government agencies, academic institutions, and other entities.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: ODEP managed DisabilityInfo.gov, expanding the number of Federal partners to create a governing board that broadened the range of Federal, state and local disability information available to citizens. ODEP also continued collaborating with the Bureau of Labor Statistics (BLS) to begin collecting, for the first time ever, data to determine the employment rate of people with disabilities in the Current Population Survey (CPS).

Focusing on Workforce Systems policy, ODEP produced the Knowledge, Skills and Abilities of Youth Service Practitioners, a professional development tool created to assist One-Stop Career Centers and the juvenile justice and foster care systems with the professional development of staff leads to improve program quality and increase positive youth outcomes. ODEP also documented how self-identification and the use of accommodations and financial literacy training impact post-secondary education and employment outcomes of youth with disabilities. ODEP partnered with the Employment and Training Administration (ETA) to integrate elements of the Guideposts for Success into ETAs Strategic Youth Vision guidance and provided technical assistance, training, and capacity building support to states.

ODEP developed models of comprehensive and coordinated employment preparation service delivery, including customized and self-employment strategies to adults with disabilities, in a range of economic, geographic and structural environments. Collaboration led by ODEP between the Small Business Administration (SBA), ETA, and the Veterans Employment and Training Service (VETS) resulted in the development and provision of technical assistance to workforce and small business development systems to support entrepreneurship for people with disabilities. Finally, ODEP validated models of customized employment strategies that include the leveraging of resources and funds across various separate but related systems. ODEP worked with ETA to ensure that issues related to aging and disability were integrated into the Federal Task Force on the Aging of the American Workforces activities to build capacity for serving seniors with disabilities.

With regard to Employers and the Workplace policy, ODEP facilitated dialogue on workplace health and productivity issues among private and public sector experts in healthcare and employment. ODEP developed and disseminated strategies to employers for reducing the barriers to recruitment and hiring with regard to electronic recruiting and credentialing processes for job seekers with disabilities. Finally, ODEP worked with the Office of Personnel Management (OPM) and the Equal Employment Opportunity Commission (EEOC) to disseminate effective employment practices and partnered on EEOCs Leadership for the Employment of Americans with Disabilities (LEAD) initiative and other Federal hiring efforts, including outreach on the Schedule A hiring authority and activities related to compliance with EEOCs Management Directive 715 on the recruitment, hiring, flexible work policies, such as flexible schedules, flexiplace, and telework.

In Employment-Related Supports policy, ODEP conducted policy analysis and provided technical assistance to workforce systems (including the One-Stops/Disability Program Navigators) to improve health care-related competency. ODEP fostered a dialogue among advocacy organizations and provider associations on employment-related health care options to reduce disincentives to employment for people with disabilities by strengthening understanding and awareness of work-related personal assistance services (PAS) alternatives. With regard to employment-related transportation, ODEP continued its successful partnerships with the Department of Transportation (DOT) on the United We Ride initiative to assist communities in meeting the mobility needs of workers with disabilities and, under the auspices of the White Houses Interagency Council on the Homeless, with the Department of Housing and Urban Development (HUD) to test and pilot coordinated employment and housing services models for people who are chronically homeless. Finally, ODEP collaborated with the Departments of Education (ED), Commerce, and Defense (DOD), the Department of Labor VETS, the U.S. Access Board and the Veterans Administration (VA) to develop policy and provide technical assistance regarding the provision of personal recovery and employment assistance to the nations disabled service members, including those returning from Iraq and Afghanistan. Fiscal Year 2009: TBD. Fiscal Year 2010: TBD.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Office of Disability Employment Policy is located at [www.dol.gov/odep](http://www.dol.gov/odep). Information and resources on disability employment and other disability-related topics can be found at [www.DisabilityInfo.gov](http://www.DisabilityInfo.gov), for which ODEP is the managing partner of more than 20 Federal agencies.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Office of Disability Employment Policy 200 Constitution Ave., N.W., Room S1303, Washington, District of Columbia 20210 Email: [infoodep@dol.gov](mailto:infoodep@dol.gov) Phone: 202-693-7880 / 202-693-7881(TTY) Fax: 202-693-7888

#### **Website Address:**

<http://www.dol.gov/odep> .

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded technical assistance and research projects awarded to support disability employment policy development can be found at [www.dol.gov/odep](http://www.dol.gov/odep). Fiscal Year 2009: Examples of funded technical assistance and research projects awarded to support disability employment policy development can be found at [www.dol.gov/odep](http://www.dol.gov/odep). Fiscal Year 2010: Examples of funded technical assistance and research projects awarded to support disability employment policy development can be found at [www.dol.gov/odep](http://www.dol.gov/odep).

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are detailed in each solicitation for cooperative agreement or grant application and request for proposal. Criteria always include the availability of ODEP funds, alignment with ODEP's mission to develop national policy to reduce barriers to employment for people with disabilities,

performance achievement, and provision of data to support performance reporting. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs and RFPs.

#### **17.801 DISABLED VETERANS' OUTREACH PROGRAM (DVOP)**

##### **FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

##### **AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; Public Laws 107-288 and 109-461., Title 38, Part III, Section 4103, Public Law 107-288, 38 U.S.C 4103A, as amended by Veterans Benefits, Health Care, and Information Technology Act of 2006, Title 38, Part III, Section 4103, Public Law 109-461, 38 U.S.C 4103A.

##### **OBJECTIVES:**

To provide intensive services to meet the employment needs of disabled and other eligible veterans; and, to provide maximum emphasis in meeting the employment needs of those who are economically or educationally disadvantaged, including homeless veterans and veterans with barriers to employment.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds must be used only for salaries and expenses and reasonable support of Disabled Veterans' Outreach Program (DVOP) Specialists who shall be assigned only those duties directly related to meeting the employment needs of eligible veterans according to the provisions of 38 U.S.C. 4103A.

##### **Applicant Eligibility:**

The administrative entity designated by each Governor.

##### **Beneficiary Eligibility:**

Veterans and eligible persons with emphasis on Special Disabled veterans, disabled veterans, economically or educationally disadvantaged veterans, and veterans with other barriers to employment.

##### **Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, submitted to the Director for Veterans' Employment and Training (DVET) in each State, as listed in Appendix IV along with program narratives and Fiscal Plans in accordance with instructions in a Solicitation for Grant Application (SGA) or annual modification instructions.

##### **Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Ninety days following the submission of an application pending the availability of fiscal year appropriation.

##### **Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

Not Applicable.

**Records:**

Cost accounting and performance records to be maintained in accordance with each grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Salaries) FY 08 \$79,744,000; FY 09 est \$79,005,000; FY 10 est not reported. -

Listed below are the actual obligations by State for FY 08 (amounts in \$thousands). AK-\$291; AL-\$911; AR-\$688; AZ-\$1,554; CA-\$10,744; CO-\$1,110; CT-\$932; DC-\$266; DE-\$158; FL-\$4,632; GA-\$2,528; HI-\$305; IA-\$1,253; ID-\$407; IL-\$3,129; IN-\$1,436; KS-\$894; KY-\$811; LA-\$890; MA-\$1,296; MD-\$1,633; ME-\$450; MI-\$2,600; MN-\$1,461; MO-\$1,092; MS-\$627; MT-\$456; NC-\$1,282; ND-\$126; NE-\$334; NH-\$325; NJ-\$2,581; NM-\$402; NV-\$608; NY-\$4,053; OH-\$6,245; OK-\$542; OR-\$1,489; PA-\$3,150; PR-\$172; RI-\$280; SC-\$1,309; SD-\$498; TN-\$1,474; TX-\$5,753; UT-\$983; VA-\$1,701; VI-\$0; VT-\$144; WA-\$1,653; WI-\$1,519; WV-\$242; WY-\$325.

Listed below are the estimated obligations by State for FY 09 (amounts in \$thousands; subject to change). AK-\$250; AL-\$924; AR-\$572; AZ-\$1,657; CA-\$11,039; CO-\$1,442; CT-\$946; DC-\$239; DE-\$124; FL-\$4,499; GA-\$2,645; HI-\$275; IA-\$1,286; ID-\$424; IL-\$2,989; IN-\$1,444; KS-\$864; KY-\$639; LA-\$1,135; MA-\$1,245; MD-\$1,467; ME-\$402; MI-\$2,515; MN-\$1,602; MO-\$877; MS-\$583; MT-\$449; NC-\$1,265; ND-\$150; NE-\$850; NH-\$336; NJ-\$2,160; NM-\$415; NV-\$668; NY-\$4,129; OH-\$6,253; OK-\$378; OR-\$1,436; PA-\$2,684; PR-\$174; RI-\$196; SC-\$1,201; SD-\$440; TN-\$1,540; TX-\$5,784; UT-\$833; VA-\$1,580; VI-\$0; VT-\$149; WA-\$1,880; WI-\$1,465; WV-\$257; WY-\$249.

**Range and Average of Financial Assistance:**

Range from \$0 to \$11,039,000 based on award during FY 08 and FY 09 year to date. Approximate average award based on FY 08 and FY 09: \$1,498,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Program Year 2006, (July 1, 2006 - June 30 2007)166,439 veterans and other eligible persons served by a DVOP specialist entered employment, for a rate of 62.7 percent; 79.3 percent of those were retained in employment for more than 180 days. During the same period, 19,815 disabled veterans served by a DVOP specialist entered employment, for a rate of 57.5 percent; 78.6 percent of those were retained in employment for more than 180 days.

In Program Year 2007, (July 1, 2007 - June 30, 2008) 152,528 veterans and other eligible persons served by a DVOP specialist entered employment, for a rate of 64.2 percent; 81.7 percent of those were retained in employment for more than 180 days. During the same period, 32,251 disabled veterans served by a DVOP specialist entered employment, for a rate of 59.4 percent; 80.9 percent of those were retained in employment for more than 180 days. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4103A; 20 CFR 1001.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Patrick Hecker 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: hecker.patrick@dol.gov Phone: 202-693-4709

**Website Address:**

http://www.dol.gov/vets.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application.

**17.802 VETERANS' EMPLOYMENT PROGRAM**

(Veterans' Workforce Investment Programs (VWIP))

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Section 168, Public Law 105-220, 29 U.S.C 2913.

**OBJECTIVES:**

To provide services to assist in reintegrating eligible veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing eligible veterans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Programs supported with these funds shall include: 1) Activities to enhance services provided to eligible veterans by other providers of employment and training services funded by Federal, State, local or tribal governments; 2) activities to provide innovative employment and training services and projects to eligible veterans not currently provided by other public employment and training service providers; and 3) outreach and public information activities to develop and promote maximum job and training or retraining opportunities for eligible veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations and community-based organizations (including faith-based and community organizations) are eligible to compete for these grant funds.

**Beneficiary Eligibility:**

Service-connected disabled veterans, veterans who have significant barriers to employment, veterans who served on active duty in the armed forces during a war or in a campaign or expedition for which a campaign badge has been authorized, and veterans who are recently separated from military service (48 months).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) and Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Office of the Assistant Secretary for Veterans' Employment and Training, in conjunction with the Office of the Assistant Secretary for Administration and Management, is responsible for all funding decisions regarding this competitive grant program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 15 to 30 days. Within 21 days of the determination denying financial assistance the applicant may request a hearing through the Chief Administrative Law Judge, Department of Labor.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is normally available during a 12-month period (program year). The methods of payment will be with an automatic payment management system. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reporting of workload activities of veterans' who were provided employment services, referred to training and employment, entered employments, and employment retention. HHS 272. Progress reports are not applicable. Federal Financial Report (SF 425) through the Department's E-Grants system. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$7,351,000; FY 09 est \$7,641,000; FY 10 est not reported. - (Grants and Contracts) Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 08 actual \$7,351,000; PY 09 est \$ ; PY 10 est not available. PY 2008 (Performance period July 1, 2008 - June 30, 2009) PY 2009 (Performance period July 1, 2009 - June 30, 2010).

**Range and Average of Financial Assistance:**

In PY 2008, twelve competitive grantees received 3rd year funding ranging from \$195,000 (rounded) to \$750,000.

PY 2009 grants will be awarded on July 1, 2009.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For PY 2007 (July 1, 2007-June 30, 2008), there were 2,207

veterans placed into employment out of 3,625 total veteran participants for a rate of 60.9%. The average hourly wage at placement was \$11.59. Fiscal Year 2009: Current PY 2009 (July 1, 2009-June 30, 2010) accomplishments are unavailable. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Information regarding program funding and eligibility can be found on our website at [www.dol.gov/vets](http://www.dol.gov/vets).

**Headquarters Office:**

Kenneth Fenner 200 Constitution Ave, NW  
Room S-1312, Washington, District of Columbia 20210 Email:  
[Fenner.Kenneth@dol.gov](mailto:Fenner.Kenneth@dol.gov) Phone: 202-693-4728

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

**17.803 UNIFORMED SERVICES EMPLOYMENT AND REEMPLOYMENT RIGHTS FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

38 U.S.C. Chapter 43.

**OBJECTIVES:**

To protect and facilitate the smooth and prompt reemployment of members of the uniformed services (to include National Guard and Reserves) following performance of qualifying service. Also, to prohibit discrimination in employment and acts of reprisal against persons because of their obligation in the uniformed services, filing a claim, seeking assistance concerning an alleged violation, testifying in a proceeding, or otherwise participating in an investigation.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

To assist persons who perform service in the uniformed services to secure employment or prompt reinstatement with their pre-service employers, and to secure the crediting of all seniority rights and benefits to that employment. To provide information and assistance to employers and to labor organizations and other elements of the community concerned with veterans' employment and reemployment. The Department of Labor - Veterans' Employment and Training Service investigates complaints with the goal of voluntary resolution of veterans' employment and reemployment problems. Unresolved complaints are referred to the Department of Justice or to the Office of Special Counsel upon request for consideration for representation in the Federal District courts or before the Merit Systems Protection Board.

**Applicant Eligibility:**

Persons performing voluntary or involuntary service in the uniformed services (includes active duty, active duty for training, initial active duty for training, inactive duty training, full time National Guard duty, the period absent from employment while being examined to determine fitness for such, and specified duty or training by intermittent appointees of the National Disaster Medical System) Claimants must conform to all statutory eligibility requirements, including notification, intent, and timeliness of actions. Entitlement terminates upon separation from uniformed service with a bad conduct or dishonorable discharge or upon separation under other than honorable conditions, a "dismissal" or "dropping from the rolls" pursuant to sections 1161(a) and

1161(b) of Title 10, U.S. code.

**Beneficiary Eligibility:**

Persons performing voluntary or involuntary service in the uniformed services (includes active duty, active duty for training, initial active duty for training, inactive duty training, full time National Guard duty, the period absent from employment while being examined to determine fitness for such and specified duty or training by intermittent appointees of the National Disaster Medical System). Claimants must conform to all statutory eligibility requirements, including notification, intent, and timeliness of actions.

**Credentials/Documentation:**

Applicants should be able to provide evidence of pre-service employment, proper notification, length and character of service, and proper request for reinstatement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the nearest Department of Labor, Veterans' Employment and Training Service (USDOL-VETS) office listed in Appendix IV of the Catalog.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The statute authorizes court review for unresolved complaints. Private action is also authorized; contact the nearest USDOL-VETS office listed in Appendix IV of the Catalog for the procedure.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

not applicable. See the following for information on how assistance is awarded/released: not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Investigation of Complaints) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Funding for this effort is included in the annual VETS budget.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Department of Labor, Veterans' Employment and Training Service office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Angela Freeman 200 Constitution Ave. NW, Washington, District of Columbia 20210 Email: freeman.angela@dol.gov Phone: 202-693-4715 Fax: 202-693-4734

**Website Address:**

http://www.dol.gov/dol/vets.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.804 LOCAL VETERANS' EMPLOYMENT REPRESENTATIVE PROGRAM**

(LVER PROGRAM)

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; Public Laws 107-288 and 109-461., Title 38, Part III, Section 41, Public Law 107-288, 38 U.S.C 4104, as amended by Veterans Benefits, Health Care, and Information Technology Act of 2006, Title 38, Part III, Section 4104, Public Law 109-461, 38 U.S.C 4104.

**OBJECTIVES:**

Conduct outreach to employers including conducting seminars for employers, conducting job search workshops and establishing job search groups; and to facilitate employment, training, and placement services furnished to veterans in a State under the applicable State employment service or One-Stop Career Center delivery systems whose sole purpose is to assist veterans in gaining and retaining employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used only for salaries, expenses and reasonable support of Local Veterans' Employment Representatives who shall be assigned only those functions directly related to providing services to veterans according to provisions of 38 U.S.C. 4103 and 4104.

**Applicant Eligibility:**

The designated administrative entity that operates the employment service delivery system within the State.

**Beneficiary Eligibility:**

Veterans and eligible persons.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, Jobs for Veterans State grant narrative and



financial plans, staff directory, assurances and certifications are submitted to the Director for Veterans' Employment and Training (DVET) in each State, (see Appendix IV of the Catalog) in accordance with Jobs for Veterans Solicitations for Grant Application or annual modification instructions.

**Award Procedure:**

Awards approved annually by Assistant Secretary for Veterans' Employment and Training (ASVET) are based on review and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ninety days following submission of an application pending the availability of a Fiscal Year appropriation.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September), but provided in quarterly allocations in accordance with approved spending plans. States may continue to obligate Fiscal Year funds until December 31 of each year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided case management, referred to training and employment, received staff-assisted services and entered employment. HHS 272. ETA 9002 Series and VETS 200 Series. Federal Financial Report (SF 425). Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Cost accounting and performance records to be maintained according to grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Salaries) FY 08 \$73,028,000; FY 09 est \$70,591,000; FY 10 est not reported. - Listed below are the actual allocations by State for FY 08 (Amounts in \$thousands: AK-\$197; AL-\$1,335; AR-\$796; AZ-\$1,143; CA-\$5,164; CO-\$1,414; CT-\$714; DC-\$316; DE-\$389; FL-\$3,847; GA-\$2,366; HI-\$523; IA-\$212; ID-\$363; IL-\$3,226; IN-\$1,911; KS-\$661; KY-\$1,432; LA-\$1,256; MA-\$1,670; MD-\$1,280; ME-\$373; MI-\$3,297; MN-\$1,195; MO-\$2,389; MS-\$989; MT-\$58; NC-\$3,289; ND-\$352; NE-\$652; NH-\$471; NJ-\$878; NM-\$781; NV-\$476; NY-\$4,261; OH-\$500; OK-\$1,420; OR-\$918; PA-\$3,329; PR-\$262; RI-\$280; SC-\$1,401; SD-\$75; TN-\$1,961; TX-\$6,316; UT-\$10; VA-\$2,297; VI-\$58; VT-\$334; WA-\$2,139; WI-\$1,430; WV-\$506; WY-\$116.

Listed below are the current allocations by State for FY 09 (Amounts in \$thousands; subject to change): AK-\$261; AL-\$1,130; AR-\$967; AZ-\$1,200; CA-\$5,051; CO-\$1,485; CT-\$729; DC-\$205; DE-\$294; FL-\$4,179; GA-\$2,702; HI-\$297; IA-\$98; ID-\$249; IL-\$2,727; IN-\$1,797; KS-\$702; KY-\$1,694; LA-\$891; MA-\$1,704; MD-\$1,396; ME-\$365; MI-\$3,316; MN-\$1,138; MO-\$2,243; MS-\$1,113; MT-\$69; NC-\$3,215; ND-\$370; NE-\$98; NH-\$389; NJ-\$1,169; NM-\$632; NV-\$637; NY-\$3,592; OH-\$472; OK-\$1,429; OR-\$762; PA-\$3,014; PR-\$260; RI-\$323; SC-\$1,526; SD-\$60; TN-\$1,871; TX-\$5,969; UT-\$10; VA-\$2,279; VI-\$58; VT-\$351; WA-\$1,704; WI-\$1,623; WV-\$572; WY-\$204.

**Range and Average of Financial Assistance:**

Ranges from \$10,000 to \$5,969,000 based on awards during FY 08 and FY 09 year to date. Approximate average during FY 08 and FY 09: \$1,354,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Program Year 2006, (July 1, 2006 - June 30, 2007) 175,837 veterans and other eligible persons who were served by LVER staff entered employment, for a rate of 62.3 percent; 78.6 percent of those retained employment for more than 180 days. During the same period, 27,440 recently separated veterans who were served by LVER staff entered employment, for a rate of 61.2 percent; 76.6 percent of those retained employment for more than 180 days. In Program Year 2007, (July 1, 2007 - June 30, 2008) 168,906 veterans and other eligible persons who were served by LVER staff entered employment, for a rate of 64.2 percent; 81.5 percent of those retained employment for more than 180 days. During the same period, 32,852 recently separated veterans who were served by LVER staff entered employment, for a rate of 66.9 percent; 82.4 percent of those retained employment for more than 180 days. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4104; 20 CFR 1001.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators and State Directors for Veterans' Employment and Training Service listed in Appendix IV of the Catalog.

**Headquarters Office:**

Patrick Hecker 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: hecker.patrick@dol.gov Phone: 202-693-4709

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.807 Transition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on Solicitation for Grant Application.

**17.805 HOMELESS VETERANS REINTEGRATION PROJECT  
FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987; Title II, Part C; Public Law 100-77, as amended; Public Laws 100- 628, 101-645, 102-590, 104-275, 105-41; 105-114, and 107-95; 42 U.S.C. 1447-1450; 38 U.S.C., 4111., Title II, Part C.

**OBJECTIVES:**

To provide services to assist in reintegrating homeless veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing homeless veterans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects supported with these funds shall provide for employment and training services and support services directly or through linkages with other service providers to assist homeless veterans to reenter the workforce. Outreach is necessary and is to be performed by formerly homeless veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations (including faith-based and

community organizations) and for-profit/commercial entities. Potential jurisdictions are metropolitan areas of the largest U.S. cities or Non-Urban areas in need, as announced in the solicitation for grant applications (SGA).

**Beneficiary Eligibility:**

Individuals who are homeless veterans. The term "homeless" or "homeless individual" includes: (1) An individual who lacks a fixed, regular, and adequate night-time residence; and (2) an individual who has a primary night-time residence that is: (a) a supervised publicly or privately operated shelter designed to provide temporary living accommodations including welfare hotels, congregate shelters, and transitional housing for the mentally ill; (b) an institution that provides a temporary institutionalized; or (c) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodations for human beings (Reference: 42 U.S.C. 1302). A "veteran" is an individual who served in the activity military, naval, or air service, and who was discharged or released there from under conditions other than dishonorable. (Reference: 33 U.S.C. 101 (2)).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) or Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, and Standard Form 424A, Budget Information shall be submitted, along with the technical proposal and budget narrative as required by the application SGA. This program is subject to the provisions of OMB Circular Nos. A-21, A-87, A-110, A-122, and A-133, 48 CFR 31, 29 CFR 2, 30, 31, 32, 33, 35, 36, 37, 93, 94, 95, 96, 97, 98, and 99.

**Award Procedure:**

The Office of the Assistant Secretary for Administration and Management, and the Assistant Secretary for Veterans' Employment and Training are responsible for all funding decisions regarding this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days.

**Appeals:**

Debriefings of unsuccessful applicants are provided upon request.

**Renewals:**

As noted in the SGA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually awarded for a full program year (July through June period). Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reporting of program activity such as number enrolled, entered employment and retention in employment. Through the HHS and Department's E-Grants system. No progress reports are required. Federal Financial Report (SF 425) through the Department's E-Grants system. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Subject to the provisions of 29 CFR Part 96 Audits of Federally Funded Grants, Contracts, and Agreements.

**Records:**

Financial and performance records to be maintained in accordance with the grant agreement.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$22,777,043; FY 09 est \$25,340,431; FY 10 est not reported. - Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2008 (Performance period July 1, 2008-June 30, 2009); PY 2009 (Performance period July 1, 2009-June 30, 2010).

**Range and Average of Financial Assistance:**

In PY 2008 sixteen grantees received 1st year funding, thirty-four grantees received 2nd year funding, and ninety-one grantees received 3rd year funding at a total of \$22,777,043. Grant awards ranged from \$75,550 to \$300,000.

In PY 2009 fifty grantees received 1st year funding, sixteen grantees received 2nd year funding, and thirty-two grantees received 3rd year funding at a total of \$25,340,431. Grant awards ranged from \$94,140 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For PY 2007, there were 8,191 homeless veterans who entered employment out of 13,060 total enrollments for an entered employment rate of 63 percent.

Program accomplishments are unavailable for PY 2008. Fiscal Year 2009: Current PY 2009 (July 1, 2009-June 30, 2010) accomplishments are unavailable. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kenneth Fenner 200 Constitution Avenue, NW  
Room S-1312, Washington, District of Columbia 20210 Email:  
fenner.kenneth@dol.gov Phone: (202) 693-4728

**Website Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.801 Disabled Veterans' Outreach Program (DVOP); 17.802 Veterans' Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

**17.806 VETERAN'S PREFERENCE IN FEDERAL EMPLOYMENT**

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Veterans Preference Act of 1944, Public Laws 78-359, 93-508, 94-502, 95-520, 95-454, 97-72, 97-306, 98-543, 99-576, 101-237, 102-16, 102-568, 105-339, and 106-117; 109-163; Executive Order 11521, March 26, 1970.

**OBJECTIVES:**

To provide assistance to preference eligible individuals who believe that their rights under veterans' preference statutes and regulations have been violated. Recognizing their sacrifice, Congress enacted laws to prevent veterans seeking Federal employment from being penalized for their time in military service. Veterans' preference recognizes the economic loss suffered by citizens who have served their country in uniform, restores veterans to a favorable competitive position for Government employment, and acknowledges the larger

obligation owed to disabled veterans. Veterans' preference is not so much a reward for being in uniform as it is a way to help make up for the economic loss suffered by those who answered the nation's call to arms. Historically, preference has been reserved by Congress for those who were either disabled or who served in combat areas. Eligible veterans receive many advantages in Federal employment, including preference for initial employment and a higher retention standing in the event of layoffs. However, the veterans' preference laws do not guarantee the veteran a job, nor do they give veterans' preference in internal agency actions such as promotion, transfer, reassignment, and reinstatement. By law, veterans who are disabled or who served on active duty in the Armed Forces during certain specified time periods or in military campaigns are entitled to preference over others in hiring from competitive lists of eligibles and also in retention during reductions-in-force. Preference applies in hiring for virtually all Federal jobs, whether in the competitive or excepted service. In addition to receiving preference in competitive appointments, veterans may be considered for special noncompetitive appointments for which only they are eligible.

#### **TYPES OF ASSISTANCE:**

##### **FEDERAL EMPLOYMENT**

#### **USES AND USE RESTRICTIONS:**

To assist persons who perform service in the uniformed services to secure Federal employment and to ensure a higher retention standing in the event of a reduction-in-force. To provide information and assistance to veterans, employers, labor organizations, and other elements of the community concerned with veterans' preference in Federal employment and retention. The Department of Labor - Veterans' Employment and Training Service investigates complaints with the goal of voluntary resolution of veterans' preference problems. Unresolved complaints can be pursued by the complainant veteran to the Merit Systems Protection Board.

#### **Applicant Eligibility:**

(1) Five-point preference is given to those honorably separated veterans (this means an honorable or general discharge) who served on active duty (not active duty for training) in the Armed Forces: During any war (this means a war declared by Congress, the last of which was World War II); during the period April 28, 1952, through July 1, 1955; for more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976; during the Gulf War period beginning August 2, 1990, and ending January 2, 1992; for more than 180 consecutive days, any part of which occurred during the period beginning on September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last date of Operation Iraqi Freedom; or in a campaign or expedition for which a campaign medal has been authorized, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti. Medal holders and Gulf War veterans who originally enlisted after September 7, 1980, or entered on active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty, must have served continuously for 24 months or the full period called or ordered to active duty. Effective on October 1, 1980, military retirees at or above the rank of major or equivalent, are not entitled to preference unless they qualify as disabled veterans. Ten-point preference is given to those honorably separated veterans who: (1) Qualify as disabled veterans because they have served on active duty in the Armed Forces at any time and have a present service-connected disability or are receiving compensation, disability retirement benefits, or pension from the military or the Department of Veterans Affairs; or (2) are Purple Heart recipients; the spouse of a veteran unable to work because of a service-connected disability; the unmarried widow of certain deceased veterans; and the mother of a veteran who died in service or who is permanently and totally disabled. When applying for Federal jobs, eligible veterans should claim preference on their application or resume. Applicants claiming 10-point preference must complete form SF- 15, Application for 10-Point Veteran Preference. Veterans who are still in the service may be granted 5 points tentative preference on the basis of information contained in their applications, but they must produce a DD Form 214 prior to appointment to document entitlement to preference. Note: Reservists who are retired from the Reserves but are not receiving retired pay are not considered "retired military" for purposes of veterans' preference. (2) Veterans who have been separated from the armed forces under honorable conditions shortly before completion of 3 years, or completion of 3 years or more of active duty military service are

eligible to compete for vacant Federal positions for which the agency making the announcement will accept applications from individuals outside its own workforce under merit promotion procedures. This does not make them preference eligible, but allows access to certain Federal job openings for which they would otherwise not be entitled to apply. (3) Public Law 94-502 authorizes Federal agencies to provide unpaid training or work experience, as a part of the Department of Veterans Affairs vocational rehabilitation for a disabled veteran. Such training may be designed to provide noncompetitive appointment.

#### **Beneficiary Eligibility:**

Non-disabled veterans, disabled veterans and certain wives or husbands, widows, widowers, and mothers of veterans.

#### **Credentials/Documentation:**

For veterans' preference, general proof of honorable separation such as discharge certificate or DD Form 214. In addition, for 10-point preference, a letter from the Department of Veterans Affairs or military department certifying existence of service-connected disability. When the 10-point preference is based on the award of a Purple Heart, official documentation of the award is sufficient. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms are available from Service Centers of the Office of Personnel Management and from Federal agency personnel offices. Veterans eligible for noncompetitive appointment should make personal contact with the Federal agency where they would like to be considered for employment. Veterans who believe that they have not been properly accorded their rights have several different avenues of complaint, depending upon the nature of the complaint and the individual's veteran status: The Veterans Employment Opportunities Act of 1998 allows preference and other eligibles to file a complaint with the Department of Labor's Veterans' Employment and Training Service (VETS) when the person believes an agency has violated his or her rights under any statute or regulation relating to veterans' preference. Eligible veterans seeking employment who believe that an agency has not properly accorded them their veterans' preference, or failed to provide special placement consideration noted above, may file a complaint with the local Department of Labor VETS representative (located at State employment service offices). To be eligible to file a complaint a veteran must: Have served on active duty for more than 180 days and have other than a dishonorable discharge; have a service-connected disability; or served on active duty during a period of war, or received a campaign badge or expeditionary medal (e.g., the Southwest Asia Service Medal). The Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) prohibits discrimination in employment, retention, promotion, or any benefit of employment on the basis of a person's service in the uniformed services. Complaints under this law should also be filed with the local Department of Labor VETS representative (located at State employment service offices). Since a willful violation of a provision of law or regulation pertaining to veterans' preference is a Prohibited Personnel Practice, a preference eligible who believes his or her veterans' preference rights have been violated may file a complaint with the local department of Labor VETS representative, as noted above. A disabled veteran who believes he or she has been discriminated against in employment because of his or her disability may file a handicapped discrimination complaint with the offending agency under regulations administered by the Equal Employment Opportunity Commission.

#### **Award Procedure:**

None.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Under Public Law 95-454, retired members of the armed forces will no longer

be considered preference eligible as of October 1, 1980, unless they are disabled veterans or retired below the rank of Major or the equivalent. Under Public Law 97-306, enacted October 14, 1982, a 2-year minimum active duty service condition for those entering military service after September 7, 1980, or the full period for which called or ordered to active duty, must be met, unless they are disabled veterans.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

not applicable. See the following for information on how assistance is awarded/released: none.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Federal Employment) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Obligations are devoted to Federal Management; and, are not separately identifiable.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Department of Labor, Veterans' Employment and Training Service office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robert Wilson 200 Constitution Ave., NW, Washington, District of Columbia 20210 Phone: 202-693-4719

**Website Address:**

<http://www.dol.gov/dol/vets/public/programs/programs/preference/main.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.807 TRANSITION ASSISTANCE PROGRAM**

TAP

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Defense Reauthorization Act of 1991, Public.Law 101-510, 10 U.S.C. 1144.

**OBJECTIVES:**

To provide employment instruction, information and assistance to separating

and retiring military personnel and their spouses through domestic and overseas installations and or facilities by offering job search and other related services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These services are provided through comprehensive workshops at military installations worldwide. TAP Employment Workshops provide service members and spouses with labor market information as they return to the world of civilian employment; resume assistance; and information on available service benefits. TAP Employment Workshops are provided through State Employment Agencies (Local Veterans Employment Representative program---17.804), and through a competitively awarded training and assistance contract.

**Applicant Eligibility:**

State Workforce Agencies designated under Section 4 of the Wagner-Peyser Act, as amended, or entities designed by the Governor. Contractors, as determined by the Department of Labor's Contracting Officer.

**Beneficiary Eligibility:**

Service members within two years of retirement or one year of separation and their spouses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information Non-Construction Programs, along with a State Plan narrative and a fiscal narrative in accordance with instructions in the grant application process or annual modification instructions. For competitive contracts, as determined by the Department of Labor's Contracting Officer.

**Award Procedure:**

Grant awards are approved by a Department of Labor grant officer annually for the Assistant Secretary for Veterans' Employment and Training based on the recommendations of Regional Administrators and Directors for Veterans' Employment and Training (RAVETs/DVETs). Contract awards are approved approximately annually based on a determination by the Department of Labor's Contracting Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grant application submittal deadlines are established by Grant Application Instructions or Veterans' Program Letter distributed by the ASVET through the Grant Officer for each applicable fiscal year. Contract deadlines are irregular and depend upon fluctuating demand and the ability of the LVER program to provide TAP Employment Workshops.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is awarded each fiscal year (October through September). States may obligate funds to provide TAP Employment Workshops for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of TAP participants. HHS 272 Report through the HHS system. No progress reports are required. Federal Financial Report (SF 425) through the Department's E-Grants system. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Cost accounting and performance records to be maintained in accordance with Veterans' Program Letters.

**Account Identification:**

16-0174-1-0-702.

**Obligations:**

(Salaries) FY 08 \$6,592,718; FY 09 est \$7,104,618; FY 10 est not reported. - (Grants) FY 2008 actual \$3,098,000; FY 2009 estimate \$3,068,000. (Contracts) FY 2008 actual \$3,494,718; FY 2009 estimate \$4,036,618.

**Range and Average of Financial Assistance:**

(Grants) \$0 - \$987,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: (Grants & Contracts) Participants for FY 2008 - 130,671. Fiscal Year 2009: (Grants & Contracts) Estimate of participants for FY 2009 - 160,000. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, Chapter 41.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of this Catalog.

**Headquarters Office:**

Patrick Hecker 200 Constitution Avenue, NW  
Room S-1312, Washington, District of Columbia 20210 Email:  
hecker.patrick@dol.gov Phone: (202) 693-4709

**Website Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Grant Application Instructions.

**U.S. DEPARTMENT OF STATE****19.009 ACADEMIC EXCHANGE PROGRAMS - UNDERGRADUATE PROGRAMS**

Undergraduate programs include: the Global Undergraduate Exchange Program (UGRAD); Study of the U.S. Institutes for foreign student leaders; and Critical Language Scholarships for Intensive Summer Institutes.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the

people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Undergraduate Programs is to provide targeted support for American students to pursue intensive language study abroad and for foreign students to gain a better understanding of the United States, while developing new generations of world leaders.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding supports publicity and recruitment, screening of applications, communication with participants, payment of awards, and the provision of enrichment activities.

The Global Undergraduate Exchange Program provides one semester and academic year scholarships to outstanding undergraduate students from underrepresented sectors for non-degree full-time study combined with community service, internships and cultural enrichment.

The Study of the U.S. Institutes for Student Leaders expose foreign students to U.S. history, government, culture, society, and institutions with the goal of increasing mutual understanding between the people of the United States and the people of other countries.

The Critical Language Scholarships for Intensive Summer Institutes provide support to American university-level students to participate in intensive overseas summer language study institutes.

The Community College Initiatives bring students in vocational and technical fields in selected countries for study at community college campuses across the United States, to increase their employment-related skills and knowledge of English, contribute to the economic development of their countries, and promote mutual understanding.

Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in Grants.gov and Federal Register announcements. As stated in Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$44,330,706; FY 09 est \$44,330,706; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Global UGRAD Program provides scholarships to outstanding undergraduate students from East Asia, Eurasia and Central Asia, the Near East and South Asia and the Western Hemisphere. Approximately 460 scholarships were awarded in 2008.

The Study of the U.S. Institutes explore the principles of democracy and fundamental American values such as individual rights, freedom of expression, pluralism and tolerance, and volunteerism. In 2008, 443 students from 43 countries participated in Study of the U.S. Institutes.

The Critical Language Scholarship for Intensive Summer Institutes Program was launched in 2006 to offer American students intensive overseas study in the critical need foreign languages of Arabic, Bangla/Bengali, Hindi, Punjabi, Turkish and Urdu. In 2007, Chinese, Korean, Persian, and Russian institutes were added along with increased student capacity in the inaugural language institutes. In 2008, the program awarded more than 500 scholarships. In 2009, an 11th language, Azerbaijani, will be offered at the intermediate and advanced levels.

The Community College Initiatives provides practical education in selected fields including agriculture; applied engineering; business management and administration; health professions, including nursing; information technology; media, and tourism and hospitality management. Participants spend one year in the United States and may earn a vocational certificate. To date, 208 individuals from Brazil, Egypt, Indonesia, Pakistan, Turkey, and South Africa have participated in the program, which has been hosted by 12 community college campuses in 11 states across the nation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roz Swenson Office of Academic Exchange Programs  
301 4th Street, S.W., SA-44, Washington, District of Columbia 20547 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 453-8534

**Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.010 ACADEMIC EXCHANGE PROGRAMS - HUMPHREY**

## **FELLOWSHIP PROGRAM**

### **FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

### **AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

### **OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Hubert H. Humphrey Fellowship Program brings mid-career professionals from countries in states of development and transition to the U.S. for a year of non-degree, graduate-level study and professional development.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funding is provided to a non-profit organization to support program administration as well as coordinating program logistics. Funding supports activities such as publicity and recruitment, screening of participant applications, recruitment and selection of U.S. host institutions, communication with host institutions and recipients, payment of stipends, and the provision of enrichment activities. The Hubert H. Humphrey Fellowship Program is a Fulbright exchange activity that provides mid-career professionals from countries in states of development and transition ten months of non-degree academic study and related professional experiences in the United States. Humphrey Fellows are selected based on their potential for leadership and their commitment to public service in either the public or the private sector. The Humphrey Program fosters a mutual exchange of knowledge and understanding about issues of common concern in the United States and the Fellows home countries. The Program offers Fellows opportunities for leadership development and professional engagement with Americans and their counterparts from many nations. Fifteen major universities in the United States serve as host campuses for Humphrey Fellows. These host universities are chosen for their excellence in relevant Humphrey fields of study and for the resources and support they offer Humphrey Fellows. Please refer to the grants.gov or Federal Register announcement for further information.

### **Applicant Eligibility:**

None.

### **Beneficiary Eligibility:**

None.

### **Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards project grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made as necessary during the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov and Federal Register announcements.

### **Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

As stated in the Grants.gov and Federal Register announcements.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

### **Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

### **Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional

guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,200,000; FY 09 est \$10,200,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There have been more than 4,000 program alumni during the 30 years the program has existed. They came from 156 countries and were hosted by 42 U.S. host institutions. The Humphrey Program creates a basis for establishing enduring links between Americans and citizens of other nations, and among the Programs alumni. Humphrey Fellows return to their home countries reinvigorated by broader perspectives, enhanced leadership skills, and greater professional knowledge. Many achieve positions of greater professional responsibility soon after completing the program. The U.S. faculty, students, and community members who receive Humphrey Fellows expand their horizons as well. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Sedlins Office of Global Educational Programs  
Humphrey and Institutional Linkages Branch, Room 349, 301 4th Street, SW,  
SA-44, Washington, District of Columbia 20547 Email: [sedlinsjz@state.gov](mailto:sedlinsjz@state.gov)  
Phone: (202) 453-8869

**Website Address:**

<http://exchanges.state.gov/globalexchanges/humphrey-fellowship.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.011 ACADEMIC EXCHANGE PROGRAMS - SPECIAL ACADEMIC EXCHANGE PROGRAMS**

Special Academic Exchange programs include: Benjamin A. Gilman Scholarship Program; Edmund S. Muskie Fellowship Program; Junior Faculty Development Program; South Pacific Exchanges; and Timor Leste Scholarship Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the

people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Special Academic Exchange Programs is to provide targeted support for U.S. and foreign students who may not otherwise have the resources to pursue international exchange opportunities or who are in fields directly relevant to identified needs in their countries.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Special Academic Exchange Programs support participants in undergraduate, graduate, and non-degree professional development programs. Special Academic Exchange Programs target underserved populations from the developing world or strategically important areas. These programs provide selected participants with the opportunity to participate in exchanges and develop international competencies and skills, which allow them to serve as leaders in their professions and communities. Funding for these programs supports nonprofit organizations to plan activities, recruit and select participants, and administer and monitor international exchange programs.

The Benjamin A. Gilman International Scholarship Program provides scholarships to U.S. undergraduates with financial need for study abroad, including students from diverse backgrounds and students going to non-traditional study abroad destinations.

The Edmund S. Muskie Fellowship Program provides fellowships for Master's level study in the United States in selected fields to young and mid-career individuals in order to foster democratization and the transition to market economies in Eurasia.

The Junior Faculty Development Program provides university faculty in the early stages of their careers opportunities to upgrade their knowledge of the subjects they teach, and to maintain on-going contacts between their home and host institutions.

The United States--South Pacific Scholarship Program provides educational opportunities for academically talented individuals from South Pacific countries to pursue bachelor's and master's degree study at U.S. institutions in fields that are directly relevant to development needs in the Pacific region.

The Timor Leste Scholarship is a scholarship program open to Timorese who meet specific selection criteria. The objective of the program is to identify and support the education of academically talented Timorese who are in the future expected to assume leadership roles in Timor-Leste.

Special Academic Programs include several other academic exchange initiatives in which the U.S. Congress has particular interest.

Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**



Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements

found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$38,395,000; FY 09 est \$33,602,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Benjamin A. Gilman International Scholarship Program is breaking the ceiling on minority participation in study abroad and contributing to the record high number of Americans studying abroad through its support of talented, financially disadvantaged undergraduate students. Since the programs inception, nearly 5,000 Gilman Scholarships have been awarded to Americans for study in more than 100 countries, who represent more than 500 U.S. colleges and universities in all 50 states, the District of Columbia, and Puerto Rico. In 2008-2009, 1,226 Gilman Scholars studied in 74 countries, many in locations outside the traditional study abroad destinations.

The Edmund S. Muskie Graduate Fellowship Program confers fellowships in the fields of business administration, economics, education, environmental policy and management, international affairs, journalism/mass communications, law, library and information science, public administration, public health and public policy. One hundred and forty fellowships were awarded for the 2007-2008 academic year. Numerous Muskie Alumni have returned to serve in positions of leadership in their home countries.

The Junior Faculty Development Program awards approximately 70 scholarships annually for participants from Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Serbia and Montenegro, Tajikistan, Turkmenistan, and Uzbekistan. Alumni return to develop course work, introduce new teaching methodologies, and share experiences with their colleagues.

The United States--South Pacific Scholarship Program has supported more than 66 South Pacific Islanders since the programs inception in 1995. Under the Timor Leste Scholarship Program, more than 40 East Timorese students have received scholarships since the program began 2000. Many alumni of these two programs have returned home to important posts in cabinets of the new Timor-Leste government, in South Pacific government entities, at prominent NGOs, with United Nations programs, and at academic institutions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roz Swenson 301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Email: [fulbright@state.gov](mailto:fulbright@state.gov)  
Phone: 202-453-8534

**Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

**19.012 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - SPECIAL PROFESSIONAL AND CULTURAL PROGRAMS**

Special Professional and Cultural Programs include Congress-Bundestag Youth Exchange, Ngwang Choephel Fellows Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity. The purpose of the Special Professional and Cultural Programs is to carry out Congressionally-directed initiatives that support professional and youth exchanges between the United States and select countries through grants to American non-profit, non-governmental institutions and organizations, including community organizations, professional associations, and universities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of participant applications, communication with participants, domestic and international travel, payment of stipends and program benefits, and the provision of enrichment activities. Special Professional and Cultural Programs constitute a range of professional and youth exchange initiatives in which the U.S. Congress has particular interest. The programs are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and those countries. Programs are designed to promote good governance, civil society and civic responsibility, educational reform, conflict prevention and management, trade, leadership, cultural diversity and heritage, and educational reform, as well as other topics through people-to-people exchanges. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 08 \$12,715,000; FY 09 est \$11,663,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, Special Professional and Cultural Programs sponsored approximately 1,000 participants from 24 countries, including the United States. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Casey 301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Email: [caseysd@state.gov](mailto:caseysd@state.gov)  
Phone: 202-453-8150

**Website Address:**

<http://exchanges.state.gov/citizens/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in [Grants.gov](http://grants.gov) and Federal Register announcements.

**19.013 THOMAS R. PICKERING FOREIGN AFFAIRS FELLOWSHIP PROGRAM**

Pickering Fellowship Program

**FEDERAL AGENCY:**

Bureau of Personnel, U.S. Department of State

**AUTHORIZATION:**

Section 150 - 1990-1991 Department of State Authorization Bill, Public Law 101-246, 42 Stat. 47; State Dept Basic Authorities Act of 1956, Title 22, Part

2719, Section 47.

**OBJECTIVES:**

As authorized by authorizations stated above-the The Pickering Program has an undergraduate and graduate component. Both programs have a common purpose - to attract outstanding students who represent all ethnic and social backgrounds, who have an interest in pursuing a Foreign Service career in the U.S. Department of State. These programs develop a source of trained men and women, from academic fields representing the skill needs of the Department who are dedicated to representing America's interests abroad.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants (Fellowships)

**USES AND USE RESTRICTIONS:**

Funding is used to support program administration as well as coordinating program logistics. Funding supports activities and financial obligations such as tuition costs for undergraduate and graduate study; room and board; student travel; books, fees and costs associated with student summer internship programs including stipends, travel, passport fees, inoculation and visa fees. Additionally, a designated amount of funds may be used for administrative costs associated with the program administration. Funding is used to support program administration as well as coordinating program logistics. Funding supports activities and financial obligations such as tuition costs for undergraduate and graduate study; room and board; student travel; books, fees and costs associated with student summer internship programs including stipends, travel, passport fees, inoculation and visa fees. Additionally, a designated amount of funds may be used for administrative costs associated with the program administration.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applications may be submitted by public and private non-profit organizations. Please refer to [Grants.gov](http://Grants.gov) for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Formal applications should be prepared in response to announcements of mandatory program requirements and closing dates in the Federal Register.

**Award Procedure:**

The Recipient must submit all requests, in writing to the Grants, before the project period end date indicated on form DS-1909. Final approval is subject to review and acceptance by the GO.

Unless otherwise specified in the award, provisions of the applicable Federal cost principles and other Federal administrative requirements for prior approval apply only to the activities and expenditures specified in the award.

Written prior approval, by way of amendment, from the Department of States Grants Officer is required for:

- o Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval.
- o Change in a key personnel specified in the application or award document.
- o The absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.
- o The need for additional Federal funding.
- o The transfer of amounts budgeted for indirect costs to absorb increases in direct costs.
- o Extension of the period of performance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See Grants.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Please see Grants.gov for information on how assistance is awarded/released.

The recipient may charge to the award only allowable costs resulting from obligations incurred during the funding period. Expenditures only for staff costs that are obligated during the award project period, may be charged to the award up to 90 days following the expiration date. These funds shall be available for closeout activities limited to the preparation of final reports. No other staff costs should be obligated and expended. See the following for information on how assistance is awarded/released: Payments are made through the DHHS payment system PMS. The Payment Management System instructions will be available upon award of the grant. The instructions will be under the PMS website and can be accessed at a web address provided by grants management. Recipients should request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal case on hand in accordance with the policies established by the U.S. Treasury Department and mandated by OMB Circulars.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements.

For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507.

Non-Federal entities that expend \$500,000 or more in a year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the revised circular.

Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirement for that year, except as noted in OMB Requirements, but records must be available for review or audit by appropriate DOS officials, pass through entity, and Government Accountability Office. The cost of auditing a non-Federal entity which has Federal awards expended of less than \$500,000 for fiscal years ending after December 31, 2003) per year and is thereby exempted under OMB Audit requirements.

**Records:**

Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to the award period. The recipient is required to submit a quarterly program and financial reports 30 days after the calendar year quarter (March 31st, June 30th, September 30th, and December 31st). A final certified financial report and program report must be submitted to the Grants or Principal Officer within 90 days after the award period end date.

**Account Identification:**

01-0258-4-1-010 - HR Document Number - Accounting/Appropriation Data.

**Obligations:**

(Salaries) FY 08 \$6,042,544; FY 09 est \$6,242,654; FY 10 est \$6,555,091

**Range and Average of Financial Assistance:**

Please see obligations...

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Their have been over 300 fellows selected since 1992. The Pickering Fellowship attracts outstanding students who represent all ethnic and social backgrounds, and who have an interest in pursuing a Foreign Service Career in the U.S. Department of State. This program develops a source of trained men and women who are dedicated to representing America's interests abroad. Fiscal Year 2009: No current data available. Fiscal Year 2010: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the Grants.gov announcement.

(Please see the following websites for further info and literature :

- 1) Dept of State ---- <http://www.careers.state.gov/students/programs.html#TRP>
- (2) Woodrow Wilson National Fellowship Foundation  
--[www.woodrow.org/fellowships/foreign\\_affairs/pickering\\_undergrad/index.php](http://www.woodrow.org/fellowships/foreign_affairs/pickering_undergrad/index.php)

**Regional or Local Office:**

None.

**Headquarters Office:**

Ebony K. Smith, Dept of State SA-1, Student Programs, Rm H-518, 2401 E Street NW  
, Washington, District of Columbia 20522 Email: [Smithek2@State.gov](mailto:Smithek2@State.gov) Phone: (202) 261-8958 Fax: (202) 261-8842

**Website Address:**

<http://www.careers.state.gov/students/programs.html#TRP>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of program idea; Program planning ability; Ability to achieve objectives; Multiplier effect/impact i.e. can the program support an increased load; Support diversity; International capacity; institution's record/ability; Cost-effectiveness/savings. Please refer to Grants.gov for further information.

**19.014 ONE-TIME INTERNATIONAL EXCHANGE GRANT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

To provide one-time grants for international exchanges that address issues of mutual interest to the United States and other countries, consistent with the program criteria established in the Departments annual appropriation. As directed by the Congress, The program shall be only for the actual exchange of people and should benefit a population that is not being addressed through existing authorized exchanges. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The One-Time International Exchange Grant Program may include Academic and Professional, Cultural, and Youth exchange activities. The activities are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. The activities funded under this program provide selected individuals with the opportunity to participate in exchanges and develop international competencies and skills, which allow them to serve as leaders in their professions and communities. Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering exchange programs as well as coordinating program logistics.

Academic grants may support such activities as study abroad capacity building, the administration of intensive English or thematic Study of the U.S. institutes for underserved populations from the developing world or strategically important areas, or other academic exchanges and international educational programs. Program models, themes and world regions of emphasis may vary from year to year.

Professional, Cultural, and Youth grants may support two-way exchanges for Emerging Youth Leaders, Emerging Young Professionals, and Emerging Cultural Leaders. Themes and world regions vary by program. Program models, themes and world regions may vary from year to year.

Please refer to the [grants.gov](http://grants.gov) or Federal Register announcements for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by organizations specifically identified by Congress in agency appropriations legislation as well as public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. As stated in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 08 \$10,000,000; FY 09 est \$6,000,000; FY 10 est \$0 - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, following an open competition, the Bureau of Educational and Cultural Affairs issued 30 institutional grant awards totaling approximately \$10,000,000 to eligible institutions under the One-Time International Grant Program. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128

(Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Muck for Academic Programs or Sheila Casey for Professional Exchanges  
301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Phone: (202) 453-8116 or  
(202) 453-8156

**Website Address:**

<http://exchanges.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.015 CULTURAL, TECHNICAL AND EDUCATIONAL CENTERS**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256; U.S. Code Collection, 22 U.S.C 2054; U.S. Code Collection, 22 U.S.C 2078; Department of State, Foreign Operations, and Related Programs Appropriations Act.

**OBJECTIVES:**

To assist various organizations identified by Congress to achieve objectives specified by Congress. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress.

Funding is provided to the Center for Cultural and Technical Interchange Between East and West (East-West Center) to promote better relations and understanding between the United States and the nations of Asia and the Pacific through cooperative study, training, and research. Scholars, students, teachers, government officials, NGO leaders, journalists and other professionals in various fields from the U.S. and the Asia Pacific region may study and carry out research, exchange ideas and views, lead and participate in seminars and training activities, take part in cultural programs, and conduct other activities primarily in support of the objectives of the Fulbright-Hays Act, as amended, and other Acts promoting the international, educational, cultural, and related activities of the United States.

Funding is appropriated each fiscal year from interest and earnings credited to the Center for Middle Eastern-Western Dialogue Trust Fund for operations of the International Center for Middle Eastern-Western Dialogue to promote dialogue and scholarship in the Middle East.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Eligible organizations are those specifically identified by Congress in agency appropriations legislation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. As stated in the award solicitation documents.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the award solicitation documents. Cash reports are not applicable. Progress reports are not applicable. As stated in the award solicitation documents. As stated in the award solicitation documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional

guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$20,227,000; FY 09 est \$20,074,000; FY 10 est \$0 - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>. Refer to solicitation documents for additional requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Muck Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Programs  
301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Phone: 202-453-8116

**Website Address:**

<http://exchanges.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the award solicitation documents.

**19.016 IRAQ ASSISTANCE PROGRAMS**

**FEDERAL AGENCY:**

Bureau of Near Eastern Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961 as amended, Part 2, Section 531, 22 U.S.C 2346.

**OBJECTIVES:**

To promote democracy, political development and reconciliation, economic development and rule of law in Iraq.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Seeking well designed projects that support democratic and political development, reconciliation, economic development and rule of law in Iraq. No funds may be used for police, military or para-military activities. No funds may be used to influence Iraqi national policy. All funds are discretionary. Possible micro finance projects may be funded.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

See program announcement on Grants.gov. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See program announcements on Grants.gov

**Award Procedure:**

See program announcements on Grants.gov.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See program announcements on Grants.gov.

**Appeals:**

No appeals.

**Renewals:**

Renewals are based on performance, need and funds availability.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. Projects benefiting the Government of Iraq may be subject to a 50% matching requirement.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award funds must be expended no more than 7 years from date of award.  
Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See program announcements on Grants.gov for reporting requirements. See program announcements on Grants.gov for reporting requirements. See program announcements on Grants.gov for reporting requirements. See program announcements on Grants.gov for reporting requirements. See program announcements on Grants.gov for monitoring and evaluation guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Per OMB regulations.

**Records:**

Per OMB regulations. All records must be kept for 3 years beginning from the expiration date of the award.

**Account Identification:**

19-7289-9-1-037 - Economic Support Funds.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 not reported.; FY 09 est \$8,000,000; FY 10 est \$8,000,000 - See announcement for programs at [grants.gov](http://grants.gov) for more information.

**Range and Average of Financial Assistance:**

Estimated range for awards is \$500,000 to \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB and Department of State regulations and guidelines will apply to all funded proposals.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gloria Brokaw, 2201 C Street NW, Washington, District of Columbia 20520  
Email: BrokawGX@state.gov Phone: (202) 647-4000. Fax: 202-736-4665

**Website Address:**

<http://www.state.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See program announcement at [grants.gov](http://grants.gov) for evaluation and selection criteria.

**19.017 ENVIRONMENTAL AND SCIENTIFIC PARTNERSHIPS AND PROGRAMS**

**FEDERAL AGENCY:**

Bureau of Oceans and International Environmental and Scientific Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as Amended ; State Department Basic Authorities Act of 1956, as Amended.

**OBJECTIVES:**

To support sustainable growth across the globe, the Bureau of Oceans, Environment, and Science (OES) builds international partnerships to address environmental, scientific, and health concerns. Key areas of funding include but are not limited to, programs that: address climate change and its impact, and reduce global greenhouse gas emissions; conserve natural resources and reduce international threats to biodiversity; improve access to safe drinking water; promote a level playing field with free trade partners; protect fisheries and oceans; reduce the threat from mercury and other pollutants; and foster international scientific collaboration.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided for eligible profits and non-profit organizations to support international environmental and scientific initiatives, as defined by the individual program announcement in [grants.gov](http://grants.gov). Various restrictions may apply, depending on the source of funding. Please refer to the individual program announcement in [grants.gov](http://grants.gov) for further information. For profit-organizations under exceptional circumstances may be available and are subject of prior approval.

**Applicant Eligibility:**

The use of assistance is to support a wide range of partnerships responding to diverse climate change and environmental initiatives.

**Beneficiary Eligibility:**

n/a.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants respond to a specific Request for Application posted on [www.grants.gov](http://www.grants.gov). SF-424 and full proposal required.

**Award Procedure:**

A technical review panel reviews proposals and scored them in accordance with published review criteria and determines priority program recommendations for

final negotiation on the grant or cooperative agreement by a Department of State Grants Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Based on program needs and availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Requirements vary by individual program solicitation; applications that reflect cost-sharing arrangements generally viewed more favorably.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. See the following for information on how assistance is awarded/released: Varies by program; generally grantees request drawdown of funds based on immediate disbursement requirements through the U.S. Department of Health and Human Services Payment Management System.

**Reports:**

Varies; generally Quarterly Programmatic Reports, including relation of progress to expenditures, and description of progress on established milestones and indicators. Final Program and Financial report due after conclusion of program. SF-425 and any other reporting as specified in the grant agreement.

Varies; generally Quarterly Programmatic Reports, including relation of progress to expenditures, and description of progress on established milestones and indicators. Final Program and Financial report due after conclusion of program. SF-425 and any other reporting as specified in the grant agreement. All programs will be monitored by Department of State Grants Officers and Grants Officers Representatives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For all Department of State (DOS) awards, regardless of business typ, the recipients are subject to the audit requirements found in OMB audit requirements. In addition, the recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C 7501-7507. Non-Federal entities that expend \$500,000 or more in a year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the revised circular. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Requirements, but records must be available for review or audit by appropriate DOS official, pass through entity, and Government Accountability Office. The cost of auditing a non-Federal entity which has Federal awards expended less than \$500,000 for fiscal year ending after December 31, 2003 per year and is thereby exempted under OMB audit requirements. For additional information please refer to the Standard Terms and Conditions (available online at <http://fa.statebuy.state.gov>).

**Records:**

Refer to the Department of State Standard Terms and Conditions (<http://fa.statebuy.state.gov>) for guidance.

**Account Identification:**

19-0000-0-0-001.

**Obligations:**

(Project Grants) FY 08 \$22,000,000; FY 09 est \$32,000,000; FY 10 est \$157,000,000 - n/a.



**Range and Average of Financial Assistance:**

Grants vary depending on program objectives and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application guidelines are distributed in conjunction with the request for applications or program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Maria Urbina Central Programming Unit, Executive Office, Bureau of Oceans, Environment and Science, Room 2880 HST, Department of State, 2201 C Street, NW, Washington, District of Columbia 20520 Email: urbinaMA1@state.gov Phone: (202) 647-4346 Fax: (202) 647-0774

**Website Address:**

<http://www.state.gov/g/oes/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: OES-funded projects include: Building Capacity for Demand-Side Management in the Chinese Energy Sector; High Performance Commercial Buildings in India; Improving Regulatory Capacity for Carbon Capture and Storage; coral reef conservation programs; Sustainable Agricultural Initiatives in Central American Free Trade Agreement countries; Ambassador's Water, Sanitation, and Hygiene in Schools Initiative; and Wildlife Trade control initiatives. Fiscal Year 2009: N/A. Fiscal Year 2010: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals should be responsive to the objectives and requirements set forth in each Program Announcement or Request for application posted on [www.grants.gov](http://www.grants.gov).

**19.018 OVERSEAS PROCESSING ENTITIES (OPES) FOR U.S. REFUGEE RESETTLEMENT**

PRM

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Immigration and Nationality Act, as amended by the Refugee Act of 1980.

**OBJECTIVES:**

The purpose of the Overseas Processing Entity (OPE) is to assist the Bureau in preparing the necessary casework for persons eligible for interview by United States Citizenship and Immigration Services (USCIS) of the Department of Homeland Security (DHS) under the U.S. Refugee Admissions Program and, for those approved, to provide assistance in completing the additional requirements for refugee admission under Section 207 of the Immigration and Nationality Act. In addition, the OPE forwards the necessary data on all DHS-approved cases to the Refugee Processing Center (RPC) for distribution to Reception and Placement agencies according to procedures established by the Bureau.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

International and non-governmental organizations.

**Beneficiary Eligibility:**

Refugees approved under the U.S. Refugee Admissions Program will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration via [Grants.gov](http://www.grants.gov) in response to funding opportunity announcements posted by the Bureau on [Grants.gov](http://www.grants.gov) to fill critical needs, with Bureau review occurring following the deadline of the funding announcement. International organizations submit appeals to the Bureau. (Funding announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) Organizations interested in submitting applications in response to Bureau funding opportunity announcements are encouraged to communicate directly with the Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Admissions and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

May be renewable for up to two additional fiscal years based upon budget submissions on an annual basis, as long as there remains a need for the OPE and the organization operating the OPE provides satisfactory service, and subject to the availability of funds. At the end of three years, if the need to operate the OPE continues, the Bureau will re-compete the project, and the recipient of this award may participate in that process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Funds may be renewable for up to two additional fiscal years based upon budget submissions on an annual basis, as long as there remains a need for the OPE and the organization operating the OPE provides satisfactory service, and subject to the availability of funds. At the end of three years, if the need to operate the OPE continues, the Bureau will re-compete the project, and the recipient of this award may participate in that process. See the following for information on how assistance is awarded/released: Payments will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

**Reports:**

A final program report is due ninety (90) days following the end of the agreement. The submission date for program report will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period

of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 \$46,615,074; FY 09 est \$52,313,377; FY 10 est not reported. - FY 10 not available.

**Range and Average of Financial Assistance:**

In FY08 under MRA, assistance for OPEs was given to 2 IOs, 3 NGOs and other entities totaling \$46,615,074.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, more than \$46 million was provided for OPE programming worldwide. Program accomplishments include support for OPE Bangkok for refugee processing activities in East Asia and to OPE Amman for refugee processing activities in the Near East. Fiscal Year 2009: In FY09, more than \$52 million was provided for OPE programming worldwide. FY09 Program accomplishments were similar to those of FY08. Fiscal Year 2010: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the Bureau contact(s) listed below

**Regional or Local Office:**

None.

**Headquarters Office:**

Kelly Gauger U.S. Department of State  
Bureau of Population, Refugees and Migration (PRM)  
2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email:  
GaugerKA@state.gov Phone: 202-663-1055 Fax: 202-663-1364

**Website Address:**

<http://www.state.gov/g/prm/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See Program Accomplishments section. Fiscal Year 2009: See Program Accomplishments section. Fiscal Year 2010: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the Overseas Processing Entity (OPE) is to assist the Bureau in preparing the necessary casework for persons eligible for interview by United States Citizenship and Immigration Services (USCIS) of the Department of Homeland Security (DHS) under the U.S. Refugee Admissions Program and, for those approved, to provide assistance in completing the additional requirements for refugee admission under Section 207 of the Immigration and Nationality Act. In addition, the OPE forwards the necessary data on all DHS-approved cases to the Refugee Processing Center (RPC) for distribution to Reception and Placement agencies according to procedures established by the Bureau. Organizations seeking funding to provide these services must demonstrate that they can:

- a) Provide refugee processing services for all U.S. Refugee Admissions Program applicants in the location outlined in the relevant funding announcement and by the date listed in the announcement; and
- b) Relate equitably to all domestic resettlement agencies. This will include sharing relevant biographic and other background information with domestic resettlement agencies working in the Reception and Placement program (to facilitate their provision of required sponsorship assurances). Specific objectives are listed in detail in the relevant funding announcement.

**19.019 INTERNATIONAL PROGRAMS TO COMBAT HUMAN TRAFFICKING**

International Programs to Combat Human Trafficking

**FEDERAL AGENCY:**

Trafficking in Persons, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961 as amended.

**OBJECTIVES:**

The mission of G/TIP is to combat modern slavery by employing a 3 Ps strategy: preventing trafficking in persons, protecting and assisting trafficking victims, and prosecuting traffickers and others who profit from trafficking in persons. Additionally, as Secretary Clinton has indicated, G/TIP will seek partnerships to effectuate this strategy.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

The programs will assist countries in all regions of the world to support transformational diplomacy in the areas of international crime and rule of law by strengthening the legal foundation to prosecute the crime of human trafficking and provide victim assistance. The U.S. Governments anti-trafficking paradigm prosecution, protection, and prevention, together with rescue, rehabilitation, and reintegration is a comprehensive approach that engages governments and civil society to address human trafficking internationally. See solicitation on Grants.gov. See solicitation on Grants.gov.

**Applicant Eligibility:**

Foreign NGOs are eligible for awards under this program.

**Beneficiary Eligibility:**

Foreign NGOs are eligible for awards under this program.

**Credentials/Documentation:**

See solicitation on Grants.gov. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

See solicitation on Grants.gov. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

See solicitation on Grants.gov.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. See solicitation on Grants.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. See Grants.gov.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 3 years. Program generally awards funds through the Payment Management System operated by the Department of Health and Human Services. See the following for information on how assistance is awarded/released: Funds may be drawn down as expenses are incurred.

**Reports:**

Program progress reports are required under the grant agreement. For further information see Grants.gov. Financial reports are required under the grant agreement. For further information see Grants.gov. Progress reports are required under the grant agreement. For further information see Grants.gov. Expenditure reports are required under the grant agreement. For further information see Grants.gov. See Grants.gov.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

See Grants.gov.

**Account Identification:**

19-1191-1-1-022.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$21,000,000; FY 10 est \$21,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In FY 2009 G/TIP received over 370 proposals seeking over \$147.0 million in funding. It was able to make approximately 55 awards totaling some \$21.0 million. Fiscal Year 2010: G/TIP anticipates receiving over 400 proposals for over \$150.0 million. We anticipate making some 40 awards totaling some \$21.0 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mark Forstrom, 1800 G. St., N.W., Ste 2201 (SA-22), Washington, District of Columbia 20006 Email: forstromma@state.gov Phone: (202) 312-9893 Fax: (202) 312-9638.

**Website Address:**

<http://www.state.gov/g/tip/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. In Eastern Europe G/TIP is funding a project which supports and strengthens the host governments fight against sex and labor trafficking of children.

2. G/TIP is supporting an NGO which is working Africa through regional initiative to provide direct victim services to trafficking survivors. Services will include the provision of counseling, psychosocial support, and vocational training.

3. G/TIP is supporting an NGO to strengthen the legal response to trafficking in persons in Central Asia by improving the ability of law enforcement and the justice sector to investigate and prosecute TIP cases.

**19.400 ACADEMIC EXCHANGE PROGRAMS - GRADUATE STUDENTS**

The Fulbright Student Program includes program components for U.S. students, foreign students, Foreign Language Teaching Assistantships, English Teaching Assistantships, Western Hemisphere Fulbright Faculty Development Program, Fulbright Graduate Fellows, and Science and Technology Awards

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Fulbright Student Program is to promote mutual understanding by providing opportunities for American and foreign students to study, do research, and/or serve as teaching assistants of their native languages abroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities. The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. The program promotes leadership development through learning and international cooperation. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To individuals with the following qualifications: (a) U.S. citizenship at the time of application; (b) with certain exceptions, B.A. degree or its equivalent before the beginning date of the grant; (c) candidates may not hold a doctoral degree at the time of application; (d); preference will usually be given to candidates who have not had extensive recent experience in the country to which they are applying; (e) language proficiency sufficient to communicate with the people of the host country and to carry out the proposed study; (f) language proficiency is especially important for students wishing to undertake projects in the social sciences and the humanities; and (g) good health.

**Beneficiary Eligibility:**

U.S. citizens who are graduate students and who want to live and study in a foreign country for one academic year.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov and Federal Register announcement. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcement. As stated in the grants.gov and Federal Register announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$121,140,405; FY 09 est \$127,197,425; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 300,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2007-2008, 1,462 American students studied abroad in 125 countries with either full or partial support from the Fulbright Program. In that same time period, 2,998 foreign students from 137 countries were offered new or renewed grant awards for study at U.S. universities. The competition in 2007-2008 attracted an all-time high number of U.S. student applicants (6,404). Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None. See application procedure.

**Headquarters Office:**

Roz Swenson Office of Academic Exchange Programs, Room 234, SA-44,301 4th Street, S.W., Washington, District of Columbia 20547 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 453-8534

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

#### **19.401 ACADEMIC EXCHANGE PROGRAMS - SCHOLARS**

The Fulbright Scholar program includes program components for U.S. scholars, visiting foreign scholars, the Scholar in Residence program, the New Century Scholars, and Study of the U.S. Institutes for Scholars.

#### **FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

#### **AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

#### **OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Fulbright Scholar Program offers opportunities for American and foreign scholars to conduct research, lecture, and/or consult with other scholars and institutions in the U.S. and abroad. The Study of the U.S. Institutes for Scholars strengthen curricula and improve the quality of teaching about the United States in academic institutions overseas.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

#### **USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to these organizations, colleges and universities supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. It promotes leadership development through learning and international cooperation.

For Study of the U.S. Institutes for Scholars, recipient institutions design and administer thematically focused seminars on a field or topic of U.S. studies where participants interact with American scholars, meet with experts in their disciplines, visit civic institutions, and explore the diversity and culture of the United States.

Please refer to the grants.gov or Federal Register announcement for further information.

#### **Applicant Eligibility:**

To individuals with the following qualifications: (1) U.S. citizenship at the time of application. (2) Foreign language proficiency, in some cases, for lecturing in certain countries, and for doing field-based research. (3) For lecturing: college or university teaching experience at the level for which application is made or equivalent professional standing in non-academic fields. (4) For research: a doctoral or terminal degree or, in some fields, recognized professional standing as demonstrated by faculty rank, publications, compositions, exhibition record, concerts, etc. Candidates for a doctorate and persons wishing to undertake other pre-doctoral professional training abroad should write to the Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

#### **Beneficiary Eligibility:**

U.S. citizens who are educational professionals on the post graduate level, or able to lecture or conduct research in professional fields such as law, business, journalism, etc.

#### **Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

#### **Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau of Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

As stated in the grants.gov and Federal Register announcements.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

As stated in the grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

#### **Reports:**

As stated in the grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcements. As stated in the grants.gov and Federal Register announcements.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with

the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$52,745,100; FY 09 est \$52,867,350; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 300,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2007-2008, 1,038 American scholars studied and taught or conducted post-doctoral research in 128 countries. In that same time period, 834 visiting scholars from 103 countries came to the United States to lecture or conduct post-doctoral research for an academic year or term.

Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fulbright alumni are the recipients of 39 Nobel Prizes, as well as numerous Pulitzer Prizes, MacArthur Foundation Genius Awards, and Presidential Medals of Freedom. In 2008, 184 foreign scholars from 82 countries participated in Study of the U.S. Institutes. Scholar alumni from Study of the U.S. Institutes develop new course work, publish books and journal articles, and establish think tanks and non-profit organizations. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roz Swenson 301 4th Street, S.W., SA-44., Washington, District of Columbia 20547 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 453-8534

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.402 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS -**

**INTERNATIONAL VISITOR LEADERSHIP PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the International Visitor Leadership Program is to bring to the U.S. current or potential foreign leaders in government, politics, the media, education, the arts, business and other fields to meet and confer with their professional counterparts and to experience America firsthand.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support their work in planning, organizing and directing programs of travel, observation, consultation, study and practical experience for foreign visitors from countries throughout the world selected and assigned by the Department. Programs are intended to bring U.S. embassy selected international visitors into contact with influential Americans and representative organizations and institutions across the United States, with the intention of increasing communication and mutual understanding between the people of the United States and the people of other countries. Recipients are responsible for insuring that programs are balanced, nonpolitical, non-partisan, and representative of the diversity of American political, social, and cultural life. The Bureau of Educational and Cultural Affairs seeks balance and diversity in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age diversity of the American people; and other factors which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act), the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of

application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcements. As stated in the grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please

refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$52,300,000; FY 09 est \$52,300,000; FY 10 est \$0 - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 4,432 individuals from 172 countries and all regions of the world participated in International Visitor Leadership Programs in FY 2008. Among the thousands of distinguished individuals who have participated in the IVL Program since its inception almost seven decades ago are more than 290 current and former Chiefs of State and Heads of Government including Gordon Brown (United Kingdom), Nicolas Sarkozy (France), Hamid Karzai (Afghanistan), Pratibha Patil (India), and Felipe de Jesus Calderon Hinojosa (Mexico); thousands of cabinet-level ministers, and many other distinguished leaders from the public and private sectors. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Lampher Office of International Visitors, Community Relations Branch  
301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Email: [lamphermc@state.gov](mailto:lamphermc@state.gov)  
Phone: 2022037193

**Website Address:**

<http://www.exchanges.state.gov/ivlp/ivlp.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.408 ACADEMIC EXCHANGE PROGRAMS - TEACHERS**

Teacher programs include Fulbright Classroom Exchange Program and Distinguished Fulbright Awards in Teaching Program, International Leaders in Education Program, Teaching Excellence and Achievement Program, Intensive Summer Language Institutes, Teachers of Critical Languages Program, and other targeted teacher training programs.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and

Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Teacher Exchange Program is to improve mutual understanding among teachers, school administrators, and their schools and communities in the U.S. and abroad through professional development and exchange. Teacher exchanges support the internationalization and increased quality of schools and classrooms, increase the knowledge of students and communities about global issues and cultures, and improve knowledge of foreign languages.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to nonprofit organizations and educational institutions to implement exchange and professional development programs for teachers and other educators from the U.S. and approximately fifty countries around the world. Organizations are responsible for the following broad categories: program planning and management; placement; orientation; enrichment activities; participant supervision and support services; fiscal management and budgeting; and program reporting and evaluation. The goal of the programs is to create mutual understanding between the people of the United States and the people of other countries. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

(a) Hold at least a Bachelor's degree; (b) be a U.S. citizen fluent in English at the time of application; (c) have a current full-time teaching or administrative assignment in the U.S. or one of its territories; (d) be in at least the third year of full-time teaching or administration (teachers applying to the Classics Seminar only need to be in their second full-year; (e) have not participated in a Fulbright Teacher Exchange longer than 8 weeks in the last 2 years (there is no required waiting period for teachers who have participated in exchanges of 8 weeks or less).

**Beneficiary Eligibility:**

U.S. and foreign teachers and administrators who want to live and study in a foreign country for 6 weeks, a semester, or an academic year.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the

Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,954,143; FY 09 est \$12,955,000; FY 10 est \$0 - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.



**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, ECAs Teacher Exchange branch supported 273 U.S. participants and 526 international participants for a total of 799 educators. The participants came from 52 countries including the U.S. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Kuban Teacher Exchange Branch, Room 349  
301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Email: [kubanmm@state.gov](mailto:kubanmm@state.gov)  
Phone: 202-453-8878

**Website Address:**

<http://exchanges.state.gov/global exchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

**19.415 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - CITIZEN EXCHANGES**

Citizen Exchange activities include Open Grant Competition, Sports Exchanges, Future Leaders Exchange, Youth Exchange and Study Program, Youth Leadership Programs, Global Connections and Exchange, National Security Language Initiative for Youth, Cultural Exchanges, Rhythm Road: American Music Abroad, among others

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Citizen Exchange programs is to support professional, youth, sports and cultural exchange programs between the United States and other countries through grants and

cooperative agreements to American non-profit, non-governmental institutions and organizations, including community organizations, professional associations, and universities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of participant applications, communication with participants, domestic and international travel, payment of stipends and program benefits, and the provision of enrichment activities. Citizen Exchanges constitute a range of professional, youth, sports and cultural exchange programs designed to promote priority U.S. interests around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Programs are designed to promote good governance, civil society and civic responsibility, public health, conflict prevention and management, womens empowerment, trade, environmental awareness and responsibility, leadership, arts management, cultural diversity and heritage, sports education, and educational reform, as well as other topics through people-to-people exchanges. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To public and private nonprofit organizations meeting the provisions described in IRS regulation 26CFR 1.501(c).

**Beneficiary Eligibility:**

U.S. citizens and foreign nationals.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 08 \$69,396,000; FY 09 est \$69,396,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, ECAs Office of Citizen Exchanges sponsored over 4,500 program participants from approximately 100 countries, including the United States, through grants and cooperative agreements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Casey Office of Citizen Exchanges, Room 220  
301 4th Street, SW  
SA-44, Washington, District of Columbia 20547 Email: [caseysd@state.gov](mailto:caseysd@state.gov)  
Phone: 202-453-8150

**Website Address:**

<http://exchanges.state.gov/citizens/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

**19.421 ACADEMIC EXCHANGE PROGRAMS - ENGLISH LANGUAGE PROGRAMS**

English Language Programs include the English Access Microscholarship Program and the English Language Fellow Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of English Language Programs is to support the participation of U.S. English language educators in exchanges overseas, and the participation of underserved foreign students and teachers of English as a foreign language in English study courses and professional development, and international exchanges.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics for U.S. English language educators and underserved foreign students and teachers of English as a foreign language as participants in study and professional development and international exchanges. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The English Access Microscholarship Program provides scholarships for in-country English language instruction for foreign, disadvantaged 14- to 18-year olds in selected countries overseas in all world regions. Programs give provide international participants two years of after school and summer intensive English language programming and increase their understanding of American culture and values, with an emphasis on democratic principles and civic engagement. Workshops also are planned and conducted in the U.S. for a selected number of these participants to provide an immersion experience in English study and American culture.

The English Language Fellow Program provides U.S. educators in the area of Teaching English as Foreign Language (TEFL) or a closely related field such as Applied Linguistics with ten-month overseas assignments to carry out projects with host-country ministries of education, universities, teacher-training institutions, NGOs, binational centers, and other English language teaching institutions. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

Funding also supports cooperative agreements to provide targeted English as a Foreign Language, and English Language Teaching and materials development activities.

**Applicant Eligibility:**

Individuals with the following qualifications: (1) United States citizenship. (2) Senior Fellows must have a Master's degree or higher in TESL/TEFL, Applied Linguistics or a closely related field and have previous overseas teaching experience. (3) Fellows must have received a Master's degree in TESL/TEFL within the last seven years.

**Beneficiary Eligibility:**

U.S. citizens who are willing to teach for 10 months overseas according to the needs of the overseas host institution as requested by a U.S. embassy.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$23,944,000; FY 09 est \$15,090,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since its inception in 2004, approximately 44,000 students in over 50 countries have been enrolled in the English Access Microscholarship Program. Of those, more than 22,000 Access students are currently studying English under the Program.

In fiscal year 2008, the English Language Fellow Program awarded over 100 individual grants to qualified educators of Teaching English as a Foreign Language (TEFL) to teach in 75 countries. The program enables fellows to share their expertise, hone their skills, gain international experience and learn about other cultures. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Smoak Office of English Language Programs  
301 4th Street, S.W., SA-44, Washington, District of Columbia 20547 Email:  
english@state.gov Phone: (202) 53-8859

**Website Address:**

<http://exchanges.state.gov/englishteaching/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.432 ACADEMIC EXCHANGE PROGRAMS - EDUCATIONAL ADVISING AND STUDENT SERVICES**

Includes EducationUSA advising, advising professional development, and research on international and U.S. student mobility.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of overseas educational advising and student services, and international student mobility research is to support mutual understanding by promoting U.S. higher education and encouraging the development of study abroad programs through a global network of EducationUSA advising centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support research on international exchange programs, coordination of overseas EducationUSA advising programs, and training for educational advisers to ensure that international students receive unbiased, ethical, and up-to-date information on U.S. higher education. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs

of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau of Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial

Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 08 \$8,249,000; FY 09 est \$8,249,000; FY 10 est \$0 - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, over 400 EducationUSA advising centers around the world responded to approximately 40 million queries from international students seeking information on studying in the United States. Each year, over 150 EducationUSA advisers from these centers participated in professional development activities on topics including the admissions process at U.S. higher education institutions, standardized testing, pre-departure orientation and understanding the student visa process. The ECA-supported Open Doors survey provides the only comprehensive resource on international student mobility and is published annually. The publication includes statistics on international students and scholars in the U.S. and on U.S. students studying abroad, as well as scholarly analyses of the data and their implication for policy makers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dorothy Mora Educational Information and Resources  
301 4th St. S.W., SA-44, Washington, District of Columbia 20547 Phone: (202) 453-8868

**Website Address:**

<http://www.educationusa.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.501 PUBLIC DIPLOMACY PROGRAMS FOR AFGHANISTAN AND PAKISTAN**

Public Diplomacy Programs for Afghanistan and Pakistan

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

Fulbright Hays Act - The Mutual Educational and Cultural Exchange Act of 1961, Public Law 87-256; Foreign Assistance Act of 1961, as amended by

Foreign Assistance Act, Public Law 87-195, U.S.C 22; Smith Mundt Act - The United States Information and Education Exchange Act of 1948, Public Law 80-402.

**OBJECTIVES:**

The U.S. Government (USG) is providing resources to promote diplomatic solutions, through language training, critical skills development and other public diplomacy programs. These resources support the people, platforms, and programs necessary to meet the international challenges to American security and welfare. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement or grant provides funds to meet the objectives outlined in the organizations proposal, as approved by the Bureau. Funding documents authorize funds based on the organizations budget submission after Bureau approval.

**Applicant Eligibility:**

Not-for-profit organizations subject to 501(c)(3) of the U.S. tax code or registered as a non-profit organization in the entity's home country. Organizations that have and have not previously received international program funding from the U.S. Government. Applicants with demonstrated experience in working with vendors, suppliers, contractors, etc. and appropriately staffed offices in country will be preferred.

**Beneficiary Eligibility:**

Citizens of Afghanistan, Pakistan, and the United States.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureaus consideration. NGOs may submit proposals before the application deadline, with Bureau consideration granted shortly thereafter. Where there is a specific or immediate priority or need, the Bureau will issue policy and program guidelines and will invite NGOs to submit proposals for Bureau review. NGO representatives are also encouraged to communicate directly with Bureau and U.S. Embassy program officers regarding priorities and funding timelines. NGOs that have never received Department of State Funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the U.S. Embassy, and the Bureaus Office of Press and Public Diplomacy. The Grants Officer from the Bureau of Acquisitions and Management signs the Cooperative Agreement or grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions are considered on a case by case basis. Renewals are

contingent upon future Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for a 1-3 year period. See the following for information on how assistance is awarded/released: In some cases, Bureau's funds will cover an organization's budget request. In other cases cost-sharing will be sought. Details will be outlined in the specific RFP. Renewals or extensions of funding are considered on a case by case basis. Renewals are contingent upon future Congressional funding.

**Reports:**

Reporting requirements will be outlined in the Cooperative Agreement documents. The Embassy and Bureau Program office may require additional reporting. Reporting requirements will be outlined in the Cooperative Agreement documents. The Embassy and Bureau Program office may require additional reporting. Reporting requirements will be outlined in the Cooperative Agreement documents. The Embassy and Bureau Program office may require additional reporting. A preliminary financial report is due 30 days after the expiration of the cooperative agreement. Reporting requirements will be outlined in the Cooperative Agreement documents. The Embassy and Bureau Program office may require additional reporting. Reporting requirements will be outlined in the Cooperative Agreement documents. The Embassy and Bureau Program office may require additional reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Bureau's funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

The recipient shall maintain files for a three-year period after submission of the final financial report.

**Account Identification:**

19-9001-1-3-000 - Appropriation Code.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$5,500,000

**Range and Average of Financial Assistance:**

grants are estimated to range between 300000 - 2000000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grachel J. Kubiatis, 2201 C st NW, Washington, District of Columbia 20520  
Email: kubiatisgj@state.gov Phone: (202) 647-8667 Fax: (202) 647-6589.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

NGO proposals should identify the importance and relevance of their application to the broader U.S. Public Diplomacy policy objectives as well as the relevance to the program objectives of the Department of State, as described in the solicitation. A compelling statement on the approach to the project will be given great consideration by the review panel. The proposed activities must directly relate to meeting the goals and objectives and how the effectiveness of project activities will be measured. The review panel will be viewing the implementation plan in terms of how well it addresses the problem statement, relevance of the goals and objectives, feasibility of the proposed activities, and their timeline for completion. Another important factor is the impact of the project will continue beyond the conclusion of the funding period. Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the stated goals and objectives. In addition, applicants should describe how and with whom they will collaborate to meet project goals.

**19.510 U.S. REFUGEE ADMISSIONS PROGRAM**

U.S. Refugee Admissions Program

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Immigration and Nationality Act (INA), as amended and the Refugee Migration and Assistance Act, as amended (MRA).

**OBJECTIVES:**

Initial reception and placement program for refugees approved for admission in the United States. Program objectives include: (1) arranging for refugees' placement by ensuring that approved refugees are sponsored and offered appropriate assistance upon arrival in the United States; (2) providing refugees with basic necessities and core services during their initial resettlement period in the United States; and (3) promoting refugee self-sufficiency through employment as soon as possible after arrival in the United States in coordination with other refugee service and assistance programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement provides financial support to partially cover the identified services based on a fixed per capita sum per refugee resettled in the United States. Allocation of funds is also based on the organization's reported expenses for its headquarters each fiscal year. In FY09, the per capita sum was \$900 per refugee. FY10 estimate is not available.

**Applicant Eligibility:**

State governments and private non-profit organizations.

**Beneficiary Eligibility:**

Refugees approved under the U.S. Refugee Admissions Program will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible organizations must submit proposals for the Bureau's consideration via Grants.gov in response to funding opportunity announcements posted by the Bureau on Grants.gov, with Bureau review occurring following the announcement deadline. Organization representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. Organizations that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on the Director of the Office of Admissions' recommendations for all reception and placement awards and the Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Organizations are expected to contribute private funds to assist with reception and placement services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded on a fiscal year basis, October 1 through September 30. See the following for information on how assistance is awarded/released: Funds are awarded on a reimbursement basis through a per capita and reported expenses.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient will have the U.S. Government Federal funds awarded to it included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. In particular, the audit must be able to confirm that reported charges were actually incurred in the amounts reported and that such reported charges were not based on average costs of similar or grouped expenses and that they were not allocated based on shared resources. Specific audit requirements will be written into the grant or cooperative agreement.

**Records:**

The grantee shall maintain a case file for each refugee case unit admitted into the United States as well as comply with all other retention and access requirements for records as set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 \$67,900,000; FY 09 est \$90,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Average: \$1,021,203.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, 60,192 refugees and 666 special immigrant visa recipients were resettled in the United States through nine private non-profit organizations and one State government. Fiscal Year 2009: Data not yet

reconciled. Fiscal Year 2010: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Day, Bureau of Population, Refugees and Migration (PRM), Office of Admissions  
2401 E Street NW, L505, Washington, District of Columbia 20522-0105  
Email: DayBJ@state.gov Phone: (202) 663-1052 Fax: (202) 663-1364

**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements are made on the basis of a panel review using evaluation criteria specified in the request for proposal.

**19.511 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR EAST ASIA**

Overseas Refugee Assistance Programs for East Asia

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq., 22 U.S.C 2601.

**OBJECTIVES:**

There are more than 140,000 Burmese refugees in nine camps along the Thailand-Burma border. The role of the United Nations High Commissioner for Refugees (UNHCR) in the Burmese border camps is limited to the provision of protection; therefore, Non-Governmental Organizations (NGOs) conduct all refugee assistance activities and address needs not covered by UNHCR or other international organizations, including health and psychosocial programs, gender-based violence (GBV) prevention and response, water and sanitation, food, fuel, and clothing, as well as microenterprise development. In FY 08 and FY 09, the Bureau of Population, Refugees, and Migration (PRM) also supported a project to improve access to services for people with disabilities. In addition to assistance to Burmese refugees on the Thailand-Burma border in FY 09, PRM supported health, nutrition, education, vocational training, sanitation, conflict resolution, and community mobilization programming for Burmese Rohingya in Bangladesh and Indonesia. PRM also supported a GBV project for Burmese women and girls in Malaysia and North Korean refugees across the region, and assistance to the Lao Hmong in Petchabun and Nongkhai, Thailand. Please note that funding for FY 10 is expected to be extremely limited.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations organizations, international and non-governmental organizations. The Migration and Refugee Assistance Account (MRA) designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration via Grants.gov (international organizations submit appeals to the Bureau). NGOs may submit proposals in response to funding opportunity announcements posted by the Bureau on Grants.gov to fill critical needs, with Bureau review occurring following the deadline of the funding announcement. (Funding announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) IO and NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Assistance for Asia and the Near East and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Although there are no matching requirements, PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the Treasury Department and mandated by the OMB Circulars.

**Reports:**

The Bureau requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA).

No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 \$29,000,000; FY 09 est \$37,000,000; FY 10 est not reported. - FY10 estimate not available.

**Range and Average of Financial Assistance:**

In FY 09 under MRA, assistance for East Asia was given to two International Organizations (IOs) totaling \$22.4 million. Other assistance included additional IO contributions and funding for NGO projects ranging from \$250,000 to \$7,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, more than \$1.4 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and IOs and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY 09, \$1.74 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and IOs and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Hoa Tran, Department of State, Bureau of Population, Refugees and Migration, Office of Assistance for Asia and the Near East, 2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email: [TranHT3@state.gov](mailto:TranHT3@state.gov) Phone: (202) 663-3104 Fax: (202) 663-1061



**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.517 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR AFRICA**

Overseas Refugee Assistance Programs for Africa

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq., 22 U.S.C 2601.

**OBJECTIVES:**

Assistance will contribute to the basic needs of some 2 million refugees and millions more conflict victims spread across the African continent (both Sub-Saharan and North Africa). NGOs are key partners of international organizations in Africa, often in specialized areas such as health care, water, sanitation, food distribution, and education. Funds will be provided directly to NGOs to complement the programs of UNHCR and to bring basic assistance up to international life-sustaining standards of care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration via Grants.gov (international organizations submit appeals to the Bureau). NGOs may submit proposals in response to funding opportunity announcements posted by the Bureau on Grants.gov to fill critical needs, with Bureau review occurring

following the deadline of the funding announcement. (Funding announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) IO and NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Assistance for Africa and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Although there are no matching requirements, PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

**Reports:**

PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 \$318,790,207; FY 09 est \$354,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

For FY09 under MRA, assistance for Africa was given to seven IOs totaling \$289,119,126. Assistance for 32 NGOs ranged from \$200,000 to \$2.45 million, with an average of \$1.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, the Bureau provided more than \$1.4 billion multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting durable solutions for refugees, including voluntary return and sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY 09, \$1.74 billion was provided for programs worldwide by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Of this amount, \$354 million supported programs in Africa. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: Est not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mary Lange, Department of State, Bureau of Population, Refugees and Migration (PRM), 2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email: LangeMM@state.gov Phone: (202) 663-1041 Fax: (202) 663-1530

**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use

SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.518 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR WESTERN HEMISPHERE**

Overseas Refugee Assistance Programs for Western Hemisphere

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended, (MRA) and 22 U.S.C 2601 et seq., 22 U.S.C 2601.

**OBJECTIVES:**

The civil conflict in Colombia continues to be a primary cause of displacement and humanitarian suffering in the Western Hemisphere. For the past several years, the Bureau in conjunction with the Government of Colombia, International Organizations (IOs), NGOs, and the international community has sought to address the needs of more than 3 million internally displaced persons (IDPs) inside Colombia, and thousands of refugees outside Colombia. While Colombia represents the most significant humanitarian assistance requirement in the region, ongoing protection and humanitarian law dissemination programs and activities throughout the hemisphere are needed to maintain capacity for dealing with the needs of refugees, asylum seekers and conflict victims now and in the future, particularly in the Caribbean.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration via Grants.gov in response to funding opportunity announcements posted by the Bureau on Grants.gov to fill critical needs, with Bureau review following the deadline of the funding announcement. International Organizations (IOs) submit appeals to the Bureau. (Funding opportunity announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) IO and NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Assistance for Europe, Central Asia and Americas and other Bureau Offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Although there are no matching requirements, PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

**Reports:**

PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit

report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est \$46,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

For FY09 under MRA, assistance for the Western Hemisphere Andean region was approximately \$33 million, with the bulk (\$28.5 million) going to UNHCR and ICRC, our primary international organization partners in the region. Assistance for 11 NGOs ranged from \$262,000 to \$1,975,712, with an average of \$877,198.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, more than \$1.4 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY 09, \$1.74 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jessica Yutacom Department of State, Bureau of Population, Refugees and Migration (PRM), 2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email: YutacomJW@state.gov Phone: (202) 663-1040 Fax: (202) 663-1530

**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

## **19.519 OVERSEAS REFUGEE ASSISTANCE PROGRAM FOR NEAR EAST AND SOUTH ASIA**

Overseas Refugee Assistance Program for Near East and South Asia

### **FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

### **AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq., 22 U.S.C 2601.

### **OBJECTIVES:**

In the Near East: Providing protection and assistance to Iraqi refugees, conflict victims, internally displaced persons (IDPs) and returnees remains a high priority to the Bureau. Programs will assist refugee populations in neighboring countries, while supporting return and reintegration activities for voluntary returnees. Programs inside Iraq will also help strengthen local structures so that Iraqi government policies and programs will be responsive to refugee, IDP and returnee needs. The Bureau supports United Nations (UN) programs that provide some stability in the lives of the 4.7 million Palestinian refugee population in an increasingly difficult environment and contributes to building a climate conducive to a peaceful resolution of regional problems. In South Asia:

The Bureau will continue support for the unprecedented, large-scale return and reintegration programs for Afghan refugees and IDPs, although at reduced financial levels. The Bureau will also continue supporting protection and assistance activities for many of the 3.5 million refugees who remain in Pakistan and Iran and who may not repatriate in 2006 due to the security situation, persecution of certain ethnic groups, and Afghanistan's limited capacity to absorb additional returnees. Over 125,000 Tibetans live outside Tibet today, most in Central Tibetan Administration (CTA)-sponsored refugee settlements in India, Nepal, and Bhutan. Congressional interest in this population has resulted in \$2.5 million in annual funds through the Bureau to provide reception, healthcare, education, and livelihood services to Tibetan refugees, efforts which are undertaken in concert with the CTA and United Nations High Commissioner for Refugees (UNHCR) activities in the region. Regional contributions to UNHCR and the International Committee of the Red Cross (ICRC) for their South Asia appeals provide support to programs for refugee populations in Sri Lanka, India, and Nepal. In FY09, the Bureau of Population, Refugees and Migration (PRM) also contributed to UNHCR's supplementary budget for Sri Lanka, in response to the ongoing humanitarian situation there. In addition, PRM provides funds to support the more than 60,000 Sri Lankan refugees in Tamil Nadu, which offers reception, sanitation, and health services to refugees in those camps. PRM's regional contribution to UNHCR includes support for protection, care and maintenance for the nearly 108,000 Bhutanese refugees registered in southeastern Nepal in 2008, and the Bureau supports the robust resettlement of Bhutanese refugees through the U.S. Refugee Admissions Program.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

### **Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

### **Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals for the Bureau's consideration via Grants.gov (international organizations submit appeals to the Bureau). NGOs may submit proposals in response to funding opportunity announcements posted by the Bureau on Grants.gov to fill critical needs, with Bureau review occurring following the deadline of the funding announcement. (Funding announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

### **Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Policy and Resource Planning and the Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals or extensions require additional approval.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Although there are no matching requirements PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

### **Reports:**

PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement

(NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Salaries) FY 08 \$574,000,000; FY 09 est \$775,000,000; FY 10 est not reported. - For Near East: FY09: \$612 million. For South Asia: FY09: \$163 million. FY10 estimates not available.

**Range and Average of Financial Assistance:**

For FY09, assistance for the Near East was given to eight IOs and 13 NGOs; assistance to NGOs ranged from \$340,000 to \$3.9 million. For South Asia, assistance was given to 2 IOs and 17 NGOs; assistance for NGOs ranged from \$145,000 to \$2.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, more than \$1.4 billion was provided by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY09, \$1.74 billion was provided by the Bureau multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Stewart, Department of State, Bureau of Population, Refugees and Migration (PRM), Office of Assistance for Asia and Near East, 2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email: StewartVE@state.gov Phone: (202) 663-3834 Fax: (202) 663-1061

**Website Address:**

www.state.gov/g/prm

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 08, PRM supported Catholic Relief Services (CRS) Pudhu Vazhvu (New Life) program, serving the more than 60,000 Sri Lankan Tamil refugees in Tamil Nadu, India. In coordination with the Government of Tamil Nadu, CRS has provided support to (1) improve reception services for newly arrived Sri Lankan refugees and (2) improve care and maintenance for Sri Lankan refugees in targeted camps. Specific activities included the distribution of food, water, and reception information for newly arrived refugees and the construction of bore wells and toilet blocks in targeted camps. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.520 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR EUROPE**

Overseas Refugee Assistance Programs for Europe

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq., 22 U.S.C 2601.

**OBJECTIVES:**

Funding of organizations that assist refugees and internally displaced persons (IDPs) in Europe and Central Asia will be significantly less than in FY09. Discounting the surge in funding required to respond to the humanitarian crisis in Georgia following the August 2008 conflict, funding for FY10 remains at or near the FY09 level. In the North and South Caucasus, the Bureau, in conjunction with International Organizations (IOs), non-governmental organizations (NGOs), and the international community, will continue to provide life-sustaining assistance to the most vulnerable IDPs and refugees produced by the continuing conflict in Chechnya and the frozen conflicts in Georgia, Armenia, and Azerbaijan. In the Balkans, programs that assist minority IDP returns to Kosovo from Serbia-Montenegro and Macedonia, and local integration of refugees and IDPs in Serbia are the focus of our funding, and, through international organizations, we will provide protection to refugees, asylum seekers, and individuals at risk for statelessness. In Central Asia, through IOs, the Bureau will continue support for refugees, IDPs, asylum seekers and stateless people.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Upon Bureau approval, funding documents authorize funds based on the organization's budget submission.

**Applicant Eligibility:**

United Nations, international and non- governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Non-governmental organizations (NGOs) must submit proposals via Grants.gov in response to funding announcements posted on Grants.gov by the Bureau to fill critical needs, with Bureau review occurring after the funding announcement deadline. International organizations (IOs) submit appeals to the Bureau. IO and NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Assistance for Europe, Central Asia and Americas and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Although there are no matching requirements, PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the U.S. Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the U.S. Treasury Department and mandated by the OMB Circulars.

**Reports:**

PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required

within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est \$65,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, more than \$1.4 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and IOs and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY09, \$1.74 billion was provided for programs worldwide, by the Bureau multilaterally through the United Nations and IOs and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting voluntary repatriation, including sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy Cohen, Department of State, Bureau of Population, Refugees and Migration (PRM), 2401 E Street NW, L505  
, Washington, District of Columbia 20522-0105 Email: CohenNA@state.gov  
Phone: (202) 663-1064. Fax: (202) 663-1530

**Website Address:**

www.state.gov/prm

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Bureau's main objective is to help ensure that refugees and victims of conflict have access to basic life-sustaining resources in ways that meet internationally accepted standards of care in shelter, food supply, nutrition, water supply, sanitation, and public health. NGO proposals should clearly use SPHERE standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. Underlying PRM's support for humanitarian assistance is a commitment to protection, targeted support to women, vulnerable individuals, coordination with relevant UN agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**19.522 OVERSEAS REFUGEE ASSISTANCE PROGRAMS FOR STRATEGIC GLOBAL PRIORITIES**

**FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

The Migration and Refugee Assistance Act of 1962, as amended; (MRA) and 22 U.S.C. 2601 et seq., 22 U.S.C 2601.

**OBJECTIVES:**

Bureau support under this program includes mostly contributions to the headquarters and global program costs of the United Nations High Commissioner for Refugees (UNHCR), the headquarters budget of the International Committee of the Red Cross (ICRC) and to a smaller extent, the multiregional activities of other international and non-governmental organizations assisting refugees and other conflict victims. A particular emphasis of this support is to promote initiatives in areas that are cross-cutting, Bureau priorities, such as protecting refugee women and refugee children, preventing and responding to gender-based violence (including sexual exploitation), addressing statelessness, enhancing refugee protection, improving refugee health, including HIV/AIDS prevention and response, and advancing the use of standards and evidence in humanitarian assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The cooperative agreement, grant or contribution provides funds to meet the organization's objectives as approved by the Bureau. Funding documents authorize funds based on the organization's budget submission after Bureau approval.

**Applicant Eligibility:**

United Nations, international and non-governmental organizations. MRA designates primary UN or IO recipient organizations. NGO activities must be complementary to, and coordinated with, UN programs.

**Beneficiary Eligibility:**

Refugees and victims of conflict requiring assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Procedure: Non-governmental organizations (NGOs) must submit proposals via Grants.gov. International organizations submit appeals to the Bureau. NGOs may submit proposals in response to funding opportunity announcements posted by the Bureau on Grants.gov to fill critical needs, with Bureau review occurring following the deadline of the funding announcement. (Funding announcements are also posted at <http://www.state.gov/g/prm/c27111.htm>.) IO

and NGO representatives are also encouraged to communicate directly with Bureau program officers regarding priorities and funding timelines. NGOs that have never received PRM funding must be prepared to demonstrate that their organizations meet the financial and accounting requirements of the U.S. Government before they can be eligible to receive Bureau funding.

**Award Procedure:**

The Assistant Secretary of the Bureau makes funding decisions based on recommendations from the Bureau's Office of Multilateral Coordination and External Relations, Office of Policy and Resource Planning and other Bureau offices. The Comptroller or Deputy Comptroller of the Bureau signs the cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions require additional approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Although there are no matching requirements, PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, funds are awarded for a 12-month period. Shorter time periods may also be authorized. See the following for information on how assistance is awarded/released: Payments will be made through the Department of Health and Human Services Payment Management System (PMS). Recipients request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the policies established by the Treasury Department and mandated by the OMB Circulars.

**Reports:**

PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the grant or cooperative agreement. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). No progress reports are required. Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within 60 days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA). The general performance of the Recipient's operations will be evaluated and monitored to ensure that the established objectives are being successfully met and to determine whether the performance is in compliance with the terms of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bureau funds must be included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. The audit report is due 30 days after issuance or nine months after the end of the audit period.

**Records:**

Retention and access requirements for records are set forth in 22 CFR 145.53.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Cooperative Agreements) FY 08 \$65,900,000; FY 09 est \$98,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, the Bureau provided more than \$1.4 billion multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting durable solutions for refugees, including voluntary return and sustainable reintegration of refugees in countries of origin. Fiscal Year 2009: In FY08, the Bureau provided \$1.74 billion multilaterally through the United Nations and international organizations and bilaterally to NGOs that fill gaps in the international community's multilateral response. Bureau funding was focused on three priority areas: (1) promoting access to effective protection and first asylum for refugees and conflict victims, with protection of women and children as a priority; (2) providing humanitarian assistance across geographic regions and according to internationally accepted standards; and (3) supporting durable solutions for refugees, including voluntary return and sustainable reintegration of refugees in countries of origin. Fiscal Year 2010: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the information contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Guy Lawson, Department of State, Bureau of Population, Refugees and Migration (PRM), Office of Multilateral Coordination and External Relations, 2401 E Street NW, L505, Washington, District of Columbia 20522-0105 Email: LawsonGM@state.gov Phone: (202) 663-1482. Fax: (202) 663-1002

**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Through humanitarian assistance, the Bureau aims to help ensure that refugees and victims of conflict have access to basic life-sustaining services that meet internationally-accepted standards of care in shelter, food supply, nutrition, water, sanitation, and health. NGO proposals should clearly use Sphere standards as the basis for design, implementation, and evaluation, including proposed objectives and indicators. At the core of PRM's humanitarian assistance is a commitment to protection, including support to women, stateless persons, and other vulnerable individuals, coordination with relevant UN

agencies and other NGOs, sustainability of programming, security, and capacity building. NGOs in search of Bureau funding would do well to address these specific areas in any proposals sent for funding.

**DEPARTMENT OF TRANSPORTATION**

**20.106 AIRPORT IMPROVEMENT PROGRAM**

(AIP)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Airport Improvement Act, Public Law 103-272, U.S.C ; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist sponsors, owners, or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics. The purpose of the law includes the preservation and creation of jobs. Additional objectives are the promotion of economic recovery, and investment in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants can be made for integrated airport system planning in a specific area; and airport master planning, construction, or rehabilitation at a public-use airport or portion thereof. Authorizing legislation refers to an airport as any area of land or water used or intended to be used for the landing or taking off of aircraft and includes, within the five categories of airports listed below, special types of facilities such as seaplane bases and heliports. The statute further defines airports by categories which include commercial service, primary, cargo service, reliever, and general aviation airports. They are defined as follows: Commercial Service Airports are publicly owned airports that have at least 2,500 passenger boarding each year and receive scheduled passenger service. Passenger boarding refer to revenue passenger boarding on an aircraft in service in air commerce. The definition also includes passengers who continue on an aircraft in international flight that stops at an airport in any of the 50 states for a non traffic purpose. Passenger boarding at airports that receive scheduled passenger service are also referred to as Enplanements. Nonprimary Commercial Service Airports are Commercial Service Airports that have at least 2,500 and no more than 10,000 passenger boarding each year. Primary Airports are Commercial Service Airports that have more than 10,000 passenger boarding each year. These airports are further categorized as Hub Airports, based on the level of passenger boarding. Hub categories for Primary Airports are defined as a percentage of total passenger boarding in the most current calendar year ending before the start of the current fiscal year. The definition and formulae used for designating Primary Airports by Hub Type and Percentage of Annual Passenger Boarding are: Large 1 percent or more; Medium - at least 0.25 percent, but less than 1 percent; Small - at least 0.05 percent, but less than 0.25 percent; and Non hub - more than 10,000, but less than 0.05 percent. Cargo Service Airports are airports that, in addition to any other air transportation services that may be available, are served by aircraft providing air transportation of only cargo with a total annual landed weight of more than 100 million pounds. Reliever Airports are airports designated by the FAA to relieve congestion at a Commercial Service Airport and to provide more general aviation access to the overall community. The remaining airports, while not specifically defined in Title 49 U.S.C., are referred to as General Aviation Airports and comprise the largest single group of airports in the U.S. airport system. Eligible work at airports consists of: (1) airport master plans; (2) airport noise compatibility plans; (3) land acquisition; (4) site preparation; (5) construction, alteration, and rehabilitation of runways, taxiways, aprons, and certain roads within airport boundaries; (6) construction and installation of airfield lighting, navigational aids, and certain offsite work; (7) safety equipment required for certification of airport facility; (8) security equipment required of the sponsor by the Secretary of Transportation by rule or regulation for the safety and security of persons and property on the airport; (9) snow-removal equipment; (10) terminal development; (11) aviation-related weather reporting equipment; (12) equipment to measure runway surface



friction; (13) burn area training structures and land for that purpose, on or off airport; (14) agency-approved noise compatibility projects; (15) relocation of air traffic control towers and navigational aids (including radar) if they impede other projects funded under AIP; (16) land, paving, drainage, aircraft deicing equipment and structures for centralized deicing areas; and (17) projects to comply with the Americans with Disabilities Act of 1990, Clean Air Act, and Federal Water Pollution Control. Under limited criteria construction of hangars and automobile parking is eligible. Grants may not be made for the construction of hangars, most automobile parking facilities, buildings not related to the safety of persons on the airport, decorative landscaping or artwork, or routine maintenance and repair. Technical advisory services are also provided. Formula funds are available to primary commercial service airports and to cargo service airports. Discretionary funds may be used at any eligible facility.

**Applicant Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia, are eligible for airport development grants if the airport on which the development is required is listed in the National Plan of Integrated Airport Systems (NPIAS). Certain units of local government may be eligible for grants to implement noise compatibility projects. Private owners of public-use reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service are eligible.

**Beneficiary Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, and other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, The Federated States of Micronesia, and private owners of reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service.

**Credentials/Documentation:**

Sponsors must submit information establishing financial capability and legal authority to accomplish the project and to operate the airport. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Preapplication for Federal Assistance, SF 424, Part I (facesheet) filed with FAA field office, reviewed by the regional office and/or Washington office for program approval, as appropriate. For master plans (may be combined as part of development project), noise compatibility plans, and system plans, SF-424 and Parts II through V of FAA Form 5100-101, Application for Federal Assistance, must be submitted to FAA field offices. Level of approval is dependent on the type of airport and amount of FAA monies requested. No State plan is required.

**Award Procedure:**

Upon program approval for development projects, applicant submits project application, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-100 to FAA field office. Master, noise compatibility, and system plan grant applications are submitted to FAA field offices and upon approval, grant offers are made by FAA field offices. Either the district or regional office prepares Grant Offer, FAA Form 5100-37, for planning and development for execution by FAA applicant.

**Deadlines:**

Jun 16, 2009 Primary airport sponsors must notify FAA by January 31 or another date specified in the Federal Register of their intent to apply for funds to which they are entitled under Section 47102 of Title 49, United States Code. A reminder is published annually in the Federal Register. Other sponsors are

encouraged to submit early in the fiscal year and to contact the appropriate FAA field office for any local deadlines. Sponsors must formally accept grant offers no later than September 30 for grant funds appropriated in that fiscal year.

The American Recovery and Reinvestment Act of 2009 projects must be started and completed expeditiously with a goal of awarding at least 50 percent of the funds for activities that can be initiated no later than 120 days after the date of the enactment of this Act or June 16, 2009. Priority is given to projects that can be completed in two years of enactment or February 16, 2011. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. If the project is challenged on environmental grounds, approval may take longer.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

No set period of time. Assistance is released upon application for reimbursement of expenses or by letter of credit. Method of awarding/releasing assistance: lump sum.

**Reports:**

During the project, the sponsor monitors performance to ensure that time schedules are being met. Periodic reports, as required, are forwarded to FAA. Each grant recipient shall submit the first of the periodic reports required under this subsection not later than 90 days after the date of enactment of the American Recovery and Reinvestment Act and shall submit updated reports not later than 180 days, 1 year, 2 years, and 3 years after such date of enactment. Additional quarterly reports are also required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003); Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in circular No. A-133.

**Records:**

Sponsors' records are required to be made available for inspection by FAA, OIG/DOT and the General Accounting Office. An airport layout plan must be kept up to date and available as long as the grant agreement lasts, ordinarily a period of 20 years. Accounting records reflecting all project costs, books, documents, and records pertinent to grants are to be retained for 3 years after date of submission of final expenditure report.

Grant recipients shall submit periodic reports containing the following information:

1. The number of projects that have been put out to bid under the grant and the amount of Federal funds associated with each project.
2. The number of projects for which contracts have been awarded and the amount of Federal funds associated with each project.
3. The number of projects for which work has begun under such contracts and the amount of Federal funds associated with each contract.
4. The number of projects for which work has been completed under such contracts and the amount of Federal funds associated with each contract.
5. The number of direct, on-project jobs created or sustained by the Federal funds provided for projects under the appropriation and, to the extent possible, the estimated indirect jobs created or sustained in the associated supplying

industries, including the number of job-years created and the total increase in employment since the date of enactment of the American Recovery and Reinvestment Act.

Each grant recipient shall submit the first of the periodic reports required under this subsection not later than 90 days after the date of enactment of the American Recovery and Reinvestment Act and shall submit updated reports not later than 180 days, 1 year, 2 years, and 3 years after such date of enactment. Additional quarterly reports are also required.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 08 \$3,471,166,652; FY 09 est \$3,385,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

(AIP Grants) \$8,638 to \$34,477,055. Average: \$14,128.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 2,457 grant agreements were executed. Fiscal Year 2009: For the American Recovery and Reinvestment Act of 2009, FY 2009 is the first year of grants for this program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Aviation Administration Order and Advisory Circulars (FAA Order 5100.38C, Airport Improvement Program Handbook, and FAA Advisory Circulars in the 150/5100 series). Special reporting requirements unique to this program are noted above. FAA ARRA guidance is posted on <http://www.faa.gov/recovery/>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Federal Aviation Administration Regional Offices listed in Appendix IV of the Catalog.

Headquarters Office: Federal Aviation Administration, Office of Airport Planning and Programming, Airports Financial Assistance Division, APP-500, 800 Independence Avenue, SW., Washington, DC 20591. Telephone: (202) 267-3831.

Web Site Address: [http://www.faa.gov/airports\\_airtraffic/airports/](http://www.faa.gov/airports_airtraffic/airports/).

**Headquarters Office:**

Kendall Ball 800 Independence Avenue, Washington, District of Columbia 20591 Email: [kendall.ball@dot.gov](mailto:kendall.ball@dot.gov) Phone: (202) 267-3831

**Website Address:**

[http://www.faa.gov/airports\\_airtraffic/AIP/](http://www.faa.gov/airports_airtraffic/AIP/).

**RELATED PROGRAMS:**

39.002 Disposal of Federal Surplus Real Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Construct new public airports; improve and rehabilitate existing public airports; extend runways at existing public airports; purchase fire fighting, rescue, security, snow removal and noise suppressing equipment; acquire land; and install navigation aids. Planning at individual airports includes demand/capacity analysis, airport noise control and land use compatibility analysis, environmental studies, and system plans for states, regions, and metropolitan areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Only those Airport Improvement Program (AIP) projects considered by the FAA Administrator to be necessary to provide for a safe and efficient airport system and to meet the current and projected growth of civil aeronautics will be considered for selection. The airports at which AIP projects are proposed must be included in the National Plan of Integrated Airports Systems (NPIAS).

**20.108 AVIATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508, as amended by Aviation Security Improvement Act of 1990, Federal Aviation Administration Authorization Act, Public Law 103-305.

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements may be used to support research and development projects at colleges, universities and nonprofit institutions in the following areas: (1) Capacity and Air Traffic Control Technology; (2) Communications, Navigation and Surveillance; (3) Aviation Weather; (4) Airports; (5) Aircraft Safety Technology; (6) Human Factors and Aviation Medicine; (7) Environment and Energy; (8) Systems Science and Operations Research; (9) Commercial Space Transportation. Discretionary funds are not currently available. Potential grantees are encouraged to contact FAA Research Technical Program Offices for sponsorship.

**Applicant Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Beneficiary Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Credentials/Documentation:**

Evidence of eligibility and of negotiated indirect rates and audit by cognizant agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication form not required. Consultation and or assistance is available by calling (609) 485-4781. No preapplication conference needed. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The solicitation may be accessed on the internet at <http://www.tc.faa.gov/logistics/grants>, or at [grants.gov](http://grants.gov) under CFDA 20.108.

**Award Procedure:**

Award authority has been delegated to the FAA Grants Officer for the Aviation Research Grants Program, AJA-4730, at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards will be made throughout the year. Solicitation FAA-06-01 will remain open indefinitely. Any change to this will appear on the internet site mentioned above.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

120 Days.

**Appeals:**

Formal protests are not an option, however, a debriefing may be requested.

**Renewals:**

Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions available upon request.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Minimum award duration is 6 months. No other time restrictions. Assistance is disbursed monthly. Advances are possible with prior approval from the FAA Grants Officer. Method of awarding/releasing assistance: lump sum.

**Reports:**

Technical Reporting Requirements per Subpart C of Title 2 CFR Part 215 formerly OMB Circular A-110 and OMB Circular A-102, Paragraph 7. Semi-annual and final technical reports required. Financial reporting requirements as per Subpart C of OMB Circular A-110 and of OMB Circular A-102, Paragraph 7. Final reports are required for closeout. Reporting requirements are spelled out in the terms and conditions of each award document. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA reserves the right to conduct individual audits as needed within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following completion of a grant or cooperative agreement.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Salaries) FY 08 \$13,765,877; FY 09 est \$16,181,279; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

Proposals received to date have requested from \$15,000 to \$5.0 million with most between \$50,000 and \$250,000. Larger proposals are for multi-year research.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Information available at the above internet web site. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-122, A-133, A-110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 95507A. A solicitation package containing the appropriate forms and directions is available through grants.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deanna Super AJA-4730 William J. Hughes Technical Center, Atlantic City International Airport, New Jersey 08405 Email: deanna.super@faa.gov Phone: (609) 485-4781 Fax: (609) 485-6766

**Website Address:**

<http://www.tc.faa.gov/logistics/grants>.

**RELATED PROGRAMS:**

20.109 Air Transportation Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Research and development in Satellite navigation; Aircraft Structural mechanics and materials; De-icing Fluids; Cockpit Human Factors. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The FAA has established four criteria which should be met for a proposal to be eligible for funding. These four criteria are: (1) Intrinsic Value; (2) Relevance to the FAA Mission; (3) Technical Soundness of the Proposal; (4) Research Performance Competence.

**20.109 AIR TRANSPORTATION CENTERS OF EXCELLENCE**

(FAA Centers of Excellence)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508.

**OBJECTIVES:**

To conduct long term continuing research in specific areas of aviation related technology. Responsibilities of Centers may include but not limited to: the conduct of research concerning catastrophic failure of aircraft; airspace and airport planning and design; airport capacity enhancement techniques; human performance in the air transportation environment; aviation safety and security; the supply of trained air transportation personnel including pilots and mechanics; and other aviation issues pertinent to developing and maintaining a safe and efficient air transportation system, and the interpretation, publication, and dissemination of the results of such research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Centers of Excellence are established for long term continuing mission critical research in specific areas of technology. Funding may be used for the establishment and operation of the Centers of Excellence and the related training, education and research projects. The FAA determines a need for a Center of Excellence in a specific area of technology and publishes a Notice of Availability of Solicitation in Grants.gov. In response to this announcement, each applicant submits a description of their institutional capabilities, available faculty, facilities and equipment, and additional information as required in the solicitation. Researchers at each Center are expected to maintain a close working relationship with relevant FAA program offices that have responsibility in areas related to their research. Centers conduct semi-annual reviews, and a major symposium at the conclusion of each 3-year phase of research to satisfy Congressional requirements to disseminate results to a broad audience. CONGRESSIONAL RESTRICTIONS: (1) Matching Funds - Federal grants awarded shall be 50 percent of the cost of establishing and operating the Center of Excellence and related research activities. (2) Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 5, 1990. (3) Locations shall be geographically equitable. 4. Contract tasks are awarded on a negotiable cost share basis\*.

**Applicant Eligibility:**

Applicants are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal funds and maintenance of effort. Academic institutions may partner with industry affiliates and other government laboratories.

**Beneficiary Eligibility:**

Recipients are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal grants and maintenance of effort. In conducting research, a Center of Excellence may contract with nonprofit research organizations and other appropriate persons.

**Credentials/Documentation:**

Required documentation is outlined in each solicitation package. After each Notice of Solicitation is published, copies of the Solicitation are available during a Public Meeting and/or from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405. To establish a Center of Excellence, a competitive process is conducted to include a public announcement, publication of a solicitation, a management/fiscal review and technical evaluation. Public Law 101-508 established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of the needs of the region for improved air transportation services and facilities. (2) The demonstrated research and extension resources available to the applicant for carrying out this program. (3) The capability of the applicant to provide

leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems. (4) The extent to which the applicant has an established air transportation program. (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program. (6) The projects which the applicant proposes to carry out under the grant.\* Each proposal must include the following: (a) description of current research projects being conducted in the specified research area, (b) a schedule of anticipated expenses for establishing and operating the Center of Excellence, (c) a plan for meeting the 50 percent nonfederal contribution toward the matching requirements, (d) a statement showing its aggregate expenditures from all other sources for aviation research in its 2 fiscal years preceding November 5, 1990, (e) all data sufficient for the evaluation team to determine the extent to which the applicant is able to satisfy the six selection criteria outlined. Each proposal must contain: 1. a completed Application for Federal Assistance (SF-424 Research and Related); 2. table of contents; 3. a technical statement addressing the problems inherent in the specific topic area(s) and probable solutions; 4. a summary of research results from FAA funding in the past five years; 5. biographical sketches of senior personnel and a list of their principal accomplishments and publications during the past five years; 6. proposed budget for the initial three years including the anticipated costs of managing a new Center of Excellence, and a management plan; 7. current and pending support on all research awards from all sources; 8. available facilities and major items of equipment to be available to conduct research, and that which is necessary to acquire. 9. letters of support from various industry representatives, state and local officials, etc. Other required forms are Disclosure of Lobbying Activities form SF-LLL and certification of Compliance with Civil Rights Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FAA may hold a public information meeting prior to submission of proposals. Questions may be submitted to the FAA Centers of Excellence Program Director, AAR-400, FAA Technical Center, Atlantic City International Airport, NJ 08405. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges and universities may apply after the FAA has published a Notice of Availability of Solicitation for a Center of Excellence in a specific research area on the Grants.gov website. Solicitation and application packages are available from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405. Announcements are posted on the FAA Centers of Excellence website at [www.faa.coe.gov](http://www.faa.coe.gov)

**Award Procedure:**

Each Air Transportation Center of Excellence is awarded on behalf of the FAA Administrator. The FAA Centers of Excellence Program Director, issues solicitations, receives all proposals, convenes evaluation teams to evaluate eligible institutions for Centers of Excellence awards. Applicants should be prepared to host an onsite inspection of existing research facilities.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From the closing date for applications, the FAA requires at least 6 months for evaluation and selection procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Matching Funds - The Federal share shall be 50 percent of the costs of establishing and operating the Center of Excellence and related research activities.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The FAA intends to support a Center of Excellence in three year increments over a maximum of ten years. Each Center will undergo a reassessment every three years. Research is reviewed semi-annually. Budgets and research projects are negotiated yearly. As a consequence of changing needs, or diminished requirements, the agency reserves the right not to renew support for a Center of Excellence at any time. Funds from program offices and additional appropriations may increase at any time providing the institution can demonstrate matching funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Technical Reporting Requirements are in accordance with Attachment H of OMB Circular No. A-110 and Attachment I to OMB Circular No. A-102. Financial reporting requirements are in accordance with Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. Semi-annual reports include documentation of matching funds generated and technical reports. An annual review of the research completed and in progress at each Center of Excellence is required. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of anticipated projects and budget for the following year. A symposium is required by the end of each three-year period as part of close-out activities and serves to highlight research results and discuss plans for the next three-year phase. The symposium contributes to satisfying the legislative requirement to disseminate information. A 10-year symposium may be conducted as a separate meeting or in conjunction with a Joint Centers of Excellence or technical meeting. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA calls for an audit of each Center every 3 years as a part of close-out activities, and reserves the right to conduct individual audits annually, and as needed, within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following termination of the Center of Excellence.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Salaries) FY 08 \$8,500,000; FY 09 est \$9,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Program started in fiscal year 1992. Grant assistance is expected to be a minimum of \$500,000 per year awarded through matching grants to each Center, in addition to IDIQ contract awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1) Program planning completed; 2) Agency Directive written; 3) A Center was established in 2003 for Aircraft Noise and Aviation Emissions Mitigation; 4) A Center was established in 2004 for Advanced Materials Research; 5) A Center was established in 2004 for Airliner Cabin Environment Research. The scope of this Center was expanded during the 3-year evaluation.

The Center is now entitled Research in the Intermodal Transport Environment; and 6) The Program currently reflects more than \$350,000,000 in contract awards, grants, and matching funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-133, A-122, A110 and A-21, Regulations and Executive

Orders are referenced in Appendix 2 of the FAA Research Grants Order 9550. When the FAA is soliciting for a Center of Excellence, a solicitation and application package containing the appropriate forms and directions will be available. A Notice of Solicitation Availability will be announced in Grants.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Watts FAA Wm. J. Hughes Technical Center , Atlantic City International Airport, New Jersey 08405 Email: patricia.watts@faa.gov Phone: (609) 485-5043 Fax: (609) 485-9430

**Website Address:**

<http://www.coe.faa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Centers of Excellence in: Computational Modeling of Aircraft Structures, Airport Pavement Research/Airport Technology, Operations Research, Airworthiness Assurance, General Aviation, Aircraft Noise and Aviation Emissions Mitigation, Advanced Materials, and Airliner Cabin Environment Research/Intermodal Transportation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Public Law 101-508 has established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of needs of the region for improved air transportation services and facilities; (2) The demonstrated research and extension resources available to the applicant for carrying out this program; (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems; (4) The extent to which the applicant has an established air transportation program; (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program; and (6) The projects which the applicant proposes to carry out under the grant. Public Law 101-508 mandates geographic equity in location and funding of Centers of Excellence: therefore, geographic location may become an additional selection factor during the evaluation process.

**20.200 HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM**

Surface Transportation Research Program

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

To carry out the highway research and development program as authorized by SAFETEA-LU. To conduct research needed to maintain and grow our vital transportation infrastructure. SAFETEA-LU addresses the many challenges facing our transportation system today challenges such as improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, and protecting the environment as well as laying the groundwork for addressing future challenges. SAFETEA-LU promotes more efficient and effective Federal surface transportation programs by focusing on transportation issues of national significance, while giving State and local transportation decision makers more flexibility for solving transportation problems in their communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Varies by project. See individual

project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Applicant Eligibility:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Beneficiary Eligibility:**

State (State DOTs) Local Sponsored Organization General Public.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with SAFETEA-LU and the Office of Management and Budget (OMB) cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, per directions contained in the RFAs, applicants submit applications online via [www.Grants.gov](http://www.Grants.gov) by the due date specified in the RFA.

**Award Procedure:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, FHWA evaluates applications and selects awardee(s).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally 1 to 3 months after application submittal.

**Appeals:**

Not Applicable.

**Renewals:**

Dwight David Eisenhower Transportation Fellowship Program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU. See the following for information on how assistance is awarded/released: Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU.

**Reports:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally quarterly progress reports and annual budget reports are required. Cash reports are not applicable. Generally quarterly progress reports and annual budget reports are required. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the Recipient as specified in 2 CFR Part 215 (Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations) or 49 CFR 18.42 as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 08 \$13,166,060; FY 09 est \$14,000,000; FY 10 est \$0 - Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Varies by project. See individual project Request for applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The two landmark bills that brought surface transportation into the 21st century the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and the Transportation Equity Act for the 21st Century (TEA-21) shaped the highway program to meet the Nation's changing transportation needs. SAFETEA-LU builds on this firm foundation, supplying the funds and refining the programmatic framework for investments needed to maintain and grow our vital transportation infrastructure. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways", 49 CFR, "Transportation", and 2 CFR, "Grants and Agreements".

**Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the FHWA (as listed in Appendix IV of the Catalog).

**Headquarters Office:**

Office of Acquisition Management (HAAM) 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: (202) 366-9084

**Website Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**20.205 HIGHWAY PLANNING AND CONSTRUCTION**

(Federal-Aid Highway Program, Federal Lands Highway Program).

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

Federal-aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System; and for transportation improvements to most other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides

for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, the Northern Mariana Islands, and the Alaska Highway. The Federal Lands Highway Program (FLHP), as an adjunct to the Federal Aid Highway Program, provides assistance to the Federal Land Management Agencies (FLMAs) for Federally owned roads. It provides transportation engineering services for planning, design, construction, and rehabilitation of the highways and bridges providing access to federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment, engineering services, and products to other customers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal-aid highway funds are generally apportioned by statutory formulas to the States. They are generally restricted to roads open to the public and not functionally classified as rural minor collectors or local. Exceptions to this highway functional classification restriction include: planning and research activities; bridge, bicycle and pedestrian, and safety improvements that may be on any public road; transportation enhancement activities; the recreational trails program (see program 20.219); safe routes to school, nonmotorized transportation, the FLHP, and public transportation improvement. The FLHP is not a grant program. For highway projects, funds may be used forenvironmental studies, engineering and design services, right-of-way acquisition and relocation assistance, and construction for capital improvement projects classified as new construction, reconstruction, restoration, rehabilitation, and resurfacing, or for functional, geometric, or safety reasons. Funds may also be used for planning; research, development, and technology transfer; intelligent transportation systems projects; roadside beautification; wetland and natural habitat mitigation, traffic management and control improvements; improvements necessary to accommodate other transportation modes, development and establishment of transportation management systems; billboard removal; construction of bicycle facilities and pedestrian walkways; fringe and corridor parking; car pool and van pool projects; transportation enhancements such as scenic and historic highway improvements; and recreational trails. Funds generally cannot be used for routine highway operational activities, such as police patrols, mowing, snow plowing, or maintenance, unless it is preventative maintenance. Also, funds authorized for the NHS, Surface Transportation Program (STP), Congestion Mitigation and Air Quality (CMAQ) Improvement Program, Equity Bonus (BE) program, and some additional programs may be used for mass transportation improvements; CMAQ funds are limited to projects and programs in air quality, non-attainment and maintenance areas for ozone, carbon monoxide, and small particulate matter that reduce transportation related emissions. Eligibility criteria for the programs differ, so program guidance should be consulted. Projects in urban areas of 50,000 or more population must be based on a transportation planning process carried out by a Metropolitan Planning Organization (MPO) in cooperation with the State and transit operators, and the projects must be included in metropolitan transportation plans and improvement programs. Projects in non-metropolitan areas of a State must be consistent with a statewide transportation plan. Projects in both metropolitan and non-metropolitan areas must also be included in a fiscally constrained Statewide Transportation Improvement Program (STIP) developed as part of the required statewide transportation planning process. The FHWA and the Federal Transit Administration (FTA) must approve the STIP jointly.

**Applicant Eligibility:**

By law, the Federal-aid highway program is a federally assisted State program that requires each State to have a suitably equipped and organized transportation department. Therefore, most projects are administered by or through State transportation departments (State DOTs). Projects to be funded under the Federal-aid highway program are generally selected by State DOTs or MPOs, in cooperation with appropriate local officials, as specified in 23 U.S.C. and implementing regulations. Territorial highway projects are funded in the same manner as other Federal aid highway projects, with the territorial transportation agency functioning in a manner similar to a State transportation department. Most FLHP projects are administered by the FHWA Office of Federal Lands Highway and its Divisions or by the various FLMAs. Under the FLHP, projects in the Indian Reservation Road (IRR) Program are selected by Tribal governments and are approved by the Bureau of Indian Affairs (BIA)

and the Federal Highway Administration. Due to recent legislation, Tribal governments meeting certain requirements may now administer various IRR projects on behalf of the BIA and FHWA. The Fish and Wildlife Service (FWS) and the National Park Service (NPS) select projects in the Refuge Road and Park Roads and Parkways programs, respectively. For the Forest Highway Program, the Forest Service, the States and the Federal Highway Administration jointly select projects.

**Beneficiary Eligibility:**

State transportation departments, and in some instances, Federal agencies, other State agencies, local agencies, and private, community-based organizations.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with Title 23 and the OMB cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment is required for most projects under this program, although the level of review varies with the project. Projects under the FLHP have similar requirements; however, an interested applicant would need to contact the designated FLMA or the local FLH Division for more information. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In general, projects/programs proposed for funding must be included in a fiscally constrained STIP, submitted by the State DOT, and approved jointly by the FHWA and the FTA. In addition, the State DOT may need to submit statements of work or plans, specifications, and estimates for certain proposed projects to the FHWA division office located in each State for approval. The FHWA has an agreement with each State that details the extent to which the State assumes the responsibilities of the FHWA for projects in that State. For projects on the Interstate System costing more than \$1 million, FHWA oversight of design and construction is required. For projects that are on the National Highway System but not on the Interstate System, the State may assume the responsibilities of the FHWA for oversight of design and construction, unless the State or the FHWA determines that such assumption is not appropriate. For projects that are not on the National Highway System, the State shall assume the responsibilities of the FHWA for oversight of design and construction, unless the State determines that such assumption is not appropriate. For the discretionary portion of public lands highways, State DOTs submit desired projects to the FHWA division office located in each State. Following the appropriate project selection process, a Transportation Improvement Program (TIP) for the Park Roads and Parkways, Forest Highway and Refuge Road programs is developed by one of the Federal Lands Highway Division offices, and forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. For the Indian Reservation Roads program, a TIP is submitted to the FHWA Office of Federal Lands Highway for approval and then forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. Projects under the FLHP are subject to the metropolitan and statewide planning requirements.

**Award Procedure:**

The State DOTs generally decide which projects will be developed within funding levels but the FHWA division office located in each State makes the final decision on the eligibility of specific projects. There are several categories where funding is allocated at the discretion of the Secretary of Transportation and administered by the FHWA. Candidate projects for discretionary allocations are usually solicited before the start of the Federal fiscal year (October 1) and must be submitted by the State DOTs. FHWA approval of a project and execution of a project agreement constitute a commitment to pay the Federal share of the project's allowable costs. Projects administered by the FHWA Office of FLH or the FLMAs are subject to procurement processes identified in the Federal Acquisition Regulations. Project awards are subject

to the availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Federal-aid highway funds generally become available at the beginning of the fiscal year for which they are authorized and must be obligated within 3 years after the close of that fiscal year. However, some categories of funds are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. Except for projects that a state has oversight responsibility for, the FHWA division office in each State monitors and reviews State projects and programs during highway project location, design and construction. After the project is completed State maintenance of the project is reviewed periodically. Certain non-construction activities, such as transportation planning, require periodic progress reports. Similar procedures apply to the FLMAs and FLHP projects with the FHWA Office of FLH providing the mandatory stewardship and oversight. A value engineering analysis or other cost-reduction analysis is required for each project on the Federal-aid system with an estimated total cost of \$25,000,000 or more, a bridge project with an estimated total cost of \$20,000,000 or more; and any other project determined to be appropriate. Annual financial plans are required for projects with an estimated total cost of \$100,000,000 or more. In addition, a project management plan must be submitted for projects with an estimated total cost of \$500,000,000 or more.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State or other governmental recipients/ subrecipients as specified in 49 CFR Part 18 or by non-profit recipients/subrecipients as specified in 49 CFR Part 19. For the Federal Lands Highway Program, the Federal Lands Highway Divisions maintain the project records.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 08 \$40,068,000; FY 09 est \$37,849,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Federal-aid Highway Program has made significant contributions to the safer operation of the nation's highways, to the better intermodal connectivity of roads to other forms of transportation, and to the improvement of pavement and bridge conditions throughout the country, while helping to safeguard environmental conditions. It has provided funding for a

wide range of alternatives to traditional highway construction projects to better serve transportation needs. It has developed and advanced critical new technologies, such as Intelligent Transportation Systems, and shared them with the States. The FLHP works to create the best transportation system in balance with the values of the Federal and tribal lands. The mission of the program is to improve transportation access to and within Federal and tribal lands and provide technical services to the highway community. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways" and 49 CFR, "Transportation", and 2 CFR, Grants and Agreements. <http://www.fhwa.gov>.

#### **Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State transportation agencies.

#### **Headquarters Office:**

Director 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-9494

#### **Website Address:**

<http://www.fhwa.dot.gov>.

#### **RELATED PROGRAMS:**

20.215 Highway Training and Education; 20.219 Recreational Trails Program; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.600 State and Community Highway Safety; 23.003 Appalachian Development Highway System

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2005, almost \$8 billion was obligated for projects to relieve congestion and improve safety on the National Highway System. Over \$443 million were obligated for Forest Highways, Public Lands Highways, Indian Reservation Roads, Refuge Roads, and Park Roads and Parkways in fiscal year 2007. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, most projects must be located on public roads that are not functionally classified as local. The major exceptions are the Highway Bridge Replacement and Rehabilitation Program, which provides assistance for bridges on and off the Federal-Aid highways; highway safety activities; bicycle and pedestrian projects, transportation enhancement activities, the recreational trails program, and planning, research, development, and technology transfer. Proposed projects meeting these and other planning, design, environmental, safety, etc., requirements can be approved on the basis of State and local priorities within the limit of the funds apportioned or allocated to each State.

#### **20.215 HIGHWAY TRAINING AND EDUCATION**

National Highway Institute (NHI) Training Program  
Dwight David Eisenhower Transportation Fellowship Program (DDETFP)  
Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP)

#### **FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

#### **OBJECTIVES:**

National Highway Institute (NHI) Training Program: To develop and administer, in cooperation with those in the highway community, educational, training, and technical assistance programs for the Federal Highway Administration, State and local highway agency employees, as well as the private sector and members of the international organizations. Dwight David Eisenhower Transportation Fellowship Program (DDETFP): To attract qualified students to the field of transportation education and research, and advance transportation workforce development. Garrett A. Morgan Technology

and Transportation Education Program (GAMTTEP): To improve the preparation of students, particularly women and minorities, in science, technology, engineering, and mathematics through curriculum development and other transportation-related activities.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; TRAINING

#### **USES AND USE RESTRICTIONS:**

States may use funds not to exceed one half of 1 percent of the amount apportioned to each State under Section 104(b)(3) for the surface transportation program for training their employees or employees of local transportation agencies. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities. Courses and study programs may be obtained from universities, other government agencies, the private sector, and/or the National Highway Institute. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities.

#### **Applicant Eligibility:**

NHI Training Program: Employees of State and local transportation agencies. DDETFP: Some restrictions apply. Undergraduate (juniors and seniors at Minority Institutes of Higher Education (MIHE)) and graduate students matriculating full-time at a U.S. university or college in a transportation-related discipline. GAMTTEP: Local educational agencies and State educational agencies, which may enter into a partnership agreement with institutions of higher education, businesses, or other entities.

#### **Beneficiary Eligibility:**

None.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Dwight David Eisenhower Transportation Fellowship Program (DDETFP): Students may apply to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) to compete for three award categories; annually for the Eisenhower Graduate, Grants for Research Fellowships, and Eisenhower Intern Fellowships. The remaining Eisenhower Fellowships are competed at participating MIHEs. These include the Historically Black Colleges and Universities (HBCUs) Hispanic Serving Institutions (HSIs), and Tribal Colleges (TCs) and selected applications are forwarded to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for final selection. A new fellowship category, the People with Disabilities (PWD) Eisenhower Fellowship (PWDEF) is currently competed at Gallaudet University, Washington, DC, and the selected application is forwarded to the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for final selection. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): Vendors may apply through Grants.Gov annually. The application process has not yet been finalized.

#### **Award Procedure:**

Awards are made annually for the academic year for the Dwight David Eisenhower Transportation Fellowship Program by the Chief, Partnership for Workforce Development and the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI) for all categories. Awards for the Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP) will be made on the basis of competitive review by the Director, National Highway Institute and the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI).

#### **Deadlines:**



Apr 01, 2009: DDETFP HBCUs, HSIs, TCs, PWDs: annually by April 1st. NHI Training Program: None. DDETFP Graduate Fellowships and Grants for Research Fellowships: annually by mid-February; DDETFP HBCUs, HSIs, TCs, PWDs: annually by April 1st. Grants for Research Fellowships and Eisenhower Intern Fellowships: Open until filled. GAMTTEP: Varies, but usually March.

**Range of Approval/Disapproval Time:**

NHI Training Program: None. DDETFP: 3 months (applicants acceptance/rejection period).

**Appeals:**

Not Applicable.

**Renewals:**

NHI Training Program: None. Dwight David Eisenhower Transportation Fellowship Program: as applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

DDETFP on-site assignments, 6 to 12 months with extension upon approval from the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI); Masters degree awards, up to 2 years, not to exceed 3 years, in duration; and PhD Awards, up to 3 years-not to exceed 5 years in duration; and Bachelors degree, 1 year. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401 - \*.

**Obligations:**

(Formula Grants) FY 08 \$13,451,420; FY 09 est \$14,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The DDETFP has awarded approximately 2000 fellowships from 1992 through 2005. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NHI Training Program: 23 CFR, "Highways." DDETFP: The first guidelines for the DDETFP were issued in August 1992. National guidelines are reissued annually in the program announcement by the National Highway Institute.

**Regional or Local Office:**

See Regional Agency Offices. State-level (division) offices of the Federal Highway Administration as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Highway Administration 4600 North Fairfax Drive Suite 800, Arlington, Virginia 22203 Phone: (703)- 235-0538

**Website Address:**

<http://www.nhi.fhwa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal

College Fellowships, People with Disabilities Fellowships, and FHWA program-related fellowships. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Courses conducted fill major agency needs as defined by high priority areas, and are presented within time, staff, and budget constraints. DDETFP fellowships are awarded on competition on the basis of demonstrated merit, including pursuit of transportation related careers, academic credentials, academic recommendations, and study proposal.

**20.218 NATIONAL MOTOR CARRIER SAFETY**

(MCSAP)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Motor Carrier Act of 1991, Public Law 102-240, 49 U.S.C 31100-31104; Transportation Equity Act for the 21st Century, Public Law 105-178; Motor Carrier Safety Reauthorization Act of 2005, Public Law 109-59; Surface Transportation Assistance Act of 1982, Section 401-408, Public Law 97-424.

**OBJECTIVES:**

To reduce the number and severity of accidents and hazardous material incidents involving commercial motor vehicles by substantially increasing the level and effectiveness of enforcement activity and the likelihood that safety defects, driver deficiencies, and unsafe carrier practices will be detected and corrected.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance to States for the implementation of programs for the adoption and uniform enforcement of safety rules, regulations and standards compatible with the Federal Motor Carrier safety regulations and Federal hazardous materials regulations for both interstate and intrastate motor carriers and drivers.

**Applicant Eligibility:**

A qualified State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, or the Commonwealth of the Northern Marianas (a State).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. Submission of a State Plan addressing the commercial motor carrier and highway hazardous materials safety within the State. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Scheduled regional pre-planning conferences. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State lead agency, designated by the Governor, must submit the States Commercial Vehicle Safety Plan, which includes a certification of eligibility, to the FMCSA Division Office along with FMCSA Application Form MCSAP-1.

**Award Procedure:**

The amount of the basic MCSAP grant to a qualifying State will be determined by the Federal Motor Carrier Safety Administration based on the availability of funds, the eligibility of a State, and the formula set in 49 CFR 350. State will be required to sign a grant agreement.

**Deadlines:**

Aug 01, 2009 Application for a grant must be filed with the FMCSA Division Office on or before August 1 of each year. The deadline may, for good cause, be extended by the Division Administrator/State Director for no more than 30 calendar days.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

From 30 to 60 days. State will be notified in writing of failure to submit a satisfactory State Plan. State will have 30 days to modify and resubmit the plan.

**Renewals:**

Application for a grant must be made annually.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 49 CFR 350.323.

Matching Requirements: The MCSAP formula is described in 49 CFR 350.323 and is based on the most current approved statistics available. Most funds will be allocated each year among the States according to a formula based on four equally weighted (25 percent) factors: (1) road miles (all highways) as defined by the FHWA; (2) All vehicle miles traveled as defined by the FHWA; (3) Population - annual census estimates as issued by the U. S. Census Bureau; and (4) special fuel consumption (net after reciprocity adjustment) as defined by the FHWA. The Federal share shall not exceed 80 percent of the approved total project amount. The State must maintain the average level of expenditure of the State and its political subdivisions (not including amounts of the Government or State matching funds) for commercial motor vehicle safety programs, for enforcement of commercial motor vehicle size and weight limitations, drug interdiction, and State traffic safety laws and regulations for the 3 full fiscal years beginning after October 1 of the year 5 years prior to the beginning of each Government fiscal year. The State's share is at least 20 percent. The FMCSA shall, upon request, waive the requirement for matching funds to be provided by the Virgin Islands, American Samoa, Guam, or the Commonwealth of the Northern Marianas. Additional funds are allocated under the provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded on an annual basis. Funds obligated to a State will remain available for expenditure for the fiscal year in which they were obligated and the next full fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. A quarterly Activity Report is to be filed with the FMCSA Division Office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, "nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Records of all program activities covered in the State's Safety Plan and statistics pertaining to commercial motor vehicle accidents. Such records must be kept for 3 years following the year of funding.

**Account Identification:**

69-8048-0-7-401.

**Obligations:**

(Salaries) FY 08 \$202,000,000; FY 09 est \$209,000,000; FY 10 est \$209,000,000

**Range and Average of Financial Assistance:**

Not less than 0.44 percent or more than 4.94 percent of available funds for basic program grants. U.S. Territories may receive a fixed amount of \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the program supported approximately 10,000 full and part-time State personnel nationwide who performed approximately 3 million inspections, resulting in increased uniformity in the enforcement of motor vehicle safety regulations throughout the United States and the promotion of commercial vehicle safety. Training was provided for State enforcement personnel through the delivery of commercial vehicle safety courses reaching over 13,000 State personnel nationwide. The program also supported national commercial vehicle safety activities related to inspection process improvements, data collection and analysis, judicial outreach, new entrant safety audits and drug interdiction. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, Guidelines, and Literature: 49 CFR 1.48. 49 CFR 386-399, Federal Motor Carrier Safety regulations; 49 CFR 100-180, Hazardous Materials Regulations, Government Printing Office, \$14-\$27 per volume.

**Regional or Local Office:**

See Regional Agency Offices. State-level office of the Federal Motor Carrier Safety Administration as listed on the FMCSA website at <http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>.

**Headquarters Office:**

State Programs, MC-ESS 1200 New Jersey Ave, SE, Washington, District of Columbia 20590 Phone: 202-366-9579

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Roadside driver and vehicle inspections, compliance reviews, and traffic enforcement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory and administrative requirements contained in 49 CFR 350. The State Plan must provide for an effective commercial vehicle safety program.

**20.219 RECREATIONAL TRAILS PROGRAM**

Recreational Trails Program

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 104, 206.

**OBJECTIVES:**

To provide funds to the States to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and(8) State administrative costs related to this program (limited to 7 percent of a State's funds). Funds may not be used for: property condemnation;

constructing new trails for motorized use on National Forest or Bureau of Land Management lands unless the project is consistent with resource management plans; or facilitating motorized access on otherwise non motorized trails. The USDOT encourages States to enter into contracts and cooperative agreements with qualified youth conservation or service corps to perform construction and maintenance of recreational trails under this program. Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and (8) State administrative costs related to this program (limited to 7 percent of a State's funds).

**Applicant Eligibility:**

The Governor of each State must designate the State agency or agencies responsible for administering this program. The State must have a State recreational trail advisory committee that represents both motorized and nonmotorized recreational trail users, which shall meet not less than once per fiscal year. The State agency may accept project proposals from private organizations, or from municipal, county, State, or Federal government entities, and other government entities. The projects must satisfy one or more of the permissible uses.

**Beneficiary Eligibility:**

The State agency designated by the Governor.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with applicable cost principles listed in 49 CFR Part 18.22 for the kind of organization receiving the grant or subgrant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The States must submit project proposals to the FHWA division office located in each State for approval. The State may submit individual projects or consolidate similar projects for the purposes of program approval. FHWA approval constitutes a commitment to pay the Federal share of the project's cost. The State's projects also must be included in State transportation improvement programs and applicable metropolitan transportation improvement programs.

**Award Procedure:**

The State agency or agencies designated by the Governors decide which projects will be developed within funding levels, but the FHWA division office located in each State makes the final decision on the eligibility of specific projects for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 5 days to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 109-59.

Matching Requirements: Percent: 80.%. Funds from any other Federal program may be used for the non Federal match if the project also is eligible under the other program. Recreational Trails Program funds may be used to match other Federal funds if the project also is eligible under the other program. States also may allow a programmatic match: if some project sponsors in a State provide more match funds than required, other sponsors in the State may provide less. Some in-kind materials and services may be credited toward the project match. States may allow some pre-approval planning and environmental assessment costs toward the project match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds generally become available at the beginning of the fiscal year for which they are authorized, and must be obligated within 3 years after the close of that fiscal year. See the following for information on how assistance is awarded/released: The method of money release varies case by case.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State for 3 years following the final submission for Federal payment in accordance with 49 CFR 18.41.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 08 \$1,552,157; FY 09 est \$1,650,196; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Apportionments to the States are based on statutory formula. All 50 States and the District of Columbia are eligible to receive apportionments. For fiscal year 2005 funds ranged from \$580,000 to \$4,263,285; the average was \$1,160,000. For fiscal year 2006 funds ranged from \$678,039 to \$5,099,645; the average was \$1,356,078 (however, some States rescinded FY 2006 funds). For fiscal year 2007 funds ranged from \$727,059 to \$5,555,406; the average was \$1,473,725 (however, some States rescinded funds). For fiscal year 2008 funds ranged from \$776,078 to \$6,037,429; the average was \$1,552,157, but funds were subject to rescissions resulting about an 11.5% decrease. For fiscal year 2009 funds ranged from \$825,000 to \$4,680,480; the average was \$1,650,196, but funds are subject to rescissions (not finalized until September 2009).. See [www.fhwa.dot.gov/environment/rec/trails/recfunds.htm](http://www.fhwa.dot.gov/environment/rec/trails/recfunds.htm).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States selected projects located on Federal, State, local, and private lands for all kinds of recreational trail uses including projects such as: grooming snow trails, maintaining trails, constructing nature trails, constructing urban multiple use trails, developing rail-trails, repairing motorized and non motorized trails, constructing and rehabilitating trail bridges, improving trail access for people with disabilities, developing trailside and trailhead facilities, assessing trails for accessibility and maintenance, improving trail information and signs, and providing trail safety patrols and trail-related training. Many projects use youth conservation or service corps. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, Highways and 49 CFR, Transportation. There are no regulations specifically for this program. Program guidance was completed on April 1, 1999; and is posted at <http://www.fhwa.dot.gov/environment/rec/trails/guidance.htm> along with

program updates.

**Regional or Local Office:**

See Regional Agency Offices. State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or the State agency designated by the Governor to administer this program.

**Headquarters Office:**

Christopher B. Douwes 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Email: christopher.douwes@dot.gov Phone: (202) 366-5013 Fax: 202-366-3409

**Website Address:**

<http://www.fhwa.dot.gov/environment/rectrails.html>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Trail projects to develop and maintain recreational trails and trail-related facilities for both non motorized and motorized recreational trail uses. Examples include maintenance and construction of trails for hiking, bicycling, in-line skating, equestrian use, cross-country skiing, snowmobiling, off-road motorcycling, all-terrain vehicle riding, four-wheel driving, or using other off-road motorized vehicles; development and rehabilitation of trailside and trailhead facilities; operation of educational projects and programs to promote safety and environmental protection related to recreational trails; State administrative costs related to this program. Many projects use youth conservation or service corps. See specific project examples at: Award winning projects: <http://www.americantrails.org/awards/CRTawards.html> Project database: <http://www.funoutdoors.info/rtp/home.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, projects must be selected on the basis of State priorities within the limit of the funds apportioned to each State.

**20.223 TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA) PROGRAM**

(TIFIA Credit Program)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

TIFIA Infrastructure Finance and Innovation Act of 1998, 23 U.S.C 601-609.

**OBJECTIVES:**

To finance projects of national or regional significance by filling market gaps and leveraging substantial non-Federal and private co-investment. TIFIA credit assistance is intended to facilitate the financing of projects that would otherwise have been significantly delayed because of funding limitations or difficulties accessing the capital markets. Through TIFIA, the DOT provides Federal credit assistance to eligible highway, transit, rail, and intermodal freight projects, including access to seaports.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Highway, transit, rail, freight facilities, and certain port projects may receive credit assistance through the TIFIA program. The TIFIA statute requires all projects receiving TIFIA assistance to comply with 23 U.S.C. (for highway projects) and chapter 53 of 49 U.S.C. (for transit projects), as applicable. In addition, all projects receiving TIFIA assistance must comply with generally applicable Federal laws and regulations, including title VI of the Civil Rights Act of 1964, the National Environmental Policy Act of 1969, and the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.

**Applicant Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project may apply for TIFIA assistance. Examples of such entities include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies

specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Beneficiary Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project. Examples include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Credentials/Documentation:**

All applicants must demonstrate relevant experience, strong qualifications, a sound project approach, and a project that can demonstrate financial feasibility. Applicants also must meet various Federal standards for participation in a Federal credit program. For example, applicant may not be delinquent or in default on any Federal debts. Such requirements will be specified in the contractual documents between the DOT and each applicant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

To begin the application process, an applicant should submit to the DOT a Letter of Interest, not to exceed 10 pages. A Letter of Interest template can be found at <http://www.tifia.fhwa.dot.gov/>; it identifies the specific information that must be provided. The DOT requests that applicants submit the Letter of Interest by attaching it via email to [TIFIAcredit@dot.gov](mailto:TIFIAcredit@dot.gov). This letter serves to familiarize the DOT with basic information relating to the project and the applicant. It also permits the DOT and the applicant to ensure that the project meets the basic eligibility requirements for participation. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Upon receiving the DOT's notification that the project meets the basic eligibility criteria, the applicant may submit an application. An application fee, currently \$30,000, must be submitted with the proposal. The application form is available on the TIFIA web site at <http://tifia.fhwa.dot.gov/>.

**Award Procedure:**

Final approval is granted by the Secretary of Transportation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 60 days. The average time to execute a TIFIA agreement from the date of Secretarial approval FY08 was 1-4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum maturity of all TIFIA credit instruments is 35 years after a project's substantial completion. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Documentary evidence that may be requested for each project includes: audited financial statements, updated budget and cash flow projections, audit reports,

sources and uses of funds, coverage ratios, project schedules, operating statistics, and management updates (within no more than 180 days following the recipient's fiscal year-end). In addition, the credit agreement obligates the borrower to provide the DOT an annual update to the project's financial plan in accordance with specified requirements. Each borrower will be required to give notice to the DOT of material events, including litigation, which could affect project development or the credit quality of the project.

**Account Identification:**

69-4123-0-3-401; 69-4173-0-3-401; 69-4145-0-3-401.

**Obligations:**

(Salaries) FY 08 \$998,922,875; FY 09 est \$2,118,612,000; FY 10 est \$0 - FY10 est. not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 07, one project loan in the amount of \$516, 000,000 has been approved. FY 08, two project loans in the amount of \$480,000,000 and \$558,922,875 were approved. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See TIFIA website at <http://tifia.fhwa.dot.gov/> Legislation and Regulations, Program Guidance and application Materials, and Background Reference.

**Regional or Local Office:**

None.

**Headquarters Office:**

E64-301 1200 New Jersey Ave S.E., Washington, District of Columbia 20590  
Phone: (202) 366-9644.

**Website Address:**

<http://tifia.fhwa.dot.gov/> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples include \$917 million loan for the Central Texas Turnpike, \$215 million loan for the Cooper River Bridge, \$600 million loan guarantee for the Washington DC Metro Capital Improvement Program, \$159 million loan for the Staten Island Ferries and Ferry Terminals, \$439 million in two loans for the Miami Intermodal Center. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The DOT has assigned specific weights to the selection criteria, as follows: National or Regional Significance (20 percent); Private Participation (20 percent); Environment (20 percent); Project Acceleration (12.5 percent); Creditworthiness (12.5 percent); Use of Technology (5 percent); Consumption of Budget Authority (5 percent); Reduced Federal Grant Assistance (5 percent).

**20.231 PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT**

(PRISM)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Social Security online verification; covert and overt monitoring operations for third party testers and State examiners; automated knowledge tests; conviction automation projects; examiner and third party tester education and training ., Public Law 102-240; The Flexible, Efficient Transportation Equity Act of 2006, Public Law 109-59; the Transportation Equity Act for the 21st Century of 1998, Public Law 105-178.

**OBJECTIVES:**

To identify motor carriers responsible for the safety of commercial motor vehicles and monitor the safety fitness of those motor carriers by linking the vehicle registration process to safety performance monitoring and enforcement.

Furthermore, causing the carrier to improve their safety performance through an improvement process, and where necessary, the application of registration sanctions.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance to States for the implementation of the PRISM program, including training, outreach, and the development of system requirements linking motor carrier safety to the States commercial vehicle registration processes. This process allows States to capture the USDOT number of the motor carrier responsible for the safety of each vehicle at the vehicle level during registration. The development of system requirements linking motor carrier safety to the States commercial vehicle registration processes.

**Applicant Eligibility:**

A qualified State of the United States and the District of Columbia.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

Submission of a State grant request and PRISM Implementation Plan addressing the program requirements outlined in the PRISM Implementation Guide. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. File with the FMCSA Division Office a Letter of Intent, or a SF 424 Short Form. The State's PRISM Implementation Plan specifying how the State will meet the program requirements, time frames for completion, and associated costs. A sample Letter of Intent, together with a SF 424 Short and a sample State Implementation Plan are available on the grants.gov website <http://www.grants.gov>.

**Award Procedure:**

The amount of the PRISM grant funding allocated to a qualifying State will be determined by the Federal Motor Carrier Safety Administration based on the assessed needs of the State, the eligibility of the State, and the availability of funds. Once the State's PRISM Implementation Plan has been approved, the grant will be awarded and the State will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 21 to 60 days.

**Appeals:**

States will be notified via the Division Administrator of failure to submit a satisfactory PRISM Implementation Plan. States will then be requested to modify and resubmit the plan for approval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are available for up to two years. Obligations to a State will remain available for expenditure during the two-year period specified in the grant agreement and may be extended under special circumstances with FMCSA

approval. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly activity reports, including a summary of grant expenditures, are required to be filed with the FMCSA Division Office. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Records of all program activities covered in the State's PRISM Implementation Plan and records pertaining to other supporting activities must be kept for 3 years following the year of funding.

**Account Identification:**

69-8048-0-7-401.

**Obligations:**

(Salaries) FY 08 \$5,000,000; FY 09 est \$5,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

Financial assistance averages approximately \$500,000 per State. Funding is determined based upon individual State needs for full implementation of the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 47 States plus the District of Columbia have signed grant agreements with the FMCSA to implement the PRISM program, including: AK, AL, AR, AZ, CA, CO, CT, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, ME, MN, MO, MS, MT, NH, NJ, NC, NE, NH, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, and WY. On average it takes approximately 2 to 2 1/2 years for a State to acquire the necessary hardware and software required to build, populate, and maintain the necessary DMV PRISM data files to fully realize the potential of PRISM. Twenty-nine States are presently PRISM capable, with four states in the process of implementation and nine states and DC committed to implement the program at their discretion sometime in the future. PRISM states that actively exercise their authority to deny, revoke, and or suspend a carriers registration include: AL, AR, CT, GA, IA, IN, KY, ME, MN, MO, NC, NE, NH, NM, OH, OK, PA, RI, SC, SD, TN, TX, UT, VT, WA, and WV. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Implementation Guide, Procedures Manual, and System Specifications for the PRISM program maybe obtained by contacting PRISMTechnicalSupport@Volpe.dot.gov. Regulations, Guidelines, and Literature: 49 CFR 1.48. 49 CFR 386-399, Federal Motor Carrier Safety regulations; 49 CFR 100-180, Hazardous Materials Regulations, Government Printing Office, \$14-\$27 per volume.

**Regional or Local Office:**

See Regional Agency Offices. State Division Offices of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Safety Administration 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: 202-366-9699

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State improvements to data information and registration systems, bar-coding, training and outreach activities. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must submit and receive formal approval of a State PRISM Implementation Plan specifying how the State will meet the program requirements, time frames for completion, and associated costs of the program.

**20.232 COMMERCIAL DRIVER LICENSE STATE PROGRAMS**

Commercial Driver License State Programs

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59; Motor Carrier Safety Improvement Act 1999, Public Law 106-159, 49 U.S.C 103.

**OBJECTIVES:**

To help or prevent truck and bus accidents, fatalities, and injuries by requiring drivers to have a single commercial motor vehicle license and by disqualifying drivers who operate commercial motor vehicles in an unsafe manner.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to its compliance with section 31311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU - Public Law 109-59); except that a State that is making good faith efforts toward substantial compliance with the requirements of 31311 and 31313 of SAFETEA-LU may use grants to improve implementation of the State's commercial driver's license program, including expenses for computer hardware and software, publications, testing, personnel, training, fraud prevention, and quality control. The grant may not be used to rent, lease, or buy land or buildings. The grant may not be used to rent, lease, or buy land or buildings.

**Applicant Eligibility:**

Only those agencies in each State or the District of Columbia that is designated as the primary driver licensing agency responsible for the administration of the CDL program may apply.

**Beneficiary Eligibility:**

States may receive grant funds to comply with the requirements of section 31311 of SAFETEA-LU or if making good faith efforts toward substantial compliance with the requirements of section 31311 and 31313 receive grant funds to improve implementation of the commercial driver's license program.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must submit a self assessment of their CDL program and agree to maintain CDL program expenditures at a level at least equal to the average of the past two State fiscal years that ended prior to August 10, 2005. The State is also required to submit a self-assessment of its CDL program that addresses and supports the specific requests indicated in their application for a grant. Costs will be determined in accordance with OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov after approval by the State's FMCSA Division Office.

**Award Procedure:**

The amount of the CDL grant to a qualifying State will be determined by the CDL Division based on the documented needs of the State and the availability of funds. The Federal Register Notice will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDL program in improving highway safety and reducing commercial motor vehicle related fatalities. States will be required to sign a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days. States will be notified of a denial of funding of their grant application. If denied funding, a State may revise and resubmit their application within 30 days. FMCSA will consider their revised application and may award a grant based on remaining funds at that time of consideration. This is a discretionary grant program. There is no formal appeals process.

**Renewals:**

From 60 to 90 days. A new grant application must be made whenever a new Federal Register Notice is published.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are available for up to one year. Obligations to a state remain available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Financial status reports (SF-269) must be submitted quarterly to the FMCSA Division office. Project activity reports (SF-269) must be submitted quarterly to the FMCSA Division office. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for three years following the end of the grant project period.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$25,000,000; FY 09 est \$25,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Fiscal Year 2008 award range: \$46,775 - \$1,604,089; award median: \$409,971.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2003, the program supported six States in connecting to the Social Security Administration's (SSA) on-line and batch verification system. Currently 42 States are using the SSA on-line and batch verification system. With States instituting this check they were able to eliminate one potential means of fraudulently obtaining a Commercial Drivers License. As of fiscal year 2007, the program has helped jurisdictions meet substantial compliance with the Motor Carrier Safety Improvement Act of 1999. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 386-399; 49 CFR 100-180.

**Regional or Local Office:**

See Regional Agency Offices. State-level office of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Safety Programs, CDL Division 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: Office of Safety Programs,

CDL.

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.238 Commercial Drivers License Information System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Social Security online verification; covert and overt monitoring operations for third party testers and State examiners; automated knowledge tests; conviction automation projects; examiner and third party tester education and training. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The set of criteria for evaluating proposals is outlined in the Federal Register notice.

**20.233 BORDER ENFORCEMENT GRANTS**

BEG

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users, Public Law 109-59, 49 U.S.C 31107.

**OBJECTIVES:**

To ensure motor carriers operating commercial vehicles entering the United States from a foreign country are in compliance with commercial vehicle safety standards and regulations, financial responsibility regulations and registration requirements of the United States, and to ensure drivers of those vehicles are qualified and properly licensed to operate the commercial vehicle.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects. Grant funds must be expended by September 30, 2010. Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects.

**Applicant Eligibility:**

Entities and States that share a land border with a foreign country.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Maintenance of expenditure certification by the entity or State that it meets the conditions for grant approval and the State agrees that the total expenditure of the amounts of the State and political subdivisions of the State, exclusive of amounts from the United States, for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects will be maintained at a level at least equal to the average level of that expenditure by the State and political subdivisions of the State for the last 2 State or Federal fiscal years ending before October 1, 2005, whichever the State designates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

File with FMCSA Division Office an SF-424, SF-424A and SF424B form, a certification that the State meets all eligibility requirements and a State Border Enforcement Plan. The application must be filed electronically through [grants.gov](http://grants.gov). Information on how to register with [grants.gov](http://grants.gov) and file an application using [grants.gov](http://grants.gov) is available at <http://www.grants.gov/Apply>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. File with the Federal Motor Carrier Safety Administration (FMCSA) SF-424 and SF424A forms, a certification that the State meets all eligibility requirements, and a State Border Enforcement Plan.

**Award Procedure:**

The amount of the award to a qualifying applicant will be based on a panel review of all applications received, recommendations of the panel, and funding availability. The panel will prioritize funding request based on the State or entity's performance on previous BEG awards; their ability to expend the awarded funds within the BEG performance year; and, national criteria established by the FMCSA as follows:

Ensure southern Border States are meeting all Federal requirements to allow access to Mexico-domiciled carriers beyond the border commercial zones,

Increase the number of commercial motor vehicle (CMV) safety inspections and commercial driver license (CDL)/operating authority/financial responsibility checks in Border States focusing on international traffic;

Improve the capability to conduct CMV safety inspection at remote and other sites near the border (The list of eligible items in 49 CFR 350.311, relating to the Motor Carrier Safety Assistance Program (MCSAP), should be used as a guide.);

Develop appropriate telecommunication systems and coordination procedures with federal inspection agencies and others (Appropriate telecommunication systems means those that relate directly to the accessing and transfer of CMV safety data and information) including telecommunications systems and other items necessary to implement the International Trade Data Systems (ITDS);

Other innovative initiatives designed to improve the compliance status of CMVs, drivers, and carriers entering the United States from Canada or Mexico; Research initiatives focused on cross-border enforcement and related issues; and

Targeted inspections of commercial motor vehicles on corridors where there is a significant amount of international traffic.

Applicants will be required to sign a grant agreement.

**Deadlines:**

Nov 09, 2008 to Aug 31, 2009 Applications for a grant must be filed with the FMCSA Division Office by November 1, 2008. If funds remain available after all applications received by November 1, 2008 have been processed, additional applications will be accepted through August 31, 2009, and considered for funding.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 120 days.

**Appeals:**

Applicants will be notified in writing by the Division Administrator if the State or entity's application was not approved. There is no appeal process as funding is discretionary.

**Renewals:**

Eligible applicants must submit a new grant application to receive additional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The amounts made available under the Border Enforcement Grants Program shall remain available for expenditure for the fiscal year in which they are allocated and for the next fiscal year. Amounts not expended by a State during those two fiscal years are available to the Secretary for reallocation. FY 2009 BEG funds must be expended before October 1, 2010. Method of awarding/releasing assistance: lump sum.

**Reports:**

A quarterly activity report is to be filed with the FMCSA Division Office. A program evaluation report is to be filed with the FMCSA Division Office upon completion of the grant program. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all programs activities covered in the State's Border Enforcement Plan must be kept for three years after the grant is closed.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$320,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under the BEG program, since FY 2005, approximately 332,000 CMV inspections have been performed. Additionally approximately 307,000 commercial driver license, financial responsibility and operating authority checks have also been conducted. Approximately 84 outreach sessions for Mexican motor carriers seeking authority to operate in the US have been conducted. Additionally, the four southern Border States have been provided funding to ensure the requirements to allow access to Mexico-domiciled motor vehicles beyond the commercial zone have been met. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 350; 49 CFR 350-399; 49 CFR 100-180; 49 CFR 18. Publications available through the Government Printing Office \$14-\$27 per volume.

**Regional or Local Office:**

See Regional Agency Offices. Division Office of FMCSA as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Carla Vagnini 1200 New Jersey Ave, SE, Washington, District of Columbia 20590 Email: carla.vagnini@dot.gov Phone: 202-366-3771

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.218 National Motor Carrier Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Roadside driver and vehicle inspections at or near the US-Mexico border or US-Canada border. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory requirements contained in the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Uses (Conference Report 109-203). Additionally the State or entity must submit an electronic application (SF 424, SF 424a and SF424b) through [grants.gov](http://www.grants.gov) (<http://www.grants.gov/Apply>) including a Border Enforcement Plan consistent with the national criteria identified by the Federal Motor Carrier Safety Administration and listed above. The Border Enforcement Plan must include the scope, purpose, goals and objectives of the border enforcement program; implementation strategies including projected number of activities to be completed; performance measures; a detailed budget; an evaluation of the previous years border enforcement plan including a comparison of projected activities and the actual number completed to date, if applicable; a program monitoring and evaluation plan; and a sample of the quarterly report the applicant will use to submit to the Federal Motor Carrier Safety Administration.

Applications that are missing any of this information will be returned to the applicant for revision and must be resubmitted within 30 days to be considered during the first round of funding. Those received after 30 days will be



considered during the second round of funding.

## **20.234 SAFETY DATA IMPROVEMENT PROGRAM**

Safety Data Improvement Program

### **FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

### **AUTHORIZATION:**

The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Section 4128, 49 U.S.C 31102.

### **OBJECTIVES:**

The objectives are to fund State programs to improve the overall quality of commercial motor vehicle (CMV) data, specifically to increase the timeliness, efficiency, accuracy and completeness of processes and systems related to the collection and analysis of truck and bus crash and inspection data.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

### **USES AND USE RESTRICTIONS:**

Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer.

### **Applicant Eligibility:**

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the fifty States and the District of Columbia. The State agency must clearly articulate a goal that is related to the quality of State CMV crash and inspection data. Project objectives must be clearly articulated, time-limited, action-oriented, measurable and achievable. Project plans must include performance measures for monitoring the improvement in the quality of State-reported CMV safety data.

### **Beneficiary Eligibility:**

Federal, State and local entities are the beneficiary.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with grants.gov may take two to five days before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

### **Award Procedure:**

An evaluation panel will select award recipients based on an overall application score outlined in the application package, the potential for improvement of national Safety data collection and reporting rates, and the total funding available.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

If basic eligibility criteria are met and funds are available, discussion with potential grantees continues until the project plan is mutually acceptable.

### **Appeals:**

Appeals will be considered upon demonstration that the proposal meets SaDIP grant eligibility criteria and the State Safety Data Quality measures have been addressed.

### **Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

### **Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 18.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 18 months; grant program extensions are allowable and funds are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

The recipient shall submit quarterly reports on the 15th of the month following the end of the quarter being reported. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient is responsible for ensuring that independent audits are conducted in accordance with the existing Federal auditing and reporting standards set forth in OMB Circular A-133. The audit report must be submitted to the FMCSA to support the indirect cost proposal.

### **Records:**

The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data. The FMCSA shall have rights pursuant to 49 CFR Part 18 Section 18.34.

### **Account Identification:**

69-8055-0-7-401.

### **Obligations:**

(Salaries) FY 08 \$3,300,000; FY 09 est \$3,000,000; FY 10 est \$3,000,000

### **Range and Average of Financial Assistance:**

Range \$5,000 - \$500,000; Average award \$250,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Improve the overall quality of CMV crash and inspection data. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4128 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the SaDIP grant opportunity. The legislation provides discretionary funding for States to improve the quality of crash and inspection data for large trucks and buses reported by States to FMCSA, as described in 49 U.S.C. Section 31102. The funding is codified in 49 U.S.C. Section 31104.

### **Regional or Local Office:**

See Regional Agency Offices. Refer to the FMCSA Field Office Roster at the FMCSA website for your FMCSA State Division Office (<http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>).

### **Headquarters Office:**

Betsy Benkowski 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Email: [betsy.benkowski@dot.gov](mailto:betsy.benkowski@dot.gov) Phone: (202) 366-5387

### **Website Address:**

E-mail: [betsy.benkowski@dot.gov](mailto:betsy.benkowski@dot.gov).

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are defined in the evaluation criteria included with the full application package available on Grants.gov; criteria are based on the defined goals and objectives included in, and the feasibility and cost effectiveness of, the proposed project plan.

**20.235 COMMERCIAL MOTOR VEHICLE OPERATOR TRAINING GRANTS**

CMV Operator Safety Training Grant

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

Promote the safe operation of Commercial Motor Vehicles (CMVs), as defined in 49 U.S.C. 31301, through financial assistance to persons who train current and future drivers in the safe operation of CMVs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Provide financial assistance to eligible entities who train Commercial Motor Vehicle operators (as defined in 49 U.S.C. 31301). Grant program does not give grants to individuals.

**Applicant Eligibility:**

State governments, local governments, and accredited postsecondary educational institutions (public or private) such as colleges, universities, vocational-technical schools and truck driver training schools.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

State government agencies, local government agencies or accredited postsecondary educational institutions must be accredited and recognized by the U.S. Department of Education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. File application package (SF-424, SF-424A, SF-424B, and project plan) with FMCSA Division office in the State where the applicant is located or electronically through Grants.gov (www.grants.gov), including a detailed project proposal, following procedures in accordance with FMCSA guidance issued through a Federal Register notice.

**Award Procedure:**

The amount of award to a qualified applicant will be at the discretion of FMCSA based upon a panel review of all applications, recommendations of the review panel, and funding availability. Successful applicants will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon Agency funding levels.

**Appeals:**

Not Applicable.

**Renewals:**

Grant was available from Fiscal Year (FY) 2005 through FY 2009. Renewal is contingent upon Congressional reauthorization.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. The Federal share of the grant shall not exceed 80 percent of the approved expenditures in the project plan. A 20 percent matching share by the recipient is required.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are available for one year upon execution of the grant agreement.

Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly activity and financial reports are required to be filed with the FMCSA Headquarters. Quarterly activity and financial reports are required to be filed with the FMCSA Headquarters. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Records of all program activities, including financial and programmatic records, statistical records and any other records, covered in the approved project plan must be kept for a period of 3 years after the grant is closed.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

(Salaries) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Grants range in amounts from \$50,000 to \$222,000. The amount of award is at the discretion of the Federal Motor Carrier Safety Administration.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Program has granted over 35 eligible applicants with funding to train approximately 700 Commercial Motor Vehicle operators. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4134 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU, Public Law 109-59), 49 U.S.C. 31301, Office of Management and Budget (OMB) Circulars A-87 (Cost Principles for State, Local, and Indian Tribal Governments), A-21 (Cost Principles for Educational Institutions), or A-122 (Cost Principles for Non Profit Organizations), depending upon applicant type.

**Regional or Local Office:**

See Regional Agency Offices. FMCSA Division office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

State Programs Division, MC-ESS 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: 202-366-9579

**Website Address:**

<http://www.fmcsa.dot.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals that are selected provide funding to train current and future drivers in the safe operation of Commercial Motor Vehicles (CMVs), expand the number of Commercial Drivers License (CDL) holders possessing enhanced operator safety training in an effort to reduce the severity and the number of crashes on U.S. roads involving CMVs, and assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become CMV operators.

## **20.237 COMMERCIAL VEHICLE INFORMATION SYSTEMS AND NETWORKS**

CVISN

### **FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act Legacy for Users (SAFETEA LU), Section 4123, Public Law 109-59.

### **OBJECTIVES:**

The Commercial Vehicle Information Systems and Networks (CVISN) Program is a key component of the Federal Motor Carrier Safety Administrations (FMCSA) drive to improve commercial motor vehicle safety, and is directly aligned with both the United States Department of Transportation (U.S. DOT) and FMCSAs performance goals. The goals and objectives for the CVISN program include:

**Improve highway safety and security** CVISN will enable safety inspectors to target their resources on the highest risk carriers, drivers, and vehicles. These changes are expected to reduce the frequency and severity of accidents that involve commercial vehicles. CVISN also will support future initiatives in security, recognizing that homeland security is a more critical issue for the nations transportation system.

**Streamline credentials and tax administration** CVISN will enable government agencies and motor carriers to conduct business transactions electronically, enabling reduced administrative costs, paperwork, and time.

**Reduce congestion costs for motor carriers** Automated vehicle screening systems will reduce congestion and delays at weigh stations and international border crossings. These changes are expected to improve freight mobility and reduce delivery costs.

**Ensure regulatory compliance and equitable treatment** Motor carrier compliance with credentials and tax regulations is expected to increase as the process is made less burdensome by CVISN. In addition, automated screening systems and better targeted safety inspections are expected to catch a greater number of non-compliant or unsafe drivers. As all carriers are brought into regulatory compliance, the playing field industry-wide will become more level.

The CVISN Program supports these goals by focusing safety enforcement on high-risk operators; integrating data systems to improve the accuracy, integrity, and verifiability of credentials; improving efficiency through electronic screening of commercial vehicles; and enabling on-line application and issuance of credentials.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

No more than \$100,000 in Core CVISN grants may be used to develop a Core CVISN Program Plan and Top Level Design. Core CVISN Deployment funds must be used to implement projects in accordance with a States FMCSA approved Core CVISN Program Plan and Top Level Design. No more than \$100,000 in Expanded CVISN grants may be used to develop a Expanded CVISN Program Plan and Top Level Design. Expanded CVISN projects must be in accordance with a States FMCSA-approved Expanded CVISN Program Plan and Top Level Designs. Besides using Expanded CVISN grant funds for Expanded CVISN projects, States may use Expanded CVISN grant funds to augment/redeploy Core CVISN capabilities, and/or to deploy multi-state initiatives. No more than \$100,000 in Core CVISN grants may be used to develop a Core CVISN Program Plan and Top Level Design. Core CVISN Deployment funds must be used to implement projects in accordance with a States FMCSA approved Core CVISN Program Plan and Top Level Design. No more than \$100,000 in Expanded CVISN grants may be used to develop a Expanded CVISN Program Plan and Top Level Design.

### **Applicant Eligibility:**

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the fifty States and the District of Columbia. The State agency must clearly articulate a goal that is related to the quality of State CMV crash and inspection data. Project objectives must be clearly articulated, time-limited, action-oriented, measurable

and achievable. Project plans must include performance measures for monitoring the improvement in the quality of State-reported CMV safety data.

### **Beneficiary Eligibility:**

Federal, State and local entities are the beneficiary.

### **Credentials/Documentation:**

**Core CVISN** - In order to be eligible to use these funds, a state must have a FMCSA-accepted Core CVISN Program Plan and Top Level Design.

**Expanded CVISN** - In order to be eligible to use these funds, a state must have a FMCSA-accepted Expanded CVISN Program Plan and Top Level Design and be able to demonstrate when it will be certified as being Core CVISN Compliant. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State CVISN Team/CVISN Program Manager is responsible for the following steps in the application process:

Complete required CVISN planning documentation.

- Core CVISN Program Plan/Top-Level Design accepted by FMCSA for states in Planning/Deployment Phase; and
- Expanded CVISN Program Plan/Top-Level Design accepted by FMCSA for Core CVISN Compliant states.

Download the CVISN application package and instructions from grants.gov. Complete the OMB standard forms and FY 2009 CVISN Grant Application. Forward completed FY 2009 CVISN Deployment Grant Application to state's FMCSA Division Administrator (DA) for preliminary review.

Upload the final FY 2009 CVISN Deployment Grant Application package to grants.gov before the July 15, 2009 deadline, and notify the FMCSA HQ. The following documents also must be attached (via the Attachments standard form) to the application package prior to submission:

- Approval letter received from the DA; and
- Latest quarterly progress reports for previously received Federal CVISN Deployment grant.

Review and sign a CVISN Deployment Program Agreement.

- CVISN Deployment Program Agreement will be drafted by FMCSA and forwarded to State CVISN Program Manager by state's FMCSA Division Administrator.

Complete an Automated Clearing House (ACH) Payment Form, SF 3881, if the grant recipient desires direct deposit for reimbursements of expenditures and (i) has not previously filled out such a form or (ii) has changed its bank account for direct deposits.

Submit requests for reimbursement of expenditures to the FMCSA Division Administrator (or a designee) for review and recommendation for payment.

- FMCSA Division Administrator will notify state CVISN Program Manager when requests for reimbursement can be submitted.
- FMCSA Division Administrator will notify state CVISN Program Manager of the project code that must be referenced on the requests for reimbursement.

### **Award Procedure:**

The FMCSA Division Administrator is responsible for the following steps in the award process:

Review states Core and/or Expanded CVISN Program Plan/Top-Level Design documents.

Provide a preliminary review regarding the merits of his/her states CVISN Deployment Grant Application (e.g., whether proposed projects have merit from a state/local perspective).

Provide a letter stating that the Grant Application has been reviewed and approved.

Receive final draft of CVISN Program Agreement from FMCSA HQ and forward it to state CVISN Program Manager for review.

Coordinate between the state CVISN Program Manager and FMCSA Technology Division regarding the states comments to the CVISN Program Agreement (if necessary).

Ensure states CVISN Program Agreement is signed by an authorized entity within the state.

Sign final version of states CVISN Program Agreement.

Forward signed version of states final CVISN Program Agreement to FMCSA HQ.

Notify the state CVISN Program Manager when the grant funds have been posted to the U.S. DOT Delphi accounting system and requests for reimbursement may be processed.

Notify the state CVISN Program Manager of the project code associated with the grant.

Review requests for reimbursements and indicate recommendation for payment.

- Requests for reimbursements that have been recommended for payment may be optically scanned and e-mailed to the Federal Aviation Administration (FAA) Financial Operations/Accounts Payable Office (based in Oklahoma City) or sent to the FAA Liaison to FMCSA.

Continue to monitor the progress of the states CVISN program and ensure that the state is fulfilling its portion of the match requirement. Also ensure that the state submits quarterly progress reports, as required by the CVISN Program Agreement.

The FMCSA Headquarters (HQ) is responsible for the following steps in the award process:

Review and accept states Core and/or Expanded CVISN Program Plan/Top-Level Design documents.

Review a states CVISN Grant Application package.

Draft a CVISN Program Agreement, and if necessary, obtain a legal review of the Agreement from FMCSA Office of Chief Counsel.

Forward final draft of states CVISN Program Agreement to states FMCSA Division Administrator.

Prepare a memorandum to request that the FAA Liaison to the FMCSA Financial Operations/Accounts Payable Office (MC-MBF) to establish an obligation for the state (for the amount specified in the CVISN Program Agreement) in the U.S. DOT Delphi accounting system for the purpose of paying requests for reimbursement. The memorandum must be signed by the Director, FMCSA Office of Analysis, Research, and Technology and include the following:

- Copy of the signed CVISN Program Agreement attached with the CVISN grant application;

- Project code. The project code is assigned in accordance with the FMCSA Grants Management Manual;

- Information about the states grant recipient point of contact (name, address, and city); and

- Copy of the completed automated clearinghouse (ACH) payment form (if the state is a new CVISN grant recipient or if a state desires to change the bank account into which reimbursement payments are directly deposited).

Send a copy of the FAA obligation request memorandum (with the signed ACH payment form, Grant Obligation Checklist, and a hardcopy of the CVISN Program Agreement with the original signatures as the only attachments) to FAA Accounts Payable Staff.

Check to see if the obligation has been posted in the U.S. DOT Delphi accounting system.

Notify the FMCSA Division Administrator when an account has been established in U.S. DOT Delphi accounting system for the grant funds.

Members of the FMCSA, FHWA, and FAA accounting, legal, and acquisitions departments also will play key roles in the grant management process.

#### **Deadlines:**

Jul 15, 2009

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Matching Funds:

SAFETEA LU dictates that Federal CVISN deployment funds may not be used to fund more than 50 percent of a projects total budget. As such, if a State wishes to apply for \$1,000,000 in Federal CVISN funding for which it is eligible, it must identify \$1,000,000 in state or private-sector funding that can be used to match the Federal contribution. FMCSAs match requirements are very flexible and allow states to include many types of funds as match. Federal CVISN match sources may be:

Direct funds/resources that offset the costs of the specific project towards which the grant is applied; or

Indirect funds/resources that are related to the States CVISN program but do not offset the costs associated with the specific project towards which the grant is applied.

Eligible sources of direct matching funds include:

State/private sector funds applied to the project funded by the Federal CVISN Deployment Grant;

State-funded staff salaries associated with the Federally-funded project (e.g., project management, subject matter experts, developer/IT resources); and

State-funded capital expenses for the Federally-funded project (e.g., hardware/software, roadside equipment, e-screening equipment).

Eligible sources of indirect matching funds include:

State/private sector funds associated with another CVISN project;

Staff salaries associated with another CVISN project (e.g., CVISN program management, project management, subject matter experts, developer/IT resources); and

Capital expenses associated with another CVISN project (e.g., hardware/software, roadside equipment, e-screening equipment).

At this time, the following may not be used as match towards a Federal CVISN Deployment Grant:

Monies received from other Federal programs (e.g., MCSAP, PRISM, SaDIP, Border Enforcement, CDL);

Toll credits; and

Funds/resources previously used as match towards another Federal grant.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The funds are available for expenditure for as long as the period of performance stipulated in the grant agreement negotiated between the state and its FMCSA State Administrator. The funds are "NO-YEAR" money; they do not expire. If a state wants to use the funds after the period of performance, it may do so after it negotiates a no-cost extension of the grant agreement with its FMCSA State Administrator. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. State grant recipients must provide quarterly progress reports to FMCSA. One electronic file of the quarterly progress report must be submitted to the states FMCSA Division Administrator, and the FMCSA Office of Research and Technology, Technology Division on or before the 20th of the month following the end of the quarter being reported. At a minimum, the quarterly reports must be completed using forms SF-PPR and SF-269 and containing the following:

The project number, project name, a brief description of the project, major project partners, names and phone numbers of the partners project contacts, and the reporting period.

Budget and scheduling information, including the date the project was initiated, the estimated completion date, cost estimate, and expenditures during the reporting period.

A brief description of the activities conducted during the reporting period, including any milestones attained and significant events.

A discussion of any problems encountered or anticipated (e.g., scope changes, changes in project limits, funding requirements, technological constraints, institutional issues, project schedule delays) together with recommended solutions to such problems. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

No audits are required for this program.

#### **Records:**

Upon request, the State will provide copies of technical documents and/or procurement documents to FMCSA.

**Account Identification:**

69-8158-0-0-000.

**Obligations:**

(Project Grants) FY 08 \$22,500,000; FY 09 est \$25,000,000; FY 10 est not reported. - FY 2010 information is currently not known.

**Range and Average of Financial Assistance:**

States eligibility for CVISN deployment funding is based on the Federal funds it received for its CVISN program under the Transportation Equity Act for the 21st Century (TEA-21), and SAFETEA-LU as well as its current CVISN deployment status. Awards range from \$100,000 to \$3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the inception of the Federal CVISN grant program in 2006, 80 grants were awarded and \$60,547,563 in funds were expended. It is anticipated that 35 applications will be received and 35 awards will be granted in Fiscal Year 2009. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:****References:**

Core and Expanded CVISN Program Plan and Top Level Design Templates can be obtained from FMCSAs website at:

<http://www.fmcsa.dot.gov/facts-research/cvisn/document-library.htm> or by contacting the Technology Division see below for contact information.

CVISN Guides (available at

<http://www.fmcsa.dot.gov/facts-research/cvisn/document-library.htm> )

**Regional or Local Office:**

See Regional Agency Offices. States may contact their states FMCSAs Division Administrator.

**Headquarters Office:**

Julie Lane 1200 New Jersey Ave., SE

, Washington, District of Columbia 20590 Email: [julie.lane@dot.gov](mailto:julie.lane@dot.gov) Phone: (202) 385-2391 Fax: (202) 385-2422

**Website Address:**

<http://http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Typical projects funded under this program will include:

Develop and deploy automated credentialing for International Registration Plan (IRP);

Develop and deploy automated credentialing for International Fuel Tax Agreement (IFTA);

Develop and deploy a Commercial Vehicle Information Exchange Window (CVIEW);

Develop Expanded CVISN Program Plan and Top Level Design; and Deploy Driver Information Sharing functionality. Fiscal Year 2009: No

Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

. Consistency with the national ITS and CVISN architecture and standards; Consistency with Program Plan and Top Level Design approved by FMCSA; Agreement to incorporate interoperability and efficiency to the extent practicable; and

Agree with reporting and programming oversight requirements contained in CVISN deployment program agreement.

**20.238 COMMERCIAL DRIVERS LICENSE INFORMATION SYSTEM**

Commercial Drivers License Information System (CDLIS)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 113 Stat. 1766, U.S.C 31309.

**OBJECTIVES:**

To modernization the Commercial Driver's License Information System (CDLIS). Following modernization CDLIS will: (1) comply with applicable Federal information technology security standards; (2) provide for the electronic exchange of all information including the posting of convictions; (3) contain self auditing features to ensure that data is being posted correctly and consistently by the States; and (4) integrate the commercial driver's license and the medical certificate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code.

**Applicant Eligibility:**

A qualified state and the District of Columbia. An organization representing agencies and officials of a State.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Certification by the state that it meets the conditions for grant approval. States will fund future efforts to modernize CDLIS. Costs will be determined in accordance with OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Detailed application instructions and forms are available on [Grants.gov](http://Grants.gov). Applications must be submitted using [Grants.gov](http://Grants.gov) after pre application review by the State's FMCSA Division Office.

**Award Procedure:**

The amount of the CDL Modernization grant to a qualifying state will be determined by the State Programs CDL Division based on the availability of funds and the eligibility of the State. The [Grants.gov](http://Grants.gov) announcement will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDLIS Modernization program. States will be required to sign a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 to 90 days.

**Appeals:**

States will be notified in writing.

**Renewals:**

A new grant application must be made whenever a grant opportunity is published.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are available for up to one year. Obligations to a state remain available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly activity reports are to be filed iwth the FMCSA Division office. SF-272. Quarterly activity reports are to be filed iwth the FMCSA Division office. SF-269. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular A-133, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards must have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for three years following the year of funding.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

(Salaries) FY 08 \$8,000,000; FY 09 est \$8,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

Fiscal Year 2008 award range: \$28,000 - \$1,117,716; award median: \$282,693.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Conversion of States to a new, encrypted network system; development of interim data quality edits; development of Request for Proposal and selection of vendor to design and maintain the new CDLIS Central Site; awards to States to aid in the modernization efforts. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 386-399; 49 CFR 100-180.

**Regional or Local Office:**

See Regional Agency Offices. State-level office of the Federal Motor Carrier Safety Administration, as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Brandon A. Poarch 1200 New Jersey Avenue, S.E., Washington , District of Columbia 20590 Phone: (202) 366-3030

**Website Address:**

<http://www.fmcsa.gov>.

**RELATED PROGRAMS:**

20.218 National Motor Carrier Safety; 20.232 Commercial Driver License State Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Compliance with CDLIS Modernization plan. States must be in substantial compliance with the requirements of sections 31309 and 31311 of title 49 of the United States Code.

**20.239 MOTOR CARRIER RESEARCH AND TECHNOLOGY PROGRAMS**

Not Applicable

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Surface Transportation Assistance Act of 1982, Public Law 97-242, as amended by Transportation Equity Act for the 21st Century, 49 U.S.C 31108, as amended by Motor Carrier Safety Act of 1992, Public Law 102-240.

**OBJECTIVES:**

To provide grants and cooperative agreements to advance innovative solutions to problems involving commercial motor vehicles (CMV) and motor carrier safety, security, and efficiency; and to stimulate the deployment of emerging technology. To test, develop, or assist in testing and developing material,

invention, patented particle or processes related to the research and technology program. To carry out activities to support the research, development, technology, and technology transfer requirements with respect to: causes of accidents, injuries, and fatalities involving CMV; reducing the number and severity of accidents; improving safety and efficiency; improving communication to stakeholders; improving technology used by enforcement officers; and providing training for CMV safety personnel. Projects funded by the following Offices are included:

Office of Research and Analysis Research Division (MC-RRR) Research and development programs;  
Office of Research and Analysis Division (MC-RRA) Statistical and analytical support for program and policy development implementation. Facilities the integration of the analysis function into policy and program development decision making;  
Office of Research and Analysis Technology Division Technology development programs, including the testing, evaluation and deployment of emerging technologies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used in accordance with the requirements identified in each projects. Projects shall be authorized to meet the objectives of FMCSA. Funds shall be used in accordance with the requirements identified in each projects. Projects shall be authorized to meet the objectives of FMCSA.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants are required to satisfy all DOT/FMCSAs standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Submission of the standard forms as required by grants.gov and any special information required by each project. This program is excluded from coverage under EO 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed cooperative agreement proposals shall include the appropriate SF 424 suite of forms, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug Free Workplace Requirements, Lobbying Statements; and any other certifications required by the project.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations and in accordance with the provisions in each project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval/Disapproval times will be identified in each cooperative agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the DOT/FMCSA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements are usually 12 to 36 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. Reports are due in accordance with the terms and conditions of the award. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and programmatic records, supporting documents, statistical records, and other records of grantees or sub-grantees generally should be retained by all parties for three years. If any litigation, claim, negotiations, audit or other action involving the record has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$3,000,000; FY 09 est \$5,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

The range is between \$3 million - \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 USC 31108, " Motor Carrier Research and Technolohg Program" OMB Circular A-122; OMB Circular A-21; and OMB Circular A-97; and 48 CFR Part 31.

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Walker, PhD 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: martin.walker@dot.gov Phone: (202) 366-2364

**Website Address:**

<http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Innovative research projects related to CMV and driver safety and security activities. Fiscal Year 2009: Innovative research projects related to CMV and driver safety and security activities. Fiscal Year 2010: Innovative research projects related to CMV and driver safety and security activities.

**CRITERIA FOR SELECTING PROPOSALS:**

It's based on the cost of the project, qualification of principal investigator and institution, relevance to program's objectives and uses, or merit.

**20.240 FUEL TAX EVASION-INTERGOVERNMENTAL ENFORCEMENT EFFORT**

(Fuel Tax Evasion-Intergovernmental Enforcement Efforts)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 1101.

**OBJECTIVES:**

To increase intergovernmental activities and enforcement efforts among public agencies to reduce Federal fuel tax evasion. Funds made available shall be used only to expand or enhance intergovernmental efforts to increase motor fuel tax enforcement and payments; to supplement motor fuel tax examinations and criminal investigations; and to increase research and training in the area of Federal fuel tax evasion.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments. Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments.

**Applicant Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all proposals electronically through [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Awards are made annually through fiscal year 2009. An interagency review group will be established to review all proposals after the application deadline. FHWA and IRS will jointly recommend and approve projects for Federal funding for fuel tax evasion intergovernmental enforcement efforts. States selected to receive funding will enter into negotiations with FHWA and be required to enter into a project agreement with FHWA.

**Deadlines:**

Jun 26, 2009 Not available at this time.

**Range of Approval/Disapproval Time:**

The approval/disapproval time will take approximately 2 months.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects will not be funded for a period of more than 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual reports will required for each project and will be outlined in the project

agreement. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 08 \$2,000,000; FY 09 est \$2,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Minimum: \$10,000; Maximum \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2006, 8 projects were funded, including on for a Western Task Force, which involved a total of 17 states; in FY 2007, 7 projects were funded which involved 7 states; in FY 2008, 13 projects were funded which involved 48 states and the District of Columbia. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Dougherty 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Email: michael.dougherty@dot.gov Phone: (202) 366-9234

**Website Address:**

<http://www.fhwa.dot.gov/policy/otps/fueltax.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Pennsylvania: Fuel Cap Program; Pennsylvanias Fuel Composition and Accountability Program. Arkansas: Preventing Interstate Motor Fuel Tax vasion Through the Use of Detailed Data, Enforcement, and Joint Audits Arizona: Promoting Fuel Tax Compliance in Indian Country Hawaii: Dont Duck Motor Fuel Taxes Outreach Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are encouraged to submit innovative proposals to reduce fuel tax evasion and increase collaboration and coordination among several public agencies. Priority will be given to proposals that involve more than one public agency.

**20.241 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION NATIONAL TRAINING CENTER**

National Training Center

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Surface Transportation Assistance Act of 1982, Sections 401-408, Public Law 97-242, as amended by Transportation Equity Act for the 21st Century, Public Law 105-178, 49 U.S.C 31108, as amended by Motor Carrier Safety Act of 1992, Public Law 102-240, 2301 U.S.C 2307.

**OBJECTIVES:**

FMCSAs National Training Center (NTC) serves as the national focal point for the development and delivery of motor carrier safety training to enhance the capabilities of participating Federal, State, and local government officials. NTCs goal is to reduce fatalities, injuries, and commercial vehicle crashes and to provide high quality motor carrier safety and law enforcement training to its customers. The NTC provides training in the areas of commercial driver and vehicle inspection, drug interdiction, intelligent transportation systems, compliance and enforcement, highway safety, education and outreach, and program management and support.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funds shall be used in accordance with the requirements identified in each projects. Projects shall be authorized to meet the objectives of FMCSA.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants are required to satisfy all DOT/FMCSAs standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Submission of the standard forms as required by grants.gov and any special information required by each project. This program is excluded from coverage under EO 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed cooperative agreement proposals shall include the appropriate SF 424R suite of forms, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug Free Workplace Requirements, Lobbying Statements; and any other certifications required by the project.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations and in accordance with the provisions in each project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval/Disapproval times will be identified in each cooperative agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the DOT/FMCSA.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 CFR, Part 31.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements are usually 12 to 36 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Reports are due in accordance with the terms and conditions of the award.

Reports are due in accordance with the terms and conditions of the award.

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**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and programmatic records, supporting documents, statistical records, and other records of grantees or sub-grantees generally should be retained by all parties for three years. If any litigation, claim, negotiations, audit or other action involving the record has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$500,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

Average is \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 USC 31108, Motor Carrier Research and Technology Program; OMB Circular A-122; OMB Circular A-21; and OMB Circular A-97; and 48 CFR Part 31

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Cynthia Blackmon 1200 New Jersey Avenue, SE  
, Washington, District of Columbia 20590 Phone: (202) 366-5085

**Website Address:**

<http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Training for motor carrier safety and law enforcement customers in the areas of commercial driver and vehicle inspection, drug interdiction, intelligent transportation systems, compliance and enforcement, highway safety, education and outreach, and program management and support.

Fiscal Year 2009: Training for motor carrier safety and law enforcement customers in the areas of commercial driver and vehicle inspection, drug interdiction, intelligent transportation systems, compliance and enforcement, highway safety, education and outreach, and program management and support.

Fiscal Year 2010: Training for motor carrier safety and law enforcement customers in the areas of commercial driver and vehicle inspection, drug interdiction, intelligent transportation systems, compliance and enforcement, highway safety, education and outreach, and program management and support.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be based on the cost of the project, qualification of principal investigator and institution, relevance to programs objectives and uses, or merit.

**20.301 RAILROAD SAFETY****FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Department of Transportation Act of 1966, Public Law 89-670, 49 U.S.C 1651-1659, as amended by Federal Railroad Safety Act of 1970, Public Law 93-90, 49 U.S.C 20101-21311.

**OBJECTIVES:**

To reduce railroad-related casualties and accidents.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Enforcement of all Federal laws and related regulations designed to promote safety of all railroads including Federal Track Safety Regulations, Safety Appliance and Freight Car Safety Standards, Hazardous Materials Regulations, Employee Hours of Service and Power Brake Rules. Investigation of safety-related complaints and evaluation of petitions requesting waivers from standards, rules, and regulations.

**Applicant Eligibility:**

Anyone concerned with railroad safety.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Not applicable.

**Account Identification:**

69-0700-0-1-401.

**Obligations:**

(Investigation of Complaints) FY 08 \$104,000,000; FY 09 est \$71,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, FRA completed the National Rail Safety Action Plan, which focused on reducing the two leading causes of train accidents. FRA also published a final report titled, Private Highway-Rail Grade Crossing Safety Research and Injury, which was based on the proceedings of five workshops held in 2006 and 2007 and public comments received by FRA.

In 2008, FRA issued numerous safety-related rules (e.g., electronically controlled pneumatic brakes; railroad operating rules; passenger equipment safety), and created programs (e.g., Risk Reduction; Railroad Bridge Management) designed to improve safety nationwide. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, 55 Broadway, Room 1077, Cambridge, MA 02142. Telephone: (617) 494-2302. Regional Administrator, 1510 Chester Pike, Crum Lynne, PA 19023 Telephone: (610) 521-8200 Regional Administrator, 61 Forsyth Street, SW., Suite 16T20, Atlanta Federal Center, Atlanta, GA 30303- 3104. Telephone: (404) 562-3800. Regional Administrator, 111 West Adam Street, Suite 310, Chicago, IL 60606. Telephone: (312) 353- 6203. Regional Administrator, 4100 International Plaza, Suite 450, Fort Worth, TX 76109 Telephone: (817) 862-2200. Regional Administrator, 901 Locust Street, Suite 464, Kansas City, MO 64106. Telephone: (816) 329-3840. Regional Administrator, 801 I Street, Suite 466, Sacramento, CA 95814. Telephone: (916) 498-6540. Regional Administrator, 500 E. Broadway, Suite 240, Vancouver, WA, 98660. Telephone: (360)696-7536.

**Headquarters Office:**

Christodoulou, Gina 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202)493-6139

**Website Address:**

<http://www.fra.dot.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Investigation of complaints against railroads for violation of railroad safety rules and regulations, and annual grant to Operation Lifesaver, Inc. to promote safety at highway-rail grade crossings and on railroad property. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.313 RAILROAD RESEARCH AND DEVELOPMENT**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Rail Safety Improvement Act of 2008, Public Law 110-432, U.S.C 102.

**OBJECTIVES:**

To foster long-range enhancement of the Federal Railroad Administration's program of research in support of rail safety by developing cooperative research relationships between the Administration and university organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must show a relationship towards advancing railroad safety. Applicants must demonstrate 5 years of railroad research activity.

**Applicant Eligibility:**

Applicants must be major academic research institutions with backgrounds in the rail transportation arena. A minimum of 5 years of railroad or railroad related research experience is required.

**Beneficiary Eligibility:**

No restrictions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The FRA will announce specific pre- application coordination activities for each project area in the Federal Register. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. As specified periodically in the Federal Register, eligible applicants must submit a Program Application that consists of a University Profile and Proposed Research Projects. The applications are subject to the requirements of OMB Circular A-1 10. Applications may be obtained from the Office of Research and Development, Mail Stop 20, 1200 New Jersey Avenue S.E., Washington, DC 20590. Telephone: (202) 493-1339. Fax: 202-493-6333. Email: [Jai.Saunders@dot.gov](mailto:Jai.Saunders@dot.gov)

**Award Procedure:**

As specified in Federal Register notices, applicants must first demonstrate satisfactory background and experience to the Office of Research and Development, Federal Railroad Administration. Second, proposed research projects are reviewed to determine those which most closely match the Administration's research objectives. Those applicants with one or more projects satisfying the second step criteria will be rank ordered based on qualifications and probability of success. From this rank ordering, the Administration established a group of selected universities as pre-qualified to perform solicited or approved research projects. Applicants within this group will be invited to enter into cooperative agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to 16 weeks after application.

**Appeals:**

To Administrator, Federal Railroad Administration.

**Renewals:**

Grants contemplated in this program are predominantly project-oriented rather than on-going efforts and are therefore non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected. SF-272. A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with requirements of the specific project agreement.

**Account Identification:**

69-0745-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,875,000; FY 09 est \$1,536,000; FY 10 est \$1,536,000

**Range and Average of Financial Assistance:**

\$50,000 to \$250,000. Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Magdy El-Sibaie 1200 New Jersey Avenue, S.E., , Washington, District of Columbia 20590 Phone: (202)493-6359

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In descending order of relative importance: (1) Overall scientific and/technical merit; (2) Degree to which it may improve upon or advance railroad safety; (3) Likelihood for its near term adoption and implementation of possible recommendations; (4) Degree to which the proposed project fits into the Administration's overall research objectives; (5) Reasonableness and realism of the proposed cost, and the availability of funds (to include due consideration for proposed cost-sharing by the applicant).

**20.314 RAILROAD DEVELOPMENT**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for: planning and developing railroad corridors (including environmental studies), purchasing rail equipment, rail line relocation and improvement projects, construction projects that improve rail lines, enhance service, and add capacity to the national rail system, capital construction, rehabilitation and improvements benefiting train operations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

- (1) The financial assistance may fund, but is not limited to, rehabilitation or construction of railroads, including planning activities and associated studies.
- (2) Specific descriptions are based on the language in the authorizing or appropriating legislation and any associated regulations.

**Applicant Eligibility:**

State governments, Regional and local governments, For-profit organizations, such as railroads.

**Beneficiary Eligibility:**

State governments Regional and local governments For-profit organizations, such as railroads.

**Credentials/Documentation:**

US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>. Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions o Certification Regarding Drug-Free Workplace Requirements o Certification Regarding Lobbying o Assurances-Non-Construction Programs, SF 424E o Certificate of Indirect Costs Assurances - Construction Programs SF-424D. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>: Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Competitive comparison o applications to determine relative satisfaction of published selection criteria might occur for some grants. following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. SF 272. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. SF 269. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must keep satisfactory records with regard to the use of the property, equipment, and supplies and submit these records to FRA upon request.

**Account Identification:**

21-0720-0-1-401; 21-8083-0-1-401; 21-0715-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 08 \$18,569,650; FY 09 est \$10,604,849; FY 10 est not reported. - FY 08 \$18,569,650; FY 09 act. Thru May 31, 2009 \$10,604,849; FY 2010 est. not available.

**Range and Average of Financial Assistance:**

Grants within these programs range from \$50,000 to over \$4,000,000. The average financial assistance varies considerably.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program has assisted the rehabilitation and construction of railroad projects and associate studies. Specific grants are provided for in legislation, usually one application is submitted for each grant. In FY 2008, there was a competition for some grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws Safe, Accountable, Flexible, Efficient

Transportation Equity Act: A Legacy for Users (Public Law 109-59).

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Alice Alexander 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6363

**Website Address:**

Http://www.fra.dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Alaska Railroad Access to Joint Tanana Training Complex; Tacoma Rail Mountain Division Track Improvements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

**20.315 NATIONAL RAILROAD PASSENGER CORPORATION GRANTS**

(Amtrak Grants)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

The Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Public Law 110-161, 49 U.S.C 24104(a).

**OBJECTIVES:**

To provide financial assistance to support the operation of and capital investment in intercity passenger rail service in the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

As specified in individual Grant Opportunity announcements, assistance may be used to fund operating expenses, capital investment activities, and/or payment of debt service obligations.

**Applicant Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

**Beneficiary Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

**Credentials/Documentation:**

The applicant must submit all documentation required under the terms of the applicable appropriations law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; Detail project descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Review of the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law. Review of project budgets and description to ensure the appropriation language requirements are met. Review of project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timing of Approval/Disapproval typically ranges from between 2-6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance is dependant on the specific appropriating and/or authorizing law governing the grant opportunity. See the following for information on how assistance is awarded/released: The award is determined by legislation.

**Reports:**

No program reports are required. Monthly financial status reports using SF 269 or 269A, Financial Status Report. Monthly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. The grantee is required to submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly financial status reports using SF 269 or 269A, Financial Status Report. Monthly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Monthly detailed reports regarding performance against project budgets and schedules, and forecasts of future performance. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Since the eligible applicant has been and will continue to be subject to audits conducted by its own independent auditors, the Department of Transportation's Inspector General, and the General Accounting Office, the FRA does not requiring the applicant to prepare an additional specific audit for the purposes of the grant agreement. However, the applicant must agree to obtain such audits as may be reasonably required by FRA and to allow the Secretary of Transportation, the FRA and their authorized representatives to conduct such audits as they deem appropriate with respect to the financial assistance provided to the Grantee under the agreement. Closeout does not alter the applicant's audit responsibilities. Audit costs for program administration and management are allowable under the agreement to the extent authorized by OMB Circular A-87, Revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private

non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0724-0-1-401; 69-0121-0-1-401; 69-0125-0-1-401.

**Obligations:**

(Salaries) FY 08 \$1,325,000,000; FY 09 est \$1,487,650,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Awards under this program range from \$10,000,000 to \$850,000,000 and depend on the amount and break down of assistance made available through specific appropriation laws.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Amtrak Grants program provides financial assistance to support operation of rail passenger service in 46 states and the District of Columbia. Financial assistance for capital investment provided through this program allows for the recapitalization and improvement of passenger rolling stock, railway infrastructure, and related business systems. The program also provides incentives to improve the cost effectiveness of intercity passenger rail operations and reduce the need for federal operating subsidies. Fiscal Year 2009: Not available, project in development. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Federal Railroad Administration 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6454

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funding provided through this program has supported Amtrak's ongoing operation of intercity passenger rail service in the U.S. Funding for capital investments has been used to support the majority of Amtrak's annual capital investment program, including projects such as fire and life safety improvements to the rail tunnels into New York Pennsylvania Station, the return of Northeast Corridor rail infrastructure to a state of good repair through the replacement or rehabilitation of Amtrak-owned infrastructure, and the acquisition, repair, and/or rebuilding of various types of passenger rolling stock. Fiscal Year 2009: Not available, project in development. Fiscal Year 2010: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects must support the stated strategic goals of the applicant organization, align with the priorities identified in authorization or appropriation statutes, and of the Secretary of Transportation, and be accompanied by detailed scope and budget documentation. Quantitative or qualitative justification of project prioritization must be provided.

**20.316 RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM**

(RRIF Loan Program)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 821, et seq.), 45 U.S.C 821.

**OBJECTIVES:**

The RRIF program provides direct loans and loan guarantees to State and local governments, interstate compacts consented to by Congress under section 410(a) of the Amtrak Reform and Accountability Act of 1997 ( 49 U.S.C. 24101 ); government sponsored authorities and corporations; railroads;

joint ventures that include at least one railroad; and solely for the purpose of constructing a rail connection between a plant or facility and a second rail carrier, limited option rail freight shippers that own or operate a plant or other facility that is served by no more than a single railroad.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

Funds provided by direct loans or loan guarantees under the RRIF Program can be used to: (1) Acquire, improve, or rehabilitate intermodal or rail freight or passenger equipment or facilities, including track, components of track, bridges, yards, buildings and shops (2) Refinance outstanding debt incurred for purposes described in the previous paragraph (3) Develop or establish new intermodal or railroad facilities. The maximum loan amount will be based on the remaining available funds under the Program's authorization. The repayment period for direct loans and loan guarantees is up to 35 years. The interest rate on direct loans will be equal to the rate on Treasury securities of a similar term.

**Applicant Eligibility:**

Eligible applicants include State and local governments, government-sponsored authorities, government-sponsored corporations, railroads, and joint ventures that include at least one railroad.

**Beneficiary Eligibility:**

The beneficiaries of the Program will be the State or local government organizations, railroad, or joint ventures that include a railroad that will receive the financial assistance to permit them to complete the specified projects.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A pre-application meeting may be held if requested by a potential applicant. Procedures for requesting such a meeting are available on the FRA website and at 49 CFR 260.19. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete and submit application form available on the FRA website.

**Award Procedure:**

FRA will evaluate application and advise applicant of approval or disapproval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Application will be approved or disapproved within 90 days after a complete application is deemed to have been submitted.

**Appeals:**

There is no appeal process.

**Renewals:**

Disapproved applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As a part of the application package, the borrower provides a projected timetable for the completion of the project. The funding will be made available as progress payments to pay directly or reimburse the Borrower for prior payment of allowable costs incurred in connection with the project. Method of

awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Yearly audited and certified profit and loss statement, balance sheet and statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits of project expenditures will be conducted upon completion.

**Records:**

None.

**Account Identification:**

69-4420-0-3-401.

**Obligations:**

(Direct Loans) FY 08 \$0; FY 09 est \$600,000,000; FY 10 est \$600,000,000

**Range and Average of Financial Assistance:**

Range: Fiscal 2007-\$48.0 million to \$59.0 million

Average: Fiscal 2007-\$53.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 2002 the program has approved almost \$800 million in direct loans. In FY 2008 the RRIF program did not make any loans. In the current fiscal year, the RRIF program has made \$38.6 million in direct loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Railroad Rehabilitation and Improvement Financing Program, 49 CFR 260.

**Regional or Local Office:**

See Regional Agency Offices. Not applicable.

**Headquarters Office:**

Mark Yachmetz 1200 New Jersey Avenue, S.E.,  
, Washington , District of Columbia 20590 Phone: (202) 493-6381

**Website Address:**

<http://www.fra.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Initially the criteria are based on the relevance to the programs' objectives and uses. The program provides direct loans and loan guarantees to State and local governments, government-sponsored authorities and corporations, railroads, and joint ventures that include at least one railroad. Eligible projects include: (1) refinancing outstanding debt that was incurred for eligible purposes, (2) developing or establishing new intermodal or railroad facilities, or (3) acquisition, improvement or rehabilitation of intermodal or rail equipment or facilities (including tracks, components of tracks, bridges, yards, buildings and shops.

**20.317 CAPITAL ASSISTANCE TO STATES - INTERCITY PASSENGER RAIL SERVICE**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Public Law 110-161, as amended by Department of Transportation Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

To provide financial assistance to fund capital improvements (and related planning activities) necessary to support improved or new intercity passenger rail service.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The financial assistance may fund capital improvements and directly-related planning activities necessary to achieve tangible improvements to, or institute new, intercity passenger rail service. Examples of capital improvements include (but are not strictly limited to) the purchase of passenger rolling stock, the improvement of existing track to allow for higher maximum speeds, the addition or lengthening of passing tracks to increase capacity, the improvement of interlockings to increase capacity and reliability, and the improvement of signaling systems to increase capacity and maximum speeds, and improve safety. With respect to planning activities, eligible planning projects 1) Lead to the completion of a Service Development Plan; 2) Identify and compare the costs, benefits, and impacts of a range of transportation alternatives, including HSR and/or IPR; 3) Support the preparation of environmental documents; and 4) Consist of operational analyses and simulations, and projections of future service requirements. Proposed projects must be specifically included in the applicant States Statewide Transportation Improvement Plan at the time of application.

**Applicant Eligibility:**

State departments of transportation (including that of the District of Columbia). Applicant States must include intercity passenger rail service as an integral part of statewide transportation planning as required under section 135 of Title 23, United States Code.

**Beneficiary Eligibility:**

The general public, both users and non-users of intercity passenger rail service. State departments of transportation and other public agencies, although private transportation companies may participate through contractual arrangements with a State department of transportation.

**Credentials/Documentation:**

Department of Transportation, Federal Railroad Administration (FRA) Assurances and Certification forms including: (1) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; (2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; (3) Certification Regarding Drug-Free Workplace Requirements; (4) Certification Regarding Lobbying; (5) Assurances Non- Construction Programs SF 424B; and (6) Certificate of Indirect Costs Assurances. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prospective applicants may contact FRA prior to submission of applications to inquire about applicant eligibility, the competitive prospects of their proposed project, the National Environmental Policy Act and related legal requirements, and other requirements. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Competitive comparison of applications to determine relative satisfaction of published selection criteria might occur for some grants. Following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of Approval/Disapproval generally occurs within 8 months of application.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Formula and matching Requirements: These programs have no statutory formula. Some grantees will be required to provide a match from non-program funds toward the grant budget. This program has MOE requirements; see funding agency for further details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is awarded upon request for reimbursement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The grantee shall submit the following reports: (1) Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; (2) Quarterly financial status reports using SF 269 or 269A, Financial Status Report; (3) Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; (4) Final report giving details of the results and benefits of the Grantee's improvement efforts. SF 272. The grantee shall submit the following reports: (1) Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; (2) Quarterly financial status reports using SF 269 or 269A, Financial Status Report; (3) Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; (4) Final report giving details of the results and benefits of the Grantee's improvement efforts. SF269. The grantee shall submit the following reports: (1) Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; (2) Quarterly financial status reports using SF 269 or 269A, Financial Status Report; (3) Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; (4) Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse,

not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 18 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

27-0716-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$9,540,500; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Awards for FY-08 funding range from \$62,500 to \$6,000,000. the average award was \$2.1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY-2008 22 proposals were evaluated and 15 awards were announced. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program is provided by The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws, the FRA publication entitled, Railroad Corridor Transportation Plans: A Guidance Manual (available at [http://www.fra.dot.gov/Downloads/RRdev/corridor\\_planning.pdf](http://www.fra.dot.gov/Downloads/RRdev/corridor_planning.pdf)), and Federal Register notices announcing the availability of funding pursuant to this program.

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Christodoulou, Gina 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202)493-6139

**Website Address:**

<http://www.fra.dot.gov> .

**RELATED PROGRAMS:**

20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: FRA awarded funding for projects including planning and construction. Planning projects included environmental documents for new rail services from Minneapolis to Duluth, MN, for example. Construction projects included replacing rail in Wisconsin and adding passing sidings in Missouri. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All selection criteria will be specified in Federal Register notices announcing the availability of funding pursuant to this program, and shall include, but shall not be limited to, prioritizing criteria defined in relevant law, and criteria intended to ensure the timely completion of funding projects and the full realization of the benefits the projects are intended to generate.

**20.318 MAGLEV PROJECT SELECTION PROGRAM - SAFETEA-LU**  
(Maglev Selection Program )

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) , Public Law 109-59, as amended by SAFETEA-LU Technical Corrections Act , Public Law 110-244.

**OBJECTIVES:**

To provide financial assistance for a demonstration magnetic levitation transportation project.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station. Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station.

**Applicant Eligibility:**

State governments with existing maglev projects located east of the Mississippi River.

**Beneficiary Eligibility:**

State governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement-of-work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance, or projected compliance, with the National Environmental Policy Act and related laws/orders. Applications will be competitively compared to determine relative satisfaction of published selection criteria. Following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**



Refer to announcement for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance is up to 60 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Quarterly financial status reports using SF 269 or 269A, Financial Status Report; Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report; and final report giving details of the results and benefits of the Grantee's improvement efforts. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

69-8083-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

TBA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Building on work completed as a result of the funding from the Maglev Deployment Program (as well as other miscellaneous sources of funding), this program will advance the goal of constructing a demonstration maglev project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The National Environmental Policy Act of 1969 as amended (42 U.S.C. Section 4321 et seq.), and related laws; Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); SAFETEA-LU Technical Corrections Act (Public Law 110-244); OMB Circular No. A-87 for State and local governments; OMB Circular No. A-102 grants and cooperative agreements with State and local governments; A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wendy Messenger 1200 New Jersey Avenue  
, S.E. Washington. D.C., District of Columbia 20590 Email:  
wendy.messenger@dot.gov Phone: 202-493-6396 Fax: 202-493-6330

**Website Address:**

http://www.fra.dot.gov.

**RELATED PROGRAMS:**

20.314 Railroad Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funding provided through the Maglev Development Program advanced two existing maglev projects that will be eligible for the current funding:(1) the pittsburg projec; and (2) the Baltimore-Washington project. For both of these projects, preliminary engineering and preliminary environmental work has been completed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.319 HIGH-SPEED RAIL CORRIDORS AND INTERCITY PASSENGER RAIL SERVICE CAPITAL ASSISTANCE GRANTS**

HSR/IPR Program

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA) , Public Law 111-5, as amended by Passenger Rail Investment and Improvement Act of 2008 (PRIIA) , Public Law 110-432.

**OBJECTIVES:**

To assist in financing the capital costs of facilities, infrastructure, and equipment necessary to provide or improve high-speed rail and intercity passenger rail service. Funds are made available pursuant to three authorized programs: Intercity Passenger Rail Service Corridor Capital Assistance, Congestion Grants; and High-Speed Rail Corridor Development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used by eligible applicants for acquiring, constructing, improving, or inspecting equipment, track and track structures, or a facility for use in or for the primary benefit of high-speed rail and intercity passenger rail service, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, environmental studies, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, highway-rail grade crossing improvements related to intercity passenger rail service, mitigating environmental impacts, communication and signalization improvements, relocation assistance, acquiring replacement housing sites, and rehabilitating replacement housing; and rehabilitating, remanufacturing or overhauling rail rolling stock and facilities used primarily in intercity passenger rail service. Funds may not be used to funding operating expenses, or for commuter rail passenger transportation.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Documentation demonstrating applicant eligibility (for applicants other than States); National Environmental Policy Act documentation for construction projects and service development programs; program-specific Assurances and Certifications; planning and engineering documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit standard application forms for Federal Financial assistance, along with program-specific narrative and project data forms and supporting documentation. Full application procedures are specified in the Notice of Funding Availability.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review application materials for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Assess and rate applications against published evaluation and selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funding appropriated under ARRA must be awarded to grantees by September 30, 2012, and must be expended by September 30, 2017. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. The grantee is required to submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; and project status reports for each project being funded under the grant. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

The grantee is required to submit the following reports: Monthly progress

reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant; and project status reports for each project being funded under the grant.

**Account Identification:**

69-0718-0-1-401.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$400,000,000; FY 10 est \$6,200,000,000

**Range and Average of Financial Assistance:**

New Program, no financial assistance yet awarded.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim program guidance is provided within Notices of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter Schwartz 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6360 Fax: (202) 493-6330

**Website Address:**

<http://www.fra.dot.gov>

**RELATED PROGRAMS:**

20.317 Capital Assistance to States - Intercity Passenger Rail Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be individually evaluated against the following criteria: 1) application completeness and quality; 2) achieving transportation solutions and public benefits in a cost effective manner; 3) promoting economic recovery in a cost effective manner; 4) management and minimization of project delivery risk; 5) management and minimizing of operational benefits risk; and 6) timeliness of project commencement and completion.

Selection of applications for award will also take into account the following selection criteria: 1) regional balance necessary to create a nationwide high-speed rail and intercity passenger rail network and address urban and non-urban mobility needs; 2) the relative cost effective on projects to one another; and 3) balance and diversity of cost effective technological approaches to improving IPR service.

**20.320 RAIL LINE RELOCATION AND IMPROVEMENT**

Rail Line Relocation

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for rail line relocation and improvement projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The financial assistance may fund, but is not limited to, rehabilitation, relocation or construction of railroads, including planning activities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

US Department of Transportation, Federal Railroad Administration, Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions o Certification Regarding Drug-Free Workplace Requirements o Certification Regarding Lobbying o Assurances-Non-Construction Programs, SF 424E o Certificate of Indirect Costs Assurances - Construction Programs SF-424D. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>: Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.%. This program has no statutory formula. All grantees will be required to provide at least a 10% match from non-program funds toward the grant budget.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. Method of awarding/releasing assistance: lump sum.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report.. Quarterly Federal Cash Transactions reports using SF 272, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Cash Transactions reports using SF 272. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 269 or 269A, Financial Status Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

The grantee must keep satisfactory records with regard to the use of the property, equipment, and supplies and submit these records to FRA upon request.

**Account Identification:**

69-0716-0-1-401.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$0; FY 09 est \$27,458,000; FY 10 est \$17,190,200

**Range and Average of Financial Assistance:**

Non applicable at this time as there is not enough historic information as yet to generate this range and average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59).

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Jon Winkle, 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202)493-6067 Fax: (202) 493-6330

**Website Address:**

<http://www.fra.dot.gov/us/content/2008>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For the grants competed, the selection criteria will be specified in the final

regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects. For the earmarks, the work and cost estimates are reasonable and are within the scope of the program regulations and the appropriation language.

## **20.500 FEDERAL TRANSIT\_CAPITAL INVESTMENT GRANTS**

(Fixed Guideway Modernization Bus and Bus Facility New Starts)

### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

### **AUTHORIZATION:**

FEDERAL TRANSIT\_CAPITAL INVESTMENT GRANTS and American Recovery and Reinvestment Act, 49 U.S.C 5309.

### **OBJECTIVES:**

To assist in financing the acquisition, construction, reconstruction, and improvement of facilities, rolling stock and equipment for use in public transportation service. Funds are currently made available in three categories: Fixed Guideway Modernization formula program; Bus and Bus Facilities discretionary program; and New Starts discretionary program (new fixed guideway systems and extensions of existing systems).

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in financing: capital projects for new fixed guideway systems, and extensions to existing fixed guideway systems, including the acquisition of real property, the initial acquisition of rolling stock for the systems, and the acquisition of rights of way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; capital projects, the acquisition, construction, reconstruction and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, including property and improvements needed for an efficient and coordinated mass transportation system, including buses and bus facility equipment; the capital costs of coordinating transit with other transportation; and the introduction of new technology, through innovative and improved transportation; and the introduction of new technology, through innovative and improved products. Consideration may also be given for projects which enhance urban economic development; establish new or enhanced coordination between transit and other transportation; or enhance the effectiveness of a transit project and are related physically or functionally to that transit project. It could also include financing for transit projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities; for the development of corridors to support fixed guideway systems, including protecting rights of way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park-and-ride lots, and other nonvehicular capital improvements that the Secretary may decide would result in increased transit usage in the corridor.

### **Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project, including safety and security aspects, and maintain facilities and equipment purchased with Federal assistance. Fixed Guideway formula funds are apportioned by formula to urbanized areas over 200,000 population with fixed guideway segments at least one mile long that are over seven years old. Bus and New Starts programs are allocated entirely to projects designated by Congress. Private non-profit organizations are not eligible direct recipients.

### **Beneficiary Eligibility:**

The general public, both users and non-users of public transportation. Public agencies, although private transportation companies may participate through contractual arrangements with public agency grantee.

### **Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement

program (TIP), in the State transportation improvement program (STIP) and approved by FTA and FHWA; information must be provided on labor and relocation; environmental impact statement; legal opinion; coordinated regional planning documentation; maintenance certification; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. Federal Register Notice FTA Fiscal Year Apportionments, Allocations, and Program Information, published annually contains the capital investment apportionments. For fiscal year 2009, the Federal Register notice with the full year's apportionment will be published in late March 2009. For other fiscal years, contact the FTA Regional Office to obtain the publication dates or the FTA website: [www.fta.dot.gov/](http://www.fta.dot.gov/). OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

An environmental impact statement may also be required upon completion of review of the assessment. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18 and FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998. Applications are made to the regional offices of the Federal Transit Administration listed in Appendix IV of the Catalog.

### **Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. In FY 2005, FTA obligated Section 5309 Capital Grants in an average of 40 days after submission of a complete application.

### **Appeals:**

Not Applicable.

### **Renewals:**

Funding is made available annually through the appropriation process. Grants may be amended to add newly available funds for a continuing project.

### **Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds for fixed guideway modernization are apportioned by statutory formula to eleven legislatively specified areas and to other areas that have fixed guideway mileage over 7 years old. Funds for bus and bus related improvements and New Starts are allocated on a discretionary basis and can be allocated on a statutory basis. A grant may be made up to 80 percent of net project cost. Vehicle related equipment required to comply with ADA or Clean Air Act may be funded at 90 percent Federal share. ARRA Fixed Guideway funds can have a federal share up to 100 percent. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. See the following for information on how assistance is awarded/released: The grants may be awarded in one lump sum or in smaller increments as specified by the grantee.

**Reports:**

(1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1133-0-1-401; 69-8350-0-7-401; 69-1102-0-1-401; 69-8350-0-7-401; 69-1134-0-1-401.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$556,875,000; FY 10 est \$185,625,000 - Recovery Act New Starts/Small Starts FY08 not applicable; FY09 est. \$556,875,000; FY 10 est. \$185,625,000; and Fixed Guideway Modernization Grants FY 08 not applicable; FY09 est. \$556,875,000; FY 10 est. \$185,625,000. (Salaries) FY 08 \$1,219,839,983; FY 09 est \$1,080,890,000; FY 10 est not reported. - Bus and Bus Facility Grants FY 08 act. \$1,219,839,983; FY 09 est. \$1,080,890,000; and FY 10 est. not available. (Salaries) FY 08 \$1,572,118,525; FY 09 est \$1,603,186,000; FY 10 est not reported. - Fixed Guideway Modernization Grants FY 08 act. \$1,572,118,525, FY 09 est. \$1,603,186,000, and FY 10 est. not available. (Salaries) FY 08 \$1,639,257,719; FY 09 est \$1,702,089,625; FY 10 est \$2,167,971,500 - New Starts/Small Starts Grants FY 08 act. \$1,639,257,719, FY 09 est. \$1,702,089,625, FY10 est. \$2,167,971,500.

**Range and Average of Financial Assistance:**

Fixed Guideway Modernization - in FY 2008 apportionments ranged from \$41,964 to \$439,275,949. Bus and Bus Facility - in FY 2008 earmarks ranged from \$8,694 to \$12,750,000. New Starts - in FY 2008 earmarks ranged from \$245,000 to \$210,700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, \$4.4 billion had been obligated under the capital grant charge from the FTA Regional Offices. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the FTA Regional Offices. See FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV: Agency Regional and Local Office Addresses of the Catalog for a listing of the Federal Transit regional offices.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Avenue, S.E., , Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Bus and Bus Facilities: Flint, Michigan, Mass Transportation Authority Rehabilitation/Construction of the downtown Flint Transfer Center New Starts: Portland, Oregon, Tri-County Metropolitan Transportation District Design and construct a 14.7 mile commuter rail line Fixed Guideway Modernization: Ventura County, California, Ventura County Transportation Commission Rehabilitation of rail tracks. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. Major, non-recurring capital investments. 2. Congressional designation (Bus and New Starts) 3. Formula allocation (Fixed Guideway Modernization) 4. New Starts projects are subject to extensive rating and evaluation process and must have FTA approval before entering into the Preliminary Engineering and Final Design Phases.

**20.505 FEDERAL TRANSIT\_METROPOLITAN PLANNING GRANTS**  
(Metropolitan Planning)**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) and American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 109-59, 49 U.S.C 5303.

**OBJECTIVES:**

To assist in development of transportation improvement programs, long-range transportation plans, and other technical studies in metropolitan areas.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Activities assisted under this section may include preparation of transportation plans including transportation improvement programs and management systems; studies related to transportation management, operations, capital requirements, and economic feasibility; evaluation of previously funded capital projects; and other related activities in preparation for the construction, acquisition, or improved operation of transportation systems, facilities, and equipment.

**Applicant Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organization to be used in urbanized areas within each State.

**Beneficiary Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations to be used in urbanized areas within each State.

**Credentials/Documentation:**

The Federal Register dated December 18, 2008(FTA Fiscal Year 2009Apportionments, Allocations and Program Information; Notice), provides in Table 2the State apportionments. For other fiscal years, contact the FTA Regional Office or access [http://www.fta.dot.gov/funding/grants\\_financing\\_38.html](http://www.fta.dot.gov/funding/grants_financing_38.html). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Following each decennial Census, each State must submit to FTA for approval a formula, developed in cooperation with affected MPOs, for the distribution of a State's Section 5303 apportionment to MPOs in each urbanized area. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for a grant should be addressed to the appropriate Regional Office of the Federal Transit Administration. FTA Circular 8100.1C dated September 1, 2008, Program Guidance and Application Instructions for Metropolitan Planning and State Planning and Research Program Grants, provides detailed application information. Available on the Internet at: [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8454](http://www.fta.dot.gov/laws/circulars/leg_reg_8454). States may apply through a paperless electronic grant application, review, approval, acceptance, and management process. This program is excluded from coverage under 49 CFR Part 19.

**Award Procedure:**

FTA will approve and release the grant by the end of the quarterly cycle or earlier provided the application is complete.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant applications are due in the appropriate FTA Regional Office no later than the first business day of the quarter.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

Statutory Formula:  
Matching Requirements: The new budget authority for Fiscal Year 2008 Section 5303 appropriation to States for Metropolitan Planning Organizations totals \$88,510,400. A basic allocation of 80 percent of the amount available annually is distributed to the States based on urbanized area population for State distribution. A supplemental allocation of the remaining 20 percent is also provided to the states based on an FTA administrative formula to address planning needs in the larger urbanized areas. A January 28, 2008 Federal Register Notice, FTA Fiscal Year 2008 Apportionments and Allocations, provides a table (Table 2) which contains the final combined State apportionments. The funding ratio for these grants is 80 percent Federal, 20 percent local match of net project costs. In addition, under provisions enacted in SAFETEA-LU, current year funds can be transferred from the Federal Highway Administration to form Consolidated Planning Grants. FTA funds can also be transferred to FHWA to form consolidated Planning Grants. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Project sponsor is required to retain intact, for 3 years following submission of the final Financial Status Report pending resolution of audit findings, all project

contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1137-0-1-401.

**Obligations:**

(Salaries) FY 08 \$118,648,449; FY 09 est \$103,323,600; FY 10 est not reported. - (Grants) FY08 118,648,449; FY 09 est. 103,323,600; and FY 10 est. not available.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
\$20,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing urban transportation system are also emphasized. Capital transportation improvement programs are produced annually/biennially as well as metropolitan transportation plans. The program of ready-to-go transit projects was doubled in 2009 to speed up the implementation of projects under the American Recovery and Reinvestment Act of 2009 (ARRA). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Fiscal Year 2008 Apportionments, Allocations, and Program Information; Notice and Fiscal Year 2008 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice, published annually. For fiscal year 2008, the publication date was January 28, 2008. For other fiscal years, contact the FTA Regional Office to obtain the publication date for other fiscal years. FTA website: [www.fta.dot.gov/funding/grants\\_financing\\_93.html](http://www.fta.dot.gov/funding/grants_financing_93.html).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices and DOT Metropolitan Offices.

**Headquarters Office:**

Sylvia L. Marion, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Phone: (202) 366-6680.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Metropolitan Council of Twin Cities area received planning funds from the State of Minnesota to support the transportation planning process in the Minneapolis-St. Paul urbanized area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding is allocated to the States for pass through to various Metropolitan Planning Organizations within their jurisdictions.

**20.507 FEDERAL TRANSIT\_FORMULA GRANTS**

(Urbanized Area Formula Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act, Public Law 111-5, 49 U.S.C 5307.

**OBJECTIVES:**

To support public transportation services in urbanized areas (cities over 50,000 population).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for capital projects to finance the planning, acquisition, construction, cost-effective lease, improvement, and maintenance of equipment and facilities for use in transit. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs. Recipients of these grants are required to make information available to the public and to publish a program of projects to afford affected citizens opportunities through public hearings to submit comments on the proposed program and the performance of the recipient. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs.

**Applicant Eligibility:**

Funds will be made available to urbanized areas (as defined by the U.S. Census Bureau) through designated recipients, which must be public entities and have the legal capacity to receive and dispense Federal funds. The Governor, responsible local officials, and publicly owned operators of mass transportation services must jointly select the designated recipient(s) for an urbanized area with a population of 200,000 or more. The Governor or his designee is the designated recipient for an urbanized area with a population of 50,000 to 199,999. Recipients must submit a program of projects to FTA; submit a program application to FTA; enter into formal agreements with FTA; and certify that public notification has been conducted.

**Beneficiary Eligibility:**

The general public, both users and non-users, and publicly owned operators of public transportation services.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Eligible costs must be in accordance with OMB Circular No. A-87 for State and local governments. A notice is published annually in the Federal Register on FTA's fiscal year apportionments and allocations. The notice contains list of the amount apportioned to each urbanized area. The final apportionment amounts for fiscal year 2008 were published in the January 28, 2008 notice. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional Office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment may be required. In addition, an environmental impact statement may also be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18. Applications are to be submitted in the Transportation Electronic Award Management system. (TEAM-Web), which is the FTA electronic grant-making and record keeping system.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. In FY 07, FTA obligated Urbanized Area formula grants in 26 days (on average) after submission of a complete application.

**Appeals:**

Opportunity for public hearing for interested persons.

**Renewals:**

Funds are apportioned annually to each urbanized area. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 USC, Part 5336, Public Law 111-5.

Matching Requirements: Percent: 10.%. funding made available to an urbanized under the Growing States and High Density States formula factors (49 USC 5340) are combined with funds apportioned to an area under the Urbanized Area Formula program. The program operates under the statutory formula prescribed in 49 USC 5336. The Federal share is not to exceed 80 percent of the net project cost. The Federal share may be 90 percent for the cost of vehicle-related equipment attributable to compliance with the American with Disabilities Act and the Clear Air Act. The Federal share may also be 90 percent for projects or portions of projects related to bicycles facilities. The Federal share may not exceed 50 percent of the net cost for operating assistance.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds apportioned under the Urbanized Area Formula program are available for obligation by the Governor, designated recipient, or authorized grant recipient for a period of 3 years following the close of the fiscal year for which such funds are apportioned. Any amounts remaining unobligated at the end of this period are distributed among all urbanized areas. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. SF -272. (1) Progress reports. (2) Financial status reports, which must be submitted quarterly for recipients in urbanized areas over 200,000 population; annually for other recipients and states. (3) Construction reports where applicable. (4) Annual report to the National Transit Database (NTD). SF-425 or 269. See audit requirements. Grantees receiving 500,000 or more have an audit requirement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-8303-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Salaries) FY 08 \$550,000,000; FY 09 est \$11,000,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Varies according to local programming of available formula funds and the level of operating expenses incurred.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Federal funds have supported the replacement and rehabilitation of the existing rail fleet and restoration of rail facilities such as stations, track, and yards and shops; helped to increase the percentage of bus and rail maintenance facilities in good or better condition; and contributed

significantly to the continuing effort to make the national fixed-route bus system 100 percent lift-or-ramp equipped. In fiscal year 2008 \$5.5 billion was awarded in grants. Fiscal Year 2009: Not available currently under review. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula Grant Application Instructions may be accessed on the FTA website or secured at no charge from the FTA Regional Offices - FTA Circular 9030.1C, "Urbanized Area Formula Program: Grant Application Instructions," October 1, 1998.

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

#### **Headquarters Office:**

Office of Transit Programs 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-2053

#### **Website Address:**

<http://www.fta.dot.gov/>.

#### **RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.509 Formula Grants for Other Than Urbanized Areas

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants were awarded to: (1) Kansas City Area Transportation Authority for engineering, design and construction of the Kansas City Union Station Intermodal Facility; (2) Flint, MI Mass Transportation Authority for expansion of existing bus garage and renovation of operations/maintenance facility; (3) Golden Gate Bridge, Highway and Transportation District for 48 replacement buses, one expansion ferry vessel, and operating assistance; (4) Southwest Ohio Regional Transit Authority for Park and Ride lots and right-of-way acquisition; and (5) Southeastern Pennsylvania Transportation for Rail Transit Way Lines, rail station stops/terminals and rail support equipment and facilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Projects must be eligible public transportation projects and meet all formula grant requirements.

### **20.509 FORMULA GRANTS FOR OTHER THAN URBANIZED AREAS**

(Nonurbanized Area Formula Program)

#### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act 2009, 49 U.S.C 5311.

#### **OBJECTIVES:**

To improve, initiate, or continue public transportation service in nonurbanized areas (rural and small areas under 50,000 population) and to provide technical assistance for rural transportation providers.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Section 5311 funds may be used for eligible capital expenses, project administration, and operating expenses needed to provide efficient and coordinated public transportation service in nonurbanized areas. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects

must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services.

#### **Applicant Eligibility:**

Only designated State agencies and Indian Tribes may apply directly to FTA for grants. Eligible sub-recipients may include State agencies, local public bodies and agencies thereof, nonprofit organizations, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas. Private for-profit operators of transit or paratransit services may participate in the program only through contracts with eligible recipients. Private intercity bus operators may participate as subrecipients or through contracts. Urbanized areas, as defined by the Bureau of the Census, are not eligible.

#### **Beneficiary Eligibility:**

The general public, both users and nonusers, and private and public providers of public transportation in nonurbanized areas.

#### **Credentials/Documentation:**

The State agency must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. The state and subrecipients must agree to the standard labor protection warranty for the program. Environmental assessments may be required. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible coast must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9040.1F issued April 4, 2007. FTA annually issues a Federal Register Notice of apportionments, allocations and program information. For fiscal year 07, the publication date was March 23, 2007. Prior year notices can be found on the FTA website at [www.fta.dot.gov](http://www.fta.dot.gov) or by contacting the appropriate FTA regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible sub-recipients should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate and select eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR, Part 18, apply to the state and governmental bodies, and 49 CFR Part 19 applies to the private non-profit organizations.

#### **Award Procedure:**

The Federal Transit Administration approves the State's program of projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the state must execute the grant agreement. The state implements grant agreements or other instructions with the subrecipients.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. As prescribed by the State agency designated to administer the Section 5311 program. FTA approves grants on a quarterly release cycle.

#### **Appeals:**



Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

Subrecipients typically receive funding through the designated State agency.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 18.

Matching Requirements: Program funds are apportioned annually to the states according to a statutory formula based on 20 percent of the funds are allocated by the ratio of nonurbanized land area of each State to the nonurbanized land area of all of the States with no State receiving more than five percent of these funds. Eighty percent are allocated by the ration of nonurbanized population of each State to the nonurbanized population of all of the states. In addition to the funds made available to States under section 5311, approximately 16 percent of the funds authorized for the new section 5340 Growing States and High Density States formula factors will be apportioned to States for use in nonurbanized areas. Rural Transit Assistance Program (RTAP) is funded as a two percent takedown from the amount authorized and appropriated for Section 5311 and can be used for technical assistance, training. Research and related support activities. From the amounts made available for RTAP, up to 15 percent may be used by the Secretary to carry-out projects of national scope with the remaining balance to the states. Funds are allocated annually based on an administrative formula that provides a base amount to each state and allocates the balance according to the nonurbanized area population. The maximum Federal share eligible capital and project administration costs is 80 percent, except for three categories of projects that can be funded at 90 percent share: projects designed specifically to increase the accessibility of public transportation to bicycles and vehicle related equipment required to comply with the ADA or the Clean Air Act. The maximum FTA share for operating assistance is 50 percent of the net operating deficit. Other Federal funds may be used for half of the local match requirement. Income from purchase of service contracts with human service agencies may be used for the entire local share for operating assistance. There is no matching requirement for RTAP or for state administration.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are apportioned annually to the States. Sums apportioned are available for obligation by the State designated agency for a period of 2 years following the close of the fiscal year for which sums are apportioned, and amounts remaining unobligated at the end of such period shall be apportioned among the States for the succeeding fiscal year. States usually fund local recipients on an annual cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. SF-272. Progress reports are submitted annually. States may require additional reports from recipients. Financial Status Reports are submitted annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Salaries) FY 08 \$452,410,960; FY 09 est \$601,781,050; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 1979 assistance has been provided to over 1,300 providers of rural and small urban transportation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9040.1, Nonurbanized Area Formula Program Guidance and Grant Application instructions.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address of Federal Transit Administration Regional Offices. State Designated Agency: The Governor in each State has designated a State agency to administer the Section 5311 program. This should be the first contact point. Regional Offices: A person from each Federal Transit Administration Regional Office is available to answer questions about Federal regulations related to the Nonurbanized Formula Program.

**Headquarters Office:**

Office of Program Management, Office of Capital and Formula Assistance  
1200 New Jersey Avenue, SE., Washington, District of Columbia 20590 Phone:  
(202) 366-0893

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.516 Job Access\_Reverse Commute; 20.521 New Freedom Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A typical local recipient of Section 5311 operates a fleet of about six vans or small buses in demand responsive and fixed route service. Section 5311 provides replacement vehicles and covers about a quarter of the average \$316,000 annual operating budget. The State receives Federal funds for a statewide program of projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency in its procedures or State management plan.

**20.513 CAPITAL ASSISTANCE PROGRAM FOR ELDERLY PERSONS AND PERSONS WITH DISABILITIES**

(Elderly and Persons with Disabilities Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users , Public Law 109-59, 49 U.S.C 5310.

**OBJECTIVES:**

To provide financial assistance in meeting the transportation needs of elderly persons and persons with disabilities where public transportation services are unavailable, insufficient or inappropriate. The Section 5310 program is designed to supplement FTA's other capital assistance programs by funding transportation projects for elderly persons and persons with disabilities in all areas - urbanized, small urban, and rural.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 5310 funding may be used for eligible capital expenses needed to provide efficient and coordinated specialized transportation service for elderly persons and persons with disabilities. Projects must provide for the maximum feasible coordination of transportation services assisted under this section with transportation assisted by other Federal sources and must provide for the maximum feasible participation of private-for-profit operators.

**Applicant Eligibility:**

Only designated states may apply for FTA grants. Eligible sub-recipients include private nonprofit organizations, public bodies approved by the State to coordinate services for elderly persons and persons with disabilities and public bodies which certify to the governor that no nonprofit corporations or associations are readily available in an area to provide the service.

**Beneficiary Eligibility:**

Elderly persons and persons with disabilities.

**Credentials/Documentation:**

The State must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible costs must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9070.1E. FTA annually issues a Federal Register Notice of apportionments, allocations, and program information. For fiscal year 06, the publication date was November 30, 2005. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Local agencies should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate, select and approve eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR Part 18 apply to the State and governmental bodies and 49 CFR Part 19 applies to private nonprofit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's Program of Projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the State must execute the grant agreement. The State implements grant agreements or other instruments with the subrecipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Each state has its own cycle for subrecipients. In FY 05, FTA obligated Section 5310 formula grants to the States in an average of 4 days after submission of a complete application.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

As determined by the designated State agency.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds for this program are allocated among the States by a formula which is based on the population of elderly persons and persons with disabilities in each State according to the latest U.S. Census population figures. Grants may be made for 80 percent of the eligible project costs. SAFETEA-LU allows states eligible for the sliding scale match under FHWA programs to use that match ratio for section 5310 capital projects. Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Highway Program established by section 204 of Title 23 U.S.C.) may be used as match for capital funds provided under section 5310.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Section 5310 program funds are available to the States for three years, which includes the fiscal year in which they were allocated plus two additional years. Unobligated Section 5310 funds may be transferred to the Section 5311 or Section 5307 programs within the last 90 days of the fiscal year. Any funds not obligated or transferred by the end of the period of availability will be redistributed to all the States by formula in the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 272. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 269. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final financial report, all contract documents, financial records, and supporting documents with the following qualification: If any litigation, claim or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Salaries) FY 08 \$153,933,234; FY 09 est \$143,490,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
Statewide: For FY 2006, \$62,456 - \$11,687,113.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This special program of assistance was begun in fiscal year 1975, when \$20 million was distributed to more than 1,000 private nonprofit organizations to purchase vehicles to transport the elderly and persons with disabilities. Today, nearly 4,000 local subrecipients receive funding, and continuation of this program has enabled thousands of elderly persons and persons with disabilities to achieve greater mobility and independence. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9070.1E, The Elderly and Persons with Disabilities Program Guidance and Application Instructions, dated October 1, 1998.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address of Federal Transit Administration's Regional Offices. State- Designated Agency: The Governor in each State has designated a State agency to administer the Section 5310 program.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey AVE SE., Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A typical project provided \$1 million to a State that used the funds to purchase 35 accessible vehicles for 30 local subrecipients throughout the State. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency.

**20.514 PUBLIC TRANSPORTATION RESEARCH**

(National Research Programs)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, Public Law 109-59, 49 U.S.C 5314(a).

**OBJECTIVES:**

The Federal Transit Administration's research program seeks to deliver solutions that improve public transportation. Its primary goals are to increase transit ridership, improve safety and emergency preparedness, improve capital operating efficiencies, protect the environment and promote energy independence, and provide transit research leadership. To accomplish this, FTA funds research on mobility management, transit operational efficiency, safety and emergency preparedness, transit capacity building, energy independence and environmental protection, infrastructure and equipment protection and innovation, and strategic research program planning.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

This program includes several types of projects, including research, development, demonstration and training projects (49 U.S.C., Section 5312), and human resource programs (49 U.S.C., Section 5322).

**Applicant Eligibility:**

Grants and cooperative agreements: Public bodies, nonprofit institutions, State and local agencies, universities, and legally constituted public agencies and operators of public transportation services, and private for-profit organizations.

**Beneficiary Eligibility:**

State and local governments, transit agencies, private organizations, profit organizations, nonprofit organizations, and universities.

**Credentials/Documentation:**

Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, A-122 for private nonprofit organizations, and the Federal Acquisition Regulations for private for profit organizations. Contracts are awarded in response to specific requests for proposal. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Although applications for research, development and demonstration projects may be submitted at any time, potential applicants are encouraged to communicate with FTA before submitting formal applications. The initial contact may be by telephone, by submitting a written outline, or by personally meeting with appropriate FTA Headquarters staff. This preliminary contact will serve to: (1) establish a base for communication between FTA and the applicants; (2) determine the applicant's eligibility; (3) eliminate any proposal which have little or no chance for Federal funding before applicants incur expenditures involved in proposal preparation; and (4) determine funding available and conformance to FTA policy and program objectives. The standard application forms as furnished by the Federal agency and required by 49 CFR Part 18 or 49 CFR Part 19 must be used for this program. Environmental impact

information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential applicants should follow instructions found in FTA Circular 6100.1C, "Transit Research and Technology Programs: Application and Program Management Guidelines." This Circular may be found at the FTA web site at [www.fta.dot.gov](http://www.fta.dot.gov). This program is subject to the provisions of 49 CFR Part 18 for State and local governments and 49 CFR Part 19 for universities and private nonprofit organizations.

**Award Procedure:**

The Administrator, Federal Transit Administration, makes the final decision to approve a project. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred. SF - 272. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred. SF - 269. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Grant recipients shall retain records for 3 years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1137-0-1-401.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$44,762,900; FY 09 est \$40,400,000; FY 10 est not reported. - Transit Planning and Research Grants and Contracts) FY 07

est \$34,414,761; FY 08 est \$39,990,000; and FY 09 est not available.

**Range and Average of Financial Assistance:**

None established.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: (1) FTA initiated the Bus Rapid Transit Demonstration Program integrating vehicle technology, Intelligent Transportation Systems (ITS), coordinated services, traffic engineering enhancements, and innovative urban design. Seventeen cities have formed a BRT consortium to share ideas and experience in implementing BRT. (2) The Advanced Technology Transit Bus (ATTB) test vehicle was successfully developed and tested. This revolutionary low-floor, light-weight, easily accessible bus features low-emission propulsion. (3) FTA, working with an industry committee (natural gas suppliers and transit operators) produced a detailed technical guideline document defining basic safety requirements for fueling facilities, vehicles, bus garages and storage areas. (4) Four-quadrant gates linked to a vehicle detection system are being demonstrated on a commuter-rail highway grade crossing in the Boston area to prevent motorists from attempting to drive around closed crossing gates. (5) Project ACTION (Accessible Community Transportation in Our Nation) has implemented accessible transportation initiatives, made national presentations on accessible transportation and distributed thousands of copies of "how-to" publications. (6) The JobLinks program provided Welfare-to-Work pilot demonstrations, evaluations and technical assistance that were instrumental in designing the Job Access and Reverse Commute Program enacted in TEA-21. (7) In collaboration with the Federal Highway Administration, FTA published a 3-volume guidance manual on developing and implementing Transportation Demand Management (TDM) measures and developed and tested a pilot training course on TDM. (8) FTA prepared and disseminated descriptions of FTA Research and Technology programs and projects and annotated bibliographies of recent technical reports related to transit; these are available on the FTA Research and Technology website: <http://www.fta.dot.gov>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2009 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice published October 1, 2008. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

<http://www.fta.dot.gov/research>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Nearly all projects funded in recent years were at the direction of the Congress under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). or annual appropriations acts. Projects funded during FY 2009 include: (1) Community Transportation Association of America (CTAA) Nationwide Joblinks; (2) Transportation Equity Program; (3) Intelligent Transportation System Pilot Program; (4) National Bus Rapid Transit Project; (5) Human Resource Coordination; (6) Capital Area Regional Transportation Plan; and (7) Institute of Technologys Transportation, Economic and Land Use System. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must support the FTA Strategic Plan, available on the FTA Home Page of the Internet at <http://www.fta.dot.gov>. If a preliminary proposal is judged to meet program and funding availability, FTA will invite formal proposal submission or cooperative agreement application. Criteria for

preliminary approval include: (1) compatibility with FTA Strategic Plan and Strategic Research Plan; (2) availability of funding; (3) potential for impact on the state-of-the-art from the viewpoint of innovation in transit technology, services and operations; (4) technical feasibility and potential for successful introduction into use in the transit industry; (5) background, experience, and demonstrated capabilities of the applicant; (6) partnerships with public and private organizations; (7) non-FTA funding match; and (8) other pertinent matters, such as geographic distribution of projects and questions of environmental and labor impact.

**20.515 STATE PLANNING AND RESEARCH**

(State Planning and Research Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA). Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5304.

**OBJECTIVES:**

To assist in the development of cost effective multimodal transportation improvement programs which include the planning, engineering, and designing of Federal Transit projects, and other technical studies in a program for a unified and officially coordinated Statewide Transportation system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This is a consolidated program which is apportioned to the States under 49 U.S.C., Chapter 53 which includes such activities as planning, technical studies and assistance, innovative demonstrations, management training, and cooperative research. In addition, a State may authorize a portion of these funds to be used to supplement and administer Metropolitan Planning funds allocated by the State to its urbanized areas, as the State deems appropriate.

**Applicant Eligibility:**

Apportionments are made to the States.

**Beneficiary Eligibility:**

Apportionments are made to the States.

**Credentials/Documentation:**

Federal Register Notice, "FTA Fiscal Year 2009 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2009, the publication date was December 18, 2008. For other fiscal years, contact the FTA Regional Office or refer to the FTA website to obtain the publication dates. The FTA website is: [www.fta.dot.gov/funding/grants\\_financing\\_38.html](http://www.fta.dot.gov/funding/grants_financing_38.html). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA Circular 8200.1 dated December 27, 2001, Program Guidance and Application Instructions for State Planning and Research Program Grants" provides detailed application information. It is available at [www.fta.dot.gov/laws/circulars/leg\\_reg\\_4124.html](http://www.fta.dot.gov/laws/circulars/leg_reg_4124.html).

**Award Procedure:**

If the application is complete, FTA will approve and release the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. If completed applications are submitted to FTA no later than the first business day of the quarter, FTA will then award grants no later than the last business day of the quarter. In FY 04, FTA awarded State Planning and Research Program grants in an average of 9 days of submission of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The matching requirements vary. Funds obligated for State or metropolitan planning are granted as an 80 percent Federal, 20 percent local ratio. In addition, current year funds can be transferred from the Federal Highway Administration to form State Consolidated Planning Grants.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 272. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 269. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project sponsor is required to retain intact, for 3 years following submission of the final financial status report pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1137-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$16,944,400; FY 09 est \$22,731,200; FY 10 est not reported. - Obligations

(Grants) FY 08 act.\$16,944,400; FY 09 est \$22,731,200; and FY 10 est not available.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance

\$45,000 to \$1,000,000 plus per State based on a statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Block grant funds to States for projects they identify to accomplish statewide planning and research. The program of ready-to-go transit projects was doubled in 2009 to speed up the implementation of projects under the American Recovery and Reinvestment Act of 2009 (ARRA). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notice, "FTA Fiscal Year 2009 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2009, the publication date was December 18, 2008. For other fiscal years, contact the FTA Regional Office or consult the FTA website to obtain the publication dates. The FTA website is: [http://www.fta.dot.gov/funding/grants\\_financing\\_38.html](http://www.fta.dot.gov/funding/grants_financing_38.html).

**Regional or Local Office:**

None. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: California did a study of performance measures for small and rural transit. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.516 JOB ACCESS\_REVERSE COMMUTE****FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU), Title 49, Part 53, Section 5316, Public Law 109-59, 49 U.S.C 5317.

**OBJECTIVES:**

To provide grants to local governments, nonprofit organizations, and designated recipients of Federal transit funding to develop transportation services to connect welfare recipients and low-income persons to employment and support services. Job Access grants will be to finance planning, capital and operating cost of projects. The Reverse Commute grants will assist in funding the costs associated with adding reverse commute bus, train, carpool or service from urban areas, urban, rural and other suburban locations to suburban work places.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used for delivery of services as well as to administer, plan and provide technical assistance for projects.

**Applicant Eligibility:**

State and local government agencies, nonprofit agencies, and transit providers.

**Beneficiary Eligibility:**

Low income individuals; individuals traveling to suburban work places.

**Credentials/Documentation:**

The applications submitted were derived from a locally developed, coordinated public transit-human services transportation plan and developed through a process that included representatives of public, private and nonprofit transportation and human services providers and participation by the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served, and other stakeholders. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the area's recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate FTA regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for JARC funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In the past Fiscal years, FTA approved JARC grants on an average of 42 days following submission of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1 year. Can be up to 4 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial status reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 272. (1) Progress reports; (2) Financial status reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 269. (1) Progress reports; (2) Financial status reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1125-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$157,346,731; FY 09 est \$251,186,800; FY 10 est not reported. - Obligations (Grants) FY 08 act. \$157,346,731; FY 09 est. \$251,186,800; and FY 10 est not available.

**Range and Average of Financial Assistance:**

\$10,890 to \$1,293,611. Average: \$180,588.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Job Access and Reverse Commute (JARC) services in 45 States and the District of Columbia have been funded through more than 450 grants and grant amendments.

An evaluation of the JARC program provided to Congress in January 2009 reported that the JARC program is meeting its mission of providing low-income persons with transportation to entry-level job opportunities; the cost-per-ride of JARC services is comparable to other public transit services; the JARC program produces tangible economic benefits to users of the services and the public at large; the JARC program may also produce long-term benefits for users; and participants in the coordinated public transit human service transportation planning process indicated that this process resulted in improvements in service coordination. Additional information on the performance of the JARC program can be found on FTAs website, [http://www.fta.dot.gov/funding/grants/grants\\_financing\\_7175.html](http://www.fta.dot.gov/funding/grants/grants_financing_7175.html). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9050.1, Job Access and Reverse Commute Program Guidelines and Application Instructions, updated May 1, 2007.

**Regional or Local Office:**

None. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Avenue, SE, East Building-Fourth Floor, Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3550.html](http://www.fta.dot.gov/funding/grants/grants_financing_3550.html)

**RELATED PROGRAMS:**

20.505 Federal Transit Metropolitan Planning Grants; 20.507 Federal Transit Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded include Extended service hours, new demand, responsive service, fixed route extensions, emergency childcare transportation, guaranteed ride home programs, additional bus lines; mobility management projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

49 U.S.C. 5316(f) of SAFETEA-LU states factors that must be fair and equitable. Proposals must also meet legal and administrative requirements, available on the FTA web site at <http://www.fta.dot.gov>.

**20.518 CAPITAL AND TRAINING ASSISTANCE PROGRAM FOR OVER-THE-ROAD BUS ACCESSIBILITY**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-059.

**OBJECTIVES:**

To make funds available to private operators of over-the-road buses to finance the incremental capital and training costs of complying with requirements of the Department of Transportation's Over-the-Road Bus Accessibility regulation, "Transportation for Individuals with Disabilities" (49 CFR Part 37, Subpart H).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds may be used to finance the incremental capital and training costs of complying with DOT's Over-the-Road Bus Accessibility regulation. Capital projects eligible for funding include adding wheelchair lifts and other

accessibility components to new vehicle purchases, and purchasing lifts to retrofit existing vehicles. Eligible training costs include training in proper operation and maintenance of equipment, boarding assistance, and securement, handling and storage of mobility devices, and sensitivity training.

**Applicant Eligibility:**

Private operators of over-the-road buses that provide intercity fixed route bus service, and other providers, including operators of over-the-road buses of local fixed-route service, commuter service, and charter or tour service.

**Beneficiary Eligibility:**

Persons with disabilities.

**Credentials/Documentation:**

Costs are determined in accordance with program guidance in an annual Federal Register Notice soliciting applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None required. The program is not covered by E.O. 12372, "Intergovernmental Review of Federal Programs.". Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA conducts a national solicitation for applications annually. Grant awards will be made on a competitive basis. Applications may be submitted through Grants.Gov. Paper applications are also accepted. An original and two copies must be submitted to the appropriate FTA Regional Office. The over-the-road bus operators should submit their applications to the office in the region in which its headquarters is located. The application should provide information on all items for which the applicant is requesting funding. Applications for FY 07/08 funding were due on November 13, 2007. A solicitation was issued in FY 07 for FY 07/08 funding.

**Award Procedure:**

The announcement of awards is published in a Federal Register Notice. Successful applicants file a grant application with FTA. An FTA grant award obligating federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Project selections are announced approximately six months following the application deadline for competitive consideration.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation to grantees for 3 fiscal years. Any funds not obligated by FTA by the end of this period will be added to the succeeding year's program allocation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As requested by FTA.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the

final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$1,090,620; FY 09 est \$15,800,850; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$25,000 to \$ 180,000. Average: \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During FY 06, 79 companies were provided funding to will result in 375 lifts, retrofitting of 96 vehicles and equipment operation training. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notices, published annually. Current guidance contained in Federal Register Notice dated February 2, 2006, "Over-the-Road Bus Accessibility Program Grants".

**Regional or Local Office:**

None. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Avenue, S.E., Washington , District of Columbia 20590 Phone: (202) 366-6680.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operators of intercity fixed-route services received \$29,460 for the incremental capital cost of making vehicles wheelchair accessible, and \$1,800 for training as required by the American Disability Act. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Current guidance contained in Federal Register Notice dated February 2, 2006, "Over-the-Road Bus Accessibility Program Grants".

**20.519 CLEAN FUELS**

(Clean Fuels)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5308.

**OBJECTIVES:**

To assist in financing the acquisition of clean fuel vehicles and related facilities for agencies providing public transportation and operating in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible projects include the purchase or lease of clean fuel vehicles, the construction or lease of clean fuel vehicles or electrical recharging facilities and related equipment for such vehicles, and construction or improvement of public transportation facilities to accommodate clean fuel vehicles. A clean fuel vehicle is a passenger vehicle used to provide public transportation that is powered by compressed natural gas, liquefied natural gas, biodiesel fuel, batteries, alcohol-based fuels, hybrid electric systems, fuel cells, clean diesel (to the extent allowed by law), or another low or zero emissions technology. Vehicles that employ lightweight composite primary structure may also be

eligible.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Applicant must also operate in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide. If the urbanized area is less than 200,000 in population, the State in which the area is located will act as the recipient.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. It is a goal of the Federal Transit Administration to obligate grants within an average of 36 days of the submission of a complete grant application.

**Appeals:**

None. Award recipients are chosen by Congress during the appropriations process.

**Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1137-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$21,714,447; FY 09 est \$62,056,000; FY 10 est not reported. - (Clean Fuel Bus Grants) FY 08 act \$21,714,447; FY 09 est. \$62,056,000; and FY 10 est. not available.

**Range and Average of Financial Assistance:**

\$160,000 - \$5,250,000. Average \$1,112,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program has provided funding for clean fuel projects as directed by Congress. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See Regional Agency Offices. See list of region contacts listed in Appendix IV.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Avenue, S.E

, Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

[www.fta.dot.gov](http://www.fta.dot.gov).

**RELATED PROGRAMS:**

20.500 Federal Transit Capital Investment Grants; 20.505 Federal Transit Metropolitan Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects receiving funding under the program include the replacement of existing diesel vehicles with hybrid diesel-electric and other alternative fuel vehicles, as well as the construction of facilities to support vehicles utilizing clean fuel technology. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation.

**20.520 PAUL S. SARBANES TRANSIT IN THE PARKS**

Transit in the Parks

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation



## **AUTHORIZATION:**

Section 3021 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU) enacted August 10, 2005 [Public Law 109-59], established a new program called the Alternative Transportation in Parks and Public Lands program. The name of the program was changed to the Paul S. Sarbanes Transit in the Parks under the SAFETEA-LU Technical Corrections Act, 2008. , 49 U.S.C 5320.

## **OBJECTIVES:**

Purpose of the program is to enhance the protection of national parks and Federal lands, and increase the enjoyment of those visiting them through the use of alternative transportation. The goals of the program are to ensure access to all, including persons with disabilities; improve conservation and park and public land opportunities in urban areas through partnering with State and local governments; improve park and public land transportation infrastructure; enhance the environment and prevent or mitigate adverse impacts on natural resources; reduce congestion and pollution; improve visitor mobility and accessibility and the visitor experience; improve Federal land management agency resource management; and conserve natural, historical, and cultural resources.

## **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

## **USES AND USE RESTRICTIONS:**

A qualified project is a planning or capital project in or in the vicinity of a Federally-owned or managed park, refuge, or recreational area that is open to the general public and meets the goals of the program. Project evaluation will be based on the considerations listed in the law and explained in part 180 of this notice. The following types of projects are eligible:

(1) Planning Projects: Activities to comply with metropolitan and statewide planning provisions. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5303, 5304, and 5305). Activities include planning studies for an alternative transportation system including evaluation of no-build and all other reasonable alternatives, traffic studies, visitor utilization studies, transportation analysis, feasibility studies, and environmental studies.

(2) Capital projects for acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing; (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5302(a)(1)(A).)

(3) Fixed Guideway and Bus Projects: (i) New fixed guideway capital projects including the acquisition of real property, the initial acquisition of rolling stock for the systems, the acquisition of rights-of-way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; (ii) Capital projects to modernize existing fixed guideway systems; (iii) Capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities, including programs of bus and bus-related projects for assistance to subrecipients that are public agencies, private companies engaged in public transportation, or private non-profit organizations; and (iv) The development of corridors to support new fixed guideway capital projects, including protecting rights-of-way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park and ride lots, and other nonvehicular capital improvements that the Secretary may decide would result in increased public transportation usage in the corridor. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5309(b).)

(4) Purchase of rolling stock that incorporates clean fuel technology or the replacement of buses of a type in use on August 10, 2005, with clean fuel vehicles;

(5) The deployment of alternative transportation vehicles that introduce innovative technologies or methods;

(6) The capital costs of coordinating Federal land management agency public transportation systems with other public transportation systems;

(7) Non-motorized transportation systems (including the provision of facilities for pedestrians, bicycles and non-motorized watercraft); and

(8) Any other alternative transportation project that:

- Enhances the environment;
- Prevents or mitigates an adverse impact on a natural resource;
- Improves Federal land management agency resource management;
- Improves visitor mobility and accessibility and the visitor experience;
- Reduces congestion and pollution (including noise pollution and visual pollution); or
- Conserves a natural, historical, or cultural resource (excluding rehabilitation or restoration of a nontransportation facility).

## **Applicant Eligibility:**

Eligible applicants are:(1) The following Federal land management agencies: The National Park Service, the Fish and Wildlife Service, the Bureau of Land management, the Forest Service, and the Bureau of Reclamation; and (2) State, tribal and local governments with jurisdiction over land in the vicinity of an eligible area acting with the consent of a Federal land management agency, alone or in partnership with a Federal land management agency or other governmental or non-governmental participant.

## **Beneficiary Eligibility:**

General public, including persons with disabilities.

## **Credentials/Documentation:**

Any project sponsor must be acting with the consent of a Federal land management agency. Any project proposed must be consistent with the metropolitan and statewide planning and public participation requirements found in 49 U.S.C 5303, 5304, and 5307(d). If the project is an capital project in contrast with a planning project, the capital project must be in the metropolitan Transportation Improvement Program (TIP) or State Transportation Improvement Program (STIP), or, if selected, will not receive funds until it is incorporated into the TIP or STIP. Projects also must be consistent with Federal land management agency plans. OMB Circular No. A-87 applies to this program.

## **Preapplication Coordination:**

The program allows the Department of Transportation to spend up to 10 percent of program funds to carry out planning, research and technical assistance activities. Funds allocated to technical assistance will be used to assist program participants in planning, implementing, and evaluating alternative transportation projects. In addition, the Federal Transit Administration will provide planning guidance and will disseminate research findings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

## **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Project proposals must be submitted to the designated contact person at the headquarters office of the Federal land management agency that manages the park or public land involved. This list can be found in the Notice of Funding Availability published in the Federal Register Vol. 71, No. 233, December 5, 2006. If the project involves more than one Federal land management agency, a proposal template must be submitted to all agencies involved. The project proposal must be 10 or fewer pages in length at 10 point font or larger. If a proposal is greater than 10 pages, only the first 10 pages will be considered during the evaluation process. Submission by email is preferred. Mail and fax submissions will also be accepted. If applicants would like to apply for funds appropriated for future fiscal years, applicants must reapply each year.

**Award Procedure:**

Proposals will first be reviewed and screened by the headquarters office of the relevant Federal land management agency (or agencies if the project involves more than one). Following this initial review, proposals will be evaluated by an interagency team which includes representatives from FTA, each of the Federal land management agencies, and the Department of the Interior.

After evaluating the projects on the basis of criteria in the law and further explained in Section 180 of this program description, the team will provide a recommendation to the Secretary of the Interior. The Secretary of the Interior, after consultation with and in cooperation with the Secretary of Transportation, will determine the final selection and amount of funding for each project. The Department of the Interior will notify each Federal land management agency of projects awarded for sites under the agency's jurisdiction. FTA will publish the list of all selected projects and funding levels in the Federal Register, as well as in FTAs annual report to Congress on the Alternative Transportation in Parks and Public Lands program submitted as part of FTAs Annual Report on New Starts in early February 2008. Criteria and application procedures may be reassessed for subsequent years.

Once proposals have been reviewed and projects have been chosen on the basis of selection criteria, the cognizant Federal agency (or agencies), will award funds to the proposing entity to implement the project. These funds will be administered according to Federal requirements as well as the appropriate policies, guidelines and rules of the pertinent agencies. For projects directly administered by a Federal land management agency, these funds will be administered by interagency agreement between the FTA and the respective agency. For programs administered by a State, tribal, or local Governmental authority, these funds will be administered through a grant administered by FTA. With regard to interagency agreement and grant requirements, 49 U.S.C. 5320(i) authorizes the Secretary to apply the requirements of 49 U.S.C. 5307 (Urbanized Area Formula Grant) and 5333(a) (Prevailing Wages Requirement) to the extent the Secretary deems appropriate.

Additionally, each recipient (Federal land management agency, and State, tribal, and local governments) of Federal funds must comply with requisite Federal guidelines governing the management of Federal funds and specific program requirements. Program Oversight, as defined by FTA, will ensure that projects meet the basic statutory, administrative, and regulatory requirements as stipulated by the conditions for accepting Federal funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. The Department of the Transportation plans to announce the projects selected no later than March 31, 2010.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula. The Secretary of Transportation, in cooperation with the Secretary of Interior will establish the Government's share of the net project cost to be provided. Funds appropriated to any Federal land management agency may be counted toward the remainder of the net project cost. The maximum Federal share may be 100 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will be provided on an annual basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

The Secretary of Transportation in consultation with the Secretary of Interior submits annually a report to Congress on the allocation of amounts made

available to assist qualified projects. Also, a similar report must be included by the Secretary of Transportation in its Annual Report on New Starts. Requirements regarding reports to be prepared by the program recipient along with other requirements for this program are currently being developed and will be made specific in the interagency agreement with Department of Interior and in grant agreements. The requirements will be made available for public notice and comment in the Federal Register prior to award of program funds. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for three years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-1-407.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$24,875,000; FY 09 est \$26,765,500; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No one project may receive more than 25 percent of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A Notice of Funding Availability (NOFA) was published December 13, 2007 to announce the availability of FY 2008 funds. The project selections from that NOFA were announced in the Federal Register notice on October 10, 2008 and 52 projects were selected for funding. Fiscal Year 2009: A Notice of Funding Availability (NOFA) was published January 23, 2009 to announce the availability of FY 2009 funds. The project proposals are under review. Selections are expected by March 2010. Fiscal Year 2010: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance is included with each Federal Register notice that announces project selections. Program requirements, additional guidance and legislation information can be found at [http://www.fta.dot.gov/funding/grants/grants\\_financing\\_6106.html](http://www.fta.dot.gov/funding/grants/grants_financing_6106.html).

**Regional or Local Office:**

See Regional Agency Offices. Project proposals must be submitted to the designated contact person at the headquarters office of the Federal land management agency that manages the park or public land involved. If the project involves more than one Federal land management agency, a project proposal template must be submitted to all agencies involved. The required project proposal template is available at <http://www.fta.dot.gov>. E-mail submission is preferred. Mail and fax submission will also be accepted.

-&#61472;National Park Service: Kevin Percival, [Kevin.Percival@nps.gov](mailto:Kevin.Percival@nps.gov), tel: 3039692429, fax: 3039876675, mail: 12795 W. Alameda Parkway, P.O. Box 25287, Denver, CO 802250287.

- Fish and Wildlife Service: Nathan Caldwell, [nathan.caldwell@fws.gov](mailto:nathan.caldwell@fws.gov), tel: 7033582376, fax: 7033582517, mail: 4401 N. Fairfax Drive, Suite 634; Arlington, VA 22203.

- Forest Service: Ellen LaFayette, [elafayette@fs.fed.us](mailto:elafayette@fs.fed.us), tel: 7036054509, fax: 7036051542, mail: 1400 Independence Avenue, SW., Washington, DC 202501101.

- Bureau of Land Management: Linda Force, [Linda\\_Force@blm.gov](mailto:Linda_Force@blm.gov), tel: 202 5573567, fax: 2024525046, mail: 1849 C Street, NW., Washington, DC

20240.

**Headquarters Office:**

Kimberly Sledge 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: kimberly.sledge@dot.gov Phone: 202-366-2053

**Website Address:**

<http://www.fta.dot.gov/atppl>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: ATPPL funded a planning project to extend San Francisco Municipal Railways Historic streetcars from Fishermans Wharf to San Francisco Maritime National Historic Park and the Fort Mason Center at Golden Gate National Recreation Area. Fiscal Year 2009: Not available. Fiscal Year 2010: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Consistent with the considerations identified in Title 49, Chapter 53 at Section 5320(g)(2), evaluation of proposals will be based on the following criteria:

- Demonstration of need
  - o Documentation of problem in plans and other reports
  - o Severity of problem
- Protection of natural and cultural resources
  - o Protection or improvement of cultural, historical, scenic, and natural resources
  - o Environmental benefits/reduction of pollution (including air pollution, noise pollution, and visual pollution)
- Operational efficiency and financial sustainability
  - o Evaluation of costs and benefits of all reasonable alternatives
  - o Financial planning (including for capital, operations, maintenance, and equipment replacement expenses; and revenues, including user fees)
  - o Cost effectiveness
  - o Innovative financing or joint development strategies
  - o Deferred maintenance issues
- Public benefits
  - o Enhancing visitor experience
  - o Mobility issues (reduces congestion, improves intermodal connectivity, improves public access, including access for persons with disabilities)
  - o Safety
  - o Partnership with public and private entities, and benefits to gateway communities.
- Additional consideration will be given to projects based upon geographic diversity, balance between urban and rural projects, and balance in size of projects. Finally, projects that demonstrate innovative funding mechanisms or partnerships will be given extra consideration. The proposal template contains specific questions related to each of these criteria to guide the applicant in justifying the project.

**20.521 NEW FREEDOM PROGRAM**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU), 49 U.S.C 5317.

**OBJECTIVES:**

To provide grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et. Seq.) that assists individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

To be eligible, a project must either be a new public transportation service or a public transportation alternative beyond those required by the ADA and the project must assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. Capital and operating expenses for projects that meet the purpose of the statute are eligible to be funded. The recipient may use up to 10 percent of apportioned funds for administration, planning, and technical assistance.

**Applicant Eligibility:**

An eligible recipient is defined as a recipient to be designated by the Governor of the State in consultation with local officials and local public transportation providers in urbanized areas above 200,000 in population. In urbanized areas between 50,000 and 200,000 in population and nonurbanized (rural) areas, the State is the eligible recipient. Public agencies, nonprofit agencies, public transportation providers, private transportation providers, and human services transportation providers are eligible to be subrecipients under the New Freedom program.

**Beneficiary Eligibility:**

Individuals with Disabilities.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in the local coordinated public transit human service transportation plan, an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pursuant to Section 102 (2) (C) of the National Environmental Policy Act of 1969 (Public Law 91-190), 42 U.S.C. 4332 (2) (c), Executive Order 11514 (34 FR 4247) of March 4, 1970, an environmental impact assessment and/or environmental impact statement may be required for construction projects. Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served and stakeholders. The program is covered under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed in applying for assistance under this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the areas recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate Federal Transit Administration, FTA, regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for New Freedom funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA New Freedom grant is awarded and funds are obligated in an electronic grant agreement. The recipient must execute the grant agreement, and access FTA's electronic funds management system; the funds management

system allows the grantee to drawdown funds after invoices are received. The grantee directs funds to subrecipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

It is a goal of the Federal Transit Administration to obligate grants within 36 days of the submission of a complete grant application.

**Appeals:**

Not Applicable.

**Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Funds are awarded using an electronic financial management system as funds are expended and invoices received. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Formula Grants) FY 08 \$99,870,654; FY 09 est \$135,885,000; FY 10 est not reported. - (Grants) FY 08 \$99,870,654; FY 09 est. \$135,885,000; and FY 10 est. not available.

**Range and Average of Financial Assistance:**

Project funding varies based on competitive selection process at State or urbanized area level. Urbanized area apportionments range from \$45 K to \$5.7 M. State apportionments for small urbanized areas range from \$35 K to \$1.6 M and for rural areas from \$48K to \$1 M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The New Freedom program experienced an 89 percent increase in the amount of funds awarded over the course of FY08 and a wide range of projects have been established under the program. To date, the New Freedom program allowed states and localities to enhance ADA complementary paratransit beyond the minimum requirements of the ADA; provide feeder services; make accessibility improvements to transit and intermodal stations not designated as key stations; provide travel training; purchase vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs; support the administration and expenses related to new voucher programs for transportation

services offered by human service providers; support new volunteer driver and aide programs; and support new mobility management and coordination programs among public transportation providers and other human service agencies providing public transportation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

1.) Federal Transit Administration Transit Program Changes, Authorized Funding Levels and Implementation of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, 70 Fed. Reg. 71950, 71968 (Nov. 30, 2005). 2) FTA Circular 9045.1, New Freedom Program Guidelines and Application Instructions, enacted May 1, 2008.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Transportation Systems Center, Kendall Square, 55 Broadway, Suite 920 Cambridge, MA 02142-1093. Telephone: (617) 494-2055 Region 2, One Bowling Green, Room 429, New York, NY 10004-1415. Telephone: (212) 668-2170, Region 3, 1760 Market Street, Suite 500, Philadelphia, PA 19103-4124. Telephone: (215) 656-7100, Region 4, Atlanta Federal Center, Suite 17T50, 61 Forsyth St., S.W. Atlanta, GA 30303. Telephone: (404) 562-3500, Region 5, 200 West Adams Street, Suite 320, Chicago, IL 60606. Telephone: (312) 353-2789, Region 6, 819 Taylor Street, Room 8A36, Fort Worth, TX 76102. Telephone: (817) 978-0550, Region 7, 901 Locust Ste. 404, Kansas City, MO 64106. Telephone: (816) 329-3920, Region 8, 12300 West Dakota Ave. Suite 310 Lakewood, CO 80228-2583. Telephone: (720) 963-3300 Region 9, 201 Mission Street, Room 2210 San Francisco, CA 94105-1839. Telephone: (415) 744-3133 Region 10, Jackson Federal Building, 915 Second Avenue, Suite 3142, Seattle, WA 98174-1002. Telephone: (206) 220-7954 LOWER MANHATTAN RECOVERY OFFICE (LMRO), 1 Bowling Green, Room 436 New York, NY, 10004. Telephone: (212) 668-1770.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Ave., S.E , Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3549.html](http://www.fta.dot.gov/funding/grants/grants_financing_3549.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) Enhancing ADA complementary paratransit services beyond the ADA; 2) New Feeder services; 3) Making accessibility improvements to transit and intermodal stations not designated as key stations; 4) travel training; 5) volunteer driver and aide programs; 6) Accessible taxi, ridesharing, or vanpooling programs 7) mobility management. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation, recipients must conduct a competition to determine which projects should be funded.

**20.522 ALTERNATIVES ANALYSIS**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 109 Stat. 59, 49 U.S.C 533.

**OBJECTIVES:**

To assist in financing the evaluation of all reasonable modal and multimodal alternatives and general alignment options for identified transportation needs in a particular, broadly defined travel corridor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in conducting alternatives analyses as part of the early planning for capital projects for new fixed guideway systems and extensions to existing fixed

guideway systems.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance.

Private non-profit organizations are not directly eligible recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation and public agencies. Private consultants may participate through contractual arrangements with a public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's Unified Planning Work Program (UPWP) and approved by FTA and FHWA. Applicant must complete certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement may be required for this program. An environmental impact statement may also be required upon completion of the review. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

FTA awards more than 80 percent of grants within 60 days of receipt of a completed application, with an average processing time of 36 days or less.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually, FY 2006-2009, through the appropriations process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funds for Alternatives Analysis projects are allocated based on statutory or discretionary basis. A grant may be made up to 80 percent of total project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. The grants may be awarded in one lump sum or in smaller increments as specified by the grantee. Method of awarding/releasing assistance: by letter

of credit.

**Reports:**

(1) Progress reports; (2) Financial status reports. SF-272. (1) Progress reports; (2) Financial status reports. SF-269. (1) Progress reports; (2) Financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, Audits of State and Local Governments and Nonprofit Organizations; nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$27,794,000; FY 09 est \$31,478,550; FY 10 est not reported. - FY 08 act. \$27,794,000; and FY 09 \$31,478,550; and FY 10 est. not available.

**Range and Average of Financial Assistance:**

In FY 2006 Congressional designations range from \$300,000 to \$2,500,000 with an average of \$138,889.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program will support alternatives analysis for over 15 new fixed guideway transit systems, ultimately resulting in more effective decision making at the local level and to support future Federal investment in major capital projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See Regional Agency Offices. See list of regional office contacts located in Appendix IV.

**Headquarters Office:**

Sylvia L. Marion 1200 New Jersey Ave., S.E , Washington, District of Columbia 20590 Phone: (202) 366-6680

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded include studies conducted as part of the transportation planning process to include an assessment of a wide range of public transportation alternatives designed to address a transportation problem in a corridor or subarea. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Major, non-recurring capital investment Congressional designation.

## **20.523 CAPITAL ASSISTANCE PROGRAM FOR REDUCING ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS**

Transit Investments for Greenhouse Gas and Energy Reduction

### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009.

### **OBJECTIVES:**

To assist in financing the acquisition of capital for agencies providing public transportation to reduce energy consumption or greenhouse gas emissions.

### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

### **USES AND USE RESTRICTIONS:**

Eligible projects include the purchase of transit capital that will reduce energy consumption or greenhouse gas emissions. Public Transportation Agencies. Applicants must have legal, financial, and technical capacity to carry out the proposed project and maintain facilities and equipment purchased with federal assistance. 100%.

### **Applicant Eligibility:**

Intrastate, State (includes District of Columbia, public institutions of higher education and hospitals, Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals, Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, associations).

### **Beneficiary Eligibility:**

Interstate, Intrastate, State, Local, Public nonprofit institution/organization, Other public institution/organization, U.S. Territories.

### **Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's Transportation Improvement Program (TIP), and in the Statewide Transportation Improvement Program (STIP) approved by the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA). Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Pursuant to the National Environmental Policy Act (NEPA), an environmental impact assessment and/or environmental impact statement may be required. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed in applying for assistance under this program. This program is excluded from coverage under E.O. 12372. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

### **Award Procedure:**

An FTA grant award obligating federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. It is a goal of the FTA to obligate grants within an average of 36 days of the submission of a complete grant application.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Projects are 100 percent federally funded unless a lower federal share is requested by the applicant.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

: (1) Progress reports, (2) financial status reports, (3) construction reports where applicable, and (4) reports required by the American Recovery and Reinvestment Act. Cash reports are not applicable. : (1) Progress reports, (2) construction reports where applicable, and (3) reports required by the American Recovery and Reinvestment Act. Financial Status Reports. Auditing of grants over \$500,000.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year with certain exceptions as determined by OMB. FTA on may also conduct its own audits.

### **Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

### **Account Identification:**

69-1101-0-1-401.

### **Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$100,000,000; FY 10 est not reported.

### **Range and Average of Financial Assistance:**

None established.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the FTA website or contact the appropriate FTA Regional office for more information.

### **Regional or Local Office:**

See Regional Agency Offices. See list of Regional contacts listed in Appendix IV.

### **Headquarters Office:**

Walter Kulyk 1200 New Jersey Avenue, SE  
, Washington, District of Columbia 20590 Email: [walter.kulyk@dot.gov](mailto:walter.kulyk@dot.gov) Phone: (202)366-4052

### **Website Address:**

<http://www.fta.dot.gov>

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.519 Clean Fuels

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must assist in reducing energy consumption or greenhouse gas emissions of public transportation systems. For grants on energy-related investments, priority is given to projects based on the total energy savings that are projected to result from the investment and projected energy savings as a percentage of the total energy use of the public transit agency. Other criteria are identified in the application procedures.

**20.600 STATE AND COMMUNITY HIGHWAY SAFETY**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, 23 U.S.C 401.

**OBJECTIVES:**

To provide a coordinated national highway safety program to reduce traffic crashes, deaths, injuries, and property damage.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used for problems identified within the nine national priority program areas of Alcohol and other Drug Countermeasures, Police Traffic Services, Occupant Protection, Traffic Records, Emergency Medical Services, Motorcycle Safety, Pedestrian/Bicycle Safety, Speed Control and Roadway Safety. Other program areas identified by a State as constituting a highway safety problem in that State, e.g., pupil transportation safety programs, may be eligible for Federal funding, as encompassing a major highway safety problem in the State and for which effective countermeasures have been identified. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State.

**Applicant Eligibility:**

States, federally recognized Indian tribes, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, and the Virgin Islands.

**Beneficiary Eligibility:**

Political subdivisions, through the State Highway Safety Agencies.

**Credentials/Documentation:**

Performance plan approved by the agency is required and Highway Safety plan, certification statement, and Program Cost Summary. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State Plan due date is September 1 for the formula grant program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrators and FHWA Division Administrators review each State's Performance Plan and Highway Safety Plan. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is exempt from the standard application forms required by the Governmentwide Common Grant Rule for State, Local, and Indian Tribal Governments. Assistance from NHTSA and FHWA is continuously available to participants in this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submission of Highway Safety Plan covering State and community highway safety activities for the year to NHTSA regional offices.

**Award Procedure:**

Awards are made by NHTSA Regional Administrators.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Two months.

**Appeals:**

Appeals of decisions by NHTSA Regional Administrators are to the NHTSA Associate Administrator for Regional Operations and Program Delivery.

**Renewals:**

Each year, States submit Performance Plans and Highway Safety Plans as part of continuing formula grant program.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 CFR, Chapter 1240.11, 1240.12, 1240.13. Matching Requirements: Percent: 75.%. 75 percent apportioned on total resident population; 25 percent apportioned against public road mileage in States. Federal share shall not exceed 80 percent or applicable sliding scale. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of funds method. Funds placed under obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

States are required to submit annual program reports to the Federal Highway Administration and to the National Highway Traffic Safety Administration. No cash reports are required. Progress reports are not applicable. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8019-0-7-401; 69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$224,870; FY 09 est \$234,870; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range is \$562,000 to \$21,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The federally assisted State and Community Highway Safety programs have contributed to reducing and, subsequently, leveling out the sharp rise in traffic deaths in the period from 1966 to 2006. The fatality rate per hundred million passenger miles has been reduced from 5.5 in 1966 to 1.12 in

2008. This has been achieved in spite of more cars, more drivers, and more miles traveled on our Nation's highways. Fiscal Year 2009: Additional funds will be awarded for this program. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter II, State and Community Highway Safety Grant Program; Manual on Uniform Traffic Control Devices; Handbook of Highway Safety Design and Operating Practice, available from Government Printing Office, Washington, DC 20402.

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

#### **Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national9111@dot.gov Phone: (202) 366-3485

#### **Website Address:**

<http://www.nhtsa.whatsup/fedassist/index.html>.

#### **RELATED PROGRAMS:**

20.205 Highway Planning and Construction

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Selective traffic enforcement programs, both at the State and local level - Funds were used for equipment (police vehicles, communications, speed detection devices, breath testing devices, etc.), training of police personnel, and overtime salaries. Upgrading of Emergency Medical Services (EMS) at the local level: Funds were used for training of emergency medical personnel improved ambulance medical equipment, survey of EMS needs, and salaries for statewide EMS coordinators. Programs to reduce alcohol-related crashes: Funds were used for studies to identify the magnitude of the problem, personnel services (police, investigators, and court personnel), equipment (breath testing devices, radar equipment), and training of involved personnel to detect the drinking driver and to use testing equipment. Traffic records system improvement projects: Funds were used for survey of needs and requirements, system designs, system implementation, ADP equipment and supplies, traffic records, personnel, and training. Occupant Protection programs: Funds were used to develop and distribute public information and education materials relating to the use of safety belts and infant/child safety seats, and the implementation of infant/child safety seat loaner programs. Networks of public and private agencies and groups were developed and assisted regarding programs to increase awareness of the benefits of occupant protection, and to increase overall use. Activities that directly support the identification of highway hazards and the scheduling and implementation of roadway improvements (construction, operational or otherwise) to improve their safety: Funds were used for personal services, training and equipment to establish accident data systems; conduct engineering studies and analyses of high accident locations; conduct workshops in street design and capacity and work zone safety; inventory skid resistance of payment surfaces; and provide traffic engineering assistance to local jurisdictions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The Federal/State relationship for the highway safety grant program is a partnership. Each State is given flexibility in the administration of its own highway safety program. Federal funds are obligated in support of a highway safety program based on problems identified by the State. States have latitude in determining projects upon which they spend their Federal monies.

#### **20.601 ALCOHOL IMPAIRED DRIVING COUNTERMEASURES INCENTIVE GRANTS I**

Alcohol Impaired Driving Countermeasures Incentive Grants

#### **FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007, Public Law 109-59, 23 U.S.C

410.

#### **OBJECTIVES:**

To encourage States to adopt effective programs to reduce crashes resulting from persons driving while under the influence of alcohol.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement effective programs to reduce drunk and drugged driving, in compliance with established criteria.

#### **Applicant Eligibility:**

States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. States are provided with two alternative means to qualify for a Section 410 grant. Under the first alternative, States may qualify as a low fatality rate State if they have an alcohol-related fatality rate of 0.5 or less per 100 million vehicle miles traveled (VMT). Under the second alternative, States may qualify as a programmatic State if they demonstrate that they meet three of eight grant criteria for fiscal year 2006, four of eight grant criteria for fiscal year 2007, and five of eight grant criteria for fiscal years 2008 and 2009. Qualifying under both alternatives would not entitle the State to receive additional grant funds. SAFETEA-LU directs that States with low alcohol-related fatality rates, based on the agency's Fatality Analysis Reporting System (FARS), be awarded grants without the need to satisfy any of these programmatic criteria. There is also an additional Section 410 grant available to assist the 10 States with the highest impaired driving related fatalities as determined by the most recent FARS data.

#### **Beneficiary Eligibility:**

State Highway Safety Agency.

#### **Credentials/Documentation:**

State submits certification and application that it meets eligibility requirements; after being informed by the National Highway Traffic Safety Administration (NHTSA) that it is eligible for a grant, State submits to the agency a plan that describes the programs the State will implement using the funds. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State submits certification and application that it meets eligibility requirements; after being informed that it is eligible for a grant, State submits to the agency a plan that describes the programs the State will implement using the funds.

#### **Award Procedure:**

The State submits information that reflects its eligibility for the award based on the criteria for which it is applying. NHTSA staff review the information to determine the eligibility of the State. If the State is deemed eligible to receive an award, it will be notified by the Region and will also receive an official letter of award from the NHTSA Administrator. The release of grant funds shall be subject to the availability of funds for that fiscal year.

#### **Deadlines:**

Aug 01, 2009 Applications would be required to be submitted to the agency no later than August 1 of the fiscal year in which the States are applying for grant funds.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response, from the agency, between 30 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**



States are eligible for up to 4 years under the 410 program. Certification and plan must be approved each year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program plan for next year's funding. No cash reports are required. a progress report on the prior year's program and accomplishments is required. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$130,500,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$500,000 to \$12,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Implementation of impaired driving activities found in the Programmatic Criteria section, as well as costs for high visibility enforcement; the costs of training and equipment for law enforcement; the costs of advertising and educational campaigns that publicize checkpoints, increase law enforcement efforts and target impaired drivers under 34 years of age; the costs of a State impaired operator information system, and the costs of vehicle or license plate impoundment. In FY 2008, 43 states and Puerto Rico received grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Part 1313.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Ann Burton 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

www.nhtsa.dot.gov

**RELATED PROGRAMS:**

20.600 State and Community Highway Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Driving while intoxicated (DWI) prevention programs with special emphasis on law enforcement of drunk driving laws and public awareness, advertising and education about such laws; police training in a variety of drunk and impaired driving issues; and the procurement of technology and equipment, including video equipment, and passive alcohol

sensors. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet criteria established by statute and regulation including, for example, prompt license suspension for drunk driving, mandatory sentencing for repeat drunk driving offenders and self-sustaining drunk driving prevention programs.

**20.602 OCCUPANT PROTECTION INCENTIVE GRANTS**

Occupant Protection Incentive Grants

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

To encourage States to adopt effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement and enforce occupant protection programs, in compliance with established criteria.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, Virgin Islands, and the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification and application that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrator coordinates qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than February 15 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a State must submit the certification required by Federal Register, Vol. 7, No. 218, Monday, November 14, 2006, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of

Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 405 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Feb 15, 2009 Application proposals and certifications are due by February 15 of each year.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Program plan and funds should be obligated within 30 days of receipt of award letter.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for up to 6 years under this program. They must be certified and a plan must be submitted each year.

**Formula and Matching Requirements:**

Statutory Formula: Title 49.

Matching Requirements: Under the 405 program, basic grant funding is up to 100 percent of their Section 402 apportionment for FY 2003. The Federal share shall not exceed 75 percent in the first and second years, 50 percent in the third and fourth years, and 25 percent in the fifth and subsequent years.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. Cash reports are not applicable. Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 08 \$25,000,000; FY 09 est \$25,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range is \$159,874 -\$3,073,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 36 States, DC, Puerto Rico and 2 Territories received Section 405 grants. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Part 1345, Section 2004, Public Law

109-59, as amended, 23 U.S.C. 402.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Judy Hammond 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

http://nhtsa.dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet 4 out of 6 criteria established by statute and regulation including safety belt use law for all passengers, primary safety belt use law, minimum fine or penalty points, statewide special traffic enforcement programs, child passenger protection education program, and child passenger protection law.

**20.607 ALCOHOL OPEN CONTAINER REQUIREMENTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998, as amended, 23 U.S.C 154.

**OBJECTIVES:**

To encourage States to enact and enforce an alcohol open container law.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a State meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. NHTSA Regional Administrators coordinate the qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.

**Award Procedure:**

Once the State provides the agency with a split letter to NHTSA, the State will be given access to the transfer and can obligate the funds.

**Deadlines:**

Sep 30, 2009 States must have a compliant law by September 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for the penalty for up to four years.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 1270.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF -269. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$132,635,202; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 13 States and Puerto Rico received Section 154 transfer funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.608 MINIMUM PENALTIES FOR REPEAT OFFENDERS FOR DRIVING WHILE INTOXICATED****FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998 as amended, 23 U.S.C 164.

**OBJECTIVES:**

To encourage States to enact and enforce Repeat Intoxicated Offender laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A state may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a state meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrators coordinate the qualification process with the Office of Injury Control Operations and Resources. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. If a state has not enacted and is not enforcing a Repeat Intoxicated driver Law, then a state meets eligibility requirements. After being informed that it is eligible, the state submits to the agency a plan that describes the program it will implement using the funds.

**Award Procedure:**

Awards will be made by the NHTSA Regional Administrator.

**Deadlines:**

Sep 30, 2009 States must have a compliant law by September 30 each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for funding for the penalty for up to four years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. No cash reports are required. Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$132,635,202; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The grants range from \$3,725,000 - \$28,633,00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 11 States and Puerto Rico received Section 164 transfer funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.609 SAFETY BELT PERFORMANCE GRANTS****FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406, 23 U.S.C 408.

**OBJECTIVES:**

Increase safety belt use by encouraging States to enact and enforce primary safety belt laws. A primary safety belt law permits law enforcement officers to stop and cite motorists for failing to wear safety belts without requiring that some other motor vehicle violation first be observed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A state may use grant funds for any safety purpose under Title 23 or for any project that corrects or improves a hazardous roadway location or feature or proactively addresses highway safety problems. However, at least \$1 million of amounts received by States must be obligated for behavioral highway safety activities. At least \$1 million of amounts received by States must be obligated for behavioral highway safety activities.

**Applicant Eligibility:**

The 50 States, District of Columbia, Puerto Rico, American Samoa, the Commonwealth of the Northern Mariana Islands, Guam and the Virgin Islands are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States that apply as either New Primary Law States or Pre-2003 Primary Law States must submit a certification that their primary safety belt law is in effect and is being enforced, and must also provide a citation where a copy of the law may be obtained for review. States that apply as Safety Belt Performance States must submit the result of a statewide safety belt observational survey for each of the two calendar years preceding the fiscal year of the grant application, along with certifications that the surveys were conducted in conformance with NHTSA's Uniform Criteria for State Observational Surveys of Seat Belt Use (23 CFR Part 1340). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State is eligible for a grant if it did not have a conforming primary safety belt law for all passenger motor vehicles in effect on or before December 31, 2002, and either: Enacts for the first time after December 31, 2002, and has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles (States meeting this criterion are called New Primary Law States); or, After December 31, 2005, has a State safety belt use rate of 85 percent or more for each of the 2 consecutive calendar years immediately preceding the fiscal year of the grant (States meeting this criterion are called Safety Belt Performance States). A State that meets either of the above two criteria will receive a one-time grant equal to 475 percent of the State's apportionment under Section 402 for fiscal year 2003. If a State does not meet either of the above two criteria, and if funds remain after grants have been awarded to all States that do meet either of the two criteria by July 1 each year, the State will qualify for a one-time grant equal to 200 percent of its apportionment under Section 402 for fiscal year 2003 if it has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles that was in effect before January 1, 2003 (States in this category are called Pre-2003 Primary Law States). States that are applying as either New Primary Law States or Pre-2003 Primary Law States must submit

the required certification and citation (see Credentials / Documentation above) by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the survey result and related certification for each of the two consecutive calendar years preceding the year of the grant application by March 1 of the calendar year immediately following the year in which the survey was conducted.

**Award Procedure:**

NHTSA will review the information contained in each State's application for compliance with Section 406 and notify qualifying States in writing of grant awards.

**Deadlines:**

Jul 01, 2009 States applying as either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the safety belt survey result and related certification by March 1 of the year immediately following the year in which the survey was conducted.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 406.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$69,807,597; FY 09 est \$124,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range for these grants are \$3,725,000 - \$28,633,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 6 States, District of Columbia, Puerto Rico and 4 territories received Section 406 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Behavioral highway safety activities to which Section 406 funds are likely to be applied include but are not limited to highly visible enforcement of impaired driving and safety belt violations; paid and earned media campaigns to support stepped up enforcement mobilizations and crackdowns; motorcycle rider education; pedestrian safety; speed management; DWI courts; and, technical training of traffic law enforcement officers, prosecutors and state highway safety officials. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications from States attempting to qualify as New Primary Law States or Pre-2003 Primary Law States will be reviewed to determine if the State is enforcing a primary safety belt use law that applies to all passenger motor vehicles. Applications from States attempting to qualify as Safety Belt Performance States will be reviewed to determine if the State' safety belt use rate was at or above 85% during each of the two consecutive calendar years immediately preceding the year of the grant application. To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the Bureau of Indian Affairs are eligible to apply for a grant.

**20.610 STATE TRAFFIC SAFETY INFORMATION SYSTEM IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, 23 U.S.C 406-408.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, integration and accessibility of State data; to evaluate the effectiveness of efforts to make such improvements; to link these State data systems, including traffic records, with other data systems within the State; and to improve the compatibility of the State data systems with national data systems and data systems of other States to enhance the ability to observe and analyze national trends in crash occurrences, rates, outcomes, and circumstances.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A State may use grant funds only to implement data improvement programs. A State may use grant funds only to implement data improvement programs.

**Applicant Eligibility:**

To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the Bureau of Indian Affairs are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

A State would submit information unique to each criterion for which it chooses to demonstrate compliance. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using these funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To apply for a first fiscal year grant, a State must submit the certification required by Appendix 1, signed by the Governor's Representative for Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year. To apply for a successive fiscal year grant, a State must submit the certification required by Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 408 and notify qualifying States in writing of grant awards. SAFETEA-LU provides that the amount of each first fiscal year grant shall be the higher of \$300,000 or an amount determined by multiplying the amount appropriated to

carry out the section 408 Program for that fiscal year by the ratio that the funds appropriated to the State under Section 402 for FY 2003 bears to the funds apportioned to all eligible States under Section 402 for FY 2003. Each State that qualifies for a successive fiscal year shall be eligible to receive the higher of \$500,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds apportioned to all eligible States under Section 402 for FY 2003.

**Deadlines:**

Jun 15, 2009 States must submit their certifications by June 15 (each year).

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for this grant for up to four years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. The Annual Report required under Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-269/425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-0605-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$34,500,000; FY 09 est not reported.; FY 10 est not reported. - FY 2009 and FY 2010 allocations not available.

**Range and Average of Financial Assistance:**

The range is \$500,00-2,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 49 States, the District of Columbia and 4 Territories received Section 408 grants. Fiscal Year 2009: Information not available. Fiscal Year 2010: Information not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

http://webster.nhtsa.dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The State Traffic Safety Information System Improvement Grants provide funding to improvement of State data systems, the evaluation of efforts to make improvements, link State data systems, including traffic records with other data systems that contain medical, roadway, and economic data; and improve the compatibility and interoperability of the States data systems with national traffic safety data systems and data systems of other States and enhance NHTSA's ability to observe and analyze national trends in crash occurrence, rates, and circumstances. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the section 408 by demonstrating that it has an established Traffic Records Coordinating Committee (TRCC), a multi-year safety data and traffic records strategic plan approved by the TRCC, certify that the State has adopted and is using the Model Minimum Uniform Crash Criteria (MMUCC) or certify that it will use grant funds toward adopting and using the most elements practicable. To qualify in subsequent years, a State must certify that an assessment or audit of the State traffic records system has been conducted in the past five years, certify that the TRCC continues to support and operate the multi-year plan and submit a report showing measurable progress in the implementation of the multi-year plan.

**20.611 INCENTIVE GRANT PROGRAM TO PROHIBIT RACIAL PROFILING**

(Section 1906)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

Encourage States to enact and enforce laws that prohibit the use of racial profiling in the enforcement of traffic laws on Federal-aid highways, and to maintain and allow public inspection of statistics on motor vehicle stops.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to enact and enforce laws to prohibit racial profiling, in compliance with the following established criteria. Law States may use Section 1906 grant funds for: collecting and maintaining data on traffic stops; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. Assurances States may use Section 1906 grant funds for: funding activities to prohibit racial profiling in the enforcement of State laws regulating the use of Federal-aid highways; collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, Guam American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All certifications must be submitted by July 1. To apply for grant funds in a fiscal year, a Law State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 1 and an Assurances State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Jul 01, 2009 Applications must be received by the appropriate NHTSA Regional Office on or before July 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year; however, a State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Sf-272. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments.

Sf-269/425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$2,725,020; FY 09 est \$7,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Average grant is for \$454,170.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 6 States received Section 1906 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L. 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://webster.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Incentive Grant Program to Prohibit Racial Profiling provides funding for the following projects: collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 1906 Program in one of two ways: (a) by enacting and enforcing a law that prohibits the use of racial profiling in the enforcement of State laws regulating the use of Federal-aid highways and maintaining and allowing public inspection of statistical information on the race and ethnicity of the driver and any passengers for each such motor vehicle stop made by a law enforcement officer on a Federal-aid highway (a Law State); or (b) by providing satisfactory assurances to the Secretary that the State is undertaking activities to prohibit racial profiling and to maintain and provide public access to data on the race and ethnicity of the driver and passengers for each motor vehicle stop made by a law enforcement officer on a Federal-aid highway (an Assurances State).

**20.612 INCENTIVE GRANT PROGRAM TO INCREASE MOTORCYCLIST SAFETY**

(Section 2010)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to reduce the number of single and multi-vehicle crashes involving motorcycles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

As specified in SAFETEA-LU, a State may use section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists. The State may sub-allocate funds to non-profit organizations incorporated in the State. A State may use section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists. The State may sub-allocate funds to non-profit organizations incorporated in the State.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

Eligibility for the section 2010 grants is based on 6 specified grant criteria. To qualify for a section 2010 grant for the first fiscal year the State seeks to qualify, it must demonstrate compliance with at least 1 of the 6 grant criteria. To qualify for a section 2010 grant for the second and subsequent fiscal years that it seeks to qualify, a State must demonstrate compliance with at least 2 of the 6 grant criteria. A State would submit information unique to each criterion for which it chooses to demonstrate compliance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded



from coverage under OMB Circular No. A-110. To apply for grant funds in a fiscal year, a State must submit a completed application to the appropriate NHTSA Regional Administrator by the due date. NHTSA will review each State's application for compliance with section 2010 and notify qualifying States in writing of grant awards. Upon initial review of the application, the proposed procedures would allow NHTSA to request additional information from the State prior to making a determination of award in order to clarify compliance with the statutory criteria and grant application procedures. SAFETEA-LU specifies that the amount of a grant made to a State for a fiscal year under this grant program may not be less than \$100,000 and may not exceed 25 percent of the amount apportioned to the State for fiscal year 2003 under section 402 of title 23, United States Code. However, the release of the full grant amounts under section 2010 is subject to the availability of funding for each fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 2010 and notify qualifying States in writing of grant awards. Once the State is notified, it will submit to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Aug 01, 2009 Applications must be received by the appropriate NHTSA Regional Office on or before August 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year showing that changes have not been made to any information related to the criterion or criteria previously satisfied. A State may certify each subsequent year of the grant program.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-269. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$6,000,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range for these grants are \$101,549 - \$539,427.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 18 States and Puerto Rico received Section 2010 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59. Regulations are forthcoming and will be published in the 23 CFR Part 1350.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Lloyd S. Blackwell 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://webster.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 2010 by satisfying one or more of six criteria. States must satisfy one criterion in the first year and two criteria in the subsequent years. In sum, the criteria are: (1) offering effective motorcycle rider training courses, (2) developing an effective motorcyclists awareness program, (3) showing a reduction in of fatalities and crashes involving motorcycles, (4) implementing an impaired driving program, (5) showing a reduction of fatalities and accidents involving impaired motorcyclists, and/or (6) showing that all fees collected from motorcyclists are used for motorcyclists safety training and motorcycle awareness. A State must submit documents unique to each criterion the State wishes to qualify showing how the State demonstrates compliance with the criterion. The Notice of Proposed Rulemaking will be published April 2006. There will be a 30 day comment period. The Final Rule is scheduled to be published in June 2006.

**20.613 CHILD SAFETY AND CHILD BOOSTER SEATS INCENTIVE GRANTS**

(Section 2011)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

To encourage States to enact and enforce a child restraint law that requires children up to 65 pounds and under 8 years of age to be properly restrained in a child restraint, unless they are 4' 9" tall.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families. The remaining amounts can be used to carry out child safety seat and child restraint program, including the following: enforcement of child restraint laws; training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints; and educating the public concerning the proper use and installation of child safety seats and child restraints. No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families.

**Applicant Eligibility:**

The grant program is available to the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States submit certifications that it meets eligibility requirements no later than July 1 of each fiscal year. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than July 1 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a New or Changed Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 1 and an Unchanged Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 2011 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Jul 01, 2009 Certifications must be received by the appropriate NHTSA Regional Administrator no later than July 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Applicants should receive a response from the agency between 30 to 90 days of receipt of certification whether their child passenger safety laws meet the Section 2011 criteria.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year no later than July 1 of that fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering the eligible costs incurred. All participants have converted to the Electronic Transfer of Funds method. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. The Annual Report required under the Section 402 State and community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years, following submission of a final expenditure report and other project deliverables, all product contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 08 \$6,000,000; FY 09 est \$7,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range is normally \$101,000 - 540,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The grant shall be used to fund programs for purchasing and distributing child safety seats and restraints to low-income families. The remaining amounts shall be used to carry out child safety seat and child restraint programs including the following: enforcement of child restraint laws, training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints and educating the public concerning the proper use and installation of child safety seats and child restraints. In FY 2008, 18 States and the District of Columbia received Section 2011 grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Judy Hammond, 1200 New Jersey Avenue, SE., Washington, District of Columbia 20590 Email: judy.hammond@dot.gov Phone: (202) 366-2121

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Section 2011 allows States to use up to 50 percent of their grant funds in a fiscal year for the purchase of child safety seats for low income families; enforcement of child restraint laws, training of professionals, law enforcement, fire and rescue personnel in child passenger safety; and for educating the public on the importance of properly restraining children in an age, weight and height appropriate restraint device. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A certification from the Governor's Representative that the State is enforcing a child restraint law that conforms to the criteria established in Section 2011.

**20.614 NATIONAL HIGHWAY TRANSPORTATION SAFETY ADMINISTRATION (NHTSA) DISCRETIONARY SAFETY GRANTS (Highway Safety Research And Development)****FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, , Public Law 103-272, 23 U.S.C 4, as amended by Highway Safety Act of 1966, as amended, Public Law 103-272, 49 U.S.C 327.

**OBJECTIVES:**

To provide funds to conduct research and development on transportation safety and related issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements can only be used for those projects identified in DOT's Annual Appropriation Legislation. The grants and cooperative agreements can only be used for those projects identified in DOT's Annual Appropriation Legislation.

**Applicant Eligibility:**

Grantee application eligibility will be developed on an on individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; U.S. Territory or Possession; Private Non-Profit Institution/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and Local governments, A-21 for Educational Institutions, A-122 for Non-Profit and For-Profit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The application package shall be returned via grants.gov. Award will be made by NHTSA Office of Acquisition Management personnel.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None. The deadlines shall be established in each grant or cooperative agreement application package.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the NHTSA Office of Acquisition Management for approval.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length is specific to each grant or cooperative agreement. The funds can be released in a lump sum, but normally the grantees are reimbursed for funds expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Quarterly progress and expenditures reports are required. The final report is due at the end of the grant or cooperative agreement. Quarterly progress and expenditures reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with federal Acquisition Regulations.

**Records:**

Records are due in accordance with the terms and conditions of each grants or cooperative agreement. Records will be retained in accordance with provisions of OMB Circular No. A-110 for Institutions of Higher Education, Other Nonprofit Organizations, and Commercial Organizations and in accordance with 15 CFR Part 24 for State and Local Governments.

**Account Identification:**

69-0650-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$40,000,000; FY 09 est \$40,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No updated program accomplishments to date. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Highway Safety Act of 1966, as amended (23 U.S.C. Chapter 4) or Public Law 103-272, 49 U.S.C. Chapter 327, formerly the Motor Vehicle Information and Cost Savings Act.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lloyd S. Blackwell 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

lloyd.blackwell@dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Study Underlying Risk Assessment Iowa Click It or Ticket Next Generation Virginia Click It or Ticket Next Generation EMS System Planning and Development The Biomechanical Response of Human Surrogates to Impact. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grantee criteria for selecting proposals will be developed on an on individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**20.615 E-911 GRANT PROGRAM**

9-1-1 Grant Program

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Ensuring Needed Help Arrives Near Callers Employing 911 (ENHANCE 911) Act of 2004, Title I, Section 104, Public Law 108-494, 47 U.S.C 942.

**OBJECTIVES:**

To provide grant funding for the implementation and operation of Phase II enhanced 911 services and for migration to an IP-enabled emergency network.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grant funds awarded may be used only for the acquisition and deployment of hardware and software that enables the implementation and operation of Phase II E-911 services, for the acquisition and deployment of hardware and software to enable the migration to an IP-enabled emergency network, or for the training in the use of such hardware and software, provided such uses have been identified in the State 911 Plan. Grant funds awarded may be used only for the acquisition and deployment of hardware and software that enables the implementation and operation of Phase II E-911 services, for the acquisition and deployment of hardware and software.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applications for grant funds must consist of the following components:

- (1) State 911 Plan that details the projects and activities proposed to be funded and describes the steps the State has taken to meet statutory and programmatic conditions, such as coordination with local governments, tribal organizations, and 911 Public Safety Answering Points (PSAPs).
- (2) Project budget for all proposed projects and activities to be funded by the grant funds, including identification of non-Federal sources, if applicable. The proposed projects and activities must meet the eligible use requirement.
- (3) Supplemental project budget for additional grant funds that may become available. Only applicants that qualify for the initial distribution of grant funds would be eligible to receive additional grant funds, if available. The supplemental project budget must provide as much detail as the project budget, including identification of non-Federal sources, if applicable.
- (4) Designation of a single officer or government body to serve as the E-911 Coordinator of implementation of E-911 services and to sign the certifications required under this part.
- (5) Certifications of statutory and programmatic conditions, including certifying that designated E-911 charges have not been diverted for any purpose. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Federal staff of the National E911 Implementation Coordination Office (ICO) reviews each application. Standard application forms required by the Governmentwide Common Grant Rule for State, Local, and Indian Tribal Governments must be used for this grant program. Assistance from Federal staff of the ICO is continuously available to participants in this program.

This program is eligible for coverage under E.O. 12372, "Intergovernmental

Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. As stated above in the Credentials/Documentation section, an application consists of a State Plan, project budget, supplemental project budget, designation of an E-911 Coordinator and certifications. Applicants must use SF-424, 424A, 424B and SF-LLL.

**Award Procedure:**

Awards are made by the Assistant Secretary for Communication and Information, U.S. Department of Commerce and the Administrator of the National Highway Traffic Safety Administration, U.S. Department of Transportation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Title 1, Chapter 102, Public Law 110-283.

Matching Requirements: Percent: 50.%. Each State, District of Columbia and Puerto Rico must match at least 50 percent of each eligible project with non-Federal sources.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted on vouchers covering costs incurred. All participants have converted to Electronic Transfer of funds. Funds placed under obligation must be expended within three years of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. SF-272. Each grant recipient must submit an annual performance report following the procedures of 49 CFR 18.40 and a final report. Each grant recipient must also submit quarterly financial reports following the procedures of 49 CFR 18.41, except when a final voucher is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period of not less than three years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-1-401.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$41,325,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$250,000 to \$2,841,352.77. Average: \$737,946.43.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulation will be published at 47 CFR Part 400.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Highway Traffic Safety Administration 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Email: national911@dot.gov Phone: (202) 366-3485

**Website Address:**

<http://www.e-911ico.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated to ensure the inclusion of required State Plan, project budget, supplementary project budget (if applicable), designation of E-911 Coordinator and certifications. State Plan will be evaluated for its compliance with eligible use of funds and statutory and programmatic requirements, and project budget will be evaluated for the inclusion of required matching funds as well as the budgets consistency with the State Plan. Federal funds are obligated to support upgrading a State's 911 system, and States have latitude in determining projects upon which they spend their Federal monies.

**20.700 PIPELINE SAFETY PROGRAM BASE GRANTS**

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Natural Gas Pipeline Safety Act of 1968, Public Law 090-481, 86 Stat. 616, 49 U.S.C 1971, as amended by Accountable Pipeline Safety and Partnership Act of 1996, Public Law 104-304, as amended by Pipeline Safety Act of 1979, Public Law 096-129, 93 Stat. 989, as amended by Pipeline Safety Act of 1992, Public Law 102-508, 49 U.S.C 601, as amended by Natural Gas Pipeline Safety Act of 1968, Public Law 092-401, 88 Stat. 802, as amended by Pipeline Safety Reauthorization Act of 1988, Public Law 100-561.

**OBJECTIVES:**

To develop and maintain State natural gas, liquefied natural gas, and hazardous liquid pipeline safety programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as inspection and testing of gas pipelines as well as related travel, training, and research. Funds must be expended for personnel, equipment, and activities reasonably required for the pipeline safety program.

**Applicant Eligibility:**

The Department provides Federal matching funds, up to 50 percent to any State agency with a certificate under Section 60105 of Title 49, United States Code, an agreement under Section 60106 of Title 49, United States Code, or to any State acting as a DOT agent on interstate pipelines. State must agree that the aggregate expenditures of State funds, exclusive of Federal funds, on the pipeline program for the calendar year to which the Federal funds apply are/not less than the average level of such expenditures on the program for the last 2 fiscal years preceding enactment of the Pipeline Safety Acts.

**Beneficiary Eligibility:**

State agency.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and "Procedural Guide for the Pipeline Safety Grant Program." Application (plan) due date is September 30. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State submits with its annual application a summary of estimated program costs by calendar year covering the State gas and/or hazardous liquid pipeline safety activities to the Pipeline and Hazardous Materials Safety Administration, DOT. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made by the Pipeline and Harardous Materials Safety Administration, DOT, Washington, DC.

**Deadlines:**

Sep 30, 2009 Applications are submitted by September 30 for the next calendar year. A later date for filing applications is established if appropriations are not available by September 30.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days from date of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 80.%. This program has no statutory formula. The Federal Pipeline Safety Law authorizes Federal reimbursement of up to 80 percent of a State's expenditure during the year for personnel, equipment, and activities reasonably required by the State agency for the conduct of its pipeline safety program. The Law further stipulates that the State expenditures in any given year, without Federal assistance, cannot be less than the average amount expended by the State for gas and hazardous liquid safety programs for the 3 fiscal years prior to the fiscal year in which the Secretary makes the payment, except when the Secretary waives this requirement. The State agency must also agree to provide the remaining cost of the safety program(s). Within these limitations, the available funds are allocated by a method designed to reflect the degree to which a State has met certain goals established. The allocation is determined by assigning point values to the States for having achieved certain levels of program participation, dividing this point score by the sum of the States' point scores, and multiplying this ratio by the amount available for the distribution. PHMSA distributed the remaining funds according to certain criteria designed to seek improvements in State programs. The criteria used by PHMSA were the extent of intrastate jurisdiction, inspector qualifications, recommended number of inspection person-days, State adoption of applicable Federal regulations, and other relevant criteria. In 2008, the Federal allocations represented 41 percent of the estimated State requests in the natural gas program (range: 37 to 43 percent) and the Federal allocations represented 42 percent of the estimated State requests in the hazardous liquid program (range: 37 to 41 percent).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures made by a State during the calendar year are eligible for Federal reimbursement. States receiving Federal assistance submit claims for reimbursement in July for the Federal share of the cost of actual expenditures between January 1 and June 30 of the year, and in January for Federal share of the cost of actual expenditures between July and December 31 of the year.

Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. Annual activity reports. SF-269.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the program shall be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$19,500,000; FY 09 est \$29,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The range of grants awarded \$22,000 - \$1,400,000. Average -- \$353,00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Forty-nine State agencies requested and received allocations for fiscal year 2008

for gas and/or liquid grant funds. No eligible State applicant was rejected. State agencies are increasing their knowledge of pipeline operators and conducting activities encouraging increasing safety of their pipeline systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, Pipeline Safety Program, Oklahoma City, Oklahoma 73125. "Procedural Guide for the Pipeline Safety Grant Program." "Guidelines for States Participating in the Pipeline Safety Program." "Guidance Manual for Operators of Small Gas Systems."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Zach Barrett 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Phone: (202) 366-4595.

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State Pipeline Safety Program. Fiscal Year 2009: State Pipeline Safety Program. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible State pipeline safety regulatory agencies are considered for funding to the limit of available grant money.

**20.701 UNIVERSITY TRANSPORTATION CENTERS PROGRAM**

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Title 49, Part 5338, 5505-5506.

**OBJECTIVES:**

To provide grants to nonprofit institutions of higher learning for the purpose of establishing and operating university transportation centers that conduct research, education, and technology transfer programs addressing regional and national transportation issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The University Transportation Centers will address surface transportation problems and issues and will seek solutions to both long-range and immediate transportation problems. See below for information about grant matching requirements.

**Applicant Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Beneficiary Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets program mission and goals; proposed management of the center; detailed delineation of organization, staff, faculty, and budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Two competitive selections for new grants will be held during 2006 for 1) one grant in each of ten standard Federal regions of the U.S. and 2) ten other grants with no locational restrictions. Applications will consist of standard Federal grant application and related forms and a proposal prepared to specifications that the agency will provide.

**Award Procedure:**

Applications will be reviewed by a Departmental panel. Selection will be made by the RITA Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive grants are for a four-year period; noncompetitive grants are for periods stated in the authorizing legislation. Grants are renewable each year upon satisfactory completion of prior-year work.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The Federal share of a grant shall be 50 percent of the costs of establishing and operating the university

transportation center.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Three, four, or five years as designated in the authorizing legislation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-272. Semi-annual and annual progress and financial reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Consistent with OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8083-0-7-401; 69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$83,400,000; FY 09 est \$85,900,000; FY 10 est \$85,900,000

**Range and Average of Financial Assistance:**

The range for grants awarded are \$300,000 -\$3,500, 000 per center per fiscal year depending upon language in the authorizing legislation.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The University Transportation Centers Program began in fiscal year 1988. Each center is extensively involved in research directly related to regional and national transportation issues. The centers also educate hundreds of students each year and built partnerships with state and local government as well as industry. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Posted on the University Transportation Centers Program website at <http://utc.dot.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Promod.Chandhok Office of Innovation, Research, and Education (RDT-30); Department of Transportation; 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: [Promod.Chandhok@dot.gov](mailto:Promod.Chandhok@dot.gov) Phone: (800) 853-1351

**Website Address:**

<http://utc.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See Agency website. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Resources available to conduct work of center; leadership in transportation; established transportation programs in prior years; ability to disseminate results (full text found in authorizing legislation at 49 U.S.C. 5506).

**20.703 INTERAGENCY HAZARDOUS MATERIALS PUBLIC SECTOR TRAINING AND PLANNING GRANTS**

(Hazardous Materials Emergency Preparedness Training and Planning Grants, (HMEP))

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, Public Law 49-5105.

**OBJECTIVES:**

To increase State, local, territorial and Native American tribal effectiveness to safely and efficiently handle hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency planning and training by incorporating response to transportation standards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grant program will be used to increase the emphasis on transportation in ongoing efforts and to improve the capability of communities to plan for and respond to the full range of potential risks posed by accidents and incidents involving hazardous materials. The grants have two principal uses: First, to assist States, Territories and Native American Tribes in developing, improving and implementing emergency response plans under EPCRA; including the determination of flow patterns of hazardous materials within a State, between States and Native American lands; determining the need for regional hazardous materials response teams. Second, to stimulate support for training of Public Sector employees to respond to accidents and incidents involving hazardous materials.

**Applicant Eligibility:**

States, U. S. Territories and Federally recognized Native American Tribes may apply for either or both planning and training grants. The Governor or Official of each eligible applicant has been asked to designate an agency responsible for managing the program. DOT will work with the designated organization.

**Beneficiary Eligibility:**

All segments of the U.S. including Territories and Native American tribal populations that are involved with management of or possible exposure to hazardous materials are benefited. Specifically Federal, State, and local responsibilities are assisted through the HMTA grant program. Students and trainees in emergency response and local emergency planning activities are program beneficiaries since grant funds will be used to benefit local programs.

**Credentials/Documentation:**

Applicants must certify that they meet or exceed a nonfederal maintenance of effort level equivalent to the average of aggregate nonfederal applicant expenditures for the preceding 2 years. They must also certify that the State, Territory or Native American Tribe is complying with sections 301 and 303 of EPCRA. Those States, Territories or Native American Tribes must agree to make at least 75 percent of the Federal planning funds awarded available to Local Emergency Planning Committees (LEPCs) for developing, improving, or implementing emergency plans, and 75 percent of the benefit of training funds available to local emergency responders. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact his or her, State, Territory or Native American Tribe for more information on the process required to follow in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. Applicants are to complete and submit an original and 1 copy of Standard Form 424. The application must follow guidance provided in the HMEP Application Kit that was transmitted to the Governor's designated agency in each State, Territory or Native American Tribe. The kit may be obtained from the HMEP Grants Manager. Completed applications are to be sent to HMEP Grants Manager, Research and Special Programs Administration, 400 Seventh Street, SW., DHM-64, Washington, DC 20590. Funded applications will be subject to the Public Sector Planning and Training Grants Program regulation 49 Code of Federal Regulations (CFR), part 110, and 49 CFR, part 18, the A-102 based regulation, which governs all DOT grant programs.

**Award Procedure:**

The decision to fund will be made by the HMEP Grants Manager after considering internal review.

**Deadlines:**

Jul 01, 2009 The deadline for submitting applications is July 1 for States, Territories, and Native American Tribes. Grant awards will be made in September.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

The statement of work will normally call for 6 years of project activities within shorter budget periods (usually 1 year). Each budget period after the first award will be funded subject to availability of funds and satisfactory progress as determined by review of continuation application proposals.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%. Nonfederal cost sharing of at least 20 percent of total project costs is required under provisions of HMEP, Section 117A(d). This program has maintenance of effort requirements; see funding agency for further details.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of project periods may extend from time of initial award through fiscal year 2010; however phased accomplishments or budget periods will limit the time frame for the funds awarded. Payments will generally be reimbursable, paid based on submission of a Request For Advance or Reimbursement Form 270 using DOT automated clearinghouse electronic transfer procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Requirements are specifically indicated in the award document and may vary from project to project. All applications for continuation grants must be supported by progress reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of technical and financial accomplishments must be maintained for 3 years after submission of an acceptable final Financial Status Report, or until any unresolved audit issues are resolved.

**Account Identification:**

69-5282-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$26,800,000; FY 09 est \$26,800,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The grant award ranges are \$4000 - \$1,642,592. The average is \$ 180,281.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the beginning of the grant program, all States and territories and 41 Indian tribes have received over \$182million in assistance. The HMEP program has set aside 3 percent of planning and training funds to support Federally recognized Native American tribes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 Code of Federal Regulations, Part 110, Hazardous Materials Public Sector Training and Planning Grants; 49 Code of Federal Regulations, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and Indian tribes. A grant application kit is available from DOT that includes all guidance, regulatory and administrative requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Charles Rogoff 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Phone: (202) 366-0001

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Hazardous Materials Awareness, Technician and Specialist training, LEPC planning preparation, hazards analyses studies, commodity flow studies, and needs assessment for regional response teams and number of response personnel needing to be trained. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable for grants to States and Territories. Grants made from the set aside for Native American Tribes will be in accordance with the following selection criteria: (1) Potential Benefit (30 points); (2) Priority Need (40 points); (3) Number of Public Sector Employees Trained (20 points); (4) Long Term Benefit to Tribe (10 points); (5) Past Performance (10 points).

**20.704 RITA HYDROGEN**

(SAFTEA-LU Hydrogen R&D)

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) 2005, 23 U.S.C 5513.

**OBJECTIVES:**

To Provide research grants to nonprofit institutions of higher learning for the purpose of conducting transportation related research, education, and technology transfer programs concerning national transportation issues in the areas of propulsion technology and alternative fuels.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in 23 U.S.C. 502 SEC. 5513. The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects. The grantees will conduct research according to the provisions provided in 23 U.S.C. 502 SEC. 5513.

**Applicant Eligibility:**

Earmark recipients as designated by 23 U.S.C. 502 SEC. 5513.



**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. The Federal share of this grant shall be 20 percent of the funds received by the grantee. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

4 years, as designated in 23 U.S.C. 502 SEC. 5513. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-272. Quarterly progress reports and annual project reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$495,000; FY 09 est \$1,395,000; FY 10 est \$495,000

**Range and Average of Financial Assistance:**

The range of grants awarded are \$370,000 - \$1,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Standards testing for hydrogen storage and hazardous materials training for emergency responders. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Research Development and Technology (RDT) Department of Transportation 1200 New Jersey Avenue, S.E., E33-302, Washington, District of Columbia 20590 Phone: (202) 366-5459

**Website Address:**

<http://www.hydrogen.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.710 TECHNICAL ASSISTANCE GRANTS****FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Section 5 of the Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006, 49 U.S.C 60130.

**OBJECTIVES:**

Development of engineering and other scientific analysis of pipeline safety issues, including the promotion of public participation in official proceedings.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The grant program is intended to allow communities and groups of individuals (not including for-profit entities) to obtain funding for technical assistance in the form of engineering or other scientific analysis of pipeline safety issues and help promote public participation in official proceedings. Grant funds may not be used for lobbying or in direct support of litigation. Grant funds may not be used for lobbying or in direct support of litigation.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

A written application addressing the evaluation criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Through the website at [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

A committee of stakeholders will review applications. Grants will be awarded to applicants with the highest merit until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applications due 60 to 90 days after opportunity is posted to [www.Grants.gov](http://www.Grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year from date of award. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. SF-272. Each grant recipient will be required to provide a report to PHMSA demonstrating completion of the work as outlined in the grant agreement. Further, each recipient of a grant must ensure that: (1) The technical findings made possible by the grants are made available to the relevant operators; and (2) Open communication is maintained between the grant recipients, local operators, local communities and other interested parties. SF-269. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain: (a) documentation supporting the cost incurred under the grant, (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$1,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range is \$0 - \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Materials Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE, East Building, 2nd Floor, Washington, DC 20590, Telephone: (202) 366-4595, Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Steve Fischer, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: steve.fischer@dot.gov Phone: (202) 366-6855

**Website Address:**

<http://www.phmsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In keeping with Congressional intent, PHMSA has developed proposal

evaluation criteria to be used to rate and select competing proposals. Together, these criteria are intended to identify projects that target high-risk areas; offer well-defined plans; foster open communication with a local community and/or affected pipeline operators; and produce results that are measurable and transferable to other communities and/or technology development.

The evaluation criteria are as follows:

1. The extent to which the Applicants project scope is focused on areas where a pipeline failure could pose a significant risk to people or to unusually sensitive environmental areas;
2. The extent to which the proposed project scope demonstrates an understanding of the specific concern the Applicant wishes to address, as well as the range of risks affected pipelines pose to the affected geographic area and the risks the community poses to the pipelines;
3. The extent to which the proposal demonstrates the Applicants experience with and commitment to open communication with affected operators and to partnerships with other key members of the community;
4. The extent to which the Applicants project is designed to improve performance and safety over time in areas such as engineering, damage prevention, land use, public education, emergency response, and community awareness;
5. The extent to which the Applicants project plan establishes clear goals, objectives, milestones, and estimates of project costs;
6. The extent to which the Applicant has a plan for evaluating and disseminating results; and
7. The extent to which the Applicants project scope provides the potential for learning or technology transfer to other groups and communities.

**20.720 STATE DAMAGE PREVENTION PROGRAM GRANTS**

(SDPP Grants)

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

PIPES Act Section 2(b), which added Section 60134 to the Pipeline Safety Law.

**OBJECTIVES:**

To improve State Damage prevention programs, which are intended to protect underground facilities from excavation damage.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Personnel, equipment, and activities that are needed by the State authority to enhance damage prevention programs. Grant funds may not be used for lobbying or in direct support of litigation. Grant funds may not be used for lobbying or in direct support of litigation.

**Applicant Eligibility:**

Any State (including U.S. Territory or possessions) authority designated by the Governor is eligible to apply for a grant as long as an agency within the State (including U.S. Territory or possessions) has an annual Section 60105 (49 U.S.C.) certification or Section 60106 (49 U.S.C.) agreement in effect with PHMSA. If a State (including U.S. Territory or possessions) does not have a certification or agreement with PHMSA, then no State (including U.S. Territory or possessions) authority can receive a grant.

**Beneficiary Eligibility:**

State Government, U.S. Territory and possessions would receive the ultimate benefit from this program.

**Credentials/Documentation:**

A written application describing the current status of the State Damage Prevention Program and plans for improvements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Through the website at [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Panel of stakeholders will review and score applications. Grants will be awarded to applicants with the highest score until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Sixty days after application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is a restriction on the time permitted to spend the money awarded. It must be spent within the calendar year of the grant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final report within 30 days of the end of the grant period. SF-272. Status report is due six months after the start date of the grant. SF-269. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain: (a) documentation supporting the cost incurred under the grant, and (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$1,327,497; FY 09 est \$1,047,000; FY 10 est \$2,100,000

**Range and Average of Financial Assistance:**

The grants awarded range \$39,000-\$100,000. The average is \$87,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately \$1.3 million in grants were awarded to 15 States in calendar year 2008. A summary of the 2008 and 2009 State Damage Prevention Program grants is available <http://primis.phmsa.dot.gov>. Fiscal Year 2009: Approximately \$1.3 million in grants were awarded to 15 States in calendar year 2008. A summary of the 2008 and 2009 State Damage Prevention Program grants is available at <http://primis.phmsa.dot.gov>. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Material Safety Administration, Department of

Transportation, 1200 New Jersey Avenue, SE East Building, 2nd Floor, Washington, DC 205901, Telephone: (202) 366-4595 Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sam Hall, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: [sam.hall@dot.gov](mailto:sam.hall@dot.gov) Phone: (804) 556-4678.

**Website Address:**

<http://www.phmsa.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible state agencies are considered for funding based on their statewide damage prevention program (or a detailed plan to develop a program within 4 years) that implements the 9 elements of an effective damage prevention program identified in Section 2(b) of the PIPES Act (Pipeline Safety Laws 49 U.S.C. Section 60134).

**20.721 PHMSA PIPELINE SAFETY PROGRAM ONE CALL GRANT****FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, 49 U.S.C 5105 et seq.

**OBJECTIVES:**

To provide funding to State agencies in promoting damage prevention, including changes with their State underground damage prevention laws, related compliance activities, training and public education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics, compliance/noncompliance statistics, One-call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for locators, development and/or distribution of promotional items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center promotional items.

**Applicant Eligibility:**

This optional grant is only open for states that have a certification or agreement with US DOT Pipeline and Hazardous Materials Safety Administration (PHMSA) to do pipeline safety inspections. State agencies who participate in the pipeline safety program are eligible to apply for One Call grant funding on an annual basis. This optional grant program has a maximum amount request of \$50,000 per state and supports initiatives to further promote efforts specifically for damage prevention, including one-call legislation, related compliance activities, training and public education.

**Beneficiary Eligibility:**

State agency.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular Number A-87 for State and local governments, and "One Call Application Instructions". Application (plan) is opened on October 15 and due November 15. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State submits a detailed description of the proposed project activity in one or more of the three priority categories available with requested costs on how the money would be spent and why. The maximum amount requested per state is limited to \$50,000. The application will be specific regarding what the funding would buy, and what otherwise unmet need the funding would help resolve. If the proposed activity was previously submitted and approved, the applicant will be required to provide a description of results from previous action of the activity.

**Award Procedure:**

Awards are made by the DOT, Pipeline and Hazardous Materials Safety Administration, Washington, DC.

**Deadlines:**

Nov 15, 2009 Applications are submitted by November 15 for the next calendar year. A later date for filing applications is established if appropriations are not available by November 15.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures must be used during the calendar year when the grant is awarded. Funds not used will be deducted from the State agencies Pipeline Safety Program End-Year reimbursement request. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. SF-272. Annual activity report. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the projects shall be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$1,043,000; FY 09 est \$1,043,000; FY 10 est \$1,043,000

**Range and Average of Financial Assistance:**

The range for grants awarded \$9,500 to \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: PHMSA received 37 applications for the "PHMSA Pipeline Safety Program One Call Grant" for CY2009. The applications totaled

\$1,792,687 and the appropriation for these grants was \$1,043,000. No eligible State applicant was rejected. State agencies are awarded grants funds to help educate the public and contractors about the prevention of damage to all underground facilities. This awareness program and other similar projects assisted in reducing accidents and damages from occurring on natural gas and liquid pipeline systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, PHMSA Training and Qualification, Oklahoma City, Oklahoma 73125. "Guidelines for States Participating in the Pipeline Safety Program."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Department of Transportation, Pipeline and Hazardous Materials Safety Administration, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Phone: (202) 366-4595.

**Website Address:**

<http://www.phmsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Compliance Enforcement and Monitoring, One Call Membership Initiatives for Operators, Implementation of One Call Laws and Regulations, Excavator and Public Awareness, Public Service Announcements, Equipment to support on-going enforcement program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible State utility regulatory agencies are considered for funding to the limit of available grant money. The maximum amount requested per state is limited to \$50,000.

**20.722 TECHNOLOGY DEVELOPMENT GRANT**

Technology Development Grant

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006, Public Law 109-468, 49 U.S.C 60114(g).

**OBJECTIVES:**

To enhance the prominence of underground facility construction design, management, and emerging technologies that will facilitate the prevention of pipeline damage caused by demolition, excavation, tunneling, or construction activities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The grant program is intended to allow non-profit organizations to obtain funding for technical assistance to improve knowledge of safe underground facility construction techniques and emerging technologies available to detect, locate and avoid existing underground facilities. Funds provided through Technology Development Grants may not be used for lobbying or in direct support of litigation. Technology Development Grants may not be used for lobbying or in direct support of litigation.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

A written application addressing the evaluation criteria listed below. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply online at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

PHMSA will conduct an initial administrative review of each completed application to determine if it is complete and meets eligibility requirements. All applications that pass the administrative review will be scored based on the selection criteria. PHMSA may award one or more Technology Development Grant(s) based on the quality of the proposals received and evaluated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

45 to 60 days after the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 60114(g), Public Law 109-468.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is a restriction on the time permitted to spend the money awarded. It must be spent by September 30, 2014. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each grant recipient will be required to provide a report to PHMSA demonstrating completion of the work as outlined in the grant agreement. Further, each recipient of a grant must ensure that:

1. The technical findings made possible by the grants are made available to the relevant operators; and
2. Open communication is maintained between the grant recipients, local operators, local communities and other interested parties. SF-272. Progress reports are not applicable. SF-269. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients must maintain: (a) documentation supporting the cost incurred under the grant, and (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$500,000; FY 10 est not reported. - 2010 est. not available.

**Range and Average of Financial Assistance:**

\$50,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Transportation, Pipeline and Hazardous Materials S 1200 New Jersey Avenue, S.E  
Room E24-462, Washington, District of Columbia 20590 Phone: (202) 493-0591

**Website Address:**

<http://www.phmsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

PHMSA will evaluate applications on based on the three criteria below. All three criteria are weighted equally.

- (1) The overall quality of the proposal to enhance the prominence of underground facility construction design, management, and emerging technologies that will facilitate the prevention of pipeline damage caused by demolition, excavation, tunneling or construction activities.
- (2) The potential of the proposal to reduce the risk of excavation damage to pipelines.
- (3) The potential for the emerging technology to be commercialized and applied to addressing real-world damage prevention concerns.

**20.761 BIOBASED TRANSPORTATION RESEARCH**

(Biobased R&D)

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA- LU), Public Law 109-59, 119 Stat. 1781.

**OBJECTIVES:**

Carry out biobased research of national importance at the National Biodiesel Board and at research centers identified in section 9011 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8109).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781) Subtitle B Title V Section 5101 (m) The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU , Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B Title V Section 5101 (m).

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular nos A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is

excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Fifteen working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. The Federal share of this grant shall be 50% of the funds received by the grantee. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Four years as designated in: SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1781) Subtitle B Title V Section 5101 (m). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-272. Quarterly progress reports and annual project reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$12,840,435; FY 09 est \$11,466,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The range is between \$9,000,000 - \$13,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Research on Biofuels funded at state land grant colleges and the National Biodiesel Board. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m).

**Regional or Local Office:**

None.

**Headquarters Office:**

Promod.Chandhok 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: Promod.Chandhok@dot.gov Phone: (800) 853-1351

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.762 RESEARCH GRANTS**

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA\_LU), 49 U.S.C 5513.

**OBJECTIVES:**

A. Grant Award to Cold Region and Rural Transportation Research, Maintenance, and Operations, Western Montana Transportation Institute; B. Grant Award to Rural Transportation Research Initiative Upper Great Plains Transportation Institute, North Dakota State University; C. Grant Award to Appalachian Regional Commission.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A. The Research Grant will be used to develop a research facility in Lewiston, Montana for basic and applied research and testing on surface transportation issues facing rural and cold regions. B. The Research Grant will be used to carry out the Rural Transportation Research Initiative. C. The Research Grant will be used to conduct a feasibility study for the creation of a system of inland ports and distribution centers in Appalachia.

**Applicant Eligibility:**

Legislated grants in SAFETEA-LU Section 5513(d),(g) and (i).

**Beneficiary Eligibility:**

Public Institutions of Higher Learning, Partnerships between Federal and State agencies.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets the grant mission and goals; proposed management of the research; detail delineation of organization, staff, and budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. It is recommended that applicants use the procedures prescribed in grants.gov to facilitate an electronic application process. This will allow applicants the opportunity to submit all required forms, along with the necessary technical and cost proposals as prescribed in the relevant Opportunity description.

**Award Procedure:**

The department staff will review the application for the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

See award procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. The Federal share of the grant shall be 80 percent of the costs of the activities carried out by the program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Four years -- FY 2006 through FY 2009. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-272. Annual reports are required. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As specified in the application proposal.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each transportation center is extensively involved in innovative research in areas of transportation. This research aims to advance the theoretical and the practical nature of applications in transportation planning, logistics, engineering, and operations within all modes of transportation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Promod.Chandhok 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: Promod.Chandhok@dot.gov Phone: (800) 853-1351

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.763 RESEARCH AND INNOVATIVE TECHNOLOGY (RIT)**

**HYDROGEN ALTERNATIVE FUEL LIFE CYCLE**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-9.

**OBJECTIVES:**

Conduct research evaluating Hydrogen and Alternative Fuel Life Cycle.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-9, August 10, 2005 119 Stat. 1781, Subtitle B, Title 1, Section 1702 4591. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU Public Law 109-9, August 10, 2005, 119 Stat. 1781, Subtitle B, Title 1 Section 1702 459.

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the Program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the Program's remaining authorization (through 2009).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. 15 Working Days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 80%. The Federal share of this grant shall be 20 percent of the funds received by the grantee.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

See SAFTEA- LU (Public Law 109-9, August 10, 2005 119 Stat. 1781) Subtitle B, Title 1 section 1702 4591. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-272. Quarterly

progress reports and annual project reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-0-1-407.

**Obligations:**

(Project Grants) FY 08 \$738,294; FY 09 est \$738,294; FY 10 est not reported. - The range for grants are \$700,000 - \$738,000.

**Range and Average of Financial Assistance:**

The range for grants are \$700,000 - \$738,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Emission testings of alternative fuels and testing of hydrogen hybrid car. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B, Title 1 Section 1702 4591.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.764 HYDROGEN STORAGE RESEARCH AND DEVELOPMENT**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA-LU), Public Law 109-59, 1406 Stat. 3891.

**OBJECTIVES:**

To conduct research to develop hydrogen storage technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406) number 3891. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406.) number 3891.

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. 15 working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. The Federal share of this grant shall be 20 percent of the funds received by the grantee. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat 1406. number 3891. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final technical report at the end of each research project. SF-272. Quarterly progress reports and annual project reports. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Receipt is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-0-1-407.

**Obligations:**

(Project Grants) FY 08 \$730,000; FY 09 est \$750,000; FY 10 est \$0



**Range and Average of Financial Assistance:**

Average is the amount obligated.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Become an alternative fuel Center of Excellence for Upstate New York.

Produce a stand-alone report on the impact of E20 ethanol fuel on older vehicles.

Quantify and assess the technology readiness of the four alternative fuel propulsion technologies: biodiesel, ethanol, hydrogen internal combustion engine and electricity.

Established and developed a comprehensive analysis and testing capability for alternative fuel concepts that could be employed on future alternative fuel programs.

Identify and recommend areas for further downstream research.

Offer balanced data on the advantages and disadvantages of alternative fuels.

Produce an alternative fuel handbook or deskbook for use by public or private fleet managers and other organizations that wish to embark on new alternative fuel programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

M. J. Fiocco 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-8018

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.802 FEDERAL SHIP FINANCING GUARANTEES**

(Title XI)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Federal Credit Reform Act, 46 U.S.C 537.

**OBJECTIVES:**

To provide competitive financing through the issuance of guarantees of debt issued for the purpose of financing or refinancing the construction, reconstruction or reconditioning of vessels built in United States shipyards and guarantee obligations for advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States to stimulate commercial ship construction for domestic and export sales, encourage shipyard modernization, and support increased productivity.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Guarantees are available to aid in financing of: 1) advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States, and 2) vessels (including eligible export vessels) which are designed for research or for commercial use (a) in coastwise or intercoastal trade; (b) on the Great Lakes or on bays, sounds, rivers, harbors, or inland lakes of the United States; (c) in foreign trade; (d) as an ocean thermal energy conversion facility or plantship; (e) as floating drydocks, or (f) with respect to an eligible export vessel, in world-wide trade. Any vessel of not less than 5 net tons, (other than a towboat, barge, scow, lighter, car float, canal boat or tank vessel of less than 25 gross tons) is eligible.

**Applicant Eligibility:**

An individual with the ability, experience, financial resources, and other qualifications necessary for the adequate operation and maintenance of a vessel or an eligible shipyard.

**Beneficiary Eligibility:**

U.S. and foreign shipowners, or eligible U.S. shipyards.

**Credentials/Documentation:**

Financial history, economic feasibility of project, operating history, citizenship of applicant. This program is excluded from coverage design and specification information under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal preapplication meeting is recommended. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form MA-163 must be filed with the Office of Shipyards and Marine Financing, Maritime Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590.

**Award Procedure:**

Final approval granted by the Maritime Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 60 days.

**Appeals:**

none.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance provided as ship/shipbuilding technology is constructed and/or throughout life of ship/shipbuilding technology, but in any case not to exceed 25 years from vessel delivery or economic life of the assets being financed. Method of awarding/releasing assistance: by letter of credit.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. See "Index of Current Regulations," Maritime Administration.

**Records:**

Financial reports as per contract. Annual reports regarding citizenship, no default certificates, vessel requirements.

**Account Identification:**

69-1752-0-3-403.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$8,408,000; FY 09 est \$3,531,000; FY 10 est \$3,531,000 - (New loan guarantee commitments and administrative expenses) FY 08 \$8,408,000; FY 09 \$3,531,000; and FY 10 \$3,531,000.

**Range and Average of Financial Assistance:**

Historically projects have ranged from less than \$1 million to several hundred

million. (Average is not entered, because it would not be typical of the breadth of the program.).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No applications were approved in fiscal year 2008. As of March 18, 2009, one application has been approved in fiscal year 2009. There are five applications pending. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 298. Booklet entitled, "Federal Ship Financing Program."

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.415 Fisheries Finance Program; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In the past approvals were granted to aid in the construction of: tankers, cargo ships, LNGs, Bulk/OBOs, integrated tug/barge units, drill rigs, offshore service vessels, ocean tugs and barges, river tugs and barges, shipboard lighters, passenger vessels, ferries, and miscellaneous vessels and advanced and modern shipbuilding technology. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects which involve the construction, reconstruction or reconditioning of vessels in the United States and advanced and modern shipbuilding technology for a general shipyard facility are eligible for Title XI financing. In order to receive approval, applicants must possess the necessary ability, experience, financial resources and other qualifications. The financial resources necessary for the project are determined by the project's costs and the financial position and resources available to the applicant. Additionally, all projects must be determined to be economically feasible before approval can be granted. Applications are generally processed with a view towards accommodating the time frame of each and every applicant.

**20.803 MARITIME WAR RISK INSURANCE**

(Title XII, MMA, 1936)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Public Law 104-106, 46 U.S.C 1281-1294.

**OBJECTIVES:**

To provide war risk insurance whenever it appears to the Secretary of Transportation that adequate insurance for waterborne commerce cannot be obtained on reasonable terms and conditions from licensed insurance companies in the United States.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Insurance binders or policies on certain vessels in operation or under construction are provided for nominal cost in peacetime.

**Applicant Eligibility:**

All U.S. flag vessels, and certain foreign flag vessels meeting specific criteria as determined by the Maritime Administrator.

**Beneficiary Eligibility:**

Vessel owners, their crews, and certain designated beneficiaries of deceased crew members.

**Credentials/Documentation:**

Applications, vessel data, unqualified contract of commitment, and other supporting data as required by 46 CFR Part 308. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete and proper filing of applications, supporting documents, and payment of appropriate binding fees or promises as specified in 46 CFR Part 308.

**Award Procedure:**

Binders issued only to those applicants that qualify.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 5 to 15 working days.

**Appeals:**

Not Applicable.

**Renewals:**

This program has been extended until December 31, 2010.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indeterminate; depends on war situation and posture of the country. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable in peacetime.

**Account Identification:**

69-4302-0-3-403.

**Obligations:**

(Insurance) FY 08 \$77,000; FY 09 est not reported.; FY 10 est not reported. - Obligations (Contractual fees and underwriting agents' fees)FY 08 \$77,000; FY 09 \$0; and FY 10 \$0.

**Range and Average of Financial Assistance:**

Applicable only in designated combat areas, subject to terms of the binder.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of June 1, 2009, 300 war risk binders have been issued to U.S. citizen-owned and foreign-flag registry and their crews. Insurance affected under these binders cannot be obtained commercially during wartime. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations are set forth under 46 CFR 308 (as published under authority of Public Law 101-115) and 309 as amended from time to time in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. American War Risk Agency, 30 Broad Street 7th floor, New York, NY 10004 Telephone: (212) 405-2814.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.806 STATE MARITIME SCHOOLS****FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 96-453.

**OBJECTIVES:**

To train future merchant marine officers in State Maritime Schools.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Operation and maintenance of State Maritime Schools; maintenance and repair of training vessels loaned by Federal Government; student incentive payments to selected cadets.

**Applicant Eligibility:**

States. Limited to one academy in any one State.

**Beneficiary Eligibility:**

Students, meeting eligibility requirements.

**Credentials/Documentation:**

Formal application from State Governor setting forth evidence of establishment of school; State appropriation for the school; suitable curriculum and facilities. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letter from a State Governor to the Secretary of Transportation or the Maritime Administrator. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Need for training must be established. The final award is approved by the Maritime Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State contracts for assistance automatically extended year by year unless cancelled.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Annual assistance payment of \$400,000 to regional academies if matched by State appropriations and if out-of-State students are

enrolled. Federal assistance consists of (1) lump-sum annual assistance payment to schools, (2) loan of vessel and payment for its maintenance, and (3) student incentive payments. States are required to show that their annual funding for the school at least matches the Federal lump sum assistance payment. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual payments to the schools are given on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-272. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-269. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Pertaining to each school, its officers, faculty and students, the vessel and crew, and the shore base are required to be kept for the period of employment/enrollment, plus 6 years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$13,181,000; FY 09 est \$14,500,000; FY 10 est \$15,640,000

**Range and Average of Financial Assistance:**

Annual assistance payment of \$315,000 to each regional school provided State matches funds and admits eligible out-of-state student. An allowance of \$4,000 per academic year, not to exceed 4 years, paid to selected students in good standing in the student incentive payment program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 547 licensed mariners graduated from the State maritime schools in 2008. Forty-eight cadets who received student incentive payments graduated as Merchant Marine officers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310A; Standard college catalogs are available from the schools listed below.

**Regional or Local Office:**

See Regional Agency Offices. (a) Federal Government: none; (b) standard information for prospective students: Maine Maritime Academy, Castine, ME 04421; Massachusetts Maritime Academy, Buzzards Bay, MA 02532; State University of New York Maritime College, Fort Schuyler, NY 10465; Texas Maritime Academy, Galveston, TX 77550; California Maritime Academy, Vallejo, CA 94591; Great Lakes Maritime Academy, Traverse City, MI 49684.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 20.807 U.S. Merchant Marine Academy

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See USES AND USE RESTRICTIONS section of this program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No

Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.807 U.S. MERCHANT MARINE ACADEMY**

(Kings Point)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 96-453.

**OBJECTIVES:**

To educate and train merchant marine officers.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

This program is a federally operated maritime academy providing education, training, subsistence, books, quarters, uniforms, medical care, and program travel to its U.S. citizen students without cost. Appropriations restricted to the above and the operation and maintenance of the school. International student costs subject to legislation.

**Applicant Eligibility:**

High school graduates who are U.S. citizens and international students in accordance with legislation. In general, criteria are similar to those generally used for college admission.

**Beneficiary Eligibility:**

High school graduates who are U.S. citizens and eligible international students.

**Credentials/Documentation:**

Usual documents for college admission and a comprehensive physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

U.S. citizens desiring appointment to the school apply to Senators or Congresspersons for nomination. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Nominating officials submit nominations to school's Office of Admission. Selection is competitive by merit.

**Award Procedure:**

Appointment approved by the Maritime Administrator.

**Deadlines:**

Mar 01, 2010: Application. Nominations must be submitted by January 31 of the year preceding that in which admission is desired. Applications must be submitted by March 1 of the year in which admission is desired.

**Range of Approval/Disapproval Time:**

From 3 to 8 months.

**Appeals:**

To the school.

**Renewals:**

Applicants not accepted may reapply the following year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Students are furnished with all required uniforms and textbooks during their 4 years at the Academy. Method of awarding/releasing assistance: lump sum.

**Reports:**

At the request of the Maritime Administration. SF-272. At the request of the Maritime Administration. SF-269. At the request of the Maritime Administration.

**Audits:**

Not Applicable.

**Records:**

Copies will be furnished at the request of the Maritime Administration. Those pertaining to its officers, faculty, staff and midshipmen shall be kept for the period of enrollment plus eight years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Training) FY 08 \$62,747,000; FY 09 est \$61,358,000; FY 10 est \$74,448,000

**Range and Average of Financial Assistance:**

Allowance prescribed for all personnel for uniforms and textbooks. During the ea year a midshipman will earn \$700 per month for his or her steamship company employer.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 211 merchant marine officers graduated in June 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310C; Standard college catalogs and brochures.

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Field Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See USES AND USE RESTRICTIONS section of this program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.808 CAPITAL CONSTRUCTION FUND**

(CCF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 607, Public Law 91-469, 1018 Stat. , 46 U.S.C 535.

**OBJECTIVES:**

To provide for replacement vessels, additional vessels or reconstructed vessels, built and documented under the laws of the United States for operation in the United States foreign, Great Lakes or noncontiguous domestic trades.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The capital construction fund program is a program created by the Merchant Marine Act of 1970 to help rejuvenate the American Merchant Marine. The assistance provided is not through payment of appropriated funds, but rather allows the fund holder to defer a portion of tax monies that would otherwise be paid to the U.S. Government during the tax year. The extension of tax deferral privileges encourages the accomplishment of the program objective by allowing

the fund holder to accumulate and use otherwise taxable earnings for the purposes of acquiring, constructing or reconstructing vessels built and documented in the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade and in the fisheries.

**Applicant Eligibility:**

An applicant must be a U.S. citizen, own or lease one or more eligible vessels, have a program for the acquisition, construction or reconstruction of a qualified vessel and demonstrate the financial capabilities to accomplish the program.

**Beneficiary Eligibility:**

U.S. citizen.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in the Applicant Eligibility section of this program. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Ship Financing. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See Federal Register Notice (46 CFR Part 390, Appendix I) dated January 29, 1976. Persons seeking to enter into a Capital Construction Fund Agreement may make application by letter to the headquarters office shown below.

**Award Procedure:**

The Office of Marine Financing reviews the application to determine the citizenship of the applicant, whether the applicant owns or leases one or more eligible vessels, has an acceptable program for the acquisition, construction or reconstruction of a qualified vessel and has the financial capability to accomplish the program. Approved by the Associate

Administrator

for Business and Workforce Development.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends upon the individual program agreed to between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports specified in the agreement and the rules and regulations. SF-272. Annual reports specified in the agreement and the rules and regulations. SF-269. Annual reports specified in the agreement and the rules and regulations.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All financial records are subject to audit by the Internal Revenue Service and/or the Maritime Administration, Department of Transportation.

**Records:**

See Reports.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - None. Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Applicant receives tax benefits for depositing assets in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of March, 2009, there were a total of over 175 active individual and consolidated Capital Construction Fund Agreements, with reported cumulative deposits since program inception in excess of \$4.3 billion to accomplish construction and acquisition programs. Thus far in calendar year 2009, four applications have been approved. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Capital Construction Fund Agreement; Parts 390 and 391, Title 46, CFR; Part 3, Title 26, CFR.

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.812 Construction Reserve Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The types of projects funded through the CCF are the acquisition, construction, and reconstruction of qualified agreement vessels such as tugs, barges, break bulk cargo vessels, LNG carriers, tankers, etc. In addition, these vessels must be documented under the laws of the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade. The definition of noncontiguous domestic trade includes trade between fixed drilling and production platforms located on the Outer Continental Shelf of the United States at a distance more than three miles from shore and the U.S. mainland. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedure section of this program.

**20.812 CONSTRUCTION RESERVE FUND**

(CRF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 511, Public Law 74-835, 46 U.S.C 1161.

**OBJECTIVES:**

To promote the construction, reconstruction, reconditioning, or acquisition of merchant vessels built and documented under the laws of the United States for purposes of national defense and the development of U.S. commerce.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Construction Reserve Fund (CRF), authorized under Section 511 of the Act, is a financial assistance program which provides tax deferral benefits to U.S. flag operators. The CRF permits the fundholder to deposit gains attributable to the sale of or indemnification for loss of vessels and to defer tax on such gains provided the gains are to be reinvested in vessels. Also the CRF

allows the accumulation of earnings from operations of vessels documented in the U.S., or the earnings from the investment of the Fund. The ability to accumulate funds and the tax deferral provision have enabled fundholders to construct or reconstruct in the United States and documented under the laws of the United States larger, better-equipped vessels, reduce mortgage debt on the vessels and construct a greater number of vessels than would be possible without the program.

**Applicant Eligibility:**

A Construction Reserve Fund (CRF) may be established by any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S., or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual may establish a CRF.

**Beneficiary Eligibility:**

Any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S. or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in Applicant Eligibility section of this program. The program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Shipyards and Marine Financing. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See Federal Register Notice (46 CFR 287.4). Persons seeking to establish a Construction Reserve Fund may make application by letter to the headquarters office shown below. This program is excluded from coverage under OMB Circular No. A-102 and A- 110.

**Award Procedure:**

Review of the application by the Office of Shipyards and Marine Financing to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends on each individual program agreed upon between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

See Reports section of this program.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - None. Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Defer tax on gains by depositing the gains attributable to the sale of or indemnification for loss of vessels in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of March 2009, there were 30 construction reserve fund contracts with deposits totaling over \$250,000,000 for the construction, reconstruction and acquisition of the proposed programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Part 287, Title 46 CFR; Order and Form of Resolution which outlines details pertaining to the establishment and maintenance of the Construction Reserve Fund.

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Vessels such as coastwise tankers, ocean tugs, chemical barges, and

crewboats are particular programs that have been or will be constructed, reconstructed or acquired through the Construction Reserve Fund. These vessels must be constructed in the United States and documented under the laws of the United States. If the vessel is less than 12 knots speed and 2,000 gross tons, it must be determined as useful to the United States in case of war or national emergency. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Review of the application by the Office of Shipyards and Marine Financing to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**20.813 MARITIME SECURITY FLEET PROGRAM**

(Maritime Security Program)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

The Maritime Security Act of 2003, Public Law 108-136.

**OBJECTIVES:**

To maintain a U.S.-flag merchant fleet crewed by U.S. mariners to serve both the commercial and national security needs of the United States.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Vessel's Operations restricted to U.S. foreign trade.

**Applicant Eligibility:**

U.S. citizens and operators of U.S. flag vessels .

**Beneficiary Eligibility:**

Ownership and operation of vessels and facilities useful to the United States in time of war or national emergency.

**Credentials/Documentation:**

Ownership of U.S. documented vessels. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Solicitation for applications in the Federal Register.

**Award Procedure:**

Office of Sealift Support and the Department of Defense review applications against criteria established in the Maritime Security Act of 2003.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 Days from closing of application.

**Appeals:**

Decisions concerning administration of the Maritime Security Program will be referred to the Maritime Administrator.

**Renewals:**

Program is based on 1-year contracts renewable each year subject to funding not to extend past fiscal year 2015.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year contracts, renewable yearly, payable in monthly installments. Method of awarding/releasing assistance: by letter of credit.

**Reports:****Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Maritime Security Program subject to both internal and external audit. These audits will be made by the Office of the Inspector General (DOT) in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:**

Vouchers on a monthly basis.

**Account Identification:**

69-1711-0-1-054.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$156,000,000; FY 09 est \$174,000,000; FY 10 est \$174,000,000 - (Direct payments) FY 08 \$\$156,000,000; and FY 9 \$174,000,000; and FY 10 \$174,000,000.

**Range and Average of Financial Assistance:**

\$2.6 million per vessel per year (FY 2006-2008). \$2.9 million per vessel per year (FY 2009-2011). \$3.1 million per vessel per year (FY 2012-2015).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of January 1, 2009, 59 ships were enrolled in the program with one application pending. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 296.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda J. Bell 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-8797

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Maritime Security Program payments are paid to vessels operating in U.S. foreign commerce. Vessels include containerships, lighter-aboard ships(LASH), Roll-on/Roll-off vessels (RO/RO), tankers and heavy lift ships. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Vessel is required to maintain U.S.-flag presence in foreign commerce and/or necessary for meeting military sealift requirements; (2) Applicant possesses operational expertise and intermodal assets useful to the United States in meeting its sealift requirements; (3) Maritime Security Program participants are required to commit sealift and intermodal capacity to the Emergency Preparedness Program (EPP), approved by the Secretary of Defense (SECDEF).

**20.814 ASSISTANCE TO SMALL SHIPYARDS**

(Small Shipyard Grants)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Section 3508 National Defense Authorization Act, Public Law 110-417.

**OBJECTIVES:**

To award grants for capital improvements and related infrastructure improvements at qualified shipyards that will facilitate the efficiency, cost effectiveness, and quality of domestic ship construction for commercial and Federal Government use.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

For capital and related infrastructure improvements. Cannot be used for physical facility construction or land acquisition unless specifically approved by Administrator as consistent with capital and infrastructure improvements. Federal funds cannot exceed 75 percent of project cost unless (1) cost is less than \$26,075, or (2) determination is made that project merits support and requires additional assistance. Cannot be used for physical facility construction or land acquisition unless specifically approved by the Administrator as consistent with capital infrastructure improvements.

Federal funds cannot exceed 75 percent of project costs unless a determination is made that project merits support and requires additional assistance.

**Applicant Eligibility:**

Either a shipyard or a State or local government on behalf of a shipyard can apply. The shipyard must be one in a single geographical location, located in or near a maritime community, that (1) is a small business concern within the meaning of section 3 of the Small Business Act (15 U.S.C. 632); and (2) does not have more than 600 production employees. Other factors taken into account when grants are awarded will be (a) the economic circumstances and conditions of the maritime community near to which a shipyard is located; and (B) the local, State and regional economy in which such community is located.

**Beneficiary Eligibility:**

Shipyard.

**Credentials/Documentation:**

As required by application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O.12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF-424 application form must be filed with the Maritime Administration. There are specific agency instructions for additional information which should be provided as an addendum to Form SF-424. These instructions were published in the Federal Register on January 10, 2008, in Vol.73, No. 7, pp.1912-1913. Applicants can go to [www.grants.gov](http://www.grants.gov) to apply.

**Award Procedure:**

Awards will be made by the Maritime Administrator in such amounts and under such conditions as he determines.

**Deadlines:**

Feb 25, 2009 Applications must be received by the Maritime Administration no later than 5:00 PM EST on April 20, 2009.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. No later than August 17, 2009.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. Public Law 110-417 provides that no more than 75 percent of a project's cost may be paid from Federal Funds. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

To be individually determined based on project. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. SF-272 is required. There will be Progress Reports, Annual Reports, and/or Status Reports depending on the nature of the project and the period of time it is expected to take. No expenditure reports are required. Monitoring is based done by the audit requirements. Grants over \$500,000 have mandatory audits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for three years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-1770-0-1-021.

**Obligations:**

(Salaries) FY 08 \$8,139,203; FY 09 est \$99,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Awards can be in any amount up to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, it is anticipated that 15 applications will be received and 10 awards will be granted. Fiscal Year 2009: Not applicable, currently under review. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register publication on January 10, 2008 in Vol.73, No.7,

pp.1912-1913. Implementing legislation: Section 3506 of the National Defense Authorization Act for Fiscal Year 2006 (Public Law 109-163) and section entitled "Assistance to Small Shipyards" in Consolidated Appropriations Act, 2008.

**Regional or Local Office:**

None.

**Headquarters Office:**

Room W21-318, Maritime Administration 1200 New Jersey Ave, Washington, District of Columbia 20590 Email: [jean.mckeever@dot.gov](mailto:jean.mckeever@dot.gov) Phone: (202) 366-5737 Fax: (202) 366-6988

**Website Address:**

<http://www.marad.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Eastern Shipbuilding Group of Panama City, Florida, was awarded \$436,274 for metal cutting equipment and a computer system; Pacific Shipyards International, LLC, of Honolulu, Hawaii, was awarded \$869,977 for a water blast system and a mobile crane; Conrad Shipyard, LLC, Morgan City, Louisiana, was awarded \$648,648 for welding equipment and a range of tools; and Horizon Shipbuilding, Inc., of Bayou La Batre, Alabama was awarded \$277,500 for a computerized plasma cutting table. Fiscal Year 2009: Not available, currently under review. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) How well the project will facilitate the efficiency, cost-effectiveness, and quality of domestic ship construction for commercial and Federal Government use, and (2) the economic factors set forth in section 081 above.

**20.900 TRANSPORTATION\_CONSUMER AFFAIRS**

Transportation\_Consumer Affairs

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Federal Aviation Act of 1958, Section 1002, Public Law 85-726, 49 U.S.C 1301, as amended by Federal Aviation Act of 1958, Section 204, Public Law 95-504.

**OBJECTIVES:**

To improve service provided to the public by U.S. and foreign air carriers.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The Aviation Consumer Protection Division provides assistance and information to consumers, including air travelers with disabilities, trying to resolve complaints against airlines, travel agents, and air tour operators. The Division also investigates alleged violations of airline passengers' civil rights and provides information about specific air travel service problems such as lost baggage, oversold flights, scheduling problems and overcharges, and may refer people to local Small Claims courts if informal mediation efforts fail.

**Applicant Eligibility:**

All users of air transportation.

**Beneficiary Eligibility:**

All users of air transportation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**



This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Division requests that complainants first contact the airline in an attempt to resolve the complaint. If that is unsuccessful, they can call or email the Division or send a letter stating pertinent facts about the incident that caused the complaint as well as copies (never originals) of tickets or baggage tags, if these documents help to explain the nature of the problem. Please include with your letter of complaint a daytime telephone number.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Investigation of Complaints) FY 08 \$2,046,430; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For calendar year 2007 the total number of consumer complaints, information requests, opinions and compliments received totaled 16,072. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the pamphlet "Fly-Rights, A Guide to Air Travel in the U.S." are available from the Consumer Information Center-6A, P.O. Box 100, Pueblo, CO 81002. Enclose check or money order payable to Superintendent of Documents in the amount of \$1.75 per copy with a 25 percent discount on orders of 100 copies or more. Copies of the "Air Travel Consumer Report" issued monthly and "Plane Talk", a series of air travel fact sheets, are available free of charge by writing to the headquarters office listed. These publications can also be found on the Department of Transportation's world wide web site at: <http://airconsumer.ost.dot.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Alaska Aviation Statistics Field Office, Department of Transportation, 801 B Street Room 506, Anchorage, AK 99501-23657. Telephone: (907) 271-5147.

**Headquarters Office:**

Norman Strickman 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Email: [norman.strickman@dot.gov](mailto:norman.strickman@dot.gov) Phone: (202) 366-2220

**Website Address:**

<http://airconsumer.ost.dot.gov>

**RELATED PROGRAMS:**

33.001 Shipping\_Dispute Resolution and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.901 PAYMENTS FOR ESSENTIAL AIR SERVICES**

EAS

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Airline Deregulation Act of 1978, 49 U.S.C 41731-41742.

**OBJECTIVES:**

To assure that air transportation is provided to eligible communities by subsidizing air carriers when necessary to provide service.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

When necessary subsidy payments are made to air carriers providing air services at certain points. Subsidy is paid to cover the carrier's prospective operating loss, plus a profit element.

**Applicant Eligibility:**

Air carrier must be found fit and be selected by the Department to perform the subsidized service.

**Beneficiary Eligibility:**

Air carriers and eligible local communities.

**Credentials/Documentation:**

Financial statements and detailed operating statistics. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In accordance with 14 CFR, Part 271, and specific Department requests in docketed cases.

**Award Procedure:**

Evaluation of applications according to factors established in 49 U.S.C. 41731, et seq., and any Department-established factors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 2 to 4 months.

**Appeals:**

In accordance with 14 CFR, Part 302.14.

**Renewals:**

Application procedures are repeated.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Department evaluation and determination of demonstrated need. Method of awarding/releasing assistance: quarterly.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Air carriers are subject to audits of financial and operational fitness, of major contested claims of compensation for continued service, and of monthly billings to the Department for subsidy.

**Records:**

Air carriers must retain all books, records and other source and summary documentation for 7 years to support subsidy claims.

**Account Identification:**

69-8304-0-7-402.

**Obligations:**

(Salaries) FY 08 \$50,000,000; FY 09 est \$50,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

For continental United States: range from \$431,996 to \$2,643,588 annually; an average of \$1,420,000 annually per community per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Essential air service has been maintained with subsidy support at approximately 150 communities affected by airline deregulation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41731, et seq.; 14 CFR, Parts 204, 271, 323, 325, 398.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Aviation Analysis, X-50, Department of Transportation 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: 202-366-5903

**Website Address:**

<http://ostpxweb.dot.gov/aviation/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Great Lakes Aviation-Essential Air Service to Alliance, Chadron, Kearney, and McCook, Nebraska. (2) Big Sky Airlines-Essential Air Service to Glasgow, Glendive, Havre, Lewistown, Miles City, Sidney, and Wolf Point, Montana. (3) Alaska Airlines-Essential Air Service to Cordova, Gustavus, Petersburg, Wrangell, and Yakutat, Alaska. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Established by statute and by precedent in individual docketed cases.

**20.904 BONDING ASSISTANCE PROGRAM**

Bonding Assistance Program

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To encourage, promote, and assist minority entrepreneurs and businesses in getting transportation-related contracts, subcontracts, and projects by providing bonding assistance to obtain bid, payment, and performance bonds.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; INSURANCE; Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Assistance is provided in support of the bid for, or performance of, transportation-related contracts. A transportation-related contract is one for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nations modes of transportation with any public or commercial provider of transportation or any federal, state or local transportation agency.

**Applicant Eligibility:**

The recipient of a bond must be a certified DBE, minority-owned business enterprise or women-owned business enterprise. These certifications must be performed by an agency using DOT guidelines, 49 CFR Part 26. All firms certified by the Small Business Administration as 8(a) companies are eligible to participate in the DOT Bonding program.

**Beneficiary Eligibility:**

Certified minority, women-owned and disadvantaged business enterprises.

**Credentials/Documentation:**

The recipient of bonding assistance must provide proof of certification by the certifying agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Information and consultation is available at <http://osdbu.dot.gov> or by calling the DOT Office of Small and Disadvantaged Business Utilization (OSDBU) at 1-800-532-1169. Potential recipients may also contact their local U.S. DOT Small Business Transportation Resource Center (SBTRC). SBTRC locations may be found at <http://www.osdbu.dot.gov/regional/index.cfm>. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Insurance/Surety Bonds: Applications are submitted directly to a local bond agent for the DOT Bond Guarantee Program participating surety companies. Applicants may obtain a copy of the application and the contact information for the local bond agents for participating surety companies at <http://www.osdbu.dot.gov>. Provision of Specialized Services/Technical Assistance: Applications may be submitted directly to the participating SBTRC. Applicants may obtain a copy of the application and a list of the participating SBTRCs and their contact information at <http://www.osdbu.dot.gov>. Direct Assistance/Bonding Fee Subsidy: Application procedures may be found at <http://www.dot.gov/recovery/ost/>.

**Award Procedure:**

Insurance/Surety Bonds: All surety bond applications are reviewed and approved by the local bond agents for the participating surety companies and DOT. The bonds are issued and serviced by the participating sureties. Provision of Specialized Services/Technical Assistance: Applications are reviewed and approved by the participating SBTRCs. Direct Assistance/Bonding Fee Subsidy: Application award procedures may be found at <http://www.dot.gov/recovery/ost/>.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Insurance/Surety Bonds: The goal to complete the review of a bond guarantee application is 1 to 3 days. Provision of Specialized Services/Technical Assistance: The goal to complete the review of a technical assistance application is immediate to day. Direct Assistance/Bonding Fee Subsidy The goal to complete the review of a bond guarantee application to verify eligibility for a bonding fee subsidy is 1 to 3 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Insurance/Surety Bonds: Bonds are guaranteed until the termination of the bond after a reasonable period after completion of the bonded solicitation or contract.

Provision of Specialized Services/Technical Assistance: Services are provided until they are no longer required by the participant or the participant is no longer eligible.

Direct Assistance/Bonding Fee Subsidy: Bonding fee assistance is provided immediately upon verification of eligibility on a bond by bond basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Monthly, internal OSDBU reports; Reports to the Secretary of Transportation on all bond approvals. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Insurance/Surety Bonds: DOT has the right to audit its accounts with any participating surety.

Provision of Specialized Services/Technical Assistance: Direct Assistance/Bonding Fee Subsidy: DOT has the right to audit the records pertaining to the receipt of a bonding fee subsidy of all participating federal or non-federal entities.

**Records:**

Insurance/Surety Bonds: DOT and the participating local bond agents maintain applicant records. Records of approved bonds are maintained by the participating surety companies.

Provision of Specialized Services/Technical Assistance: Participant records are maintained by the participating SBTRCs with access provided to DOT.

Direct Assistance/Bonding Fee Subsidy: Records of applicants eligible for a bonding fee subsidy are maintained at the local bond agent and in some case, with a copy to DOT or other participating federal agencies.

**Account Identification:**

69-0102-0-0-119.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$20,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Insurance/Surety Bonds: The average dollar amount of bonds guaranteed under the program is \$330,000.

Provision of Specialized Services/Technical Assistance: New program. A per person estimate is not available at this time.

Direct Assistance/Bonding Fee Subsidy: The average amount of bonding fee subsidy is \$2,406.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Insurance/Surety Bonds: In the past an average of 70 performance bonds were guaranteed, averaging a total of \$15,000,000 per year. The program is currently unfunded.

Provision of Specialized Services/Technical Assistance: New program.

Direct Assistance/Bonding Fee Subsidy: New program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C.332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonding Manager 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (800) 532-1169

**Website Address:**

<http://osdbuweb.dot.gov> .

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.016 Surety Bond Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.905 DISADVANTAGED BUSINESS ENTERPRISES\_SHORT TERM LENDING PROGRAM**

(Short Term Lending Program)

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act , Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To advance the opportunities for small, minority-owned disadvantaged businesses, including women and service-disabled veteran owned businesses and Disadvantaged Business Enterprises (DBE) (to obtain accounts receivable financing for the performance of eligible transportation-related contracts originating from the Department of Transportation (DOT), its grantees, recipients, their contractors and subcontractors.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

The line of credit is for account receivable financing to support the work being performed on eligible transportation related contracts. The line of credit cannot be used for equipment purchase or other long term uses; contract mobilization; refinancing of existing debt; payment of taxes; or distribution to stock holders. A transportation-related contract is one for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nations modes of transportation with any public or commercial provider of transportation or any federal, state or local transportation agency.

**Applicant Eligibility:**

The recipient of a line of credit must be a certified DBE, or certified small business, including; 8(a); Small Disadvantaged Business (SDB); HUBZONE; Women-Owned Small Business (WOSB); and Service-Disabled Veteran-Owned Business (SDVOB). For DBE's, this certification must be performed under DOT guidelines, 49 CFR Part 26. The applicant must be in business for 2-3 years. This program is not for start-up businesses There must be an existing transportation- related contract(s). Transportation-related contract is a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the Nation's modes of transportation with any public or commercial provider of transportation or any Federal, State or local transportation agency.

**Beneficiary Eligibility:**

Small Business/Small Business Person.

**Credentials/Documentation:**

STLP application dated and signed; 3 years of business financial statements and taxes; 3 years of personal income taxes and current personal financial statement; current work-in-progress; cash flow projection to cover the length of the term of the loan (one year); current DBE or SBA certification; business formation information; company history; resume of key management; business and trade reference letters; and a copy of the signed transportation related contract(s). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Information, consultation is available at <http://osdbu.dot.gov> or by calling the DOT Office of Small and Disadvantaged Business Utilization (OSDBU) at 1-800-532-1169. Potential applicants may also contact OSDBU or their local U.S. DOT Small Business Transportation Resource Center (SBTRC) for assistance in the preparation of the application package. SBTRC locations may be found at <http://www.osdbu.dot.gov/regional/index.cfm>. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted directly to one several Participating Leaders (PLs). Applicant may obtain a copy of the application and identify the bank servicing their region from the OSDBU internet site at <http://osdbuweb.dot.gov>.

**Award Procedure:**

All lines of credit are approved through separate decisions by the Participating Lender (PL) and by DOT. Lines of credit are serviced by approving PL.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

OSDBU staff will review the application for completeness. This review can be within 5 business days. Once it has been determined that the application is ready to be submitted to the PL, the applicant will submit to the PL a \$150.00 application fee along with the complete application. Decisions are made within 30 to 60 days from the time the complete application is submitted to the PL.

**Appeals:**

Not Applicable.

**Renewals:**

Applicant may apply for renewal of line of credits as long as they remain eligible (certification is current and they have a current transportation related contract). Renewals and increases in the line of credit are possible. The maximum period of eligibility is 5 years from the 1st participation in the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Approved lines of credit are for one year terms with the possibility of renewal for four additional years. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT has the right to audit its accounts with the banks.

**Records:**

OSDBU maintains records of all applicant files, such as approvals, pending review, loan readiness, denials, etc. All line of credit approvals will be maintained for 7 years and non-approvals will be maintained for 3 years.

**Account Identification:**

69-0155-0-1-407.

**Obligations:**

(Salaries) FY 08 \$2,600,000; FY 09 est \$5,200,000; FY 10 est \$10,400,000

**Range and Average of Financial Assistance:**

The maximum line of credit is \$750,000. There is no minimum line of credit amount.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C. 332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Manager Financial Assistance Division 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: 800-532-1169

**Website Address:**

<http://www.osdbuweb.dot.gov>.

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.043 Women's Business Ownership Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.907 PILOT ENTREPRENEURIAL TRAINING AND TECHNICAL ASSISTANCE WOMEN AND GIRLS PROGRAM****FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Executive Order 13506 Establishing a White House Council on Women and Girls, Dated March 11, 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To support the efforts of a Historically Black College (HBCU) to achieve their principal mission; utilize the resources of HBCU and to increase the ability of small, women-owned businesses and disadvantaged business enterprises (S/WOBs/DBEs) to participation in transportation related projects; and assist S/WOBs/DBEs in obtaining information on DOT procurement opportunities and provide training and technical assistance to enhance S/WOBs/DBEs opportunity to successfully compete on DOT contracts and DOT funded projects. The program will also increase the development of human potential by providing quality educational experiences, training and employment opportunities to students who are interested in transportation related careers and who are currently, attending the HBCU that is participating in the program. This project will strengthen HBCUs efforts to promote the full diversification of the work force by developing educational programs for the purpose of providing a continuous pool of individuals capable of professional careers in the transportation arena. The program will also increase collaboration and establish partnerships among high schools and middle schools to increase participation of girls in the program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance under this section may be used by the HBCU to design and carry out programs to encourage, promote and assist S/WOBs/DBEs to compete on transportation related contracts, subcontracts and projects. Funds may also be used to develop educational programs designed to enhance S/WOBs/DBEs knowledge of the transportation field and, thus, increase their capability to successfully compete on transportation related contracts. In addition, this project will attract more of the Nation's women and girls into transportation related careers through academic studies and practical experience through internships. Financial assistance under this section may be used by institutions of higher education to design and carry out programs to encourage, promote and assist minority entrepreneurs and small businesses.

**Applicant Eligibility:**

As defined in Department of Education, Code of Federal Regulations, revised as of July 1, 1992, Pages 258 260, Section 608.3: Historically Black Colleges and Universities (HBCUs) are those institutions that have been established before 1964 whom have a principal mission that was and is the education of Black Americans; and are and have been for five academic years preceding the academic year for which it seeks a grant under this part legally authorized by the State in which it is located to be a junior or community college or to provide an educational program for which it awards a bachelor's degree; and accredited or pre accredited by a nationally recognized accrediting agency or association that the Secretary of Education has determined to be a reliable authority as to the quality of education or training offered.

**Beneficiary Eligibility:**

Small, women-owned businesses and disadvantaged business enterprises (S/WOBs/DBEs), Historically Black Colleges and Universities and students meeting eligibility requirements.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are evaluated by an review panel. Decisions on acceptability are made by the Director, OSDBU. Department of Transportation will award the cooperative agreements. Only one project will be awarded to an HBCU; therefore, institutions with multiple campuses should coordinate and submit only one application per HBCU. Further, in order to avoid duplication of efforts, only one cooperative agreement will be awarded in any State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selections for award are announced by DOT press release.

**Appeals:**

Not Applicable.

**Renewals:**

USDOT/OSDBU will conduct a competitive solicitation for any future awards under the program within the next 6 months.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Six (6) months cooperative agreement of \$150,000 was obligated in fiscal year 2009. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. SF -425. Quarterly and Final progress reports are required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and audit, in the offices of the grantee, all documents, papers, books and records relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of no less than 3 years, except when dispute, exception, or audit have been initiated, the records and other materials shall be retained until the litigation, dispute, exception, or audit has judicially or administratively been made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$150,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

One Cooperative Agreement in the amount of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: One Historically Black College was awarded a cooperative agreement in the amount of \$150,000 for fiscal year 09. College receiving the award is Spelman College, Atlanta Georgia; Students will participate in internships with Federal, state, and local transportation agencies and S/WOBs/DBEs. The college will provide training and technical assistance for S/WOBs/DBEs to prepare them to compete for, obtain and manage DOT-funded transportation-related contracts and subcontracts. Also the college will develop case studies to highlight transportation-related issues of interest to S/WOBs/DBEs and women and girls interested in becoming emerging S/WOBs/DBEs. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Martin, 1200 New Jersey Avenue, SE, W56-460, Washington, District of Columbia 20590 Email: patricia.martin@dot.gov Phone: (202) 366-5337.

**Website Address:**

<http://osdbuweb.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Cooperative agreements has four (4) major activities: (1) Student internships for women and girls interested in becoming emerging S/WOBs/DBEs; (2) Town Hall meetings and roundtable discussions to gather feedback from S/WOBs/DBEs to develop effective training and technical assistance workshops to ensure that S/WOBs/DBEs and women and girls interested in becoming emerging S/WOBs/DBEs get the required assistance to participate in DOT-funded transportation-related opportunities in their community; (3) Conferences and seminars to ensure that S/WOBs/DBEs and women and girls interested in becoming emerging S/WOBs/DBEs are aware of USDOT's programs and the programs are advertised in their geographical areas; (4) Case studies to highlight transportation-related issues of interest to S/WOBs/DBEs and women and girls interested in becoming emerging S/WOBs/DBEs. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a 100- point numerical scale and are weighted using the following factors: Approach (25 points); Linkages (25 points); Organizational Capability (25 points); Staff Capabilities and Experience (15 points); and Cost (10 points).

**20.910 ASSISTANCE TO SMALL AND DISADVANTAGED**

**BUSINESSES****FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The Small Business Act and the Small Business Investment Act of 1958, Title 49, Section 332, Public Law 95-507.

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of commerce, community-based organizations, colleges and universities, community colleges, or trade associations, to establish regional Small Business Transportation Resource Centers (SBTRCs) to provide business assessment, technical assistance, technical assistance referrals, business training, and the dissemination of information regarding DOT and DOT funded contracting opportunities, as well as OSDBU services to the Disadvantaged Business Enterprise (DBE) and Small Business (SB) community in their regions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Regional SBTRCs work with OSDBU's Financial Assistance Division and STLP participating lenders to organize seminars and workshops on this accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management.

**Applicant Eligibility:**

Established 501 C(6) tax-exempt Chambers of Commerce, Trade Associations and 501 C(3) nonprofit organization, community colleges, minority educational institutions, tribal colleges and universities that have the documented experience and capacity necessary to successfully operate and administer a coordinated, Small Business Transportation Resource Center (SBTRC) within their regions.

**Beneficiary Eligibility:**

For the purpose of this program, the term small businesses refers to: 8 (a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women-owned small business (WOB), HubZone, service-disabled veteran-owned business, and veteran owned small business.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must be registered by using <http://www.grants.gov/>. Applications must be submitted electronically to OSDBU through <http://www.grants.gov/>.

**Award Procedure:**

Applications will be reviewed by a selection panel and selection will be made based upon the evaluation criteria included in the announcement. The Department of Transportation, Office of Small and Disadvantaged Business Utilization will award the Cooperative Agreements.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Notification of awards will be made by April 16, 2007.

**Appeals:**

Not Applicable.

**Renewals:**

Optional.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are generally made for a minimum of 12 months. Extensions over a longer period are possible, contingent upon the needs of the OSDBU. This is a cost reimbursable agreement subsequent to expenses incurred, and disbursements are made on a monthly basis, subject to activities successfully performed and approved by OSDBU. Method of awarding/releasing assistance: quarterly.

**Reports:**

Implementation Plan and Monthly Reports; Implementation Plans are due within 7 days of the effective date of the Cooperative Agreement. Monthly Reports are due on the 5th day of each subsequent month. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and conduct audits in the offices of the recipient, all documents, papers, books and records, relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of not less than 3 years, except, if any litigation, dispute, exception, or audit is commenced, the records and other materials shall be retained until the litigation, dispute, exception, or audit is judicially or administratively made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Salaries) FY 08 \$1,352,547; FY 09 est \$1,352,547; FY 10 est \$0

**Range and Average of Financial Assistance:**

Average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Deliverables are as follows: Business Counseling (20 hours per month, at a minimum); Business Analysis (within 1st 90 days); STLP workshops (5 per year); Implementation Plan (within 7 days at start of the Agreement); set up Planning Committee for each SBTRC and hold monthly/quarterly teleconferences and/or meetings. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOT Code of Federal Regulations Parts 26 and 23 as Disadvantaged Business Enterprises; Public Law 95-507; Section 8,15, and 31 of the Small Business Act as amended; OMB Circular A-110.

**Regional or Local Office:**

None.

**Headquarters Office:**

Arthur D. Jackson, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-1930 Fax: (202) 366-7228.

**Website Address:**

<http://www.osdbu.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a numerical point scale using the following factors: Approach and Strategy; Linkages; Organizational Capability; Staff Capabilities and Experience; and Cost.

**20.930 PAYMENTS FOR SMALL COMMUNITY AIR SERVICE DEVELOPMENT**

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), Public Law 106-181, 49 U.S.C 41743; Vision 100Century in Aviation Reauthorization Act, Public Law 108-176.

**OBJECTIVES:**

To help smaller communities enhance their air service and increase access to the national transportation system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants for specified use, provided on a reimbursable basis. Grant funds can be used to cover a variety of expenses depending on the approved project. For example, funds can be expended for marketing, advertising or promotional activities, new studies designed to measure air service deficiencies, or to measure traffic loss or diversion to other communities; employment or use of consulting firms, universities, public relations firms, and new, dedicated air service development staff on a long term basis. In addition, grant funds may also be used for financial incentives, including subsidy or revenue guarantees to cover the air carrier's prospective operating loss, or to ground service providers in providing access to air transportation services.

**Applicant Eligibility:**

For calendar year 1997, the airport serving the community or consortium was not larger than a small hub airport, and had insufficient air carrier service; or unreasonably high air fares. Eligible communities/airports are those within the United States and its territories and possessions.

**Beneficiary Eligibility:**

Eligible local communities or consortia of communities, local airports serving those communities, and air carriers.

**Credentials/Documentation:**

Communities must apply for the grant program by submitting a project proposal with required data to justify its proposal in accordance with the Department-issued Request for Proposals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A request for proposals (RFP) soliciting applications from eligible communities is issued each year. The RFP can be accessed on the internet through <http://www.grants.gov> Additionally, the solicitation is published in the Federal Register and served on the Council of Mayors, the National League of Cities, the National Governors Association, the

National Association of State Aviation Officials, the Association of County Executives, the American Association of Airport Executives (AAAE), and the Airports Council International-North America (ACI).

**Award Procedure:**

Applications will be evaluated according to factors established in the RFP and under the guidance of the Vision 100-Century in Aviation Reauthorization Act, P.L. 108-176.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Can vary from year to year. However, the target is to award grants within 120 days from the established application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Application procedures are repeated each year. However, grant recipients are precluded by statute from seeking additional grants in support of the same project. A community can only have one Small Community Program grant at any time. 49 U.S.C. 41743(c)(4).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of time for awards will vary with the complexity of the project. Minimum grant duration is one year. The statute limits use of grant funds for air carrier subsidy to a maximum period of three years. The same limitation applies to other forms of ongoing support for air carrier programs. Financial assistance is provided on a reimbursable basis; cash advances will not be made. Funds obligated remain available until expended. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly progress and emplacement reports, and a final report is required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grant recipient is expected to retain all documents relevant to the grant award for a period of three years from completion of all projects undertaken pursuant to the Grant Agreement and receipt of final reimbursement from the U.S. Treasury.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 08 \$6,849,000; FY 09 est \$8,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Range:2008, \$100,000 to \$750,000. Average: \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Because most grant awards span a two to four year period, very few projects have reached the end of the grant terms. In 2007, the Office of the Inspector General (OIG) conducted a review of the Small Community Program and results show a 30% success rate based on project sustainability for a period of twelve months after the grant termination. Program funding did not include a portion for grants management until FY2007. A portion of the grant

fund is now dedicated towards grant administration and program improvements are expected in the future. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41743; 14 CFR 302.12 (Rule 12); 49 CFR 1.56a(f); 49 CFR Part 18; Public Law 106-181; Public Law 108-176; Public Law 108-477

**Regional or Local Office:**

None.

**Headquarters Office:**

Aloha Ley, 1200 New Jersey Ave., SE W86-310, Washington, District of Columbia 20590 Email: aloha.ley@dot.gov Phone: (202) 366-2347. Fax: (202) 366-7638

**Website Address:**

[http://ostpxweb.dot.gov/aviation/X-50%20Role\\_files/smallcommunity.htm](http://ostpxweb.dot.gov/aviation/X-50%20Role_files/smallcommunity.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Five of the grant awards are made to non-EAS communities experiencing higher-than-average air fares, including Redding, CA; Missoula, MT; State College, PA; Sioux Falls, SD; and Wichita Falls, TX. These communities plan to use their grants to attract new or expanded air services.

Most of the awards to non-EAS communities include funds for marketing programs to support local air services. Such communities include Bullhead City, AZ; Redding, CA; Bloomington, IL; Springfield, IL; Missoula, MT; State College, PA; Sioux Falls, SD; Midland, TX; and Wichita Falls, TX.

Three awards go to communities that are seeking to acquire their first air service or to restore service previously lost, including Bullhead City, AZ; Moses Lake, WA; and an intrastate consortium of geographically isolated communities in Aroostook County, ME.

Two awards go to communities seeking service by a second air carrier. They are Muskegon, MI, and Wichita Falls, TX.

The award to Dover, DE, will enable the community to conduct a study of its air service needs and potential solutions.

Two grant awards are targeted at EAS communities: Merced, CA, which will use its marketing grant to support its transition to a new air carrier, and West Yellowstone, MT, which intends to use its marketing grant to increase ridership and reduce or eliminate its reliance on EAS. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Established by statute and annual Department order soliciting grant proposals.

**20.932 SURFACE TRANSPORTATION \_ DISCRETIONARY GRANTS FOR CAPITAL INVESTMENT.**

TIGER Grants (Transportation Investment Generating Economic Recovery).

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), Title XII Transportation and Housing and Urban Development, and Related Agencies, Department of Transportation, Office of the Secretary, Supplemental Discretionary Grants for a National Surface Transportation System., Public Law 111-5, 123 Stat. 115.

**OBJECTIVES:**

The purposes of the Recovery Act include, among other things: (i) to preserve and create jobs and promote economic recovery and (ii) to invest in transportation infrastructure that will provide long-term economic benefits. The Act requires that grants be provided for surface transportation projects that will

have a significant impact on the Nation, a metropolitan area, or a region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under this program, \$1,500,000,000 is available through September 30, 2011, for the Department to make grants on a competitive basis for projects that will have a significant impact on the Nation, a metropolitan area, or a region. Projects eligible for funding provided under this program include, but are not limited to, highway or bridge projects eligible under title 23, United States Code, including interstate rehabilitation, improvements to the rural collector road system, the reconstruction of overpasses and interchanges, bridge replacements, seismic retrofit projects for bridges, and road realignments; public transportation projects eligible under chapter 53 of title 49, United States Code, including investments in projects participating in the New Starts or Small Starts programs that will expedite the completion of those projects and their entry into revenue service; passenger and freight rail transportation projects; and port infrastructure investments, including projects that connect ports to other modes of transportation and improve the efficiency of freight movement. The Department may also use an amount not to exceed \$200,000,000 for the purpose of paying the subsidy and administrative costs of projects eligible for federal credit assistance under chapter 6 of title 23, United States Code, if the Department finds that such use of the funds would advance the purposes of this program. In distributing funds available under this program, the Department must take measures to ensure an equitable geographic distribution of funds and an appropriate balance in addressing the needs of urban and rural communities. Grants provided under this program shall generally be not less than \$20,000,000 and not greater than \$300,000,000, however, the Department may waive the \$20,000,000 minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012. Projects conducted using funds provided under this program must comply with the requirements of subchapter IV of chapter 31 of title 40, United States Code. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

**Applicant Eligibility:**

The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

**Beneficiary Eligibility:**

The ultimate benefits of this program may be received by, among others, State or local governments, transit agencies, builders/contractors/developers, major metropolises, and other urban, suburban, or rural areas.

**Credentials/Documentation:**

Recipients and their first-tier sub-awardees will be required to have a DUNS number ([www.dnb.com](http://www.dnb.com)) and a current registration in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). Recipients of Recovery Act funds must have systems and internal controls that allow them to separately track and report Recovery Act funds even if the funds are being used to fund an existing project/activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should



consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete applications for TIGER Discretionary Grants must be submitted by September 15, 2009 (the Application Deadline). While applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and awards will not be made, until after the Application Deadline. Due to the need to expedite the grant award process to meet the requirements and purposes of the Recovery Act (as defined below), the Department will evaluate all applications and announce the projects that have been selected to receive Grant Funds (as defined below) as soon as possible after the Application Deadline, but no later than February 17, 2010. In addition, in the event that this solicitation does not result in the award and obligation of all available funds, the Department may decide to publish an additional solicitation.

**Award Procedure:**

TIGER Discretionary Grants will be awarded to projects with a demonstrated or potential ability to: (i) Deliver programmatic results; (ii) achieve economic stimulus by optimizing economic activity and the number of jobs created or saved in relation to the Federal dollars obligated; (iii) achieve long-term public benefits by, for example, investing in technological advances in science and health to increase economic efficiency and improve quality of life; investing in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; fostering energy independence; or improving educational quality; and (iv) satisfy the Recovery Acts transparency and accountability objectives..

**Deadlines:**

Sep 15, 2009

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package.

While this program does not require a State match, the Maintenance of Effort provisions of section 1201 of the Act apply to projects that receive funding under this program to the extent that a State planned to expend State funds on such a project as of February 17, 2009. Specifically, section 1201(a) requires that for amounts distributed to a State or State agency from an appropriation in the Act for a covered program (including this program), the Governor of the State shall certify to the Secretary of Transportation that the State will maintain its effort with regard to State funding for the types of projects funded by the appropriation. As part of this certification, the Governor was required to submit a statement identifying the amount of funds the State planned to expend from State sources as of February 17, 2009, during the period beginning on February 17, 2009, through September 30, 2010, for the types of projects funded by the appropriation.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds available under this program are available through September 30, 2011. The Department will give priority to projects that are expected to be completed by February 17, 2012. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All ARRA reporting requirements. All ARRA reporting requirements. To include all ARRA reporting requirements. SF 425. Monitoring with be conducted based on OMB ARRA guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Any awarding procedures, documentation of expenditures and copies of reports as well as policies and procedures for the life of the grant.

**Account Identification:**

69-0106-0-1-407.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est not reported.; FY 10 est \$1,500,000,000 - FY 2010 has not been determined.

**Range and Average of Financial Assistance:**

Grants provided under this program shall generally be not less than \$20,000,000 and not greater than \$300,000,000, however, the Department may waive the minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States. This is a new program and no approximate average amount of awards is available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the Assistant Secretary for Transportation Policy 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: TIGERGrants@dot.gov Phone: (202) 366-7687.

**Website Address:**

<http://www.dot.gov/recovery/ost/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

TIGER Discretionary Grants will be awarded based on the selection criteria as outlined below. There are two categories of selection criteria, Primary Selection Criteria and Secondary election Criteria. The Primary Selection Criteria include (1) Long-Term Outcomes and (2) Jobs Creation & Economic Stimulus. The Secondary Selection Criteria include (1) Innovation and (2) Partnership. The Primary election Criteria are intended to capture the primary objectives of the TIGER Discretionary Grants provision of the Recovery Act, which include near-term economic recovery and job creation, maximization of long-term economic benefits and impacts on the Nation, a region, or a metropolitan area, and assistance for those most affected by the current economic downturn. The Secondary Selection Criteria are intended to capture the benefits of new and/or innovative approaches to achieving programmatic objectives.

**DEPARTMENT OF THE TREASURY**

**21.003 TAXPAYER SERVICE**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, as amended, 26 U.S.C. 7801.

**OBJECTIVES:**

To assist taxpayers and taxpayer organizations in locating services and Federal tax information established by the Federal tax system.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

The Internal Revenue Service (IRS) produces and provides publications, forms and other tax material and information to help taxpayers meet their tax responsibilities. Taxpayers can call the toll-free phone service at (800) 829-1040 for general inquiries. Taxpayers are encouraged to visit the IRS website at [www.irs.gov](http://www.irs.gov) where they can find all this information and can download forms and publications with a keystroke. The Business and Specialty Tax Line at (800) 829-4933 is available Monday thru Friday, 7 a.m. until 10 p.m. local time (with the exception of Alaska and Hawaii, which are on Pacific Time). The days and hours of operation may expand during the filing season, January through April 15, for general and specialized tax lines. The TeleTax system at (800) 829-4477, available 24 hours a day, 7 days a week, provides recorded tax information on more than 150 subjects to taxpayers who have touchtone telephones. For a directory of topics, taxpayers should listen to topic #123. The Refund Hotline (800) 829-1954 is also available Monday thru Friday, 7 a.m. until 10 p.m. local time (with the exception of Alaska and Hawaii, which are on Pacific Time). However, taxpayers can check their refunds on-line at [www.irs.gov](http://www.irs.gov), "Where's My Refund". The site is easy, quick and secure. Educational workshops for new small businesses and self employed persons are available on-line at the IRS website at [www.irs.gov/businesses/small/index.html](http://www.irs.gov/businesses/small/index.html) and provide guidance on tax-related responsibilities. The IRS also partners with the tax professional community. The IRS holds annual nationwide Tax Forums, provides an electronic newsletter called "e-news for Tax Professionals," regularly updates the Tax Professionals page on the IRS website, and organizes Tax Practitioner Institutes. Information on these programs can be found on the website. IRS Taxpayer Assistance Centers (TAC) in 50 states and Puerto Rico provide face-to-face help for account, tax law, and need based return preparation services. Visit [www.irs.gov/local/contacts/index.html](http://www.irs.gov/local/contacts/index.html) for TAC locations, services and hours of operation. release, revenue ruling, revenue procedure, notice or announcement of other guidance. The IRS also partners with the tax professional community. The IRS holds annual nationwide Tax Forums, provides an electronic newsletter called "e-news for Tax Professionals," regularly updates the Tax Professionals page on the IRS website, and organizes Tax Practitioner Institutes. Information on these programs can be found on the website.

**Applicant Eligibility:**

Any individual or group interested in the tax system or have questions about his/her tax return(s).

**Beneficiary Eligibility:**

Taxpayers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Advisory Services and Counseling) FY 08 \$269,379,679; FY 09 est \$260,681,141; FY 10 est \$276,985,579

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

IRS regulations, guidelines and literature are available at [www.irs.gov](http://www.irs.gov).

**Regional or Local Office:**

See Regional Agency Offices. Field Assistance: Jane Brough, Wage & Investment, Customer Assistance, Relationships and Education, Field Assistance, 401 West Peachtree Street NW, Atlanta, GA 30308. Phone: (404) 338-8994. Tax Law Interpretation and Published Guidance: Frances Royal, Media and Publications, Customer Assistance, Relationships and Education, 1111 Constitution Avenue, Washington, DC 20224-0001. Phone: (202) 927-9568. Stakeholder Partnerships, Education & Communication: Beverly Thomas, Customer Assistance Relationships and Education, 401 West Peachtree Street, NW, Atlanta, GA 30308. Phone: (404) 338-7231. Electronic/Correspondence Assistance: Bart Jones, Customer Accounts Services (CAS), 401 West Peachtree Street NW, Atlanta, GA 30308. Phone: (404) 338-8892. Area or Local Office: Taxpayer Assistance Centers (TAC) are a one-stop resource for face-to-face tax help. Visit [www.irs.gov](http://www.irs.gov) for local office locations, services and hours of operation. Forms and Publication telephone orders, operated Monday thru Friday, 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time): (800) 829-3676. National Taxpayer Advocate's Help Line, in service Monday thru Friday 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time) at (877) 777-4778. Telephone Device for the Deaf (TDD), operational Monday thru Friday, 7 a.m. until 10 p.m. local time (with exception of Alaska and Hawaii, which are Pacific Time) at (800) 829-4059.

**Headquarters Office:**

Carol Spencer 401 West Peachtree Street NW., Atlanta, Georgia 30308 Email: [Carol.E.Spencer@irs.gov](mailto:Carol.E.Spencer@irs.gov) Phone: 404-338-7137

**Website Address:**

<http://www.irs.gov> .

**RELATED PROGRAMS:**

21.004 Exchange of Federal Tax Information With State Tax Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.004 EXCHANGE OF FEDERAL TAX INFORMATION WITH STATE TAX AGENCIES****FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, Executive Order As Amended, Title 26, Part 6103, Section d, 26 U.S.C 6103d.

**OBJECTIVES:**

To increase state tax revenues and taxpayer compliance, and to reduce duplicate resource expenditures.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

State tax agencies may use the tax data provided for justified tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431. State tax agencies may use the tax data provided for justified tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431.

**Applicant Eligibility:**

Any agency responsible for tax administration within any of the 50 States, the District of Columbia, certain U.S. Territories, and municipalities with populations in excess of 250,000 that impose taxes on income or wages and with which the Commissioner of Internal Revenue has entered into a disclosure agreement with safeguard and confidentiality protections.

**Beneficiary Eligibility:**

State Governments, U.S. Territories, Municipal Governments.

**Credentials/Documentation:**

Agency head must enter into Agreement with the Commissioner of IRS regarding disclosure. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There are a variety of application procedures depending on the circumstances. For the Governmental Liaison Data Exchange Program which includes recurring aggregate data extracts, applicants complete an Annual Registration Form. For specialty programs such as ATAT and EOAD, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office, in their area jurisdictions. Addresses can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Annual Governmental Liaison Data Exchange Program Enrollment Form must be completed annually by state agencies and must also be approved by the Disclosure Manager. For specialty programs such as ATAT and EOAD, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office, in their area jurisdictions. Addresses can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Appeals:**

Not Applicable.

**Renewals:**

Governmental Liaison Data Exchange Program Enrollment Form must be submitted by state agencies and approved annually by the Disclosure Manager. For specialty programs such as ATAT and EOAD, and other programs that require a Memorandum of Understanding (MOU) procedures vary based on the terms of the MOU.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

Agency Officials are required to submit a Safeguard Procedures Report 45 days prior to receipt of Federal tax data, and an annual Safeguard Activity Report.

All records must be maintained as required by IRC 6103(p)(4).

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Provision of Specialized Services) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - In 1994, IRS decided to waive the fees charged to State and local agencies. These agencies can obtain tax data extract information through various IRS disclosure offices for free.

**Range and Average of Financial Assistance:**

NA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2009: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2010: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- Internal Revenue Manual 11.3.32, Disclosure of Official Information, Disclosure to States for Tax Administration Purposes, found at <http://www.irs.gov/irm/part11/ch03s34.html>
- Publication 1075, Tax Information Security Guidelines, found at <http://www.irs.gov/pub/irs-pdf/p1075.pdf>.
- Tax Information Security Guidelines Title 26 Code of Federal Regulations

**Regional or Local Office:**

See Regional Agency Offices. Disclosure Officer, in all area jurisdictions, found at <http://www.irs.gov/foia/article/0,,id=120681,00.html>.

**Headquarters Office:**

Judy Krebs 1500 Ormsby Station Court, Louisville, Kentucky 40223-4019  
Email: [Judy.Krebs@irs.gov](mailto:Judy.Krebs@irs.gov) Phone: (502) 420-1621

**Website Address:**

http://www.irs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.006 TAX COUNSELING FOR THE ELDERLY****FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Revenue Act of 1978, Executive Order Public Law 95-600, 92 Stat. 2810, Title 26, Part 601, Section 163, Public Law 600-95, 19 Stat. 141, 26 U.S.C 601.

**OBJECTIVES:**

To authorize the Internal Revenue Service to enter into agreements with private or public nonprofit agencies or organizations; to establish a network of trained volunteers to provide free income tax information and return preparation assistance to elderly taxpayers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be used for reimbursing volunteers for their out-of-pocket expenses including transportation, meals, and other expenses incurred by them in providing tax counseling assistance at locations convenient to the taxpayers.

**Applicant Eligibility:**

Tax Counseling for the Elderly sponsors must be private or public nonprofit organizations with experience in coordinating volunteer programs. Federal, State, and local governmental agencies and organizations are not eligible to sponsor a program.

**Beneficiary Eligibility:**

Elderly taxpayers, 60 years or older.

**Credentials/Documentation:**

Applicants must provide proof of their tax exempt status and complete the required federal grant certifications as outlined within the TCE Application Package, Publication 1101/. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each Tax Counseling for the Elderly applicant must complete a Tax Counseling for the Elderly application package, Publication 1101.

**Award Procedure:**

IRS reviews applications and selects Tax Counseling for the Elderly Program sponsors based on their evaluative score, their prior performance (if returning sponsor) and how the organization plans to provide Federal tax return assistance and electronic filing service to elderly individuals in the community.

**Deadlines:**

Jun 01, 2009 to Aug 03, 2009 Applications are generally available in June and due to IRS 60 days after the date the program is announced in the Federal Register.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applicants will notify applicants of their acceptance or non-selection of their grant application, as well as those that did not qualify for the program generally by October 30th of each year. The schedule for notification will be determined based on the Congressional appropriation of

funding for the TCE Program, meaning if we are operating under a Continuing Resolution, applicant notification may be delayed pending approval of TCE funds.

**Appeals:**

The TCE Program is a Discretionary Grant Program, therefore decisions made by the IRS whether to make or not make an award based on the programmatic or technical content of an application are not subject to appeal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements expire on September 30 of each year unless an earlier date is set-forth in the Cooperative Agreement. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Form 8654, Tax Counseling for the Elderly Quarterly/Final Program Report is required to be submitted on a quarterly basis. No cash reports are required.

Form 8654, Tax Counseling for the Elderly Quarterly/Final Program Report is required to be submitted on a quarterly basis and is prepared as cumulative, reflecting expenditures for that quarter. In addition, on-line Federal Financial reports are required through the Paymanet Management System on a quarterly basis to reflect expenditures that are being requested for reimbursement through the system. Through the Payment Management System electronic Federal Financial Reports are required to be submitted on a quarterly basis. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements applicable to grant sponsors are described in OMB Circular A-133, 62 FR 35278-35302 (June 30, 1997). If you expend less than \$500,000 a year in total Federal awards, no audit requirements are applicable. If you expend \$500,000 or more a year in Federal awards, you must provide IRS with a copy of your Single Audit Report. You must arrange for an audit by an independent auditor in accordance with the Government Auditing Standards developed by the Comptroller General of the United States.

**Records:**

Organizations must maintain records on all expenses incurred by volunteers for which they are being reimbursed, as well as any costs associated with the Tax Counseling for the Elderly Program that reimbursement is being sought using program funding.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$4,065,415; FY 09 est \$5,100,000; FY 10 est \$5,100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Last year, 35 sponsors shared \$4,065,415 and assisted nearly 1.5 million taxpayers. Fiscal Year 2009: Increase in taxpayers assisted and electronic filed returns through the program. Fiscal Year 2010: \$5,100,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines are documented within the Publication 1101, Application Package and Guidelines for Managing a TCE Program and Regulations are published each year in the Federal Register (June 1st).

**Regional or Local Office:**

None.

**Headquarters Office:**

TCE Grant Program Office Staff Internal Revenue Service  
TCE Grant Program Office  
401 W. Peachtree Street, NW  
Stop 420-D  
, Atlanta, Georgia 30308 Email: tce.grant.office@irs.gov Phone: 404-338-7894

**Website Address:**

<http://www.irs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Quality of Programs and Services for age 60 and over (i.e., qualifications of employees, time devoted to the program, employee/volunteer training, publicity, hours of operation, site location convenient to target elderly taxpayers 60 years and above and ensure elderly taxpayers are given priority services). The maximum number of points will be awarded to an organization whose programs focus/serve elderly taxpayers. (30 points); (2) Geographic coverage and extent of coverage for age 60 and over (i.e., the number of proposed assistance sites, number of volunteers, number of Federal income tax returns to be prepared and e-filed for elderly taxpayers, and other assistance to be provided) (20 points); (3) Electronic Filing services for age 60 and over (i.e., the proposed number of Federal income tax returns to be prepared and electronically filed for elderly taxpayers). Returning sponsors prior year e-file volume will be reviewed and the maximum number of points will be awarded for organizations that exceed 65 percent e-file for senior taxpayers. (20 points); (4) Prior experience in Federal Tax Return Counseling and Tax Preparation (10 points); (5) Quality of Cooperative Agreement Administration and Internal Accounting Procedures (i.e., experience in providing volunteer service and services to the elderly, organizational structure, experience in managing federal grant programs, reasonableness of proposed budget (70 percent of grants funds should be used for reimbursement expenses and 30 percent should be used for administrative expenses) and qualifications of the TCE management staff) (10 points); and (6) Past performance of a returning sponsor (timeliness and completeness of budget reports, favorable results of return/site reviews) (10 points).

**21.008 LOW INCOME TAXPAYER CLINICS****FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, as amended,, 26 U.S.C 7526.

**OBJECTIVES:**

To provide matching grants to organizations providing: (1) Representation of low income taxpayers in controversies with the Internal Revenue Service (IRS), or (2) programs to inform individuals for whom English is a second language about their taxpayer rights and responsibilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards under this program are issued to provide financial assistance that enhances the awardees' ability to represent low income taxpayers in controversies with the Internal Revenue Service (IRS) or inform individuals for whom English is a second language of their taxpayer rights and responsibilities. Each awardee is required to enter into an assistance agreement that requires the awardee to comply with program goals and abide by other terms and conditions pertinent to assistance received under this program.

**Applicant Eligibility:**

Qualifying organizations that represent low income taxpayers involved in controversies with the IRS and organizations that provide education and

outreach on the taxpayer rights and responsibilities of U.S. taxpayers to individuals who speak English as a second language. IRC Section 7526 requires clinics to provide services for free or for no more than a nominal fee. The term "clinic" includes, but is not limited to, a clinical program at an accredited law, business, or accounting school in which students represent low income taxpayers in controversies with the IRS, and an organization described in IRC Section 501(c) and exempt from tax under IRC Section 501(a) that either directly represents taxpayers or refers taxpayers to qualified representatives.

**Beneficiary Eligibility:**

Low-income taxpayers with incomes which do not exceed 250 percent of the Federal Poverty Guidelines published annually by the Department of Health and Human Services, or taxpayers for whom English is a second language.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each Low Income Taxpayer Clinic applicant must complete a Low Income Taxpayer Clinic Application Package. See IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines, which you may obtain by calling 1-800-TAX-FORM (1-800-829-3676) or by visiting [www.irs.gov](http://www.irs.gov). This program is subject to the provisions of OMB Circular No. A-110. Access [www.irs.gov](http://www.irs.gov) or call 1-800-TAX-FORM (1-800-829-3676) to obtain a copy of Publication 3319.

**Award Procedure:**

The IRS reviews applications and selects grant recipients.

**Deadlines:**

Jul 07, 2009 An annual notice of funds availability, published in the Federal Register, announces deadline dates for submission of applications. Deadline dates are generally 60 days subsequent to the notice publication date.

**Range of Approval/Disapproval Time:**

Grantees are generally selected 120 days after the application submission deadline.

**Appeals:**

None.

**Renewals:**

A multi-year award may be issued up to 3 years maximum.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 100%. All awards of financial assistance shall be matched by the recipient on a dollar-for-dollar basis. In general, funds from sources (other than from other federal government sources) can be counted as matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, an award may be issued up to 3 years maximum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Award recipients are required to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of OMB Circular No. A-110.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Project Grants) FY 08 \$9,000,000; FY 09 est \$9,500,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

\$10,000 to \$100,000 (FY 2008/2009 data).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, 156 organizations received funding, representing each of 50 states, the District of Columbia, Puerto Rico, and Guam. Fiscal Year 2009: For 2009, we anticipate funding 163 clinics with continuing representation in each of the 50 states, the District of Columbia, and Puerto Rico. In each of these years, LITCs provided needed assistance to low income and ESL taxpayers that otherwise might not have received assistance. Fiscal Year 2010: For 2010, we plan to strengthen and improve the Low Income Taxpayer Clinics (LITC) Programs ability to deliver service to low-income taxpayers. We anticipate expanding geographic and service coverage by providing increased matching grants to qualified organizations. We will continue to enhance clinic oversight and support by improving management controls for report timeliness and quality and refining the site assistance visit process.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah L. Jones 1111 Constitution Avenue NW  
Room 1034  
, Washington, District of Columbia 20224 Email: Deborah.L.Jones@irs.gov  
Phone: 202-622-0883 Fax: 202-622-4318

**Website Address:**

<http://www.irs.gov/advocate>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) Number of taxpayers who will be served by the clinic, including the number of taxpayers in the area who are low income or for whom English is a second language; (2) Existence of other low income taxpayer clinics serving the same population; (3) Quality of the program offered by the clinic, including the qualifications of the clinic's administrators and representatives as well as the clinic's record in providing service to low-income taxpayers; (4) Quality of grant administration and internal accounting procedures; and (5) Other factors deemed appropriate under this program.

**21.009 VOLUNTEER INCOME TAX ASSISTANCE (VITA) MATCHING GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of the Treasury

**AUTHORIZATION:**

Treasury Appropriations Act - Public Law 110-161, Executive Order H.R. 1105 Omnibus Appropriations Act.

**OBJECTIVES:**

To provide direct funding that will enable VITA initiatives to extend services to

underserved populations and hardest-to-reach areas, both urban and non-urban; specific objectives as they relate to the VITA Program which include: increasing the capacity to file returns electronically, heighten quality control, enhance training of volunteers, and significantly improve the accuracy rate of returns prepared by VITA sites.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds can be used to cover ordinary and necessary expenses for operating a VITA tax preparation program. Such expenses are only allowable if they are reasonable, allocable, and in accordance with the OMB Cost Principles Circulars.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants must provide proof of their entity status (i.e. tax-exempt organization/government agency). Matching funds must also be documented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each VITA Grant applicant must complete an VITA Grant Program Application Package, Publication 4671 and submit it, along with all required documentation to the IRS prior to the deadline date.

**Award Procedure:**

All complete applications meeting initial eligibility requirements will be evaluated/ranked on technical merit, capacity to reach the targeted audiences, and geographic coverage. Applicants will be notified of their acceptance or rejection of a grant award by letter sent via U.S. Postal Service.

**Deadlines:**

Jun 01, 2009 to Jul 17, 2009

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

The selection of the grantees for this program is left to the discretion of the IRS - there is no appeals process for non-selection.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant period extends from July 1st of a given year through June 30th of the subsequent year. See the following for information on how assistance is awarded/released: VITA grant funds are released on a reimbursement basis - meaning an organization should request reimbursement from the IRS as they disburse funds for the VITA program.

**Reports:**

VITA Grant recipients are required to submit an interim report (due by April 30th) and the year-end report with narrative (due by September 30th). These reports must be submitted to the Grant Program Office using Form 424A. No cash reports are required. VITA Grant recipients are required to submit an interim report (due by April 30th) and the year-end report with narrative (due by September 30th). These reports must be submitted to the Grant Program Office using Form 424A. Grant recipients are also expected to prepare and submit

quarterly on-line Federal Financial Reports to the Payment Management System. A report is due 45 days after the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. If a recipient expends less than \$500,000 a year in total federal awards, no audit requirements are applicable. (Note: Total federal awards include all sources of federal funding, not just the funds received from IRS in support of the VITA program.) If a recipient expends \$500,000 or more a year in federal awards, the organization must provide IRS with a copy of their Single Audit Report. The audit must be performed by an independent auditor in accordance with the Government Auditing Standards developed by the Comptroller General of the United States.

**Records:**

Grant recipients are required to have a record keeping system in place to support all information reported in the interim and year-end reports. Supporting receipts and other documentation should be maintained.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$8,000,000; FY 09 est \$8,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In July 2008, the first ever opportunity to apply for a VITA Grant was officially announced to the public. The response to this announcement was overwhelming! In fact, requests for the VITA Grant far exceeded available funding; over \$30 million was requested by 379 organizations. Ultimately, 111 organizations were funded. Fiscal Year 2009: 379 applicants applied - \$7.44 mil awarded to 111 recipients -Over 2500 sites supported - Over 710,600 returns prepared. Fiscal Year 2010: A conservative growth rate of 3% is projected for the 2010 grant period.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication 4671, VITA Grant Program Overview and Application Package

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Program Office Staff Grant Program Office  
401 West Peachtree Street, NW  
Stop 420-D  
, Atlanta, Georgia 30308 Email: Grant.Program.Office@irs.gov Phone:  
404-338-7894

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection of proposals is based on a two-tiered evaluation process:

1. Technical Evaluation
2. Grant Program Office Evaluation

Technical Evaluation

During the technical evaluation, each application is awarded points in each of the areas listed below. This criteria list reflects the maximum number of points that may be obtained in each area. Each application may receive a maximum total of 200 points.

1. Prior performance in the volunteer return preparation program 40 points
2. Strength of program standards 40 points
3. Geographic coverage and extent of coverage for the under served 40 points
4. Ability to partner or collaborate with multiple organizations 20 points
5. Quality of applicants sustainability and growth strategy 10 points
6. Quality control process 30 points
7. Program measures 20 points

**Grant Program Office Evaluation**

The Grant Program Office evaluation involves a more in-depth review of the applicants budget information. The proposed geographic coverage and target audiences are also taken into consideration.

**21.010 FINANCIAL EDUCATION AND COUNSELING PILOT PROGRAM**

FEC

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

The Housing and Economic Recovery Act of 2008, U.S.C 1132.

**OBJECTIVES:**

Through the FEC Pilot Program, the CDFI Fund shall provide grants to eligible organizations to enable such organizations to provide a range of financial education and counseling services to prospective homebuyers. The goal of the pilot project grants is to identify successful methods resulting in positive behavioral change for financial empowerment, and to establish program models for organizations to carry out effective counseling services.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The CDFI Fund shall award grants to eligible organizations so that they may provide financial education and counseling services with a goal of: (1) increasing the financial knowledge and decision making capabilities of prospective homebuyers; (2) assisting prospective homebuyers to develop monthly budgets, build personal savings, finance or plan for major purchases, reduce their debt, improve their financial stability, and set and reach their financial goals; (3) helping prospective homebuyers to improve their credit scores by understanding the relationship between their credit histories and their credit scores; and (4) educating prospective homebuyers about the options available to build savings for short- and long-term goals. Each awardee shall enter into an assistance agreement with the CDFI Fund that specifies the terms and conditions related to expenditures (including eligible uses) of the grant funds, requires the awardee to comply with performance goals, and report on performance outcomes.

**Applicant Eligibility:**

An organization that is 1) certified in accordance with section 106(e)(1) of the Housing and urban Development Act of 1968 (12 U.S.C. 1701x(e)); or 2) certified by the Office of Financial Education of the Department of the Treasury. In addition, such organizations must be able to demonstrate that they meet minimum threshold requirements with respect to their experience and ability to provide Financial Education and Counseling Services which result in documented positive behavioral changes.

**Beneficiary Eligibility:**

Awardees must target their Financial Education and Counseling services to low-income, moderate-income and low-wealth individuals who are prospective homebuyers.

**Credentials/Documentation:**

An applicant must provide information necessary to establish that it is an eligible organization in order to apply for assistance. This information is included as part of the application materials. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must complete an application package. The CDFI Fund provides the application package format.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, as detailed in the Notice of Funding Availability (NOFA) and related application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The NOFA, which is published in the Federal Register, announces deadline dates for submission of applications. Deadline dates general range from 30 to 60 days subsequent to the NOFA publication date.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a three year period. Disbursements of funds will be provided in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients are expected to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of appropriate OMB guidance.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est not reported.; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

The CDFI Fund anticipates making awards to five awardees, totaling \$400,000 each.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEC Pilot Program NOFA; FEC Pilot Program Application. Website:

www.cdfifund.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew Josephs 601 13th Street - Suite 200 South, NW, District of Columbia 20005 Email: JosephsM@cdfi.treas.gov Phone: 2026229254 Fax: 2026222445

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based upon: (1) the quality of their implementation strategy; (2) the proposed impacts, including potential for program replication; (3) the organizational capacity; and (4) the strategy for the proposed uses of funds.

**21.020 COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS PROGRAM**

(CDFI)

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Community Development Banking and Financial Institutions Act of 1994, Public Law 103-325, 12 U.S.C 4701 et.seq; American Recovery and Reinvestment Act of 2009, Executive Order ("Recovery Act"), Public Law 111-5.

**OBJECTIVES:**

Through the CDFI Program and the Native American CDFI Assistance (NACA) Program Financial Assistance (FA) awards invests in CDFIs that demonstrate they have the financial and managerial capacity to: 1) provide affordable and appropriate financial products and services to positively impact their communities; 2) be viable financial institutions; and 3) use and leverage CDFI Fund dollars effectively. Technical Assistance (TA) awards, provides grants to build the internal capacity of start-up and existing CDFIs by helping them provide their products or services. For example, TA grants can be used: 1) to purchase technology (usually efficiency enhancing technology such as computers and loan management software); 2) to facilitate staff training; 3) to engage consulting services to acquire needed skills or services (such as a market analysis or lending policies and procedures); and 4) to pay for staff time to conduct discrete, capacity-building activities such as website development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards under this program provide financial assistance to enhance the awardee's ability to make loans or development investments and to provide development services that will promote economic revitalization and community development. Each awardee enters into an assistance agreement that requires it to comply with performance goals and abide by other terms and conditions pertinent to assistance received under this program. No awards may be issued to Federal Government agencies; departments or instrumentalities; and State government or local government or any agency or instrumentality thereof. Under Section 1512 of the Recovery Act guidance, each awardee or recipient is required to report specific data elements including job creation information back to the CDFI Fund 10 days after the end of each calendar quarter, starting on July 10th.

**Applicant Eligibility:**

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Only Community Development Financial Institutions or entities that provide information necessary for the awarding agency to certify the applicant organization as a



Community Development Financial Institution or is seeking to become a CDFI, are eligible to apply for this program.

**Beneficiary Eligibility:**

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Awards to eligible applicants under this program provide financial and /or technical assistance in order to enhance their ability to make loans and development investments and provide development services that benefit a designated investment area(s), targeted population(s), or both.

**Credentials/Documentation:**

An applicant must provide information necessary to establish that it is, or will be, a CDFI. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete an application package which includes a Comprehensive Business Plan. The CDFI Fund provides the application package format.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Annual Notice of Funds Availability (NOFA), published in the Federal Register, announces deadline dates for submission of applications. Deadline dates generally range from 60 to 90 days subsequent to the notice publication date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The American Reinvestment and Recovery Act of 2009 waived the requirement that the CDFI Fund make awards to applicants in a "like form" to the matching funds secured by the awardee, thus 2009 CDFI and NACA program awards are not required to be matched by non-Federal sources. The Recovery Act also waived the 3-year, \$5 million cap on awards for 2009.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a three-year period. See the following for information on how assistance is awarded/released: Disbursement of funds may be provided in a lump sum or over the life of the award depending on the terms and conditions established at time of award issuance.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. The type and schedule of reports is specified in the Notice of Funding Availability and in the agreement governing the award.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. See the Notice of Funding Availability.

**Records:**

Award recipients are expected to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must

be retained in accordance with the provisions of OMB Circular No. A-110.

**Account Identification:**

20-1882-0-0-910 - American Recovery and Reinvestment Act of 2009;  
20-1881-0-1-451 - Regular Appropriation.

**Obligations:**

(Project Grants) FY 08 \$44,794,749; FY 09 est \$55,000,000; FY 10 est \$113,600,000. (Project Grants) FY 08 \$0; FY 09 est \$100,000,000; FY 10 est \$0 - Recovery Act Appropriation \$98,000,000 Grants; \$2,000,000 Administration.

**Range and Average of Financial Assistance:**

FY 2008 Range of Financial Assistance Awards - \$25,000 - \$2,000,000; Average Financial Assistance award - \$745,806; for Fy 2009, range will be the same as FY 2008 and the Average Financial Assistnace award is projected to be \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 88 awards were made for the FA and TA CDFI program. Fiscal Year 2009: 54 awards are projected with regular appropriation; 50 awards are projected for Recovery Act appropriation. Fiscal Year 2010: 85 awards are projected for FA and TA CDFI program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1805, Notice of Funding Availability. Community Development Financial Institutions Program Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Glennel M. Cooper 601 13th Street, N.W.,  
Suite 200 South, Washington, District of Columbia 20005 Email:  
[cooperg@cdfi.treas.gov](mailto:cooperg@cdfi.treas.gov) Phone: (202) 622-7165 Fax: (202) 622-8728

**Website Address:**

<http://www.cdfifund.gov>.

**RELATED PROGRAMS:**

21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: One award of \$1,500,000, along with required matching funds, was issued to retain and expand manufacturing companies and other businesses that employ low-income resident of a city empowerment zone. Another award, with matching funds, is providing funding so that loans can be originated to assist in working to restore or establish small business development and affordable housing opportunities in targeted population areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) Financial strength and organizational capacity of applicant organization, (2) External resources or matching fund commitment/ability to obtain commitments, (3) Community Impact (The community need for award and activities to be executed), (4) Community Partnerships (Ability to carry out activities and work effectively), and (5) Other factors deemed appropriate under this program and published in the notice of funds availability.

**21.021 BANK ENTERPRISE AWARD PROGRAM**

Bank Enterprise Award Program (BEA)

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Public Law 103-325, 12 U.S.C. 1834a; 12 U.S.C. 4713.

**OBJECTIVES:**

To encourage insured depository institutions to increase their level of community development activities in the form of loans, investments, services and technical assistance within distressed communities and to provide assistance to Community Development Financial Institutions through grants,

equity investments, loans, deposits and other forms of financial and technical assistance. The program rewards participating insured depository institutions for increasing their activities in economically distressed communities and investing in community development financial institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under this program, awards are issued to selected applicants that: (1) Invest in or otherwise support Community Development Financial Institutions; (2) Increase lending and investment activities within Distressed Communities; and/or (3) Increase the provision of certain services and technical assistance within Distressed Communities. An award is based upon a percentage of the increase in qualifying activities that are carried out by the applicant between an established Baseline Period and Assessment Period. This information is announced in the annual notice of funds availability published in the Federal Register. Only Federal Deposit Insurance Corporation insured banks and savings associations may apply for an award under this program.

**Applicant Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of insured depository institutions.

**Beneficiary Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of an insured depository institutions.

**Credentials/Documentation:**

An applicant must provide Federal Deposit Insurance Corporation certificate number. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a Bank Enterprise Award Application package.

**Award Procedure:**

Applications are reviewed and grant awardees are selected by the Community Development Financial Institutions Fund.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The annual Notice of Funds Availability published in the Federal Register announces deadline dates for the submission of applications for this program. Deadline dates generally range from 30 to 90 days subsequent to the notice publication.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are issued on a percentage basis for selected and approved activity increases under this program. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Costs

incurred for awards issued as part of this program are subject to audit in accordance with the award terms and conditions.

**Records:**

Award recipients must maintain records to substantiate all award costs incurred and to assure that all performance measures are met. Records will be retained in accordance with the provisions of 12 CFR Part 1806 and OMB Circular No. A-110.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Project Grants) FY 08 \$20,101,901; FY 09 est \$22,000,000; FY 10 est \$22,000,000

**Range and Average of Financial Assistance:**

Fy 2008 Range of awards \$6,000 to \$675,000; Average Award \$386,575.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 52 awards were issued. Fiscal Year 2009: Approximately 55 awards will be issued. Fiscal Year 2010: Approximately 55 awards will be issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1806, Revised Interim Rule, published in the January 30, 2009 issue of the Federal Register. Bank Enterprise Award Program Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Glennel Cooper 601 Thirteenth Street, NW, Suite 200, South  
, Washington, District of Columbia 20005 Email:  
cooperg@cdfi.treas.gov Phone: 202-622-7165

**Website Address:**

www.cdfifund.gov.

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Bank Enterprise Award recipients made available nearly \$289 million for new loans, investments, financial services and technical assistance in economically distressed communities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Award recipients are selected based upon a priority ranking of qualified activities. Qualified activities include, in order of importance, the following: (1) Community Development Financial Institution Related Activities; and, (2) Development and Service Activities.

**APPALACHIAN REGIONAL COMMISSION**

**23.001 APPALACHIAN REGIONAL DEVELOPMENT (SEE INDIVIDUAL APPALACHIAN PROGRAMS)**

(Appalachian Program)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the

people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Appalachian funds enable the States and local areas to develop networks of facilities and services. Individual programs following this description illustrate the types of investments that can be made. In considering programs and projects to be given assistance under this Act, and in establishing a priority ranking of the requests for assistance presented to the Commission (ARC), the ARC follows procedures insuring consideration of the following factors: (1) The relationship of the project or class of projects to overall regional development and the reduction of economic distress; (2) the population and area to be served including the relative per capita income and the unemployment rates in the area; (3) the relative financial resources available to the State or political subdivision or instrumentalities thereof which seek to undertake the project; (4) the importance of the project or class of projects in relation to other activities which may compete for the same funds; (5) the prospects that the project for which assistance is sought will improve the opportunities for sustained employment, income growth, or socioeconomic development of the area; and (6) the degree and manner of private sector involvement. No financial assistance can be used to assist establishments relocating from one area to another. Each State is required to file a State Appalachian development plan, appraising prospects for development in its Appalachian area and relating to them a strategic program for which Appalachian funding is requested in that year. Once an application is submitted for the individual projects and given final approval, the grant is administered either by the basic Federal agency involved in that type of program or directly by the ARC. The counties (including any political subdivision located within such area) in which investment under the Appalachian Act (40 U.S.C. 14102) can be made are: in Alabama, the counties of Bibb, Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Fayette, Franklin, Hale, Jackson, Jefferson, Lamar, Lauderdale, Lawrence, Limestone, Macon, Madison, Marion, Marshall, Morgan, Pickens, Randolph, Saint Clair, Shelby, Talladega, Tallapoosa, Tuscaloosa, Walker, and Winston; in Georgia, the counties of Banks, Barrow, Bartow, Carroll, Catoosa, Chattooga, Cherokee, Dade, Dawson, Douglas, Elbert, Fannin, Floyd, Forsyth, Franklin, Gilmer, Gordon, Gwinnet, Habersham, Hall, Haralson, Hart, Heard, Jackson, Lumpkin, Madison, Murray, Paulding, Pickens, Polk, Rabun, Stephens, Towns, Union, Walker, White, and Whitfield; in Kentucky, the counties of Adair, Bath, Bell, Boyd, Breathitt, Carter, Casey, Clark, Clay, Clinton, Cumberland, Edmonson, Elliott, Estill, Fleming, Floyd, Garrard, Green, Greenup, Harlan, Hart, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lewis, Lincoln, McCreary, Madison, Magoffin, Martin, Menifee, Metcalfe, Monroe, Montgomery, Morgan, Nicholas, Owsley, Perry, Pike, Powell, Pulaski, Robertson, Rockcastle, Rowan, Russell, Wayne, Whitley, and Wolfe; in Maryland, the counties of Allegany, Garrett, and Washington; in Mississippi, the counties of Alcorn, Benton, Calhoun, Chickasaw, Choctaw, Clay, Itawamba, Kemper, Lee, Lowndes, Marshall, Montgomery, Monroe, Noxubee, Oktibbeha, Panola, Pontotoc, Prentiss, Tippah, Tishomingo, Union, Webster, Winston, and Yalobusha; in New York, the counties of Allegany, Broome, Cattaraugus, Chautauq, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins; in North Carolina, the counties of Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Cherokee, Clay, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey; in Ohio, the counties of Adams, Ashtabula, Athens, Belmont, Brown, Carroll, Clermont, Columbiana, Coshocton, Gallia, Guernsey, Harrison, Highland, Hocking, Holmes, Jackson, Jefferson, Lawrence, Mahoning, Meigs, Monroe, Morgan, Muskingum, Noble, Perry, Pike, Ross, Scioto, Trumbull, Tuscarawas, Vinton, and Washington; in Pennsylvania, the counties of Allegheny, Armstrong, Beaver, Bedford, Blair, Bradford, Butler, Cambria, Cameron, Carbon, Centre, Clarion, Clearfield, Clinton, Columbia, Crawford, Elk, Erie, Fayette, Forest, Fulton, Greene,

Huntingdon, Indiana, Jefferson, Juniata, Lackawanna, Lawrence, Luzerne, Lycoming, McKean, Mercer, Mifflin, Monroe, Montour, Northumberland, Perry, Pike, Potter, Schuylkill, Snyder, Somerset, Sullivan, Susquehanna, Tioga, Union, Venango, Warren, Washington, Wayne, Westmoreland, and Wyoming; in South Carolina, the counties of Anderson, Cherokee, Greenville, Oconee, Pickens, and Spartanburg; in Tennessee, the counties of Anderson, Bledsoe, Blount, Bradley, Campbell, Cannon, Carter, Claiborne, Clay, Cocke, Coffee, Cumberland, De Kalb, Fentress, Franklin, Grainger, Greene, Grundy, Hamblen, Hamilton, Hancock, Hawkins, Jackson, Jefferson, Johnson, Knox, Lawrence, Lewis, Loudon, McMinn, Macon, Marion, Meigs, Monroe, Morgan, Overton, Pickett, Polk, Putman, Rhea, Roane, Scott, Sequatchie, Sevier, Smith, Sullivan, Unicoi, Union, Van Buren, Warren, Washington, and White; in Virginia, the counties of Alleghany, Bath, Bland, Botetourt, Buchanan, Carroll, Craig, Dickenson, Floyd, Giles, Grayson, Henry, Highland, Lee, Montgomery, Patrick, Pulaski, Rockbridge, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe; all the counties of West Virginia.

#### **Applicant Eligibility:**

States, and through the States, public bodies and private nonprofit organizations. All proposed projects must meet the requirements of the State Appalachian plan and the annual State strategy statement, both of which must be approved annually by the Commission.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

(See individual Appalachian program descriptions.). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The following describes the general nature and Administration of Appalachian Regional Development Program. The Appalachian Regional Development program is a joint Federal-State partnership for the development of the Appalachian region. Responsibility for the development of plans and programs authorized under the Act is vested in the ARC, composed of the 13 State Governors (who may appoint alternates) and a Federal Co-Chairman. General policies and procedures, and the allocation of Appalachian funds among the various programs and States are established by the ARC. Application for assistance may only be made through a State member of the ARC. The State Alternate's Offices are the coordinators for the Governors for Appalachian investments. Preapplication conferences can determine within a few weeks if the project conforms to the State Appalachian Development Plan. The appropriate local development district director should be the first contact. The State Alternate's Offices will provide guidance on specific problems and technical assistance in the preparation of applications. (See individual Appalachian program descriptions.)

Only infrastructure projects require an environmental review. Please see 40 U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for individual projects must be submitted through and with the approval of the State Alternate to the Appalachian Regional Commission (listed in the appendix). (See individual Appalachian program description.)

#### **Award Procedure:**

Upon receipt of project applications approved by the State, the Federal Co-Chairman determines that the project satisfies all requirements for assistance under the Act and approves the application. If a basic Federal agency will administer the project, it is then notified and will disburse funds when appropriate. The ARC notifies Congressional offices and the office of the Governor of grant awards. (See individual Appalachian program descriptions.).

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

(See individual Appalachian program descriptions.).

#### **Appeals:**

There are no appeal procedures as such, project review allows for full and free interchange with applicants.

**Renewals:**

Generally renewals are not applicable except for administrative expenses, including technical services, of local development districts (23.009).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: For the Area Development program, grants are generally limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70% and in economically Distressed counties, it can be raised to 80%. For projects in counties designated as Competitive (those approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms.

For the Appalachian Development Highway System, funding for work is allowed at 80%, wherever the project is located. Administrative grants to Local Development Districts are generally funded at 50%. These grants may be increased to 75% upon request by a state in Districts where distressed counties are located. See the ARC Code for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See individual Programs. See the following for information on how assistance is awarded/released: See individual Programs.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required by the basic Federal agency and the Commission.

**Records:**

Records generally are required by the basic Federal agency, but see local development districts (23.009).

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$68,286,799; FY 09 est \$66,000,000; FY 10 est \$68,000,000 - Sections 23.002, 23.009 and 23.011 provide a detailed break-out of these funds.

**Range and Average of Financial Assistance:**

See Individual programs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a Journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Carolyn R. Cleveland 1666 Connecticut Avenue, NW  
Suite 600  
, Washington, District of Columbia 20009 Email: cleveland@arc.gov Phone: 2028847713

**Website Address:**

<http://www.arc.gov>.

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;  
11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**23.002 APPALACHIAN AREA DEVELOPMENT**

(Supplemental and Direct Grants)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for providing supplemental funds under Federal grant-in-aid programs. To be eligible for special basic grants, projects must be of high priority in the State's Appalachian development plan and be either of critical importance to a phased investment and development program for a multicounty area, or of unusual economic benefit to such area. Refer to "General Provisions for Area Development Program" of the Appalachian Regional Commission Code and ARC Project Guidelines for additional use restrictions. Also, please see [www.arc.gov](http://www.arc.gov). The Appalachian Regional Commission awards grants and contracts from funds appropriated to the Commission annually by Congress. At least half of ARC's Area Development grant funding is directed to projects that benefit counties and areas in the Appalachian Region designated by ARC as economically distressed. Most program grants originate at the state level. Potential applicants should contact their state ARC program manager to request a preapplication package.

**Applicant Eligibility:**

States, their subdivisions and instrumentalities and private nonprofit agencies.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Any finding, report, certification, or documentation required to be submitted to the head of the department, agency, or instrumentality of the Federal Government responsible for the administration of the basic Federal grant-in-aid program shall be accepted by the Federal Co-chairman with respect to a supplemental grant for any project under such program. Projects must conform to the ARC Code, the ARD Act, the State Appalachian Plan and annual State Strategy Statement. The Appalachian State Development Plan and the annual State Strategy Statement must be submitted by the Governors and approved by the Commission. Costs will be determined in accordance with OMB Circular applicable to the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of applications. An environmental impact statement may be required for this program, depending on the basic Federal grant-in-aid program being assisted. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

Only infrastructure projects require an environmental review. Please see 40 U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application must be submitted and approved by the State member of the ARC. All proposed projects must conform to the State Strategy Statement submitted annually prior to the Fall Commission meeting. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State member and an executed ARC Form 1 is required with the submission.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-Chairman determines that the project satisfies all Federal requirements. If a basic Federal agency will administer the project it is then notified and will disburse the grant funds when appropriate. The ARC notifies Congressional Offices and the Office of the Governor of grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Generally grants are limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70%, and in economically distressed counties, it can be raised to 80%. For projects in counties designated as competitive (those that are approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. If otherwise eligible for funding, projects involving construction assistance for housing under the Appalachian Regional Development Act (ARDA) (40 U.S.C. 14503) cannot exceed 10% of total project costs regardless of location. The ARC Code and "Appalachian Regional Commission Project Guidelines" furnish details. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided until completion; funds are transferred to the basic Federal agency and disbursed as appropriate. ARC reserves the right to withdraw grants for projects not under contract within 18 months of approval. See the following for information on how assistance is awarded/released: Generally, most funds are awarded on a quarterly basis. Grant monies are released in a timely fashion through coordination with the applicant.

**Reports:**

No program reports are required. No cash reports are required. Grantees of non-construction projects submit quarterly reports outlining progress throughout the award period. Grantees of non-construction projects submit

quarterly expenditure reports along with their progress reports. Grantees of non-construction assess performance in their final closing report. Performance is measured against estimated projections in the initial application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$68,286,799; FY 09 est \$66,000,000; FY 10 est \$68,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1) Jobs Created/Retained: Goal = 20,000; Actual = 35,292  
2) Private Sector Dollars Leveraged: Ratio Goal = 4:1; Actual = 7:1  
3) Households served Water/Wastewater: Goal = 20,000; Actual = 21,538  
4) Students/Workers Trained: Goal = 20,000; Actual = 20,432. Fiscal Year 2009: 1) Jobs Created/Retained: Projected = 20,000  
2) Private Sector Dollars Leveraged: Projected = 4:1  
3) Households served Water/Wastewater: Projected = 20,000  
4) Students/Workers Trained: Projected = 20,000. Fiscal Year 2010: 1) Jobs Created/Retained: Projected = 20,000  
2) Private Sector Dollars Leveraged: Projected = 4:1  
3) Households served Water/Wastewater: Projected = 20,000  
4) Students/Workers Trained: Projected = 20,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a journal devoted to the special problems of regional development; Performance and Accountability Report, no charge.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Carolyn R. Cleveland 1666 Connecticut Avenue, NW  
Suite 600  
, Washington, District of Columbia 20009 Email: ccleveland@arc.gov Phone: 2028847713

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Appalachian Regional Commission awarded \$45,816 in 2008 to fund training in the installation and maintenance of wind generation and photovoltaic equipment at Frostburg State University in Maryland. Each course includes workshop instruction and hands-on laboratory time in the colleges Wind and Solar Energy System. On completion of the course, students are prepared to take the certification test offered by the North American Board of Certified Energy Practitioners. This program will expand opportunities for local contractors and entrepreneurs. The program has been

highly successful and can easily be replicated in other institutions across the region. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.003 APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM**

(Appalachian Corridors)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4, as amended, 40 U.S.C. 14501.

**OBJECTIVES:**

To provide a highway system which, in conjunction with other federally-aided highways, will open up areas with development potential within Appalachia where commerce and communication have been inhibited by lack of adequate access.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for preliminary engineering, right-of-way, and construction of highways meeting the objectives stated above. Total highway construction may not exceed 3,090 miles for the 13-State system. The highways must be accepted and maintained as a Federal-aid highway. Refer to general use restrictions stated in the Appalachian Regional Development program (23.001).

**Applicant Eligibility:**

State governments only are eligible for development highways within their Appalachian portions.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Segments must be approved by the ARC and projects must be processed in accordance with State Highway department and Federal Highway Administration procedures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact statement is required for this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State highway department coordinates with the Federal Highway Administration, Department of Transportation (DOT), as in the case of federally aided highway construction. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The ARC has established a corridor system. The Appalachian State office designated by the State Member submits an application for construction within this system to the Commission for consideration. ARC must concur in detailed highway locations and construction centerlines. Upon such approval, State highway departments may submit plans to implement projects to the State-level office of Federal Highway Administration.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian Highway Plan, the Federal Co-chairman notifies FHWA of centerline approval after determining that the project satisfies all Federal requirements. The Department of Transportation is then notified, administers the grants and disburses the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding for work on the Appalachian Development Highway System is allowed at 80%, wherever the project is located. Please see the ARC Code for more details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Assistance is provided as required. See the following for information on how assistance is awarded/released: Funds are distributed by formula based on the current "cost to complete" report estimate.

**Reports:**

Grantees are required to submit data in preparation for an annual status report. Grantees are required to reconcile obligations against progress. Grantees are required to detailed construction status reports. Grantees are required to reconcile obligations against progress. Performance is measured and reported each year in Federal awards with the goals and strategies of ARC's Strategic Plan 2005-2010.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Highway Administration, DOT, supervises audits for the Commission.

**Records:**

Records and time of record maintenance as required by the Federal Highway Administration, DOT.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$323,953,630; FY 09 est not reported.; FY 10 est not reported. - Ranges and averages vary with type of use. Allocations are within predetermined system of highways. Funding is provided from the Highway Trust Fund.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The goal for ADHS miles opened to traffic in 2008 was 25 miles. Actual miles opened were 35.5. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The ARC Code (available at [www.arc.gov](http://www.arc.gov)); "Appalachian Regional Commission Project Guidelines" (also available at [www.arc.gov](http://www.arc.gov)); applicable State Appalachian Plans and Guidelines; "Appalachia" a journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., NW., Washington, DC 20009. Telephone: (202) 884-7700. Use the same number for FTS.

**Headquarters Office:**

Carolyn R. Cleveland 1666 Connecticut Avenue, NW  
Suite 600  
, Washington, District of Columbia 20009 Email: ccleveland@arc.gov Phone:  
2028847713

**Website Address:**

http://www.arc.gov .

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.009 APPALACHIAN LOCAL DEVELOPMENT DISTRICT ASSISTANCE**

(LDD)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended, 40 U.S.C. 14321.

**OBJECTIVES:**

To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Appalachian Regional Development Program (23.001), the local development district may use grant funds for the purchase of real estate and vehicles; and for space improvement and construction only with the express approval of ARC. Funds may be used only in the performance of grantees program and in accordance with the budget, and amendments thereto, as approved by the Commission. See restrictions listed under the Appalachian Regional Development Program (23.001). For administrative expenses, including technical services of certified local development districts.

**Applicant Eligibility:**

Multicounty organizations certified by the State.

**Beneficiary Eligibility:**

Multicounty organizations.

**Credentials/Documentation:**

Certificate by the Governor. State Appalachian Plan and Strategy Statement must describe the procedures for the participation of local development districts in the Appalachian development planning process. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for the Governor for Appalachian investments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted and approved by the State Member of ARC. All proposed projects must meet the requirements of the State Appalachian Plan and Strategy Statement. Strategy statements are submitted to the Commission for approval annually prior to the Fall Commission meeting. A letter of transmittal signed by the

State Member and Standard Form 424 are required.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-chairman determines that the project satisfies all Federal requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Usually within 45 days after the receipt of the application at the Commission.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and amended applications follow the same procedures as the original application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Administrative grants may be funded at 50%, wherever the local development district is located, except that a state may request that ARC participation be increased to as much as 75 percent for a local development district that includes a distressed county or counties within its service area or to as much as 70 percent for a local development district that includes an at-risk count or counties within its service area. See the ARC Code and ARC Project Guidelines for more details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is provided annually for 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures. A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures. No progress reports are required. A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures. A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commission, the Federal Co-chairman of the Commission, and the Comptroller General of the United States shall have access for the purpose of audit and examination.

**Records:**

The grantee shall keep records for not less than 3 years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$6,982,160; FY 09 est \$7,000,000; FY 10 est \$7,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (available at [www.arc.gov](http://www.arc.gov)); "ARC Travel Regulations;" "ARC Section 302A Guidelines" and "Audit Guide for Grants Made Under Section 302(A)(1) of the Appalachian Regional Development Act of 1965, as amended", and applicable OMB Circulars.

### **Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

### **Headquarters Office:**

Carolyn R. Cleveland 1666 Connecticut Avenue, NW  
Suite 600  
, Washington, District of Columbia 20009 Email: [ccleveland@arc.gov](mailto:ccleveland@arc.gov) Phone:  
2028847713

### **Website Address:**

<http://www.arc.gov> .

## **RELATED PROGRAMS:**

11.303 Economic Development\_Technical Assistance

## **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 72 local development districts were aided in FY2008. Fiscal Year 2009: 74 local development districts will be aided in FY2009. Fiscal Year 2010: 74 local development districts will be aided in FY2009.

## **CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

## **23.011 APPALACHIAN RESEARCH, TECHNICAL ASSISTANCE, AND DEMONSTRATION PROJECTS**

(State Research)

### **FEDERAL AGENCY:**

Appalachian Regional Commission

### **AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended; 40 U.S.C. 14321.

### **OBJECTIVES:**

To expand the knowledge of the region to the fullest extent possible by means of research (including investigations, studies, technical assistance and demonstration projects) in order to assist the Commission in accomplishing the objectives of the Act, and implementation of the ARC strategic plan.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

To research or demonstrate the feasibility of plans and programs for concerted economic and community development. Priority will be given to technical assistance related to job creation projects. Project activities can include investigations, research, studies, evaluations, and assessments of needs, potentials, or attainments of the people of the region, technical assistance, training programs, demonstrations and the construction of necessary facilities incident to such activities. All developments resulting from such research, and demonstration projects must be made freely available to the general public. Existing research by other agencies is to be utilized as much as possible. Research projects are subject to the uses and use restrictions described under the Appalachian Regional Development program (23.001). The purpose of these funds are to research or demonstrate the feasibility of plans and programs for concerted economic and community development. Priority will be given to technical assistance related to job creation projects.

### **Applicant Eligibility:**

Qualified candidates with subject matter experience who respond to Commission issued requests for proposals that are advertised on the Appalachian Regional Commission website ([www.arc.gov](http://www.arc.gov)).

### **Beneficiary Eligibility:**

States and local public bodies.

### **Credentials/Documentation:**

Projects must conform to the Appalachian Regional Commission Strategic Plan. OMB Circular No. A-87 applies to this program.

## **Preapplication Coordination:**

The Appalachian Regional Commission reviews and prioritizes research and evaluation projects necessary to further the goals of the agency's strategic plan. The Executive Director approves individual contractors. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

## **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Candidates with subject matter expertise can respond to publicly advertised requests for proposals. Requests for proposals are located on the ARC website: [www.arc.gov](http://www.arc.gov). The Commission reviews and prioritizes research projects to be completed each year.

## **Award Procedure:**

Upon determination that the approved project is eligible within a Commission approved Appalachian Strategic Plan, the Federal Co-chairman and Executive Director determines that the project satisfies all Federal requirements.

## **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

## **Range of Approval/Disapproval Time:**

From 36 to 60 days after the receipt of the application at the Commission.

## **Appeals:**

Not Applicable.

## **Renewals:**

Yes, renewals are possible. They are processed in the same manner as the original application.

## **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. A limited amount of discretionary authority is made available to the Commission under (40 U.S.C. 14321) of the Appalachian Regional Development Act. Annually the Commission allocates this authority to the Co-Chairmen's Committee and among the Appalachian States. The authority can be used to raise the statutory limits on ARC funding in projects implementing special regional initiatives approved by the Commission. It can also be used, with the approval of the Co-Chairmen's Committee, in cases of emergency economic distress. This discretionary authority, however, cannot be used to eliminate the funding restrictions on projects in competitive and attainment counties.

This program does not have MOE requirements.

## **Length and Time Phasing of Assistance:**

Usually 12 months. Assistance is provided as required. See the following for information on how assistance is awarded/released: A schedule for payment is included in the contract proposal. However, ARC retains 10% of funds until the project is completed.

## **Reports:**

Program reports are not applicable. A cost estimate of the project is required upon initiation of the research contract. As the contract progresses, researchers are asked to update ARC on their progress. Drafts are sent to ARC for review. Expenditure updates are required for reimbursement. Performance monitoring is not applicable.

## **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by the Commission, in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156.

## **Records:**

As required by the terms of the contract.

## **Account Identification:**



46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 08 \$929,971; FY 09 est \$1,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The following reports were completed in FY2008: 1) Creating an Entrepreneurial Appalachian Region: Findings and Lessons from an Evaluation of the ARC's Entrepreneurship Initiative, 2) An Assessment of Alternative Measures for Determining Economically Distressed Counties and Areas in the Appalachian Region, 3) Sources of Growth in Non-Metro Appalachia (Vol 1-4), 4) An analysis of Mental Health and Substance Abuse Disparities & Access to Treatment Services in the Appalachian Region, and 5) Underlying Socioeconomic Factors Influencing Health Disparities in the Appalachian Region. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); "Appalachia" a journal devoted to the special problems of regional development (no charge); Research Program Prospectus (limited distribution) Performance and Accountability Report.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Carolyn R. Cleveland 1666 Connecticut Avenue, NW Suite 600 , Washington, District of Columbia 20009 Email: ccleveland@arc.gov Phone: 2028847713

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See FY2008 Accomplishments. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

**30.001 EMPLOYMENT DISCRIMINATION\_TITLE VII OF THE CIVIL RIGHTS ACT OF 1964**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

Title VII prohibits employment discrimination against applicants or employees based on race, color, religion, sex, or national origin. Title VII also prohibits retaliation against applicants or employees who oppose employment practices that discriminate based on race, color, religion, sex or national origin or who file a discrimination charge, testify, or participate in any way in an investigation, proceeding, or litigation under Title VII.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of race, color, religion, sex and national origin by employers with 15 or more employees, by Federal, state, and local governments, by employment agencies, and by labor organizations. The EEOC Assessment System, available at

<https://apps.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment or retaliation. Charges of discriminatory employment practices by or on behalf of an individual or group of individuals claiming to be aggrieved are received. Mediation of the dispute may be offered. If mediation is not used or is not successful, investigations may ensue. If reasonable cause is not found, the Commission issues a right to sue letter. If reasonable cause is found, the charge is conciliated. If conciliation proves to be unsuccessful and the employer is not a State or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter. If conciliation fails on a charge against a State or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title VII, as amended, has been committed by an employer with 15 or more employees, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining. Prohibits employment discrimination on the bases of race, color, national origin, religion and sex.

**Beneficiary Eligibility:**

Applicants, current employees, and former employees of the named respondent(s) in a charge who have been subjected to unlawful employment practices.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized (only when necessary to meet State or local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Title VII requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above.

Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$329,300,000; FY 09 est \$343,925,000; FY 10 est \$367,303,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, EEOC received 69,064 private sector Title VII charges of discrimination and achieved 58,104 resolution securing \$201.4 million in monetary benefits for 8,155 persons. In fiscal year 2008, EEOC filed 290 merits lawsuits and 36 subpoena enforcement and other actions, resolved 339 merits lawsuits, and recovered \$102.2 million in monetary relief. The filed and resolved suits included direct, intervention, administrative settlement enforcement and preliminary relief. In fiscal year 2008, filed 49 appellate briefs, including 11 amicus curiae filed in the courts of appeal and Supreme Court. Merits lawsuits include direct suits and interventions alleging violations of the substantive provisions of federal employment discrimination statutes and suits to enforce administrative settlements. In fiscal year 2008, EEOC filed 224 lawsuits on the merits raising Title VII issues solely or concurrently with issues arising from other statutes and resolved 265 Title VII merits suits with monetary benefits of \$65.6 million. In fiscal year 2008, EEOC received 8,036 requests for hearings, resolved 7,138 complaints, and secured more than \$104.7 million in relief for federal sector complainants. Unless otherwise indicated, enforcement, litigation and hearings data are for programs 30.001, 30.008, 30.010 and 30.011 combined. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact the EEOCs Publication Center at 1-800-669-3362 (voice) or 1-800-800-9902 (TTY). 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602, Recordkeeping and Reporting Regulations; 29 CFR 1604, Guidelines on Discrimination Because of Sex; 29 CFR 1605, Guidelines on Discrimination Because of Religion; 29 CFR 1606, Guidelines on Discrimination Because of National Origin. Enforcement guidances include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Vicarious Employer Liability for Unlawful Harassment by Supervisors; Application of EEO Laws to Contingent Workers Placed by Temporary Employment Agencies and Other Staffing Firms; Sex Discrimination in the Compensation of Sports Coaches in Educational Institutions. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10: Compensation Discrimination; Section 12: Religious Discrimination; Section 13: National Origin Discrimination; Section 15: Race and Color Discrimination. Technical assistance documents, fact sheets, and other relevant material include: Best Practices for Eradicating Religious Discrimination in the

Workplace; Commission Decision on Coverage of Contraception; Employer Best Practices for Workers with Caregiving Responsibilities; Employment Tests and Selection Procedures; The Family and Medical Leave Act, the Americans with Disabilities Act, and Title VII of the Civil Rights Act of 1964; Questions and Answers About Employer Responsibilities Concerning the Employment of Muslims, Arabs, South Asians, and Sikhs; Questions and Answers About the Workplace Rights of Muslims, Arabs, South Asians, and Sikhs Under the Equal Employment Opportunity Laws; Fact Sheet: Employment Discrimination Based on Religion, Ethnicity, or Country of Origin; Fact Sheet: National Origin Discrimination; Fact Sheet: Race/Color Discrimination; Fact Sheet: Religious Discrimination; Fact Sheet: Sexual Harassment Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. Any EEOC office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4900/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.002 Employment Discrimination\_State and Local Fair Employment Practices Agency Contracts; 30.008 Employment Discrimination\_Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination\_Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.002 EMPLOYMENT DISCRIMINATION\_STATE AND LOCAL FAIR EMPLOYMENT PRACTICES AGENCY CONTRACTS****FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

To assist EEOC in the enforcement of Title VII of the Civil Rights Act of 1964, as amended, the Age Discrimination in Employment Act of 1967 and the Americans with Disabilities Act of 1990 by investigating and resolving charges of employment discrimination based on race, color, religion, sex, national origin, age, and/or disability.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Contracts are made with official State and local Fair Employment Practices Agencies based on the resolution of individual charges of employment discrimination filed concurrently with those agencies and the EEOC and for the identification, investigation, conciliation and elimination of unlawful employment practices.

**Applicant Eligibility:**

Official State and local government agencies charged with the administration and enforcement of State and/or local fair employment practices law, where there exists an appropriate law (State or local) authorizing the agency to grant or seek relief from unlawful employment practices. Eligible applicants must be designated by EEOC as Fair Employment Practices Agencies. Local agencies requesting a contract for the first time are subject to additional considerations.

**Beneficiary Eligibility:**

Employees, potential employees and former employees covered by Title VII of the Civil Rights Act of 1964 as amended, the Age Discrimination in Employment Act of 1967, and/or the Americans with Disabilities Act of 1990.

**Credentials/Documentation:**

Funding must be determined by negotiation with the applicant and approval by the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application must be made to the EEOC District Office which will review it and make a recommendation to the Office of Field Programs, EEOC Headquarters.

**Award Procedure:**

Recommendation made to EEOC Commissioners. Decision made by final vote of the EEOC Commissioners.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation and vote of the Commission.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cycles of one year to three years. Paid by a combination of advance vouchers and for actual services. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Periodic Program reports as required by contracts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by the contract.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$26,336,000; FY 09 est \$27,900,000; FY 10 est \$26,000,000

**Range and Average of Financial Assistance:**

From \$3,300 to \$2,284,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Ninety-six agencies are projected to receive contracts to resolve more than 47,00 discrimination charges in fiscal year 2008. Fiscal Year

2009: Ninety-six agencies are projected to receive contracts to resolve more than 47,00 discrimination charges in fiscal year 2008. Fiscal Year 2010: Ninety-six agencies are projected to receive contracts to resolve more than 47,00 discrimination charges in fiscal year 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Request for Application and Proposals for EEOC Funding of Programs Under Title VII, Section 709(b), Public Law 88-352.

**Regional or Local Office:**

See Regional Agency Offices. EEOC District office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael J. Dougherty 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4801

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.008 Employment Discrimination Age Discrimination in Employment; 30.009 Employment Discrimination Project Contracts Indian Tribes; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Charge resolution contracts are funded for the receipt and resolution of individual charges of employment discrimination by State and/or Local Government Agencies. Fiscal Year 2009: Charge resolution contracts are funded for the receipt and resolution of individual charges of employment discrimination by State and/or Local Government Agencies. Fiscal Year 2010: Charge resolution contracts are funded for the receipt and resolution of individual charges of employment discrimination by State and/or Local Government Agencies.

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for charge resolution contracts are submitted by designated official State and local government agencies to EEOC District offices in their geographic area. EEOC District Offices then submit recommendations based on information provided by the agencies, as well as past performance, if applicable, to EEOC Headquarters. Selection is based on meeting the provisions of current Contracting Principles promulgated by the Commission.

**30.005 EMPLOYMENT DISCRIMINATION\_PRIVATE BAR PROGRAM****FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

(a) To assist individuals who have filed a charge with the Commission, or on whose behalf a charge has been filed, in contacting members of the private bar; (b) to provide technical assistance to aggrieved individuals and their attorneys in Title VII, Equal Pay, Age Discrimination in Employment and Americans with Disabilities Act cases; to establish the attorney referral mechanism; and (d) to coordinate the strategies of the private bar with those of the Commission.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Upon request, provide assistance to individuals in locating lawyers who are prepared to litigate Title VII, Americans with Disabilities Act, Equal Pay Act and Age Discrimination in Employment Act issues.

**Applicant Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Beneficiary Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for assistance may be made in writing or orally to nearest EEOC District Office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Salaries and expenses) FY 09 not separately identifiable; FY 2010 separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Data not available for fiscal year 2008. Fiscal Year 2009: Data not available for fiscal year 2009. Fiscal Year 2010: Data not available for fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EEOC Compliance Manual, Section 81 - Private Bar Referral Program.

**Regional or Local Office:**

See Regional Agency Offices. EEOC District Offices (see Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Jerome Scanlan 131 M Street, NE, Washington, District of Columbia 20507  
Phone: 202-663-4719

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

30.001 Employment Discrimination\_Title VII of the Civil Rights Act of 1964;  
30.002 Employment Discrimination\_State and Local Fair Employment Practices Agency Contracts; 30.008 Employment Discrimination\_Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination\_Title I of The Americans with Disabilities Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.008 EMPLOYMENT DISCRIMINATION\_AGE DISCRIMINATION IN EMPLOYMENT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Age Discrimination in Employment Act of 1967.

**OBJECTIVES:**

The Age Discrimination in Employment Act (ADEA) prohibits discrimination based on age (40 or older) with respect to any term, condition, or privilege of employment, including hiring, firing, promotion, layoff, compensation, benefits, job assignments, and training. The ADEA also prohibits retaliation against an individual for opposing employment practices that discriminate based on age or for filing an age discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADEA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals 40 years of age or older are protected from age discrimination by employers with 20 or more employees, including the federal, state, and local governments, employment agencies and labor organizations. It is unlawful for covered employers to post advertisements indicating any preference, limitation, or specification based on age. Limited exceptions apply: in situations in which age is a bona fide occupational qualification reasonably necessary to the normal operation of the business; in situations in which the differentiation is based on reasonable factors other than age; or if an otherwise prohibited practice is in observance of the terms of a bona fide seniority system or employee benefit plan (except that no such seniority system or employee benefit plan shall excuse the failure to hire, or require or permit the involuntary retirement of any covered individual). Exemptions and exceptions also apply for highly compensated employees, public officials, firefighters and law enforcement officers. The EEOC Assessment System, available at <https://apps.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment or retaliation.

**Applicant Eligibility:**

Individuals age 40 and over who believe that they have been discriminated against because of age or who believe that such discrimination is occurring against others 40 and over.

**Beneficiary Eligibility:**

Individuals age 40 and over.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized (only when necessary to meet state or local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. This program is excluded from coverage under OMB Circular

No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual or by any organization, i.e. labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADEA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state anti-discrimination law, or within 30 days after the receipt of notice of termination of state proceedings, whichever is earlier. A civil action may be commenced at any time 60 days after a charge has been filed with the EEOC. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under ADDEA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, EEOC received 24,582 charges of age discrimination, resolved 21,415 age discrimination charges, and recovered \$82.8 million in monetary benefits for 2,867 charging parties and other aggrieved individuals (not including monetary benefits obtained through

litigation). In fiscal year 2008, EEOC filed 38 lawsuits on the merits raising ADEA issues solely or concurrently with issues arising from other statutes and resolved 41 merits suits with monetary benefits of \$30.3 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available for downloading on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Office of Communications and Legislative Affairs at (202) 663-4191 or (202) 663-4494 (TTY). Regulations: 29 C.F.R 1625, Age Discrimination in Employment Act; 29 C.F.R 1626, ProceduresAge Discrimination in Employment Act; 29 C.F.R 1627, Records to be made or kept relating to age: notices to be posted: administrative exemptions. Policy documents and fact sheets include: Compliance Manual Section 2: Threshold Issues; Compliance Manual Section 3: Employee Benefits; Compliance Manual Section 8: Retaliation; Compliance Manual Section 10: Compensation Discrimination; Fact Sheet: Age Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. Persons should contact the nearest office of EEOC listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4900/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002 Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.009 EMPLOYMENT DISCRIMINATION PROJECT CONTRACTS\_INDIAN TRIBES**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

To insure the protection of the employment rights of Indians working on or near reservations.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Contractors selected must have an enforceable tribal ordinance, signed by the tribal chairman, protecting Indian employment rights and establishing a Tribal Employment Rights Office (TERO). Tribe must also have a TERO with a sitting director.

**Applicant Eligibility:**

Must be a Federally registered, land based American Indian Tribe that has a tribal employment rights office established under an ordinance passed by the tribal council. The office must have a sitting director.

**Beneficiary Eligibility:**

American Indians employed or seeking employment on or near reservations.

**Credentials/Documentation:**

Funding must be approved by the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application must be made to the EEOC District Office which will review it and make a recommendation to the Office of Field Programs, EEOC Headquarters.

**Award Procedure:**

Recommendation made to EEOC Commissioners. Decision made by final vote of the Commissioners.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Dependent upon performance under previous contract.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One fiscal year. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Quarterly reports are addressed to the State and Local Programs, Office of Field Programs, through the EEOC District Office which administers the contract. Charges, interviews and settlement agreements must be submitted to the EEOC District Office.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 \$1,664,000; FY 09 est \$1,664,000; FY 10 est \$1,664,000

**Range and Average of Financial Assistance:**

\$26,000 to each tribe.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, EEOC contracted with 63 TEROs. EEOC expects to contract with 64 TEROs in fiscal years 2009 and 2010. Fiscal Year 2009: EEOC expects to contract with 64 TEROs in fiscal year 2009. Fiscal Year 2010: EEOC expects to contract with 64 TEROs in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Regional Agency Offices. The EEOC District Office listed in Appendix IV of the catalog which has jurisdiction over inquirer's geographic location.

**Headquarters Office:**

Michael J. Dougherty 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4801

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.010 EMPLOYMENT DISCRIMINATION EQUAL PAY ACT****FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Equal Pay Act of 1963.

**OBJECTIVES:**

The Equal Pay Act (EPA) prohibits sex discrimination in the payment of wages to men and women performing jobs that require substantially equal skill, effort and responsibility, under similar working conditions within the same establishment. The EPA also prohibits retaliation against applicants or employees who oppose compensation practices that discriminate based on sex or who file a discrimination charge, testify, or participate in any way in an investigation, proceeding, or litigation under the EPA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Employers engaged in commerce or in the production of goods for commerce (i.e. subject to The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201, et seq.), including the Federal Government, and State and local governments, are prohibited from paying unequal wages to men and women performing jobs that require substantially equal skill, effort and responsibility, under similar working conditions within the same establishment. Labor organizations representing employees of a covered employer are prohibited from causing or attempting to cause employers to violate the Act. Exceptions are permitted only where payment is made pursuant to a seniority system, a merit system, a system that measures earnings by quantity or quality of production, or a differential based on any other factor other than sex. The EEOC Assessment System, available at <https://apps.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment or retaliation. The Commission may investigate allegations of violations of the Act and may initiate and conduct litigation.

**Applicant Eligibility:**

An employee on behalf of herself or himself and other employees similarly situated who believes s/he has been paid in violation of the Equal Pay Act in any State of the United States, the District of Columbia, or any territory or possession of the United States.

**Beneficiary Eligibility:**

Individuals covered by the Fair Labor Standards Act of 1938, as amended.

**Credentials/Documentation:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see Deadlines). An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized

(only when necessary to meet state or local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see range of approval/disapproval times). A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate EEOC field office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit. (Title VII requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier.) A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, EEOC received 954 charges of compensation discrimination, resolved 828 compensation discrimination charges, and recovered \$9.6 million in monetary benefits for 142 charging parties and other aggrieved individuals (not including monetary benefits obtained through litigation). In fiscal year 2008, EEOC filed no lawsuits on the merits raising EPA issues solely or concurrently with issues arising from other statutes and resolved 3 EPA merits suits with monetary benefits of \$971,961. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Office of Communications and Legislative Affairs at (202) 663-4191 or (202) 663-4494 (TTY). Regulations: 29 CFR 1620, Equal Pay Act Interpretive Regulations; 29 CFR 1621, Equal Pay Act Procedural Regulations; 29 CFR 1604, Guidelines on Discrimination Because of Sex. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10: Compensation Discrimination. EEOC-ESA Memorandum of Understanding Providing for Cross-Training, Referrals and Information Sharing on Compensation Discrimination Cases.

**Regional or Local Office:**

See Regional Agency Offices. Persons should contact the nearest office of EEOC listed in Appendix IV of the Catalog.

**Headquarters Office:**

Office of Communication and Legislative Affairs, Communications Staff 131 M Street, NW, Washington, District of Columbia 20507 Phone: 202-663-4900/663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002 Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008 Employment Discrimination Age Discrimination in Employment; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.011 EMPLOYMENT DISCRIMINATION TITLE I OF THE AMERICANS WITH DISABILITIES ACT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Americans with Disabilities Act, Title I & V, as amended Public Law 101-336, 42 U.S.C. 12101-12117; 12201-12213d; Rehabilitation Act of 1973, as amended, 29 U.S.C. 791-794a.

**OBJECTIVES:**

The Americans with Disabilities Act (ADA) prohibits employment discrimination against applicants or employees based on disability. The ADA also prohibits retaliation against applicants or employees who oppose

employment practices that discriminate based on disability or who file a discrimination charge, testify, or participate in any way in an investigation, proceeding, or litigation under the ADA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of disability by employers with 15 or more employees, including Federal, state, and local governments, employment agencies, and labor organizations. The EEOC Assessment System, available at <https://apps.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment or retaliation. Charges of discriminatory employment practices by or on behalf of an individual or group of individuals claiming to be aggrieved are received. Mediation of the dispute may be offered. If mediation is not used or is not successful, investigations may ensue. If reasonable cause is not found, the Commission issues a right to sue letter. If reasonable cause is found, the charge is conciliated. If conciliation proves to be unsuccessful and the employer is not a State or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter. If conciliation fails on a charge against a State or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, or any labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title I of the ADA has been committed by an employer with 15 or more employees, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining.

**Beneficiary Eligibility:**

Applicants, current employees, and former employees of the named respondents in a charge who have been subjected to unlawful employment practices.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person or by mail. An allegation must be in writing, signed, and notarized (only when necessary to meet State or local requirements) or supported by an unsworn declaration in writing under penalty of perjury. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an entity or on behalf of an aggrieved individual. Charges may be filed either by mail or in person at the appropriate field office of the EEOC.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. Persons can also ask for a notice of right to sue before EEOC finishes its investigation. When a right to sue is issued on request, EEOC usually stops investigating. Suit must be brought within 90 days of receipt of the notice of right to sue letter. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under ADA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, EEOC received 19,453 charges of disability discrimination, resolved 15,708 disability discrimination charges, and recovered \$57.2 million in monetary benefits for 2,908 charging parties and other aggrieved individuals (not including monetary benefits obtained through litigation). In fiscal year 2008, EEOC filed 37 merits lawsuits raising ADA issues solely or concurrently with issues arising from other statutes and resolved 47 merits suits with monetary benefits of \$3.5 million. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Office of Communications and Legislative Affairs at (202) 663-4191 or (202) 663-4494 (TTY). Regulations: 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602, Recordkeeping and Reporting Regulations; 29 CFR 1630, Substantive Regulations; 29 CFR 1640, Coordination Regulations with the Department of Justice; 29 CFR 1641, Coordination Regulations with the Department of Labor. Enforcement guidances and policy documents include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Revised Enforcement Guidance: Reasonable Accommodation and Undue Hardship Under the Americans With Disabilities Act; Enforcement Guidance: Application Of The ADA To Contingent Workers Placed By Temporary Agencies And Other Staffing Firms; EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation; Enforcement Guidance on Disability-Related Inquiries and Medical Examinations of Employees Under the Americans with Disabilities



Act (ADA); EEOC Policy Guidance on Executive Order 13145: To Prohibit Discrimination in Federal Employment Based on Genetic Information; EEOC Enforcement Guidance on the Americans with Disabilities Act and Psychiatric Disabilities; EEOC Enforcement Guidance: Workers Compensation and the ADA; ADA Enforcement Guidance: Pre-employment Disability-Related Questions and Medical Examinations; Interim Enforcement Guidance on the Application of the Americans with Disabilities Act of 1990 to Disability-based Distinctions in Employer Provided Health Insurance; Enforcement Guidance on Application of Title VII and the Americans with Disabilities Act to Conduct Overseas and to Foreign Employers Discriminating in the United States. Compliance Manual: Section 902: Definition of the Term Disability; Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation. Technical assistance documents, reports and fact sheets include: Questions and Answers: Promoting Employment of Individuals with Disabilities in the Federal Workforce; Applying Performance and Conduct Standards To Employees With Disabilities; Veterans with Service-Connected Disabilities in the Workplace and the ADA; Veterans with Service-Connected Disabilities in the Workplace and the ADA-A Guide for Employers; Reasonable Accommodations for Attorneys with Disabilities; The Family and Medical Leave Act, the ADA, and Title VII of the Civil Rights Act of 1964; The ADA: A Primer for Small Business; The ADA: Your Responsibilities as an Employer; The ADA: Your Employment Rights as an Individual With a Disability; Job Applicants and the ADA; Small Employers and Reasonable Accommodation; Work At Home/Telework as a Reasonable Accommodation; Obtaining and Using Employee Medical Information as Part of Emergency Evacuation Procedures; How to Comply with the Americans with Disabilities Act: A Guide for Restaurants and Other Food Service Employers; Final Report on Best Practices For the Employment of People with Disabilities In State Government; Questions and Answers about Health Care Workers and the Americans with Disabilities Act; Questions and Answers about Deafness and Hearing Impairments in the Workplace and the Americans with Disabilities Act; Questions and Answers about Blindness and Vision Impairments in the Workplace and the ADA; Questions and Answers about the Association Provision of the Americans with Disabilities Act; Questions and Answers About Diabetes in the Workplace and the Americans with Disabilities Act; Questions and Answers About Epilepsy in the Workplace and the Americans with Disabilities Act; Questions and Answers About Persons with Intellectual Disabilities in the Workplace and the Americans with Disabilities Act; Questions and Answers About Cancer in the Workplace and the Americans with Disabilities Act.

**Regional or Local Office:**

See Regional Agency Offices. Any EEOC Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4900/202-663-4494(TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.002 Employment Discrimination State and Local Fair Employment Practices Agency Contracts; 30.008 Employment Discrimination Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**31.007 EXPORT - LOAN GUARANTEE/INSURED LOANS**

Export - Loan Guarantee/Insured Loans

**FEDERAL AGENCY:**

Export - Import Bank of the United States

**AUTHORIZATION:**

The Export-Import Bank Act of 1945, as amended, 12 U.S.C. 635 et seq.

**OBJECTIVES:**

The Export-Import Bank of the United States (Ex-Im Bank or the Bank) is an independent executive agency and a wholly-owned U.S. government corporation. Ex-Im Bank is the official export-credit agency of the United States. Its mission is to support U.S. exports by providing export financing through its loan, guarantee and insurance programs in cases where the private sector is unable or unwilling to provide financing or when such support is necessary to level the playing field due to financing provided by foreign governments to their exporters that compete with U.S. exporters. By facilitating the financing of U.S. exports, Ex-Im Bank helps companies create and maintain U.S. jobs.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

To finance the export of goods and services made in the United States for the purpose of maintaining and creating U.S. jobs. Goods must comply with applicable U.S. content restrictions. Military or defense items are generally not eligible nor are sales to military buyers. There is no minimum transaction size. Support may not be available in certain countries. Support also may be unavailable for projects that are likely to cause substantial injury to U.S. industry or that would result in the production of substantially the same product that is the subject of specified trade measures.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants and borrowers who are the direct beneficiaries of Ex-Im Bank Programs and must meet the applicant eligibility requirements, including but not limited to those relating to credit worthiness, financial history, economic feasibility of project, and operating history. Documents must evidence reasonable assurance of repayment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications, including all necessary attachments, are to be mailed to Export-Import Bank of the United States, 811 Vermont Ave. NW, Washington, D.C. 20571. Applications for short-term and medium-term policies may be submitted electronically through Ex-Im On-line at [www.exim.gov](http://www.exim.gov).

Applicant is notified by authorization letter from Ex-Im Bank and/or the participating bank.

**Award Procedure:**

Depending on the size and/or nature of the transactions, approvals are granted by Ex-Im Bank staff, the Banks Credit Committee, or the Banks Board of Directors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval time is variable, depending on status and complexity of the transaction.

**EXPORT - IMPORT BANK OF THE UNITED STATES**

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and extensions of awards are possible.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Variable, depending on characteristics of the Transaction. Generally, working capital loans and short term insurance are approved for a one-year period.

Loans and guarantees extended under the medium-term loan program typically have repayment terms of one to seven years, while loans and guarantees extended under the long-term loan program usually have repayment terms in excess of seven years. See the following for information on how assistance is awarded/released: Applications are generally processed with a view towards accommodating the time frame of each and every applicant.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Accounting records and other transaction documentation and information must be available during term of financing and beyond.

**Account Identification:**

83-0100-0-1-155.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$14,398,900,000; FY 09 est \$17,500,000,000; FY 10 est \$16,100,000,000

**Range and Average of Financial Assistance:**

There is no minimum or maximum transaction size. Representative range is \$25,000 to \$500,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Ex-Im Bank authorized \$14.4 billion in loans, guarantees and export-credit insurance, which will support an estimated \$19.6 billion of U.S. exports to markets worldwide.

Ex-Im Bank approved 2,704 authorizations in support of U.S. export sales in FY 2008.

Ex-Im Bank authorized \$3.2 billion (22.2 percent of total authorizations) in direct support of U.S. small businesses as primary exporters. Ex-Im Bank approved 2,328 transactions that were made available for the direct benefit of small-business exporters, representing 86 percent of the total number of transactions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available at the Bank's web site: <http://www.exim.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Northeast and Mid-Atlantic Regions

New York, NY

Tel: (212) 809-2650

Fax: (212) 809-2687

Southeast Regional Office

Miami, FL

Tel: (305) 526-7436

Fax: (305) 526-7435

Midwest Regional Office

Chicago, IL

Tel: (312) 353-8081

Fax: (312) 353-8098

Southwest Regional Office

Houston, TX

Tel: (281) 721-0465

Fax: (281) 679-0156

Western Regional Office

Orange County, CA

Tel: (949) 660-1341

Fax: (949) 660-9553

San Diego, CA branch

Tel: (619) 557-7091

Fax: (619) 557-6176

San Francisco, CA branch

Tel: (415) 705-2285

Fax: (415) 705-1156.

**Headquarters Office:**

Trade Advisor 811 Vermont Ave, NW, Washington, District of Columbia 20571 Phone: 1-800-565-3946, option 2

**Website Address:**

<http://www.exim.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past approvals have been made in over 135 countries for various types of products including, but not limited to: medical, environmental, construction, computers, software, engineering and consulting services, transportation, packaging, laboratory, and power generation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Goods and services financed must meet Ex-Im Bank U.S. content requirements.

Ex-Im Bank must find a reasonable assurance of repayment. For more information, see Uses and Restrictions and Eligibility Requirements.

## FEDERAL MARITIME COMMISSION

**33.001 SHIPPING\_DISPUTE RESOLUTION AND INVESTIGATION OF COMPLAINTS****FEDERAL AGENCY:**

Federal Maritime Commission

**AUTHORIZATION:**

Shipping Act of 1984, as amended, 46 U.S.C 40101 ; Administrative Dispute Resolution Act of 1996, 5 U.S.C 571.

**OBJECTIVES:**

To provide assistance to those engaged in international ocean shipping, including those making household goods shipments. Assistance may include helping locate missing cargo and helping resolve issues with respect to costs or service. To provide a forum for settling disputes between or among carriers, shippers, and ocean transportation intermediaries through the use of various means of alternative dispute resolution. To provide information to passengers seeking reimbursement of payments when dealing with cruise line issues.

**TYPES OF ASSISTANCE:**

Investigation of Complaints

**USES AND USE RESTRICTIONS:**

The Commission considers informal complaints and assists in the development of voluntary settlements. The Commission also may award reparations for financial injury resulting from violations of the Shipping Act of 1984.

**Applicant Eligibility:**

Any person may file a complaint alleging a violation of the Shipping Act of 1984 and make seek reparation for any injury resulting from the violation.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

A complaint alleging specific violations of the Shipping Act of 1984 or Commission regulations should be supported by facts sustaining such allegations. For household goods shipments and other cargo issues, submit bills of lading and other contractual documents. For canceled cruises, passengers need to document payments and provide identifying passenger and/or voyage information. This program is excluded from coverage under OMB Circular No.

A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Informal complaints or requests for the mediation or other alternative dispute resolution (ADR) procedures may be submitted to the Commission in an e-mail to [complaints@fmc.gov](mailto:complaints@fmc.gov). To the extent available, all complaints other than cruise complaints should include the following information: Bill of lading/dock receipts/arrival notices/invoices; Description of cargo; Origin; Port of origin (may be the same as origin); Destination; Port of destination (may be the same as destination); Date of shipment or sailing; Name of individual(s) filing complaint (if you are representing a complainant, what is your name and your relationship to the complainant); Company name of complainant(s); Contact information for complainant(s) (and/or representative(s)) include telephone, fax, address including zip code, and email; Name of shipping company or party against whom the complaint is being filed; Contact information for that company or party, (including name(s) of responsible individuals, telephone and fax numbers, address including zip code and email); Description of issue and desired solution. Include as much information as you believe we will need when we contact the other party(s) to the complaint. Explain what you would like to see accomplished - getting cargo released, negotiating a monetary solution, etc. Cruise complaints should include the following information: Ticket/passenger invoice; Date of sailing; Length and nature of cruise; Port of origin; Port of destination; Did you purchase transportation from your home to the port of origin from the cruise line? Did you purchase transportation from the port of destination to your home from the cruise line? Questions regarding these matters may be directed to the Office of Consumer Affairs and Dispute Resolution Services at (202) 523-5807; fax: (202) 275-0059; email: [Complaints@fmc.gov](mailto:Complaints@fmc.gov). A formal complaint, as well as a complaint requesting informal (small claims) adjudication may be submitted pursuant to Section 11 of the Shipping Act of 1984 to the Secretary, Federal Maritime Commission. (See the Commission's Rules of Practice and Procedure at 46 CFR Part 502). Questions regarding those procedures may be directed to the Office of the Secretary, at (202) 523-5725; fax: (202) 523-0014; or email: [Secretary@fmc.gov](mailto:Secretary@fmc.gov). The Federal Maritime Commission is located at: 800 North Capitol Street, N.W., Washington, DC 20573. Visit our website at [www.fmc.gov](http://www.fmc.gov).

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

65-0100-0-1-403.

**Obligations:**

(Salaries) FY 08 \$1,637,000; FY 09 est \$1,688,000; FY 10 est \$1,734,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the Commission responded to more than 1,500 informal inquiries and complaints. Of those, 568 informal complaints required informal resolution services under the ombuds function. These included 189 complaints about cruise issues, 190 household goods matters, and 181 other matters affecting cargo shipments. In addition, a small number of small claims cases and formal complaints were received for adjudication. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 502.401 et. seq.; brochure available from Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Area Representatives: South Florida: Andrew Margolis and Eric Mintz, Federal Maritime Commission, P. O. Box 813609, Hollywood, FL 33081-3609. Telephone: (954) 963-5362. Fax: (954) 963-5630. E-mail: [AMargolis@fmc.gov](mailto:AMargolis@fmc.gov), [EMintz@fmc.gov](mailto:EMintz@fmc.gov). Seattle: Michael A. Moneck, c/o U. S. Customs & Border Protection, 7 South Nevada Street, Suite 100, Seattle, WA 98134-1135. Telephone: (206) 553-0221. Fax: (206) 553-0222. E-mail: [MMoneck@fmc.gov](mailto:MMoneck@fmc.gov). New Orleans: Bruce N. Johnson, Sr., P.O. Box 700, Saint Rose, LA 70087. Telephone: (504) 589-6662. Fax: (504) 589-6663. E-mail: [BJohnson@fmc.gov](mailto:BJohnson@fmc.gov). Los Angeles: Oliver E. Clark, P.O. Box 230, San Pedro, CA 90733-0230. Telephone: (310) 514-4905. Fax: (310) 514-3931. E-mail: [OClark@fmc.gov](mailto:OClark@fmc.gov). New York: Emanuel J. Mingione and Joseph A. Castellano, Bldg. No. 75, Room 205-B, JFK Intl Airport, Jamaica, NY 11430-1827. Telephone: (718) 553-2228, Fax: (718) 553-2229. E-Mail: [EMingione@fmc.gov](mailto:EMingione@fmc.gov); [JCastellano@fmc.gov](mailto:JCastellano@fmc.gov). Houston: Debra A. Zezima, 650 N. Sam Houston Parkway, #230, Houston, TX 77060. Telephone: (281) 591-6088. Fax: (281) 591-6099. E-mail: [DZezima@fmc.gov](mailto:DZezima@fmc.gov).

**Headquarters Office:**

Director, Consumer Affairs & Dispute Resolution Services 800 N. Capitol St., NW, Washington, District of Columbia 20573 Email: [complaints@fmc.gov](mailto:complaints@fmc.gov) Phone: (202) 523-5807. Fax: (202) 275-0059

**Website Address:**

<http://www.fmc.gov>

**RELATED PROGRAMS:**

20.900 Transportation\_Consumer Affairs; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**FEDERAL MEDIATION AND CONCILIATION SERVICE**

**34.002 LABOR MANAGEMENT COOPERATION**

**FEDERAL AGENCY:**

Federal Mediation and Conciliation Service

**AUTHORIZATION:**

Labor-Management Cooperation Act of 1978, Title VII, Section 6, Public Law 95-524, 29 U.S.C 175a.

**OBJECTIVES:**

To support the establishment, expansion, and activities conducted by committees at the company/plant level, area, industry-wide, and for public sector employees joint labor management committees in order to improve

labor-management relations, economic development, and organizational effectiveness and productivity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are used only to create new or expand existing joint labor-management committees where recognized collective bargaining agreements exist at the company/plant, area, public sector, and industry-wide levels (as applicable) and where both labor and management agree to the establishment or expansion. FMCS subject to funds availability, set aside a sum not to exceed thirty percent of its non-reserved appropriation to be awarded on a noncompetitive basis. These funds will be used only to support applications that have been solicited by the Director of the Service and are not subject to the dollar range.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Evidence of the existence of a current collective bargaining agreement and of joint commitment to the project by both labor and management. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. We will accept Applications beginning May 1, 2009 and continue to do so until August 15, 2009. You may request an application kit from our Grants Office at (202) 606-8181, through a local mediator, download an application on our website at [www.fmcs.gov](http://www.fmcs.gov), or you may send Linda Stubbs an email at [lstubbs@fmcs.gov](mailto:lstubbs@fmcs.gov).

**Award Procedure:**

All FY2009 grant applicants will be notified of results and all grant awards will be made before September 30, 2009. FY2010 not applicable at this time.

**Deadlines:**

May 01, 2009 to Aug 15, 2009: All FY2009 applications must be postmarked no later than August 15, 2009.

**Range of Approval/Disapproval Time:**

For fiscal year 2009 the range is before October 1, 2009.

**Appeals:**

Administrative review by the Director of the Service; hearings held by the Service.

**Renewals:**

FMCS reserves the right under special condition to award supplemental (continuation) grants subject to funds availability for FY 2009. Continuation grants may be projected for FY2010 subject to funds availability.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 10.%. In fiscal year 2009, dollars only, no in-kind or project income contributions. FMCS FY2010 not applicable at this time. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In fiscal year 2009, generally between 12 and 18 months. Grant fund advances no more often than monthly for the following month. See the following for information on how assistance is awarded/released: Reimbursements upon request. Funds are issued via Electronic Funds Transfer (EFT).

**Reports:**

During the life of the grant: quarterly narrative (milestones), LMC meeting minutes, and financial reports. No cash reports are required. After the grant:

within 90 days of grant expiration an evaluation summary of accomplishments and or failures. No expenditure reports are required. Formal evaluations are negotiable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with applicable Office of Management and Budget Circulars

**Records:**

In accordance with applicable Office of Management and Budget Circulars.

**Account Identification:**

93-3010-0-1-505.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$650,000,000; FY 10 est \$0 - All FY2009 applications must be postmarked no later than August 15, 2009.

**Range and Average of Financial Assistance:**

\$65,000 for company/plant or single department public sector applicants; up to \$125,000 for area industry and multi-department public sector committee applications.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FMCS Labor Management Cooperation Program was not funded. However, since 1981, the program has provided partial financial support for the establishment and an expansion of over 343 labor-management committees in 36 States, the District of Columbia, and the U.S. Virgin Islands. Fiscal Year 2009: Data not available. Fiscal Year 2010: Data not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FMCS Current Fiscal Year Program Guidelines/Application Solicitation Announcement and Financial and Administrative Grants Manual which incorporates all applicable Federal grant regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Stubbs 2100 K Street, NW, Washington, District of Columbia 20427  
Email: [lstubbs@fmcs.gov](mailto:lstubbs@fmcs.gov) Phone: 202-606-8181 Fax: 202-606-3434

**Website Address:**

<http://www.fmcs.gov>

**RELATED PROGRAMS:**

34.001 Labor Mediation and Conciliation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: FMCS was not funded. FY2005 - FY2007--Baldwin-Wallace College, Berea, OH; Bronze Craft Corporation, Nashua NH; Chicago Building Trades Council, Chicago IL; City of Tamarac, Tamarac, FL; Construction Institute, Boston, MA; Iowa Health Buyers Alliance, Ames, IA; Multnomah County and AFSCME Local 88, Portland, OR; Skilled Trades Diversity Council, Ithaca, NY; West Michigan Construction Alliance, Coopersville, MI. Fiscal Year 2009: Data not available. Fiscal Year 2010: Data not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant need, measurable goals, practicality of approach, commitment of appropriate parties, cost benefit and effectiveness; overall feasibility.

**GENERAL SERVICES ADMINISTRATION**

**39.002 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY  
FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Executive Order Public Buildings, Property and Works, Public Law 102-517.

**OBJECTIVES:**

To assist State and local governments, and certain eligible (501(c)(3) tax-exempt status) non-profit organizations with acquiring surplus Federal real property for various public uses that benefit communities.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Based on a determination by GSA of a property's highest and best use, surplus Federal real and related personal property may be conveyed to State and local governments and, in some cases, certain eligible non-profit organizations for various public purposes or uses as allowed by law. These conveyances are called Public Benefit Conveyances (PBC). Under the law, PBCs are completed without monetary consideration or at discounts of up to 100 percent of the fair market value; and, depending on the PBC, the use of the property is restricted for a period of up to 30 years or in perpetuity. Property may be conveyed at a discount of up to 100 percent for Homeless assistance use; if the property is conveyed by deed, it must be used for homeless assistance purposes for 30 years; if it is conveyed by lease or permit the property must be used for a period according to the terms of the lease or permit, which is generally not less than one year. Surplus Federal real property is also conveyed at discounts of up to 100 percent for public park or recreation use (restriction: perpetuity); public health or educational purposes (restriction: 30 years for both); law enforcement (restriction: perpetuity); emergency management response use, including fire and rescue services (restriction: perpetuity); self-help housing (restriction: 30 years); port facility use (restriction: perpetuity), and public highway use (restriction: none). Surplus Federal real property may also be conveyed without monetary consideration for the following public uses: Public airport use (restriction: perpetuity); wildlife conservation (restriction: perpetuity); correctional facility use (restriction: perpetuity), and historic monument use (restriction: perpetuity).

**Applicant Eligibility:**

State and local government agencies are eligible to apply for surplus real property for park, recreation, correctional facility, historic monument, public airport, health, educational, homeless, replacement housing, and general public purposes. Eligibility for property for wildlife conservation use, other than for migratory birds, is limited to the States. Tax-supported and nonprofit medical and educational institutions which have been held exempt from taxation under 501(c)(3) of the Internal Revenue Code are also eligible to apply for property for health, educational and homeless use.

**Beneficiary Eligibility:**

General public may apply.

**Credentials/Documentation:**

The applicant must submit an application describing the proposed program of use for the property and evidence of its ability to finance the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for health and homeless assistance use are submitted to the Department of Health and Human Services (HHS) which requests assignment of the property from GSA; applications for educational use are submitted to the Department of Education which requests assignment of the property from GSA; applications for both park and recreation and historic monument uses are submitted to the National Park Service, Department of the Interior which requests assignment of the property from GSA; applications for correctional and law enforcement uses are submitted to the Office of Justice Programs, Bureau of Justice Assistance, Department of Justice; applications for emergency management response uses are submitted to the Federal Emergency Management Agency, Department of Homeland Security; applications for self-help housing is submitted to the Department of Housing and Urban Development; applications for port facilities are submitted to the Maritime

Administration, Department of Transportation; applications for highway use are submitted to the Federal Highway Administration, Department of Transportation; for public airport use and wildlife conservation use, GSA supplies the applications, which are then submitted to the Federal Aviation Administration, Department of Transportation and the Fish and Wildlife Service, Department of the Interior, respectively.

**Award Procedure:**

Typically, the sponsoring agency responsible for reviewing and approving the application makes the award; however, for wildlife conservation and public airport uses, GSA makes the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 1 to 3 months.

**Appeals:**

From 1 to 15 days.

**Renewals:**

From 60 to 90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 08 \$9,586,000; FY 09 est \$9,480,000; FY 10 est \$9,654,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Public benefit conveyances-29 properties having an actual value of \$103.8 million; Fiscal Year 2009: Public benefit conveyances - 65 properties having an estimated value of \$82.8 million; Fiscal Year 2010: Public benefit conveyances - 65 properties having an estimated value of \$82.8 million;.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Director, Office of Property Disposal, General Services Administration. Applicant's initial contact should be at the regional level. See the Office of Property Disposal for each Region listed in Appendix IV of the Catalog.

**Headquarters Office:**

Juanita Garcia 1800 F Street, District of Columbia, District of Columbia 20405  
Email: juanita.garcia@gsa.gov Phone: 202-501-2738

**Website Address:**

<http://propertydisposal.gsa.gov/property>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.003 DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Donation Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Older Americans Act of 1965, 40 U.S.C. 549; Section 213, as amended, Section 502, Public Law 100-77; E.O. 12999, April 17, 1996, Public Law 105-50.

**OBJECTIVES:**

To donate Federal personal property no longer required for Federal use to public agencies and qualifying nonprofit entities in order to reduce the cost of State and local government.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Surplus items are used by State and local public agencies for carrying out or promoting one or more public purposes, such as conservation, parks and recreation, education, public health, public safety, economic development and programs for older individuals; by certain nonprofit, tax-exempt activities for public health or educational purposes, including research for such purposes, and for use in programs for older individuals; or by public airports for airport development, operation or maintenance. Federal restrictions require that, at a minimum, all surplus property be placed into use by the donee within 1 year of acquisition and be used at least for 1 year thereafter. Other restrictions, terms and conditions are imposed by GSA and the agencies determining eligibility (shown under Applicant Eligibility, section below) for items with original acquisition value above \$5,000 and for certain commodities, such as vehicles and aircraft. There are restrictions on use during the period of conditional title. Recipients only acquire full, unrestricted title after an established period of time, 12 months, 18 months, 60 months, or in perpetuity, depending on the individual property.

**Applicant Eligibility:**

(a) State participation is contingent upon the acceptance by the General Services Administration (GSA) of a State plan of operation as being in conformance with Public Law 107-217. This State plan must establish a State agency which is responsible for the distribution of Federal surplus personal property to eligible recipients within the State on a fair and equitable basis. Eligible donee categories for the distribution of property through the State Agencies for Surplus Property are defined as: (1) Public agencies which include any (i) State or department, agency, or instrumentality thereof; (ii) political subdivision of the State, including any unit of local government or economic development district, or any department, agency or instrumentality thereof; (iii) instrumentality created by compact or other agreement between State or political subdivisions; (iv) multijurisdictional sub-State district established by or pursuant to State law; and (v) Indian tribe, band, group, pueblo, or community located on a State reservation. Eligibility for public agencies is determined by the State Agency for Surplus Property. (2) Nonprofit, tax-exempt activities such as schools, colleges, universities, public libraries, schools for the mentally challenged or physically challenged, educational radio or TV stations, child care centers, museums, medical institutions, hospitals, clinics, health centers, drug abuse treatment centers, providers of assistance to the homeless, providers of assistance to the impoverished and programs for older individuals. (b) Service educational activities as determined by the Deputy Under Secretary of Defense (L/SCI). (c) Public airports. Eligibility is determined by the Federal Aviation Administration.

**Beneficiary Eligibility:**

State and local public agencies; nonprofit educational or public health institutions or organizations, including providers of assistance to the homeless; nonprofit and public programs for the elderly; educational activities of special interest to the armed services; and public airports.

**Credentials/Documentation:**

Contact appropriate State or Federal agency shown under Applicant Eligibility section of this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate agency shown under Preapplication Coordination section of this program.

**Award Procedure:**

Upon determination of eligibility, applicant maintains contact with the appropriate agency shown under Preapplication Coordination section of this program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Applicants participating through State agencies for surplus property may appeal a determination of ineligibility through the State agency for review by GSA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Prescribed by agencies shown under Applicant Eligibility section of this program.

**Records:**

Prescribed by agencies shown under Applicant Eligibility section of this program.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 08 \$11,495,000; FY 09 est \$12,560,000; FY 10 est \$12,814,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The volume of federal surplus property donated is largely dependent on the availability and quality of property available. In fiscal year 2008, property with and acquisition cost of \$468 million was donated. Fiscal

Year 2009: It is estimated that property with an acquisition cost of \$327 million will be donated. Fiscal Year 2010: It is estimated that property with an acquisition cost of \$324 million will be donated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 102-37, "Donation of Surplus Personal Property," available for purchase from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Pamphlet, "The Federal Surplus Personal Property Donation Program," available from General Services Administration at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Initial contacts (except Service Educational Activities) should be at regional or local level. See Appendix IV of the Catalog for addresses of GSA Federal Acquisition Service Regional Property Division serving the geographical area of interest. Individual units of Service Educational Activities national organizations such as Boy Scout or Girl Scout troops, Boys and Girls Clubs, etc., should contact their regional or national headquarters; Service Educational Activity Schools should contact their sponsoring military service.

**Headquarters Office:**

Juanita Garcia 1800 F Street NW, Washington, DC, District of Columbia 20405  
Email: [juanita.garcia@gsa.gov](mailto:juanita.garcia@gsa.gov) Phone: 202-501-2738 Fax: 202-501-1124

**Website Address:**

<http://www.gsa.gov/property>

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.002 Disposal of Federal Surplus Real Property; 39.007 Sale of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.007 SALE OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Sales Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Public Law 81-152, 63 Stat. 377, 40 U.S.C. 541 et. seq.

**OBJECTIVES:**

To sell personal property no longer needed by the Government in an expeditious, economical and efficient manner and to obtain the maximum net return from sales. General Services Administration conducts the sale of personal property for most of the civil agencies; the Department of Defense handles the sale of its own surplus property.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides individuals, business concerns, and other organizations with the opportunity to enter competitive bids for purchase of a wide variety of personal property whenever it is determined surplus to the needs of the Federal Government and available for sale. Included are vehicles, aircraft, hardware, electronic and medical equipment, furniture, office supplies and equipment, exotic gifts and collectables, and many other items. This program has been expanded offering assets available to the general public via online capabilities. GSA Auctions ([www.gsaauctions.gov](http://www.gsaauctions.gov)) provides the general public with an Internet website to bid electronically on a wide variety of federal personal property. The website allows GSA to offer assets located across the country to any interested buyer, regardless of location. GSA Auctions provides item descriptions and pictures of items available for sale. Successful bidders can also make payments online. Normally, there are no use restrictions on property purchased from the Government. Other laws may restrict those eligible to participate or place conditions on property.

**Applicant Eligibility:**

Competitive bid sales are open to the general public, however bidders must be at least 18 years of age. Individuals cannot successfully register to bid on items without providing a TIN. A TIN is defined as an individual's Social Security Number (SSN) or business entity's Employer Identification Number (PIN).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

A credit card is required for all registered users in our online community. Credit card validation assists in the prevention of fraudulent bidding activity and ensures that bidders are prepared to accept responsibility for their bidding activity and all submitted bids are valid. This card number is recorded but will not be automatically charged if a bidder is the successful bidder of an item. For security reasons and to prevent fraudulent bidding activities, all registered bidders are subject to billing address verification. No P.O. Box address will be accepted unless accompanied by a street address. By entering the credit card information, you are attesting you are an authorized user of the card. It is required that the bidder creates and secures their username and password. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Interested individuals may participate in GSA sales of Federal personal property by visiting the GSA Auctions website at [www.gsaauctions.gov](http://www.gsaauctions.gov), or may visit [www.surplussales.fss.gov](http://www.surplussales.fss.gov) for information on sales not conducted on the internet. Also, information is available at the Federal Asset Sales website at [www.govsales.gov](http://www.govsales.gov).

**Award Procedure:**

Property is awarded to that responsible bidder whose bid, conforming to the invitation, is most advantageous to the Government, price and other factors considered. For internet sales, the successful bidders will be notified by email and must make payment within 2 business days from the date & time the award email notification was sent. Bid results from other sale types may be furnished by U.S. mail notification, via telephone, fax, or at [www.surplussales.fss.gsa.gov](http://www.surplussales.fss.gsa.gov). It is the bidder's responsibility to follow-up on the status of his/her bid and to ensure that his/her email address and all registration data are kept accurate and up-to-date.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

It is the policy of GSA Auctions to monitor bids and other activity to ensure the proper use of our site. The Government reserves the right to reject any and all bids. Bids can be rejected for any reason, especially those containing inaccurate, incomplete or unverifiable information, or information which is deemed to have been given in bad faith. Indebted bidders will be ineligible for contract awards. Bidders will not be able to bid on items specified on GSA Auctions until all debts have been cleared, and will not be awarded items when participating in other methods of sale, such as sealed bid or fixed price.

**Appeals:**

Disputes, claims and/or refunds request are not a frequent issues at GSA. Contracts resulting from the sale of any offer, and particularly GSA Auctions are subject to the Contract Disputes Act of 1978 (41 U.S.C. 601-613), A claim or request for refund must be substantiated in writing to the Contracting Officer for issues regarding mis-described property, missing property and voluntary defaults.

**Renewals:**

If at any time, a participant's information changes, it is their responsibility to update the appropriate information with GSA and in GSA Auctions.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

47-4530-0-4-804.

**Obligations:**

(Salaries) FY 08 \$21,881,000; FY 09 est \$22,862,000; FY 10 est \$24,849,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, gross proceeds from sales were \$87.0 million. Fiscal Year 2009: The estimated gross proceeds is \$61.5 million. Fiscal Year 2010: The estimated gross proceeds is \$72.0 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 101-45, Sale, Abandonment, or Destruction of Personal Property. FMR 102-38, Sale of Personal Property. FMR 102-39, Replacement of Personal Property Pursuant to the Exchange/Sale Authority. Pamphlet "For Public Sale! Used Federal Government Personal Property."

**Regional or Local Office:**

See Regional Agency Offices. Federal Acquisition Service, General Services Administration, (select address from Appendix IV of the Catalog for the GSA Federal Acquisition Services, Office of Personal Property Management Sales Program Division which serves the geographical area of interest); or Defense Reutilization and Marketing Service (for Department of Defense surplus property), National Sales Office, 74 Washington Ave. North, Battle Creek, MI 49017-3092. Internet: <http://www.gsa.gov>.

**Headquarters Office:**

Juanita Garcia 1800 F Street NW, Washington, DC, District of Columbia 20405 Email: [juanita.garcia@gsa.gov](mailto:juanita.garcia@gsa.gov) Phone: 202-501-2738 Fax: 202-501-1124

**Website Address:**

<http://www.gsa.gov> ; [www.gsaauctions.gov](http://www.gsaauctions.gov); and [www.govsales.gov](http://www.govsales.gov).

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.009 FEDERAL CITIZEN INFORMATION CENTER****FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Executive Order 11566, October 26, 1970; Public Law 95-491, 40 U.S.C. 751.

**OBJECTIVES:**

To provide citizens direct access to information about and from their government through an array of information channels including USA.gov and other targeted websites, the National Contact Center, and print materials distributed through Pueblo, Colorado. Also provides agencies government-wide with easy and cost-effective access to contact center services through the USA Contact contract vehicle. Also provides guidance and support to web and contact center managers across the government through Web Manager University, and through the organization and management of interagency steering committees such as Web Managers Advisory Council and the

Government Contact Center Council (G3C).

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Maintains a nationwide toll-free contact center to respond to telephone and e-mail inquiries from the general public regarding Federal programs or activities. Maintains several websites including USA.gov, GobiernoUSA.gov, pueblo.gsa.gov kids.gov, and consumeraction.gov. USA.gov is the official Internet portal to all U.S. government information and services. It is the most comprehensive place available online for U.S. government information and services, including federal grants and loans. The Pueblo site provides access to the full text of hundreds of the most helpful and popular federal documents and links to thousands of useful federal and private sector sites. Provides a quarterly Consumer Information Catalog, of selected government and private sector publications of consumer interest in English. Publishes the Consumer Action Handbook, which helps the public find the best source for solving consumer problems.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For responses to questions about the Federal government, call the Federal Citizen Information Centers National Contact Center at 1 (800) FED INFO (333-4636) from 8:00 a.m. to 8:00 p.m. eastern time, Monday through Friday, except Federal holidays. Recorded responses to the most popular topics are available around the clock. For access to federal government information online or to e-mail or chat about an inquiry on government services, visit USA.gov. For printed materials, visit [www.pueblo.gsa.gov](http://www.pueblo.gsa.gov) to read or order publications online, or call 1-888-8-PUEBLO (878-3256), or write to the Federal Citizen Information Center, Pueblo, CO 81009. To subscribe to free e-mail newsletters, visit USA.gov or to subscribe to the free quarterly Catalog, visit [www.pueblo.gsa.gov](http://www.pueblo.gsa.gov).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**



Not Applicable.

**Records:**

None.

**Account Identification:**

47-4549-0-3-376.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$26,073,940; FY 09 est \$27,921,235; FY 10 est \$25,953,976

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Federal Citizen Information Center had more than 213 million citizen touchpoints through a variety of channels including USA.gov and other websites, the National Contact Center program, distribution of printed materials through Pueblo, CO, as well as e-mail and web chat inquiries and subscription mailings. In support of these efforts, FCIC prepared and distributed 4 editions of the Consumer Information Catalog, maintained and enhanced the websites, produced and distributed a new edition of the Consumer Action Handbook along with the first Spanish language edition, prepared and distributed news releases and public service announcements to broadcast and print outlets, continued to distribute consumer publications nationwide, and continued to respond to citizen inquiries through a toll-free contact center and e-mail from the public directed to USA.gov. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Juanita Garcia 1800 F. St NW, Washington, District of Columbia 20405 Email: juanita.garcia@gsa.gov Phone: 202-501-2738

**Website Address:**

USA.gov; Pueblo.gsa.gov; ConsumerAction.gov; Kids.gov; USAServices.gov; gobiernoUSA.gov; consumidor.gov.

**RELATED PROGRAMS:**

40.002 Government Publications Sales and Distribution

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

**43.004 AERONAUTICS, RECOVERY ACT**

Aeronautics, Recovery Act

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

American Recovery & Reinvestment Act of 2009., Public Law 111-5.

**OBJECTIVES:**

The purpose of the American Recovery and Reinvestment Act of 2009 is to provide a stimulus to the U.S. economy, and among other provisions, it provides funds to Federal agencies for use on contracts, grants, cooperative agreements, and other financial assistance arrangements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Basic Research involving Aeronautics. Recovery Act funded grants and cooperative agreements. Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions. Generally, it is anticipated that

Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Applicant Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Beneficiary Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Broad Agency Announcements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual Progress Reports (Summary of Annual Progress/Metrics), Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), and FederalReporting.gov. Expenditure reports are not applicable. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria for a Recovery Act increment may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Office of Inspector General Audits.

**Records:**

No Data Available.

**Account Identification:**

80-0126-0-1-402 - Aeronautics.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$30,000,000 - TAFS Number 80-0125 2009 \ 2010.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Standard grant and cooperative agreement provisions  
Recovery Act-specific terms and conditions

**Regional or Local Office:**

None.

**Headquarters Office:**

R. Todd Lacks NASA Headquarters, Office of Procurement, 300 E Street, SW, Mail Code: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: 202.358.0799 Fax: 202.358.3082

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.005 EXPLORATION, RECOVERY ACT**

Exploration, Recovery Act

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

American Recovery & Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The purpose of the American Recovery and Reinvestment Act of 2009 is to provide a stimulus to the U.S. economy, and among other provisions, it provides funds to Federal agencies for use on contracts, grants, cooperative agreements, and other financial assistance arrangements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Basic Research involving Exploration. Recovery Act funded grants and cooperative agreements. Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Applicant Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Beneficiary Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Broad Agency Announcements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual Progress Reports - Summary of Annual Progress  
Quarterly Progress Reports - Summary of Quarterly Progress/Metrics.  
FederalReporting.gov. Standard Form (SF) 425  
FederalReporting.gov. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria for a Recovery Act increment may include:

1. Meeting specified milestones between beginning and ending dates.
2. Successful completion of significant activities or objectives identified.
3. On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Office of Inspector General Audits

**Records:**

No Data Available.

**Account Identification:**

80-0124-0-1-252 - Exploration.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - TAFS Number 80-0123 2009 \ 2010.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Standard grant and cooperative agreement provisions  
Recovery Act-specific terms and conditions

**Regional or Local Office:**

None.

**Headquarters Office:**

R. Todd Lacks NASA Headquarters, Office of Procurement, 300 E Street, SW,

Mail Code: LH010  
, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone:  
202.358.0799 Fax: 202.358.3082

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.006 SCIENCE, RECOVERY ACT**

Science, Recovery Act

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

American Recovery & Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The purpose of the American Recovery and Reinvestment Act of 2009 is to provide a stimulus to the U.S. economy, and among other provisions, it provides funds to Federal agencies for use on contracts, grants, cooperative agreements, and other financial assistance arrangements.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Basic Research involving Science. Recovery Act funded grants and cooperative agreements.

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions. Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Applicant Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Beneficiary Eligibility:**

Generally, it is anticipated that Recovery Act funds will be used to fund grants or cooperative agreements with institutions of higher education and/or other non-profit institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Broad Agency Announcements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual Progress Reports (Summary of Annual Progress/Metrics), Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), and FederalReporting.gov. Standard Form (SF) 425 and FederalReporting.gov. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria for a Recovery Act increment may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Office of Inspector General Audits.

**Records:**

No Data Available.

**Account Identification:**

80-0120-0-1-252 - Science.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$1,300,000; FY 10 est \$20,000,000 - TAFS Number 80-0119 2009 2010.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Standard grant and cooperative agreement provisions  
Recovery Act-specific terms and conditions

**Regional or Local Office:**

None.

**Headquarters Office:**

R. Todd Lacks NASA Headquarters, Office of Procurement, 300 E Street, SW, Mail Code: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: 202.358.0799 Fax: 202.358.3082

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to

Agency program objectives and uses, and/or (4) technical and/or scientific merit.

## NATIONAL CREDIT UNION ADMINISTRATION

### 44.001 CREDIT UNION CHARTER, EXAMINATION, SUPERVISION, AND INSURANCE

#### FEDERAL AGENCY:

National Credit Union Administration

#### AUTHORIZATION:

Federal Credit Union Act, as amended, 12 U.S.C 1751 et seq.

#### OBJECTIVES:

To offer to groups that have a common bond the opportunity to establish and operate their own credit unions.

#### TYPES OF ASSISTANCE:

ADVISORY SERVICES AND COUNSELING; Insurance; PROVISION OF SPECIALIZED SERVICES

#### USES AND USE RESTRICTIONS:

Staff will explain Federal credit union chartering requirements to any interested group, will help with the preparation of the charter application, will assist a newly chartered credit union to begin operation, and will assist credit unions and their members in consumer matters. Grant of a Federal charter will provide \$250,000 depositor insurance on individual accounts and \$250,000 on Retirement accounts. State-chartered credit unions are eligible to apply for depositor insurance in accordance with applicable State laws.

#### Applicant Eligibility:

Based on a combination of interest by group, economic feasibility, and other factors. However, as a general guideline, associations, employee groups, and communities with 500 or more potential members may qualify for a Federal credit union charter, if economic feasibility can be shown.

#### Beneficiary Eligibility:

Public nonprofit institutions and organizations, individuals and families and private nonprofit institutions and organizations.

#### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a request to the Chairman, National Credit Union Administration (NCUA). Requests are submitted through regional offices.

#### Award Procedure:

The organization certificate, if approved by the NCUA, shall constitute the charter of the Federal credit union and will be mailed to the key official.

#### Deadlines:

Not Applicable.

#### Range of Approval/Disapproval Time:

From 1 to 15 days. Once the necessary investigations are completed, the processing will take approximately two weeks.

#### Appeals:

From 15 to 30 days. The NCUA board delegates authority to its regional directors to approve Federal credit union charters. If disapproved by the regional director, group seeking charter may appeal to the NCUA Board.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

Not applicable. Method of awarding/releasing assistance: by letter of credit.

#### Reports:

#### Audits:

Not Applicable.

#### Records:

Not applicable.

#### Account Identification:

25-4468-0-3-373; 25-4056-0-3-373.

#### Obligations:

(Salaries) FY 08 \$401,000,000; FY 09 est \$551,000,000; FY 10 est not reported.

#### Range and Average of Financial Assistance:

No Data Available.

#### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: All federal credit unions have depositor insurance. As of December 31, 2008, 2,959 natural person State credit unions were federally insured. At year end 2008, 4847 natural person Federal credit unions were in operation. Federal credit union and State credit unions were serving 87 million members. Federal credit unions' assets were \$447 billion, loans outstanding were \$309 billion, and members' savings were \$373 billion. There were 4 new Federal credit union charters granted in 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Credit Union Information Package available upon request. Some Information Packages are at no charge and others require a fee. A complete list of literature and charges can be obtained through the Office of Public and Congressional Affairs (703) 518-6330.

#### Regional or Local Office:

See Regional Agency Offices. 9 Washington Square, Washington Avenue Extension, Albany, NY 12205. Telephone: (518) 862-7400; Suite 4206, 1775 Duke Street, Alexandria, VA 22314-3437. Telephone: (703) 519-6400; Suite 1600, 7000 Central Parkway, Atlanta, GA 30328. Telephone: (678) 443-3000; 4807 Spicewood Springs Road, Suite 5200, Austin, TX 78759-8490. Telephone: (512) 342-5600; 1230 West Washington Street, Suite 301, Tempe, AZ 85281. Telephone: (602)302-6000. Asset Management Assistance Center, 4807 Spicewood Springs Road, Suite 5100, Austin, TX 78759-8490. Telephone: (512) 231-7900.

#### Headquarters Office:

J. Christopher McGrath 1775 Duke Street, Alexandria, Virginia 22314 Email: cmcgrath@ncua.gov Phone: 703-518-6574

#### Website Address:

<http://www.ncua.gov>.

#### RELATED PROGRAMS:

Not Applicable.

#### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

### 44.002 COMMUNITY DEVELOPMENT REVOLVING LOAN FUND PROGRAM FOR CREDIT UNIONS

(CDCU)

#### FEDERAL AGENCY:

National Credit Union Administration

#### AUTHORIZATION:

Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633,

and 681, Stat. 494,498,518, 42 U.S.C 9812-9910, as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633, and 681, 97 Stat. 331, U.S.C , as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633, and 681, U.S.C , as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633, and 681, U.S.C , as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633, and 681, as amended by Omnibus Budget Reconciliation Act of 1981, as amended, Sections 623,633, and 681.

**OBJECTIVES:**

To support low-income credit unions in their efforts to: (1) Stimulate economic development activities which result in increased income, ownership, and employment opportunities for low-income residents; and (2) provide basic financial and related services to residents of their communities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

In order to meet the objectives of the Community Development Revolving Loan Program for Credit Unions, an applicant low-income credit union approved for participation must provide a variety of financial and related services designed to meet the particular needs of the low-income community served. Federal funds loaned under the Revolving Loan Program may be used for services that include activities aimed towards: (1) Supporting and stimulating economic development and revitalization efforts aimed at benefiting the community it serves. Recipients are encouraged to use funds available through the Revolving Loan Program to serve as a catalyst to attract and stimulate the investment of capital from other private and public sources to promote economic development activities within the community; (2) providing member services such as financial counseling; and (3) increasing the membership and the capitalization base such as: (a) membership drives; (b) campaigns to encourage members to increase their share deposits through systematic savings, utilizing such methods as payroll deductions allotments; and (c) businesses and other organizations serving the community to maintain share deposits or contribute financially in other ways to projects supported by the credit union. Loans up to \$300,000, will be made to credit unions. All loans must be repaid to the Community Development Revolving Loan Fund for Credit Unions within the shortest time compatible with sound business practice and with the objectives of the program, but in no case will the term exceed 5 years. Loans made under this program shall bear interest at a rate of not less than 1 or greater than 3 percent per annum. Semi- annual interest and principal payments are required by the Revolving Loan Program.

**Applicant Eligibility:**

All State and federally chartered credit unions with a low-income designation are eligible. This program is for established, financially sound low-income credit unions that wish to increase member services in their communities. Credit unions in the territories and the possessions are eligible to apply.

**Beneficiary Eligibility:**

A credit union wishing to participate must serve a field of membership which is comprised primarily of low- income individuals. The credit union's field of membership should correspond geographically to the designated program area described in its application and may include employees who regularly work in the area, businesses located within the area, and the residents of the area. In particular cases, the community served may include a number of contiguous neighborhoods constituting a target area. A target area is defined as that area designated by the Economic Development Administration or another Federal agency or by a State or local government agency for special assistance to low-income residents such as special impact areas or enterprise zones.

**Credentials/Documentation:**

The Community Development Revolving Loan Fund Program for Credit Unions requires low-income credit unions to provide evidence of chartering from the appropriate Regional Office of the National Credit Union Administration or a State credit union regulatory agency. The board of directors will prepare a Community Needs Plan (Plan) and submit it with its loan application. The Plan will contain a list of needed community services that the credit union will provide. The board of directors will provide a status report on the Plan's objectives to the credit union members once a year either at the annual meeting or in a written report sent to all members. The Plan's yearly

status report will also be submitted to NCUA annually. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for loans competitively awarded in response to a program announcement are to be addressed to: National Credit Union Administration, Community Development Revolving Loan Program for Credit Unions, 1775 Duke Street, Alexandria, VA 22314- 3428. Applicants are urged to inform and to coordinate with State and local governments where such information and coordination is appropriate or necessary for the success of the program.

**Award Procedure:**

NCUA will notify applicant credit unions as to whether they have qualified for a loan under the Revolving Loan Program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

From 90 to 120 days. Any applicant whose qualification is denied may appeal that decision to the NCUA Board.

**Renewals:**

From 15 to 30 days.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance made available in this program will be in the form of a loan which is to be deposited in the credit union as either a non-member deposit or as a note payable and must be repaid to the Revolving Loan Program at a rate of not less than 1 or greater than 3 percent per annum. The term of the loans will not exceed 5 years from the date of award of the loan. Funds will be released directly to the credit union by NCUA, Community Development Revolving Loan Program for Credit Unions. Method of awarding/releasing assistance: lump sum.

**Reports:**

Loan recipients must submit a copy of the Credit Union's Community Needs Plan with their application, annual audit report of the Supervisory Committee, quarterly, semi-annual or other financial , business or program reports as required by NCUA and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives. No cash reports are required. Loan recipients must submit a copy of the Credit Union's Community Needs Plan with their application, annual audit report of the Supervisory Committee, quarterly, semi-annual or other financial , business or program reports as required by NCUA and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives. Loan recipients must submit a copy of the Credit Union's Community Needs Plan with their application, annual audit report of the Supervisory Committee, quarterly, semi-annual or other financial , business or program reports as required by NCUA and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives. Loan recipients must submit a copy of the Credit Union's Community Needs Plan with their application, annual audit report of the Supervisory Committee, quarterly, semi-annual or other financial , business or program reports as required by NCUA and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The recipient credit union must submit to NCUA annually the Supervisory Committee's audit report and the annual State or Federal examiner's report within 30 days of issuance.

**Records:**

Loan recipients are required to keep all financial, business and program reports necessary for program review and audit to ensure that funds have been expended in accordance with the regulations, loan agreement and terms and conditions of the Revolving Loan Program.

**Account Identification:**

25-4472-0-3-373.

**Obligations:**

(Salaries) FY 08 \$4,000,000; FY 09 est \$5,000,000; FY 10 est \$4,000,000

**Range and Average of Financial Assistance:**

From \$5,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: \$2.3 million in new loans were issued. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CDRL Program, Federal Register, Volume 52 No. 179, September 16, 1987 (12 CFR 705) and Volume 54 No. 240, December 15, 1989.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tawana Y. James 1775 Duke Street, Alexandria, Virginia 22314 Email: tjames@ncua.gov Phone: 703-518-6610

**Website Address:**

<http://www.ncua.gov>.

**RELATED PROGRAMS:**

44.001 Credit Union Charter, Examination, Supervision, and Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Community Development Revolving Loan Fund Program will use the following to base its consideration for awards on the following priorities: (1) Purpose; (2) Financial Factors and (3) Non-Financial Factors as listed in the application for funds.

**FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES**

**45.201 ARTS AND ARTIFACTS INDEMNITY**

**FEDERAL AGENCY:**

Federal Council on the Arts and the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 971 et seq.; Arts and Artifacts Indemnity Act, Public Law 094-158.

**OBJECTIVES:**

To provide for indemnification against loss or damage for eligible art works, artifacts, and objects (1) when borrowed from abroad for exhibition in the U.S.; (2) when borrowed from the U.S. for exhibition abroad, preferably when there is an exchange exhibition from a foreign country; (3) when borrowed from the U.S. for exhibition in the U.S. as part of exhibitions from abroad which include foreign-owned objects; and 4) when borrowed from U.S. collections for exhibition in the United States.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Certificates of Indemnity will be issued for the following items insuring them against loss or damage: (1) works of art, including tapestries, paintings, sculpture, folk art, graphics, and craft arts; (2) manuscripts, rare documents,

books, and other printed or published materials; (3) other artifacts or objects; and (4) photographs, motion pictures, or audio and video tape. Items must be of educational, cultural, historical or scientific value; and their exhibition, in the case of international exhibitions, must be certified by the Department of State to be in the national interest. No indemnity agreement for a single exhibition shall exceed \$1.2 billion for international exhibitions, or \$750 million for domestic exhibitions. Deductible amounts are on a sliding scale based on the value of certificate, as follows: \$15,000 deductible for exhibitions of up to \$2 million in value; \$25,000 for valuation of \$2 million to \$10 million; \$50,000 for valuation of \$10 million to \$125 million; \$100,000 for valuation of \$125 million to \$200 million; \$200,000 for valuation of \$200 million to \$300 million; \$300,000 for valuation of \$300 million to \$400 million; \$400,000 for valuation of \$400 million to \$500 million; and \$500,000 for valuation above \$500 million. The total amount of indemnities that can be outstanding at any one time is \$10 billion for international exhibitions and \$5 billion for domestic exhibitions.

**Applicant Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions may apply.

**Beneficiary Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions will benefit. Audiences of indemnified exhibitions will also benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to applying, potential applicants are encouraged to consult with the Indemnity Administrator, National Endowment for the Arts, Washington, DC 20506-0001. All applicants must consult the Arts and Artifacts Indemnity Guidelines available at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must obtain guidelines and application instructions from the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov), and apply through Grants.gov.

**Award Procedure:**

The Federal Council on the Arts and the Humanities makes final decisions on all awards based on recommendations from consulting panels of professionals in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The length of time between application and notification is dependent on the scheduling of meetings of the Federal Council on the Arts and the Humanities; approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions and renewals must compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The time during which Indemnity coverage is in effect varies depending on the schedule of the particular exhibition. See the following for information on how assistance is awarded/released: This program provides indemnification against loss or damage, not grant support.

**Reports:**

Reports of any loss or damage are due at the termination of the indemnity

period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Final audits may be made at the discretion of the Federal Council on the Arts and the Humanities for up to three years after the termination of the indemnity period.

**Records:**

Applicants are responsible for complete packing, shipping, security and condition reports on all indemnified items. These should be kept for 90 days beyond the end date of the indemnity period.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Insurance) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - The figures in this section relate to claim payments, not obligations.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Thirty-five certificates of indemnity were issued for 35 exhibitions. Fiscal Year 2009: It is anticipated that 60 certificates of indemnity will be issued for 60 exhibitions. Fiscal Year 2010: It is anticipated that 75 certificates of indemnity will be issued for 75 exhibitions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Alice M. Whelihan National Endowment for the Arts  
1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Email: [whelihaa@arts.gov](mailto:whelihaa@arts.gov) Phone: 202-682-5574

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts\_Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Current indemnified exhibitions are listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2009: Current indemnified exhibitions are listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2010: Indemnified exhibitions will be listed on the Web site at [www.arts.gov](http://www.arts.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Indemnity Administrator.

**NATIONAL ENDOWMENT FOR THE ARTS**

**45.024 PROMOTION OF THE ARTS\_GRANTS TO ORGANIZATIONS AND INDIVIDUALS**

**FEDERAL AGENCY:**

National Endowment for the Arts

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.

**OBJECTIVES:**

To support excellence in the arts, both new and established; bring the arts to all Americans; and provide leadership in arts education. Grants using Recovery Act funds are to support the preservation of jobs in the nonprofit arts sector.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The NEA's regular grants support projects that include: opportunities for artists to create, refine, perform, and exhibit their work; the presentation of artistic works of all cultures and periods; the preservation of significant works of art and cultural traditions; opportunities for arts organizations and artists to expand and diversify their audiences; opportunities for individuals to experience and participate in a wide range of art forms and activities; opportunities to enhance the effectiveness of arts organizations and artists; the strengthening of communities through the arts; the recognition of artists for their contributions to our nation's cultural heritage; nationally distributed television and radio programs on the arts; the acquisition by children and youth of knowledge, skills, and understanding of the arts consistent with national or state arts education standards; partnerships with other federal agencies to carry out quality projects or initiatives of mutual interest; activities, carried out in partnership with foundations or other government agencies, which provide increased opportunities for international cultural exchange; activities that acquaint foreign artists and cultural officials with the best of American culture; and leadership projects intended to advance the arts significantly, demonstrate national or field-wide importance, and benefit Americans in communities throughout the country.

Grants using Recovery Act funds are limited to projects that provide 1) salary support, full or partial, for one or more positions that are critical to an organization's artistic mission and that are jeopardized or have been eliminated as a result of the current economic climate; or 2) fees for previously engaged artists and/or other contractual personnel to maintain or expand the period during which such persons would be engaged. Local arts agencies eligible to subgrant may request support for subgranting programs consistent with these purposes.

Consult the current funding opportunities, guidelines, or program announcements for the area of interest for complete information (see [www.arts.gov](http://www.arts.gov)). Grant funds must be used for the purposes outlined in the relevant guidelines or program announcement, and in accordance with the National Endowment for the Arts General Terms and Conditions for Grants and Cooperative Agreements. Recovery Act grants are limited to job preservation in the arts as described above. All of the funds under "Promotion of the Arts - Grants to Organizations and Individuals" are discretionary.

**Applicant Eligibility:**

Tax-exempt organizations meeting the following conditions may apply: (1) No part of any earnings may benefit a private stockholder or individual, and (2) donations to the organization are allowable as charitable deductions under Section 170(c) of the Internal Revenue Code. Examples of eligible organizations are arts institutions, arts service organizations, local arts agencies, official units of state and local governments, federally recognized tribal communities and Indian tribes. Generally, an organization may submit only one application for a single project under one of the category deadlines; must have a three-year history of programming prior to the application deadline; and must have submitted acceptable final reports by the due date for all Arts Endowment grants previously received. Individuals must be U.S. citizens or permanent residents and, according to 20 U.S.C. 954 (c ), must demonstrate exceptional talent. Currently, the only individuals eligible to apply directly are published creative writers. Master artists in the folk & traditional arts and in jazz are eligible for honorary fellowships awarded on the basis of nominations. See respective funding opportunities, guidelines, or program announcements for further information.

**Beneficiary Eligibility:**

Nonprofit organizations, state and local governments, local arts agencies, local education agencies (school districts), federally recognized tribal communities and Indian tribes, literary artists, and master artists in the folk & traditional arts and in jazz. Through activities and services supported, beneficiaries include artists and the general public.

**Credentials/Documentation:**

Applicants should review relevant funding opportunities, guidelines, or program announcements at [www.arts.gov](http://www.arts.gov) for full requirements.

For individuals, Literature fellowship applicants must be published writers. Nominators of candidates for NEA Jazz Masters Fellowships, NEA National

Heritage Fellowships, or NEA Opera Honors must document the candidate's contribution to the art form.

For Recovery Act grantees, allowable costs are limited to salaries, wages and fringe benefits; fees for artists and contractual personnel; and for eligible local arts agencies, fees for subgranting and the subgranting program.

For institutions of higher education, allowable costs will be determined according to OMB Circular No. A-21; for other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-122. For local and state governments: OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants should consult current funding opportunities, guidelines, or program announcements for the funding area under which they intend to apply. Relevant items are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Arts Endowment funding opportunities, guidelines, or program announcements (available at [www.arts.gov](http://www.arts.gov)). Applicants must adhere to instructions, and must submit their applications through Grants.gov.

**Award Procedure:**

Applications generally receive three independent levels of review. First, they are reviewed by independent, national panels of artists and other arts experts. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of approval/disapproval time varies by funding category. Dependent on deadline dates and meetings of the National Council on the Arts. Details can be found in the funding opportunities, guidelines, and program announcements available at [www.arts.gov](http://www.arts.gov).

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Regular grant awards to organizations generally must be matched at least 1:1. Awards under the Recovery Act and awards to individuals do not require a match. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time the assistance is available and money awarded can be spent varies according to project or grant category. Many grants cover a period of support of up to two years. Recovery Act awards generally cover a period of support of up to one year. See the following for information on how assistance is awarded/released: Grantees must submit a request for payment to cover immediate allowable project expenses. Generally, these requests for payment may be submitted at any time during the period of support.

**Reports:**

Most grantees must submit a Final Descriptive Report no later than 90 days following the end of the grant period. Recovery Act grantees must report quarterly, with reports due the 10th of the month following the end of each quarter during the grant period. No reports are required from recipients of NEA Jazz Masters Fellowships, NEA National Heritage Fellowships, or NEA Opera

Honors. No cash reports are required. All organizational grantees (regular and Recovery Act awardees) must submit a Progress Report at the point that the request for payment exceeds two-thirds of the total grant amount. All organizational grantees (regular and Recovery Act awardees) are required to submit a Final Federal Financial Report no later than 90 days following the end of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. No audits are required for individual Arts Endowment awardees.

**Records:**

Award-related records must be retained by the grantee for three years following submission of the Final Federal Financial Report.

**Account Identification:**

59-0100-0-1-503 - Regular funding; 59-0100-0-1-503 - Recovery Act funding.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$73,869,863; FY 09 est \$77,200,000; FY 10 est \$79,524,000 - These figures are for the Arts Endowment's regular programming and exclude Recovery Act funds. All figures include funds for the Challenge America: Reaching Every Community and American Masterpieces initiatives. (Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$29,925,000; FY 10 est \$0 - These obligations reflect Recovery Act funding only.

**Range and Average of Financial Assistance:**

Most of the Arts Endowment's regular grants range from \$5,000 to \$100,000. Grants of \$100,000 or more are made only in rare instances, and only for projects that the Arts Endowment determines demonstrate exceptional national or regional significance and impact. In the past few years, well over half of the Agency's grants have been for amounts less than \$25,000. Recovery Act funds: Direct grants to organizations are for \$25,000 or \$50,000; grants to local arts agencies eligible to subgrant are for \$100,000 or \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the Arts Endowment received approximately 4,700 applications and made more than 2,150 awards in communities in all 50 States and six special jurisdictions. As many as 100 million people in nearly 4,000 communities across the nation, including 10 million children and youth, are benefiting from Agency-sponsored projects exclusive of radio and television broadcasting projects. National and regional broadcast performances on radio and television are reaching a combined audience of at least 500 million. Fiscal Year 2009: In FY 2009, the Arts Endowment anticipates receiving approximately 5,300 applications and awarding more than 2,200 grants under its regular programming. The Agency will continue to award grants in all 50 States and six special jurisdictions for a variety of arts projects. In addition, the Arts Endowment has received approximately 2,400 applications for Recovery Act projects, and anticipates awarding approximately 600-700 Recovery Act grants to help preserve jobs in the nonprofit arts sector throughout the nation. Fiscal Year 2010: For 2010, the Arts Endowment anticipates receiving more than 5,300 applications and making approximately 2,400 awards in all 50 States and six special jurisdictions for a broad variety of arts projects. (Recovery Act funds are FY 2009 only.).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Visit the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for funding opportunities, guidelines, or program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill O'Brien 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5441

**Website Address:**

[www.arts.gov](http://www.arts.gov).



**RELATED PROGRAMS:**

45.025 Promotion of the Arts\_Partnership Agreements; 45.201 Arts and Artifacts Indemnity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grant listings are posted at [www.arts.gov](http://www.arts.gov). Examples include: (1) the creation and performance of a dance theater work; (2) an after-school artist residency program; (3) a creative writing fellowship; (4) an initiative that spotlights jazz masters; (5) a program that brings mayors together with design professionals to enhance the livability of communities; (6) a festival featuring American choral music including new work; (7) the publication of a museum exhibition catalogue; and (8) the commissioning and production of a new American play. Fiscal Year 2009: In addition to the types of projects noted above, the Arts Endowment is awarding FY 2009 Recovery Act grants specifically for projects that preserve jobs in the nonprofit arts sector. See [www.arts.gov](http://www.arts.gov) for listings of both regular and Recovery Act grants. Fiscal Year 2010: Listings for 2010 will be posted on [www.arts.gov](http://www.arts.gov) once grants are obligated.

**CRITERIA FOR SELECTING PROPOSALS:**

The primary criteria by which all applications are assessed are artistic excellence and artistic merit. For additional criteria, consult respective funding opportunities, guidelines, or program announcements available at [www.arts.gov](http://www.arts.gov).

**45.025 PROMOTION OF THE ARTS\_PARTNERSHIP AGREEMENTS  
FEDERAL AGENCY:**

National Endowment for the Arts

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To develop and maintain partnerships with the state and jurisdictional arts agencies (SAAs) and their regional organizations (RAOs) to advance the mission of the National Endowment for the Arts. Awards using Recovery Act funds are specifically for projects that preserve jobs in the nonprofit arts sector.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Regular SAA Partnership Agreements support four components: 1) the state arts plan for priorities identified at the state level; 2) elements of the state plan that address arts education; 3) elements of the state plan that foster the arts in underserved communities; and 4) projects that strengthen a state's program of support for the folk & traditional arts. RAO Partnership Agreements offer support for: 1) a regional arts plan; 2) touring intended to give all Americans access to excellent, live performing arts; and 3) projects that strengthen a region's program of support for the folk & traditional arts. Limited Partnership funds also are available for national services provided by membership organizations of SAAs and RAOs. Arts Endowment Partnership Agreement funds must be used to supplement and not to supplant non-Federal funds.

Recovery Act funds to the SAAs and RAOs are to be used for subgranting for projects that provide: 1) salary support, full or partial, for one or more positions that are critical to an organization's artistic mission and that are in jeopardy or have been eliminated as a result of the current economic climate; or 2) fees for previously engaged artists and/or other contractual personnel to maintain or expand the period during which such persons would be engaged. SAAs and RAOs may use up to \$50,000 of the grant funds for their own jobs for the purposes outlined above, and/or for the administration of the subgranting program. Recovery Act awards are limited to the specific purposes outlined above.

**Applicant Eligibility:**

Agencies officially designated as the state arts agency by its state government in each of the 50 States and six special U.S. jurisdictions; regional arts organizations representing state arts agencies; and organizations providing support services to state and regional arts agencies at a national level.

**Beneficiary Eligibility:**

The official arts agencies of the 50 states and six U.S. jurisdictions, regional arts organizations, and organizations providing support services to SAAs and RAOs at the national level. Through activities and services supported, beneficiaries include local arts agencies, nonprofit organizations, artists, and the general public.

**Credentials/Documentation:**

The State Partnership Agreement requires that the agency be legally designated as the official State arts agency. The Regional Partnership Agreement stipulates that the regional organization must be authorized by two or more state arts agencies to apply for funds on their behalf. A SAA can belong to only one RAO. OMB Circular No. A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants should consult the Partnership Agreements guidelines (available at [www.arts.gov](http://www.arts.gov)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Partnership Agreements guidelines at [www.arts.gov](http://www.arts.gov) and adhere to instructions. Separate guidelines (also available at [www.arts.gov](http://www.arts.gov)) outline funding opportunities and instructions for Recovery Act grants. Applications must be submitted through [Grants.gov](http://Grants.gov).

**Award Procedure:**

Applications receive three independent levels of review. First, they are reviewed by an independent, national panel of individuals with expertise in the arts and the state and regional arts agency field. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Partnership Agreements receive panel review on a three-year cycle -- one-third of the states are reviewed each year -- with funding subject to annual recommendation and approval by the Council and the Chairman. Recovery Act applications, which are for one-time only funding, were reviewed in a single cycle.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Partnership Agreements deadline is generally in October. Applications are generally reviewed by the National Council on the Arts and approved by the NEA Chairman in late March. See the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for specific dates. Applications for one-time-only Recovery Act funding had a deadline of March 13, 2009.

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

The Arts Endowment uses staggered, multi-year review for Partnership Agreements. Funding is subject to annual review and approval.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Partnership Agreement awards must be matched at least 1:1 with non-federal funds. Recovery Act funds are awarded on a non-matching basis.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each award is for the full fiscal year or as designated. FY 2010 Partnership Agreement awards support activities scheduled to begin on or after July 1, 2010. See the following for information on how assistance is awarded/released:

Generally, requests for payment to cover immediate allowable project expenses may be received at any time during the grant period.

**Reports:**

For Partnership Agreements, a Final Descriptive Report is due no later than 90 days following the end date of the period of support. Recovery Act grantees must report quarterly, with reports due the 10th of the month following the end of each quarter during the grant period. No cash reports are required. Progress reports are required for all grants and must be submitted at the time the cumulative amount of grant funds requested exceeds two-thirds of the grant amount. Final Federal Financial Reports are due no later than 90 days following the end date of the period of support. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant-related records are to be retained by grantees for three years following submission of the Final Federal Financial Report.

**Account Identification:**

59-0100-0-1-503 - Regular Partnership Agreements funds; 59-0100-0-1-503 - Recovery Act funding.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$19,950,000; FY 10 est \$0 - Recovery Act funds are for FY 2009 only. Funds are restricted to projects that focus on the preservation of jobs in the nonprofit arts sector. (Project Grants (with Formula Distribution)) FY 08 \$47,896,200; FY 09 est \$51,000,000; FY 10 est \$53,016,000 - The Congress has stipulated that no less than 40 percent of all grantmaking funds appropriated for the Arts Endowment be reserved for grants to SAAs and RAOs. Some of these funds are allotted on a formula basis; others competitively. See the Partnership Agreements guidelines at [www.arts.gov](http://www.arts.gov) for details.

**Range and Average of Financial Assistance:**

FY 2009: For Partnership Agreements, the range of SAA awards is \$285,000 to \$1,194,800, averaging \$784,500. The range of RAO awards is \$1,095,600 to \$1,718,800, averaging \$1,415,783. For Recovery Act grants for SAAs, the range of assistance is \$25,000 to \$502,400, with an average of \$299,642. For Recovery Act grants for RAOs, the range of assistance is \$394,400 to \$628,800, with an average of \$520,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the Arts Endowment made 64 Partnership awards. SAAs and RAOs use their state and federal funds to support more than 25,000 arts projects in more than 5,500 communities. Fiscal Year 2009: In FY 2009 the Arts Endowment is making 64 Partnership awards. SAAs and RAOs use their state and federal funds to support a variety of arts projects in communities throughout the nation. In addition, the Arts Endowment is making 63 Recovery Act awards to SAAs and RAOs for subgranting to organizations within their respective states and regions for the preservation of jobs in the nonprofit arts sector, and to the national service organization for SAAs and RAOs for job preservation. Fiscal Year 2010: In FY 2010, the Arts Endowment anticipates making 64 Partnership awards. SAAs and RAOs use their state and federal funds to support a variety of arts projects in communities throughout the nation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Partnership Agreements guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Patrice Walker Powell 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5097

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grant listings and links to SAAs and RAOs are posted at [www.arts.gov](http://www.arts.gov). Partnership Agreements with SAAs support arts education activities; fostering of the arts in underserved communities; folk & traditional arts partnerships; and grant, service, or administrative programs. Partnership Agreements with RAOs support arts presenting and touring; folk & traditional arts partnerships; and grant, service, or administrative programs. Fiscal Year 2009: Grant listings for 2009 Partnership Agreements, which support the same type of activities as noted above, can be found at [www.arts.gov](http://www.arts.gov). In addition, FY 2009 grants awarded with Recovery Act funds--for the preservation of jobs in the nonprofit arts sector-- can be found in the Recovery Act section of the Arts Endowment's Web site. Fiscal Year 2010: Partnership Agreement activities with the SAAs and RAOs will be similar to those noted for FY 2008. (Recovery Act funding is for FY 2009 only.) Grant listings will appear on the Arts Endowment's Web site once grants are obligated.

**CRITERIA FOR SELECTING PROPOSALS:**

For Partnership Agreements: Quality of the planning process; quality of the plan; and quality of implementation including accomplishments in relation to the plan. For additional criteria, consult the Partnership Agreements guidelines.

For Recovery Act applications: The artistic excellence and artistic merit of the proposed project including its potential to have a significant and immediate impact on the arts work force. For additional criteria, consult the Recovery Act guidelines for State Arts Agencies and Regional Arts Organizations.

**NATIONAL ENDOWMENT FOR THE HUMANITIES**

**45.129 PROMOTION OF THE HUMANITIES\_FEDERAL/STATE PARTNERSHIP**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq., Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To promote local, statewide, and regional humanities programming through annual grants to humanities councils in each of the 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Northern Mariana Islands, Guam, and American Samoa. The 56 councils conduct humanities projects and grant programs for local nonprofit organizations, institutions, and groups, and occasionally for individuals. Under the provisions of 20 U.S.C. 956(f)(8), only one entity in each State may receive assistance from NEH as the State humanities council.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund local, statewide, and regional humanities projects, subject to guidelines determined by each State humanities council.

**Applicant Eligibility:**

Nonprofit citizen councils in the several States and territories which conform to the requirements of 20 U.S.C. 956(f). If the State matches a certain percentage of the Federal grant and meets other legislated requirements, the Governor may designate the existing Council as a State agency. The resulting agency becomes an eligible applicant.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government general; minority organizations; other specialized groups; and quasi-public nonprofit institutions which apply directly to the State Humanities Council.

**Credentials/Documentation:**

Submission of an annual compliance plan and a self-assessment every five years from the council. Compliance requirements are outlined in 20 U.S.C. 956(f). Costs will be determined in accordance with OMB Circular No. A-122 as amended for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Filing of a compliance plan is required from all councils annually and a self-assessment every five years

**Award Procedure:**

Compliance plans are reviewed by Federal/State Partnership staff. Self-assessments are reviewed by teams of visiting scholars and other professionals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Jun 01, 2010 June 1 for annual compliance plans. Timetable for submission of self-assessment material is flexible.

**Range of Approval/Disapproval Time:**

> 180 Days. Variable: Six months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: As established by the Congressional funding formula, each State council receives \$200,000 of the definite funds appropriated to Federal/State Partnership. Of the remaining funds, 44 percent is divided equally among the States which have a population of 200,000 or more, 22 percent is allocated to each council on the basis of population, and 34 percent is awarded at the discretion of the Chairman of the agency. Total matching of the grant on a one-to-one basis is required. Source: 20 U.S.C. 956 (f)(4). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Thirty-six months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Compliance plans are required annually. Cash report and an expenditure report are required quarterly. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Compliance plans are required annually. Cash report and an expenditure report are required quarterly. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Compliance plans are required annually. Cash report and an expenditure report are required quarterly. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Compliance plans are required annually. Cash report and an expenditure report are required quarterly. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. "Audits of Institutions of Higher Education and Other Nonprofit Organizations." In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$39,455,531; FY 09 est \$35,000,000; FY 10 est \$38,515,000 - (Grants) FY 08 \$39,455,531\*; FY 09 est \$35,000,000; and FY 10 est not reported \$38,515,000 \* Includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Range of assistance was \$238,600 to \$1,644,700; average \$686,270.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A singular achievement of Federal/State Partnership has been the establishment, in all 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, the Northern Marianas, American Samoa, and Guam of 56 continuing nonprofit organizations which have succeeded at serving as the link between the humanities and the interests and concerns of the States' citizens. In the last year, councils supported thousands of programs that reached millions of Americans. Councils are continuing to design and sponsor programs and produce materials that reach new audiences. In 2007 reports indicate that 50 councils sponsored K-12 teacher projects for a total of 1,302,697 participants; 36 councils sponsored literacy programs that drew 2,225,069 participants; 10,538,027 participated in reading and discussion programs; 31,906,841 participated in local history projects; 10,956,476 attended scholar-led seminars, conferences, and lectures; and 614,944 people attended Chautauqua type performances. Council-funded exhibitions attracted close to eleven million visitors, while council-funded media projects attracted 500 million viewers. Finally, 1.7 million K-12 students participated in council-funded projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Information about the National Endowment for the Humanities and program guidelines are available online at <http://www.neh.gov/> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign). Addresses and phone numbers for the 56 State humanities councils are available from Federal/State Partnership, NEH, Room 603, Washington, DC 20506, and from the NEH web site, <http://www.neh.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Located in each State. Addresses available from National Endowment for the Humanities.

**Headquarters Office:**

Federal/State Partnership Federal/State Partnership, National Endowment for the Humanities  
Room 603, Washington, DC 20506  
, Washington, District of Columbia 20506 Email: [fedstate@neh.gov](mailto:fedstate@neh.gov) Phone: 202-606-8252

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Humanities Washington has developed an expanded grantmaking program that, in remote and rural areas especially, may support the only humanities programs that take place in a town or county. The Idaho

Humanities Council sponsored an interdisciplinary teacher development institute that explored environmental literature. The North Carolina Humanities Council expanded the reach and content of its publications and website as well as supported the Museum on Main Street exhibition, New Harmonies: Celebrating American Roots Music. The We Are California: Stories of Immigration and Change website of the California Council for the Humanities is the first to be devoted to the history of California immigration and migration as well as the first where Californians can tell their own coming-to-California stories. The Ohio Humanities Council is planning for the Sesquicentennial of the Civil War as well as public television programs on Ohio's historic places. Thirty-eight councils support literacy programming and all sponsor discussion programs, many of which are based on the common reading of texts. To ensure depth and seriousness of reflection, some councils have selected topics of specific concern to citizens of their states and shaped year-long events to explore each topic. The Illinois Humanities Council conducted such an initiative on the meaning of the genetics revolution, involving 34 partner organizations. The council is following up this year with a one-year series of programs entitled All Consuming: Conversations on Oil and Water, which invites citizens of the state to join the council in using the humanities to ask how access to, control and consumption of oil and water play out in the past, current, and future geopolitical environment. The Virginia Foundation for the Humanities uses electronic media to initiate discussions through their Backstory radio call-in show, which features three prominent historians to provide perspective on events happening around us every day. Recent programs have featured discussions of the history of presidential transitions and the history of financial crisis. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each State council sets its own guidelines and criteria for assessing proposals, which are widely disseminated within the State. The criteria for State council funding from NEH are established in the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. Section 950, 956, and by the NEH Federal/State Partnership.

#### **45.130 PROMOTION OF THE HUMANITIES\_CHALLENGE GRANTS FEDERAL AGENCY:**

National Endowment for the Humanities

#### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C 951.

#### **OBJECTIVES:**

To support educational and cultural institutions and organizations in order to increase their financial stability and to sustain or improve the quality of humanities programs, services, or resources. Normally, institutions requesting an NEH challenge grant must raise three dollars in new donations from nonfederal sources to receive each Federal dollar. A special category of challenge grants, called We the People, is designed to help institutions and organizations secure long-term improvements in humanities activities that explore significant themes and events in American history and culture. Historically Black Colleges and Universities, Tribal Colleges and Universities, and two-year colleges are required to raise two times the Federal award in new donations from nonfederal sources.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be applied to a variety of institutional needs which an applicant has demonstrated serve both the humanities and the institution's long-term objectives. The major purpose of an NEH Challenge Grant is to help institutions and organizations attain or sustain a high level of quality in humanities programs or activities by building long-term capital resources. The most common expenditure of grant and matching funds is the creation or augmentation of endowments. Also possible are direct expenditures such as library acquisitions, technological enhancement, construction and renovation, and other costs clearly attributable to improvements in humanities programs and activities. Funds may not be used directly for general operating support or undergraduate scholarships and prizes or for projects eligible for support from

other NEH programs.

#### **Applicant Eligibility:**

Any public or private U.S. nonprofit institution or organization working wholly or in part within the humanities may apply, including the following: two-year and four-year colleges; universities; museums; historical societies; research libraries; public libraries; advanced study centers; media organizations; university presses; professional societies; or State humanities councils. State and local governments and U.S. Territories are eligible to apply on their own behalf or on behalf of nonprofit institutions, associations or organizations within their jurisdictions. Individuals and public and private elementary and secondary schools or school districts are not eligible to apply.

#### **Beneficiary Eligibility:**

All applicant organizations and institutions and all users of their humanities resources, programs, or activities.

#### **Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

#### **Award Procedure:**

Applications are reviewed by administrators of humanities institutions, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

#### **Deadlines:**

May 01, 2010 May 1 for all challenge grants except We the People Challenge Grants in United States History, Institutions and Culture, which have a February 1 deadline. Deadlines are receipt deadlines. Write or call the NEH Office of Challenge Grants.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Seven months (approximately 210 days) after the deadline.

#### **Appeals:**

None, but applicants may request written reasons for rejection and reapply at the next appropriate deadline with a revised proposal.

#### **Renewals:**

> 180 Days. Eligibility to apply for a subsequent award begins in the third year after the close of the previous challenge grant. Eligibility to apply for a subsequent We the People challenge grant begins in the second year.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: All challenge grant funds are matching funds. Grantees must raise three nonfederal dollars for every federal dollar offered, except that Historically Black Colleges and Universities, Tribal Colleges and Universities, and two-year colleges are required to raise two times the Federal award.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

From one to five years. Funds must be expended during the grant period. Funds expended include funds deposited into an income earning account. Federal funds up to the amount offered in any year are released as matching amounts are certified to the Endowment and minimum annual matching requirements are met. See the following for information on how assistance is awarded/released: From one to five years. Funds must be expended during the grant period. Funds expended include funds deposited into an income earning account. Federal funds up to the amount offered in any year are released as matching amounts are certified to the Endowment and minimum annual matching requirements are

met.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative progress reports are required biennially; reports on nonfederal contributions raised and sources of giving are required annually. Final narrative and financial reports are due within 90 days after the grant ending date. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

To be retained by the grantee for three years from the date of submission of the final narrative and financial reports. Records include financial documentation on all matching gifts and on all expenditures of Federal and matching funds.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$10,869,300; FY 09 est \$9,300,000; FY 10 est \$9,500,000 - FY'08 obligations Include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Applicants may request up to \$1,000,000 in Federal funds over four years. In fiscal year 2007, the largest award offered was \$1,000,000, the smallest was \$200,000; and the average award was approximately \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 113 applications were received and 20 awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Challenge Grants Office of Challenge Grants, Room 420, National Endowment for the Humanities, Washington, DC 20506. , Washington, District of Columbia 20506 Email: [challenge@neh.gov](mailto:challenge@neh.gov) Phone: 202-606-8309

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A community college will use its \$800,000 challenge grant to endow humanities programs for its students and for the general public. (2) A liberal arts college will use its \$625,000 We the People challenge grant to restore an historic house as a residence for research fellows and an endowment for fellowships to study the Founding Era and its legacy. (3) A public library will use its \$500,000 challenge grant to restore and enhance technology in its historic building. (4) A museum will use its \$575,000 challenge grant as the cornerstone of a larger fund-raising campaign for an endowment to support a new regional art center. (5) A professional humanities association is using its

\$246,000 challenge grant to endow staff positions in humanities educational programming. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To reach decisions about funding, all reviewers of Challenge Grants applications are asked to evaluate the existing and potential quality of an applicant's programs in the humanities, its needs, management, and fund-raising capability. In light of the goals of the Challenge Grants Program, reviewers assess each application in accordance with the following criteria: (1) The significance of existing and planned humanities activities. (2) The appropriateness of institutional resources and plans. (3) The impact of challenge grant funds. (4) The feasibility of fund raising. Applicants for second or subsequent awards must describe and assess the effects of their prior awards.

**45.149 PROMOTION OF THE HUMANITIES\_DIVISION OF PRESERVATION AND ACCESS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended,, 89 Stat. 209, 20 U.S.C 951.

**OBJECTIVES:**

To fund projects that will promote preserving, creating, and providing intellectual access to resources held in libraries, museums, archives, historical organizations, and other collections that are important for research, education, and public programming in the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support: the digitization, arrangement, description, and preservation of archival collections, still and moving images, and recorded sound collections; the documentation of collections of art and material culture; projects to produce research tools and reference works such as databases and electronic archives, bibliographies, dictionaries, and encyclopedias; professional training in preservation administration and in the care of collections; preventive conservation of humanities collections; the work of regional preservation services; general preservation assessments and special consultations for smaller cultural institutions; research and development projects to develop technical standards, best practices, and tools for preserving and creating access to humanities collections; projects to document endangered languages; and a national program for the digitization of historic U.S. newspapers. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem. Grants support: the digitization, arrangement, description, and preservation of archival collections, still and moving images, and recorded sound collections; the documentation of collections of art and material culture; projects to produce research tools and reference works such as databases and electronic archives, bibliographies, dictionaries, and encyclopedias; professional training in preservation administration and in the care of collections; preventive conservation of humanities collections; the work of regional preservation services; general preservation assessments and special consultations for smaller cultural institutions; research and development projects to develop technical standards, best practices, and tools for preserving and creating access to humanities collections; projects to document endangered languages; and a national program for the digitization of historic U.S. newspapers. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private

nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for commercial and nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

**Award Procedure:**

Applications are evaluated by scholars in the humanities, museum curators, professionals with expert knowledge of preservation and access methodologies and administrators of libraries, archives, and museums. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Sep 15, 2010: Documenting Endangered Languages.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 7 months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are required semiannually or annually. Cash reports are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. Cash reports are not applicable. Progress reports are required semiannually or annually. Cash reports are required quarterly. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Salaries) FY 08 \$21,540,971; FY 09 est \$16,000,000; FY 10 est \$16,250,000 - FY'08 obligations Include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 08 from \$5,000 to \$600,000; average \$302,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 532 applications were received and 187 awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants.html> or upon request from National Endowment for the Humanities, Washington, DC 20506. It is also available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Preservation and Access Division of Preservation and Access, National Endowment for the Humanities, Room 411, Washington, DC 20506. , Washington, District of Columbia 20506 Email: PRESERVATION@NEH.GOV Phone: 202-606-8639

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the significance and potential impact of the project, either for creating, preserving, and establishing intellectual access to important humanities resources or for improving the infrastructure for preservation and access activities in the country's academic and cultural institutions; the soundness of the project's methodology, including its adherence to accepted professional and technical standards or practice; the viability, efficiency, and productivity of the project's plan of work; the professional training and experience of the project's staff in relation to the activity for which support is requested; and the appropriateness of the project's budget. Preference is given to projects that provide free, online access to digital materials produced with grant funds.

**45.160 PROMOTION OF THE HUMANITIES\_FELLOWSHIPS AND STIPENDS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

Fellowships and Summer Stipends provide support for scholars to undertake full-time independent research and writing in the humanities. Grants are available for 6-to-12-month fellowships and 2 months of summer study. Faculty Research Awards strengthen research and teaching at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment for periods of 6 to 12 months. Teaching Development Fellowships strengthen teaching at undergraduate institutions through research fellowships of 3 to 5

months.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowships and Summer Stipends: Projects may contribute to scholarly knowledge or to the general public's understanding of the humanities. The proposed study or research may be completed during the grant period or it may be part of a longer project. Faculty Research Awards assist full-time faculty members as they engage in advanced research in the humanities. These awards are restricted to Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment, as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021, and to faculty members at these institutions. Teaching Development Fellowships support research designed to strengthen undergraduate teaching. Applications for planning institutional curricula, for educational research projects, for the creation or performance of works of art, and that lack humanities content or methodology are not eligible.

**Applicant Eligibility:**

All applicants must be U.S. citizens, native residents of U.S. jurisdictions, foreign nationals who have been legal residents in the U.S. or its jurisdictions for at least the three years immediately preceding the application deadline. Fellowships: Faculty members at colleges and universities, individuals affiliated with other institutions, independent scholars, and others who work in the humanities are eligible. Applicants need not have advanced degrees, but they must have completed their formal academic training. Active candidates for degrees and persons seeking support for work leading to degrees are not eligible. Summer Stipends: University and college faculty members must be nominated by their academic institutions. Faculty members with terminating appointments, independent scholars, and nonfaculty college and university staff members are exempt from nomination and may apply directly. Faculty Research Awards are offered to full-time faculty members at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment, as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021. Teaching Development Fellowships: Full-time faculty members at colleges and universities.

**Beneficiary Eligibility:**

Fellowships and Stipends: College and university faculty and staff, individuals affiliated with institutions other than colleges and universities, and scholars and writers working independently. Faculty Research Awards: faculty members at Historically Black or Tribal Colleges and Universities or Institutions with High Hispanic Enrollment. Teaching Development Fellowships: College and university faculty.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. Fellowships, Summer Stipends, and Teaching Development Fellowships application materials are available online at <http://www.neh.gov> and from the headquarters office. For Faculty Research Awards: NEH application instructions are available online (<http://www.neh.gov>) or upon request to the Research division.

**Award Procedure:**

Applications are reviewed by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

May 01, 2010: Faculty Research Awards. Fellowships: Annual receipt deadline of May 1, for projects beginning after January 1 of the following year. Summer

Stipends: annual receipt deadline of October 1, for projects beginning after May 1 of the following year. Faculty Research Awards: Annual receipt deadline of May 1 for projects beginning after January 1 of the following year. Teaching Development Fellowships: Annual receipt deadline of October 1 for projects beginning as early as the following June 1.

**Range of Approval/Disapproval Time:**

> 180 Days. Five to seven months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fellowships are held from 6 to 12 months, with payment in quarterly installments. Summer Stipends are held for 2 consecutive months, with stipends disbursed in one payment. Faculty Research Awards may support activities over 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. A final report is required within 90 days after the end of the tenure period describing the results of the work done during the period of the award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants (Fellowships)) FY 08 \$5,544,995; FY 09 est \$4,653,000; FY 10 est \$6,277,500 - FY 2008 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Fellowships, Faculty Research Awards, and Teaching Development Fellowships: An award of \$4,200 per month for a grant period of from 3 to 12 months. Summer Stipends: All awards are \$6,000 for a grant period of 8 weeks.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 2,159 applications were received and 159 awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Fellowship, Faculty Research Award, and Summer Stipends guidelines are available online at <http://www.neh.gov/grants/grantsbydivision.html#research>. For assistance, contact the National Endowment for the Humanities, 1100 Pennsylvania Ave., NW., Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Research Programs 1100 Pennsylvania Avenue, Washington, District of Columbia 20506 Email: [fellowships@neh.gov](mailto:fellowships@neh.gov) Phone: 202-606-8200

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

#### 45.161 Promotion of the Humanities\_Research

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Fellowships: A History of Music in America during World War II; (2) Summer Stipends: literary competition, philosophy, and politics in the time of Plato and Isocrates; (3) Faculty Research Awards: a history of Sufism; (4) Teaching Development Fellowships: research leading to a revised college course on Spains literary and artistic history. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

##### **CRITERIA FOR SELECTING PROPOSALS:**

For Fellowships, Summer Stipends, and Faculty Research Awards: The intellectual significance of the proposed project, including its value to scholars and general audiences in the humanities; the quality or promise of quality of the applicant's work as an interpreter of the humanities; the quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression; the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans; and, the likelihood that the applicant will complete the project. For Teaching Development Fellowships: The project's intellectual significance, including its value for undergraduate teaching; the quality of the applicant's intellectual work as preparation for undertaking the proposed research; the quality of the conception, definition, organization, and description of the research project and the applicant's clarity of expression; and the feasibility of the proposed plan of work and the likelihood that the applicant will complete the project.

#### **45.161 PROMOTION OF THE HUMANITIES\_RESEARCH**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

To strengthen the intellectual foundations of the humanities through the collaboration of scholars and the support of post-doctoral fellowship programs at independent research institutions and at digital humanities centers.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Collaborative Research and Scholarly Editions and Translations grants support up to three years of research. Awards support direct costs, including salaries, travel, supplies, and appropriate research assistance and consultation. Grants also support fellowships offered through independent research centers and institutions and through digital humanities centers.

##### **Applicant Eligibility:**

For Collaborative Research and Scholarly Editions, institutions of higher education, nonprofit professional associations, scholarly societies, and other nonprofit organizations in the United States may apply, as may eligible individuals (U.S. citizens and foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application). For support of fellowship programs, U.S. independent research centers, scholarly societies, and international research organizations with existing fellowship programs may apply. For digital humanities fellowships, digital humanities centers affiliated with either American institutions of higher education or U.S. nonprofit organizations or institutions with IRS 501 (C) (3) tax exempt status may apply. Individual scholar eligibility is the same as described above.

##### **Beneficiary Eligibility:**

U.S. citizens and residents, State and local governments, sponsored organizations, public and private nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, U.S. territories; non-governmental-general; minority organizations, other specialized groups; and quasi-public nonprofit institutions benefit.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program staff for advice on preparing the proposal, and for review of draft proposals. These draft reviews are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted no later than six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by e-mail attachment to [research@neh.gov](mailto:research@neh.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via [Grants.gov](http://www.neh.gov/grants/grants.html). NEH application instructions are available online at <http://www.neh.gov/grants/grants.html>.

##### **Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals outside the agency. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

##### **Deadlines:**

Aug 20, 2010: Fellowship Programs at Independent Research Institutions.

##### **Range of Approval/Disapproval Time:**

> 180 Days. For Collaborative Research, Scholarly Editions and Translations, and fellowship programs offered through independent research centers and international research organizations, approximately seven months. For Fellowships at Digital Humanities Centers, approximately six months.

##### **Appeals:**

None, but applicant may reapply with a revised proposal.

##### **Renewals:**

Renewal applications are eligible; they are evaluated in competition with new applications.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing consists of the cash contributions made to the project by the applicant, third parties and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing includes third party gift money that will be raised to release federal matching funds. Cost sharing is not required. NEH, however, is rarely able to support the full costs of projects approved for funding. Consult the individual program guidelines for more information.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Up to 36 months for Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions. Funds are released as required and must be expended during the grant period. For Fellowships at Digital Humanities Centers, six to twelve months. See the following for information on how assistance is awarded/released: Funds are released as required and must be expended during the grant period. For Fellowships at Digital Humanities Centers, six to twelve months.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. For Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions: Progress reports are required at least annually, no more frequently than quarterly. Cash reports are required quarterly. Final progress and expenditure reports are due within 90 days after completion or termination of project support by NEH. For Fellowships at Digital Humanities Centers: Cash reports are required quarterly. A final



performance report from the center that incorporates a report by the visiting fellow is required. Final performance and financial status reports are due within 90 days after the completion date of the award period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$8,914,586; FY 09 est \$9,847,000; FY 10 est \$9,722,500 - FY 08 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 09 from \$50,000 to \$515,000; \$215,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 316 applications were received; 52 awards were made. Fiscal Year 2009: In FY 09, 213 applications were received; 47 awards were made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Division of Research Programs Division of Research Programs  
Room 318 National Endowment for the Humanities  
, Washington, District of Columbia 20506 Phone: 202-606-8200

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access;  
45.160 Promotion of the Humanities\_Fellowships and Stipends

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A grant was awarded to support the preparation for publication of a translation of the earliest known Buddhist manuscripts, dating from the first to the third centuries A.D.. (2) A grant was made to support a conference on the history of countries and cultures connected by the Atlantic Ocean. (3) A grant was to support the preparation for publication of three volumes of Native American Assiniboine oral history narratives (4) A grant was made to support archaeological investigation, digital reconstruction, and preparation for publication of finds at the Roman villa of Oplontis, located near Pompeii in Italy. (5) A grant was made to a university to support the preparation of an online edition of Walt Whitmans Civil War writings . (6) A grant was made to a university to support the preparation for publication of an edition of the letters of Samuel Beckett, the Nobel Prize-winning dramatist . (7) A grant was made to support research opportunities at an independent research center in Chicago, Illinois. (8) A grant was made to support research opportunities at an American overseas research center with facilities in Ankara

and Istanbul, Turkey. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Collaborative Research, the principal criteria considered by evaluators are: (1) Intellectual significance of the project, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes in the humanities; and the significance of the material on which the project is based. (2) Pertinence of the research questions being posed, the appropriateness of research methods or conference design; the appropriateness of the technology employed in the project; the feasibility of the work plan; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site. (3) Qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) Soundness of the dissemination and access plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, digital format, or a combination of media; and in the case of archaeology projects, the likelihood that the project will produce an interpretive study. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) Potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results. For Scholarly Editions and Translations, the principal criteria considered by evaluators are: (1) The intellectual significance of the proposed work, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based. (2) The appropriateness of the research methods, critical apparatus, and editorial policies; in the case of translation projects, the translation approaches; the appropriateness of selection criteria; the thoroughness and feasibility of the work plan; the quality of the samples, e.g., their content, accuracy; readability, and the clarity and helpfulness of annotation. (3) The qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal; the strength of the case for producing print volumes, electronic format, or a combination of media; and the appropriateness of the technology to be used. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) The potential for success, including the likelihood that the proposed project will be successfully completed within the projected time frame; when appropriate, the edition or translations previous record of success; and the reasonableness of the budget in relation to its likely results. For Fellowship Programs at Independent Research Institutions, the principal criteria considered by evaluators are: (1) How important to the advancement of the humanities is the fellowship program for which funding is requested? (2) Are fellows likely to pursue their research more successfully because of the research collections, facilities, services, and other resources provided by the applicant institution? In the case of centers with residential programs, does the application provide evidence that the fellows' projects benefit significantly from the location of the center and the intellectual exchange among the fellows? (3) How strong is the institution's previous record in offering fellowships? Have former fellows been productive? Have the scholarly contributions resulting from their FPIRI fellowships been of value to scholars and general audiences in the humanities? (4) Is the fellowship selection process, including the choosing of selection committee members, expert and objective? (5) Does the application make a persuasive case for the amount of NEH support requested for fellowships? (6) How effective is the publicity for the competition for fellowships? (7) How effective is the administration of the fellowship program? Is the institution's research misconduct policy adequate? (8) Are there ways in which the fellowship program could be improved? For Fellowships at Digital Humanities Centers, the principal criteria considered by evaluators are: (1) The intellectual significance of the projects humanities research and technological components, including their value to scholars and general audiences in the humanities. (2) The quality or promise of quality of the visiting fellow's work in the digital humanities. (3) The appropriateness of the proposed collaboration between fellow and center, including the quality of resources provided by the center, the anticipated intellectual contribution of the

fellows to the center, and the potential benefit to the fellow. (4) The feasibility of the proposed work plan, including, where appropriate, the sustainability of the project beyond the grant period. (5) The accessibility and interoperability of the final product. All other considerations being equal, preference will be given to projects that provide free online access to digital materials produced with grant funds.

#### **45.162 PROMOTION OF THE HUMANITIES TEACHING AND LEARNING RESOURCES AND CURRICULUM DEVELOPMENT**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities are designed to strengthen humanities teaching and learning at these institutions. Enduring Question (Pilot) Course Grants support the development of new humanities courses at the undergraduate level that examine fundamental questions of the humanities.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities provide funds for faculty study programs, institutional planning, and the acquisition of library and advanced technology resources that can assist institutions in enhancing humanities opportunities for their students and their communities, typically through strengthening the capacity of faculty to engage student or community beneficiaries in substantive study of the humanities. Humanities Initiatives awards are restricted to Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities (as designated by appropriate government agencies) and to faculty members at these institutions. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported. Enduring Questions (Pilot) Course Grants encourage faculty and students at the undergraduate level to grapple with the most fundamental concerns of the humanities, and to join together in deep, sustained programs of reading in order to encounter influential thinkers over the centuries and into the present day; these questions include What is the good life? What is dignity? What is good government? What are the limits of scientific understanding? What are the origins of the modern world?.

##### **Applicant Eligibility:**

Humanities Initiatives at Presidentially Designated Colleges and Universities offer Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, 13021.

##### **Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions will benefit.

##### **Credentials/Documentation:**

Costs will be determined in accordance OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines are available online (<http://www.neh.gov>) or upon request to the headquarters office.

##### **Award Procedure:**

Applications are reviewed by panels of scholars, teachers, and educational administrators at all academic levels and by other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice of the National Council on the Humanities.

##### **Deadlines:**

Jan 20, 2010: Humanities Initiatives.

##### **Range of Approval/Disapproval Time:**

> 180 Days. Approximately 4-6 months.

##### **Appeals:**

None, but applicant may reapply with a revised proposal.

##### **Renewals:**

Applications for renewal must compete against new applications. Applications for renewal must demonstrate a record of success and the potential to serve new audiences.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. Source: Program Guidelines. Contact: See Headquarters Office below. This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Funds must be expended during the grant period. Funds are released as required. For Humanities Initiatives, grants are available for projects for a maximum of 3 years. For Enduring Questions, grants are available for eighteen to twenty-four months. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required at least annually. Cash reports on project expenditures are required quarterly. Final progress and expenditure reports are due within 90 days after completion or termination of project support by NEH. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

##### **Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

##### **Account Identification:**

59-0200-0-1-503.

##### **Obligations:**

(Project Grants) FY 08 \$1,572,593; FY 09 est \$1,500,000; FY 10 est \$1,500,000 - FY 08 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

##### **Range and Average of Financial Assistance:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities do not exceed \$100,000. Enduring Questions (Pilot) Course Grants do not exceed \$25,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 08, 52 Humanities Initiatives applications were received and 9 grants were made. For FY 09, 180 Enduring Questions (Pilot) Course Grant applications were received and 20 grants were made. Fiscal Year

2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. The publication entitled "National Endowment for the Humanities Grant Programs, 2000-2001" is available upon request from the National Endowment for the Humanities, Washington, DC 20506. It is also available online at <http://www.neh.gov>. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Division of Education Programs National Endowment for the Humanities, Room 302, Washington, District of Columbia 20506 Phone: 202-606-8463

#### **Website Address:**

<http://www.neh.gov>.

#### **RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.130 Promotion of the Humanities\_Challenge Grants; 45.149 Promotion of the Humanities\_Division of Preservation and Access; 45.160 Promotion of the Humanities\_Fellowships and Stipends; 45.161 Promotion of the Humanities\_Research; 45.163 Promotion of the Humanities\_Professional Development; 45.164 Promotion of the Humanities\_Public Programs

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) An Historically Black University received a month-long summer program of study of Homer, Dante, Marie de France, Christine de Pizan, and Shakespeare for six to eight faculty members from the institution and others nearby; (2) A Tribal College received an award to support a year-long series of workshops for its faculty that would explore seminal works in Native American literature, including Louise Erdrich's *Love Medicine*, N. Scott Momaday's *House Made of Dawn*, James Welch's *The Indian Lawyer*. (3) A College with a High Hispanic Enrollment received an award to conduct a year-long faculty development seminar series in the field of law and literature, including the study of such works as Sophocles' *Antigone*, Dickens' *Great Expectations*, Kafka's *The Trial*, and Shakespeare's *Measure for Measure*; (4) A professor of world literature proposed the development of a junior-level undergraduate *Enduring Questions* course at his institution dealing with issues of death, the afterlife, mourning, suicide, and the impact of biomedical advances on understanding death through works representing various religions, philosophical, literary, and biomedical perspectives. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are read and evaluated on whether the intellectual quality of the project is excellent; whether the project is well designed; and whether the project will have significant results. See the program guidelines for detailed criteria. For Humanities Initiatives at Presidentially Designated Colleges and Universities, projects will be selected for funding on the basis of the quality of planned activities and the potential of these activities to strengthen the humanities capacity of the institution; the ability of the institution to carry out the proposed plan; the qualifications of project leaders and consultants; and the cogency of the plan to evaluate the outcomes of the project.

#### **45.163 PROMOTION OF THE HUMANITIES\_PROFESSIONAL DEVELOPMENT**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq., Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

Seminars and Institutes promote better teaching and research in the humanities through faculty development. Landmarks of American History and Culture, part of the NEH We the People initiative, promote better pre-collegiate and community college teaching of American history and culture through intensive,

rigorous faculty and staff development workshops at historical sites, colonial settlements, battlefields, artists' and writers' homes--while enabling the participants to gain experience in conveying the importance of historical places and enhancing their teaching materials. The Picturing America School Collaboration Projects grant opportunity is designed to help teachers and librarians whose schools display images of great works of art included in Picturing America (and that help to tell America's story) to form connections with courses in the core curriculum.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grants support Summer Seminars and Institutes, Landmarks of American History and Culture Workshops, Picturing America School Collaboration Projects. Awards support direct costs, including salaries, participant stipends, selection costs, travel, and supplies. Projects should engage participants in deepening the knowledge of the subjects they teach and strengthen their capacity to engage students in substantive study of the humanities. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

#### **Applicant Eligibility:**

Distinguished scholar/teachers in the humanities may apply through a sponsoring institution to direct a seminar or institute for college teachers or school teachers. For Landmarks in American History and Culture, the following may apply: State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions. For Picturing America School Collaboration Project, the following may apply: Sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions.

#### **Beneficiary Eligibility:**

Primarily K-12 or college teachers, depending on the particular project--as well as their colleagues and students.

#### **Credentials/Documentation:**

For educational institutions, costs will be determined in accordance with OMB Circular No. A-21 and Circular No. A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via [Grants.gov](http://www.grants.gov). Proposal instructions are available on line (<http://www.neh.gov>) or from the headquarters office.

#### **Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

#### **Deadlines:**

Mar 16, 2010: To participate in a Landmarks of American History and Culture workshop held during the summer of the same year.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately four to five months; six weeks for participants in Seminars and Institutes, Landmarks of American History and Culture Workshops, and Picturing America School Collaboration Projects.

#### **Appeals:**

None, but director/applicant may request a critique of the proposal and reapply.

**Renewals:**

Applications for renewal must demonstrate a record of success and the potential to serve new audiences. These applications compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are due quarterly. A final narrative report and a final expenditures report are required within 90 days after completion or termination of the grant period. In addition, reports are required from the scholars participating in the seminar assessing the value of the seminar for their professional development. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$11,922,468; FY 09 est \$12,500,000; FY 10 est \$12,500,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 145 applications were received and 48 awards were made. Fiscal Year 2009: In FY 09, 221 applications were received and 82 awards are anticipated. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Education Programs Professional Development, Division of Education Programs, National Endowment for the Humanities, Washington, District of Columbia 20506 Phone: 202-606-8463

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Poetry as a Form of Life, Life as a Form of Poetry

(summer seminar for school teachers); (2) Narrative Theory: Rhetoric and Ethics in Fiction and Nonfiction (summer seminar for college teachers); (3) Houses of Mortals and Gods: Latin Literature in Context (summer institute for school teachers); (4) Bharata Darshan: The Past and the Present in the Study of India's History and Culture (summer institute for college teachers); (5) Two one-week school teacher workshops, held at Mount Vernon, for 100 school teachers, on George Washington and the genesis of the United States Constitution (Landmarks of American History and Culture); (6) Two one-week workshops for fifty community college faculty to focus on the region surrounding Concord, Massachusetts, as a center of Transcendentalism and social reform in the nineteenth century (Landmarks of American History and Culture); (7) A major metropolitan library received an award to conduct two-day Picturing America conferences on the theme "Art and the American Revolution" for two groups of forty K-6 educators each; the library's educational staff and visiting scholars will collaborate in using selections from Picturing America and poems, biographies, and other literature for young readers as a stimulus to discuss themes in American history and American life, as well as to develop art appreciation skills (Picturing America School Collaboration Projects). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In evaluating proposals, the following criteria apply: (1) Intellectual quality and significance; (2) Impact; (3) Feasibility. Applicants to Workshops, Seminars and Institutes selected to receive stipends are those who can derive the greatest benefit from participation in and who can make the greatest contribution to the program.

**45.164 PROMOTION OF THE HUMANITIES\_PUBLIC PROGRAMS  
FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To provide opportunities for the American public to explore human history and culture through humanities programs in museums, historical organizations, libraries, community centers, and other gathering places, as well as on public television and radio and/or other digital media.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to support planning, development, production, and implementation costs.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions may apply.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Application forms and guidelines are available online (<http://www.neh.gov/grants/grants.html>) and upon request from the headquarters office.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Jan 13, 2010: for planning and implementation for Interpreting America's Historic Places, America's Historical and Cultural Organizations, and for development and production for America's Media Makers.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 4 to 6 months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Renewals may be granted and are processed as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but usually 6 months to 3 years. Funds must be obligated during the grant period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required at least annually but no more frequently than quarterly. Final progress reports are due within 90 days after completion or termination of the project. Expenditure reports are due within 90 days after completion or termination of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$15,454,136; FY 09 est \$14,500,000; FY 10 est \$14,750,000 - FY 08 obligations includes additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 08 from \$1,000 to \$1,000,000; \$96,472.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 370 applications received and 104 awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of Public Programs Division of Public Programs, National Endowment for the Humanities, Room 426, Washington, District of Columbia 20506 Phone: 202-606-8269

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A nonprofit organization, in cooperation with a television production company, received a grant to develop a series of public humanities programs for presentation in 30 libraries coinciding with the public television broadcast of an NEH-funded documentary film about the Federal Writers' Project of the Works Progress Administration during the 1930s. (2) A public television station received a grant for two one-hour programs of a five-part television series and a website that explores key events in American and Native American history. (3) A museum received a grant for a major traveling exhibition that examines the emergence of abstract art in postwar America and the political and social context in which it emerged. (4) a non-profit historical organization received a grant for a panel exhibition on Abraham Lincoln and his times to travel to 40 libraries and be accessible online along with an exhibition brochure, a multimedia resource kit and video, and programming for the public at both the local and national level.

Criteria for Selecting Proposals (180):

A successful application will demonstrate national significance or impact, outreach to groups of Americans not often engaged in public humanities projects, collaboration among cultural institutions and organizations as well as other similar or different groups, and use of a broad spectrum of the most effective formats, technologies, and venues for lifelong learning in the humanities. Although every proposal will not be expected to meet all of the criteria outlined above, the Division will give priority to applications that further these objectives. As part of the We the People initiative, the division currently has two special initiatives: Family and Youth Programs in American History and America's Historic Places. See program guidelines for details. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A successful application will demonstrate national significance or impact, outreach to groups of Americans not often engaged in public humanities projects, collaboration among cultural institutions and organizations as well as other similar or different groups, and use of a broad spectrum of the most effective formats, technologies, and venues for lifelong learning in the humanities. Although every proposal will not be expected to meet all of the criteria outlined above, the Division will give priority to applications that further these objectives. As part of the We the People initiative, the division currently has two special initiatives: Family and Youth Programs in American History and America's Historic Places. See program guidelines for details.

**45.168 PROMOTION OF THE HUMANITIES\_WE THE PEOPLE**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

For We the People Bookshelf: Libraries launch community programs based on readings on important themes such as courage and freedom. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For We the People Bookshelf: Libraries launch community programs based on readings on important themes such as courage and freedom. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Applicant Eligibility:**

As part of its We the People initiative, NEH is collaborating with the American Library Association to distribute the We the People Bookshelf, a program to encourage young people to read and understand great literature while exploring themes in American history. Applications are accepted from all public libraries, including systems and branches, and school libraries (K-12), including public, private, parochial, or charter schools, in the United States and its territories. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively. NEH is collaborating with the American Library Association to present a new program called We the People Picturing America. This program introduces young people to some of America's art treasures and is designed to promote the teaching, study, and understanding of American history and culture in K-12 schools.

**Beneficiary Eligibility:**

For We the People Picturing America, applications will be accepted from all K-12 public, private, parochial, and charter schools and home school consortia in the United States and its territories.. School and public libraries are invited to apply to receive the We the People Bookshelf, which consists of fifteen thematically related books and supplemental materials to help with publicity and the organization of public programs. For Landmarks of American History: Workshops for School Teachers Workshops and Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. We the People Bookshelf printed application materials are available by calling (202)606-8446, sending an e-mail to [info@neh.gov](mailto:info@neh.gov), or writing to NEH, Office of Public Affairs, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, program guidelines are available through the NEH Division of Education Programs; and for We the

People Challenge Grants in United States History, Institutions and Culture, the NEH Office of Challenge Grants.

**Award Procedure:**

We The People Bookshelf: Each application is assessed by staff at NEH in collaboration with the staff of the American Library Association. Evaluators may take geographical and demographic distribution into consideration when selecting participating libraries. The Chairman of the National Endowment for the Humanities makes the final decision.

**Deadlines:**

Sep 08, 2009 to Jan 29, 2010 We the People Bookshelf applications will be accepted September 8, 2009 through January 29, 2010. For Landmarks of American History and Culture, Workshops for School Teachers, and Workshops for Community College Faculty, see NEH Division of Education Program for deadlines; for We the People Challenge Grants in United States History, Institutions and Culture, see NEH Challenge Grants deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately four - seven months.

**Appeals:**

We The People Bookshelf: None. For other We the People grants, applicant may request written reasons for rejection and reapply with revised proposal to a subsequent application deadline.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Full-time or part-time activities for periods ranging from eighteen to thirty-six months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

We The People Bookshelf: Not applicable. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$6,467,845; FY 09 est not reported.; FY 10 est not reported. - FY 08 \$6,467,845 for Picturing America. FY 09 and FY 10 estimated funding not separately identifiable; funds are awarded through other NEH program divisions.

**Range and Average of Financial Assistance:**

We the People Bookshelf winners receive fifteen books and promotional materials, including bookplates, bookmarks, and posters. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For We The People Bookshelf, contact the Division of Public Programs. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, contact the Division of Education Programs and the Office of Challenge Grants respectively. Fiscal Year 2009: No Current Data Available Fiscal Year 2010:

No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. We the People Bookshelf: application materials are available by calling (202)606-8446, sending an E-mail to [info@neh.gov](mailto:info@neh.gov), or writing to NEH, Office of Public Affairs, 1100 Pennsylvania Avenue, NW., Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

We the People National Endowment for the Humanities, Room 402, Washington, District of Columbia 20506 Phone: 202-606-8400

#### **Website Address:**

<http://www.neh.gov>.

#### **RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.130 Promotion of the Humanities\_Challenge Grants; 45.149 Promotion of the Humanities\_Division of Preservation and Access; 45.162 Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development; 45.164 Promotion of the Humanities\_Public Programs

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

We The People Bookshelf applications are evaluated according to the following criteria: Are the proposed programs well conceived, and do they have broad community appeal? Do the proposed programs explore the theme? Will the proposed programs engage young readers? Does the library provide a long-term plan for promoting ongoing interest in the Bookshelf? For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty and for We the People Challenge Grants in United States History, Institutions and Culture, consult the guidelines of the NEH Division of Education Programs and Office of Challenge Grants respectively.

#### **45.169 PROMOTION OF THE HUMANITIES\_OFFICE OF DIGITAL HUMANITIES**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

To support innovative humanities projects that utilize or study the impact of digital technology for research, preservation, access, education, and public programming.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants support large-scale training institutes or seminars on advanced topics in the digital humanities that explore new technology-driven methodologies; innovative start-up projects that are in the first phases of planning, brainstorming, and creating prototypes that explore the use or impact of digital technology for the humanities; projects that explore and enrich humanities materials using digital technology, thereby enhancing teaching, research, and public access.. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per

diem.

##### **Applicant Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

##### **Beneficiary Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by E-mail attachment ([odh@neh.gov](mailto:odh@neh.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for this program must be submitted via Grants.Gov. Before using Grants.gov for the first time, each organization must register with the Web site to create an institutional profile.

##### **Award Procedure:**

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. The Endowment's staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will be notified by mail within five months after the submission of the application.

##### **Appeals:**

None, but applicant may reapply.

##### **Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Typically 6 to 24 months. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Program reports are not applicable. A Federal Cash Transactions Report will be due within 30 days of the end of each calendar quarter. A final Financial Status Report will be due within 90 days after the completion date of the award period.

Final performance reports will be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$2,009,541; FY 09 est \$4,000,000; FY 10 est \$4,000,000

**Range and Average of Financial Assistance:**

FY 09 from \$5000 to \$250000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, 287 applications were received and 41 awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Digital Humanities Office of Public Information, National Endowment for the Humanities, Room 402, Washington, District of Columbia 20506 Phone: 202-606-8400

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities Division of Preservation and Access

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) An award to a university to hold a series of planning meetings and site visits aimed at developing archival tools and best practices for preserving born-digital documents produced by contemporary authors. (2) An award to a university to hold training institutes for faculty on the topic of advanced text encoding for humanities collections. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the (1) intellectual significance of the long-term project, including its potential to enhance research, teaching, and learning in the humanities; the likelihood that it will stimulate new research or approaches to the humanities or use new digital technologies to communicate humanities scholarship to broad audiences; its relationship to larger themes in the humanities; and the significance of the material on which the project is based; (2) the appropriateness of the proposed methods; the appropriateness of the technology employed in the project; the feasibility of the work plan; (3) qualifications, expertise, and levels of commitment of the project director and key project staff or contributors; (4) promise of quality, usefulness to the targeted audience, and/or impact on scholarship of the long-term project; soundness of the dissemination plans,

including benefit to the audience identified in the proposal and the strength of the case for employing print, microform, digital format, or a combination of media; (5) quality of the assessment and evaluation of the activities, and the potential contribution of this evaluation to the realization of the long-term goals; and (6) potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

**NATIONAL LABOR RELATIONS BOARD**

**46.001 LABOR-MANAGEMENT RELATIONS**

(NLRB)

**FEDERAL AGENCY:**

National Labor Relations Board

**AUTHORIZATION:**

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29 U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95, 29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183; Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375, 29 U.S.C. 153(c).

**OBJECTIVES:**

To avoid or substantially minimize industrial strife affecting interstate commerce by providing orderly and peaceful procedures to protect the rights of employers, employees, labor organizations, and the general public, and to prevent unlawful interference with these rights.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

(1) Determines and implements, through secret-ballot elections, the free democratic choice by employees as to whether they wish to be represented by a union in dealing with their employer and, if so, by which union; and (2) prevents and remedies unlawful acts, called unfair labor practices, by either employers or unions or both. NLRB may seek injunctive relief where a labor dispute results in violence, disruption of employment, or disruption of business relations, potentially in violation of the Labor Management Relations Act. The NLRB does not initiate actions or investigations on its own volition. NLRB processes start only when a covered individual, organization, or employer files an unfair labor practice charge or a petition for an election.

**Applicant Eligibility:**

Any covered employer, employee, labor organization, or other person who believes a violation of the Labor Management Relations Act has occurred, or who desires the Board to determine whether a labor organization is to be the choice of employees for purposes of representation, may receive information or assistance. The Act limits the term "employee" to exclude: agricultural laborers; domestic workers; individuals employed by spouse or parent; independent contractors; supervisors (as defined by the Act) and individuals employed by an employer subject to the Railway Labor Act or employed by any person who is not an employer as defined by the Act. The United States Government, State governments, political subdivisions of U.S. and State governments, government corporations (except the U.S. Postal Service), Federal Reserve Banks and employers subject to the Railway Labor Act are ineligible employers.

**Beneficiary Eligibility:**

The covered employer, employee, or the labor organization will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This



program is excluded from coverage under OMB Circular No. A-110. Charges of unfair labor practices and petitions for determination of representatives are the two principal forms for the purpose of initiating agency action. Such charges and petitions shall be in writing and signed, and shall be sworn to and filed with the Regional Director for the region in which the unfair labor practice allegedly has occurred or in which the proposed or actual bargaining unit exists.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Charges: If the Regional Director refuses to issue an unfair labor practice complaint, an appeal may be filed with the General Counsel in Washington, DC, within 10 days. Petitions: If the Regional Director dismisses the representation petition, an appeal may be filed with the Board in Washington, DC, within 10 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The NLRB does not award monetary assistance. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

63-0100-0-1-505.

**Obligations:**

(Salaries) FY 08 \$252; FY 09 est \$263; FY 10 est \$283

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Basic Guide to the National Labor Relations Act" (s/n 031-000-00352-1) \$4.75 (available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402). "Your Government Conducts an Election for You on the Job," also in Spanish, is available from NLRB Headquarters Office. These publications are available on the NLRB Web Site.

**Regional or Local Office:**

See Regional Agency Offices. Contact should be made directly with the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kym Heinzmann 1099 14th Street NW, Washington, District of Columbia 20570 Email: kym.heinzmann@nlrb.gov Phone: (202) 273-3887 Fax: (202) 273-2928

**Website Address:**

<http://www.nlrb.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**NATIONAL SCIENCE FOUNDATION**

**47.082 TRANS-NSF RECOVERY ACT RESEARCH SUPPORT**

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act) in (040) Authorization Section.

**OBJECTIVES:**

To provide support for projects/initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). These projects will provide economic stimulus to the nation while furthering the NSF mission to promote the progress of science; [and] to advance the national health, prosperity, and welfare by supporting research and education in all fields of science and engineering. The projects/initiatives include support of research grants in the following disciplines; biological sciences; computer and information science and engineering; engineering; geosciences; math and physical sciences; social, behavioral and economic sciences; education and human resources. Basic research in multidisciplinary areas related to these disciplines is especially encouraged. In addition, the program supports basic research in the Arctic and Antarctic and coordinates and supports the acquisition, development and provision of state-of-the-art cyberinfrastructure resources. Support is also provided for state-of-the-art user facilities in the above disciplines; undergraduate student research; faculty enhancement; curriculum development; instrumentation; laboratory improvement; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable materials and supplies, travel, participant support; publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

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**Beneficiary Eligibility:**

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**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal describing the research or study to be undertaken. Guidelines are contained in the NSF publication, Grant Proposal Guide, or the NSF Grants.gov Application

Guide. Resulting awards are subject to the applicable federal cost principles as referenced, the relevant award conditions, and the provisions specified in the applicable funding opportunity.

**Award Procedure:**

All applications submitted to NSF are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the application. Applicants are invited to suggest names of persons they believe are especially well qualified to review the application and/or persons they would prefer not review the application. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Program Officers may obtain comments from assembled review panels or from site visits before recommending final action on applications. Senior NSF staff further review recommendations for awards. A comprehensive description of the Foundations merit review process is available on the NSF website at: <http://www.nsf.gov/bfa/dias/policy/meritreview/>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Application deadlines are specified in the ARRA Funding Opportunity.

**Appeals:**

From 90 to 120 days.

**Renewals:**

A renewal application is a request for additional funding for a support period subsequent to that provided by a standard or continuing grant. A renewal application competes with all other pending applications and must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. In preparing a renewal application, applicants should assume that reviewers will not have access to previously submitted versions of the application.

Principal Investigators (PIs) are encouraged to discuss renewal applications with the program prior to submission of a renewal application. Unless precluded by individual program requirements, renewal applications may be submitted electronically via the NSF FastLane System or Grants.gov.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Cost sharing requirements will be governed by the provisions of the applicable funding opportunity.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ARRA funds are available for FY2009 & FY2010 only. Award length may vary. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$3,002,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$1,000 to \$60,000; \$158,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

48 CFR Chapter VI; 48 CFR Chapter 25; NSF Grant Proposal Guide, (<http://www.nsf.gov/cgi-bin/getpub?nsf0423>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd  
Stafford II, Room 655, Arlington, Virginia 22230 Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov)  
Phone: 703-292-7028 Fax: 703-292-9007

**Website Address:**

<http://www.nsf.gov/>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research ; 47.082 Trans-NSF Recovery Act Research Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All NSF applications are evaluated through use of two National Science Board approved merit review criteria: intellectual merit and the broad impacts of the proposed activity. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

**RAILROAD RETIREMENT BOARD**

**57.001 SOCIAL INSURANCE FOR RAILROAD WORKERS**

**FEDERAL AGENCY:**

Railroad Retirement Board

**AUTHORIZATION:**

Railroad Retirement Act of 1974, Public Law 93-445, 88 Stat. 1305, 45 U.S.C 231; Railroad Unemployment Insurance Act, Public Law 75-722, 52 Stat. 1094, 45 U.S.C 351; Social Security Act of 1935, Public Law 74-271, 49 Stat. 620, 42 U.S.C 7; American Recovery and Reinvestment Act of 2009, Title II, Part A, Section 2006, Public Law 111-005, 45 U.S.C 352.

**OBJECTIVES:**

To pay rail social security level benefits (tier I), benefits based on rail service alone (tier II), vested dual benefits, supplemental annuities, annuities based on total or occupational disability, and sickness and unemployment benefits to railroad workers and, in some cases, their families to assist with expenses of daily living.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Under the provisions of the Railroad Retirement Act and the Railroad Unemployment Insurance Act, benefits are provided for: (1) workers who retire because of age or disability, including supplemental annuities for career railroad employees; (2) eligible spouses and divorced spouses of retired employees; (3) surviving widows, widowers, divorced spouses, children, and dependent parents of deceased employees; (4) unemployed workers; and (5) workers who are sick or injured. In addition, the Railroad Retirement Board participates in the administration of the Medicare program, which covers railroad retirement beneficiaries on the same basis as other eligible persons. The American Recovery and Reinvestment Act also authorized extended unemployment benefits for certain individuals through December 31, 2009.

**Applicant Eligibility:**

Under the Railroad Retirement Act, for employee, spouse and survivor benefits the employee must have had 10 or more years of railroad service or, for annuities beginning January 2002 or later, 5 years of railroad service rendered after 1995. For survivors to be eligible for benefits, the employee must also have been insured at death. Under the Railroad Unemployment Insurance Act, an employee must have earned at least \$2,875.00 in railroad wages in calendar year 2005, \$2,987.50 in calendar year 2006, and \$3,075.00 in calendar year 2007 (counting no more than \$1150 in any month in calendar year 2005, \$1,195 in calendar year 2006 and \$1,230 in calendar year 2007) and, if a new employee, must have worked for a railroad at least 5 months in a calendar (base) year to be a qualified employee in the applicable benefit year.

**Beneficiary Eligibility:**

Individuals, families, pension recipients.

**Credentials/Documentation:**

Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability and sickness benefits. Registration is required in order to receive unemployment benefits. Other proofs, such as military service, must also be submitted as required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for retirement, disability, survivor, unemployment or sickness benefits should be made to any office of the Railroad Retirement Board. Individuals can call (1-877) 772-5772 for the location of the nearest office. Application for unemployment benefits can also be made on-line see [www.rrb.gov](http://www.rrb.gov).

**Award Procedure:**

The Office of Programs makes awards under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending upon complexity of claim.

**Appeals:**

From 30 to 60 days. Initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Benefits are paid on a one-time or recurring basis as long as eligibility is maintained. The death of the recipient generally terminates payment of benefits. See the following for information on how assistance is awarded/released: Section 093 (ante) provides information on the award process, with payments released on a monthly, periodic or lump sum basis.

**Reports:**

Any change in address or eligibility requirements (such as the death of a recipient, work status, excess earnings, marital/family status, medical condition or school attendance) should be reported to the Railroad Retirement Board when it occurs. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

60-0114-0-1-603 - Recovery Act RUIA; 60-8010-0-7-601 - Social Security Equivalent Benefit Account; 60-8051-0-7-603 - Railroad Unemployment Insurance Account; 60-8011-0-7-601 - Railroad Retirement Account; 60-0111-0-1-601 - Dual Benefits Payments Account.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$10,139,000,000; FY 09 est \$10,711,000,000; FY 10 est \$10,915,000,000 - \$13 million in 2009 and \$7 million in 2010 are attributable to RUIA portion of the Recovery Act.

**Range and Average of Financial Assistance:**

(1) Employee age annuities-monthly maximum \$3,940, average \$1,610; (2) employee disability-monthly maximum \$3,899, average \$1,774; (3) employee supplemental annuities-monthly maximum \$70, average \$42; (4) spouse benefits-monthly maximum \$1,882, average \$643; (5) widows and widowers monthly maximum \$3,828, average \$1,215; (6) widowed mothers and fathers monthly maximum \$3,357, average \$1,529; (7) children-monthly maximum \$2,209, average \$879; (8) unemployment and sickness-weekly maximum for benefit year 2009 to 2010 \$320, expected average \$320.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under the Railroad Retirement Act, 598,000 individuals received benefits, with another 28,000 paid under the Railroad Unemployment Insurance Act. Fiscal Year 2009: It is estimated that 591,000 individuals will receive retirement and survivor benefits, while approximately 34,000 should receive sickness or unemployment benefits. Fiscal Year 2010: About 585,000 individuals should receive retirement and survivor benefits and about 32,000 should receive unemployment or sickness benefits.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Benefits paid under the Railroad Retirement Act and the Railroad Unemployment Insurance Act are covered in Chapter 20 of the Code of Federal Regulations, Parts 200 through 350. Information on benefits is also available in press releases and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on extended unemployment benefits is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call (1-877) 772-5772.

**Headquarters Office:**

Railroad Retirement Board 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777 Fax: (312) 751-7154

**Website Address:**

<http://www.rrb.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 57.005 Economic Recovery Payments; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 96.001 Social Security\_Disability Insurance; 96.002 Social Security\_Retirement Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**57.005 ECONOMIC RECOVERY PAYMENTS**

**FEDERAL AGENCY:**

Railroad Retirement Board

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Railroad Retirement Act of 1974, as amended, Public Law 93-445, 45 U.S.C. 231 et seq.

**OBJECTIVES:**

To make one-time payments to eligible beneficiaries of Railroad Retirement benefits, most of whom subsist on a fixed income, in order to assist with living expenses and contribute to the nations economic recovery.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

A one-time payment of \$250 will be paid to eligible recipients of benefits under the Railroad Retirement Act. There are no restrictions on the use of the payment. If an individual has a representative payee acting in a fiduciary capacity, that payee is required to use the payment for the benefit of that individual. The American Recovery and Reinvestment Act also authorized such payments for certain recipients of Social Security and Veterans benefits, but an individual may not receive more than one \$250 payment. The amount of the payment may be offset by the Department of the Treasury to collect delinquent child support and debts owed to State and Federal agencies.

**Applicant Eligibility:**

Specialized group (e.g. health professionals, students, veterans)-Income Security/Social Service/Welfare.

**Beneficiary Eligibility:**

Individual/Family,Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

In order to receive the one-time payment, an individual must have been entitled to the underlying Railroad Retirement benefit during November 2008, December 2008, or January 2009. Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary for the one-time payment. The Railroad Retirement Board will certify the individuals entitled to the one-time payment and provide the Department of the Treasury with the information needed for disbursement. Application for the underlying Railroad Retirement benefits can be made at any office of the Railroad Retirement Board. Individuals can call 1-877-772-5772 for the location of the nearest office.

**Award Procedure:**

The Department of the Treasury will make the payments to individuals certified as eligible by the Railroad Retirement Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The American Recovery and Reinvestment Act requires the Department of the Treasury to make the payments within 120 days of enactment, or by June 17, 2009.

**Appeals:**

Individuals who are eligible for a one-time payment but have not received it by June 8, 2009, should contact the Railroad Retirement Board at 1-877-772-5772. In terms of eligibility determinations for the underlying Railroad Retirement benefits, initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

60-0115-0-1-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$0; FY 09 est \$135,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Eligible Railroad Retirement beneficiaries will each receive a one-time payment of \$250.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In fiscal year 2009, nearly 540,000 Railroad Retirement beneficiaries will receive the one-time economic recovery payment. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Code of Federal Regulations, Parts 200 through 295, covers benefits paid under the Railroad Retirement Act. Information on Railroad Retirement benefits and the one-time payment is also available in press releases, similar documents and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on the one-time payment is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call 1-877-772-5772.

**Headquarters Office:**

Railroad Retirement Board 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777

**Website Address:**

<http://www.rrb.gov>

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## SMALL BUSINESS ADMINISTRATION

**59.006 8(A) BUSINESS DEVELOPMENT PROGRAM**

(Section 8(a) Program)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 100-656.

**OBJECTIVES:**

To foster business ownership by individuals who are both socially and economically disadvantaged; and to promote the competitive viability of such firms by providing business development assistance including, but not limited to, management and technical assistance, access to capital and other forms of financial assistance, business training and counseling, and access to sole source and limited competition Federal contract opportunities, to help the firms to achieve competitive viability.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

This program utilizes authority provided to SBA under Section 7(j) and 8(a) of the Small Business Act to enter into procurement contracts with other Federal agencies and to subcontract the performance of these contracts to eligible program participants, and to provide access to capital and other forms of financial assistance, and to provide business training and counseling.

**Applicant Eligibility:**

Firms applying for 8(a) program participation must meet certain requirements which include, but are not limited to: (a) Status as a small business; (b) at least 51 percent unconditional ownership, control and management of the business by an American citizen(s) determined by SBA to be socially and economically disadvantaged, or by an economically disadvantaged Indian Tribe, Alaska Native Corporation, or Native Hawaiian Organization; and (c) demonstrated potential for success; and (d) possess good character. Absent evidence to the contrary, the following individuals are presumed to be socially disadvantaged: African Americans, Hispanic Americans, Native Americans, Asian Pacific Americans and Subcontinent Asian Americans. Individuals who are not members of the named groups may establish their social disadvantage on the basis of a preponderance of evidence of personal disadvantage stemming from color, national origin, gender, physical handicap, long-term residence in an environment isolated from the American society, or other similar cause beyond the individual's control. Economic disadvantage must be demonstrated on a case-by-case basis.

**Beneficiary Eligibility:**

Socially and economically disadvantaged individuals and small businesses owned and operated by such individuals; economically disadvantaged Indian tribes including Alaskan Native Corporations and economically disadvantaged Native Hawaiian organizations.

**Credentials/Documentation:**

Documentation to establish that all program eligibility criteria are met. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Electronic application to SBA offices through SBA's webpage at [www.sba.gov](http://www.sba.gov). Detailed instructions, and if necessary, assistance in completing application is available

at SBA District offices and on SBA's home page at <http://www.sba.gov>.

**Award Procedure:**

Applicant is notified of program participation approval or decline by a letter from the SBA headquarters office. Broad range of business development assistance, including procurement, and access to capital and other forms of financial assistance and business training and counseling is provided to approved program participants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Within 45 days of the date of decline letter, applicant has right to request that the decision be reconsidered. For applications declined solely on the basis of negative finding with regard to social disadvantage, economic disadvantage, ownership or control of business by socially or economically disadvantaged individuals, the applicant within 45 days of the date of the decline letter or reaffirmation of decline, has a right to appeal the decision to the SBA's Office of Hearing and Appeals.

**Renewals:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Maximum of 9 years. See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Program participation audits as needed to evaluate progress. Contract audits as and when required by Federal Acquisition Regulations.

**Records:**

Standard business/accounting records.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$51,795,000; FY 09 est \$54,921,000; FY 10 est \$64,996,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Rules and Regulations, 13 CFR Section 124, SOP 80-05-02.

**Regional or Local Office:**

See Regional Agency Offices. Initial contact should be made with the field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.007 7(J) TECHNICAL ASSISTANCE****FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 85-536.

**OBJECTIVES:**

The purpose of the program is to provide Business Development Assistance for Socially and Economically Disadvantaged Businesses. SBA performs this mission by entering into grants, cooperative agreements and contracts with qualified service providers who have the capability to provide business development assistance to eligible businesses and individuals under Sections 7(i), 7(j) and 8(a) of the Small Business Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance under this Section may be given for projects that respond to requirements as outlined in each respective program solicitation announcement, or for an unsolicited proposal that could provide valuable business development assistance for 8(a) and other socially and economically disadvantaged small businesses and individuals. Types of business development assistance may include: Accounting and marketing services, proposal/bid preparation workshops, feasibility studies, marketing/presentation analyses and advertising expertise, loan packaging, industry specific technical assistance and other specialized management training and technical services. The program funds can also be used to establish and strengthen business service agencies, including trade associations and cooperatives. The 7(j) program funds are not available to finance or purchase a business nor are they available to use as expansion capital for an existing business.

**Applicant Eligibility:**

Educational institutions, public or private organizations and businesses, individuals, State and local governments, Indian tribes and lending and financial institutions and sureties that have the capability to provide the required business development assistance.

**Beneficiary Eligibility:**

8(a) program certified firms, small disadvantaged businesses, businesses operating in areas of low-income or high-unemployment, and firms owned by low-income individuals.

**Credentials/Documentation:**

As specified in the individual "Request for Application Proposals." Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application proposal forwarded to District Office Director for appropriate geographic area. (See Appendix IV under Small Business Administration for a listing of field Offices.)

**Award Procedure:**

Decisions on acceptance are made by the Office of Procurement and Grants Management based upon recommendations of the Assistant Administrator for Management and Technical Assistance, Office of Business Development. The Grants Management Officer notifies successful applicants by Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Variable. See additional information at [www.sba.gov](http://www.sba.gov).

**Appeals:**

See additional information at [www.sba.gov](http://www.sba.gov).

**Renewals:**

Contact the Federal agency. See additional information at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a maximum of 1 year with options as stated in the individual announcements. Disbursements are made within a few days of receipt of all required documents along with the request for disbursement. Disbursements are made in partial payments based on work successfully performed. See the following for information on how assistance is awarded/released: See additional information at [www.sba.gov](http://www.sba.gov).

**Reports:**

See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pre-award accounting system survey. Final audit by a certified or licensed public accountant.

**Records:**

Appropriate records as needed for above requirements.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$4,761,000; FY 09 est \$4,851,000; FY 10 est \$6,608,000 - See additional information at [www.sba.gov](http://www.sba.gov).

**Range and Average of Financial Assistance:**

See additional information at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See additional information at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: See additional information at [www.sba.gov](http://www.sba.gov). Fiscal Year 2010: See additional information at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact sheet upon request.

**Regional or Local Office:**

See Regional Agency Offices. SBA District Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.008 DISASTER ASSISTANCE LOANS**

(7(b) Loans (DL))

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 91-606.

**OBJECTIVES:**

To provide loans to the victims of declared disasters for uninsured or otherwise uncompensated physical damage.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans made to homeowners, renters, businesses of all sizes, and nonprofit organizations to repair or replace damaged or destroyed real property and/or personal property to its pre-disaster condition. Credit elsewhere test required for all applicants to determine interest rate. Loans to homeowners/tenants are made for up to 30 years. Limit of \$200,000 for repair/replacement of real property; \$40,000 for repair/replacement of personal property. The loan limit may be increased by 20 percent to provide protective measures from damages caused by physical disasters. The interest rate for homeowners/tenants who have credit available elsewhere is determined by a formula based on the cost of money to the U.S. Government, but not to exceed 8 percent. The interest rate for homeowners/tenants who do not have credit available elsewhere is one-half of the formula rate, but not to exceed 4 percent. Loans to business may not exceed \$1,500,000. For businesses determined to be able to obtain credit elsewhere, the interest rate is based on a statutory formula, but not to exceed 8 percent, with maturities not to exceed 3 years. For nonprofit organizations determined to be able to obtain credit elsewhere, the interest rate is based on a statutory formula, with maturities not to exceed 30 years. For businesses and nonprofit organizations determined to be unable to obtain credit elsewhere, the interest rate may not exceed 4 percent, with maturities up to 30 years. Under certain circumstances, homeowners and businesses may be eligible for refinancing of existing liens. There are statutory restrictions on the use of funds for voluntary relocation. In the case of a Major Source of Employment, the \$1,500,000 limitation on disaster business loans may be waived. Provisions of Flood Disaster Protection Act of 1973 and the National Flood Insurance Reform Act of 1994 apply. Collateral is required on loans greater than \$10,000. Additional information provided on SBA's website at [sba.gov](http://sba.gov). Additional information provided on SBA's website at [sba.gov](http://sba.gov). Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**Applicant Eligibility:**

Eligible applicants must have suffered physical property loss as a result of a disaster which occurred in an area declared by the President or SBA. They must also demonstrate an ability and willingness to repay the loan. Individuals, business concerns, charitable and nonprofit organizations are eligible to apply for assistance.

**Beneficiary Eligibility:**

Individuals, business concerns, charitable and nonprofit organizations. Agricultural enterprises are ineligible.

**Credentials/Documentation:**

A signed loan application, financial information, and a signed IRS Form 8821

to enable SBA to obtain tax return information from IRS for the three years prior to the disaster (one year for homeowners and renters). Complete copies of Federal Tax returns for the past three years for business applicants. Financial information on principals and affiliates for business applicants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is made on a standard form for either a home or business loan and filed by mail or with the nearest SBA Disaster office.

**Award Procedure:**

Applicant is notified of approval by authorization letter from SBA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, from 7 to 21 days depending on complexity of case and availability of resources.

**Appeals:**

Reconsideration of a declined application can be requested within 6 months of the initial decline, and appealed within 30 days from the reconsideration decline.

**Renewals:**

Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds must be disbursed within six months of authorization of the loan, unless extended. See the following for information on how assistance is awarded/released: Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information provided on SBA's website at [sba.gov](http://sba.gov). Additional information provided on SBA's website at [sba.gov](http://sba.gov). Additional information provided on SBA's website at [sba.gov](http://sba.gov). Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**Records:**

Complete financial records must be maintained by business borrower.

**Account Identification:**

73-1152-0-1-453.

**Obligations:**

(Salaries) FY 08 \$260,496,000; FY 09 est \$345,039,000; FY 10 est \$242,071,000

**Range and Average of Financial Assistance:**

Additional information provided on SBA's website at [sba.gov](http://sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Part 123; "Disaster Loans for Homes and Personal Property," DA-1: "Physical Disaster Business Loans," DA-2.

**Regional or Local Office:**

See Regional Agency Offices. For reference to the Disaster Area Office, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/DISASTER>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.009 PROCUREMENT ASSISTANCE TO SMALL BUSINESSES****FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 85-536.

**OBJECTIVES:**

To assist small business in obtaining a "fair" share of contracts and subcontracts for Federal government supplies and services and a "fair" share of property sold by the government.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Assistance includes: (1) Application of small business set-asides (restriction of bidding/award to small business only) to increase the Federal procurement and disposal requirements awarded to small business; (2) consultation with procuring activities on structuring of procurement and sales planning to optimize small business participation; (3) review and analysis of small firms capacity, credit, integrity, perseverance, and tenacity when challenged by contracting officers and certifying competence of such firms to perform as prime contractors, as appropriate, and monitoring performance of certificate of competency holders throughout contract life; (4) review of subcontracting plans and programs of large prime contractors to determine the extent that they are providing subcontracting opportunities to small, veteran-owned, service-disabled veteran-owned, HUBZone, small disadvantaged, and women-owned small businesses; (5) consultation and advice for small firms requesting assistance on government procurement or property sales matters; (6) assistance in specific contract administration problems; (7) determination of small business eligibility for SBA's procurement and financial programs; (8) advocate breakout of items from sole source for procurement through full and open competition in order to achieve savings; (9) review small business program at Federal procuring activities to evaluate effect on small business participation and recommend changes; and (10) management of the Central Contractor Registration's Dynamic Small Business Search, a nationwide Internet database of information on small business, a marketing tool for small firms and a "link" to procurement opportunities.

**Applicant Eligibility:**

Existing and potential small businesses are eligible to apply. A small business is a business entity organized for profit, with a place of business located in the United States and which makes a significant contribution to the U.S. economy

through payment of taxes and/or use of American Products, materials and/or labor. Generally, an employee based size standard not in excess of 500 employees is used for manufacturers for wholesalers, average employment not in excess of 500 is used; for general construction, a revenue based size standard not over \$28,500,000 is used; for specialty trade construction, revenues not over \$12,000,000 is used; for retail and services contracts, revenues not over \$6,000,000 is used; and for agricultural enterprises, gross annual sales not over \$750,000 is used.

**Beneficiary Eligibility:**

Existing and potential small businesses will benefit.

**Credentials/Documentation:**

Self-certification of documentation is sufficient for representation as a small business, women-owned small business, veteran-owned small business and service-disabled veteran-owned small business. SBA certification is required for status as a HUBZone small business, 8(a) small business, and Small Disadvantaged Business. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Forms to obtain necessary assistance are provided by SBA field offices.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is about 15 days for certificate of competency; no approval is required on other programs.

**Appeals:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Renewals:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is no time restriction for small businesses. See the following for information on how assistance is awarded/released: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov)

**Records:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).



**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$30,579,000; FY 09 est \$31,523,000; FY 10 est \$38,573,000

**Range and Average of Financial Assistance:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report at [www.sba.gov](http://www.sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Initial contact should be made with the field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.011 SMALL BUSINESS INVESTMENT COMPANIES**

(SBIC; SSBIC)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1958, Public Law 85-699.

**OBJECTIVES:**

To establish privately owned and managed investment companies, which are licensed and regulated by the U.S. Small Business Administration; to provide equity capital and long term loan funds to small businesses; and to provide advisory services to small businesses.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT LOANS;  
GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The investment companies provide management and financial assistance on a continuing basis to eligible small business concerns. Financial assistance is provided by making long-term loans to these small concerns, and/or by the purchase of debt or equity type securities issued by these firms. Emphasis is on providing assistance to the pioneering, innovating-type concerns developing new products, processes, and markets. Specialized investment companies organized/licensed under former Section 301(d) of the authorizing statute (SSBICs) must restrict eligibility of small concerns financed by such investment companies to those owned and operated by individuals whose participation in the free enterprise system has been hampered by social or economic disadvantages. Debentures and participating securities are issued by the SBIC and guaranteed by SBA for a term not to exceed ten years. All investment companies generally may not self-deal, finance "big business," or invest over 20 percent (30 percent for SSBICs) of private capital in any single small concern.

**Applicant Eligibility:**

Any chartered small business investment company having private capital of not less than \$3,000,000 (for those choosing to not receive leverage from SBA) or

\$5 million (for those receiving leverage from SBA), having qualified management, and giving evidence of sound operation, and establishing the need for SBIC financing in the geographic area in which the applicant proposes to operate.

**Beneficiary Eligibility:**

Individual businesses (single proprietorship, partnership or corporation) which satisfy the established criteria of a small business. SSBICs beneficiary must also be a business owned and operated by socially or economically disadvantaged individuals.

**Credentials/Documentation:**

An investment company must be chartered as a corporation, limited partnership (with individuals, corporation, partnership, or limited liability company as general partner), or limited liability company. Determination is made as to need in area, general business reputation and character of proposed owners and management and probability of successful operations. All loans to, or investments in, small concerns shall be of such sound value as reasonable to assure repayment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request information and appropriate forms from SBA's Investment Division. Complete application requirements and submit with required application fee to SBA's Investment Division.

**Award Procedure:**

Applicant is notified by issuance of a license from the Investment Division of the Small Business Administration.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Average of 180 days.

**Appeals:**

Proponents may reapply at any time.

**Renewals:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). See the following for information on how assistance is awarded/released: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Annual audit by a certified public accountant and periodic examinations by SBA personnel.

**Records:**

Current financial records, minutes of meetings of stockholders, general partners, directors, executive committees, and time spent and charges made for management consulting services performed must be maintained for 6 years.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$17,097,000; FY 09 est \$19,396,000; FY 10 est \$21,439,000

**Range and Average of Financial Assistance:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2010: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Chapter I, Part 107.

**Regional or Local Office:**

See Regional Agency Offices. Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.012 7(A) LOAN GUARANTEES**

(Regular Business Loans 7(a) Loans)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 97-35.

**OBJECTIVES:**

To provide guaranteed loans from lenders to small businesses which are unable to obtain financing in the private credit marketplace, but can demonstrate an ability to repay loans if granted, in a timely manner. Guaranteed loans are made available to for profit small businesses. The SBA's 7(a) lending authority includes: (1) regular 7(a) (2) the Low Documentation Loan Program (Low Doc); (3) SBAExpress Program; (4) the Cap Line Program (5) PLP and (6) International Trade.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

To construct, expand, or convert facilities; to purchase building equipment or materials; and for working capital. Excludes gambling establishments, nonprofit enterprises, speculators in property, lending or investment enterprises, and financing of real property held for investment; also excludes funds to indiscriminately relocate the business. Funds must not otherwise be available on reasonable terms, nor used to pay off a loan to an unsecured creditor who is in a position to sustain loss. Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

[www.sba.gov](http://www.sba.gov).

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Small businesses that meet the size and eligibility standards.

**Credentials/Documentation:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are filed by the participating lender to an SBA processing center (85 percent). Fifteen percent are processed by an SBA district office.

**Award Procedure:**

Applicant is notified by authorization letter from the District SBA Office, or participating bank.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From one to ten days from date of application acceptance, depending on type of loan and type of lender program.

**Appeals:**

If a reconsideration is requested within six months after decline or withdrawal, no new application is required.

**Renewals:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). See the following for information on how assistance is awarded/released: Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. When necessary, on a case-by-case basis.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$86,282,000; FY 09 est \$88,336,000; FY 10 est \$99,858,000

**Range and Average of Financial Assistance:**

Additional information available at SBA's website at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov).

Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"SBA Business Loans from the SBA," OPC-6.

**Regional or Local Office:**

See Regional Agency Offices. Initial contact should be with the District Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/financing>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.016 SURETY BOND GUARANTEES**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Investment Act of 1958, Title IV, Part B, Section 410, Public Law 108-447.

**OBJECTIVES:**

To guarantee surety bonds issued by commercial surety companies for small businesses unable to obtain a bond without an SBA guarantee. The guarantees range between 70 and 90% and cover losses and expenses incurred by a participating surety should the small business default on the contract.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Contracts not exceeding \$2 million, where a surety bond is required but not obtainable privately without an SBA guarantee. Guarantee is for bid, payment, and performance bonds (and ancillary bonds incidental to the performance of a specific contract). It is provided directly to the surety for a particular contract. Under the Prior Approval program, sureties must apply to SBA for each guarantee. Sureties in the Preferred Bond Program are empowered to issue, service, and monitor bonds without prior SBA approval.

**Applicant Eligibility:**

Guarantees are limited to those surety companies holding certificates of authority from the Secretary of the Treasury as an acceptable surety for bonds on Federal contracts. Specific criteria apply to the Prior Approval and PSB Sureties.

**Beneficiary Eligibility:**

For Federal contracts, a small business is eligible for the surety bond program if it qualifies as a small business under Code of Federal Regulations Subpart 121, Size Eligibility Provisions and Standards. For State, local, and commercial contracts, a small business is eligible if its average annual revenues do not exceed \$6.5 million.

**Credentials/Documentation:**

Application and supplement information. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A small business must apply directly to a surety agent who represents a participating surety company. The application includes background, credit, and financial information. Under the Prior Approval Program, the surety company deals directly with the SBA Area Office concerning the bond guarantee. Headquarters, Area and District SBA Offices serve as contact points for program information purposes.

**Award Procedure:**

Under the Prior Approval Program, SBA notifies the surety company of SBA's approval of the guarantee and furnishes the surety with written authorization. Surety company (or agent/broker) notifies the bond applicant and issues the bond. Preferred sureties issue bonds guaranteed by SBA without SBA's prior approval. Prior approval and PSB sureties remit 26 percent of the premium they charge small businesses to SBA. Small businesses pay SBA a fee of .729% of the contract price.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The goal for completing the review of a bond guarantee application is 3 days.

**Appeals:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Renewals:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Guarantee runs to termination of bond (usually completion of contract). See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. SBA has the right to audit its accounts with any participating surety. Each participating PSB surety must be audited every three years.

**Records:**

SBA Headquarters maintains records on contractors in default and/or claim status (including recoveries on paid claims) as furnished by sureties. SBA Headquarters and each SBA Area Office have information about participating small businesses for its assigned geographic area.

**Account Identification:**

73-4156-0-3-376.

**Obligations:**

(Salaries) FY 08 \$17,097,000; FY 09 est \$19,396,000; FY 10 est \$21,439,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR 115.

**Regional or Local Office:**

See Regional Agency Offices. Applicants must contact a local agent or broker of surety bonds. General program particulars may be obtained from SBA Area Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/osg>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.026 SERVICE CORPS OF RETIRED EXECUTIVES**

SCORE

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 95-510, 637 U.S.C.

**OBJECTIVES:**

To use the management experience of retired and active business management professionals to counsel and train potential and existing small business owners. All client counseling information is confidential.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

SCORE members volunteer their small business counseling and mentoring services to the public free of charge. Small business training workshops are offered for a low fee. SCORE is a resource partner with the Small Business Administration and works with the agency to serve aspiring and existing small business owners. A small business owner interested in getting help from SCORE should contact the local chapter, the SBA District Office, or SCORE's website, [www.score.org](http://www.score.org). The SCORE national office and the Small Business Administration's field offices can make referrals. Counseling is also available from the SCORE web site at [www.score.org](http://www.score.org). SCORE volunteers are reimbursed for out-of-pocket expenses and do not accept compensation for counseling.

**Applicant Eligibility:**

All existing and potential small business owners are eligible. The business must be independently owned and operated, and not dominant in its field, and must conform to SBA size standards.

**Beneficiary Eligibility:**

Small business people benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Personal or written application (SBA Form 641, Request for Counseling).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length varies as appropriate. See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). No cash reports are required. Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). No expenditure reports are required. Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Records:**

None.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$10,586,000; FY 09 est \$10,507,000; FY 10 est \$11,496,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBAs website at [www.sba.gov](http://www.sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Act, SOP 60-10-2A, SCORE Operating Manual, Counselor's Professional Development Program Annual Report and Brochures.

**Regional or Local Office:**

See Regional Agency Offices. The initial contact can be made directly with

SCORE chapters, with SBA District Office, or with the SCORE website at [www.score.org](http://www.score.org). See Appendix IV of the Catalog.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.037 SMALL BUSINESS DEVELOPMENT CENTERS**

(SBDC)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 96-302.

**OBJECTIVES:**

To provide management counseling, training, and technical assistance to the small business community through Small Business Development Centers (SBDCs).

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Funds restricted to the use of assisting small businesses.

**Applicant Eligibility:**

SBA is authorized to make grants (including contracts and cooperative agreements) to any public or private institution of higher education, including but not limited to any land- grant college or university, any college or school of business, engineering, commerce, or agriculture, community college or junior college. SBA is also authorized to renew the funding of other entities currently funded as SBDCs providing SBA affirmatively determines that such applicants have their own budget and will primarily utilize institutions of higher education to provide the services to the small business community.

**Beneficiary Eligibility:**

Current and potential Small business persons.

**Credentials/Documentation:**

Documentation must include approval and support of the proposal from the State government for state hosted SBDCs. Documentation should also include, but not be limited to: (a) Endorsement of the proposal by State officials; (b) endorsement of the proposal by the university hierarchy; and (c) a statement of commitment by the agencies and organizations listed as resources in the proposal. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All eligible entities within a State interested in establishing an SBDC should coordinate with each other in

order to develop a proposal for a statewide SBDC service plan. This program is subject to the provisions of 13 CFR 143 (for State and local governments) and A-110 for institutions of higher education and nonprofit organizations. The proposal should be submitted to the local SBA District Office, listed in Appendix IV of the Catalog.

**Award Procedure:**

Central Office of SBA executes cooperative agreements to approved applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with individual proposals.

**Appeals:**

Varies with individual proposals.

**Renewals:**

This program is on-going and is renewed annually subject to availability of funds. SBDCs are required to update their proposal and submit a current year budget.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are usually limited to 1 year. Payments are made by cost reimbursement or in advance as specified in the Notice of Award. See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

The SBDC shall maintain detailed, complete, and accurate client activity records of a sufficiency to reflect clearly the nature and variety of the SBDC service provided. Financial records must be maintained until 3 years after the completion of the grant project or submission of the final report, whichever is later.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$111,481,000; FY 09 est \$124,655,000; FY 10 est \$114,775,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBDC Program Announcement, SBDC Policy Guidelines, SBDC Handbook for SBA Project Officers.

**Regional or Local Office:**

See Regional Agency Offices. For addresses of the field offices, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/sbdc>.

**RELATED PROGRAMS:**

59.026 Service Corps of Retired Executives; 59.043 Women's Business Ownership Assistance; 59.070 Drug-Free Workplace Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Ability to match funds (2) Ability to provide technical assistance, training, counseling, and specialized services to the small business community, and (3) State approval.

**59.041 504 CERTIFIED DEVELOPMENT LOANS**

(504 Loans)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Investment Act of 1958, Title V, Section 504, Public Law 85-699.

**OBJECTIVES:**

To assist small business concerns by providing long-term, fixed-rate financing for fixed assets through the sale of debentures to private investors.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loans are to assist small businesses in the acquisition of land and buildings; the construction, expansion, renovation or modernization of buildings; or the acquisition and/or installation of machinery and equipment. Loans may have either a 10 or 20-year term.

**Applicant Eligibility:**

Certified Development Companies (CDCs) package, close, and service these SBA-guaranteed loans to small businesses. A CDC must be incorporated under general State corporation statute, on a nonprofit basis, for the purpose of promoting economic growth in a particular area.

**Beneficiary Eligibility:**

Small businesses must be independently owned and operated for profit. More specific criteria defining a small business are established by the Small Business Administration. Refer to 59.012 for general eligibility requirements. Size standards can be those of 59.012 or not-to-exceed \$6 million net worth and \$2 million net profit (averaged over 2 years).

**Credentials/Documentation:**

To become a Certified Development Company (CDC), the applicant should include the following information: (1) Name and address of applicant; (2) type of CDC, State or local; (3) area of operation; (4) list of members or stockholders with address, occupation and telephone number; (5) list of officers and directors; (6) SBA Form 1081 on all officers, directors, and staff; (7) certified statement that no member or stockholder controls more than 10 percent of the voting control; (8) resume' on each officer and director; (9) the name of each individual who provides the CDC with the professional staff capability; (10) if contracted out, a copy of the contract is required to be submitted to SBA; (11) proof of compliance of representatives from the following groups; local government, private sector lending institution, community organization and business concern; (12) an organization chart and operating plan; (13) a flow chart on the CDC (evaluating, packaging,

processing, closing and servicing functions); (14) address and description of the place of business, telephone number and financial statement; (15) the CDC's charter and certified by-laws; (16) articles certified by the State; and (17) a resolution of the Board of Directors certified by a corporate officer in which a company resolves to become a CDC, naming the person who is authorized to execute all documents. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Loan applications must be made on SBA Form 1244 and requirements set forth thereon must be fully complied with by the Certified Development Company and the small business being assisted.

**Award Procedure:**

CDC is notified in writing by the SBA Office. CDC notifies applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Within 10 working days after formal acceptance of application.

**Appeals:**

Requests for reconsideration of a declined loan will be granted at any time within 6 months from the date of decline, providing that reasonable evidence is submitted to substantially overcome the stated reasons for decline.

**Renewals:**

Renewals initiated by loan recipients.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Small Business Administration has the right to conduct an audit of the books of the Certified Development Company and the small business concern at its discretion.

**Records:**

During the term of the loan, both the Certified Development Company and the small business concern assisted must maintain financial records and information adequately reflecting all transactions and results of operations.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$25,106,000; FY 09 est \$26,734,000; FY 10 est \$29,090,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report at SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report at SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report at SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Rules and Regulation, Section 120.800 and 120.900; Certified Development Company Program - Program Guide.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of the Small Business Administration offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

59.012 7(a) Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.043 WOMEN'S BUSINESS OWNERSHIP ASSISTANCE**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953.

**OBJECTIVES:**

To fund private, nonprofit organizations to assist, through training and counseling, small business concerns owned and controlled by women, and to remove, in so far as possible, the discriminatory barriers that are encountered by women in accessing capital and promoting their businesses.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To establish women's business centers (WBCs) for the benefit of small business concerns owned and controlled by women. The services provided by the women's business centers must include financial, management, procurement and marketing assistance to start-up or established concerns, as well as mentoring and Internet services. Annual awards are issued through a 5-year term to successful applicants. Also, previously funded centers that have completed an award cycle may compete to receive additional funding through a 5-year term under the 4-year pilot program established under the Women's Business Center Sustainability Act of 1999 (and as extended by Congress for fiscal years 2004, 2005 and 2006).

**Applicant Eligibility:**

Private, nonprofit organizations having experience in effectively training and counseling business women. Public educational institutions and State and local governments are not eligible.

**Beneficiary Eligibility:**

Women entrepreneurs starting their own business or expanding their existing business.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications are accepted in accordance with and up to the date specified in the annual program announcement as posted at [www.grants.gov](http://www.grants.gov) and [www.onlinewbc.gov](http://www.onlinewbc.gov). The applicant must complete the Application for Federal Assistance (Standard Forms 424, 424A and 424B) and submit a written proposal addressing all of the selection criteria stated in the program announcement. The applicant must submit applications/proposals electronically through [www.grants.gov](http://www.grants.gov) (free training on electronic filing is available on the site) by the application closing date.

**Award Procedure:**

Proposals of eligible applicants are evaluated by a review panel. Candidates for sustainability awards also undergo a site review. The SBA/Office of Procurement and Grants Management issues an award to each approved applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 120 days from filing deadline.

**Appeals:**

Additional information available at SBA's website at [sba.gov](http://sba.gov).

**Renewals:**

Continued annual option awards are issued to successful award recipients through a five-year term without recompetition.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Additional information available at SBA's website at [sba.gov](http://sba.gov).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Initial and option year awards are issued annually, without recompetition, through the five-year grant term to compliant centers. See the following for information on how assistance is awarded/released: Additional information available at SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information available at SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient must have an outside accountant certify the conditions of the WBC's financial management system as part of SBA's final Programmatic and Financial Examination.

**Records:**

The awardee shall maintain and submit detailed, complete and accurate client activity records to reflect clearly the nature and variety of services provided. Financial records must be kept until three years after the completion and submission of the final report.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$22,744,000; FY 09 est \$23,853,000; FY 10 est \$24,506,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-110, A-122, A-21, A-133.

**Regional or Local Office:**

See Regional Agency Offices. Women's business ownership representatives in each SBA district office. See Appendix IV of the Catalog for a listing of the Small Business Administration district and regional offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/onlinewbc>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in each solicitation for proposals, but including: B. EVALUATION CRITERIA FOR WBC APPLICANT TECHNICAL PROPOSAL 1. List of Evaluation Criteria a. Applicant Experience and Internal Organizational Structure. (20 Points) b. Ability of Applicant to Reach a Representative Number of Women Who Are Both Socially and Economically Disadvantaged. (10 Points) c. Needs Assessment of Target Location. (10 Points) d. Services and Activities the Applicant Plans to Offer to Start-up and Existing Small Businesses Owned or Controlled by Women; and the Applicant's Ability to Assist Clients in Addressing Sustainability and Growth Issues. (30 Points) e. Plans for Coordination with SBA and other Community and Small Business Organizations. (10 Points) f. Financial Ability (20 Points) g. Geographic Location. (10 points).

**59.044 VETERANS BUSINESS DEVELOPMENT**

(VBOP)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953.

**OBJECTIVES:**

To provide long term training, counseling, and mentoring to benefit small business concerns and potential small business concerns owned and controlled by eligible veterans. Eligible veterans means (A) A veteran who is entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation) under laws administered by the Secretary, (B) a person who was discharged or released from active duty because of a service-connected disability, (C) a veteran as defined in Section 101 (2) of Title 38, United States Code, or (D) a member of a reserve component of the armed forces of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To establish Veteran Business Outreach Centers (VBOC) for the benefit of small business concerns and potential small business concerns owned and controlled by eligible veterans.

**Applicant Eligibility:**

An eligible applicant for the VBOC Program is a responsible educational institution, private business, veterans' nonprofit community-based organization, and Federal, State and local departments and agencies for the establishment and implementation of outreach programs for veterans and service disabled veterans.

**Beneficiary Eligibility:**

First beneficiaries are eligible veterans and former POWs who seek to start and manage a small business; second beneficiaries are all others.

**Credentials/Documentation:**

Credentials and documentation can be found on the annual program announcement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants will submit proposals based on a request for proposal (RFP). The RFP may request that the applicant apply for a grant or contract. This will be made clear at the time of the RFP is issued. Instructions for applying will be contained in the RFP document.

**Award Procedure:**

The proposal will be subject to an independent panel review. The elements of the panel review will include a review of a technical and cost proposals, each under a separate cover. The technical proposal will consist of four sections: (1) Programmatic concept, (2) understanding the problem or need, (3) coordination of resources, and (4) organizational qualifications. The cost proposal will be evaluated based on reasonableness of cost and compliance with OMB Circulars A-110 or A-112. Additionally the cost proposal must contain (1) a comprehensive development plan, (2) budget preparation, and (3) expenditures for fundraising activities may not be charged as a cost item and demonstration of adequate community based resources to achieve matching formula for nonfederal funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Usually within 30 to 90 days after closing date of the RFP.

**Appeals:**

In accordance with FAR Part 33 if a contract; or not applicable if a grant.

**Renewals:**

Subject to the exercise of option years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually not to exceed 12 months for the basic effort and four option years. Funds are made available on a cost reimbursement basis. See the following for information on how assistance is awarded/released: Additional detail provided on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional detail provided on SBA's website at [sba.gov](http://sba.gov). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. When necessary, on a case-by-case basis.

**Records:**



The recipient should be prepared to maintain detailed, complete, and accurate client activity records of a sufficiency to reflect clearly the nature and variety of the services provided. Financial records must be maintained until 3 years after the completion of the grant project or submission of the final report, whichever is later. The recipient should be prepared to participate in the development of a program-wide intranet system.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$5,012,000; FY 09 est \$5,690,000; FY 10 est \$8,148,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Federal agency for more information.

**Regional or Local Office:**

See Regional Agency Offices. For addresses of the SBA field offices, see Appendix IV of the Catalog under Small Business Administration.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The technical proposal will consist of four sections: (1) Programmatic concept, (2) understanding the problem or need, (3) coordination of resources, and (4) organizational qualifications. The cost proposal will be evaluated based on reasonableness of cost and compliance with OMB Circulars A-110 or A-112. Additionally the cost proposal must contain (1) a comprehensive development plan, (2) budget preparation, and (3) expenditures for fundraising activities may not be charged as a cost item and demonstration of adequate community based resources to achieve matching formula for nonfederal funds.

**59.046 MICROLOAN PROGRAM**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 105-135.

**OBJECTIVES:**

To assist women, low-income, and minority entrepreneurs, business owners, and other individuals possessing the capability to operate successful business concerns and to assist small business concerns in those areas suffering from a lack of credit due to economic downturns. Under the Program, the Small Business Administration (SBA) will make loans or provide guaranties to private, non-profit, and quasi-governmental organizations (intermediary lenders) that will use the loan funds to make short-term, fixed interest rate microloans in amounts up to \$35,000 to start-up, newly established, and growing small business concerns. These microloans are to be used exclusively for working capital, inventory, supplies, furniture, fixtures, machinery, and/or equipment. In addition, the SBA will make grants to participating intermediary lenders to provide marketing, management, and technical assistance to prospective borrowers and borrowers receiving microloans. In addition, the SBA will make grants to non-profit organizations, which are not intermediary lenders, to provide marketing, management, and technical assistance to

low-income individuals seeking private sector financing for their businesses. Under the Program, SBA will also provide training for intermediary lenders and non-lenders participating in the Program.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Loans to intermediaries with terms and restrictions as provided in Public Laws 102-140, 102-366 and 105-135 and subsequent regulations as published in the Federal Register.

**Applicant Eligibility:**

An applicant is considered eligible to apply if it meets the definition of an intermediary lender as published in program materials, 13 CFR, and PL 102-140, and meets published minimum experience and capability requirements.

**Beneficiary Eligibility:**

Small businesses, minority entrepreneurs, nonprofit entities, business owners, women and low-income, and other individuals possessing the capability to operate successful business concerns.

**Credentials/Documentation:**

An entity may apply to SBA to become an Intermediary lender. A small business may apply to an intermediary for a microloan. Small business seeking funding must: (1) Meet SBA size standard requirements as defined in Chapter 13 of the U.S. Code of Federal Regulations; (2) meet type of business requirements as published by SBA; and (3) meet lending requirements of local intermediary lenders. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Microloan Borrowers: Apply directly to intermediary lenders. Intermediary Lenders: Apply to the SBA Office of Financial Assistance prior to deadlines and according to established procedures.

**Award Procedure:**

Intermediaries are notified by SBA. Microborrowers are notified by the intermediaries.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Loan applicants can expect an answer from the SBA approved intermediary lender within 15 days from the date of application acceptance.

**Appeals:**

Decisions on the part of the SBA are final. SBA will not become involved in appeals by microborrowers to intermediary lenders except in the case of suspected violation of Federal regulations.

**Renewals:**

Based on performance.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum life of a loan to an intermediary lender is 10 years. Grants are based on the outstanding balance of the loan amount. See the following for information on how assistance is awarded/released: Additional detail available at SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional detail available at SBA's website at [sba.gov](http://sba.gov). Additional detail available at SBA's website at [sba.gov](http://sba.gov). Additional detail available at SBA's website at [sba.gov](http://sba.gov). Additional detail available at SBA's website at [sba.gov](http://sba.gov). Additional detail available at SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Required annually.

**Records:**

Systems sufficient to generate accurate and acceptable reports.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$18,385,000; FY 09 est \$23,080,000; FY 10 est \$14,194,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the SBA Office of Financial Assistance, Microenterprise Development Branch, 409 3rd Street S.W., Mail Code 7881, Washington, DC 20416.

**Regional or Local Office:**

See Regional Agency Offices. SBA District Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

59.011 Small Business Investment Companies; 59.012 7(a) Loan Guarantees; 59.041 504 Certified Development Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated individually. Each is rated on its own merits or, in the case of an affiliated group, on the merits of each of the organizational parts that make up the whole. Qualitative and quantitative information regarding the applicant is reviewed. Criteria include but may not be limited to: (1) Organizational qualifications; (2) Knowledge of the local economy; (3) Lending experience and lending operations; (4) Current and proposed technical assistance program; (5) Current and Proposed Microloan Operation; (6) Availability and probability of matching contributions; (7) Information submitted in the grant package.

**59.049 SMALL DISADVANTAGED BUSINESSES**

SDB

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 95-507.

**OBJECTIVES:**

To ensure compliance with the constitutional standards established by the Supreme Court in *Adarand Contractors, Inc vs. Pena*, relative to Federal action programs that use racial or ethnic criteria as a basis for decision making.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

The Small Disadvantaged Business (SDB) program is a procurement tool designed to assist the government in finding firms capable of providing needed services, while at the same time, helping to address the traditional exclusion firms owned by disadvantaged individuals from contracting opportunities. Participation in the SDB program and the benefits are restricted to those firms who have satisfied the eligibility requirements and have been certified by the Small Business Administration as an SDB.

**Applicant Eligibility:**

Eligible applicant must be: A small business concern as defined in SBA rules and regulations; firms must be at least 51 percent unconditionally owned and controlled by one or more U.S. citizens who are socially and economically disadvantaged as defined by 13 CFR 124.105, 124.109, 124.110, and 124.111.

**Beneficiary Eligibility:**

Socially and economically disadvantaged individuals and small businesses owned and operated by such individuals; economically disadvantaged Indian tribes including Alaskan Native Corporations and economically disadvantaged Native Hawaiian organizations.

**Credentials/Documentation:**

Documentation to establish that all program eligibility criteria are met. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Electronic application through SBA's webpage at [www.sba.gov](http://www.sba.gov).

**Award Procedure:**

Applicant is notified of a decision by letter from the Office of Small Disadvantaged Business Certification and Eligibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 75 days. The majority are completed within 45 days.

**Appeals:**

Requests for reconsideration of a declined application may be made within 45 days from the date of service of the decline letter.

**Renewals:**

SDB Certification lasts, generally, for a three (3) year period. Firms may reapply after their initial certification has expired.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Three years renewable. See the following for information on how assistance is awarded/released: Additional details available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Completed applications must be maintained.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$1,086,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.050 PRIME TECHNICAL ASSISTANCE**

(Prime)

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, Public Law 106-102.

**OBJECTIVES:**

To increase the number of microenterprises and to enhance the management capability of microentrepreneurs to provide training and technical assistance at little or no cost to microentrepreneur and/or microenterprises to assist in starting, expanding and/or growing their business; to provide training and capacity building services to enhance existing MDOs and expand the universe of MDOs that provide microenterprise development training programs and services; and to fund research and development of best practices for training and technical assistance consistent with the PRIME Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The recipients of the services provided by the grantees are those persons/businesses who satisfy the eligibility criteria as defined in the Act.

**Applicant Eligibility:**

Grant recipients shall be non-profit microenterprise development or program (or a collaborative thereof) that has a demonstrated record of delivering microenterprise services to disadvantaged entrepreneurs, an intermediary, a microenterprise development organization or program that is accountable to a local community, working in conjunction with a State or local government or Indian tribe, or an Indian tribe acting on its' own, if the tribe can certify that no private organization or program referred to in this paragraph exists within its' jurisdiction.

**Beneficiary Eligibility:**

Disadvantaged entrepreneurs, microenterprises, and microenterprise development organizations as defined in the Act.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Subject to the availability of funds, SBA will issue a Notice of Funds Availability (NOFA) soliciting responses from qualified organizations for the services to be provided under the Act.

**Award Procedure:**

Successful offerors will be notified of a decision by letter from the Office of Financial Assistance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Sixty to 90 days.

**Appeals:**

Additional information available at SBA's website at [sba.gov](http://sba.gov).

**Renewals:**

The period of performance for grants awarded under the Act is for one year with four twelve month options exercised at the discretion of the government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional details available on SBA's website at [sba.gov](http://sba.gov). See the following for information on how assistance is awarded/released: Additional details available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional details available on SBA's website at [sba.gov](http://sba.gov). Additional details available on SBA's website at [sba.gov](http://sba.gov). Additional details available on SBA's website at [sba.gov](http://sba.gov). Additional details available on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. SBA reserves the right to perform pre- and post award audits. Grant recipients are required to provide audited financial statements on an annual basis.

**Records:**

Grant recipients are required to collect and maintain data on recipients of technical assistance which shall be included in the grant recipient's performance reports.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$2,813,000; FY 09 est \$5,062,000; FY 10 est \$3,235,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations are available in 13 CFR.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/inv>

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.037 Small Business Development Centers; 59.043 Women's Business Ownership Assistance; 59.044 Veterans Business Development; 59.052 Native American Outreach

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Past performance, approach, personnel, and cost.

**59.051 NEW MARKETS VENTURE CAPITAL PROGRAM****FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Investment Act of 1958, III U.S.C 351-368.

**OBJECTIVES:**

To promote economic development and the creation of wealth and job opportunities in low-income geographic areas and among individuals living in such areas, through developmental venture capital investments in smaller enterprises located in such areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Recipients are SBA approved New Markets Venture Capital Companies (NMVCCs) that use funds from debentures guaranteed by SBA to make equity capital investments in smaller enterprises located in low-income geographic areas. Recipients use OA grant funds to provide management and technical assistance to smaller enterprises in which they intend or make such investments. Recipients must not use grant funds for their own general and administrative expenses. Term of guaranteed debenture is up to 10 years, with no payments required in years 1 to 5, interest only payments due semi-annually in years 6 to 10, and a balloon repayment of principal due at maturity. Cost is approximately 100 basis points over comparable U.S. Treasury Securities. Prepayment is allowed without penalty after year 1.

**Applicant Eligibility:**

No new funding will be requested for this program.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Additional details available on SBA's website at [sba.gov](http://sba.gov).

**Appeals:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Renewals:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Reports:**

Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov). Additional information available on SBA's website at [www.sba.gov](http://www.sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. SBA will require an annual financial report performed by an independent public accountant and an annual examination performed by SBA's internal examiners.

**Records:**

Appropriate records as needed for requirements of 111 and 112.

**Account Identification:**

73-0100-0-1-376; 73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$281,000; FY 09 est \$293,000; FY 10 est \$324,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Part 108.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/INV/NMVC>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Equity venture capital finance experience, community development finance experience, Federal grant administration experience and technical assistance experience.

**59.052 NATIVE AMERICAN OUTREACH**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 108-447.

**OBJECTIVES:**

To fund economic development projects that will provide small business opportunities and empower American Indians, Native Alaskans and Native Hawaiian entrepreneurs located in disadvantaged and under-served Indian reservations and tribal areas within the U.S.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The projects must have the ability to provide increased entrepreneurial development opportunities for Native Americans, serve as effective models to address the issue of access to SBA information and resources, and have the potential to become best practices for implementation by other entities around the country. Program initiatives must assist small businesses in tribal areas on the basis of need, realizing that not all Native American tribes, particularly those in remote areas experiencing severe economic hardship, may be aware of this and other SBA programs. Projects must also include a strong outreach component to ensure that underserved Native American tribes have the opportunity to participate in the program.

**Applicant Eligibility:**

Organizations must have experience in effectively training, counseling, developing and measuring small business development in Indian Country.

**Beneficiary Eligibility:**

Native American entrepreneurs who are starting their own business or expanding their existing business.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are accepted per an annual Request for Proposal advertised in the Federal Register.

**Award Procedure:**

On a project by project basis, proposals of eligible applicants are evaluated by a review panel. The SBA/Office of Procurement and Grants Management issues an award to each approved applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 120 days from filing deadline.

**Appeals:**

Additional information available on SBA's website at sba.gov.

**Renewals:**

On a case by case need basis, as determined by the contracting officer and the program office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The performance period varies based upon the accepted proposals. See the following for information on how assistance is awarded/released: Additional

information available on SBA's website at sba.gov.

**Reports:**

Additional information available on SBA's website at sba.gov. Additional information available on SBA's website at sba.gov. Additional information available on SBA's website at sba.gov. Additional information available on SBA's website at sba.gov.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional information available on SBA's website at sba.gov.

**Records:**

The awardee shall maintain and submit detailed, complete and accurate client activity records to reflect clearly the nature and variety of services provided. Financial records must be kept until 3 years after the completion and submission of the final report.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$1,505,000; FY 09 est \$1,633,000; FY 10 est \$1,740,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov. Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov. Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Small Business Administration for more information. OMB Circulars A-110, A-122, A-21, A-133.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/naa/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.053 OMBUDSMAN AND REGULATORY FAIRNESS BOARDS****FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Regulatory Enforcement Fairness Act of 1996, Public Law 104-121.

**OBJECTIVES:**

To serve the small business community by receiving comments from small businesses, small non-profit organizations or small government entities (representing less than 50,000 people) regarding unfair and/or excessive actions by Federal Agencies or Agency employees conducting compliance or

enforcement activities.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Received comments may be confidential or not and be discussed with appropriate Federal Agency personnel to seek a timely response to an excessive and/or unfair Federal regulatory issue. Hold Hearings throughout the U.S. to receive testimony and commentary from small entities about unfair and/or excessive Federal regulatory enforcement actions. Comments are also received online, by fax, mail or personal delivery.

**Applicant Eligibility:**

Small businesses, small nonprofit organizations or small government entities (representing less than 50,000 people).

**Beneficiary Eligibility:**

The Ombudsman's actions are designed to assist not only those who seek direct assistance but all other similarly situated small entities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit SBA Form 1993.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As needed.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: This program does not issue funds.

**Reports:**

Additional information available on SBA's website at sba.gov. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Standard audit procedures.

**Records:**

Not applicable.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$1,518,000; FY 09 est \$1,622,000; FY 10 est \$1,780,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov. Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov. Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at sba.gov.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Additional information available at <http://www.sba.gov/ombudsman>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/ombudsman>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.054 7(A)EXPORT LOAN GUARANTEES**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 97-35.

**OBJECTIVES:**

To aid and assist small-business to increase their ability to compete in international markets by enhancing their ability to export; facilitating technology transfers; enhancing their ability to complete effectively and efficiently against imports; increasing the access of small businesses to long-term capital for the purchase of new plant and equipment used in the production of goods and services involved in international trade; disseminate information concerning, State, Federal, and private programs and initiatives to enhance the ability of small businesses to compete in international Markets; and ensure that the interests of small businesses are adequately represented in bilateral and multilateral negotiations.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

To construct, expand, or convert facilities; to purchase building equipment or materials; inventory and for export working capital.

**Applicant Eligibility:**

A small business is eligible, which is independently owned and operated and not dominant in its field. They also need to meet the SBA size standards.

**Beneficiary Eligibility:**

Small businesses, including those owned by low-income and handicapped individuals located in high unemployment areas.

**Credentials/Documentation:**

Statement of personal history, personal financial statement, company financial statements, summary of collateral and a resume. Loan must be of such sound value or so secured as to reasonably assure repayment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are filed by the participating lender in the field office serving the territory in which the applicant's business is located. Where the participating lender is in another territory, applications may be accepted and processed by the field office serving that territory, provided there is mutual agreement between the two field offices involved.

**Award Procedure:**

Applicant is notified by authorization letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 10 days from date of application acceptance, depending on type of loan and type of lender program.

**Appeals:**

If a reconsideration is requested within 6 months after decline or withdrawal, no new application is required.

**Renewals:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. When necessary on a case-by-case basis.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$4,154,000; FY 09 est \$4,679,000; FY 10 est \$5,416,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SBA Business Loans from the SBA.

**Regional or Local Office:**

See Regional Agency Offices. For reference to the U.S. Export Assistance Centers, see Service Centers in Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW , Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.055 HUBZONE PROGRAM**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

HUBZone Act of 1997.

**OBJECTIVES:**

The purpose of the HUBZone program is to provide federal contracting assistance for qualified SBCs located in historically underutilized business Zones in an effort to increase employment opportunities, investment, and economic development in such areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The HUBZone Program stimulates capital investment, creation of jobs, and economic development in distressed rural and urban communities by providing Federal contracting preferences to firms certified by SBA as 'qualified' HUBZone small businesses.

**Applicant Eligibility:**

To be eligible to participate in the program, a firm must (1) be a small business (as defined by SBA Size Standards), (2) be owned and controlled at least 51 percent by one or more U.S. citizens, a Community Development Corporation, an agricultural cooperative or an Indian tribe, (3) be located (principal office) in a HUBZone, and (4) certify that least 35 percent of its employees are residents of a HUBZone.

**Beneficiary Eligibility:**

The HUBZone Program is precisely targeted to provide contract opportunities - revenue sources - to firms located in approximately 11,600 metropolitan census tracts, 1,400 non-metropolitan counties, Indian Lands, and 150 areas affected by base closures and realignments.

**Credentials/Documentation:**

Application for HUBZone status is accomplished on-line. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are made on-line via the Intranet at [www.sba.gov/hubzone](http://www.sba.gov/hubzone).

**Award Procedure:**

Applicant is notified of program participation approval electronically within 30 days of receipt of a completed application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Renewals:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Records:**

Not applicable.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 08 \$8,644,000; FY 09 est \$9,262,000; FY 10 est \$10,125,000

**Range and Average of Financial Assistance:**

Additional information available on SBA's website at [sba.gov](http://sba.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The HUBZone Act of 1997, the HUBZones in Native America Act of 2000, and the Small Business Administration Authorization and Manufacturing Assistance Act of 2004, and program regulations. 13 CFR Part 126. See the HUBZone website: [www.sba.gov/hubzone](http://www.sba.gov/hubzone).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/hubzone>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.056 SECONDARY MARKET LENDING AUTHORITY**

Secondary Market Lending Authority

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Provide liquidity for the secondary market, ultimately encouraging new lending by banks of SBA guaranteed loans.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

Make direct loans to secondary market broker dealers to finance their inventory of SBA guaranteed loans for resale in the secondary market. The Administrator shall establish by rule a process under which Systematically Important SBA Secondary Market Broker-Dealers designated may apply for loans under this program. Regulations are to promulgated regarding administration of this program. Direct loans.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. SBA will issue a rule which will outline process for making decisions regarding whether or not to extend a loan applied under this program. The rule is to include provisions to assure that loan is for sole purpose of financing the inventory of the government guaranteed portion of loans, originated, underwritten, and closed under the SBA of pools of such loans, loans are fully collateralized, that there is no limit to frequency in which borrower may apply under this program unless otherwise identified, and that there is no limit on the size of the loan.

**Award Procedure:**

SBA will issue a rule which will outline process for making decisions regarding whether or not to extend a loan applied under this program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The authority for this program remains in effect for two years after date of enactment of the ARRA or until February 16, 2011. See the following for information on how assistance is awarded/released: Upon processing of



application.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

73-1156-0-1-376.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est \$0; FY 10 est \$0 - Zero subsidy cost for this program.

**Range and Average of Financial Assistance:**

No limit to size of loan, subject to discretion of Administrator.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.057 AMERICA'S RECOVERY CAPITAL LOANS**

ARC Loans

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Designed to help small businesses meet existing debt payments so that they have time to refocus their business plans in order to succeed.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

This new SBA loan program will provide deferred payment loans of up to \$35,000 to viable small businesses in need of money to make payments on an existing, qualifying loan for up to six months. Loans shall be made to a small business concern (defined under section 3 of the Small Business Act) that meets the eligibility standards in section 7(a) of the Small Business Act. Loans cannot exceed \$35,000 and loans guaranteed under this program shall be used to make periodic payment of principal and interest, either in full or in part, on an existing qualifying small business loan for a period of time not to exceed six months. Loans under this program carry a 100 guaranty, have interest fully subsidized for the period of repayment with repayment for loans being amortized over a period of time not to exceed 5 years and shall not begin until 12 months after the final disbursement of funds is made.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

SBA may accept any available collateral, including subordinated liens, to secure loans made under this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

SBA is to issue regulations regarding administration of this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

See definition of purpose above. See the following for information on how assistance is awarded/released: Periodic payments.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

This will be identified in issued regulations.

**Account Identification:**

73-1156-0-1-376.

**Obligations:**

(Direct Loans) FY 08 not reported.; FY 09 est \$255,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Maximum of \$35,000 per loan.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: SBAExecSec@sba.gov Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.070 DRUG-FREE WORKPLACE PROGRAM**

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Act of 1953, Public Law 108-447.

**OBJECTIVES:**

This Program permits the Small Business Administration (SBA) to make grants to eligible intermediaries to assist small businesses financially and technically in establishing DFWP programs. That statute also amended the Small Business Act (15 U.S.C. Section 631 et seq.) to require recipients of Small Business Development Center (SBDC) grants to provide information and assistance to small businesses with respect to establishing DFWP programs and authorized SBA to provide additional funding to SBDCs for that purpose.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds restricted to the use of assisting small businesses.

**Applicant Eligibility:**

A current small business owner.

**Beneficiary Eligibility:**

Small businesses, including those owned by low-income and handicapped individuals located in high unemployment areas.

**Credentials/Documentation:**

Statement of, company financial statements, resumes and job descriptions, organizational chart, technical proposal, milestones and letters of intended partnerships/collaborative efforts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are filed by the eligible intermediary through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applicant receives an executed cooperative agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Range from 30 to 60 days.

**Appeals:**

Varies with individual proposals.

**Renewals:**

This program is for a period of two years with one two-year option period and is subject to availability of funds. After the four years, the grantees must reapply.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements run for a period of two years with one two-year option period. See the following for information on how assistance is awarded/released: Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Reports:**

Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov). Additional information available on SBA's website at [sba.gov](http://sba.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Standard audit procedures.

**Records:**

Adequate accounting system.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Salaries) FY 08 \$1,085,000; FY 09 est \$1,104,000; FY 10 est \$1,167,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2009: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov). Fiscal Year 2010: See the FY 2010 Performance and Accountability Report on SBA's website at [sba.gov](http://sba.gov).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DFWP Program Announcement, Small Business Act, Section 21(c)(3)(T) and Section 27 (15 U.S.C. Sections 648(c)(3)(T) and 654) (Title IX of Public Law 105-277, Public Law 108-447).

**Regional or Local Office:**

See Regional Agency Offices. For addresses of the field offices, see Appendix IV of the Catalog under the Small Business Administration.

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/sbdc>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF VETERANS AFFAIRS**

**64.005 GRANTS TO STATES FOR CONSTRUCTION OF STATE HOME FACILITIES**

(State Home Construction)

**FEDERAL AGENCY:**

VA Health Administration Center, Department of Veterans Affairs

**AUTHORIZATION:**

Public Laws 88-450, 89-311, 90-432, 91-178, 93-82, 94-581, 95-62, 96-151, 96-330, 97-251, 97-295, 98-528, 99-166, 99-576, and 100-322, 38 U.S.C. 8131-8137., Public Law 111-05.

**OBJECTIVES:**

To assist States to acquire or construct State home facilities for furnishing domiciliary or nursing home care to veterans, and to expand, remodel, or alter existing buildings for furnishing domiciliary, nursing home, or hospital care to

veterans in State homes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for: The construction of new domiciliary or nursing home buildings or acquisition of such facilities; the expansion, remodeling, or alteration of existing buildings for the provision of domiciliary, nursing home, or hospital care in State homes, and the provision of initial equipment for any such buildings. All new domiciliary buildings must be constructed according to nursing home care standards for convertibility. Construction cost means the amount found by the Secretary to be necessary for a construction project, including architect fees, but excluding land acquisition costs.

**Applicant Eligibility:**

Any State may apply after assuring that the assisted facility will be owned by the State; and will be used primarily for veterans.

**Beneficiary Eligibility:**

Veterans meeting VA and State admission criteria.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by Title 38, CFR Part 43, "Uniform Administrative Requirements" must be used for this program. (Standard Form 424, Application for Federal Assistance for Construction Programs, with attachments.).

**Award Procedure:**

Formal approval of the award of the assistance grant to the State is made by the Secretary of Veterans Affairs with program administered by Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group.

**Deadlines:**

Aug 15, 2009 Initial application is due by April 15 for all projects. State assurance of matching funds is due by August 15 to receive priority group one status.

**Range of Approval/Disapproval Time:**

From 30 to 60 workdays after receipt of bid tabulations, revised budget page based on bid, and signed Memorandum of Agreement.

**Appeals:**

No application will be disapproved without the opportunity of a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Accounts are canceled five years after appropriation expires. Appropriations received in fiscal year 1994 or later do not expire. Reimbursement payments are made to the State based on Federal share of cost incurred. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records should be maintained for the period established by Memorandum of Agreement (7 to 20 years depending upon the amount of the grant). If any claim or audit is started before the expiration of this time period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

36-0181-0-1-703.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$132,000,000; FY 10 est not reported. (Project Grants) FY 08 \$161,782,000; FY 09 est \$125,299,000; FY 10 est \$157,607,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Graves 810 Vermont Avenue, N.W.  
, Washington, District of Columbia 20420 Phone: 202-461-6751

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.101 BURIAL EXPENSES ALLOWANCE FOR VETERANS  
FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

38 U.S.C. 2301, 2302, 2303, 2306, 2307, 2308, 38 U.S.C 2301-2308.

**OBJECTIVES:**

To provide a monetary allowance not to exceed \$300 toward the plot or interment expense for certain veterans not buried in a national cemetery. Up to \$300 as a burial allowance is payable toward the burial expense of certain veterans. If death is the result of a service-connected disability, payments can be made to reimburse burial and funeral expenses not to exceed \$2,000 or that amount authorized under 5 U.S.C. 8134(a) whichever is greater. In addition to the statutory burial allowance, the cost of transporting the veterans' remains from place of death to site of burial is paid by VA if death occurs in a VA facility. The cost of transporting the remains from place of death to the national cemetery in which space is available nearest the veteran's last place of residence may also be paid if death was due to service-connected disability, or at the time of death the veteran was in receipt of or entitled to receive disability compensation, and burial is in a national cemetery. A headstone or marker may be authorized. Also, an American flag to drape the casket of a veteran may be provided.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

The person who bore the veteran's burial expense or the Funeral Director, if unpaid, is eligible for reimbursement of the burial expense. The next of kin, friend or associate of the deceased veteran is eligible for the flag.

**Beneficiary Eligibility:**

Bearer of veteran's burial expense or Funeral Director if unpaid.

**Credentials/Documentation:**

Burial and plot allowances are payable for a veteran whose discharge was under other than dishonorable conditions and who meet the following criteria: the deceased veteran was discharged or released from active duty for a disability incurred or aggravated in line of duty; or at the time of death the veteran was entitled to compensation or pension, or the deceased veteran was indigent or the deceased veteran was properly hospitalized at VA expense. In lieu of plot and burial allowances, the service-connected allowance is payable toward the burial expenses of a deceased veteran who died of a service-connected cause. Each wartime veteran, and each peacetime veteran who served at least one enlistment or was discharged or released from active duty because of a disability incurred or aggravated in line of duty is entitled to a flag to drape the casket. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application (VA Form 21-530) may be obtained from any VA office or regional office (see Appendix IV of the Catalog) and submitted to the regional office for burial benefits. Headstones and markers must be applied for on VA Form 40-1330 in accordance with the "General Information Sheet" and instructions attached to the application and submit it to the Department of Veterans Affairs. Applications are also available on-line at <http://www.va.gov/vaforms/>.

**Award Procedure:**

Awards are authorized at the regional office except for headstones and markers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 79 percent completed in 90 days or less.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-0155-0-1-701.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$195,949,000; FY 09 est \$197,593,000; FY 10 est \$221,408,000

**Range and Average of Financial Assistance:**

Up to \$300 for plot or interment expenses. Up to \$300 for burial allowance if death is not service-connected. Up to \$2,000 if death is service-connected. Transportation charges may be covered in certain cases.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 68,250 burial allowances and 588,106 burial flags were provided. Fiscal Year 2009: FY 2009 estimates are 82,960 burial allowances and 500,010 burial flags. Fiscal Year 2010: FY 2010 estimates are 84,556 burial allowances and 500,010 burial flags.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.1600-3.1611. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-6-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9700

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.105 Pension to Veterans Surviving Spouses, and Children; 64.201 National Cemeteries; 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.104 PENSION FOR NON-SERVICE-CONNECTED DISABILITY FOR VETERANS**

(Pension)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

38 U.S.C. 1511, 1512, 1513, 1521, 1522, 38 U.S.C 1511-1513 1521.

**OBJECTIVES:**

To assist wartime veterans in need whose non-service-connected disabilities are permanent and total preventing them from following a substantially gainful occupation.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Those veterans who have had 90 days or more of honorable active war-time service in the Armed Forces or if less than 90 days wartime service were released or discharged from such service because of a service-connected disability, who are permanently and totally disabled for reasons not necessarily due to service. Income restrictions are prescribed. Pension is not payable to those whose estates are so large that it is reasonable they use the estate for maintenance. Veterans discharged on or after October 16, 1981, must have served for 2 years or the length to which called, if less than 2 years, or have a service-connected disability (38 U.S.C.5303(A)).

**Beneficiary Eligibility:**

Disabled veterans.

**Credentials/Documentation:**

Military discharge certificate showing the separation from service was under other than dishonorable conditions. The veteran must have a permanent and total disability preventing a substantially gainful occupation. His or her income and net worth must be limited as prescribed by statute. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application (VA Form 21-526) may be obtained from a local or regional VA Office (see Appendix IV of the Catalog) and submitted to the Regional Office. Veterans may also apply on-line a [www.va.gov](http://www.va.gov).

**Award Procedure:**

Awards are authorized at the regional office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 87 percent completed in 180 days or less.

**Appeals:**

Available. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$2,858,181,000; FY 09 est \$2,879,950,000; FY 10 est \$2,899,009,000

**Range and Average of Financial Assistance:**

Payments are \$11,830 181 annually, reduced by countable income for a veteran without dependents (\$19,736 18,654 if in need of aid and attendance and \$14, 457 13,664 if housebound) and \$15, 493 14,643 for a veteran with one dependent (\$23, 396 22,113 if in need of aid and attendance and \$18, 120 17,126 if housebound) plus \$2,020 1,909 for each additional dependent. Also, an additional \$2,686 2,538 is added if a veteran is of the WWI or Mexican Border Period. These payments apply for the Improved Law Program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During FY 08, 319,363 veterans received pensions. Estimates for subsequent years are: FY 09, 311,855 and FY 10, 303,447. Fiscal Year 2009: During FY 08, 319,363 veterans received pensions. Estimates for subsequent years are: FY 09, 311,855 and FY 10, 303,447. Fiscal Year 2010: During FY 08, 319,363 veterans received pensions. Estimates for subsequent years are: FY 09, 311,855 and FY 10, 303,447.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 3.3. "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-79054. The stock number is 051-000-00233-4.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9700

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.116 VOCATIONAL REHABILITATION FOR DISABLED VETERANS**

(Vocational Rehabilitation)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans' Rehabilitation and Education Amendments of 1980, Public Law 96-466, 38 U.S.C 3102.

**OBJECTIVES:**

To provide all services and assistance necessary to enable service-disabled veterans and service persons hospitalized or receiving outpatient medical care services or treatment for a service-connected disability pending discharge to get and keep a suitable job. When employment is not reasonably feasible, the program can provide the needed services and assistance to help the individual achieve maximum independence in daily living.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT LOANS; DIRECT PAYMENTS FOR A SPECIFIED USE; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

The program offers the services and assistance necessary for an individual to increase their level of independence in daily living, or obtain and retain suitable employment. This is employment that matches the individual's aptitudes, interests, and abilities and does not worsen the individual's disabilities. An individual may reach an employment goal directly by receiving job seeking and job placement services. If direct placement is not possible, the program provides education or training to qualify the individual for employment. If the individual requires education or training, the program provides for direct payment to service providers for the entire cost of tuition, books, fees, supplies, and other services. As part or all of a rehabilitation program, individuals may receive services and training designed to help them increase their level of independence in their homes and communities. Counseling services are provided to the individual throughout his or her participation in the program. In addition to disability compensation, the veteran receives a monthly subsistence allowance when participating in training at least half-time. Advances of up to \$1,041.48 may be made to veterans to meet unexpected financial difficulties. These advances do not bear interest and are repaid out of future VA benefit payments. Although no set repayment period is established, the monthly rate of repayment may not generally be less than 10 percent. In general, a new advance may not be made until a previous advance has been fully repaid. Usually, the training phase of the rehabilitation program may not exceed the equivalent of 48 months of full-time benefits nor may training be provided more than 12 years after the individual becomes eligible to apply for the program. Following training, or sometimes as the whole of a rehabilitation program, the veteran may also receive up to 18 months of counseling, job placement and post-placement services. The veteran may receive an employment adjustment allowance equal

to 2 months of subsistence during this period of services, but only if employability was achieved as a result of services received in a program which included training. Veterans who meet certain requirements may receive assistance to become self-employed.

**Applicant Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with a 10 percent service-connected disability may be eligible if they first applied for vocational rehabilitation prior to November 1, 1990, and they have an employment handicap. In addition, veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Beneficiary Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Obtain an application (VA Form 28-1900) from any VA office or regional office (see Appendix IV of the Catalog) and submit it to the nearest VA regional office. Applications can also be filed on line at <http://vabenefits.vba.va.gov/vonapp/main.asp>.

**Award Procedure:**

Awards are authorized at the regional office for direct distribution to beneficiaries.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Average is 47.4 days.

**Appeals:**

Available through special board. Average time to process an appeal is 622 days. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Under certain limited circumstances, a veteran's eligibility period can extend beyond 12 years and entitlement to training and subsistence can be longer than 48 months.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702; 36-4114-0-3-702; 36-4112-0-3-702.

**Obligations:**

(Direct Loans) FY 08 \$2,406,000; FY 09 est \$3,161,000; FY 10 est \$2,298,000 - Loan Advances. (Direct Payments for Specified Use) FY 08 \$622,948,000; FY 09 est \$619,683,000; FY 10 est \$577,280,000

**Range and Average of Financial Assistance:**

Full cost of tuition, books, fees, supplies and rehabilitation services. Monthly full-time allowances for veterans participating in training during fiscal year 2009 range from \$541.05 for a single veteran to \$790.87 for a veteran with two dependents, plus \$57.65 for each dependent in excess of two. Non-interest bearing loans of up to \$1,082.10 and a work-study allowance not to exceed the higher of 25 times the Federal or State minimum hourly wage times the number of weeks in the enrollment.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 91,824 participated in vocational rehabilitation: 2,609 of these received loans. subsequent periods are: FY 09, 93,799 participants and 3,485 loans, and FY10, 82,632 participants and 2,509 loans. Fiscal Year 2009: In FY 08, 91,824 participated in vocational rehabilitation: 2,609 of these received loans. subsequent periods are: FY 09, 93,799 participants and 3,485 loans, and FY10, 82,632 participants and 2,509 loans. Fiscal Year 2010: In FY 08, 91,824 participated in vocational rehabilitation: 2,609 of these received loans. subsequent periods are: FY 09, 93,799 participants and 3,485 loans, and FY10, 82,632 participants and 2,509 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.40-21.47; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "Vocational Rehabilitation - Your Key to an Independent Future," VA Pamphlet 28-82-1, free, available from any VA regional office, and "Vocational Rehabilitation and Employment Program Quick Series", LUXART COMMUNICATIONS - GSA contract: GS-02F-0276P, [www.quickseries.com/mil](http://www.quickseries.com/mil), Telephone: (1 800) 361-4653.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9600

**Website Address:**

<http://www.va.gov> <http://www.vetsuccess.gov>

**RELATED PROGRAMS:**

27.002 Federal Employment Assistance for Veterans; 64.013 Veterans Prosthetic Appliances; 84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Direct payment for specified use; payments are made directly to the providers of goods or services for program participants; payments include tuition, fees, books, supplies, tutoring, professional services, and medical care if not available in a VA facility; advances are made to program participants to meet unexpected financial obligations which might hinder continued program progress.

**64.125 VOCATIONAL AND EDUCATIONAL COUNSELING FOR SERVICEMEMBERS AND VETERANS**

(Chapter 36 Counseling)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Education and Employment Programs Amendments, Public Law 102-16, 38 U.S.C 3697A.

**OBJECTIVES:**

To offer vocational and educational counseling to servicemembers within 180 days of their projected discharge or release from active duty and to veterans within one year from the date of their discharge or release from active duty. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30-All-Volunteer Force Educational Assistance Program; Chapter 32-Post-Vietnam Era Veterans' Educational Assistance; Chapter 35-Survivors' and Dependents' Educational Assistance; Chapter 1606-Educational Assistance for Members of the Selective Service; Chapter 1607-Reserve Educational Assistance Program; and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs(Chapters).

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

The program provides the counseling services necessary to enable the service member or veteran to select educational and vocational objectives. The program also assists the veteran to identify the means through which these objectives will be achieved. Counseling may also be provided to aid the veteran to cope with personal problems that might interfere with the successful achievement of the educational and vocational objectives. As part of vocational counseling, the program can help the individual to develop an employment plan. This plan directs the individual to make the best use of his or her existing aptitudes and abilities to obtain employment. These services are provided by professionally qualified vocational rehabilitation counselors or counseling psychologists, who are either VA staff members or under contract to VA. To apply for and receive this benefit, servicemembers must be within 180 days of projected discharge or release from active duty. Veterans must apply for and receive this benefit within 1 year from the date of discharge or release or release from active duty. For servicemembers, the projected discharge or release from active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Applicant Eligibility:**

Service members must be within 180 days of projected discharge or release from active duty. Veterans must be within 1 year from the date of discharge or release from active duty. For servicemembers, the projected discharge or release from active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Beneficiary Eligibility:**

Service members must be within 180 days of projected discharge or release from active duty. Veterans must be within 1 year from the date of discharge or release from active duty. For servicemembers, the projected discharge or release from active duty must be under conditions other than dishonorable. For veterans, the discharge or release from active duty must have been under conditions other than dishonorable. This counseling is also available to current

beneficiaries of VA educational assistance including: Chapter 30 - All-Volunteer Force Educational Assistance Program; Chapter 32 - Post-Vietnam Era Veterans' Educational Assistance; Chapter 35 - Survivors' and Dependents' Educational Assistance; Chapter 1606 - Educational Assistance for Members of the Selective Service; Chapter 1607 - Reserve Educational Assistance Program and to veterans and qualified dependents who are eligible for educational assistance under any of the above programs (Chapters).

**Credentials/Documentation:**

Servicemembers must present proof that they are within 180 of projected discharge or release from active duty. Examples of this proof are a copy of the enlistment contract and a brief written statement from the individual's commander. Veterans must present proof they are within 1 year of discharge or release from active duty under conditions other than dishonorable. An example of this proof is a copy of the individual's DD Form 214. Current beneficiaries of VA educational assistance and those eligible for educational assistance must indicate this eligibility or receipt of benefits and have it confirmed at the VA regional or local office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Obtain VA Form 28-8832, Application for Counseling, from any VA office or regional office. Complete and submit this form to the nearest regional office. A written statement from an individual requesting vocational and educational counseling is also sufficient. With the application form or written statement, submit proof of prior or pending discharge or release from active duty if VA has not already received this evidence or indicate eligibility for, or current receipt of, VA educational assistance.

**Award Procedure:**

The regional office will notify qualified Individual.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Available through special board. Average time to process an appeal is 622 days. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$4,254,000; FY 09 est \$6,000,000; FY 10 est \$6,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Vocational and educational counseling. Included service members and veterans who received these services under Public Law 102-16, who are not separately identifiable. Fiscal Year 2009: Vocational and educational counseling. Included service members and veterans who received these services under Public Law 102-16, who are not separately identifiable. Fiscal Year 2010: Vocational and educational counseling. Included service members and veterans who received these services under Public Law 102-16, who are not separately identifiable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.4100; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "VA Counseling Can Help You," the VA pamphlet portion of VA Form 28-8821, Application for Counseling, free, is available from any VA office or regional office.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs, Veterans Benefits Administration 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9600

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.116 Vocational Rehabilitation for Disabled Veterans; 64.120 Post-Vietnam Era Veterans' Educational Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contract counseling psychologists are selected on the basis of (1) their academic credentials and experience in vocational and educational counseling, (2) their location in relation to the geographic dispersion of available clients for referral, and (3) costs of the services to be provided.

**64.201 NATIONAL CEMETERIES**

National Cemeteries

**FEDERAL AGENCY:**

National Cemetery System, Department of Veterans Affairs

**AUTHORIZATION:**

National Cemeteries Act of 1973, Public Law 093-43, 38 U.S.C 2402-2404, 2306.

**OBJECTIVES:**

To provide burial space, headstones and markers, and perpetual care for veterans and members of the Armed Forces of the United States whose service terminated other than dishonorably, and for Reservists and National Guard members having 20 years qualifying service for the purpose of receiving retired pay and certain eligible dependents.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Interment or memorialization in a national cemetery is for eligible veterans; members of the Armed Forces of the United States; Reservists and National Guard members with 20 years of qualifying service, who are entitled to retired pay or would be entitled, if at least 60 years of age, under Chapter 67, Title 10, United States Code; and other persons and dependents meeting eligibility requirements under law.

**Applicant Eligibility:**

Applicant may be the next of kin, a friend of the decedent or a public assistance officer.

**Beneficiary Eligibility:**

Eligible Veterans, members of the Armed Forces of the United States (Army, Navy, Air Force, Marine Corps, and Coast Guard) who die on active duty; members of the Reserve or the Army and Air National Guard who die while performing active duty for training; Reservists and National Guard members having 20 years of qualifying service for the purpose of receiving retired pay or are eligible for retired pay but are under 60 years of age; the spouse of an eligible veteran member of the Armed forces or individual receiving retired pay (including a 20-year Reservist or National Guard member); the spouse of a member of the Armed Forces of the United States lost or buried at sea or officially determined to be permanently absent in a status of missing or missing in action; minor children and certain unmarried adult children of an eligible veteran or member of the Armed forces, or individual receiving retired pay (including a 20-year Reservist and National Guard member) are eligible for interment. Enlisted personnel who entered military duty after September 7, 1980, and officers commissioned after October 16, 1981, must have served a minimum of 24 months or the full period for which called or ordered to active duty to be eligible for interment. Citizens of the United States who served in the Armed Forces of any government allied with the United States during any war, who were citizens of the U.S. at time of entry and are citizens of the U.S. at time of death; Certain Commissioned Officers of the Public Health Service and the National Oceanic and Atmospheric Administration are also eligible. Groups determined to have active duty service are eligible for all VA benefits under the provisions of Section 401, Public Law 95-202. Reservists who are activated under Presidential Order under title 10, may also be eligible. National Guard Members called to Federal active duty may also be eligible. Other persons who meet eligibility requirements under law may be eligible for burial.

**Credentials/Documentation:**

Present documentation of qualifying military service to Cemetery staff at the time the request for interment is made. National Cemetery Administration personnel will assist in verifying entitlement if documentation is not available. In addition, for a memorial headstone or marker, an affidavit attesting to the disposition of the remains is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The person in charge of funeral arrangements (next of kin or funeral director) should communicate with the staff of the national cemetery in which interment or memorialization is desired, and furnish the name and official documentation of military service of the veteran on whose service the burial is predicated. If documentation is not available, as much of the following data as is available should be provided: Branch of service; rank; service number; social security number; VA claim number; date and place of entry into and separation from last period of active service; date and place of birth; and, date of death. Application for a memorial headstone or marker must be submitted on VA Form 40-1330, "Application for Standard Government Headstone or Marker for Installation in a Private or State Veterans' Cemetery", unless placement is in a national cemetery. Memorial headstones or markers for national cemetery placement are ordered by cemetery staff.

**Award Procedure:**

Scheduling of a time and date for a committal service in a national cemetery will be made by the Cemetery staff upon verification of eligibility.

**Deadlines:**

Not Applicable.



**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0129-0-1-705.

**Obligations:**

(Salaries) FY 08 \$189,219,000; FY 09 est \$263,909,000; FY 10 est \$245,981,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Interments in fiscal year 2008 totaled 103,275. Estimate of interments for fiscal year 2009 is 107,645, and for fiscal year 2010, 113,695. There are 130 operating national cemeteries under the jurisdiction of the Department of Veterans Affairs. Of this number, 70 have space available for casketed and cremated remains; 20 have space available for the casketed interment of eligible family members of those already interred at the cemetery, and for cremated remains; and 40 have space available only for the interment of eligible family members of those already interred. Fiscal Year 2009: Interments in fiscal year 2008 totaled 103,275. Estimate of interments for fiscal year 2009 is 107,645, and for fiscal year 2010, 113,695. There are 130 operating national cemeteries under the jurisdiction of the Department of Veterans Affairs. Of this number, 70 have space available for casketed and cremated remains; 20 have space available for the casketed interment of eligible family members of those already interred at the cemetery, and for cremated remains; and 40 have space available only for the interment of eligible family members of those already interred. Fiscal Year 2010: Interments in fiscal year 2008 totaled 103,275. Estimate of interments for fiscal year 2009 is 107,645, and for fiscal year 2010, 113,695. There are 130 operating national cemeteries under the jurisdiction of the Department of Veterans Affairs. Of this number, 70 have space available for casketed and cremated remains; 20 have space available for the casketed interment of eligible family members of those already interred at the cemetery, and for cremated remains; and 40 have space available only for the interment of eligible family members of those already interred.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following brochures are available at the Washington Office and other VA offices at no charge: "Interments in Department of Veterans Affairs (VA) National Cemeteries" (VA-NCA IS -1) and "National Cemetery Administration" brochure. Gravesite locator maps, and informational leaflets are available for many of the national cemeteries, as well as information kiosks at certain national cemeteries.

**Regional or Local Office:**

See Regional Agency Offices. Memorial Service Network Offices are located at: 5000 Wissahickon Avenue, Philadelphia, PA 19144; 1700 Clairmont Road, 4th Floor, Decatur, GA 30033-4032; P.O. Box 25126, Denver, CO 80225; 575 North Pennsylvania St., Indianapolis, IN 46204; 1301 Clay St., 1230 North, Oakland, CA 94612-5209. See Appendix IV of the Catalog for contacts and

telephone numbers of Memorial Service Network Offices in the National Cemetery Administration under Department of Veterans Affairs.

**Headquarters Office:**

Patrick Hallinan 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-6248

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101 Burial Expenses Allowance for Veterans; 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.202 PROCUREMENT OF HEADSTONES AND MARKERS AND/OR PRESIDENTIAL MEMORIAL CERTIFICATES****FEDERAL AGENCY:**

National Cemetery System, Department of Veterans Affairs

**AUTHORIZATION:**

National Cemeteries Act of 1973, 38 U.S.C 2306, 2403-2404.

**OBJECTIVES:**

To furnish lasting memorials for the graves of veterans and eligible family members throughout the world and honor the service of the veteran through Presidential Memorial Certificates.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Headstones and Markers: For eligible veterans only who are buried in a private cemetery and who died before September 11, 2001, government-furnished headstones and markers may be furnished only for the unmarked graves. For eligible veterans only who are buried in a private cemetery and who die on or after September 11, 2001, government-furnished headstones and markers are furnished for the grave regardless if it is already marked with a privately purchased headstone. For the unmarked grave of eligible veterans and eligible family members buried in a VA national cemetery, a Department of Interior national cemetery, a State Veterans Cemetery operating under a grant through the State Cemetery Grants Program, Arlington National Cemetery, or a Military/Post cemetery. A memorial headstone or marker may be furnished for a veteran when the remains are non-recoverable. The memorial headstone or marker must be placed in a recognized cemetery. A memorial headstone or marker may also be furnished for the eligible spouse of the veteran if placement of the memorial headstone or marker is in a national or state cemetery. Benefits include: procurement of Government headstones, markers, and niche covers; authorized inscription; costs of shipment to destination; installation and maintenance costs in national, state and military/post cemeteries; and, replacements when headstones, markers, and niche covers are severely damaged, when inscriptions are incorrect, or when inscriptions have become illegible. Presidential Memorial Certificates: Provided to family members and friends of the honorably discharged veteran to honor the memory of the veteran. Additional certificates may also be requested and provided. Benefits include: procurement of a gold embossed paper certificate inscribed with the veteran's name that bears the President's signature; and mailed to family members and/or friends of the veteran.

**Applicant Eligibility:**

When burial or memorialization is in a private cemetery, the applicant is normally the next of kin. In the absence of relatives, the applicant need not be a member of the deceased's family. The applicant's signature on VA Form 40-1330, "Application for Standard Government Headstone or Marker for Installation in a Private or State Veterans Cemetery," certifies all information on the application is correct, and the type of headstone or marker requested is permitted by the cemetery on the grave of the veteran, or for memorialization in

an appropriate area of the cemetery. If a burial or memorialization plot is in a national cemetery, State veterans cemetery, or a military/post cemetery, the Cemetery Director orders the headstone or marker, after completion of the interment in the cemetery, or upon need for replacement.

**Beneficiary Eligibility:**

Any deceased veteran of wartime or peacetime service who was discharged under conditions other than dishonorable. Service after September 7, 1980 for enlisted personnel and October 16, 1981 for commissioned officers, must be for a minimum of 24 consecutive months or the period for which ordered to be completed under special circumstances; for example, death on active duty, or any active duty during the Persian Gulf War qualifies for this benefit. In addition, members of the Reserve and the Army and Air National Guard who die while performing, or as a result of performing, active duty for training or are entitled to retirement pay subsequent to October 27, 1992; all persons, including Reservists and National Guard members having 20 years of qualifying service for the purpose of receiving retired pay or are eligible for retired pay, but are under 60 years of age; Commissioned officers of the Public Health Service and the National Oceanic and Atmospheric Administration; Merchant Mariners and certain other categories of individuals who participated in wartime activities whose service has been classified as active duty by the Secretary of the Air Force in accordance with Public Law 95-202 may also be eligible. Spouses and certain other dependents of those eligible for a headstone or marker and buried in a national, State or military/post cemetery are also eligible.

**Credentials/Documentation:**

Copy of the veteran's Report of Separation (DD 214) or equivalent, or other official military documents that detail the character of military service. In addition, for a memorial headstone or marker a statement attesting to the disposition of the remains is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete VA Form 40-1330, Application for Standard Government Headstone or Marker, in accordance with the General Information and instructions attached to the application and submit it to the Department of Veterans Affairs. Submission to the VA is preferred by toll free fax at 1-800-455-7143. It may also be mailed to: Director, Memorial Programs Service (41A1), Department of Veterans Affairs, 5109 Russell Road, Quantico, VA 22134-3903. Detailed instructions for submitting the application can be referenced at the official website for the National Cemetery Administration at [www.cem.va.gov](http://www.cem.va.gov). Applications are also available at this website, or they can be obtained at any VA Regional Office, State and County Veterans Service Office, and most funeral homes. Xerographic copies with original signatures of applicant, consignee and cemetery officials are acceptable. Letters requesting Presidential Memorial Certificates may be mailed to Memorial Programs Service (41A1C), Department of Veterans Affairs, 5109 Russell Road, Quantico, VA 22134-3903. Requests for PMC's may also be made by telephone to (202) 565-4259.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

36-0102-0-1-701 - Benefits; 36-0129-0-1-701 - Salaries and Expenses.

**Obligations:**

(Salaries) FY 08 \$5,708,000; FY 09 est \$6,091,000; FY 10 est \$6,219,000. (Direct Payments for Specified Use) FY 08 \$52,761,000; FY 09 est \$58,093,000; FY 10 est \$62,557,000 - Benefits.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 361,192 applications were processed for standard government headstones and markers. It is estimated that the total applications processed will be 359,521 in FY 09 and 349,066 in FY 10. The number of headstones, markers and inscriptions ordered in FY 08 was 360,455 and estimates are 359,896 in FY 09, and 351,035 in FY 10. In FY 08, 511,353 Presidential Memorial Certificates were issued. It is estimated that 624,999 will be issued in FY 09, and 622,024 in FY 10. Fiscal Year 2009: In FY 08, 361,192 applications were processed for standard government headstones and markers. It is estimated that the total applications processed will be 359,521 in FY 09 and 349,066 in FY 10. The number of headstones, markers and inscriptions ordered in FY 08 was 360,455 and estimates are 359,896 in FY 09, and 351,035 in FY 10. In FY 08, 511,353 Presidential Memorial Certificates were issued. It is estimated that 624,999 will be issued in FY 09, and 622,024 in FY 10. Fiscal Year 2010: In FY 08, 361,192 applications were processed for standard government headstones and markers. It is estimated that the total applications processed will be 359,521 in FY 09 and 349,066 in FY 10. The number of headstones, markers and inscriptions ordered in FY 08 was 360,455 and estimates are 359,896 in FY 09, and 351,035 in FY 10. In FY 08, 511,353 Presidential Memorial Certificates were issued. It is estimated that 624,999 will be issued in FY 09, and 622,024 in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Application for Standard Government Headstone or Marker" (VA Form 40-1330), contains instructions for completing the form, and illustrations of the different types and styles of headstones, markers, and niche covers available. It is available at Department of Veterans Affairs Regional Offices at no charge. Presidential Memorial Certificates may be requested through Department of Veterans Affairs Regional Offices and national cemeteries.

**Regional or Local Office:**

See Regional Agency Offices. Memorial Programs Service (MPS) Processing Sites: MPS Processing Sites are located at: Ft. Leavenworth National Cemetery, 395 Biddle Boulevard, Ft. Leavenworth, KS 66027-2307. Toll free telephone: (1-888) 460-9709, Fax: (913) 758-1839. Nashville Processing Site, 220 Athens Way, Suite 102, Nashville, TN 37228-1346. Toll free telephone: (1-888) 367-1330, Fax: (615) 736-2026. Lebanon VA Medical Center, 1700 South Lincoln Avenue, Building #27, Lebanon, PA 17042. Toll free telephone: (1-888) 574-9107, Fax: (717) 270-9428.

**Headquarters Office:**

Memorial Programs Service, National Cemetery Administration 5109 Russell Road, Quantico, Virginia 22134 Phone: 202-501-3112

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101 Burial Expenses Allowance for Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.203 STATE CEMETERY GRANTS**

**FEDERAL AGENCY:**

National Cemetery System, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Housing Benefits Act of 1978, Section 202, 38 U.S.C 2408.

**OBJECTIVES:**

To assist States in the establishment, expansion, and improvement of veterans' cemeteries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Monetary assistance is provided under this program to establish, expand, and improve State or Tribal government veterans cemeteries. Cemeteries must be State or Tribal Government owned and operated solely for the interment of eligible veterans and their dependents and/or spouses. Construction cost means the amount found necessary to convert a tract of land to an operational cemetery.

\*Tribal Government refers to the 520 federally recognized tribal governments.

**Applicant Eligibility:**

Any State may apply.

**Beneficiary Eligibility:**

The cemetery must be used solely for the interment of veterans, their wives, husbands, surviving spouses, minor children, and unmarried adult children who were physically or mentally disabled and incapable of self support: section 38 CFR Part 38.620.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit Standard Form 424, "Application for Federal Assistance for Construction Programs," with attachments, to the Director, State Cemetery Grants Service (401C), Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420.

**Award Procedure:**

Formal notification of the award to the State is made by the Under Secretary for Memorial Affairs, National Cemetery Administration.

**Deadlines:**

Jul 01, 2009 A deadline of July 1 is established for the filing of applications in the year prior to the fiscal year in which funding is requested.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

No application shall be disapproved until the applicant has been afforded an opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are provided by electronic transfer of funds and must be used within 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Outlay Report and Request for Reimbursement for Construction Programs, and Performance Reports are accomplished in accord with 38 CFR Part 43. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records and all other records pertinent to a grant shall be retained for a period of three years. If any claim or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

36-0183-0-1-703.

**Obligations:**

(Project Grants) FY 08 \$36,937,000; FY 09 est \$43,500,000; FY 10 est \$43,401,000

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance from 1980  
\$2,897 to \$8,725,780 Average \$1,319,338.21.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2009 alone the State Cemetery Grants Program has received initial requests totaling \$104,093,400. The State Cemetery Grants Service estimates approximately five to ten applications to establish, expand, improve or operate State veterans cemeteries in FY 2009 and 2010.

\*To date the program has awarded more than \$349 million dollars to establish, expand, or improve 74 state cemeteries in 38 states and territories (including Guam and Saipan). Fiscal Year 2009: In fiscal year 2009 alone the State Cemetery Grants Program has received initial requests totaling \$104,093,400. The State Cemetery Grants Service estimates approximately five to ten applications to establish, expand, improve or operate State veterans cemeteries in FY 2009 and 2010.

\*To date the program has awarded more than \$349 million dollars to establish, expand, or improve 74 state cemeteries in 38 states and territories (including Guam and Saipan). Fiscal Year 2010: In fiscal year 2009 alone the State Cemetery Grants Program has received initial requests totaling \$104,093,400. The State Cemetery Grants Service estimates approximately five to ten applications to establish, expand, improve or operate State veterans cemeteries in FY 2009 and 2010.

\*To date the program has awarded more than \$349 million dollars to establish, expand, or improve 74 state cemeteries in 38 states and territories (including Guam and Saipan).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Regulations 38 CFR Parts 39 and 43, State Cemetery Grant Program and "Federal Assistance for Establishment, Expansion, and Improvement of State

Veterans' Cemeteries (State Cemetery Grants Program)" (VA Pamphlet 40-96).

**Regional or Local Office:**

None.

**Headquarters Office:**

Frank K. Salavas 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-8947 Fax: 202-565-6141

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

64.101 Burial Expenses Allowance for Veterans; 64.201 National Cemeteries; 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) Construction necessary to convert a tract of land to an operational cemetery; 2) construction of main entrance, roads, committal service shelter, administration/maintenance building, storm drainage system and irrigation; and 3) the expansion of cemetery acreage or building of columbarium. Fiscal Year 2009: 1) Construction necessary to convert a tract of land to an operational cemetery; 2) construction of main entrance, roads, committal service shelter, administration/maintenance building, storm drainage system and irrigation; and 3) the expansion of cemetery acreage or building of columbarium. Fiscal Year 2010: 1) Construction necessary to convert a tract of land to an operational cemetery; 2) construction of main entrance, roads, committal service shelter, administration/maintenance building, storm drainage system and irrigation; and 3) the expansion of cemetery acreage or building of columbarium.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are prioritized and ranked with other projects in the order received. The priority system consists of four groups or categories. Examples: The extent to which States have adequate funds to initiate and complete the design process required for approval for the grant program, and the extent to which a project involves additional gravesites necessary to keep the cemetery open.

**ENVIRONMENTAL PROTECTION AGENCY**

**66.001 AIR POLLUTION CONTROL PROGRAM SUPPORT**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1990, Section 105, Public Law 101-549.

**OBJECTIVES:**

The objectives of the 105 program are to assist State, Tribal, Municipal, Intermunicipal, and Interstate agencies in planning, developing, establishing, improving, and maintaining adequate programs for the continuing prevention and control of air pollution and/or in the implementation of national primary and secondary air quality standards. Funding Priority - Fiscal Year 2009: By nature, much of the work occurring in FY 2008 will continue into FY 2009. However, several new developments will alter the priorities for the program across the country in FY 2009 the response to the new national ambient air quality standards (NAAQS) for ozone, lead, and fine particulates (PM2.5). Recipients will continue to review air quality reports and take appropriate actions dealing with new violating attainment areas with any of the NAAQS; submit re-designation requests including maintenance plans for areas with clean air quality data as appropriate; work with local area stakeholders to support innovative and voluntary initiatives; continue to implement 8-hr ozone SIPs; and submit any outstanding ozone SIP elements (including prior commitments). Recipients will also begin preparing recommendations on designations for the revised ozone and lead NAAQS. For PM2.5, recipients will submit any outstanding PM2.5 SIP elements as needed and implement PM2.5 plans designed to attain the 1997 NAAQS. They will also take any final actions needed in the 2006 PM2.5 NAAQS designations process, and begin SIP planning for attaining the 2006 standards. Some states will work with local agencies to implement woodstove change-out programs in areas where change-outs could significantly reduce ambient particle concentrations. Areas

may also explore feasibility of changing out existing outdoor wood-fired boilers to significantly reduce PM2.5 concentrations. As in FY 2008, for ambient monitoring, all state/local primary quality assurance organizations operate monitors and submit NAAQS pollutant data, Photochemical Assessment Monitoring Stations (PAMS), and quality assurance (QA) data to AQS directly or indirectly through another organization according to schedule in 40 CFR Part 58. Data must also meet quality assurance requirements according to Appendix A to 40 CFR Part 58. These organizations will also submit their required annual (monitoring) network plans by July 1 of 2009. They must also certify their 2008 NAAQS pollutant data in AQS and provide supporting documentation by July 1, 2009 (state/local only, unless tribal work plan requirement). Additionally monitoring organizations will report real time ozone and PM2.5 data to AirNOW system for cities required to report the Air Quality Index (AQI) (state/local only); will continue the 5-year-cycle network assessment required by July 1, 2010; (state/local only, unless tribal work plan requirement), and include final NCore siting plan in Annual Monitoring Network Plan due July 1, 2009. Air quality reporting, including particle pollution forecasting, will be expanded to additional cities. States affected by the NOx SIP Call will continue to contribute a portion of their grant funds to support a centrally-administered emissions budget and trading program as part of their NOx State Implementation Plan. For regional haze, States and other stakeholders will continue to work with EPA on issues related to submitted regional haze SIPs and will continue to implement Best Available Retrofit Technology (BART) requirements. As in FY 2008, funds for air toxics purposes are provided to: expand existing air toxics monitoring networks operated by State, Tribal, and local agencies in order to better characterize air toxics risks and assess the effectiveness of control strategies. In FY 2009 this includes an increased focus on monitors located at schools. Recipients will collect data for the integrated 2008 hazardous air pollutant (HAP) emissions inventory; implement delegated or approved section 112, 111(d) and 129 standards, as appropriate, for major sources and area sources; implement delegated residual risk standards; and work with communities to develop and implement voluntary air toxics programs that address outdoor, indoor, and mobile sources with emphasis on areas with potential environmental justice concerns. State and local air pollution control agencies work with EPA to operate the national fine particulate (PM2.5) monitoring network to accurately assess and characterize the nature and extent of fine particulates (PM2.5) across the country. This assessment is necessary to determine the air quality status of an area in relation to the national PM2.5 ambient air quality standard. At least three years of quality-assured data are required in order to determine an area's attainment status. The air quality status of an area will determine the nature and complexity of its attainment plan, its associated control strategies, and its implementation schedule. The immediate goals of this multi-year program are: appropriate spatial characterization of PM2.5 NAAQS; public reporting of PM2.5 in the Air Quality Index; characterization of PM2.5 chemical speciation data for long term trends; development and accountability of emission control programs and tracking of regional haze, and limited support of health studies; implementation of NCore CO, SO2, NO2/NOy trace-level monitoring to support characterization of PM precursors; assessment of PM2.5 data quality; and procurement and testing of PM2.5 filters. Grant funds are used to provide support to eligible state and local air agencies for continued operation of high value federal reference method (FRM) and speciation monitoring sites; additional investments in PM2.5 mass and speciation continuous monitoring and associated data management systems for timely reporting of high quality data; and continued investments in precursor gas analyzers, data analyses, and quality assurance activities that will support better understanding of particle formation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs specifically incurred in the conduct of a State/Local/Tribal Air Pollution Control Program in accordance with the purposes enumerated in the approved application. These include personnel costs, supplies, equipment, training of personnel, travel, and other necessary expenditures during the approved project period. Funds may not be used for construction of facilities, nor for expenses incurred other than during each approved award period. Grant funds may not be used to subsidize the costs of Title V operating permit programs or to supplant otherwise available recipient resources. Assistance agreement awards under this program may involve or

relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>.

**Applicant Eligibility:**

Municipal, Intermunicipal, State, Federally Recognized Indian Tribe, or Interstate or Intertribal with legal responsibility for appropriate air pollution planning, development, establishment, implementation, and maintenance of Clean Air Act air pollution control activities, including management of grant support for those activities, provided such organization furnishes funds for the current year that are equal to or in excess of its recurrent expenditures for the previous year for its approved section 105 air pollution program. The determination of expenditures is subject to decisions based on provisions of the Clean Air Act and applicable grant regulations. This program is available to each State, territory and possession of the U.S., including the District of Columbia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities (local governments), Intermunicipalities, States, Federally Recognized Indian Tribes, and Interstate and Intertribal agencies.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control including responsibility for carrying out the implementation plan requirements under 110 of the Clean Air Act; evidence of the availability of nonfederal matching funds; assurance that federal funds do not supplant available recipient funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan; and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 31 of the Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussion with the applicable EPA Regional Office is advised for air program grant applications. The standard application forms as furnished by the Environmental Protection Agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to the State's review. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Branch. Application must meet the requirements of the grant regulations and will be reviewed to determine merit and relevancy of the proposed project particularly with regard to the most recently available national program and grant guidance. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Procedures for awards are outlined in General Grant Regulations 40 CFR Part 31. For competitive awards, EPA will review and evaluate applications,

proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Clean Air Act does not prescribe a specific statutory funding formula but does direct that the factors of population, the extent and severity of the air pollution problem, and financial need, be considered in the allocation of available resources by the Agency. The current allocation approach is currently under review for updating by the Agency. EPA is undertaking the review in consultation with eligible recipients. State, Interstate, and Local programs may receive up to 60 % Federal funding for the total approved program costs. The Grantee must contribute a minimum of 40% as well as meet a maintenance of effort (MOE) requirement. The amount of Federal share of grant costs should be determined by reference to the criteria set forth in Section 105 of the Clean Air Act and in 40 CFR 35.145, 40 CFR 35.146, and 40 CFR 147. Not more than 10 % of the funds available shall be granted for air pollution control programs in any one State. Not less than one-half of one % of the funds are to be made available as a minimum to a State (overall) for application. However, award of these levels of funds will be made only if the agencies within the State meet the requirements of the Act and grant regulations. For Indian Tribes establishing eligibility pursuant to Section 35.573, the Regional Administrator may provide financial assistance in an amount up to 95 % of the approved costs of planning, developing, establishing, or improving an air pollution control program, and up to 95 % of the approved costs of maintaining that program. After 2 years from the date of each Tribe's initial grant award, the Regional Administrator will reduce the maximum federal share to 90 %, as long as the Regional Administrator determines that the Tribes meet certain economic indicators that would provide an objective assessment of the tribe's ability to increase its share. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of award. See the following for information on how assistance is awarded/released: Assistance agreements may be fully funded by a lump sum or funded incrementally (quarterly).

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$165,049,417; FY 09 est \$176,593,000; FY 10 est \$221,000,000 - FY 2008 - \$165,049,417; F2009 - \$176,593,000; FY 2010 - \$221,000,000 (projected) [Note: The President's FY 2010 Budget request proposes that PM2.5 air monitoring be funded under CAA Section 105. Funds for this program are included in the estimated FY 2010 total above. In prior years Congress has chosen fund this program under CAA Section 103 which is 100% federal funding.].

**Range and Average of Financial Assistance:**

In FY 2008 - From approximately \$69,550 to \$6,862,000 per recipient; average approximately \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, approximately 110 applications were received from State, Local and Tribal agencies to help support their continuing air quality programs were funded. This same level is expected to be received and funded in FY 2009. These programs plan and implement measures to improve, protect, monitor and report air quality in their communities. The plans integrate state and local measures with federal measures - including advances in environmental technologies (e.g., cleaner fuels, vehicle and industrial technology), in addressing and reducing air pollution and in meeting National Ambient Air Quality Standards (NAAQS). The NAAQS are regularly reassessed to assure that public health and welfare is being adequately protected. The most recent designations for ozone occurred in 2004 and 89 of the original 126 ozone areas are now meeting that NAAQS based on data collected during 2004-2006. Thirteen of the 14 Early Action Compact areas will have been designated attainment by April 15, 2008. For PM, the Agency designated 86 areas, with a total population of 35.8 million people, as nonattainment for PM10 in 1992 and 46 of those areas remain in nonattainment. In 4/05, EPA designated 39 areas as nonattainment for the PM2.5 based on air quality data collected during 2001-2003. Some PM2.5 design values in designated nonattainment areas are improving slightly, especially in the western U.S violated the annual and not the 24-hour NAAQS. As the new standards for ozone and PM2.5 take affect, updates on in designations and progress in air quality status will be provided. States have achieved widespread attainment of standards for several of the criteria pollutants: CO, SO2, NO2 and Lead. Specifically: for carbon monoxide EPA originally designated 78 areas, affecting 69.8 million people, as nonattainment for CO in 1992 with 3 nonattainment areas, affecting 719 thousand people remaining. For sulfur dioxide (SO2), EPA designated 54 areas, with a total population of 9.8 million people, as nonattainment for SO2 in 1992 with 10 nonattainment areas remaining affecting a total population of 1.1 million. All 10 areas have monitoring data measuring attainment of the SO2 NAAQS. For nitrogen Dioxide (NO2), there are no designated NO2 nonattainment areas and all areas continue to meet the NAAQS. For the previous lead (Pb) NAAQS, EPA designated 13 areas, with a total population of 1.8 million people as nonattainment for Pb in 1992 and 2 nonattainment areas remain. Areas failing to meet the new lower lead NAAQS

have not been designated as nonattainment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Air Pollution Control Program Grants, EPA, 40 CFR Part 35 (revised January 9, 2001); Interim Rule published January 4, 1995 (FR V.60 No.2, pp.366-372); General Grant Regulations and Procedures, EPA, 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

William Houck, Office of Air and Radiation, Office of Program Management Operations, EPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W., Washington, District of Columbia 20460 Email: houck.william@epa.gov Phone: (202) 564-1349.

**Website Address:**

<http://www.epa.gov/air/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities related to mobile and non-Title V stationary and area sources; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action compacts and other innovative air pollution reduction or prevention strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding air pollution control program assistance grants are provided in the 1990 Clean Air Act, Section 105, and set forth in State and local assistance grant regulations (40 CFR 35). Some of the criteria considered for award include the following: 1) No grant may be awarded unless the program contained in the grant application meets the requirements of Section 35.140 (program purposes and associated regulations) and has been approved by the Regional Administrator. Sections 35.104 and 35.107 describe what an agency needs to do to prepare an adequate application. This usually includes the use of annual program technical and grant guidance from EPA and is generally done in consultation with the EPA Regional Office. 2) No grant may be awarded until the Regional Administrator has consulted with the official designated by the Governor(s) of the State(s) affected by such award pursuant to Section 105(b) of the Clean Air Act. Such consultation should consider the role of the applicant in the enforcement of any applicable implementation plan and confirm that the applicant's program will be generally compatible with the objectives of the applicable implementation plan. 3) The requirements of this Section shall not apply to Indian Tribes that have established eligibility pursuant to Section 35.573 and intertribal agencies made up of such Tribes. 4) No grant may be awarded unless the Regional Administrator has determined that the agency has adequate air pollution control authority and necessary regulations to implement such authority. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.032 STATE INDOOR RADON GRANTS**

(SIRG)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Indoor Radon Abatement Act, Section 306, 15 U.S.C 2661; Toxic Substances Control Act, Title I, Section 10(a).

**OBJECTIVES:**

The Indoor Radon Abatement Act (IRAA), Section 306, and the Toxic Substances Control Act (TSCA), Section 10(a), authorizes EPA to assist States and Federally Recognized Indian Tribes develop and implement programs to assess and mitigate radon-related lung cancer risk. Funding Priority -- Fiscal Year 2009: In FY 2009 the SIRG program will emphasize radon risk reduction through increased action by consumers, homeowners, real estate professionals, homebuilders, tribes and state-local governments. Projects funded by SIRG should have the following results:

Building homes with radon-resistant new construction,

Reducing radon in existing homes, and

Reducing radon in existing schools and building new schools with radon-reducing features.

To achieve these outcomes and increase results, the SIRG program aims to: (1) improve the effectiveness of state-local/tribal radon programs; (2) focus on high radon potential areas, especially for new home building and code adoption; (3) encourage testing and mitigation within residential property transfers; and (4) encourage SIRG recipients to be strategic in their risk reduction efforts, e.g., by institutionalizing risk reduction practices and policies; utilizing best practices; and, developing better data and information sources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The following activities are eligible for funding under SIRG: radon surveys, public information and educational materials, radon control programs, purchase of radon measurement equipment or devices, purchase and maintenance of analytic equipment, training, program overhead and administration, data storage and management, mitigation demonstrations, and toll-free hotlines. Funding for these eligible activities may be used to develop State radon response programs. States may, at the Governor's direction, provide assistance to local governments for public information and educational materials, radon control programs and training. RESTRICTIONS: The statute places the following restrictions on the use of Federal funds: 1) SIRG recipients must perform satisfactorily in the preceding budget period to be eligible to receive additional funding; 2) State expenditures for measurement equipment/devices and mitigation demonstrations cannot exceed 50 percent of the grant amount in a budget period; 3) State expenditures for general overhead and program administration cannot exceed 25 percent in a budget period; and 4) SIRG applicants may use grant funds for financial assistance to persons only to the extent that such assistance is related to demonstration projects or the purchase and analysis of radon measurement devices.

**Applicant Eligibility:**

Eligible entities include States (including District of Columbia (DC)), Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, Federally recognized Indian Tribes and Tribal consortia, or any other U.S. Territory or possession. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. The Agency may also limit eligibility to compete to a number or subset of eligible applicants from a particular regional or geographical area (e.g. tribes). EPA may limit competition to a sovereign nation when TSCA 10(a) is the grant authority.

**Beneficiary Eligibility:**

State agencies: local, municipal, district, or area wide governments and organizations; U.S. territories or possessions, Federally Recognized Indian Tribes, colleges, universities, multi-state agencies, nonprofit organizations, low-income individuals, homeowners, and the general public.

**Credentials/Documentation:**

An applicant's application must: 1) describe the seriousness and extent of radon exposure; 2) identify the lead State agency with primary responsibility for the radon program that will receive the grant, with a description of the lead agency's role and responsibilities, and those of any other State agencies, and any municipal, district or area wide organizations involved in the radon program; 3) submit a work plan describing the activities and programs to be funded; 4) provide a budget specifying the Federal and applicant share of the funding for each work plan element. First time applicants must have a 3-year work plan outlining long range program goals and objectives, the tasks necessary to achieve them, the resource requirements including anticipated SIRG applicant funding levels and the desired Federal funding level. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application assistance is available through Regional radon coordinators and their Regional grants specialist counterparts. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description (TSCA 10(a) only), EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Visit [www.epa.gov/iaq/whereyoulive.html](http://www.epa.gov/iaq/whereyoulive.html) for state specific information on the state radon programs and how to contact them. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency and the appropriate EPA Regional Office listed in Appendix IV of the Catalog, or through the Grants and Interagency Agreements Management Division, 3903F, Washington, DC 20460. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** This program has no statutory formula. EPA may provide States with up to 60 percent of allowable costs of approved SIRG Program activities. TSCA Section 306 requires a progressive match for States and Tribes in the first, second and third year of participation in the SIRG program. (25%, 40%, and 50% respectively). However, in FY 2005 Congress changed the recipient match requirement to be a minimum of 40 percent for participants with three or more years in the program. Under TSCA 10(a) authority, Federally Recognized Indian Tribes are not required to provide a cost share match, but competition is required.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under TSCA Section 306, EPA normally funds grants and cooperative agreements for a period of 12-36 months. EPA negotiates project periods appropriate to the specific project, and encourages 3 year grant periods. However, EPA project periods are limited to a maximum of 5 years. Grants and cooperative agreements are fully funded or incrementally (partially) funded. Successful applicants under a competitive funding announcement are notified via U.S. mail or electronic mail. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$7,948,000; FY 09 est \$8,074,000; FY 10 est \$8,074,000

**Range and Average of Financial Assistance:**

Federal funding can range from \$15,000 to a maximum of 10% of the annual appropriation amount per State applicant and \$10,000 to \$80,000 per Tribal applicant. The average Federal funding per applicant is \$150,000 for States and \$30,000 per Tribe. Minimum awards are \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, SIRG awarded approximately 42 assistance agreements (38 states, 4 tribes) totaling \$7,948,000. In calendar 2008 an estimated 129,500 additional homes included radon-reducing features (latest data; 62,500 new homes and 67,000 existing homes). Much of this progress resulted from the work of coalitions and partnerships comprised of local governments, national and local nonprofit organizations, advocates and other leaders. The SIRG program continues to stress the importance of achieving and measuring results in the number of homes, schools, and other buildings tested and mitigated for radon; in the number of new homes built with radon-reducing features, and existing homes mitigated within real estate transactions (disclosure and property condition). Recipients are required to include the SIRG results measures template in their work plans, and projects with clear risk reduction benefits are to be preferred over projects projected to have lesser risk reducing results. Persons and organizations looking for ways to participate in the national radon risk-reduction effort should visit RadonLeaders.org. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA regulations that govern State activities under the SIRG Program are contained in the following Parts of 40 CFR: (1) Part 4, "Implementation of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1980"; (2) Part 7, "Nondiscrimination in Programs Receiving Federal Assistance from the Environmental Protection Agency"; (3) Part 29, "Intergovernmental Review of Environmental Protection Agency Programs and Activities"; (4) Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; (5) Part 32, "Debarment and Suspension under EPA Assistance Programs", and (6) Part 35; "State and Local Assistance". Applicable OMB Circulars include (1) Circular A-87, "Cost Principles for State and Local Governments," and (2) Circular A-102, "Uniform Requirements for Assistance to State and Local Governments". Other materials applicable to SIRG include: (1) Administrative Guidance for the State Indoor Radon Grants Program under Section 306, Indoor Radon Abatement Act (January 2005); (2) Indoor Radon and Radon Decay Product Measurement Device Protocols (EPA 402-R-92-004); (3) Protocols for Radon and Radon Decay Products Measurements in Homes EPA 420-R-93-003; and (4) Guidance for the Indian Radon Pilot Projects (March 1991). Visit <http://www.epa.gov/radon/sirgprogram.html> for more information.

**Regional or Local Office:**

See Regional Agency Offices. For questions of a programmatic/technical nature, contact the appropriate Regional Radon Office representative listed in Appendix IV of the Catalog. The individual Regional radon SIRG project officers can be found at <http://www.epa.gov/radon/sirgprogram.html>.

**Headquarters Office:**

Philip Jalbert Office of Radiation and Indoor Air, Environmental Protection Agency, 1310 L Street, NW., Mail Code 6609J, Washington, District of Columbia 20005 Email: [jalbert.philip@epa.gov](mailto:jalbert.philip@epa.gov) Phone: (202) 343-9431

**Website Address:**

<http://www.epa.gov/radon/sirgprogram.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The State and Tribal Indoor Radon Grant (SIRG) program has awarded grants to States and Tribes to: (1) establish effective radon programs among states, territories, and federally recognized Indian tribes; (2) increase the number of homes, schools, and other buildings tested and mitigated from radon; (3) implement radon resistant construction standards in high risk areas; (4) encourage radon testing and disclosure in connection with real estate transfers; and (5) promote environmental justice through programs and outreach efforts directed at low-income and/or culturally-diverse populations. The Agency encourages recipients to partner with other public health and environmental organizations to increase program effectiveness. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The EPA will base its review of SIRG applications on whether they reflect the program's goals and promote integrity in States' use of grant funds. Pursuant to



TSCA Section 306(e), if State applications exceed the funds appropriated for award in a fiscal year, EPA will prioritize State activities based on the following criteria: (1) the seriousness and extent of the radon contamination problem to be addressed; (2) the potential for the activity or project to bring about reduction in radon levels; (3) the potential for the development of innovative radon assessment techniques, mitigation measures as approved by the Administrator, or program management approaches which may be of use to other States; (4) the potential for the activity to implement EPA's model radon-resistant building standards; (5) the potential for the development of radon programs in high-risk areas; and (6) the potential for the activity to improve the effectiveness and viability of the State program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Under the TSCA 10(a) authority, Tribes are authorized to receive grants for demonstration projects. However, under this authority, SIRG funding is awarded competitively. EPA may establish additional criteria related to demonstration activities or other aspects of the SIRG program. All other requirements of the SIRG program are applicable to the States and Tribes unless otherwise stated in TSCA 306 or TSCA 10(a).

### **66.033 OZONE TRANSPORT COMMISSION**

#### **FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Air Act of 1990, Section 106 and 111, Public Law 101-549, 42 U.S.C 1406.

#### **OBJECTIVES:**

To develop or recommend air quality implementation plans for air quality control regions designated pursuant to Section 106 (interstate pollution) or Section 111 (interstate ozone pollution) of the Clean Air Act of 1990. Funding Priority - Fiscal Year 2009: The Ozone Transport Commission (OTC) will continue to provide a forum for the states within the Ozone Transport Region (New England and Middle Atlantic states) to develop and adopt air quality implementation plans for reducing ozone pollution pursuant to Section 106 of Section 111 of the Clean Air Act of 1990.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance funds may be used for costs specifically incurred in the conduct of interstate pollution projects in accordance with the purposes enumerated in the approved application. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

An agency or commission designated by the Governors of the affected States, which is capable of recommending to those Governors' plans for implementation of national primary and secondary ambient air quality standards and which includes representation from the States and the appropriate political subdivisions within the affected air quality control region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Municipalities, intermunicipalities, States, interstate agencies or commissions, and Federally recognized Indian tribes.

#### **Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control; evidence of the availability of non-federal matching funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 30 of the Federal Regulations. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Discussions of informal meetings with the Headquarters Program Office concerning program preparation are advisable. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Office (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Applicant must reapply.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Upon initial designation by the Governors of the affected States, pursuant to Sections 106 or 111 of the Clean Air Act of 1990, the Administrator is authorized to pay for up to 2 years, and up to 100 percent of the air quality planning program costs of an designated commission or interstate agency. After the initial 2-year period, the Administrator is authorized to make grants to such agency or such commission in amounts up to 3/5 of its air quality management plan costs. This program has no statutory formula. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with

Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0200-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$635,000; FY 09 est \$639,000; FY 10 est \$639,000

**Range and Average of Financial Assistance:**

There is only one cooperative agreement awarded under this program. The cooperative agreement will range from \$600.00 to \$650,000/fiscal year with an average award of \$635,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Ozone Transport Commission provides policy guidance to its member states and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region. They provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. This is accomplished through the development of multi-state agreements such as the NOx emissions reductions, the Clean Energy Initiative, education and outreach efforts and similar activities. OTC also participates in national forums such as the Clean Air Act advisory committee and the Air Quality Management workgroup representing its member states. This CFDA issues one grant annually in response to the Clean Air Act Amendments to establish an Ozone Transport Commission which perform the activities stated herein annually. In FY 2007, one grant was awarded for \$639,000 and one grant in FY 2008 was awarded for \$635,000. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Pat Childers, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W. Mail Code 6102A, Washington, District of Columbia 20460 Email: childers.pat@epa.gov Phone: (202) 564-1082

**Website Address:**

<http://www.otcair.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operation of the Ozone Transport Commission for the past 15 years. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated and selected in accordance with the Agency's competition policy.

**66.034 SURVEYS, STUDIES, RESEARCH, INVESTIGATIONS, DEMONSTRATIONS, AND SPECIAL PURPOSE ACTIVITIES RELATING TO THE CLEAN AIR ACT**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332; Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7401.

**OBJECTIVES:**

To support Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose assistance relating to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution to include such topics as air quality, acid deposition, climate change, global programs, indoor environments, radiation, mobile source technology and community-driven approaches to transportation and emissions reduction. Funding Priority - Fiscal Year 2009: (1) Indoor Environments. This activity will support surveys, studies, research, and/or investigations or demonstrations, performed by concerned, national, non-profit organizations that lead to effective outreach strategies to educate key audiences about indoor air pollutants and their associated health risks, and convince them to adopt effective mitigation and control strategies. Currently, the Program focuses on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and to other disproportionately impacted segments of society. These include: reducing the exposure of children and others with asthma to indoor triggers that worsen their condition; promoting the adoption of operation and maintenance practices in schools throughout the nation to reduce the harmful effects of poor indoor air quality on the health of students and staff; promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found, as well as working with homebuilders to incorporate radon resistant construction features into new homes; and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree. (2) Radiation. The Radiation Program supports technical, outreach, and educational activities relating to environmental radiation. This activity currently manages a national environmental radiation monitoring program, is prepared for and responds to incidents involving nuclear or radiological material, oversees the safe disposal of radioactive waste, maintains two laboratories that perform radiological sampling and analyses, and provides standards for protecting human health and the environment from radioactive material. Activities could include performance testing and evaluation, development of analytical procedures, and purchasing of radiation laboratory equipment. This demonstration laboratory pilot activity supports and enhances radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident. Key activities include audits and proficiency testing, provision of radiological instrumentation, supplies, training, and limited facilities upgrades. (3) Community-Scale Air Toxics Ambient Monitoring (CSATAM). The CSATAM Grant Program results in discreet two-year projects designed to assist state, local and tribal communities in identifying and profiling air toxics sources, characterizing the degree and extent of local air toxics problems, and tracking progress of air toxics reduction activities in specific local areas without reliance on often uncertain estimates of emissions and air dispersion models. Further, these grants typically allow the recipient state,

local, and tribal air pollution control agencies to establish or enhance hazardous air pollutant monitoring networks, thus providing long term capability to investigate and assess specific local air quality scenarios of concern. Note that from year to year, this program may establish categories of projects and funding targets within those categories. (4) Mobile Sources Technologies. Grants will encompass studies and investigations utilizing state-of-the-art experimental techniques in advanced engine development technology, including hydraulic hybrid drivetrains, to optimize fuel economy, reduce exhaust emissions (including PM and NOx), and improve performance. Additional grants will support studies identifying barriers to technological innovation, analyzing innovative strategies for overcoming these barriers, and encouraging the development and adoption of new vehicle and fuel technologies for the control of emissions. (5) Heavy Duty Truck Fuel Consumption and Emissions Reductions. This program will study and analyze fuel consumption and emissions reductions associated with the use of innovative technologies for heavy duty diesel trucks. Studies and evaluations will involve truck fleets that operate under varying conditions, so as to evaluate the effectiveness of the various technologies. (6) National Internet-based On-Board Diagnostic (OBD) Information Exchange. This program will support activities that maintain, update, and improve the Internet-based information clearinghouse to facilitate the accurate and timely exchange of technical information related to on-board diagnostic (OBD) between state inspection/maintenance programs, the automotive industry, and the general public. (7) Climate Change. The Climate Change Division supports activities relating to improving economic, technical and programmatic understanding of climate change. The Climate Change Division supports projects relating to technical, outreach, and education about climate change impacts, mitigation and adaptation options so that the private and public sectors may more effectively and comprehensively address their climate goals. The Climate Change Division supports projects that break down market barriers that limit investment in technologies that reduce methane and non-CO2 greenhouse gases; projects that address the technical issues surrounding sequestration and carbon storage; projects that address collection and analyses of economic data relating to climate change; and programs such as Methane to Markets that support climate technology transfer in developing and transition countries. (8) Climate Protection Partnerships. EPA funds Global climate Change programs which are voluntary government/industry partnership programs designed to capitalize on the opportunities that consumers, businesses, and organizations have for making sound investments in efficient equipment, policies and practices. During FY 2009, the Global Climate Change program will manage a number of efforts to remove barriers in the marketplace and to deploy technology faster in the residential, commercial, and industrial sectors of the economy. Our programs work by overcoming widely acknowledged barriers to energy efficiency: lack of clear, reliable information on technology opportunities; lack of awareness of energy efficient products and services; lack of financing options to turn lifecycle energy savings into initial cost savings for consumers; low incentives to manufacturers for efficiency research and development. In addition, our Global Climate Change programs will provide technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally. (9) Sustainable Skylines Initiative. The Sustainable Skylines Initiative (SSI) is intended to result in projects that: maximize federal, state, regional, and local resources to provide tangible cross-cutting projects that result in specific air, water, waste and livability benefits; provide economy of scale to amplify media attention, level of support, and outreach ability for specific projects while showing a larger sustainability effort; and bridge city and regional sustainability efforts to re-energize existing programs and developing key emerging priorities. A project must be in the nature of research, investigation, study, experiment or demonstration designed to advance the state of the knowledge in the chosen area. The overall goal of the SSI is to work in partnership with the funded entity to create a locally-led, self-sustaining, community-based partnership that will continue to improve the local environment, even after the funding agreement ends. During FY 2009, the program will initiate efforts with new communities selected for the SSI.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients'

allowable direct costs incident to approved Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Eligibility for projects awarded or competed exclusively with State and Tribal Assistance Grant (STAG) funds is limited to air pollution control agencies, as defined in section 302(b) of the Clean Air Act that are also eligible to receive grants under section 105 of the Clean Air Act, and/or federally recognized tribes. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: While there is no statutory or regulatory cost sharing requirement for this program, as a matter of policy the Agency may impose a cost sharing requirement in specific competitions. If the Agency decides to do this, the cost sharing terms will be stated in Section III of the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. Such notification is contingent upon information contained in the resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

Yes, Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Yes, Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Yes, Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Yes, Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$18,001,650; FY 09 est \$9,161,000; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

EPA generally award grants ranging in value from \$5,000 to \$750,000 per fiscal year. The average value of each grant is \$150,000 per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Data Not Available. This CFDA is utilized by EPA Headquarters and the regions. Specific program accomplishments are unavailable. Prospective applicants may contact the individual listed in #152 below for more information. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, Research, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Courtney Hyde, EPA, Office of Air and Radiation, 1200 Pennsylvania Avenue, N.W., Washington, District of Columbia 20460 Email: hyde.courtney@epa.gov  
Phone: (202) 564-1227.

**Website Address:**

<http://www.epa.gov/air/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects are: Conducting training courses for environmental health professionals on indoor air quality topics including asthma triggers, schools, radon, indoor air quality in large buildings, and community outreach; Climate change tribal impacts, communications, and outreach; Activities that advance methane recovery and use as a clean energy source; Integrated assessment of multiple greenhouse gases, climate impacts, and pollution; National Education Association Health Information Network; Implementation of energy-efficient standards and labeling programs in developing countries; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education benefits of renewable energy, encouraging state and local governments to make green power purchases; Demonstrating the effectiveness and viability of retrofit technologies in reducing harmful air emissions from existing diesel highway, heavy-duty vehicles and to achieve actual local emission reductions; Educating the business and consumer sectors on the benefits of improving energy performance; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education on the benefits of renewable energy, encouraging state and local governments to make green power purchases, and; Projects that reduce emissions through improved greenhouse gas management and clean energy programs. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Surveys, Studies, Research, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## **66.035 COMMUNITY ACTION FOR A RENEWED ENVIRONMENT (CARE) PROGRAM**

(CARE)

### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a), Public Law 106-74; Clean Air Act, Section 103(b)(3); Safe Drinking Water Act, Section 1442(a)&(c)(A); Marine Protection, Research, and Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001; Toxics Substances Control Act, Section 10, Public Law 106-74; National Environmental Policy Act, Section 102(2)(F).

### **OBJECTIVES:**

To support analyses, studies, evaluations, surveys, investigations, conferences, demonstrations and special purpose projects which empower communities to reduce risks from exposures to toxic pollutants in the air, in the water, and on the land through collaborative action at the local level. Funding Priority - Fiscal Year 2009: The CARE program aims to: (1) Reduce exposures to toxic pollutants through collaborative action at the local level; (2) Help communities gain an understanding of all potential sources of exposure to toxic pollutants; (3) Work with communities to set priorities for risk reduction activities; and, (4) Create self sustaining, community based partnerships that will continue to improve the local environment. The following program strategies will be used: (1) Provide information and a variety of tools to help communities understand and assess toxic risks; (2) Collaborate with community stakeholder groups to prioritize plans for risk reduction; (3) Mobilize local resources and utilize EPA voluntary programs to implement risk reduction activities; (4) Link EPA programs together to efficiently support communities; (5) Create a positive environment that encourages all members of the community including businesses and colleges and universities to join the collaborative partnership; (6) Facilitate networking among CARE communities to share experiences and lessons learned; and, (7) Build long term community capacity to continue improving the local environment.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Cooperative Agreements are available to support recipients' allowable direct costs incident to approved surveys, analyses, studies, evaluations, conferences, investigations, demonstrations and special purpose projects plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### **Applicant Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate. Proposals to renew or supplement existing projects are eligible to compete. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### **Beneficiary Eligibility:**

Local, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate.

### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle

investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, D.C. 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 180 days.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations. This program has no statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements and most CARE awards will be for 18 to 36 months. EPA limits project periods to 5 years. Any resulting cooperative agreement awards will normally be awarded on a quarterly basis. Applicants will be notified of an award in accordance with the information specified in any resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements will be fully funded by a lump sum or partially funded yearly.

**Reports:**

Yes, Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Yes, Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Yes, Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. No expenditure reports are required. Yes, Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofit and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in cooperative agreements available to personnel authorized to examine EPA recipients cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$2,540,967; FY 09 est \$2,049,297; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Cooperative agreements awarded based on Level I agreements will range from \$75,000 to \$100,000 with an average Level I award of \$90,000. Level II agreements will range from \$150,000 to \$300,000 with an average Level II award of \$275,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The CARE program uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. In FY06, OAR received 110 applications in response to the CARE assistance agreement competition, and 17

were selected to receive cooperative agreements funding in October 2006. In FY07 we received 130 applications and funded 22 projects, including two of the FY 05 Level I projects who successfully completed their project and competed for and received a Level II grant. In FY 08 we received 140 applications and funded 18 projects, including two of previously funded Level I projects who successfully completed their project, competed for and received a Level II grant. Fiscal Year 2009: In FY 2009 we received over 233 applications and estimate awarding 9 grants. CARE communities have implemented a variety of EPA Voluntary Programs and reduced citizen's exposure to toxics including lead, diesel emissions, mercury and environmental tobacco smoke. The communities have also reduced emissions of green house gases. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Marva King, EPA Headquarters, Ariel Rios Building , 1200 Pennsylvania Avenue, N. W. , Mail Code: 6101A  
, Washington, District of Columbia 20460 Email: king.marva@epa.gov Phone: (202) 564-2599.

**Website Address:**

<http://www.epa.gov/care/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: CARE is a unique community-based, community-driven, multimedia demonstration program designed to help communities understand and reduce risks due to toxic and environmental pollutants from all sources. Projects funded under the CARE program include: (1) the development of an assessment of toxins and pollution sources used to educate residents about their impact on local health and the environment; (2) assisting owners of homes with lead-based paint in obtaining remediation funds and development of a neighborhood toxic education program; (3) the study of all potential local sources of toxic risk in order to develop a long-term voluntary toxics management system to reduce the generation of toxic pollutants; (4) the creation of a Community Partnership that is a multi-stakeholder group - that includes industries, communities, small business owners - to conduct a community capacity building program to identify the concerns of the communities and to discuss how to address them; and (5) a collaborative project with community agencies to address the negative environmental and public health impact that small automotive repair and body shops have on their employees and neighbors, while avoiding putting shops out of business by regulatory enforcement. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives and; for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.036 CLEAN SCHOOL BUS USA**

(CSBUSA)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

FY 2006 Interior, Environment and Related Agencies Appropriations Act; Energy Policy Act of 2005.

**OBJECTIVES:**

To support projects relating to necessary upgrades to diesel school bus fleets. CSBUSA is a national initiative to minimize children's exposure to diesel exhaust by reducing pollution from school buses. The program has three key elements: 1) reduce school bus idling; 2) retrofit 1991-2006 model year buses with devices that reduce pollution, and 3) replace pre-1990 buses with new, clean-technology buses. Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040. Funding Priority - Fiscal Year 2009: Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to necessary upgrades to diesel school bus fleets plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

**Applicant Eligibility:**

Local and Federally Recognized Indian Tribal Governments, local and state governments, school districts, non-profit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local, Anyone/General Public.

**Credentials/Documentation:**

Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA awards grants and cooperative agreements supporting the mission of the Office of Air and Radiation, based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional

Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will administratively evaluate each application to determine the adequacy of the application in relation to EPA's general grant regulations. EPA's Office of Air and Radiation and/or the 10 EPA regions will evaluate applications to determine the merit and relevance of proposed projects. Applications/proposals will also be reviewed in accordance with the terms, conditions and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the competitive announcement closed.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. All projects have been fully funded. Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 5%. This program does not have a statutory formula. The match required for this program is set at a minimum of 5%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040. See the following for information on how assistance is awarded/released: Previous assistance agreements were fully funded (lump sum) or incrementally (quarterly) funded. Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - FY 08 - \$0 ; FY 09 - \$0 ; FY 2010 - \$0 (projected) Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040.

**Range and Average of Financial Assistance:**

Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040. The general range of the amount of assistance was \$200,000 \$400,000. The average was \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2007, EPA awarded 45 grants for an estimated \$6,900,000. Projects categorized under this CFDA are now funded under the Diesel Emissions Reduction Act (DERA) CFDA 66.039 and/or CFDA 66.040. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Clean School Bus USA grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller of the Clean School Bus USA program.

**Headquarters Office:**

Jennifer Keller Ariel Rios Building  
1200 Pennsylvania Avenue, N.W.  
Mail Code: 6405J, Washington, District of Columbia 20460 Email:  
keller.jennifer@epa.gov Phone: 202-343-9541

**Website Address:**

<http://www.epa.gov/cleanschoolbus>

**RELATED PROGRAMS:**

66.039 National Clean Diesel Funding Assistance Program; 66.040 State Clean Diesel Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects chosen in the Clean School Bus assistance agreement competition include both the retrofitting of newer school buses and the purchase of new buses to replace some of the very oldest in the nation's fleet. Examples of funded projects include: a new hybrid-electric school bus; use of diesel oxidation catalysts and biodiesel blended fuel (B20) for buses in three counties; retrofitting of 11 school buses with advanced emission control technology to eliminate particulate matter and volatile organic compounds which contribute to poor air quality; school bus retrofit project to reduce diesel emissions generated by school buses used by special-needs children; and the

installation of diesel particulate filters or diesel oxidation catalysts and crankcase emission control systems on school buses initiating the use of ultra low sulfur diesel fuel early and in the interim support using biodiesel. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Clean School Bus USA projects for funding based on criteria specified in the solicitation, and the likelihood of success, as well as factors such as relevancy to EPA's mission, and technical merit. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.037 INTERNSHIPS, TRAINING AND WORKSHOPS FOR THE OFFICE OF AIR AND RADIATION**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3), Public Law 42-7403; National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332.

**OBJECTIVES:**

To provide, Internships, Training, Workshops, and Technical Monitoring in support of the Clean Air Act. These activities aim to: (1) support the development of career-oriented personnel qualified to work in occupations involving environmental protection and air pollution abatement and control; (2) provide technical training for State, local, territorial, and Indian Tribal environmental control agencies; (3) enhance the capability of state and local agencies responsible for environmental pollution control or other agencies with similar pollution control responsibilities; (4) provide educational renewal for career oriented personnel to achieve additional knowledge through academic professional training; (5) provide both undergraduate and graduate students in science, engineering, and other relevant fields with education and training opportunities to enhance their understanding of air quality-related topics; and, (6) to increase the quality and number of people into the environmental control field. Funding Priority - Fiscal Year 2009: This program will continue to provide training in all aspects of air quality, develop workshops in air quality based on identified needs, and provide technical support to ensure quality information is available to support programs and use knowledge developed in training workshops.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreements are available to support recipients' allowable direct costs incident to approved projects for internships, training and workshops related to environmental issues plus allowable indirect costs, in accordance with established EPA policies and regulations. This requirement does not involve geospatial information.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the Federally Recognized Indian Tribal Government, District of Columbia and possessions of the U.S., international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**



Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants must submit their requests for training assistance on EPA Standard Form 424 and the fellowship assistance on EPA Standard Form 5770-2. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the deadline for the Request for Applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. All projects will be fully funded.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

If the grant is not fully funded at time of award, EPA normally funds grants on a 12-month incremental basis. Each grant is limited to a three (3) year duration. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant

Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$8,611; FY 09 est \$100,298; FY 10 est \$125,874

**Range and Average of Financial Assistance:**

EPA generally awards grants ranging in value from \$50,000 to \$500,000 per fiscal year. The average amount is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The US-Mexico Border Environmental Education Program successfully recruited 10 undergraduate students to participate in the educational component during the regular semesters. All students come from different disciplines in science and engineering. The students come from South Texas and the Border region. There is also a training component during the Summer term. Support is also provided to graduate environmental engineering students to serve as mentors for the undergraduate students. This comprehensive project will support students who are in the field of studies in engineering and science who will work on air pollution problems. Undergraduate students receive individual semester fellowship and graduate students are awarded yearly fellowships to support their laboratory efforts and activities related to the program. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training grants are subject to EPA's General Grant Regulations 40 CFR Part 30 and Part 31; 40 CFR Part 45; and EPA Annual Program Guidance provided to State and Local agencies.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Linda Zarow Office of Air and Radiation  
Ariel Rios North Building  
1200 Pennsylvania Avenue, N.W.  
Mail Code 6101A, Washington, District of Columbia 20460 Email:  
[zarow.linda@epa.gov](mailto:zarow.linda@epa.gov) Phone: (202) 564-7431

**Website Address:**

<http://www.epa.gov/air>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Texas A&M University has awarded 10 student internships. Examples of projects include; monitoring and modeling of aerosol technology, exposure and health effects of air-pollution including human exposure to ultrafine particles, and environmental pollutants relating environmental cardiology. Undergraduate students will participate in a two-week field trip during the summer. These field trips will serve as a learning experience to enhance student's knowledge on three key areas in the stewardship of air-quality. Those areas include; environmental laws and regulation, scientific research and technical regional processes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.038 TRAINING, INVESTIGATIONS, AND SPECIAL PURPOSE ACTIVITIES OF FEDERALLY-RECOGNIZED INDIAN TRIBES CONSISTENT WITH THE CLEAN AIR ACT (CAA), TRIBAL SOVEREIGNTY AND THE PROTECTION AND MANAGEMENT OF AIR QUALITY**

(Tribal CAA 103 Project Grants)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7403.

**OBJECTIVES:**

To support Federally-recognized Indian Tribes' efforts to understand, assess and characterize air quality; design methods and plans to protect and improve air quality on tribal lands through surveys, studies, research, training, investigations, and special purpose activities. To ensure tribes have appropriate levels of support and opportunity to understand their air quality and take proactive measures to preserve, restore and protect air quality for their reservations and other lands over which they have jurisdiction through tribal program implementation, CAA implementation, radiation protection, mobile source controls, and voluntary programs to address outdoor and indoor air and other concerns. To ensure that all tribes have the tools they need to understand and participate in local, regional and national issues, regulatory and policy developments, and to protect their air quality from activities off the reservation that may affect or impact them. To improve the ability of tribes to understand, define, design and participate in activities that affect their air quality. Funding Priority-Fiscal Year 2009: EPA and Tribes, in partnership, will protect public health, the environment, and unique Tribal air resources, consistent with the CAA, its Amendments, and EPA's trust responsibilities. This program will ensure Tribes have appropriate levels of support and opportunity to understand their own air quality and take proactive measures to preserve, restore, and protect air quality for their reservations and other lands over which they have jurisdiction through CAA implementation, radiation protection, mobile source controls, and voluntary programs to address indoor and outdoor air and other concerns. Activities will ensure that all Tribes have the tools they need to understand and participate in local, regional, and national issues and to protect their air quality from changes off reservation that may impact them. Key activities include: (1) Training and Program Development - this area includes technical, administrative, and policy related training conducted in-person, on-line, and/or by any remote technological method supporting the enhancement of skills that contribute to development of tribal air quality management activities; (2) Assessment and Monitoring - activities related to assessment may include short or long term efforts to define, design, understand, and assess in a qualitative or quantitative manner (such as through an emission or source inventory) the impacts of air pollutants to human health, the environment, and items of cultural importance. Monitoring includes numerous activities that gather data about the state of the environment and measuring the concentrations and potential effects of criteria and/or toxic air pollutants; (3) Developing capacity or a plan for eligibility under the Tribal Authority Rule - developing capacity includes activities that increase the experience and expertise of tribes to understand and assess air quality, including technical,

administrative, policy, regulatory, education and outreach, communication skills, training, and building contacts, networks and experience. Capacity includes carrying-out these programs and activities, interacting with the national air program and providing input, guidance, and perspective to efforts to develop policies, regulations, and guidance at the local, regional, and national level including reading, report writing, grant writing and reporting, budgeting, public speaking, developing presentations, preparing comments, editing documents, operating and maintaining equipment, and participating in meetings. Developing a plan for eligibility under the Tribal Authority Rule (TAR) includes report reading and writing, grant writing and reporting, budgeting, public speaking, presentation development, comment preparation, document editing, equipment operation and maintenance, and meeting participation; (4) Delegation or Ongoing Capability Development - This activity includes developing technical, administrative, and management skills, knowledge, and abilities through experience, training, and education to enable activities such as reading and interpreting federal regulations, operating equipment, preparing and presenting technical information and reports, interacting with tribal communities and governments, federal bureaucrats and bureaucracy, providing outreach and education, public speaking, conducting public hearings, collecting and analyzing data, developing plans and innovative approaches to pollution control in a culturally sensitive manner; and (5) Tribal Implementation Plan development - tribes may conduct all aspects of air quality management at an advanced level, including data analysis, analyzing, interpreting and commenting on administrative and regulatory requirements and activities at local, state, regional and national levels, developing advanced technical, policy and planning document preparation, and tribal government representation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipient's allowable direct costs incident to approved Tribal air resources activities that will protect public health and the environment, plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Executive Order 12372 does not apply to the program.

**Applicant Eligibility:**

Assistance under this program is generally available to Federally-recognized Indian Tribes and Intertribal Consortia, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Tribal CAA 103 Project Grants have been determined by the Agency as exempt from competition under EPA Order 5700.5A1.

**Beneficiary Eligibility:**

Federally-recognized Indian Tribes and Intertribal Consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division,

3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review and evaluate applications, proposals, and/or submissions in accordance with EPA policies/regulations for non competitive assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds assistance agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded (lump sum) or incrementally (quarterly) funded.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Recipients are subject to the retention and access requirements for records under 40 CFR Part 31.42. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grant and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304 - Resulting awards are funded using the following accounts: Environmental Program & Management (EPM), Science & Technology (S&T), and State & Tribal Air Grants (STAG).

**Obligations:**

(Project Grants) FY 08 \$9,589,688; FY 09 est \$13,300,000; FY 10 est \$13,300,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance; the maximum is \$7,750,000. The general range of the amount of assistance is \$25,000 to \$500,000. The average is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY2009 this program provided 99 tribal governments with funding to develop capacity and conduct approved activities under the CFDA. Funded tribes are developing tribal air quality management programs, increasing environmental protection for areas under their jurisdiction, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management, a desirable outcome. Tribes also completed a number of activities, including developing Tribal Implementation Plans, completing requests for CAA eligibility for both administrative and programmatic CAA elements. Fifteen specialized tribal training workshops have been conducted training 169 individuals from 148 tribes across the nation. Over 100 individuals from 46 different tribes have requested and received individualized technical support, information or assistance on a variety of air quality management topics. Roughly ten interns have been placed each summer in air quality management offices nationwide, including at tribal government and US EPA Offices to advance their air quality management skills. Fiscal Year 2009: In FY2009 this program provided 99 tribal governments with funding to develop capacity and conduct approved activities under the CFDA. Funded tribes are developing tribal air quality management programs, increasing environmental protection for areas under their jurisdiction, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management, a desirable outcome. Tribes also completed a number of activities, including developing Tribal Implementation Plans, completing requests for CAA eligibility for both administrative and programmatic CAA elements. Fifteen specialized tribal training workshops have been conducted training 169 individuals from 148 tribes across the nation. Over 100 individuals from 46 different tribes have requested and received individualized technical support, information or assistance on a variety of air quality management topics. Roughly ten interns have been placed each summer in air quality management offices nationwide, including at tribal government and US EPA Offices to advance their air quality management skills. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training, Investigations, and Special Purpose grants and cooperative agreements are subject to EPA General Grant Regulations 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Darrel Harmon USEPA Headquarters  
Ariel Rios Building

1200 Pennsylvania Avenue, N. W.  
Mail Code: 6101A , Washington, District of Columbia 20460 Email:  
harmon.darrel@epa.gov Phone: (202) 564-7416

**Website Address:**

<http://www.epa.gov/air/tribal>

**RELATED PROGRAMS:**

66.001 Air Pollution Control Program Support; 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Ninety nine grants awarded to fund tribal air quality management program development, air quality assessments, air pollution emission inventory development, tribal air quality monitoring for ozone, particulate matter, sulfur dioxide, nitrogen oxides, acid deposition, and mercury; development and implementation of TAS authority under the Tribal Authority Rule and CAA program development and implementation of administrative and programmatic elements of the CAA; smoke management plans (Nez Perce Tribe); Tribal Implementation Plans at St. Regis Mohawk Tribe, Mashantucket-Pequot Tribal Nation; Air Quality Management Program development (Gila River Indian Community), American Indian Air Quality Training Program including the Tribal Air Monitoring Support Center, a partnership between tribes, EPA and Northern Arizona University to provide training and technical support to tribes monitoring air quality; and, the Environmental Education Outreach Program at Northern Arizona University, to encourage tribal students to pursue careers in air quality, where they are significantly under-represented. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications and proposals are selected for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. Tribal CAA 103 Project Grants have been determined exempt from competition under EPA Order 5700.5A1.

**66.039 NATIONAL CLEAN DIESEL FUNDING ASSISTANCE PROGRAM**

(DERA National Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

The Energy Policy Act of 2005, Public Law 109-58; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act; FY 2008 Interior, Environment and Related Agencies Appropriations Act; American Recovery and Reinvestment Act of 2009 (Recovery Act), Title 7.

**OBJECTIVES:**

Sections 792 of the Energy Policy Act of 2005 authorize EPA to award grants and low-cost revolving loans to eligible entities to fund the costs of a retrofit technology that significantly reduces emissions through development and implementation of a certified engine configuration, verified technology, or emerging technology for buses (including school buses), medium-duty or heavy-duty trucks, marine engines, locomotives, or nonroad engines or vehicles used in construction, handling of cargo (including at port or airport), agriculture, mining, or energy production. In addition, eligible entities may also use funds awarded for programs or projects to reduce long-duration idling using verified technology involving a vehicle or equipment described above, or the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. The objective of the assistance under this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas.

In addition, Recovery Act grants and cooperative agreements must support American Recovery and Reinvestment Act of 2009's goals to preserve and/or create jobs and promote economic recovery; maximize job creation and economic benefit; assist those most impacted by the present economic

conditions; provide investments needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection and other activities that will provide long-term economic benefits; commence expenditures and activities as quickly as possible consistent with prudent management; track and measure an applicant's progress towards achieving the Recovery Act funding priorities. Funding Priority-Fiscal Year 2009: This program aims to work aggressively to reduce the pollution emitted from diesel engines across the country through the implementation of varied control strategies and aggressive involvement of national, state, and local partners. Priority shall be given to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Will maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and Cooperative agreements are available to support recipient's allowable costs incident to supporting projects to reduce emissions from diesel engines, plus allowable indirect costs, in accordance with established EPA policies and regulations. Grant or cooperative agreement or loan funds cannot be used to fund the costs of emissions reductions that are mandated under Federal, State or local law; fund any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. Voluntary or elective emission reduction measures shall not be considered "mandated", regardless of whether the reductions are included in the State implementation plan of a State. Distribution of Funds: 1) not less than 50 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the benefit of public fleets; 2) not less than 90 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for projects using-a certified engine configuration; or a verified technology;3) not more than 10 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the development and commercialization of emerging technologies.

In addition, Recovery Act grants and cooperative agreements must support American Recovery and Reinvestment Act of 2009's goals to preserve and/or create jobs and promote economic recovery; maximize job creation and economic benefit; assist those most impacted by the present economic conditions; provide investments needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection and other activities that will provide long-term economic benefits; commence expenditures and activities as quickly as possible consistent with prudent management; track and measure an applicant's progress towards achieving the Recovery Act funding priorities.

**Applicant Eligibility:**

A regional, State, local or tribal agency or port authority with jurisdiction over transportation or air quality; and a nonprofit organization or institution that represents or provides pollution reduction or educational services to persons or organizations that own or operate diesel fleets; or has, as its principal purpose, the promotion of transportation or air quality are eligible for assistance under this program. City, county, or municipal agencies, school districts, and metropolitan planning organizations (MPOs) that have jurisdiction over transportation or air quality are all eligible entities under this program to the extent that they fall within the definition above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the

Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225, for State and local governments and Indian Tribes, OMB Circular No. A-21, found at 2 CFR 220, for educational institutions, and OMB Circular No. A-122, found at 2 CFR 230, for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. By law Section 792 includes application requirements. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. In addition, Recovery Act competitions for the National Clean Diesel Funding Assistance Program will be conducted in accordance with OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of

funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: There is no requirement for a matching contribution from applicants other than for certain projects (engine repowers, vehicle/equipment replacements and school bus replacements). Proposed projects involving engine repowers, vehicle/equipment replacements or school bus replacements are subject to funding limitations, which are:

Engine Repower EPA will fund up to 75% of the cost of an engine repower.

Vehicle/Equipment Replacement EPA will fund up to 25% of the cost of a new vehicle or piece of equipment (except for school buses; see below).

School Bus Replacement - For buses that meet EPA's 2010 emissions standards for heavy-duty on-highway vehicles, EPA will fund 50% of the cost of a replacement school bus.

For buses that meet EPA's 2007 emissions standards for heavy-duty on-highway vehicles, EPA will fund 25% of the cost of a replacement school bus. Proposals that include engine repowers, vehicle or equipment replacements and/or school bus replacements must indicate the cost-share match in the application in order to be eligible.

Applicant's must address American Recovery and Reinvestment Act of 2009's goals to preserve and/or create jobs and promote economic recovery; maximize job creation and economic benefit; assist those most impacted by the present economic conditions; provide investments needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection and other activities that will provide long-term economic benefits; commence expenditures and activities as quickly as possible consistent with prudent management; track and measure an applicant's progress towards achieving the Recovery Act funding priorities. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants and cooperative agreements funded under the National Clean Diesel Funding Assistance Program will have up to a five-year project period. FY 2009 is the second year of funding for this Program. Recovery Act Funding assistance agreements will have a project period from approximately May 1, 2009 to September 30, 2010. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit program reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit financial reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit progress reports to [recovery.gov](http://recovery.gov) and EPA in accordance with Recovery Act requirements, OMB and Agency guidance. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to comply with Recovery Act requirements, OMB and Agency guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the American Recovery and Reinvestment Act, OMB guidance and Agency policies; EPA Office of Inspector General, EPA's program and administrative staff are committed to increased auditing and oversight of all Recovery Act assistance agreements to ensure all funds are used appropriately and accounted for.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Salaries) FY 08 \$34,400,000; FY 09 est \$42,000,000; FY 10 est \$42,000,000 - FY 08 - \$34.4 million; FY 09 - \$42 million; FY 2010 - \$42 million (projected); Recovery Act - \$205.8 million.

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Smaller grants typically range from \$100,000 - \$300,000 with an average award of \$125,000. Larger grants typically range from \$500,000 - \$2 million with an average award of \$650,000.

Recovery Act Funding under the National Clean Diesel Funding Assistance Program \$205,800,000 will be divided into 3 competitive categories:

National Clean Diesel Funding Assistance Program: The National Clean Diesel Funding Assistance Program under the Recovery Act has minimum and maximum award amounts. It is anticipated that 150-200 awards ranging in value from \$100,000 to \$10 million, depending on the EPA Region's minimum and maximum award amounts as announced in the Request for Applications.

Clean Diesel Emerging Technologies Program: Recovery Act Funding for the Clean Diesel Emerging Technologies Program anticipates 10-20 awards ranging in value from approximately \$500,000 to \$3 million.

SmartWay Clean Diesel Finance Program: Recovery Act Funding for the Clean Diesel Finance Program anticipates 1-6 awards ranging in value from approximately \$3 million to \$30 million.

SmartWay Clean Diesel Finance Program: Recovery Act Funding for the Clean Diesel Finance Program anticipates 1-6 awards ranging in value from

approximately \$3 million to \$30 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008, \$34,400,000 was dispersed through approximately seventy grants nationwide. For a list of awarded grants, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "Grants and Funding.". Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Diesel Emissions Reduction program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 30 and Part 31, as applicable). In addition, Recovery Act grants and cooperative agreements must comply the terms of American Recovery and Reinvestment Act of 2009, as well as OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

**Headquarters Office:**

Jennifer Keller Environmental Protection Agency  
1200 Pennsylvania Avenue, N.W.  
Mail Code: 6405J, Washington, District of Columbia 20460 Email:  
[keller.jennifer@epa.gov](mailto:keller.jennifer@epa.gov) Phone: (202) 343-9541

**Website Address:**

<http://www.epa.gov/cleandiesel>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects that may be eligible include a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production (including stationary engines such as generators or pumps). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.040 STATE CLEAN DIESEL GRANT PROGRAM**

(DERA State Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Title 7; The Energy Policy Act of 2005, Public Law 109-58; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009; FY 2008 Interior, Environment and Related Agencies Appropriations Act.

**OBJECTIVES:**

Section 793 of the Energy Policy Act of 2005 authorizes EPA to award assistance agreements to States to develop and implement such grant and low-cost revolving loan programs in the State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions.

In addition, Recovery Act grants and cooperative agreements must support American Recovery and Reinvestment Act of 2009's goals to preserve and/or create jobs and promote economic recovery; maximize job creation and economic benefit; assist those most impacted by the present economic

conditions; provide investments needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection and other activities that will provide long-term economic benefits; commence expenditures and activities as quickly as possible consistent with prudent management; track and measure an applicant's progress towards achieving the Recovery Act funding priorities. Funding Priority-Fiscal Year 2009: To the extent practicable, States receiving assistance under this program shall give priority to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support the development and implementation of such grant and low-cost revolving loan programs in a State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions. A grant or loan funded by the State using funds from the DERA State Program may be used for a project relating to a certified engine configuration or a verified technology. Funds received under Subtitle G of the Energy Policy Act (Diesel Emissions Reduction) may not be used to pay a matching share under this program or fund any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. Funds may be used for projects involving EPA-verified and/or California Air Resources Board (CARB) -listed diesel emissions reduction technologies and/or EPA certified engines, or emerging diesel emissions reduction technologies or strategies.

In addition, Recovery Act grants and cooperative agreements must support American Recovery and Reinvestment Act of 2009's goals to preserve and/or create jobs and promote economic recovery; maximize job creation and economic benefit; assist those most impacted by the present economic conditions; provide investments needed to increase economic efficiency by spurring technological advances in science and health; invest in transportation, environmental protection and other activities that will provide long-term economic benefits; commence expenditures and activities as quickly as possible consistent with prudent management; track and measure an applicant's progress towards achieving the Recovery Act funding priorities. Funds received under Subtitle G of the Energy Policy Act (Diesel Emissions Reduction) may not be used to pay a matching share under this program or fund any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

**Applicant Eligibility:**

Assistance under this program is available to the 50 states and the District of Columbia.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs for State governments will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The Application Procedure will be outlined in the Federal Register Notice of Availability of Funds.

**Award Procedure:**

EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the Federal Register Notice of Availability of Funds for this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process as outlined in the Federal Register Notice of Availability of Funds.

**Formula and Matching Requirements:**

Statutory Formula: Title Subtitle G Diesel Emissions Reduction, Section 793(c)(2).

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements funded under this program may have up to a seven-year project period. Applicants will be notified of an award in accordance with the information specified in the Federal Register Notice of Availability of Funds. Recovery Act Funding assistance agreements will have a project period from approximately March 26, 2009 to September 30, 2010. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit program reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR

Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit financial reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit progress reports to recovery.gov and EPA in accordance with Recovery Act requirements, OMB and Agency guidance. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to comply with Recovery Act requirements, OMB and Agency guidance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the American Recovery and Reinvestment Act, OMB guidance and Agency policies; EPA Office of Inspector General, EPA's program and administrative staff are committed to increased auditing and oversight of all Recovery Act assistance agreements to ensure all funds are used appropriately and accounted for.

#### **Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Salaries) FY 08 \$14,800,000; FY 09 est \$18,000,000; FY 10 est \$18,000,000 - FY 08 - \$14.8 million; FY 09 - \$18 million; FY 2010 - \$18 million (projected); Recovery Act - \$88,230,000.

#### **Range and Average of Financial Assistance:**

There is no minimum or maximum amount of assistance. The range is estimated from \$300,000 to \$3,000,000 with an average award of \$300,000, depending on the number of States participating. In FY 2008, the base funding was \$197,600. The incentive for matching was \$98,440. Recovery Act funding for the 50 states and the District of Columbia is totaled at \$88,230,000 or \$1,730,000 each.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, all 50 States participated in the program. Each State was awarded a cooperative agreement for clean diesel activities. Thirty-two States matched the EPA base funds and received the incentive funds. For a complete list of State Clean Diesel program cooperative agreements, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "State Program.". Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

State Clean Diesel Grant Program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 31). Guidelines for applying for funds under this program will be published in the Federal Register. In addition, Recovery Act grants and cooperative agreements must comply the terms of American Recovery and Reinvestment Act of 2009, as well as OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009.

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

#### **Headquarters Office:**

Jennifer Keller US Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, District of Columbia 20460  
Email: [keller.jennifer@epa.gov](mailto:keller.jennifer@epa.gov) Phone: (202) 343-9541

#### **Website Address:**

<http://www.epa.gov/cleandiesel>

#### **RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.039 National Clean Diesel Funding Assistance Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for awards under this CFDA description will be described in the Federal Register Notice of Availability of Funds.

#### **66.041 CLIMATE SHOWCASE COMMUNITIES GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

##### **AUTHORIZATION:**

FY 2009 Appropriations Act, Public Law 111-8.

##### **OBJECTIVES:**

Public Law 111-8 authorizes EPA to award competitive grants to communities to develop plans and demonstrate and implement projects which reduce greenhouse gas emissions. EPA will implement this grant authority by awarding grants to local and tribal governments for Planning, Demonstrations, and Implementation Projects designed to address climate change by reducing greenhouse gas emissions. Such projects should include a plan for measuring documentable reductions in greenhouse gas emissions and exhibit the capacity for replication. Grant activities should aim to: 1) reduce emissions of greenhouse gases; 2) build capacity within local and tribal agencies to address greenhouse gas emissions within their communities; 3) create meaningful and sustainable programs and management systems to achieve ongoing reductions; 4) link climate change initiatives with broader environmental, economic, and social concerns; 5) build and leverage partnerships across multiple stakeholder groups that facilitate front-end participation by communities impacted by climate change; and 6) create models of success that can be replicated across the nation. Funding Priority - Fiscal Year 2009: The Climate Showcase



Communities Grant Program will support robust local and tribal initiatives that demonstrate potential for documentable reductions; integrate funded activities within a broader framework for climate management; leverage funding from other sources; contain clear mechanisms to share results and lessons learned within and outside of the community; and encourage economic, social, health and environmental co-benefits (e.g. green job creation, improve transit access for disadvantaged communities, public health improvements, reduce stormwater runoff, or reduction of co-pollutants produced concurrent with greenhouse gases).

In addition, the Climate Showcase Communities Grant Program seeks to support program focus areas that span a range of local and tribal government attributes (including geographic location, demographic makeup, community size, economic circumstances, and level of previous climate change activity) and a range of project areas. Funding will be available for applicants who address greenhouse gas mitigation in one or more of the following priority areas: 1) energy use in municipal operations (including energy, water, and wastewater utilities); 2) energy use in residential, commercial, and/or industrial buildings; 3) transportation planning or vehicle miles traveled reduction programs; 4) land use planning; 5) solid waste management; 6) heat island management; 7) energy generation activities; and, (8) other innovative activities which generate measurable reductions of greenhouse gases.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

EPA will implement this grant authority by awarding grants to local and tribal governments for Planning, Demonstrations, and Implementation Projects designed to address climate change by reducing greenhouse gas emissions. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Local governments - a county, municipality, city, town, township, local public authority (including any public and Indian housing agency) school district, special district, intrastate district, council of governments, any other regional or interstate government entity, or any agency or instrumentality of a local government. Federally recognized Indian tribal governments, the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including Native villages) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs. Intertribal Consortia, a partnership between two or more Tribes that is authorized by the governing bodies of those Tribes to apply for and receive assistance under this program. Intertribal Consortia are eligible to receive grants under this program only if the Consortium demonstrates that all members of the Consortium meet the eligibility requirements for the grant and authorize the Consortium to apply for and receive assistance by submitted to EPA documentation of (1) the existence of the partnership between Indian Tribal governments, and (2) Authorization of the Consortium by all its members to apply for and receive the grant(s) for which the Consortium has applied.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local Governments and Federally-recognized Indian Tribes, Intertribal Consortia, General Public.

**Credentials/Documentation:**

Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive

funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA policies/regulations for competing assistance agreements. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation, other Headquarters Program Offices, and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA intends to fully fund projects with the initial award, but reserves the right to incrementally fund projects as appropriate.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The match required for this program is set at 50% with the exception of tribal governments who are exempt from matching requirements. This program does not have a statutory formula, but EPA may allocate 5% of the funds to tribal governments.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants and/or cooperative agreements funded under the Climate Showcase Communities Grant Program will have up to a five-year project period. However EPA will negotiate the project period with each applicant based on project requirements. It is anticipated that most Climate Showcase Community awards will be for 24 to 36 months. FY 2009 is the first year of funding for this

Program. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$10,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. EPA anticipates awarding grants ranging in value from \$100,000 to \$500,000 with an average award of \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Local Communities Climate Change Initiative grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 31) and OMB Circular No.A-102.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Andrea Denny US Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6202J, Washington, District of Columbia 20460  
Email: denny.andrea@epa.gov Phone: (202) 343-9268

**Website Address:**

<http://www.epa.gov/cleanenergy/energy-programs/state-and-local/local.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No projects have yet been funded under this program. Examples of eligible projects include (but are not limited to): integrating climate change mitigation into land use and/or transportation planning; programs to reduce vehicle miles traveled; development of energy management systems or programs; improvements to building energy efficiency; innovative or demonstration projects to reduce fossil energy use, such as projects to capture methane from agriculture operations for use as an alternative to fossil fuels; and educational campaigns. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.110 HEALTHY COMMUNITIES GRANT PROGRAM**

(Healthy Communities)

**FEDERAL AGENCY:**

Region 1, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442(a)&(c); Marine Protection, Research, & Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001; Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxic Substances Control Act, Section 10; Indian Environmental General Assistance Program Act; Clean Air Act, Section 103(b)(3).

**OBJECTIVES:**

The statutory authorities for this program restrict the use of assistance agreements to support the following activities: conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, and elimination of water pollution. Demonstrations must involve new or experimental technologies, methods, or approaches, and it is encouraged that the results of these projects will be disseminated so that others can benefit from the knowledge gained. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. Implementation projects are not eligible for funding under this program.

Grants are awarded to support projects that meet two criteria: 1) They must be located in and directly benefit one or more Target Investment Areas (Environmental Justice Areas of Potential Concern, Places with High Risks from Toxic Air Pollution, Sensitive Populations, and/or Urban Areas); and 2) They must achieve measurable environmental and public health results in one or more of the Target Program Areas (generally defined in the annual competitive funding announcement). Funds for all projects should support activities to provide education, outreach, or training, in the Target Program Areas. The Regional Office will only accept submissions for projects that affect the States, Tribes, and Territories within the six New England States: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont. Projects that are National in scope are not eligible for funding under this Regional Program.

Funding Priority - Fiscal Year 2009:

Asthma: Projects that increase the number of people with asthma who take actions to reduce their exposure to environmental triggers (improved self-management of asthma). Projects should identify, disseminate and promote the use of existing or innovative education and outreach products and services with proven effectiveness. Projects can target geographic areas and various settings (e.g., communities, schools, homes/housing, etc.) and address indoor air quality issues. Healthy homes approaches should include interventions to reduce environmental triggers such as integrated pest management and reduction of indoor air pollutants (e.g. particulate matter, dust, mold, environmental tobacco smoke, etc.). Applicants are encouraged to integrate

environmental trigger avoidance into comprehensive asthma management programs, as recommended by the National Asthma Education Prevention Program (NAEPP) <http://www.nhlbi.nih.gov/about/naepp/>. Applicants are further encouraged to integrate comprehensive asthma management programs into holistic "Healthy Homes" approaches to environmental diseases as well as partnerships with managed care organizations and health care payers to incorporate the environmental aspects of asthma into provider referral and reimbursement systems. While it is appropriate to place environmental trigger avoidance into the broader context of medical management in EPA-funded activities, where non-environmental asthma management (e.g., medical management) activities are proposed, applicants must be prepared to document alternative funding sources for such activities.

**Capacity Building on Environmental and Public Health Issues:** Projects that increase regional, state, tribal, community, and neighborhood access to information, dialogue, collection and use of data (e.g. GIS mapping, risk evaluation, risk mitigation, collecting emissions data, etc.), and/or improve methods of risk characterization; organize and sponsor community training events, or other forums that increase citizen involvement in understanding or addressing environmental and public health issues (topics may include, but are not limited to: environmental justice, indoor/ambient air quality, lead, asthma, pesticides, transportation, urban rivers/wetlands, water quality, and/or energy); build new or strengthen existing coalitions to address schools, States, or regional programs and one or more other environmental and public health issue(s) are encouraged. Research projects, surveys, trainings and/or studies that address tribal compliance assistance, tribal compliance monitoring, and/or tribal enforcement issues associated with waste management, schools and public water systems on federally recognized tribal lands in New England are also encouraged.

**Clean Energy:** Projects that promote clean energy, through energy efficiency measures that reduce energy consumption, or through the generation of energy from renewable resources, including solar, wind, biomass, and geothermal sources are priorities for EPA. Priority sectors for energy efficiency and renewables include municipalities, schools, and colleges and universities. Municipal projects should focus on reducing energy consumption within municipal buildings, including offices, schools and wastewater treatment plants. In general, these projects should focus on more efficient use of energy, and water, as well as the potential use of renewable energy to supply electricity or heat to a facility in place of power provided by the local utility. Proposed projects in this Target Program Area require a 5% match. Please see Section III B, Matching for additional information.

**Healthy Indoor/Outdoor Environments:** Projects that focus on reducing and/or preventing childhood lead poisoning, reducing asthma triggers, promoting integrated pest management; reducing childhood exposure to one or more toxins (PCBs, dioxin, mercury, lead, pesticides, etc.) and promoting comprehensive healthy homes and other indoor environments are encouraged. Projects that reduce indoor or ambient air toxics in a city, community or county, including those to create and implement risk management plans, conduct risk screening, build technical training capacity to help reduce community exposure to indoor and or outdoor air toxics are also encouraged under this category.

**Healthy Schools:** Projects that train K-12 school teams to implement EPA's Indoor Air Quality Tools for Schools program (<http://www.epa.gov/iaq/schools/tooklit.html>) through state-wide, regional, or local workshops; develop or support a systems approach to improving environmental conditions in schools including customization and implementation of EPA's Healthy School Environments Assessment Tool (Healthy SEAT); train K-12 school teams to address asthma triggers, deploy integrated pest management techniques particularly in urban areas and/or tribal schools ([www.epa.gov/iaq/schools/asthma](http://www.epa.gov/iaq/schools/asthma)); or efforts which combine several project areas described in this grant solicitation are encouraged. For more information on creating healthy school environments, please visit [www.epa.gov/schools](http://www.epa.gov/schools).

**Pollution Prevention and Recycling:** Projects that prevent pollution at the source of production through toxic use reduction and the more efficient use of materials, energy, water, and natural resources; and projects that reduce environmental impacts by promoting recycling, composting, waste minimization, beneficial reuse, market development, and sustainable purchasing practices. Priority sectors for pollution prevention and recycling include K-12 schools, hospitals and healthcare facilities, marinas, and colleges and universities. K-12 schools projects should focus on more efficient use of energy, water, reduction of waste generation and/or natural resources including recycling, composting, and/or chemical management ([www.epa.gov/sc3](http://www.epa.gov/sc3)).

**Smart Growth:** Projects that encourage compact, mixed-use, transit-oriented, pedestrian-friendly development in urban areas. Smart growth can improve air quality by replacing some motor vehicle trips with walking, biking, and other clean forms of transportation, reducing exposure to airborne pollutants and risk of respiratory illnesses. Smart growth also can improve water quality by reducing impervious surfaces and preserving green spaces both of which can reduce exposure to waterborne pollutants. Examples of smart growth projects include development of plans on ways to reduce vehicle miles traveled, public education and outreach on smart growth.

**Urban Natural Resources and Open/Green Space:** Projects that train and educate the general public on ways to identify, prevent and/or reduce or eliminate toxic substances and contamination on vacant lots and open/green space; train and educate the general public or other community stakeholders on causes, effects, extent, reduction, prevention and/or elimination of pollution in urban rivers and other urban natural resources; train and educate groups of urban community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources.

**Water Quality Monitoring or Analyses:** Projects that focus on determining the quality of a particular water body or watershed, identifying water quality problem(s), and/or determining the cause of pollution through water quality monitoring and/or analyses of water bodies. Projects should involve community groups, educational institutions, watershed groups and/or other organizations. Projects can provide and/or support educational opportunities for students, interns or citizens to learn more about the causes, effects, extent, reduction, prevention and elimination of water pollution. Projects focusing on urban and/or environmental justice areas are encouraged.

**Other Topics and Issues:** On an annual basis, the competitive announcement may identify additional funding priorities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is available to State, Local, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Federally Recognized Indian Tribal Governments, K-12 schools or school districts; and non-profit organizations (e.g. grassroots and/or community-based organizations). Funding will be considered for a college or university to support a project with substantial community involvement. Private businesses, federal agencies, and individuals are not eligible to be grant recipients; however, they are encouraged to work in partnership with eligible applicants on projects. Applicants need not be located within the boundaries of the EPA regional office to be eligible to

apply for funding but must propose projects that affect the States, Tribes, and Territories within their Region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Local, Federally Recognized Indian Tribal Governments, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, anyone/general public.

**Credentials/Documentation:**

Tribes may be asked to demonstrate that they are federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Non-profit applicants are not required to have a formal Internal Revenue Service (IRS) non-profit designation, such as 501(c)(3) or 501(c)(4); however they must present their letter of incorporation or other documentation demonstrating their non-profit or not-for-profit status. This requirement does not apply to public agencies or Federally Recognized Indian Tribes. Failure to enclose the letter of incorporation or other documentation demonstrating non-profit or not-for-profit status will render full proposal submissions incomplete and they will not be reviewed. Applicants who have an IRS 501(c)(4) designation are not eligible for grants if they engage in lobbying, no matter what the source of funding for the lobbying activities. For-profit enterprises are not eligible to receive sub-grants from eligible recipients, although they may receive contracts, subject to EPA's regulations on procurement under assistance agreements, 40 CFR 30.40 (for non-governmental recipients) and 40 CFR 31.36 (for governments). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For competitive awards, a one page summary format is provided in the competitive announcement. Applicants invited to submit a full proposal are required to submit the SF 424, 424A, 424B, and the pre-award compliance report. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Interested applicants should review information on the Internet at: <http://www.epa.gov/nc/eco/uep/hcgp.html>. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Healthy Communities Grant Program has a two step process for evaluating competitive applications which is described in the annual Request for Initial Proposals. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the Region I Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified within 60 days of receipt of submission for funding.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

All competitive grant awards should be prepared and submitted as new projects, which will be evaluated based on criteria specified in annual competitive funding announcement. Renewals or extensions of existing projects may be available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant program generally allows a match of up to 5% of the total budget but it is not required. Any exceptions will be identified in the competitive funding announcement. Award recipients can use contributions from entities other than themselves as a match. However, other Federal money cannot be used as the match for this grant program. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (e.g., prohibition of land acquisition with grant funds) also apply to the matching funds. This program has no statutory formula. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are normally funded on a 12 (annual) or 24 month basis, at the discretion of the applicant. There is no restriction placed on the time permitted to spend the money awarded as long as the money is spent within the budget and project periods of the award specified in the workplan and the budget worksheet in the SF 424. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required on a quarterly basis. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$380,800; FY 09 est \$380,800; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$10,789 to \$35,000/fiscal year; \$27,239/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All projects funded through the Healthy Communities Program reduce environmental risks, and protect and improve human health and the quality of life to create healthy communities and ecosystems. Specific outputs, services and results vary based on each project and Target Program Area(s) identified. Overall program accomplishments include, but are not limited to: reduction in childhood lead poisoning, increased education and outreach related to environment and public health issues, reduction in asthma emergency room visits, increased water quality data and information on urban rivers and wetlands, and increased number of school teams trained or provided technical assistance. In 2008, 102 initial submissions were received and of those 41 applicants submitted full proposals. 14 awards were granted in fiscal year 2008. It is anticipated that 10-20 awards will be granted in fiscal year 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements awarded under the Healthy Communities Grant Program are subject to EPA's General Grant Regulations, and Procedures (40 CFR Parts 30 and 40 CFR Parts 31). Costs will be determined on accordance with OMB Circular A-87 for State and Local governments and Indian Tribes, OMB Circular A-21 for educational institutions and OMB Circular A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Padula, US EPA Region I, 1 Congress Street, CPT, Suite 1100, Boston, MA 02114. Phone: 617-918-1698. Toll Free: 888-372-7341. TTY: 617-918-2028. Fax: 617-918-0698. E-Mail: Padula.Jennifer@epa.gov.

**Headquarters Office:**

Jennifer Padula US EPA Region I  
1 Congress Street, CPT, Suite 1100, Boston, Massachusetts 02114 Email:  
Padula.Jennifer@epa.gov Phone: 617-918-1698

**Website Address:**

<http://www.epa.gov/region01/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include such activities as: 1) Assisting school teams to reduce the prevalence of asthma triggers in urban school districts; 2) Conducting an education and outreach campaign in low-income diverse urban neighborhoods on vehicle idling, asthma, and ambient air quality; 3) Identifying neighborhood environmental and/or public health concerns to local residents and developing strategies to measurably improve the local environment and/or public health; 4) Developing an integrated pest management program which focuses on reducing pesticide exposures for elderly populations; and 5) Developing and implementing a volunteer water monitoring program to measure and track the water quality of a water body or watershed in a community. There are many other types of eligible projects. This grant program is designed to allow applicants the flexibility to propose a project that fits community needs and funding priorities. Additional examples of funded projects can be found at <http://www.epa.gov/ne/eco/uep/hcgp.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.111 REGIONAL ENVIRONMENTAL PRIORITY PROJECTS  
FEDERAL AGENCY:**

Region 7, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and

Rodenticide Act, Section 20; Safe Drinking Water Act, Section 1442; Clean Water Act, Section 104.

**OBJECTIVES:**

To support investigations, experiments, training, demonstrations, surveys, studies, and special purpose assistance to protect public health and prevent, reduce, and eliminate pollution in Iowa, Kansas, Missouri, and Nebraska. Projects may be single media or multimedia which support the regional environmental priorities. Single media grants support pollution prevention efforts for individual environmental law statutes. Multimedia grants are assistance agreements that are awarded citing two or more environmental law statutes, appropriation legislation, or applicable legislative history as the statutory authority. Funding Priority 2009 - Funded projects will focus on the regional environmental priorities and include unique, geographically-based projects that support the Agency's ability to protect human health and the environment. These projects may address places, sectors, or innovative projects, and focus on prevention, agriculture, climate change and energy, and/or collaborative efforts to protect human health and the environment and achieve environmental results. These projects may also demonstrate state, local, and/or other stakeholder participation; identify opportunities for leveraging other sources of funding; or support smart growth planning in communities. Smart growth projects are those focused on improving the quality of life in communities by integrating the tenets of ecology, equity and management by citizens. Funding Priority 2010 - Funded projects will focus on the regional environmental priorities and include unique, geographically-based projects that support the Agency's ability to protect human health and the environment. These projects may address places, sectors, or innovative projects, and focus on prevention, agriculture, climate change and energy, and/or collaborative efforts to protect human health and the environment and achieve environmental results. These projects may also demonstrate state, local, and/or other stakeholder participation; identify opportunities for leveraging other sources of funding; or support smart growth planning in communities. Smart growth projects are those focused on improving the quality of life in communities by integrating the tenets of ecology, equity and management by citizens.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved investigations, experiments, training, demonstrations, surveys, studies, and special purpose assistance plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov/>. "Geospatial Information" includes: Information that identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. This information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia; public and private universities and colleges; hospitals; laboratories; other public or private nonprofit institutions; for-profit groups; and individuals which submit applications proposing projects with significant technical merit and relevance to EPA's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If an applicant submits an unsolicited proposal it will be reviewed and evaluated in accordance with Agency policy and procedures. For more information regarding the procedures for submitting unsolicited proposals, applicants may contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires eligible applicants to submit Standard Form 424, Application for Federal Assistance. Application kits should be requested from and submitted to the U.S. Environmental Protection Agency, Grants Administration Office, 901 N. 5th Street, Kansas City, Kansas 66101. Detailed information and assistance, including Standard Form 424 are available at: <http://www.epa.gov/region07/economics/index.htm>. For competitive awards, Requests for Initial Proposals, Requests for Proposals, or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. While applicants may submit unsolicited proposals, such proposals are funded only under very limited circumstances and in accordance with Agency procedures. Unsolicited proposals will be reviewed and evaluated based on criteria including but not limited to (i) the extent the proposal is unique or innovative, (ii) whether the proposal was independently originated and developed by the applicant, (iii) and the extent the proposal supports regional priorities and/or efforts to protect the environment and public health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual) and will be paid electronically utilizing automated funds transfer. The total approved project period may not exceed 5 years for competitive awards. See the following for information on how assistance is awarded/released: Funding will be provided via electronic funds transfer and on a cost-incurred basis.

**Reports:**

Successful assistance recipients will be required to submit performance/progress reporting to the U.S. EPA. These reports may be required to be submitted on a quarterly/semi-annual/annual basis. Frequency of these reports will be specified in the grant award documents. Assistance recipients will be required to submit a Federal Cash Transaction Report. The frequency of submittal of this report shall be specified in the grant award document. Successful assistance recipients will be required to submit performance/progress reporting to the U.S. EPA. These reports may be required to be submitted on a quarterly/semi-annual/annual basis. Frequency of these reports will be specified in the grant award documents. Successful assistance recipients may be required to submit expenditure information to support the performance reporting or amount of funding reimbursed. If this information will be required, the assistance award will be conditioned accordingly. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$30,000; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

In fiscal year 2008, projects funded from Regional Geographic Initiative and Environmental Priority Program funding averaged \$15,000 per project. No projects were funded in fiscal year 2009 due to funding constraints.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In recent years, Regional Geographic Initiative and Environmental Priority Program funding has primarily supported work on water

quality issues involving small communities to ensure community systems provide water that meets all applicable health-based drinking water standards through effective treatment and source water protection; nitrate levels are reduced and community awareness is increased to prevent water pollution. Funding has been provided for air quality issues including reduction of truck congestion, idling and safety concerns caused by the large number of grain trucks in Cedar Rapids, Iowa. Funding supported the Blue Skyways Collaboratives work for Cargill and other area industries to provide alternatives to truck idling in a main area of downtown Cedar Rapids. On-farm assistance has also been provided to address energy efficiency and air pollution reductions in the central plains and to fund and support an Environmental Finance Center to assist small communities, businesses and organizations with the environmental protection and regulatory compliance activity funding challenges. Fiscal Year 2009: For Fiscal Year 2009, no applications have been received and no projects were funded. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Investigations, experiments, training, demonstrations, surveys, studies, and special purpose grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the EPA Region 7 located at 901 N. 5th Street, Kansas City, KS 66101, Wendy Lubbe, Telephone: (913) 551-7551; Fax: (913) 551-9551, E-mail: lubbe.wendy@epa.gov.

#### **Headquarters Office:**

Ashley Betts EPA Region 7  
901 N. 5th Street, Kansas City, Kansas 66101 Email: betts.ashley@epa.gov  
Phone: (913) 551-7336

#### **Website Address:**

<http://www.epa.gov/region07/economics/index.htm>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of Projects funded include: Study to evaluate best management practices for removal of atrazine from agricultural run-off in the amount of \$95,023; Watershed Council and Technical Assistance project for Watershed management in the amount of \$99,841; Satellite Environmental Finance Center to assist small communities, businesses, and organizations with development of environmental protection activities in the amount of \$100,000; Mercury Thermometer Exchange project in the amount of \$10,000; Blue Skyways project to develop green energy templates for schools in the amount of \$30,000; Watershed, Wetland and Stream Corridor Restoration projects in the amount of \$15,000; Long Term Control Plan review project for 2 cities with combined storm sewer overflows in the amount of \$12,349; Environmental Finance Center to assist small communities, businesses, and organizations with the environmental protection and regulatory compliance activities funding challenges in the amount of \$100,000. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.113 REGION 3 ENVIRONMENTAL PRIORITY PROJECTS**

#### **FEDERAL AGENCY:**

Region 3, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104; Safe Drinking Water Act, Section 1442; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20.

#### **OBJECTIVES:**

Assistance agreements awarded under this program must support, surveys, studies, investigations, training, demonstrations and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, or pesticides: (a) to identify, develop, and demonstrate necessary pollution control techniques; (b) to prevent, reduce, and eliminate pollution; (c) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (d) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Awards under this program must be performed within the Region III area of Delaware, Maryland, Pennsylvania, Virginia, West Virginia and/or District of Columbia.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Assistance awards in the form of grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, training, demonstrations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is generally available to state and local governments and the District of Columbia. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions (Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.) For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions within Region III's geographical area.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Region III representatives may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

EPA, Region 3 awards grants and cooperative agreements supporting surveys, studies, investigations, training, demonstrations and special purpose assistance under this program description in response to an EPA competitive solicitation. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA Region 3 requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch Streets, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70) Additional information on the EPA assistance package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. For competitive awards the funding announcement will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for surveys, studies, and investigations, training, demonstrations and special purpose assistance. The approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to Region 3 priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis. However, EPA Region III can negotiate the project period with each applicant based on project requirements. The total approved project period may not exceed 2 years for competitive awards. See the following for information on how assistance is awarded/released: Full or partial awards may be made. Awards are released through an electronic funds transfer method.

**Reports:**

No program reports are required. In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Agreements may require quarterly, interim, and final progress reports. Agreements may require expenditure reports. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements

are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$6,500; FY 10 est \$0

**Range and Average of Financial Assistance:**

NA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No awards were made in FY 2008. It is anticipated that FY 2009 funding will be used to support Region 3 strategic initiatives. Fiscal Year 2009: It is anticipated that FY 2009 funding will be used to support Region 3 strategic initiatives. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices. EPA, Region 3, 1650 Arch Street, Philadelphia, PA 19103, Kathleen Blinebury, 215-814-5395, fax 215-814-5271, [blinebury.kathleen@epa.gov](mailto:blinebury.kathleen@epa.gov).

**Headquarters Office:**

Kathleen Blinebury EPA Region 3  
1650 Arch Street, Philadelphia, Pennsylvania 19103 Email:  
[blinebury.kathleen@epa.gov](mailto:blinebury.kathleen@epa.gov) Phone: 215-814-5395

**Website Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In the past, Region III funded grants to eligible recipients to educate migrant farm workers on indoor air quality and asthma and ways to minimize indoor air pollutants, address childhood lead poisoning in urban areas and prevention techniques, restore and maintain water quality in Region 3 streams and waterbodies, develop an inventory of abandoned mines in Region 3 states in order to prioritize remediation activities and preserve land and drinking water by acquiring easements in riparian areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.117 REGION 9 MULTI-MEDIA AND GEOGRAPHIC PRIORITY PROJECTS**



(R9 RGI and EPP grants)

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 104&311; Toxic Substances Control Act, Section 10; Marine Protection, Research, and Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001; Pollution Prevention Act, Section 6605; Clean Air Act, Section 103; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Resource Conservation and Recovery Act, Section 8001; National Environmental Education Act, Section 6; Clean Water Act, Section 104; Safe Drinking Water Act, Section 1442.

**OBJECTIVES:**

To fund projects, including surveys, studies, investigations, demonstrations, training, and outreach, that address more than one medium or vector of human health or ecological risk and that seek to (1) prevent, reduce, and eliminate pollution; (2) identify, develop, and demonstrate pollution control techniques and technology; (3) evaluate the economic, social, and environmental effects of alternative mechanisms and strategies; and (4) promote coordination and collaboration between and among federal, state, and local governmental and non-governmental organizations. Projects will address regional environmental and geographic priorities, possibly including air basins and watersheds, economic sectors such as agriculture, critical ecosystems, and sensitive populations. Projects may demonstrate innovative methods and involve stakeholder collaboration, leveraged funding, or socially equitable and ecologically sensitive land-use and transportation planning ("smart growth"). Projects funded under this program must be carried out within the area of U.S. EPA's Region 9, comprising the states and tribal lands of Arizona, California, Hawaii, Nevada, Navajo Nation lands in New Mexico, and the Pacific islands associated with the United States. Multi-media assistance agreements cite two or more environmental statutes, appropriations legislation, or applicable legislative history as statutory authority. Multi-media priorities for FY2009/10 will likely include energy and climate change, Pacific Island infrastructure, agriculture in the San Joaquin Valley, and information management support. No funding is currently available for this program. Funding Priority - Fiscal Year 2009: Region 9 has not determined FY2009 funding priorities for multi-media geographic initiatives as no funding is currently available.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance awards, in the form of grants and cooperative agreements, to fund recipients' allowable direct costs plus allowable indirect costs, in accordance with established EPA policies and regulations, may be available for projects that use a whole-systems approach to address multi-media human health and ecological risks. Project activities may include surveys, studies, investigations, demonstrations, training, education, limited research, outreach, and/or special-purpose activities. However, the Region will not fund research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information and computer information system applications, tools, and hardware used to generate, maintain, or distribute such information. "Geospatial information" identifies the geographic location and characteristics of natural or constructed features or boundaries on the Earth, and may be derived from technologies such as geographic positioning systems (GPS), remote sensing, mapping, charting, and surveying, and from statistical data. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Projects conducted within the geographic boundaries of EPA's Region 9, which comprises states and tribal lands of Arizona, California, Hawaii, Nevada, Navajo Nations land in New Mexico, and the Pacific islands associated with the United States, are eligible for funding when it is available. Interstate, state, tribal, intrastate, and local government agencies, districts, and councils; and public and private universities and colleges, hospitals, laboratories, and research facilities; and public or private non-governmental, non-profit institutions are

eligible to apply, unless restricted by the authorizing statutes. Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation, except that non-profits organizations as defined in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying as defined in Section 3 of the Lobbying Disclosure Act 1995 or superseding legislation are ineligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Interstate, state, tribal, intrastate, and local government agencies, districts, and councils; public and private universities and colleges, hospitals, laboratories, and research facilities; and public or private non-governmental, non-profit institutions are eligible to apply, unless restricted by the authorizing statutes.

**Credentials/Documentation:**

EPA may require applicants and principle investigators to demonstrate appropriate background, academic training, experience in the field, and necessary equipment to carry out projects, and to provide curriculum vitae and relevant publications. EPA may require nonprofit organizations to provide documentation of nonprofit status accorded by the Internal Revenue Service or their state of incorporation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential applicants should direct preapplication communications to the Office of the Regional Administrator (ORA-1), Region 9, U.S. Environmental Protection Agency. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. For competitive awards, the competitive funding announcement will provide specific application procedures. Prospective applicants must submit requests for application packages through the EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days from receipt of final application, through selection and notification, and development and approval of work plan, to award of funds.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA can fund grants and cooperative agreements for surveys, studies, investigations, demonstrations, training, education, limited research, outreach, and/or special-purpose activities incrementally. Approval of incremental funding depends on satisfactory project progress as well as continued relevance of the project and availability of funds. The application procedure is identical to applying for a new grant, with the same funds source, selection criteria, and review procedure.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements generally fund projects for one or two years, with a maximum project period of five years. Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: lump sum.

**Reports:**

EPA may include reporting requirements in the terms and conditions of the assistance agreements, which may require quarterly, interim, and final performance reports, and financial, equipment, and inventory reports. No cash reports are required. Progress reports would generally be required for larger projects of longer duration. A final financial status report would likely be required. This program would likely conduct performance monitoring only for larger projects of longer duration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must demonstrate financial management capability, keep financial records including documentation for entries on accounting and for any changes in grant requirements, and make records available to personnel authorized to examine assistance recipients' records. Recipients must maintain all records for a minimum of three years from the date of submission of the final report and until all questions regarding the assistance agreement, such as those arising from audits, are resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$463,000; FY 09 est \$0; FY 10 est \$0 - In FY2008, a total of almost \$463,000 in FY07 carry-over and FY08 funds was obligated. For FY2009, Region 9 has no carryover funds nor appropriated funds. Region 9 expects no funding for this program in FY2010.

**Range and Average of Financial Assistance:**

Projects funded from Regional Geographic Initiative and Environmental Priority Program funding have ranged from a low of \$1,500 to a high of \$160,000, with an average of approximately \$60,000 per project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In recent years, Regional Geographic Initiative and Environmental Priority Program funding has primarily supported work on diesel emission reduction under the West Coast Collaborative process and on dairy manure treatment through the San Joaquin Valley Dairy Manure Collaborative. The West Coast Collaborative has funded projects to address diesel emissions in eight sectors including agriculture, fuels, freight movement, and fleet operations, concentrating on the San Joaquin Valley and the major

ports in Region 9. The Dairy Manure Collaborative has produced and distributed information on treatment technologies, funding opportunities, and geographic distribution of dairy manure through publications, conferences and maps. Each EPA Region has now replicated the West Coast Collaborative process, and entities associated with the Dairy Manure Collaborative have constructed 200 pilot treatment plants with \$21 million from outside sources. In FY2007 and FY2008, 24 applications resulted in 9 awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance agreements under this program are subject to EPA's General Grant Regulations, 40 CFR Part 30 and 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Bill Glenn, Chief of Staff, Office of the Regional Administrator, Region 9, U.S. Environmental Protection Agency, 75 Hawthorne Street (ORA-1), San Francisco, CA 94105; Phone: 415-947-4254, Fax: 415-947-3588, E-mail: glenn.william@epa.gov.

**Headquarters Office:**

Bill Glenn Office of the Regional Administrator  
Region 9, U.S. Environmental Protection Agency  
75 Hawthorne Street (ORA-1), San Francisco, California 94105 Email:  
glenn.william@epa.gov Phone: 415-947-4254

**Website Address:**

<http://www.epa.gov/region09/funding/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: This CFDA number was established in FY2007. Previously, grant funding for this purpose was listed under CFDA number 66.606, Surveys, Studies, Investigations, and Special Purpose Grants. Multi-media grants under 66.606 often addressed environmental affects of agriculture. The report, "USEPA Regional Geographic Initiative: Agricultural Sustainability Projects in California's San Joaquin Valley, 2001-2005" (<http://www.epa.gov/docs/region09/ag/docs/rgi-report-for-r9-ag-program-july-2006.pdf>), describes these projects. Regional priority funding has supported conferences, world-wide web content development, and geographic information systems work. Multi-media issues addressed including food safety, Pacific island environmental issues, ocean issues, land use and transportation issues, and more. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.119 WEST COAST ESTUARIES INITIATIVE**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act for Fiscal Year 2008, Public Law 110-161.

**OBJECTIVES:**

The West Coast Estuaries Initiative is a focused effort that evolved from the Environmental Protection Agency's Targeted Watersheds Grants Program. The initiative is designed to promote and support the protection and restoration of high value coastal aquatic resources in geographic areas that are subject to the pressures of population and economic growth through comprehensive watershed protection and management practices at the local level.

The projects receiving assistance will support the EPA's goals for Region 10's coastal watersheds from Alaska to Oregon's southern border. These goals include:

- (1) clean and safe water through the protection of water quality and (2) healthy communities and ecosystems through the restoration and protection of ecosystems.

Funding Priority - Fiscal Year 2009: EPA Region 10 recognizes the impact of growth and development on the health of the region's coastal watersheds and the diverse marine flora and fauna that they support. Extensive research shows that where development is located, how much development occurs and what practices are used when developing greatly affect the chemical, physical and biological integrity of marine and fresh waters.

For Federal Fiscal Year 2009, the Region expects to offer assistance in watersheds west of the Cascade Mountain divide from the southern border of Oregon to the northern border of Washington, including those watersheds entering the Columbia River below Bonneville Dam. Additionally, in Alaska, the Region expects to offer assistance in three watersheds draining into the northern portion of Cook Inlet. These watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds.

Local and tribal governments are faced with implementing multiple planning processes and mandates. Watershed planning decisions regarding where protection and restoration occurs, how much protection and restoration is necessary, and what practices ensure effectiveness are frequently the focus of watershed plans. Often missing from these processes is an effort to connect watershed-based decisions with land development techniques and storm water controls. Linking protection and restoration decisions with future land use decisions can prevent pollution and greatly enhance the potential to maintain the region's coastal resources.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust watershed programs. Some need to improve the scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a plan. Therefore, a wide range of activities will be eligible including, but not limited to, activities that:

(1) Enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes.

(2) Implement watershed protection by enhancing local planning processes under the state's Coastal Zone Management Program through the development of watershed land use designations, development standards and other regulations or incentive programs that protect and restore coastal watersheds.

(3) Refine and implement watershed land use plans based on watershed models predicting hydrological impacts of alternative future land cover conditions, development scenarios and resulting aquatic resource conditions.

(4) Develop and carry out laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques.

More details on the restrictions for this program will be provided in the request for proposals which will be published on the Region 10 web site.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Certain projects or activities are ineligible for West Coast Estuaries funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and required activities under Phase I and II Stormwater permits will not be funded. Activities implementing the non-regulatory component of TMDLs are eligible (e.g., the elements of a watershed plan that address non-point source pollution).

(1) Enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes.

(2) Implement watershed protection by enhancing local planning processes under the state's Coastal Zone Management Program through the development of watershed land use designations, development standards and other regulations or incentive programs that protect and restore coastal watersheds.

(3) Refine and implement watershed land use plans based on watershed models predicting hydrological impacts of alternative future land cover conditions, development scenarios and resulting aquatic resource conditions.

(4) Develop and carry out laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques.

More details on the restrictions for this program will be provided in the request for proposals which will be published on the Region 10 web site.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Certain projects or activities are ineligible for West Coast Estuaries funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and required activities under Phase I and II Stormwater permits will not be funded. Activities implementing the non-regulatory component of TMDLs are eligible (e.g., the elements of a watershed plan that address non-point source pollution).

#### **Applicant Eligibility:**

Federally recognized Indian Tribal governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are eligible to apply. Local governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are also eligible to apply. Also eligible to apply are special purpose districts including, but not limited to, irrigation districts, conservation district and water & sewer districts located within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam. Similar entities in three specific coastal watersheds in Alaska will also be eligible to apply. Those watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds.

State agencies, institutions of higher education and nongovernmental entities are not eligible to receive a direct award under this announcement. However, they are encouraged to work as collaborators (subrecipients or subcontractors) with eligible applicants. Federal agencies are ineligible for subaward or subcontract work under this announcement.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their respective applications and proposals. The EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of a proposal and requests for clarification about the request for proposals. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit a formal grant application. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants Administration Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/Region+10+Grants+Administration+Unit>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The region expects that its review of the applications received will be completed within 120 to 150 days following the deadline for the submission of applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula requirement. Under the Targeted Watershed Grants program, of which this initiative is a component, it is the Agency's policy to require applicants to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). Tribes may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose an undue economic

hardship on the Tribe.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the cooperative agreement will be determined at the time the financial assistance is awarded. See the following for information on how assistance is awarded/released: The assistance would be awarded by a grant or cooperative agreement. Typically, assistance recipients draw cash on a quarterly basis to obtain reimbursement for allowable costs incurred to date.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be specified in the individual assistance agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$2,800,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Individual awards are expected to range in size from \$400,000 to \$600,000. If the EPA receives proposals for seven (7) approvable projects, the mean award size would be \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The first awards within the Puget Sound Estuary for the Targeted Watershed Grants program were made in Federal Fiscal Year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

**Regional or Local Office:**

See Regional Agency Offices. Daniel Steinborn, Puget Sound Estuary Program Financial Assistance Manager Ecosystems and Community Health Unit U.S. Environmental Protection Agency, Region 10 1200 Sixth Avenue, Suite 900, ETPA-086 Seattle, WA 98101 (206) 553-2728 1-800 424-4EPA, extension 3-2728 e-mail: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov).

**Headquarters Office:**

Daniel Steinborn Ecosystems and Community Health Unit U.S. Environmental Protection Agency Region 10 1200 Sixth Avenue, Suite 900, ETPA-086, Seattle, Washington 98101 Email:

steinborn.daniel@epa.gov Phone: (206) 553-2728

**Website Address:**

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>

**RELATED PROGRAMS:**

66.439 Targeted Watersheds Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Puget Sound Estuary for the Targeted Watershed Grants program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP). Projects will be selected based on a competitive process which may include factors such as relevancy to the EPA's mission, technical merit, the geographic diversity represented by the array of possible projects and the likelihood of success. In making the final funding decisions, the Approving Official may also consider national and regional programmatic priorities, the Region 10 strategy and the balance of funds available. The actual selection criteria to be used will be identified in the RFP.

**66.120 PUGET SOUND WATERSHED MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330; Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330.

**OBJECTIVES:**

The overall goal of the National Estuary Program is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program, i.e., the Puget Sound Partnership, approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration work. Programs and projects would promote the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

By 2011, EPA Region 10, working with its key state, tribal and local partners have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

-1,000 acres of shellfish bed growing areas, currently impacted by degraded or

declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

-200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

-3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

In addition, by 2011, we are committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

Funding Priority - Fiscal Year 2009: A priority for the 2020 Action Agenda and the priority for FFY 2009 under this CFDA is to provide assistance to units of local government, special purpose districts and tribal governments working to develop, demonstrate and use innovative land use management tools to manage and minimize the potential adverse effects of population and economic growth on their communities' water quality and aquatic habitat.

A second and equally important priority for FFY 2009 is to provide financial assistance to local government, special purpose district and tribal government efforts to implement the near-term priorities of the 2020 Action Agenda. For example, under the state's Shoreline Management Program, many local governments play a key role in implementing the Action Agenda. These local governments will be updating their respective shoreline master programs to incorporate the directions of the Action Agenda and improve them based on the experiential knowledge that local governments have developed since these programs were last revised. In this instance, this funding would be intended to help local governments develop an updated Shoreline Master Program that are fully integrated with their program or programs to manage the affected watersheds.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust water quality watershed programs. Some need to improve their scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a watershed plan. Therefore, a wide range of activities will be eligible for funding under this program including, but not limited to activities that: (1) Develop, demonstrate, enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes. (2) Promote watershed protection by enhancing local planning processes authorized by the state's Coastal Zone Management Program such as the development of watershed land use designations, development of standards and other regulations or of incentive programs that protect and restore coastal watersheds. (3) Refine and implement watershed land use plans based on watershed models that predict the hydrological impacts of alternative future land cover practices and on development scenarios and their projected impacts on aquatic resources. (4) Develop, carry out and study the effectiveness of laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low-impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques.

Restrictions: All uses of these funds must be consistent with the goals and objectives of the 2020 Puget Sound Action Agenda. Activities permitted under the Clean Water Act are not eligible for funding under this program. Specifically, required activities under NPDES Phase I and II stormwater permits are not eligible for funding under this program.

Assistance agreement awards under this program may involve or relate to

geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. All uses of these funds must be consistent with the goals and objectives of the 2020 Puget Sound Action Agenda. Activities permitted under the Clean Water Act are not eligible for funding under this program. Specifically, required activities under NPDES Phase I and II stormwater permits are not eligible for funding under this program.

**Applicant Eligibility:**

Units of local government, under Washington State law, and federally recognized Indian Tribes located within the greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

Federal and state agencies, institutions of higher learning, watershed planning units formed under RCW 90.82.40 and RCW 90.82.60, local management boards organized under RCW 90.88.30, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060, Marine Resource Committees organized pursuant to RCW 36.125 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants.

However, EPA strongly encourages local and tribal governments to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. The specific types of eligible applicants will be identified in the individual Requests for Proposals.

**Beneficiary Eligibility:**

The ultimate beneficiary of the assistance offered under this program will be the general public that lives and works in the Puget Sound region.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals,

and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Watershed Management Assistance program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that all selected recipients provide a match amount that is equal to 33% of the 50% required match. Thus, for each proposal funded under this program, the required 50% match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$600,000 in federal funds under a competition, the total match required would be \$600,000. Under the competition, the applicant will be required to provide a match of \$198,000, or 33% of the required 50% match. The remaining \$402,000 (\$600,000 - \$198,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report

requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made on towards achieving each major goal or objective identified in the approved statement of work. The report would also discuss the progress that has been made towards each interim milestone. Progress reports will also discuss any difficulties or problems that the assistance recipient has encountered and how those problems have been or are being resolved. Other specific reporting requirements will be defined in the Assistance Agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the user to confirm that matching requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$10,000,000 - Region 10 estimates that we will obligate between \$10,000,000 and \$12,000,000 to this program from the FFY 2009 appropriation. The actual obligations will not take place until assistance is actually awarded, which is likely to be in FFY 2010. Additional funds from the Agency's FFY 2010 appropriation may be obligated to this program. The amount of such obligations can not be determined until the FFY 2010 appropriations law has been enacted and signed and the Agency has reviewed its plans in light of the actual appropriation received.

**Range and Average of Financial Assistance:**

The range for awards in Requests for Proposals issued under this CFDA listing to between \$300,000 and \$1,000,000. The average award would be approximately \$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 C.F.R. Part 225. EPA's requirements

under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800 424-4EPA, extension 3-2728  
E-mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel Steinborn Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.121 PUGET SOUND PROTECTION AND RESTORATION: TRIBAL IMPLEMENTATION ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330; Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330.

**OBJECTIVES:**

Puget Sound has been designated an estuary of National Significance under 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program, i.e., the Puget Sound Partnership, approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs and projects that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound basin including activities linked to nonpoint sources or habitat restoration projects.

By 2011, EPA Region 10, working with its key state, tribal and local partners, have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

- 1,000 acres of shellfish bed growing areas, currently impacted by degraded or

declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

- 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

- 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

The Puget Sound Protection and Restoration: Tribal Implementation Assistance Program is aimed at assisting the Indian Tribes of the greater Puget Sound basin in their efforts to carry out work critically needed for Puget Sound protection and restoration. Work that is critically needed for Puget Sound protection and restoration includes activities identified in, or consistent with, the Puget Sound Action Agenda, which is the EPA approved Comprehensive Conservation and Management Program (CCMP) for the Puget Sound National Estuary under 320 of the Clean Water Act. These activities include, but are not limited to, work called for by established salmon recovery plans in the Puget Sound basin.

EPA has a trust responsibility to Federally recognized Indian Tribes in the region. EPA also recognizes that Federally recognized Indian Tribes in the greater Puget Sound basin have a critical role in the protection and restoration of the ecosystem and its resources. EPA seeks to provide financial assistance to these Tribes to help them finance implementation of priority strategies and actions in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans.

Funding Priority - Fiscal Year 2009: Protection and restoration of the Puget Sound basin is a national priority. For FFY 2009, the Region's priority for this program is to provide financial assistance to efforts by Federally recognized Indian Tribes of the greater Puget Sound basin to implement priority actions and strategies in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This assistance may be used by Tribes to implement work that is critically needed for Puget Sound restoration and protection. Such work includes priority actions or strategies in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans, except where the proposed work is inconsistent with applicable Federal law, regulation or published EPA policy.

Additional information on use restrictions, if any, for the Puget Sound Protection and Restoration: Tribal Implementation Assistance Program, will be provided in each request for proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

All federally recognized Indian Tribes located within the greater Puget Sound basin, and any consortium of these eligible Tribes, may apply for funding under the program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

An eligible Intertribal consortium is one that demonstrates that 1) a majority of its members meets the eligibility requirements for this program; 2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and 3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes' authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

Federal and state agencies, institutions of higher learning, units of local government, special purpose districts, conservation districts, watershed planning units organized pursuant to RCW 90.82.40 and 60, local management boards organized pursuant to RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement group organized pursuant to RCW 77.95.060 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants

However, EPA strongly encourages eligible applicants to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The beneficiary of this assistance under this program would be the Federally recognized Indian Tribes or the consortia of these Tribes that receive the assistance. Ultimate beneficiaries would include the tribal members and the general public (due to the general public's interest in restoring and protecting the resources of Puget Sound).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.



**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Puget Sound Protection and Restoration: Tribal Implementation Assistance program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide all of the required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, eligible applicants will not be required to provide any of the required non-federal match.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during FFY 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in their respective assistance agreements. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of each assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the report user to confirm that matching requirements, if

any, are being met and that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be maintained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$3,500,000 - Region 10 estimates that we will obligate approximately \$3,500,000 to this program from the FFY 2009 appropriation. The actual obligations will not take place until assistance is actually awarded, which is likely to be in FFY 2010. Additional funds may be awarded under the competitions from the Agency's FFY 2010 appropriation once it is received, if appropriate, and consistent with Agency policy.

**Range and Average of Financial Assistance:**

The range of expected award sizes is between \$200,000 and \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with tribal governments and intertribal organizations, assistance recipients must comply with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 C.F.R. Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101

(206) 553-2728 or 1-800-424-4EPA, extension 3-2728

E-Mail: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov).

**Headquarters Office:**

Daniel Steinborn Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086

, Seattle, Washington 98101 Email: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov) Phone: (206) 553-2728

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.122 PUGET SOUND ACTION AGENDA OUTREACH, EDUCATION AND STEWARDSHIP SUPPORT PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 1330; Omnibus Appropriations Act, 2, Public Law 111-88; Clean Water Act, Title 3, Section 320, Public Law 94-117; Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration work. Programs and projects would promote the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

In the FFY 2010 Omnibus Appropriations Act, Congress appropriated an additional \$50 million to support the Puget Sound Program.

By 2011, EPA Region 10, working with its key state, tribal and local partners have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

In addition, by 2011, the EPA is committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

An essential element of a successful estuary conservation and management program is a well-informed citizenry that is willing and able to take individual and community action to protect and enhance the estuary. This program is aimed at building and sustaining coordinated efforts for outreach and education to increase public awareness and encourage individual stewardship to protect both local and basin-wide ecosystems.

Funding Priority - Fiscal Year 2010: In Federal Fiscal Year 2010, the EPA's priority will be to competitively select and fund a single entity to serve as a leader and manager of an Outreach, Education and Stewardship Program for Puget Sound. It is expected that this entity would be funded to both directly implement the program and implement the program through subawards to other eligible entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration work. Any public education, outreach or stewardship project receiving assistance under this program must contribute to or support the general implementation of the 2020 Action Agenda for Puget Sound.

Additional information on use restrictions, if any, for the Puget Sound Action Agenda Education, Outreach, and Stewardship Support Program, will be provided in each Request for Proposals issued under this program.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Eligible applicants for this program include:

Washington State agencies; public and private institutions of higher education; units of local government in the greater Puget Sound Basin and Nongovernmental organizations specifically including NGOs that are nonprofits within the meaning of 501(c)(3) of the Internal Revenue Code.

Also eligible to apply under this program are all Federally-recognized Indian Tribal governments located within the greater Puget Sound basin, and any consortium, of these eligible Tribes.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a

duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining into the U.S. waters of Puget Sound, the southern Georgia Basin and the Strait of Juan de Fuca.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiary will be the entities that receive financial assistance under this program. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as the "Information Contact" or see Appendix IV of the Catalog.

This program is excluded from coverage under E.O. 12372, "Intergovernmental Review of Federal Programs" because the State of Washington has chosen to not participate in this review process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit application materials as described in the Request for Proposals that will be issued under this program. The Request for Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at:

<http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Action Agenda Education, Outreach and Stewardship program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that the selected recipient provide a match amount that is equal to 33% of the 50% required non federal match. Thus, for each proposal funded under this program, the required 50% non federal match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$2,000,000 in federal funds under the competition, the total match required would be \$2,000,000. Under the competition, the applicant will be required to provide a match of \$660,000, or 33% of the required 50% match. The remaining \$1,340,000 (\$2,000,000 - \$660,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Special Note: The EPA anticipates funding the award made under this program incrementally. Match requirements, and how they will be met, for the out-year increments (FFY 2011 and beyond) will be determined prior to awarding those increments). For a further description of incremental funding, please see the later sections on "Total allocations", "Obligations" and "Range and Average of Financial Assistance."

Contact the EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to the assistance recipient in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made on each major task and interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that the assistance recipient has encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the reader to confirm that matching

requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$2,000,000 - Region 10 estimates that we will obligate approximately \$2,000,000 to this program from the Federal Fiscal Year 2009 appropriation. The obligations will not take place until assistance is actually awarded, which is likely to be in Federal Fiscal Year 2010. The EPA anticipates obligating an additional \$1,000,000 from the Federal Fiscal Year 2010 appropriation for the Puget Sound Program as part of its plan to provide incremental funding beyond the original award.

The EPA anticipates obligating an additional \$1,000,000 per year to this program and make awards in incremental funding in Federal Fiscal Years 2012, 2013 and 2014, contingent upon the availability of future appropriations, the assistance recipient's performance and the needs of the CCMP for Puget Sound.

**Range and Average of Financial Assistance:**

The EPA expects to make an initial award of \$2,000,000 under this program. The resulting assistance agreement would include the potential for incremental funding of \$1,000,000 per year for up to four additional years beyond the initial funding period. This incremental funding is contingent upon the availability of future appropriations, the assistance recipient's performance and the needs of the CCMP for Puget Sound.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with state agencies, Tribal governments and intertribal consortia, the recipient must comply with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;" 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies," and OMB Circular A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified at 2 C.F.R. Part 225. EPA's requirements

under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 C.F.R. Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 C.F.R. Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 C.F.R. Part 215.

For grants and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 C.F.R. 220, "Cost Principles for Educational Institutions."

For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 C.F.R. Part 230, "Cost Principles for Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800-424-4EPA, Extension 3-2728  
E-mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel I. Steinborn Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086, Seattle, Washington 98101 Phone:  
(206) 553-2728

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program ; 66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this program description will be published in the announcement of the competitive funding opportunity (e.g., the Request for Proposals or RFP).

**66.123 PUGET SOUND ACTION AGENDA: TECHNICAL INVESTIGATIONS AND IMPLEMENTATION ASSISTANCE PROGRAM FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 1330; Clean Water Act, Title 1, Section 104(a)&(b), Public Law 106-457, 33 U.S.C 1254(a)&(b); Clean Water Act, Title 3, Section 320, Public Law 94-117, 33 U.S.C 1330; Omnibus Appropriations Act of 2010, Public Law 111-88; Clean Water Act, Title 1, Section 104(a)&(b), Public Law 94-117, 33 U.S.C 1254(a)&(b); Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife

that allows for recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In both the FFY 2009 and FFY 2010 Omnibus Appropriations Acts, Puget Sound restoration funds are provided to develop and implement programs in the Puget Sound basin that will help meet the Clean Water Act goal of protecting and maintaining the physical, chemical, and biological integrity of the basin's waters and to help minimize the adverse impacts of future development and population growth. These programs are likely to address a broad scope of threats and resource protection issues, including activities linked to nonpoint source pollution, habitat, and watershed restoration and protection work.

By 2011, EPA Region 10, working with its key state, tribal and local partners, have committed to attaining the following environmental outcomes for the Puget Sound Basin:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

In addition, by 2011, we are committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

This program has the following main objectives:

First, a central component of the approved CCMP for Puget Sound is its Biennial Science Workplan which identifies some of the core scientific work that must be completed in order for the Puget Sound Management Conference's implementation efforts, to succeed in the recovery and protection of the Sound. A primary objective of this program is to support the technical studies and investigations that are needed to help direct implementation priorities.

Second, by 2012, EPA and the Puget Sound Partnership will need to propose new five year strategic plan outcomes and targets for Puget Sound. The Scientific Studies and Technical Investigations sought through this program will help support identification of specific environmental outcomes and also the development of tracking and evaluation approaches for implementation activities, so that together they will contribute significantly to the restoration and protection of Puget Sound by 2020.

Funding Priority - Fiscal Year 2010: The key funding priority for FFY 2010 is to assist in the completion of near term science projects and technical investigations that are either identified in the Biennial Science Work Plan or are identified as necessary to support the attainment of specific environmental outcomes identified by the 2020 Action Agenda for Puget Sound and its associated work programs and implementing agreements.

Additionally, a second priority will be to follow up on work initiated in FFY 2008 and 2009 to assist with the development and completion of scientific studies and technical investigations necessary for implementing the Action Agenda and achieving targeted environmental outcomes.

A third priority in 2010 will be to provide financial assistance to support the state of Washington's efforts to help implement, manage and monitor progress of the 2020 Action Agenda for Puget Sound (the CCMP). Dependent on the availability of sufficient funds, this program would offer additional assistance for implementation of the priority actions and programs identified in the 2020 Action Agenda for Puget Sound.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration projects.

The assistance offered can be used to finance scientific work identified in the Puget Sound Partnership's Biennial Science Work Plan or otherwise needed to effectively implement the Puget Sound Action Agenda. Assistance may be used to finance technical studies and investigations necessary to achieve environmental outputs and/or outcomes identified in the Action Agenda or by either the Puget Sound Partnership or other agencies within the Management Conference with implementation or tracking responsibilities.

Assistance may also be used to manage, monitor, oversee, or participate in the implementation of the 2020 Action Agenda for Puget Sound, including Tribal participation in the implementation and maintenance processes of the CCMP. Such assistance may also include managing and overseeing the implementation of the Agenda's Science Work Plan and any technical studies or investigations undertaken in support of implementation and/or further development of the Action Agenda.

Finally, if requested, the assistance may be used to finance general implementation of the 2020 Action Agenda for Puget Sound. This implementation work could either be funded directly or through a lead implementation entity which could then fund secondary implementation awards and manages progress and outcomes for a particular management issue or geographic area.

Additional information on use restrictions, if any, for this program, will be provided in each request for proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Federal government agencies and Washington state government agencies are eligible to apply under this program.

Public and private institutions of higher education located in the United States are eligible to apply under this program.

Units of local government organized under Washington state law and located within the Greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program.

Watershed planning units formed under RCW 90.82.40 and RCW 90.82.60, local management boards organized under RCW 90.88.30, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060 and Marine Resource Committees organized pursuant to RCW 36.125 are eligible to apply

if they are located within or their jurisdictions include waters and/or lands with the Greater Puget Sound basin.

-Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Nonprofit nongovernmental entities are also eligible to apply.

Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Federally recognized Indian Tribes located within the greater Puget Sound basin and any consortium of these eligible tribes.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

- For profit business entities, private individuals and families are not eligible to apply. However, all of these types of entities could partner with an eligible applicant as a subawardee.

- For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiaries would be the entities receiving the assistance. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

This program is excluded from coverage under Executive Order 12372, "Intergovernmental Review of Federal Programs" because the State of Washington has chosen to not participate in this review process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For competitive awards, applicants will be required to submit application materials as described in the Request For Proposals. The

Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Clean Water Act 104(a) and 104(b) have no statutory formula for match; that is, no match is required by the statute. Therefore, for awards under this program to be made under these authorities, the EPA will not require any non-federal match by any successful applicant.

If awards are made for general projects that implement the CCMP or that exercise management and oversight over the implementation of the CCMP, there will be a match requirement pursuant to CWA 320.

For those projects, under CWA 320(g)(2) and 320(g)(3)(ii), there is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA 320 allows for an aggregate match.

For these awards, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for these awards, EPA Region 10 will require that all selected recipients provide a match amount that is equal to 33% of the 50% required match. Thus, for each of these awards, the required 50% match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

Match Example:

For an applicant requesting \$600,000 in federal funds under a competition, the total match required would be \$600,000. Under the competition, the applicant will be required to provide a match of \$198,000, or 33% of the required 50%

match. The remaining \$402,000 (\$600,000 - \$198,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Contact the EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during FFY 2010 and FFY 2011. Funds will be disbursed to individual assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date in a manner that allows the report user to confirm that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles and, for assistance agreements in which a matching contribution is required, the reports will also document expenditures of that matching contribution. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records shall be maintained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$3,500,000 - EPA, Region 10 estimates that we will obligate approximately \$3,500,000 to this program from the FFY 2009 appropriation. These funds will be obligated when the assistance is awarded during FFY 2010.

Additional funds from the EPA's FFY 2010 appropriation may be obligated to this program in FFY 2010 and FFY 2011, if legally appropriate and consistent with agency policy.

**Range and Average of Financial Assistance:**

The EPA expects to make awards for scientific and technical studies in the range of \$200,000 - \$700,000. Awards for implementation assistance and for managing and monitoring the implementation of the CCMP could range from \$200,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with State agencies, units of local government (including special purpose districts), tribal governments and intertribal organizations, assistance recipients must comply with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 C.F.R. Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 C.F.R. Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 C.F.R. Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 C.F.R. Part 215.

For grants and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 C.F.R. 220, "Cost Principles for Educational Institutions."

For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 C.F.R. Part 230, "Cost Principles for Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800-424-4EPA, extension 3-2728  
E-Mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel I. Steinborn Ecosystems and Community Health Unit  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program ; 66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA program description will be published in each announcement of a competitive funding opportunity (e.g., the Request for Proposals or RFP).

## 66.202 CONGRESSIONALLY MANDATED PROJECTS

(CONGRESSIONAL EARMARKS)

### FEDERAL AGENCY:

Office of the Chief Financial Officer, Environmental Protection Agency

### AUTHORIZATION:

Indian Environmental General Assistance Program Act; National Environmental Education Act; Marine Protection, Research, and Sanctuaries Act; Comprehensive Environmental Response, Compensation and Liability Act; National Environmental Policy Act; Safe Drinking Water Act; Toxic Substances Control Act; Resource Conservation and Recovery Act; Pollution Prevention Act of 1990; Federal Insecticide, Fungicide, and Rodenticide Act; Emergency Planning and Right to Know Act; Clean Water Act; Clean Air Act; Annual Department of the Interior, Environment, and related Agencies Appropriations Act; Superfund Amendments and Reauthorization Act; Oil Pollution Act; Solid Waste Disposal Act; NEPA, Section 102(2)(F).

### OBJECTIVES:

To implement special Congressionally directed projects or programs identified in EPA's annual full year Appropriations Act or Conference Report. These assistance agreements support surveys, studies and investigations; research and demonstrations; and special projects which are not requested by EPA in their annual budget request to Congress. Some of these special projects may be identified for designated organizations, local governments, or state governments. The projects may be associated with: (1) various environmental requirements (e.g. wastewater treatment, drinking water treatment); (2) identifying, developing, and/or demonstrating necessary pollution control technologies and techniques to prevent, reduce, and eliminate pollution; or (3) evaluating the economic and social consequences of alternative environmental pollution strategies, technologies, or mechanisms for use by those in economic, social, governmental, and environmental management positions. Funding priorities are to award these assistance agreements to the designated organizations, local governments, or state governments as quickly as possible within statutory and regulatory requirements. Funding Priority - Fiscal Year 2009: All assistance agreements must address the following priorities: (1) addresses directly the specific purpose for the program or project as designated by Congress in EPA's annual Appropriations Act or annual Appropriation Committee Report; (2) is consistent with EPA's existing authorities and the strategic priorities and environmental goals of the Agency; (3) is consistent with long term Agency program plans, and (4) can be awarded before the appropriated funds expire.

### TYPES OF ASSISTANCE:

Cooperative Agreements

### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support specific projects or programs specified by Congress for designated recipients. Allowable direct and indirect costs are included, in accordance with established EPA policies and requirements for assistance agreements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### Applicant Eligibility:

Examples of recipients that may receive assistance under this program include local, state, intrastate, interstate, U.S. territories or possessions, public or nonprofit institutions/organizations, public/private private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, institutions of higher education, Federally Recognized Indian Tribal Governments, Native American Organizations, and international organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

Local, state, intrastate, interstate, U.S. territories or possessions, public or nonprofit institutions/organizations, public/private private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, institutions of higher education, Federally Recognized Indian Tribal Governments, Native American Organizations, and international organizations.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out specific Congressionally designated projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

Although this program is generally not subject to EPA's Policy on Competition for Assistance Agreements, EPA will administratively evaluate each application to determine (a) the adequacy of the proposed project to meet the specified purpose of the Congressionally mandated project and (b) if EPA has existing authority to expend appropriated funds for the mandated project. EPA's program offices will evaluate applications and applicants to determine the merit and relevance of proposed projects. EPA's R&D Office conducts a peer review of all applications by outside experts. EPA will also review the application in relation to EPA's general grant regulations. Any competed projects are subject to EPA's policy on Competition for Assistance Agreements. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 180 days.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Not Applicable.



**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** Recipients must match Federal funds as required by EPA's appropriation acts, authorizing statutes, regulations, program guidance, or as negotiated and agreed to between the applicant and the program office.

This program has no statutory formula for distribution of Federal funds, therefore, matching requirements are defined in each Appropriations Act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at time of award. The length and time phasing of the assistance agreement will be determined by the duration of the availability of appropriated funds. See the following for information on how assistance is awarded/released: Assistance awards are released by letter of credit and other financial authorizations.

**Reports:**

EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final program reports. No cash reports are required. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final progress reports. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final expenditure/financial reports. Performance monitoring of Congressionally mandated special project or program assistance agreements are required per EPA administrative grant orders.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits, remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304; 68-0103-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$205,450,000; FY 09 est \$198,400,000; FY 10 est \$0 - FY 2008: \$205,450,000; FY 2009: \$198,400,000; FY 2010: To be determined.

**Range and Average of Financial Assistance:**

Range: \$150,000 to \$15,000,000 for the Congressionally directed programs or projects; Average: \$614,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: EPA has many Congressionally designated special projects and programs appropriated each year. To award assistance agreements for these specially Congressionally designated projects and programs, EPA works with the designated organizations, local governments, or state governments to help them develop and submit grant applications to EPA. EPA then reviews each grant application to ensure the work proposed is an authorized activity for EPA and is consistent with the guidance provided by Congress. Then EPA assures that the organization, local government, or state government meets EPA's grant and financial management requirements to administer the grant. Fiscal Year 2009: Examples of the 323 designated Congressional special projects and programs in FY 2009 include funding to the Consortium for Plant Biotechnology Research for research support; funding to the City of San

Francisco for restoration of bay watersheds, and funding to the County of Peoria, IL to implement their Regional Storm Water Plan. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional mandated earmarks are subject to EPA's General Grant Regulations -40 CFR Part 30 and 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate Headquarters program contact listed below.

**Headquarters Office:**

Terry Grindstaff USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 2732A  
, Washington, District of Columbia 20460 Email: grindstaff.terry@epa.gov  
Phone: 202-564-8904

**Website Address:**

<http://www.epa.gov/ocfo/budget/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Congressionally mandated special projects or programs vary. For example, below are listed a small sample of such projects or programs funded in FY 2008: research at Montana State University on technologies for small public water systems, support for development of wastewater treatment systems in Brownsville and El Paso, Texas, and support for improved drinking water systems to filter out arsenic in Bernalillo County, New Mexico. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Addresses the specific purpose designated by the Congressional earmark in EPA's annual Appropriations Act or annual Appropriation Committee Report and other relevant legislative history and is consistent with EPA's authorities to support or conduct the Congressionally specified action. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. All Congressionally mandated earmarks must meet the following criteria: (a) address the specified Congressionally directed support or action described in the annual Appropriations Act or Appropriations Conference Report; (b) have the work statement for the proposed assistance agreement clearly relate to current statutory authorities and the strategic priorities for the Agency; and (c) have an approved workplan and processed assistance agreement before the appropriated funds expire.

**66.203 ENVIRONMENTAL FINANCE CENTER GRANTS**

(EFC Grant Program)

**FEDERAL AGENCY:**

Office of the Chief Financial Officer, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001(a); Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3)&1420; Marine Protection, Research and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103(b)(3); Toxics Substances Control Act, Section 10.

**OBJECTIVES:**

The Environmental Finance Center Grant Program provides funding to support Environmental Finance Centers (EFCs) that provide multi-media environmental finance expertise and outreach to the regulated communities. The EFCs work with States, local governments and the private sector to address the growing costs of environmental protection. The EFCs provide finance-related training, education, and analytical studies to help these regulated parties develop solutions to the difficult "how-to-pay" issues associated with meeting environmental standards.

The EFCs educate state and local governments and businesses on lowering environmental costs, increasing environmental investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating environmental financing options. A central goal of the EFCs is to create sustainable systems. Sustainable systems have the financial, technical, and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EFCs focus on helping these smaller parties find ways to obtain financing for their environmental protection responsibilities.

**Funding Priority - Fiscal Year 2009:** Providing education, technical assistance, and analytic support to state, tribal, and local officials and businesses on: (1) environmentally sustainable growth management and land use planning; (2) financing wetlands programs and protection; (3) water and wastewater utility sustainability, energy efficiency and capital planning; (4) financing source reduction, pollution prevention and energy conservation, and encouraging green business products and services; and (5) promoting innovative air pollution reduction financing efforts.

**Funding Priority - Fiscal Year 2010:** Providing education, training, technical assistance, and analytic support to state, tribal, and local officials and businesses on: (1) building the capacity of the regulated communities to develop and support sustainable water systems; (2) providing computer-based financial outreach tools to communities (particularly small ones) to help them more effectively manage watersheds and water systems; (3) supporting cleaner/greener business through source reduction, pollution prevention, energy conservation, resource recovery, reuse, and recycling; (4) promoting environmentally sustainable redevelopment, smart growth, and green building efforts by state and local governments; (5) supporting environmentally sustainable infrastructure, growth management and land use planning; (6) financing wetlands programs and protection; (7) improving water and wastewater utility energy efficiency, management and capital planning; (8) encouraging green jobs and green business products and services; (9) promoting innovative ways to finance interstate, state, regional, and local air pollution reduction efforts; (10) addressing climate change through reduction of greenhouse gas emissions; and (11) developing decision tools and financial strategies for climate change adaptation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to recipients to support their allowable direct costs incident to approved environmental financial technical assistance and outreach work plus allowable indirect costs, in accordance with established EPA policies and regulations. EPA provides incremental funding for these grants or cooperative agreements on an annual basis. As part of EPA's substantial involvement, the appropriate EPA regional and/or headquarters office reviews and approves each annual project phase consistent with the scope of work for the grant or cooperative agreement.

As provided in 2 CFR Part 220, recipients of grants or cooperative agreements under this program may not charge fundraising costs to their grants or cooperative agreements. Funding for research under this program does not include research within the purview of EPA's Office of Research and Development. Under this program, EPA does not fund research, training, and technical assistance to facilitate the inventory of brownfields sites, site assessments, remediation of brownfields sites, community involvement, and site preparation. These activities are covered by the EPA grant program established at CFDA 66.814.

**Applicant Eligibility:**

Assistance under this program is available to public and private non-profit universities and colleges and to nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, tribes, local governments, businesses and community organizations and the general public are the beneficiaries of this program.

**Credentials/Documentation:**

Applicants must demonstrate that they meet eligibility requirements. In addition, EPA may request applicants to demonstrate that they have the appropriate background, academic training, experience in the field, and necessary staff and equipment to carry out the project work. The Agency may also ask principal analysts named in applicants' proposals to provide curriculum vitae and other documentation of relevant experience. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, the applicant may call the appropriate EPA regional contact listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at (202) 564-5325. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or to the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 45 to 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Annually subject to the budget and project periods specified in the awards.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program does not have a statutory or regulatory formula or matching requirement. The Agency may, as a matter of policy,

require cost sharing when such a requirement is specified in the announcement of the competitive funding opportunity.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. The project period for the grants or cooperative agreements may range up to seven years. EPA will provide incremental funding for the cooperative agreements each fiscal year (on a 12-month basis) over the duration of the grants or cooperative agreements. Method of awarding/releasing assistance: lump sum.

**Reports:**

A final program or technical report shall be completed within 90 calendar days of the completion of the period of performance for each award. No cash reports are required. Quarterly or semiannual progress reports may be required as determined by EPA after the award. Quarterly or semiannual expenditure reports may be required as determined by EPA after the award. Quarterly or semiannual performance monitoring may be required as determined by EPA after the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) apply. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those brought up in an audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,000,000; FY 09 est \$2,000,000; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

Approximately \$222,000 per award per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: EPA will make nine non-competitive awards to the existing Environmental Finance Centers in FY 2009.

Environmental Finance Centers are innovative, neutral and multi-disciplinary technical assistance and outreach agents with proven track records of working at the local, state, regional and national levels. They have specialized expertise in finance, information technology transfer, and all environmental media. They have numerous successful partnerships and connections with regulated parties, regulators, other technical assistance providers, and non-profit organizations throughout the U.S. The EFCs have developed many innovative financing/outreach tools and training courses, and have implemented successful projects in states in all ten EPA regions.

The EFCs have recently undertaken a number of innovative activities to lower costs and increase private sector investment/involvement in environmental systems, including: (1) completed the launch of new initiatives to help local

communities mitigate and adapt to global climate change; (2) developed community handbooks on financing green building projects; (3) started a successful and growing Web site, Foodtrader.org, to connect local farmers with local buyers; (4) created best practice guides for communities covering sustainable development, smart growth, and energy efficiency; (5) provided technical assistance on environmental and economic development finance to numerous communities; (6) improved compliance and increased the protection of public health in tribal drinking water systems; (7) worked with a tribal solid waste collective to eliminate green waste dumping; (8) helped several counties develop green business programs; and (9) developed several new financial tools for local government environmental utility managers, including a Web-based Plan2Fund Objective Prioritization Tool (decision-making model) and a breakthrough financial management and analysis tool -- the Financial Dashboard for Sustainable Infrastructure. Fiscal Year 2010: In FY 2010, EPA plans to open the program up to competition and may make up to ten awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education"). Costs for educational institutions will be determined in accordance with 2 CFR Part 220 (OMB Circular No. A-21). Information pertinent to the EFC program can be found at [www.epa.gov/efinpage/efcn.htm](http://www.epa.gov/efinpage/efcn.htm). Written materials on the program can be obtained by calling the EFC National Coordinator at (202) 564-5001.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog and the Headquarters program contacts listed below.

**Headquarters Office:**

Timothy McProuty Environmental Protection Agency  
Office of the Chief Financial Officer  
Center for Environmental Finance, 2731R  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: [mcprouty.timothy@epa.gov](mailto:mcprouty.timothy@epa.gov) Phone: (202) 564-4996

**Website Address:**

<http://www.epa.gov/efinpage>

**RELATED PROGRAMS:**

66.611 Environmental Policy and Innovation Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 2008 and FY 2009, EPA funded nine university-based Environmental Finance Centers (EFCs) located across the nation in eight EPA Regions. Each participating university operated an EFC that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2009: In FY 2008 and FY 2009, EPA funded nine university-based Environmental Finance Centers (EFCs) located across the nation in eight EPA Regions. Each participating university operated an EFC that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity.

**66.305 COMPLIANCE ASSISTANCE SUPPORT FOR SERVICES TO THE REGULATED COMMUNITY AND OTHER ASSISTANCE PROVIDERS**

(Compliance Assistance Centers)

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Resource Conservation and Recovery Act of 1976, Section 8001, Public Law

94-580, 42 U.S.C 6981; Clean Air Act of 1970, Section 103, Public Law 91-604, 42 U.S.C 7403; Clean Water Act of 1972, Section 104, Public Law 92-500, 33 U.S.C 1254.

**OBJECTIVES:**

To provide financial assistance to private nonprofit institutions, universities, and public agencies to develop projects to improve environmental compliance within an identified industrial/government sector or environmental topic. Funding Priority - Fiscal Year 2009: Funds were not available to support the Centers Programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Remaining FY 08 funds were used in FY 09 to continue ongoing Center work, with an emphasis on maintaining the existing Center Websites. It is expected that common communications channels used by the industry/government will continue to quickly distribute information to the targeted audience. EPA funding must be used only for activities specified in the approved scope of work; discretionary funding will not be provided.

**Applicant Eligibility:**

Applicants must be nonprofit organizations as that term is defined in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Colleges, universities, and community colleges are eligible to apply. EPA will also accept applications from state, tribal and local governments. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, for certain funding opportunities under this CFDA, applicants may have to demonstrate how they meet the following factors for threshold eligibility purposes: That they have an indirect cost rate that has been approved or is pending approval by a federal agency or has a cost allocation system that meets the requirements in the applicable OMB Circular; That they have had a previous working relationship(s) with experts and national organizations devoted to the relevant industrial, commercial or governmental sector, or intends to partner with an organization with such expertise; An understanding of the environmental needs of the relevant industrial, commercial or governmental sector through past activities, or intends to partner with an organization with such expertise; That they, or a partnering organization, has familiarity with applicable federal, state and local environmental regulations and experience in developing tools (e.g., training, plain-language guides, fact-sheets, Agency contact locators, etc) to improve the audiences' understanding of their regulatory obligations; Previous experience (or intends to partner with an organization with experience) in developing and maintaining web-based services.

**Beneficiary Eligibility:**

The primary beneficiaries are small businesses, local governments and colleges/universities that are being serviced by the grantees. Other beneficiaries include state, local, general public, and the regulated business community.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, experience in the field, organizational capacity and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, cooperative agreements will be awarded for a five year project period. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. Applicants will be advised of other matching requirements, if any, in Requests for Applications or Requests for Initial Proposals. Although EPA may not require matching funds, applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they would commit to manage a Compliance Assistance Center. This program has no statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Program reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. No cash reports are required. Progress reporting requirements are identified at 40 CFR Parts 30 and 31. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$780,000; FY 09 est \$0; FY 10 est \$1,235,000

**Range and Average of Financial Assistance:**

\$35,000/year - \$140,000/year. While funding was not available in FY 09, an approximate average of the annual financial assistance awards that was made in the past and current fiscal years is \$65,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Center site visit activity for FY2008 increased 12% from FY 2007. In FY 2008, the Centers Websites were visited over 2,220,000 times by their target audiences and the public, and experienced over 7 million requests for web pages and compliance assistance documents. Center survey respondents expressed a high degree of satisfaction with Center services: (1) 86% of the regulated community strongly agreed or agreed that the Centers helped them understand regulations that apply to a sector, local government, or federal facility (2)72% of the regulated entity respondents took one or more actions as a result of Center use. Actions ranged from contacting a regulatory agency, changing a process or practice to conducting a self audit; (3)68% of the assistance provider community respondents took one or more actions as a result of Center use. Actions included: providing fact sheets or compliance guides; helping clients identify pollution prevention opportunities; and helping clients change processes or practices; (4) 46% of the regulated community respondents and 43% of the assistance provider community respondents indicated an environmental improvement from actions taken as a result of using a Center. The EPA funded 13 Centers and Center Services under 10 cooperative agreements in FY 2008. Each Center addresses real world issues in language that speaks to the regulated entities. Through internet Websites, telephone assistance lines, fax-back systems, and e-mail discussion groups, the Centers are helping businesses, local governments, and federal facilities understand and comply with federal environmental requirements and save money through pollution prevention techniques. FY 09 Web trend activity is not yet available. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Compliance Assistance Centers are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for non-profit institutions, and FAR Part 31 for profit makers. Additional information pertinent to the Centers program can be found at [www.assistancecenters.net](http://www.assistancecenters.net). Centers brochures and/or fact-sheets can be obtained by calling the EPA Compliance Assistance Centers Team Leader at (202) 564-7076.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Tracy Back USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 2224A , Washington, District of Columbia 20460 Email:  
[back.tracy@epa.gov](mailto:back.tracy@epa.gov) Phone: (202) 564-7076

**Website Address:**

<http://epa.gov/compliance/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Past projects include the development of sector-specific websites providing a wide range of compliance assistance tools and resources. Tools developed include web sites, toll-free telephone assistance services, e-mail discussion groups, other interactive technologies, video/workbooks, satellite training, compliance audit checklists and guidebooks, and compliance fact sheets assistance in implementing pollution prevention activities. The existing Center websites can be accessed at [www.assistancecenters.net](http://www.assistancecenters.net) or [www.epa.gov/compliance/assistance/centers/index.html](http://www.epa.gov/compliance/assistance/centers/index.html). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

**66.309 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE ACTIVITIES RELATING TO ENVIRONMENTAL JUSTICE (EJSS)**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), Section 311(c); Solid Waste Disposal Act, Section 8001(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a); Marine Protection, Research, and Sanctuaries Act, Section 203; Safe Drinking Water Act, Section 1442(c)(3); Clean Water Act, Section 104(b)(3).

**OBJECTIVES:**

The program's mission/objective is to provide funding in support of surveys, studies and investigations, and special purpose assistance programs as they relate to environmental and/or public health issues, with a particular emphasis on environmental justice. Funding Priority-Fiscal Year 2009. Activities that support surveys, studies and investigations, and special purpose assistance for the award of grants and cooperative agreements that address environmental justice concerns. EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. Meaningful involvement means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected. Assistance agreements may be associated with air

quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and/or pesticides. Funding Priority-Fiscal Year 2010. Activities that support surveys, studies and investigations, and special purpose assistance for the award of grants and cooperative agreements that address environmental justice concerns. EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. Meaningful involvement means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected. Assistance agreements may be associated with climate change, green jobs, energy efficiency and green business.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, intertribal consortia, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions which submit applications proposing projects concerning environmental justice issues with significant technical merit and relevance to EPA's mission. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual). Most of OEJ awarded grants and cooperative agreements have project periods ranging from one year to five years, and generally, grants and cooperative agreements are fully funded at the time of award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final program reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. No cash reports are required. Agreements may require quarterly, interim, and final progress reports. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-0107-0-1-304; 68-8145-0-7-304; 68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$30,000; FY 10 est \$30,000

**Range and Average of Financial Assistance:**

\$15,000 to \$150,000/fiscal year; \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Unsolicited request for assistance - a conference on the study and investigation of new ideas and new approaches to climate change through interactive training sessions, featuring thought-provoking dialogue, voices of experience and research on the challenges of communities, governments, municipalities, communities, faith-based organizations, and others with an interest in environmental matters and environmental justice; attendance of over 300 individuals, 30 organizations, 30 experts and lecturers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Amy Braz (617) 918-1346, [braz.amy@epa.gov](mailto:braz.amy@epa.gov), USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, [wesley.terry@epa.gov](mailto:wesley.terry@epa.gov), USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, [frazier.tasha@epa.gov](mailto:frazier.tasha@epa.gov). Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, [harris.reggie@epa.gov](mailto:harris.reggie@epa.gov), USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404) 562-9650, [barlow.elvie@epa.gov](mailto:barlow.elvie@epa.gov), USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, [mclendon.ella@epa.gov](mailto:mclendon.ella@epa.gov). Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, [millard.margaret@epa.gov](mailto:millard.margaret@epa.gov), USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, [quinones.shirley@epa.gov](mailto:quinones.shirley@epa.gov), USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, [moses.althea@epa.gov](mailto:moses.althea@epa.gov), USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, [reish.nancy@epa.gov](mailto:reish.nancy@epa.gov), USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556 [belille.jean@epa.gov](mailto:belille.jean@epa.gov). Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844, [henry.karen@epa.gov](mailto:henry.karen@epa.gov), USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, [grass.running@epa.gov](mailto:grass.running@epa.gov), USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

**Headquarters Office:**

Sheila Lewis USEPA  
Office of Environmental Justice  
1200 Pennsylvania Avenue, NW., Mail Code 2201A, Washington, District of

Columbia 20460 Email: [lewis.sheila@epa.gov](mailto:lewis.sheila@epa.gov) Phone: (202)564-0152

**Website Address:**

<http://www.epa.gov/compliance/environmentaljustice/index.html>

**RELATED PROGRAMS:**

66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers ; 66.604 Environmental Justice Small Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Study and investigation of new ideas and new approaches to climate change through interactive training sessions, featuring thought-provoking dialogue, voices of experience and research on the challenges of communities, governments, municipalities, communities, faith-based organizations, and others with an interest in environmental matters and environmental justice. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.310 CAPACITY BUILDING GRANTS AND COOPERATIVE AGREEMENTS FOR COMPLIANCE ASSURANCE AND ENFORCEMENT ACTIVITIES IN INDIAN COUNTRY AND OTHER TRIBAL AREAS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Clean Air Act, Section 103; Clean Water Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; National Environmental Policy Act, Section 102(2)(F); Indian Environmental General Assistance Program Act.

**OBJECTIVES:**

Providing financial resources to build and improve the compliance assurance and enforcement capacity of federally-recognized Indian tribes (tribes), inter-tribal consortia, or tribal organizations by providing financial resources and to improve compliance with environmental laws. As required by statute, such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training, and fellowships to the extent authorized under the federal environmental laws listed above. This Catalog of Federal Domestic Assistance (CFDA) number covers EPA's Environmental Program Management (EPM) resources targeted for compliance assurance and enforcement in Indian country and other tribal areas, including those in Alaska. Funding Priority - Fiscal Year 2009: Building tribal compliance assurance and enforcement capacity to support activities related to the National Indian Country Enforcement and Compliance Assurance Priority (Indian Country Priority) is the funding priority for fiscal year 2009. To that end, these funds are targeted to address compliance assistance, compliance monitoring, and enforcement issues associated with waste management, schools, and public water systems. Activity examples include: funding the training of tribal compliance monitoring inspectors and conducting compliance monitoring inspections; demonstrating solid waste management techniques and operation and/or maintenance of public water systems and schools; training of personnel involved in the operation and/or maintenance of public water systems, schools, and solid waste operations; improving understanding of the potential hazards associated with school laboratory chemicals; hiring "circuit riders" to provide compliance assistance to tribal public water systems, solid waste programs, and schools; creating tribal environmental codes with enforcement components; and creating administrative procedures to facilitate regulatory compliance and enforcement. Also included are investigation of environmental compliance issues in each area. OECA's tribal funds should be used to support activities directly related to the Indian Country Priority.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The funding is for fixed or known periods associated with specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants. OECA identifies special focus areas each funding cycle (annually). Previous years have included calls for proposals focusing on conducting sanitary surveys at tribal public water systems, compliance assistance to tribal solid waste programs, and innovative enforcement and compliance assurance projects, including performance measurement, data quality, and public access to information. Consistent with existing statutory authority, the funds are used to support compliance assistance, compliance monitoring, and enforcement activities.

### Applicant Eligibility:

Tribal Organizations, Inter-tribal Consortia, Federal, and State Organizations, Colleges and Universities, and non-for-profit organizations; eligible applicants must also have enforcement and compliance assurance responsibilities in Indian country and/or other tribal areas or provide support for enforcement and compliance assurance projects in Indian country and/or other tribal areas. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to: (1) tribes and intertribal consortia located in the Region where a project is going to be performed; and/or (2) applicants that have access to Indian country or other tribal areas.

### Beneficiary Eligibility:

Federally Recognized Indian Tribal Governments; Inter-tribal Consortia and Tribal Organizations; Federal, State, and Multi-jurisdictional State Organizations; colleges and universities; and non-for-profit organizations.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 60 days from the date of submission of the final proposal.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. e resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Assistance is normally provided in one lump sum. Projects may span multiple years. There is no restriction on the time permitted to spend the money awarded, although money must be spent prior to expiration associated with the specified federal fiscal year. See the following for information on how assistance is awarded/released: Other.

### Reports:

Semi-annual program reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary. No cash reports are required. Semi-annual progress reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary. Expenditure Reports may be required under this program. Performance monitoring is required by this program.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

### Records:

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

### Account Identification:

68-0103-0-1-304.

### Obligations:

(Project Grants) FY 08 \$1,095,000; FY 09 est \$300,000; FY 10 est \$300,000

### Range and Average of Financial Assistance:

\$3000 to \$40,000/fiscal year; \$40,000/fiscal year.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: In FY 2008, EPA funded multiple activities in Indian country. For example, EPA funded compliance assistance activities (training and demonstration) designed to improve understanding of how schools and public water systems can operate in compliance with applicable federal environmental laws. Similarly, EPA funded compliance assistance activities (training and demonstration) designed to improve understanding of how tribes can effectively manage solid waste. In addition, EPA funded circuit riders who provide on-site compliance and technical assistance to tribes. The funded circuit riders provided on-site assistance to the owners and operators of public water systems and the managers and staff engaged in the collection, handling, and disposal of solid and household hazardous waste. EPA-funded drinking water circuit riders provided training and assistance related to drinking water system operation, monitoring, data collection, and reporting. Solid waste circuit riders helped with waste assessments and waste investigations. EPA funds were also used for public service announcements and printed educational documents. EPA also funded the drafting of environmental codes associated with drinking water, solid waste, and regulations impacting schools and other environmental situations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No



Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable EPA Uniform Administrative Requirements covered in the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (40 CFR Part 30), February 15, 1996; Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (including Indian and Tribal Governments) (40 CFR Part 31), March 11, 1988; and State and Local Assistance: Provides program-specific requirements for State, tribal, and local grants (40 CFR Part 35, Subparts A and B), October 12, 1982.

#### **Regional or Local Office:**

See Regional Agency Offices. For EPA Region 1 contact Kristi Rea at (617) 918-1595 or [rea.kristi@epa.gov](mailto:rea.kristi@epa.gov); for EPA Region 2 contact Rebecca Jamison at (212) 637-3949 or [jamison.rebecca@epa.gov](mailto:jamison.rebecca@epa.gov); for EPA Region 4 contact Serdar Ertap at (404) 562-9683 or [ertrap.serdar@epa.gov](mailto:ertrap.serdar@epa.gov); for EPA Region 5 contact Andrew Anderson at (312) 353-9681 or [anderson.andrew@epa.gov](mailto:anderson.andrew@epa.gov), for EPA Region 6 contact Connie Overbay at (214) 665-7274 or [overbay.connie@epa.gov](mailto:overbay.connie@epa.gov); for EPA Region 7 Wolfgang Brandner contact at (913) 551-7381 or [brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); for EPA Region 8 contact Liz Rogers at (303) 312-6974 or [rogers.liz@epa.gov](mailto:rogers.liz@epa.gov); for EPA Region 9 contact Angela Baranco at (415) 947-4262 or [baranco.angela@epa.gov](mailto:baranco.angela@epa.gov), and for EPA Region 10 contact Donald Dossett at (206) 553-8257 or [dossett.donald@epa.gov](mailto:dossett.donald@epa.gov).

#### **Headquarters Office:**

Jonathan Binder Office of Compliance  
Environmental Protection Agency  
Ariel Rios Building, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [binder.jonathan@epa.gov](mailto:binder.jonathan@epa.gov) Phone: (202) 564-2516

#### **Website Address:**

<http://www.epa.gov/compliance/state/grants/index.html>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 2005 and 2006, EPA funded solid waste and drinking water system circuit riders to provide compliance and technical assistance to tribes in the area of solid waste management. Circuit riders conduct on-site visits at multiple facilities and provide detailed information and training to tribes, tribal environmental professionals, and facility operators on how to ensure compliance and improve environmental performance. In addition, EPA funded training and conferences for tribal environmental professionals, including how to effectively conduct compliance monitoring inspections under federal and tribal environmental laws, to facilitate the development of compliance assurance and enforcement programs. EPA funded the development of tribal environmental codes, including the creation of solid waste management plans designed to ensure the proper handling and disposal of solid waste. Finally, EPA funded tribal data collection and analysis efforts designed to assess the compliance status of regulated facilities and develop tribal plans to respond to the identified compliance issues. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.312 STATE ENVIRONMENTAL JUSTICE COOPERATIVE AGREEMENT PROGRAM**

(EJCA)

#### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

#### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3); Toxic Substances Control Act, Section 10(a); Solid Waste Disposal Act, Section 8001(a); Marine Protection, Research, and Sanctuaries Act, Section

203; Clean Air Act, Section 103(b)(3).

#### **OBJECTIVES:**

To provide funding to State governments to support their efforts to understand, promote and integrate approaches and activities that result in meaningful and measurable environmental and/or public health improvements in communities disproportionately exposed to environmental harms and risks. The goals of this program include, but are not limited to, the following: Achieve significant measurable environmental and/or public health results; Build broad, robust, results-oriented partnerships, particularly with community organizations within the affected area(s); Demonstrate a connection to EPA Regional EJ Action Plans and the State's participation in the design and implementation of EPA EJ Action Plan activities; and Implement a strategy to integrate EJ considerations pertinent to the project within the programs, policies, and activities of the appropriate State agency or agencies. To provide funding to State governments to support their efforts to understand, promote and integrate approaches and activities that result in meaningful and measurable environmental and/or public health improvements in communities disproportionately exposed to environmental harms and risks. To support of activities which are robust, results oriented, collaborative partnerships, and which can be linked to Regional EJ Action Plan activities. By linking to the Government Performance Results Act (GPRA) strategic plans and goals, the Agency's EJ Action Plans are using various activities to address goals which will lead to measurable environmental and public health outcomes.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The SEJCA Program seeks projects fostering activities such as the following: Public awareness programs addressing child lead poisoning and asthma in impacted minority or low-income communities. This type of initiative could entail research activities about effective ways of outreaching and educating the public about causes and prevention of (lead poisoning and asthma); follow-up for further lead testing and effectiveness determinations of preventive efforts; Performance of community assessments and risk reduction projects to develop tools that could be used quickly for assessing air quality problems in a community; Projects to address multiple health threats posed by chemical and biological related industries/organizations located close to communities living in state public housing projects; Creation of communication networks and partnerships for sharing information and/or conducting focus groups studies on EJ related issues, between advocacy groups, local communities and state environmental agencies; Development of a response plan for targeted area; Establishment of collaborative and coordinated efforts, process or procedures between state agencies and ongoing projects at local levels to maximize use of local resources and reduce duplication of efforts.

The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

#### **Applicant Eligibility:**

State agencies, U.S. territories and commonwealths, the District of Columbia, and multi-jurisdictional State organizations.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State agencies, U.S. territories and commonwealths, the District of Columbia and multi-jurisdictional State organizations.

The following entities are INELIGIBLE: private colleges and universities; City,

township, county government and their entities; Federally recognized Native America Tribal governments; State designate Native American Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-102 for Grants and Cooperative Agreements with State and Local Governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for training, research, surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All cooperative agreements will be awarded for a 3-year project period. Activities must be completed within the project timeframe, and all cooperative agreements will be fully funded at the time of award. See the following for

information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final program reports and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. No cash reports are required. Agreements may require interim and final progress reports. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. 40 CFR Part 31 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 40 CFR Part 35 - State and Local Assistance.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$800,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

All individual awards are \$160,000 each.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to and Local Governments (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. Region 3 - Reggie Harris, 215.814.2944, [harris.reggie@epa.gov](mailto:harris.reggie@epa.gov);

Region 4 - Sheryl Good, 404.562.9559, [good.sheryl@epa.gov](mailto:good.sheryl@epa.gov);

Region 5 - Margaret Millard, 312.353.1440, [millard.margaret@epa.gov](mailto:millard.margaret@epa.gov)

Region 9 - Karen Henry, 415.972.3844, [henry.karen@epa.gov](mailto:henry.karen@epa.gov)

Region 10 - Running Grass, 206.553.2899, [grass.running@epa.gov](mailto:grass.running@epa.gov).

**Headquarters Office:**

Sheila Lewis USEPA  
Office of Environmental Justice  
1200 Pennsylvania Avenue, NW, Mail Code 2201A  
, Washington, District of Columbia 20460 Email: [lewis.sheila@epa.gov](mailto:lewis.sheila@epa.gov) Phone: (202)564-0152

**Website Address:**

<http://www.epa.gov/compliance/environmentaljustice/grants/ej-cps-grants.html>

**RELATED PROGRAMS:**

66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice; 66.604 Environmental Justice Small Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.418 CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Clean Water Act, Section 101(e)&109(b), Public Law 92-500; Clean Water Act, Section 313,319,320,501, Public Law 92-500; Clean Water Act, Section 201-205, 207, Public Law 92-500; Clean Water Act, Section 210-212&215-219, Public Law 92-500; Clean Water Act, Section 502,511,516(b), Public Law 92-500; Clean Water Act, Section 208(d)&304(d)(3), Public Law 92-500.

**OBJECTIVES:**

To assist and serve as an incentive in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. From fiscal year (FY) 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program. Funding Priority - Fiscal Year 2009: Funds are awarded to assist in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office. Funds are also available to American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia for construction of municipal wastewater treatment works under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding will be targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For construction of municipal wastewater treatment works including privately owned individual treatment systems, if a municipality applies on behalf of a number of such systems. Such works may serve all or portions of individual communities, metropolitan areas, or regions. A project may include, but may not be limited to, treatment of industrial wastes. The grantee must require pretreatment of any industrial wastes which would otherwise be detrimental to efficient operation and maintenance, or the grantee must prevent the entry of such waste into the treatment plant. The grantee must have or initiate an acceptable system of user charges. From FY 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Any state, local, intrastate agency, or interstate agency, or Federally-Recognized Indian tribal government, having jurisdiction over waste disposal. At present, new funding for the construction grants program exists only in American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia because they are exempt by the

U.S. Congress from establishing a State Revolving Fund (SRF). Grants are awarded to only these territories and the District of Columbia from the SRF funds (Title VI grants), which are awarded as Title II grants. Funding requests for construction of wastewater treatment facilities are now to be made to the SRF representative of the State in which the construction is proposed.

**Beneficiary Eligibility:**

Anyone/General Public. Anyone to be served by a wastewater treatment works assisted by this program.

**Credentials/Documentation:**

(1) Certified copy of authorization and assurances from the applicant's governing body. Authorization must be current, and must designate by name and title the individual who will represent the applicant; (2) current description of the project; (3) statement explaining exact nature of local, State, and any other Federal funds which may be used to finance the project; (4) applicant assurance (which is acceptable to the Regional Administrator) that any necessary discharge permit has been or will be obtained in accordance with Section 401, of Public Law 92-500, as amended; (5) conformance with requirements set forth in 40 CFR Part 35; Subpart I. Application may be made for grant assistance for building and erection of the treatment works with an allowance for planning and design costs at the time that the grant for construction is made. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This is an existing program which is winding down as the funding is now being provided under the Clean Water State Revolving Fund Program for construction of wastewater treatment facilities. An environmental assessment is required for this program, which may require the development of an environmental impact statement by EPA. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the State water pollution control agency to the appropriate EPA Regional Office. The standard application forms as furnished by the Federal agency must be used for this program. EPA requires final applications to be made on the Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Projects considered for award must be approved by the State water pollution control agency and also certified by such agency as to priority over any other eligible projects. Award is made following such certification and approval by a Regional Office of EPA. Funds authorized by the Congress are allotted to the States in accordance with The Clean Water Act, as amended. Grant awards within individual States are limited by the funds which have been allotted to such States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 45 days, for EPA Regional Office action after certification by delegated State.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** This program operates under Section 202 of the Clean Water Act. This program has no statutory formula. The Federal grant may be for up to 55 percent for grants awarded after September 30, 1984 or for 75 percent of eligible project costs for grant assistance awarded before October 1, 1984. The States may lower these percentages with the concurrence of the Regional Administrator pursuant to Section 202(a)(1) of the Clean Water Act as amended by Public Law 100-4. For innovative or alternative treatment processes and techniques referred to in section 201(g)(5) the funding shall be 20 per centum greater than the above approved percentage, but in no event greater than 85 per centum of the cost of construction of the project being funded with the grant. The grantee must assure that they will provide funds for all remaining costs. Some States assist grantees in providing all or part of the non-Federal share. American Samoa, Guam, Northern Marianas Islands, and Virgin Islands will receive the funds allocated up to 100 percent of the cost of construction. Recovery Act funds allotted to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands have no match requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Any Title VI sums that are allotted as Title II to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands will be available for obligation for a period of one year after the close of the fiscal year for which the sums are authorized. Recovery Act funds allotted to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands are available for obligation until September 30, 2010. The term of the grant shall be determined at the time of grant award. Grant payments are based on work completed, equipment delivered, or sometimes off-site manufacturing or services rendered. Final grant payment is made after construction is completed and satisfactory final inspection and performance evaluation are carried out. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Annual inspection by the State agency for compliance with permit requirements including a written report concerning operation and maintenance of waste treatment facility, and certification one year after beginning operation that the works are meeting project performance standards. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be

maintained for 3 years after project closeout, and if questions still remain, such as those raised in a court appeal, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$11,000,000; FY 09 est \$39,273,300; FY 10 est \$46,300,000 - Title II obligations available for construction grants to District of Columbia, American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands are: FY 08 \$11,000,000; FY 2009 est. \$10,000,000; and FY 10 est. \$46,300,000. Title II obligations available for Recovery Act funds to District of Columbia, American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands are: FY 08 \$0; FY 09 est. \$29,273,300; and FY 10 est. \$0.

**Range and Average of Financial Assistance:**

CWA Title II grants \$100,000 to \$10,000,000/fiscal year; \$5,000,000/fiscal year. Recovery Act funds \$100,000 to \$15,000,000/fiscal year; \$7,500,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, two grants for \$11 million was awarded. Fiscal Year 2009: In FY 09, 4 grants for \$10 million are anticipated to be awarded. Projects funded included new and expanded wastewater treatment plants, infiltration/inflow correction, new interceptors, new collector sewers, and correction of combined sewer overflows (CSO) projects. In FY 09, it is anticipated that 10 awards will be made with Recovery Act funds for a total of \$29 million. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for Construction of Treatment Works, Environmental Protection Agency (40 CFR Part 35, Subpart E (and Subpart I, applicable to grants awarded after May 12, 1982); General Grant Regulations and Procedures, EPA (40 CFR Part 31); "Construction Grants 1985 (Guidelines for applicants and grantees)"; and Construction Grants Handbook of Procedures (Guidelines for Project Officers)." For these and other publications, please contact EPA's Office of Wastewater Management, Municipal Support Division, MC-4204M, 1200 Pennsylvania Ave., NW, Washington, DC 20460.

**Regional or Local Office:**

See Regional Agency Offices. Information regarding appropriate waste treatment requirements and State and Federal assistance may be obtained from the State water pollution control agency. Individuals may also communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Also, contact your State agency concerning possible assistance under a State revolving fund (Title VI) of the 1987 Amendments of the Clean Water Act.

**Headquarters Office:**

Gajindar Singh Municipal Assistance Branch (4204M)  
Municipal Support Division  
Office of Wastewater Management  
Environmental Protection Agency  
EPA East, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: singh.gajindar@epa.gov Phone: (202) 564-0634

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of combined sewer overflows (CSO) projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office.

## **66.419 WATER POLLUTION CONTROL STATE, INTERSTATE, AND TRIBAL PROGRAM SUPPORT**

(106 Grants)

### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

### **AUTHORIZATION:**

Clean Water Act, Section 106, Public Law 95-217, 33 U.S.C 1251.

### **OBJECTIVES:**

To assist States (including territories, the District of Columbia, and Indian Tribes qualified under CWA Section 518(e)), and interstate agencies in establishing and maintaining adequate measures for prevention and control of surface and ground water pollution from both point and nonpoint sources. Funding Priority - Fiscal Year 2009: States and Tribes will continue to focus on fulfilling their basic responsibilities under the CWA and, based upon a shared understanding with EPA of the environmental progress expected, will identify program activities that will best support attaining targeted environmental improvements. State priority efforts will include: (1) implementing monitoring strategies and the statistically-valid surveys to determine water quality status and trends; (2) fostering a watershed approach, including total maximum daily loads (TMDLs) and watershed plans designed to meet water quality standards; and (3) implementing concentrated animal feeding operations (CAFOs) and storm water permitting programs. States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States will support EPA in implementing the "Permitting for Environmental Results Strategy (PERS)," including: (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water. Tribes will continue to conduct watershed assessments and will maintain and improve their capacity to implement water quality programs through monitoring, assessments, planning, and standards development.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Water pollution control grants are intended to provide continuing support for the prevention and abatement of surface and ground water pollution from point and nonpoint sources. Continuing and recurrent water quality management program activities funded include water quality planning and standards; monitoring and assessments; inspections and enforcement; permitting; training; advice and assistance to local agencies; and public information. Funds cannot be used for construction, operation, or maintenance of waste treatment plants, nor can they be used for costs financed by other Federal grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### **Applicant Eligibility:**

Eligible entities include State and interstate water pollution control agencies as defined in the Federal Water Pollution Control Act, and Indian tribes qualified under CWA Section 518(e). Agencies making application for funds must annually submit their pollution-control program to the appropriate EPA Regional Administrator for approval. Requirements of the program are based on Section 106 of the Act, and 40 CFR Parts 31, 35, and 130. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### **Beneficiary Eligibility:**

State and interstate water pollution control agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act (CWA).

### **Credentials/Documentation:**

State and interstate agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act must show compliance with 40 CFR 35, Subpart A and Subpart B. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Informal meetings are held between regional office, State, territorial, and Indian tribe applicant agencies concerning program preparation. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. The grant agreement must adequately reflect the priorities identified in the State/EPA Agreement. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grants application must be submitted to the appropriate EPA Regional Office, Grants Administration Branch (see Appendix IV of the Catalog). EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and if approved, are signed by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 30 days.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act, Chapter CFR 35.162.

Matching Requirements: The regulation that implements the formula can be found at CFR 35.162. As stated in the Clean Water Act, appropriated funds are allotted among the State and Interstate Water Pollution Control Agencies on the basis of the extent of the pollution problems in the respective States. The six components in the Section 106 State allotment formula selected to reflect the extent of the water pollution control problems in the United States are: (1) surface water area; (2) ground water use; (3) water quality impairment; (4) point sources; (5) non-point sources; and (6) population of urbanized areas. The set-aside for Interstate Water Pollution Control Agencies is 2.6 percent of the total State monies appropriated under Section 106. The interstate allotment

formula consists of two parts: (1) a funding floor, and (2) a variable portion. To receive a Section 106 Water Pollution Control grant, a State or interstate agency must expend annually for recurrent Section 106 program expenditures an amount of non-federal funds at least equal to expenditures during the fiscal year ending June 30, 1971. A portion of the annual Section 106 appropriation is set-aside for eligible Indian Tribes qualified under CWA Section 518(e), and an allocation formula is used to distribute these funds to the EPA Regions. The Tribal allocation formula consists of both a base portion (which is currently equal to approximately \$65,000 times the total number of Tribes with Treatment in a manner similar to a State [TAS] approval for Section 106 grants in each EPA Region), plus a weighted variable portion. The variable portion is based upon the total tribal water area (50 percent), land area (25 percent), and reservation population (25 percent) in each EPA Region. Tribal work plan costs include the costs of planning, developing, establishing, improving, and maintaining a water pollution control program. The Regional Administrator may provide up to 95 percent of the approved work plan costs for Tribes or intertribal consortia establishing a Section 106 water pollution control program. The Regional Administrator may increase the maximum Federal share if the tribe or intertribal consortium can demonstrate in writing to the satisfaction of the Regional Administrator that fiscal circumstances within the Tribe or within each Tribe that is a member of an intertribal consortium are constrained to such an extent that fulfilling the 5 percent match requirement would impose undue hardship. Since 2005, additional funds have been allocated for the purposes of strengthening State and Territorial water quality monitoring programs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year; payments are approved quarterly and disbursed monthly. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$218,206,000; FY 09 est \$218,495,000; FY 10 est \$229,264,000

**Range and Average of Financial Assistance:**

\$10,000 to \$11,215,000/fiscal year; \$5,610,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In each fiscal year, grants are awarded to encourage and

support the conduct of Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). FY 08 funds were used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. Accomplishments included: implementing monitoring strategies and the development of statistically-valid surveys to determine water quality status and trends; fostering a watershed approach including total maximum daily loads (TMDLs) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOs) and storm water permitting programs. At a minimum, Regional watershed based strategies give priority to: (1) fostering the development of watershed plans under State nonpoint source programs; (2) assuring that high priority permits are current; (3) tracking permitting for environmental results program integrity follow-up actions; (4) developing TMDLs for impaired waters; and (5) organizing restoration plans on a waterbody basis. Fiscal Year 2009: FY 09 funds will continue these efforts. States and Tribes are working toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States are also conducting source water protection actions to protect both ground water and surface waters used for drinking water. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 31); Handbook of Procedures, State and Interstate Program Grants; Environmental Protection Agency, State and Local Assistance Programs, Grants for Water Quality Planning, Management and Implementation (40 CFR Part 130 and 40 CFR Part 35 Subpart A and B); Office of Water National Program Guidance for FY 2005.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robyn Delehanty Office of Wastewater Management (4204M) Environmental Protection Agency, EPA East Building, 1201 Constitution Avenue, N.W. , Washington, District of Columbia 20460 Email: delehanty.robyn@epa.gov Phone: (202) 501-2399.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/pollutioncontrol.htm>

**RELATED PROGRAMS:**

66.454 Water Quality Management Planning; 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution. Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation in implementing EPA's "Permitting for Environmental Results Strategy (PERS)," focusing on (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of

NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Section 106 funds are awarded to State, territory, interstate, and Indian tribal agencies in accordance with overall water quality management needs, the requirements of programs covered by these agreements, and EPA Program guidance.

**66.424 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS - SECTION 1442 OF THE SAFE DRINKING WATER ACT**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act , Section 102(2)(F); Safe Drinking Water Act , Section 1442, Public Law 104-182.

**OBJECTIVES:**

(1) To support surveys, studies, investigations, demonstrations, and training associated with source water and drinking water; (2) To develop and expand capabilities of programs to carry out the purposes of the Safe Drinking Water Act (SDWA). Funding Priority - Fiscal Year 2009: Funding priorities include providing assistance for the following: (1) research on the occurrence of contaminants in drinking water; (2) source water protection and treatment methods; measures to protect water quality in the distribution system and at the tap; (3) tribal source water protection program support; tribal operator certification program support; (4) tribal capacity development program support; and (5) assistance to tribes in administration of the Drinking Water Infrastructure Grants to identify health effects associated with drinking water contaminants. Funding priorities also include providing assistance for the following training and technical assistance activities: (1) training personnel who manage or operate public water systems; (2) training personnel for occupations involving the public health aspects of providing safe drinking water; (3) training to develop and expand the capabilities of states and municipalities to carry out the SDWA; and (4) technical assistance to enable small public water systems to meet the requirements of SDWA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds will support research, investigations, studies, demonstrations, and training associated with source water and drinking water. Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes,

universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$9,098,778; FY 09 est \$640,000; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

\$10,000 to \$600,000/fiscal year; \$120,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. Seven grants were awarded in FY 08 and four grants were awarded in FY 09 in support of drinking water and source water initiatives associated with developing and expanding capabilities of programs to carry out the purposes of the SDWA. Fiscal Year 2009: Four grants were awarded in FY 09 in support of drinking water and source water initiatives associated with developing and expanding capabilities of programs to carry out the purposes of the SDWA. In FY 09, it is anticipated that additional support for drinking water and source water initiatives will be provided. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Training grants and cooperative agreements are subject to EPA's Regulations for Training Assistance (40 CFR Part 45).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Joe A. Jackson Environmental Protection Agency  
Office of Ground Water and Drinking Water  
1200 Pennsylvania Avenue, Washington, District of Columbia 20460 Email:

jackson.joe-a@epa.gov Phone: (202) 564-3817

**Website Address:**

<http://www.epa.gov/safewater>.

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator; 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.432 STATE PUBLIC WATER SYSTEM SUPERVISION****FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act Amendments of 1996, Public Law 104-182; Safe Drinking Water Act Amendments of 1986; Public Health Service Act; Safe Drinking Water Act of 1974, Public Law 93-523.

**OBJECTIVES:**

The objective of these grants is to provide financial assistance to eligible States and Tribes (those that have Primary Enforcement Responsibility for the Public Water System Supervision Program, or are developing such a program), for the conduct of their Public Water Systems Supervision (PWSS) Program. In cases where a State or a Tribe do not have, or are not developing, a Primary Enforcement Responsibility program, EPA is authorized to use funds that would have otherwise been made available to the State or the Tribe to assist in direct implementation of the PWSS program. The fundamental goal of the PWSS Program, and the grants, is to ensure that water systems comply with the National Primary Drinking Water Regulations listed in 40 CFR 141 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr141\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr141_02.html)). States, territories, and Indian Tribes that receive PWSS grants are to use them to ensure that drinking water systems, of all types, and of all sizes: (1) that are currently in compliance with the drinking water regulations, remain in compliance, (2) that are not currently in compliance, achieve compliance, and (3) are preparing to comply with any new drinking water regulation that will be taking effect in FY 06. Funding Priority - Fiscal Year 2009: The priority for the PWSS grants is to ensure that the population served by community water systems will receive drinking water that meets all applicable health-based drinking water standards. The primary components of a State or Tribal PWSS program are: the adoption of State drinking water regulations as stringent as the Federal regulations; the development and maintenance of an inventory of public water systems throughout the State; the development and maintenance of a database housing compliance information on public water systems; the conduct of sanitary surveys on the public water systems; the review of public water system plans and specifications; the provision of technical assistance to system managers and operators; a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; the certification of laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and the conduct of an enforcement program to ensure that the public water systems comply with all of the requirements.



**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement a public water system supervision program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

**Applicant Eligibility:**

Eligibility is limited to the governments of the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have either assumed primary enforcement responsibility for the PWSS Program or that want to develop a program that will allow them to seek delegation for a PWSS Program. EPA may also use funds allotted for a State or Tribal program, if the State or Tribe does not have, or is not developing, primary enforcement responsibility. Eligibility is also limited to a single agency within each State, Territory, or Tribe &#150; an agency that has been designated by the jurisdiction's Governor or Chief Executive Officer. Primary Enforcement Responsibility for the Public Water System Supervision Program is provided for in 40 CFR 142  
([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr142\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr142_02.html)).

**Beneficiary Eligibility:**

The beneficiaries are the agencies within the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have been designated by the jurisdiction's Governor or Chief Executive Officer as being responsible for the supervision of water supplies within the State, Territory, or Tribe.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application, including a Program Plan, must be submitted to the appropriate EPA Regional Administrator. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at:  
[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

The grant application and Program Plan are reviewed by the appropriate EPA Regional Office, and if approved, are signed by the Regional Administrator, who then awards the funds to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Maximum of 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR Parts 30.63 or 40 CFR Part 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act of 1974, Public Law 93-523. Matching Requirements: State allotments are computed through use of a formula, as prescribed in Public Law 93-523 Section 1443 (a)(3) and (a)(4), 40 CFR 35.172. Funds appropriated each year are allotted on the basis of: (a) State, Territory, or Tribal population (20 percent) as contained in the most currently available (published) U.S. Census Bureau data; (b) State, Territory, or Tribal geographical area (10 percent) as contained in the most currently available (published) U.S. Census Bureau data; (c) the number of active community and non-transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (56 percent); and (d) the number of active transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (14 percent). All States, the District of Columbia, and Puerto Rico are eligible for a minimum of \$334,500 (which is equal to 1 percent of the FY 1989 PWSS Program appropriation). The American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands are eligible for a minimum of \$111,500 (which is equal to 1/3 percent of the FY 1989 PWSS Program appropriation). Up to seven percent of the amount appropriated for the PWSS Program is set-aside to support Public Water System Supervision programs on Indian lands (including grants to Tribes) in accordance with EPA Grant Regulations. The formula factors of population and land area are statutory. The other factors, and all of the weightings, are Agency imposed. Federal assistance is limited to 75 percent of total, eligible program costs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. There is no restriction placed upon the time permitted to spend the award. Awards are released through letters of credit or reimbursement. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$95,443,500; FY 09 est \$99,100,000; FY 10 est

\$104,195,000

**Range and Average of Financial Assistance:**

\$123,000 to \$6,127,000/fiscal year; \$1,665,750/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During FY 08 and FY 09, 30 States, one territory, and four Indian Tribe were awarded primacy or primacy development grants under the PWSS Program. The majority of the grant funds were used for State, territorial, or Tribal governmental salaries to allow the governments to: develop and maintain State drinking water regulations; develop and maintain an inventory of public water systems throughout the State; develop and maintain a database housing compliance information on public water systems; conduct sanitary surveys on the public water systems; review public water system plans and specifications to ensure systems meet State design standards; provide technical assistance and training to water system managers and operators to ensure they are knowledgeable of the State requirements and best treatment and operation practices; conduct of a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; inspect and certify laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and conduct an enforcement program to ensure that the public water systems comply with all of the requirements. States, territories, and Tribes also use the grant funds to upgrade and maintain the data systems that are used to store and track information on public water systems. Fiscal Year 2009: In FY 09, grants will continue to focus on supporting projects to achieve the objective of protecting human health by reducing exposure to contaminants in drinking water, including protecting source waters. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Assistance for Continuing Environmental Programs (40 CFR 35, Subpart A); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kevin Roland Office of Ground Water and Drinking Water (4606M)  
Office of Water  
Environmental Protection Agency, Washington, District of Columbia 20460  
Email: roland.kevin@epa.gov Phone: (202) 564-4588

**Website Address:**

<http://www.epa.gov/safewater/pws/pwsgrant.html>

**RELATED PROGRAMS:**

66.433 State Underground Water Source Protection; 66.468 Capitalization Grants for Drinking Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funding has been awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants were used by these governments, primarily for governmental salaries to: develop State drinking water regulations, inventory drinking water systems, manage information on public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for the adoption and enforcement of drinking water regulations which are no less stringent than the national primary drinking regulations. (2) Designation of a State agency to receive the grant and be responsible for conducting the public water system supervision program. (3) Compliance with requirements of 40 CFR 30 and 40 CFR 35.

**66.433 STATE UNDERGROUND WATER SOURCE PROTECTION  
FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act Amendments of 1986, Public Law 99-339; Safe Drinking Water Act of 1974; Safe Drinking Water Act Amendments of 1996, Public Law 104-182, 42 U.S.C 300.

**OBJECTIVES:**

To foster development and implementation of underground injection control (UIC) programs under the Safe Drinking Water Act (SDWA). The objective of the grant program is to provide financial assistance, to eligible States and Tribes, for the implementation of their UIC Program. The fundamental goal of the program, and the grants, is to ensure that underground sources of drinking water are protected from endangering injection activities. Funding Priority - Fiscal Year 2009: The program will fund the major components of State UIC programs which include: the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection well activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement an underground injection control program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and Indian Tribes that qualify as Programs that have delegated primary Enforcement Authority pursuant to SDWA amendments of 1986.

**Beneficiary Eligibility:**

States and Indian Tribes.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications are subject to State and area wide clearinghouses review pursuant to procedures in the proposed 40 CFR Part 19. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.

Matching Requirements: This program operates under a formula which uses criteria set forth in the SDWA, Section 1443(b)(4). Except for Indian Tribes, Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. The statistical factors used for allocation include: (1) population of State, based on the most recent Census Bureau data; (2) State land area, based on the most recent Census Bureau data; and (3) injection practices by State, based on data reported by States and maintained by EPA as of the most recent fiscal year prior to allocation development. For Indian Tribes, Federal assistance is limited to 90 percent of eligible costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report, or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$9,218,300; FY 09 est \$10,891,000; FY 10 est \$10,676,000

**Range and Average of Financial Assistance:**

\$22,000 to \$972,000/fiscal year; \$176,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. In FY 08 and FY 09, 45 States, Territories, and Tribes had primacy for 36 full and nine partial programs. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the

development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2009: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. In FY 08 and FY 09, 45 States, Territories, and Tribes had primacy for 36 full and nine partial programs. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for State Underground Water Source Protection Programs (40 CFR 35); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ann Codrington Prevention Branch, Drinking Water Protection Division  
Office of Ground Water and Drinking Water  
Office of Water, (4606M)  
Environmental Protection Agency  
1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460  
Email: codrington.ann@epa.gov Phone: (202) 564-4688

**Website Address:**

<http://www.epa.gov/OGWDW/Safewater/UIC.html>

**RELATED PROGRAMS:**

66.432 State Public Water System Supervision

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, identification of aquifers, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for an enforceable underground injection control program; (2) compliance with requirements of 40 CFR 30 and 35, and Executive Order No. 12367 (Revised); (3) designation of a State agency to receive the grant and be responsible for coordinating the underground water source protection program; and (4) evidence that Federal grant funds will not supplant the State's nonfederal funding committed to underground water source protection efforts. For Indian Tribes: (1) demonstration of Tribal adequacy; and (2) demonstration of the tribe's intent, adequate legal authority, and resources to implement specific program elements outlined in 40 CFR 144, 145, 146, and 148.

**66.436 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS AND COOPERATIVE AGREEMENTS - SECTION 104(B)(3) OF THE CLEAN WATER ACT FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention,

reduction, and elimination of water pollution. Funding Priority - Fiscal Year 2009: Funding priorities include, but are not limited to, water quality improvement, watersheds management, aquatic ecosystem restoration, pollutant trading, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, water efficiency, and environmental management systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and

universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$3,063,422; FY 09 est \$977,927; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

\$11,650 to \$700,000/fiscal year; \$355,825/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 08 and FY 09, EPA funded 47 projects that supported water quality improvement, watershed management, aquatic ecosystem restoration, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, and environmental management systems. Fiscal Year 2009: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 08 and FY 09, EPA funded 47 projects that supported water quality improvement, watershed management, aquatic ecosystem restoration, fish contamination and consumption, nonpoint source management, wetlands protection, coastal and estuarine management, treatment technologies, and environmental management systems. In FY 09, EPA will continue support projects to protect and improve water quality on a watershed basis. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Connie Cahanap Office of Wetlands, Oceans and Watershed, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Washington, District of Columbia 20460 Email: cahanap.concepcion@epa.gov Phone: (202) 566-1382

**Website Address:**

<http://www.epa.gov/ow>

**RELATED PROGRAMS:**

66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development of innovative watershed education tools, development of water quality standards, development of wetland protection and restoration guides for local communities, national demonstration project for watershed management, and environmental management systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.437 LONG ISLAND SOUND PROGRAM**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 119(d).

**OBJECTIVES:**

To (1) implement the Long Island Sound Study (LISS) Comprehensive Conservation and Management Plan (CCMP) and (2) assist the states of Connecticut and New York, and other public or nonprofit entities in conducting research, experiments, investigations, training, demonstration, surveys, or studies related to reducing pollution and improving the quality of the environment to sustain living resources in Long Island Sound. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants that support the Long Island Sound Study (LISS) National Estuary Program. Section 119(d) of the Clean Water Act as amended by the Long Island Sound Restoration Act of 2000, Public Law 106-457 authorizes the Administrator to award grants to eligible entities to implement the LISS Comprehensive Conservation and Management Plan (CCMP), with special emphasis on implementation, research and planning, enforcement, and citizen involvement and education projects. The LISS management conference, with participants from state, interstate and regional environmental agencies, local governments and other public or nonprofit private agencies, research institutions and individuals, develops programs to protect and restore Long Island Sound. The LISS program characterizes the problems in the estuary, determines relationships between pollutant loading and impacts on living resources, maintains a comprehensive plan recommending solutions to priority problems, and implements actions addressing priority problem areas. Activities in FY 09 will focus on six areas identified in the plan as requiring special attention, including: the impact of hypoxia on aquatic life, effects of toxic contamination, pathogen contamination and floatable debris pollution on the living resources and environment of the Sound, the impact of habitat degradation on the health of living resources, land use and development policies and their effect on the ecology, and scientific research in support of these areas as appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to implement elements of the LISS CCMP. Special emphasis shall be given to CCMP implementation projects, research and planning, enforcement, and citizen involvement and education projects. The Administrator may give priority to a distressed community as defined in 33 U.S.C. 1269(e)(1). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and other public or nonprofit private agencies, institutions, and organizations are eligible. Private profit-making entities, and individuals, are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits state, interstate, and regional water pollution control agencies and other public or nonprofit private agencies, institutions, and organizations. The general public and Long Island Sound user groups such as swimmers, beach goers, sport and commercial fishermen, boaters, and shellfishes, benefit from the results of the program through cleaner water, restored and protected habitat, and preserved and enhanced ecosystems.

**Credentials/Documentation:**

Nonprofit private agencies, institutions and organizations may be required to

provide documentation of their organizational status upon application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The EPA Long Island Sound Office (LISO) issues annual guidance on the form and content of pre-proposals. All pre-proposals or work statements should be consistent with LISO's guidance. Consultation or technical assistance may be available upon request from the LISO to aid applicants in preparing their pre-proposal. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement or environmental impact assessment is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The LISS management conference annually releases a request for pre-proposals in the Fall through the LISO. Pre-proposals are due to the LISO generally by early January or as specified in guidance. The LISS management committee reviews pre-proposals in late January to identify areas of concern and to request additional information or clarification on proposals through the LISO. The LISO coordinates review of pre-proposals among the several LISS technical work groups and teams to ensure consistency with program goals and objectives as outlined in the CCMP and other priorities as directed by the management committee. If necessary, applicants are contacted by the LISO to provide the additional information or clarification. The LISO coordinates review of the revised proposals and develops funding recommendations for the management committee's consideration in April. The management committee makes final recommendations on funding pre-proposals at that time, or as otherwise specified. Applicants are advised of the status of their request by the LISO within 30 days of the management committee's final decisions. Successful applicants are required to submit formal grant applications using the standard federal grant application forms. The deadline for submitting applications may vary by EPA Region, but is generally July 1. Applications not received by the deadline are not further considered for funding. Unallocated funds are carried over or otherwise used to further the purposes of this program at the discretion of the management committee. Federal grant application forms may be obtained on the EPA website, <http://www.epa.gov/ogd/AppKit/index.htm> or requested from either the EPA Region I or II grants management office as follows: for Connecticut, EPA Region I, Grants Management Office, One Congress Street, Suite 1100, Boston, MA 02111; for New York, EPA Region II, Grants and Contracts Management Branch, 290 Broadway, New York, NY 10007-1866. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The completed grant application should be submitted to the appropriate EPA Regional grants management office, with a copy to the LISO to assist with processing.

**Award Procedure:**

Each federal assistance application and final work plan will be evaluated by the LISO to determine the adequacy of the application under LISS priorities and objectives, including technical merit and relevance of the project to the implementation of the CCMP and for consistency with the pre-application proposal. Each federal assistance award application will also be subject to an administrative review by the EPA Region I or II grants management office as appropriate. Funds are awarded by the EPA Region I or II Administrator as appropriate. Grantees will receive a final assistance award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the

GMO as specified in the EPA award document. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline specified in the assistance award document may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on pre-proposals is provided approximately 120 days after deadline for pre-proposal submission. Final grantees are notified of approval approximately 90 days after the submission of the application for federal assistance.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula (33 USC 1269(d)(3)). Federal costs for citizen involvement and education grants shall not exceed 95 percent of the costs of such work; for all other grants and cooperative agreements, federal costs shall not exceed 50 percent of the research, studies, or work. EPA has determined that annual matching requirements for LISS grant awards shall be met in the aggregate for all funds awarded as specified in the approved annual work plan. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a one-year period corresponding to the federal fiscal year, October-September. Awards may be made for longer periods upon justification and with the approval of EPA. Awards may be made by advance or reimbursement at the discretion of EPA. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting

records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$4,489,134; FY 09 est \$2,986,851; FY 10 est \$2,533,000

**Range and Average of Financial Assistance:**

\$20,000 to \$500,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Long Island Sound Office (LISO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. In FY 08, six awards were made totaling \$4,489,134. In FY 09, ten awards were made totaling \$2,986,851. In FY 08, the program reduced point source nitrogen loadings to Long Island Sound from baseline level of 211,724 lbs/day to 162,080 lbs/day. In FY 08, the LIS program reduced the areal extent of the hypoxic event in Long Island Sound from 20 year average of 203 square miles to 181 square miles; restored or protected 176 acres of coastal habitat; reopened 1.4 river miles to anadromous fish passage. FY 09 data is not yet available. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

LISS grants and cooperative agreements are subject to EPA's General Grant Regulations, 40 CFR Part 35, 40 CFR Part 30, or 40 CFR Part 31; annual EPA Office of Water National Estuaries Program guidance; the LISS CCMP, and Long Island Sound 2003 or successor Agreement.

**Regional or Local Office:**

See Regional Agency Offices. EPA Long Island Sound Office, Government Center, 888 Washington Boulevard, Suite 6-5, Stamford, Connecticut 06904; Telephone: (203) 977-1541; Fax: (203) 977-1546. Attention: Mark Tedesco. E-mail: [tedesco.mark@epa.gov](mailto:tedesco.mark@epa.gov).

**Headquarters Office:**

Darrell Brown EPA, Office of Water, Office of Wetlands, Oceans and Watersheds  
Oceans and Coastal Protection Division; EPA West, 1301 Pennsylvania Avenue, NW, Washington, District of Columbia 20004 Email: [brown.darrell@epa.gov](mailto:brown.darrell@epa.gov)  
Phone: (202) 566-1256.

**Website Address:**

<http://www.epa.gov/region01/eco/lis>

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.906 Watershed Surveys and Planning; 10.914 Wildlife Habitat Incentive Program; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.615 Cooperative Endangered Species Conservation Fund; 15.616 Clean Vessel Act; 15.630 Coastal Program; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain

water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.439 TARGETED WATERSHEDS GRANTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act 2005, Public Law 108-447; Dept. of Interior, Environmental and Related Agencies Appropriations Act, 2006, Public Law 109-54; Continuing Appropriations Resolution 2007, Public Law 110-5.

**OBJECTIVES:**

To support innovative, community-based watershed approaches aimed at preventing, reducing, or eliminating water pollution. The Targeted Watersheds Grant Program provides resources in the form of grants or cooperative agreements to support watershed organizations in their efforts to expand and improve existing water protection measures. In separate competitive announcements funds are awarded to assist watershed partnerships comprised of State, Tribal, local, and interstate agencies, and public or nonprofit organizations in developing, implementing, and demonstrating: 1) on-the-ground projects to improve or maintain water quality; and 2) organizational and technical capacity building projects to prime organizations to be in a position to implement on-the-ground watershed projects. Funding Priority - Fiscal Year 2009: To build upon the existing activities of watershed organizations to support innovative, wide-reaching plans to restore, preserve, or protect the nation's urban waters through active community engagement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are used to support both on-the-ground and educational activities relating to the prevention, reduction, and elimination of water pollution. Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals. Successful candidates will have a thorough knowledge of their watershed, have a watershed management plan in place, propose a specific project to address identified problems or barriers to water quality, demonstrate broad-based support from a number of public and private entities, and have a demonstrated record of managing watershed project(s). Eligible activities should be able to show tangible outputs and outcomes within a relatively short time period of two to five years. For implementation grants, candidates must also have a specific water quality monitoring and evaluation plan demonstrating measurable environmental outputs and outcomes, and a strong peer and/or public outreach and education component. EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>.

**Applicant Eligibility:**

States, local governments, public and private nonprofit institutions/organizations, federally recognized Indian tribal governments, U.S. territories or possessions, and interstate agencies are eligible. For-profit commercial entities and all federal agencies are ineligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit a formal grant application. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional or Headquarters review will typically be completed within approximately 120 - 150 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** This program has no statutory formula. Applicants are required to demonstrate a minimum non-federal match of 25 percent of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$11,700,000; FY 09 est \$4,400,000; FY 10 est \$0 - National Targeted Watersheds Grants Program: FY 08 \$0; FY 09 \$0; FY 10 est. \$0. Water Quality Trading: FY 09 est. \$3,700,000; FY 10 est. \$0. Western Estuaries Initiative: FY 08 \$11,700,000; FY 09 est. \$0; FY 10 est. \$0. Urban Waters Initiative: FY 09 est. \$700,000; FY 10 est. \$0.

**Range and Average of Financial Assistance:**

Water Quality Trading: \$100,000 to \$200,000/fiscal year; \$130,000 (Priority I); \$400,000 to \$1,000,000/fiscal year; \$600,000 (Priority II); Western Estuaries Initiative: \$250,000 to \$625,000/fiscal year; \$437,500/fiscal year (Region 10); \$500,000 to \$1,000,000/fiscal year; \$750,000/fiscal year (Region 9). Urban Waters Initiative: \$115,000 to \$140,000/fiscal year; \$127,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Targeted Watersheds Grant program builds on the successes of existing partnerships that are ready to implement actions to protect critical watersheds. In the next few years, EPA will see environmental results such as the return of native fish species, clearer lakes, and increased recreational opportunities. In FY 08, EPA issued a competitive announcement for trading projects located within the six Mississippi River Sub-basins to support market-based water quality programs that will potentially reduce the size and duration of the hypoxic zone in the Northern Gulf of Mexico. In FY



08, 14 applications were received and 12 projects were selected for a total award amount of \$3,691,538. In FY 08, EPA (Regions 9 and 10) issued competitive announcements for watershed projects as part of the Western Estuaries Initiative (WEI) to support projects that conserve, restore and protect the water quality, habitat and environment of coastal waters, estuaries, surrounding basins, bays and near shore waters through comprehensive approaches to water quality management. In FY 08, 33 applications were received and 9 awards were made in EPA's Region 9 Office for a total award amount of \$7,200,000. In FY 08, 8 awards were made for a total of \$4,500,000 in EPA's Region 10 Office. EPA anticipates issuing a competitive announcement in FY 09 to support innovative, wide-reaching plans to restore, preserve, or protect the nation's urban waters through active community engagement. Fiscal Year 2009: EPA anticipates issuing a competitive announcement in FY 09 to support innovative, wide-reaching plans to restore, preserve, or protect the nation's urban waters through active community engagement. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed below. Region I: Connecticut, Maine, Massachusetts, Rhode Island, Vermont, New Hampshire; Contact: Rob Adler telephone 617-918-1396; e-mail adler.robert@epa.gov. Region II: New Jersey, New York, Puerto Rico, U.S. Virgin Islands; Contact: Cyndy Kopitsky, telephone 212-637-3832; e-mail kopitsky.cyndy@epa.gov. Region III: Delaware, Maryland, Pennsylvania, Virginia, West Virginia, Washington, DC; Contact: Bob Runowski, telephone 215-814-5385, email: runowski.bob@epa.gov or Ralph Spagnolo, telephone 215-814-2718; e-mail spagnolo.ralph@epa.gov. Region IV: Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Kentucky, Tennessee; Contact: Christine McKay, telephone 404-562-9412; e-mail mckay.christine@epa.gov. Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin; Contact: Paul Thomas, telephone 312-886-7742; e-mail thomas.paul@epa.gov. Region VI: Louisiana, Texas, Oklahoma, Arkansas, New Mexico; Contact: Brad Lamb, telephone 214-665-6683; e-mail lamb.brad@epa.gov. Region VII: Iowa, Kansas, Missouri, Nebraska; Contact: Mandy Whitsitt, telephone 913-551-7311; e-mail whitsitt.mandy@epa.gov. Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming; Contact: Stacey Eriksen, telephone 303-312-6692, e-mail eriksen.stacey@epa.gov. Region IX: Arizona, California, Hawaii, Nevada, American Samoa, Mariana Islands, Guam; Contact: Ephraim Leon-Guererro, telephone 415-972-3444; e-mail leon-guererro.ephraim@epa.gov. Region X: Alaska, Idaho, Oregon, Washington; Contact: Bevin Horn, telephone 206-553-1566; e-mail horn.bevin@epa.gov.

#### **Headquarters Office:**

Erin Collard Office of Wetlands, Oceans, and Watersheds, EPA, Room 7136G, EPA West, 1200 Pennsylvania Avenue N.W., Washington, District of Columbia 20460 Email: Collard.Erin@epa.gov Phone: (202) 566-2655.

#### **Website Address:**

<http://www.epa.gov/twg>

#### **RELATED PROGRAMS:**

66.119 West Coast Estuaries Initiative; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants and cooperative agreements have been awarded to watershed organizations for watershed restoration and protection projects, such

as implementing agricultural best practices, conducting streambank restoration, establishing pollutant credits, and demonstrating innovative nutrient management schemes. All proposals that have been funded are available at <http://www.epa.gov/twg>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.454 WATER QUALITY MANAGEMENT PLANNING**

(205(j)(2))

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 205(j)&604(b), Public Law 97-117; Water Quality Act of 1987, Public Law 100-4; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

#### **OBJECTIVES:**

To assist States (including territories and the District of Columbia), Regional Public Comprehensive Planning Organizations (RPCPOs), and Interstate Organizations (IOs) in carrying out water quality management (WQM) planning. Funding Priority - Fiscal Year 2009: Funds are allotted by State in accordance with Section 604(b) of the Clean Water Act. Grant funds are used to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans. States are encouraged to give priority to watershed restoration planning. EPA is requesting States to emphasize a watershed approach in developing their State workplans. This will complement the Agency's overall watershed effort as stated in the Agency's Strategic Plan. Grant funds to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans are also available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. EPA strongly encourages States to use Recovery Act funds to conduct appropriate planning activities with regard to green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Section 604(b) funds are awarded under Section 205(j)(2) to State water quality management agencies to carry out WQM planning. Pursuant to Section 205(j)(3) of the CWA, as amended, States are required to allocate at least 40 percent of funds awarded under 205(j)(2) to eligible RPCPOs and IOs. EPA may approve a State's request to pass through less than 40 percent if, after consultation with its RPCPOs and IOs, the Governor determines that pass through of at least 40 percent will not: (1) result in significant participation by RPCPOs and IOs in WQM planning; and (2) significantly assist in development and implementation of the state's WQM plan. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

State Water Quality Management Agencies.

#### **Beneficiary Eligibility:**

State Water Quality Management Agencies.

#### **Credentials/Documentation:**

Compliance with 40 CFR 31. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Neither environmental impact statements nor environmental impact assessments are required for activities funded under Section 205(j) and 604(b) since these funds are used for water quality planning and not implementation. Environmental impact information is not required for

this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator's Office. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act. Each fiscal year, the Administrator shall reserve under Section 604(b) of the CWA for each State an amount not to exceed one percent of the amount allotted and available for obligation for construction grants or \$100,000, whichever is greater, for the purposes of making grants to the States to carry out water quality management planning. Under Section 205(j)(3), at least 40 percent of a State's annual award under 205(j)(2) must be allocated to eligible RPCPOs and IOs, unless EPA approves a lesser amount. The program has no matching requirements. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 604(c)(1) of the Clean Water Act (CWA). Sums allotted to a State under this section for a fiscal year shall be available for EPA's obligation to the State during the fiscal year for which sums are authorized and during the following fiscal year. Recovery Act funds are available for EPA's obligation to the State until September 30, 2010. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records kept for 3 years from date of submission of the annual financial status report. If questions remain, records retained until matter is completely resolved.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$8,618,863; FY 09 est \$47,065,955; FY 10 est \$25,610,000 - This program includes Recovery Act obligations. The obligations are not for salaries and expenses. Recovery Act funds - FY 08 \$0; FY 09 est. \$39,400,000; and FY 10 est. \$0.

**Range and Average of Financial Assistance:**

\$100,000 to \$1,500,000/fiscal year; \$250,000/fiscal year. Recovery Act funds \$100,000 to \$4,369,100/fiscal year; \$703,571/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Section 604(b) funding provides the financial source for States and territories to pursue water quality planning under Section 205(j) of the Clean Water Act. This program provides a planning framework to support watershed restoration and other water-related implementation activities. In FY 08, 56 State and territorial grants were awarded to support water quality planning activities. Outputs included consistency reviews of NPDES Permits, development of Watershed Management plans, river planning projects, and Total Maximum Daily Loads (TMDL) plans. Fiscal Year 2009: Similar types of planning activities are anticipated for FY 09. In FY 09, it is anticipated that 56 awards will be made with Recovery Act funds for a total of \$39 million. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA General Grant Regulations and Procedures, 40 CFR Part 31 and 40 CFR Part 35, Subpart A.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Santina Wortman Assessment and Watershed Protection Division (4503T)  
Office of Water, USEPA  
1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460  
Email: [wortman.santina@epa.gov](mailto:wortman.santina@epa.gov) Phone: (202) 566-2537

**Website Address:**

<http://www.epa.gov/ow/owow.htm>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants are allocated to States for pesticide/ toxic control studies, watershed management plans, basin groundwater management quality standards, urban stormwater management plans, mine water quality management studies, and the development of waste load allocations/total maximum daily loads. Regional Comprehensive Planning Organizations (RCPOs) conduct consistency reviews of NPDES Permits, facility plans, and construction operating permits. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funds are awarded to State agencies in accordance with Section 205(j) of the

Clean Water Act and EPA program guidance.

## **66.456 NATIONAL ESTUARY PROGRAM**

(NEP)

### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

### **AUTHORIZATION:**

Clean Water Act, Title 3, Section 320, Public Law 94-117, 33 U.S.C 466.

### **OBJECTIVES:**

The National Estuary Program (NEP) objective is to protect and restore estuaries and estuarine watersheds designated by the EPA Administrator as estuaries of national significance. Each NEP characterizes the priority problems in its estuary and surrounding watershed, develops a Comprehensive Conservation and Management Plan listing and describing actions to address those problems, identifies lead entities to carry out each action, and implements the actions. Actions include: restoration of habitat, direct support for TMDL plan implementation, reducing stormwater and other non-point source impacts, and implementing nutrient reduction strategies. Funding Priority - Fiscal Year 2008: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs' implementation of their Comprehensive Conservation and Management Plans (CCMPs) to protect and restore estuarine resources. EPA will provide focused support for priority problems identified by NEP management conferences, including problems of nutrient over-enrichment and hypoxic conditions; habitat loss/degradation; stormwater, climate change, toxics, pathogens, and aquatic invasive species impacts; and the need for increased sustainable and green infrastructure best management practices. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs' implementation of their Comprehensive Conservation and Management Plans (CCMPs) to protect and restore estuarine resources. EPA will provide focused support for priority problems identified by NEP management conferences, including problems of nutrient over-enrichment and hypoxic conditions; habitat loss/degradation; stormwater, climate change, and aquatic invasive species impacts; toxics and pathogen impacts; need for outreach and education about priority problems facing the 28 estuaries and their associated watersheds; and the need for increased sustainable and green infrastructure best management practices.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Section 320 authorizes issuance of assistance agreements used to meet Section 320 requirements to develop and implement CCMPs. Annual workplans, which address priority actions in the CCMPs, lay out projects to be undertaken during the fiscal year. They are developed and approved by each management conference. Twenty-eight estuaries have been designated as estuaries of national significance, including: Long Island Sound, Puget Sound, Buzzards Bay, Narragansett Bay, New York-New Jersey Harbor, Delaware Bay, Delaware Inland Bays, Sarasota Bay, Galveston Bay, Santa Monica Bay, Albemarle-Pamlico Sounds, San Francisco Estuary, Casco Bay, Massachusetts Bays, Indian River Lagoon, Tampa Bay, Peconic Bay, San Juan Bay, Coastal Bend Bays, Tillamook Bay, the Barataria-Terrebonne Estuarine Complex, New Hampshire Estuaries, Barnegat Bay, Maryland Coastal Bays, Charlotte Harbor, Mobile Bay, Morro Bay, and Columbia River Estuary. NEPs and their partners carry out such actions as: (1) protecting and restoring habitat; (2) identifying research needs and conducting research as needed to obtain new data to address priority problems; (3) monitoring estuarine conditions to detect changes in water quality; and (4) providing technical assistance to States and local communities to address impacts from nutrient over-enrichment, stormwater, sedimentation, toxics, pathogens, and aquatic invasive species and to develop climate change adaptation strategies and tools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### **Applicant Eligibility:**

Assistance agreements are issued only to those estuaries designated by the Administrator. The Administrator is authorized to make grants to State,

interstate, and regional water pollution control agencies and entities; State coastal zone management agencies; interstate agencies; and other public and private nonprofit agencies, institutions, organizations, and individuals (Section 320(g)(1)). Profit making organizations are not eligible for grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### **Beneficiary Eligibility:**

Anyone/General Public.

### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication assistance may be obtained from the appropriate EPA Regional Office. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. All work plans should be developed in response to the priority tasks identified in the management conference annual work plan. Work plans should also be developed in response to negotiated schedules for commitments to meet the purpose of a management conference outlined in the Act for the estuary. Each work plan will be considered by the appropriate management conference and the EPA Regional program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The completed application, including the final proposal approved by the estuary management committee, should be submitted to the appropriate Regional program office for processing. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

Each application is reviewed by EPA Regional Offices to determine the adequacy of the application under grant regulations and National Estuary Program objectives, including technical merit and relevance of the project. Awards are issued by the EPA Regional Offices after approval by the appropriate Division Director. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of the individual estuary management organization. Contact the appropriate EPA Regional office for guidance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Public Law 106-457, which amended Section 320(g) of the Water Quality Act of 1987, limits the amount of grants to 75 percent of the aggregate CCMP development project costs for each estuary program and to 50 percent of the aggregate CCMP implementation project costs for each estuary program, and requires that the nonfederal share be provided from nonfederal sources. The nonfederal share can be contributed by any of the participants in the management conference.

Contact the appropriate management conference program office or EPA Regional Office for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are typically funded on a 12-month basis (yearly). Project period may cover up to 36 months, with continuations possible for certain types of projects. Payments will be on a letter of credit or advance basis. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$16,576,000; FY 09 est \$16,800,000; FY 10 est \$16,800,000

**Range and Average of Financial Assistance:**

For FY 08, each of the NEPs received base funding in the amount of \$591,750. For FY 09, each of the NEPs received base funding in the amount of \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Maintaining high-quality habitat is one way of ensuring the

health of the nation's estuaries. Since 2000, the NEPs and their partners have protected and restored over 1,100,000 acres of habitat within the 28 NEP estuarine watersheds. The acreage protected and restored by the NEPs and their partners enhances the 28 NEP estuaries' capacity to support healthy populations of wildlife and marine organisms, including many commercially-valuable fisheries. That acreage also enhances the 28 estuarine watersheds' capacity to support the economic, environmental, and aesthetic functions on which coastal populations depend for their livelihood. In FY 08, the NEPs and their partners protected and restored over 83,000 acres of estuarine habitat within their estuarine watersheds. Fiscal Year 2009: In FY 09, grants will continue to support CCMP implementation, providing support for NEP efforts targeting priority problems such as nutrient over-enrichment; habitat loss/degradation; stormwater, climate change, sedimentation, and aquatic invasive species impacts; and need for sustainable and green infrastructure. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR 30 and 40 CFR 31). Federal Register, Vol. 59, 61124, November 29, 1994, Technical Amendment Financial Assistance Requirements for the National Estuary Program (40 CFR Part 35). Saving Bays and Estuaries, a Primer for Establishing and Managing Estuary Projects, EPA/503/8-89-001, is available from the Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds (4504T) EPA, 1200 Pennsylvania Ave., NW., Washington, DC 20460. Forms and instructions for filing are included in an application kit available from the Grants and Interagency Agreements Management Division(3903R), Office of Grants and Debarment, EPA, 1200 Pennsylvania Ave., N.W., Washington, DC. 20460.

**Regional or Local Office:**

See Regional Agency Offices. Office of Ecosystem Protection, EPA, Region I, 1 Congress Street, Boston, MA 02114-2023; Telephone:(617) 918-1511. Division of Environmental Planning and Protection, EPA, Region II, 290 Broadway, New York, NY 10007-1866; Telephone:(212) 637-3724. Water Protection Division, EPA, Region III, 1650 Arch Street, Philadelphia, PA 191103-2029; Telephone:(215)814-2989. Water Management Division, EPA, Region IV, 61 Forsyth St., S.W., Atlanta, GA 30303; Telephone:(404) 562-9345. Water Quality Protection Division, EPA, Region VI, 1445 Ross Ave., Dallas, TX 75202-2733; Telephone:(214) 665-7101. Water Division, EPA, Region IX,75 Hawthorne Street, San Francisco, CA 94105; Telephone: (415)744-1860. Office of Ecosystems, Tribal, and Public Affairs; and Office of Water & Watersheds, EPA Region X, 1200 Sixth Ave., Seattle, WA 98101; Telephone:(206) 553-4181.

**Headquarters Office:**

Dr. Bernice L. Smith Coastal Management Branch (4504T), Oceans and Coastal Protection Division  
Office of Wetlands, Oceans, and Watersheds, EPA, Washington, District of Columbia 20460 Email: smith.bernicel@epa.gov Phone: (202) 566-1244.

**Website Address:**

<http://www.epa.gov/owow/estuaries/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to: (1) conduct water quality monitoring and assessment, (2) protect and restore habitat, 3) develop and implement climate change adaptation strategies, (4)conduct applied research on problems like habitat loss and seasonal algal blooms,(5) implement public education and outreach programs, (6) revise CCMPs to reflect new priorities, (7)develop annual action plans, design and maintain CCMP implementation tracking and reporting systems, and (8)evaluate and report on CCMP implementation progress and environmental results. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Grants are awarded to the NEPs that satisfy the requirements outlined in the application procedure section.

## **66.458 CAPITALIZATION GRANTS FOR CLEAN WATER STATE REVOLVING FUNDS**

(CW State Revolving Fund)

### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

### **AUTHORIZATION:**

Clean Water Act (CWA), as amended, Public Law 95-217; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Water Quality Act of 1987, Section 601-607,205(m), Public Law 100-4.

### **OBJECTIVES:**

To create State Revolving Funds (SRFs) through a program of capitalization grants to States which will provide a long term source of State financing for construction of wastewater treatment facilities and implementation of other water quality management activities. Funding Priority - Fiscal Year 2009: Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary comprehensive conservation and management plan under Section 320. The capitalization grant is deposited in the State's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Up to 4 percent of the grant amounts may be used by the States for the cost of administering the SRF. States determine priorities for funding within their State in accordance with the CWA. Capitalization grants to each State are also available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding will be targeted toward green infrastructure, water and energy efficiency, and environmentally innovative projects. The program supports the Agency's strategic goal of ensuring Clean and Safe Water.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary conservation and management plan under Section 320. The capitalization grant is deposited in the state's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Assistance may be provided to persons for implementing nonpoint source and estuary management activities provided for in State Plans developed under Sections 319 and 320. Up to 4 percent of the grant amounts may be used by the states for the cost of administering the SRF. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### **Applicant Eligibility:**

States and Puerto Rico are eligible to receive capitalization grants under Title VI. Indian tribes are eligible to receive grants from Title VI for the construction of municipal wastewater facilities. The District of Columbia, territories, possessions of the U.S. are eligible to receive grants from Title VI for the construction of municipal wastewater facilities (see CFDA 66.418).

### **Beneficiary Eligibility:**

For loans and other financial assistance (but not grants) for wastewater treatment facilities: local communities, intermunicipal, State, interstate agencies, and Indian tribes. For nonpoint source management programs and estuary activities in approved State Nonpoint Source Management Programs and Comprehensive Conservation and Management Plans: the public agencies

listed above, individuals, and programs.

### **Credentials/Documentation:**

To receive a capitalization grant, a State shall enter into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the 10 specifications set forth in Section 602(b) of the CWA. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

An applicant (State) should seek preapplication assistance from the appropriate EPA Regional Office. The State is required to prepare and provide for public comment a plan identifying the intended uses of the funds in the SRF (an intended use plan) and how those uses support the goals of the SRF. The plan is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent state assistance for wastewater facilities. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for EPA non-construction grant assistance (SF424-A and B) is submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The State must certify in its application that it has the legal, managerial, technical, and operational capabilities to administer the SRF program competently and that it will comply with Federal anti-discrimination laws and other applicable Federal statutes. Regulation 40 CFR Part 31 applies to the State. Establishment of the SRF is a prerequisite for a grant award.

### **Award Procedure:**

A grant application is reviewed by the appropriate Regional Office and, if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approval time averages 45 days.

### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

For those portions of the State program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed or an operating agreement approved by the region.

### **Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.

Matching Requirements: The Regional Administrator may award capitalization grants from funds appropriated for this purpose. Allotments to the States are determined by a table of decimal fractions ("formula") in Section 205(c)(3) of the CWA. The required State match is 20 percent of the amount of each Federal grant payment. For Recovery Act funds, the required State match of 20 percent of the amount of each Federal grant payment is waived. This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds are available for EPA's obligation to the State until September 30, 2010. The State must agree to enter into binding commitments with recipients to provide

financial assistance from the SRF in an amount equal to 120 percent of each quarterly grant payment. The State is also required to agree to expend all funds in the SRF in an expeditious and timely manner. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

Beginning the first fiscal year after receiving payments, the State shall provide an annual report to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the fiscal year in which the payments were received). The annual report shall describe how the State has met the goals and objectives for the preceding fiscal year, as identified in its intended use plan, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the SRF. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A State must, at a minimum, comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. State-conducted audits may be performed in conjunction with the Single Audit Act. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

As part of the annual review conducted by the agency to assess the State's performance against activities identified in the intended use plan and annual report, and to determine compliance with the terms of the capitalization grant agreement, the State or loan recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the CWA.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$826,700,600; FY 09 est \$4,664,080,000; FY 10 est \$2,400,000,000 - FY 08 \$826,700,600; FY 09 est. \$689,080,000; and FY 10 est. \$2,400,000,000. Recovery Act funds - FY 08 \$0; FY 09 est. \$3,975,000,000; and FY 10 est. \$0.

**Range and Average of Financial Assistance:**

\$6,500,000 to \$147,000,000/fiscal year; \$26,000,000/fiscal year. Recovery Act funds \$500,000 to \$175,000,000/fiscal year; \$28,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year, 51 grants are awarded to states and Puerto Rico. The program funds an estimated 10 to 20 percent of the nation's annual wastewater capital projects. The program has provided over \$68 billion in cumulative assistance since 1988. Assistance has included funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. In FY 08, the program provided \$5.8 billion in assistance. This included \$1.75 billion for secondary treatment to reduce pollutant loads, \$5.58 million to upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment, and \$312 million to prevent polluted runoff. Fiscal Year 2009: Similar types of activities

are anticipated for FY 09. In FY 09, it is anticipated that 51 awards will be made with Recovery Act funds for a total of \$3.975 billion. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program guidance was issued January 28, 1988. A State Revolving Fund Management Manual was distributed in November, 1988. Regulations include 40 CFR Part 31 and SRF regulations 40 CFR Part 35, Subpart K which were issued in March 1990.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sheila Platt, Environmental Protection Agency, State Revolving Fund Branch, Municipal Support Division, (4204M), Office of Wastewater Management, Washington, District of Columbia 20460 Email: platt.sheila@epa.gov Phone: 202-564-0686.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.460 NONPOINT SOURCE IMPLEMENTATION GRANTS**

(319 Program)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 319(h).

**OBJECTIVES:**

To assist States, the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands (hereinafter referred to as States), and qualified Indian Tribes and intertribal consortia in implementing EPA-approved Section 319 nonpoint source management programs. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants that promote the development and implementation of watershed-based plans, focusing on watersheds with water quality impairments caused by nonpoint sources, which result in improved water quality in impaired waters. These watershed plans are a mechanism to coordinate monitoring and planning on a watershed basis and will build a foundation for effective implementation actions using federal and other funding. Nonpoint Source implementation projects include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, a variety of other structural and non-structural practices, watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are provided to eligible applicants to carry out nonpoint source projects and programs pursuant to Section 319 of the Clean Water Act as amended by the Water Quality Act of 1987. Requirements under Section 319(h) include:

nonfederal matching funds of at least 40 percent of project cost (match is an overall grant requirement in a few cases, the match requirement for an individual project may be waived. In-kind services may be used as match); maintenance of effort; grants may be used for financial assistance to individual persons in the case of demonstration projects only; annual reporting; and EPA determinations of adequate recipient progress before additional funding. Currently applicable EPA guidelines issued on October 23, 2003, identify the basic process and restrictions for funding. These guidelines are available on the Web at:

<http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Eligible entities include States and qualified Indian Tribes and intertribal consortia who have approved nonpoint source assessment and management plans. To be qualified, Tribes must have treatment as a state (TAS) status for the 319 Program. Grants to States are awarded by formula. The State allotment is awarded to a single agency in each State designated by the chief executive as the lead nonpoint source agency. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with its work program, which is approved by EPA. Eligible Tribes are allocated a base allotment by formula; the remaining Tribal portion of the 319(h) appropriation is competed among qualified Indian Tribes and intertribal consortia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments; interstate and intrastate agencies; federally recognized Indian tribal governments; intertribal consortia; the following US territory or possessions: the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands; public and private nonprofit organizations and institutions. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with a work program which is approved by EPA.

#### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office, listed in Appendix IV of the Catalog, is recommended. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant application by States must be submitted to the appropriate EPA Regional Office (refer to Appendix IV of the Catalog for a list of Regional Offices). Grant applications by subgrantees within a State (after EPA has made a grant award to the State) must be submitted to the State agency that administers Section 319 grants. The list of State nonpoint source contacts for subgrantees is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Grant applications must be submitted by the State to the appropriate EPA Regional Office to determine the overall adequacy of the application to meet the statutory objectives. Funds are awarded to States by formula. Award procedure by States to subgrantees varies by State. The list of State nonpoint source contacts is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Eligible Tribes get a base grant; Tribes compete for the rest of the Tribal portion of the total 319(h) appropriation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

EPA generally awards grants to States within 60 days after the application is submitted.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.

Matching Requirements: Nonfederal match of at least 40 percent of project or program costs is required except for grants to Indian Tribes, where following demonstration of financial hardship, the nonfederal match may be reduced to as low as 10 percent of project or program costs. States must also meet maintenance of effort requirements contained in statute. EPA awards grants to all eligible States and Tribes which apply for funding based on an allocation formula that the Agency developed. The allocation formula is described in current operational grant guidelines published in a Federal Register notice (68 FR 75776) issued on October 23, 2003. The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>. This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

As determined in accordance with Section 319 (h). See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be kept for three years from date of submission of the annual financial status report. If questions remain, records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$200,857,000; FY 09 est \$200,857,000; FY 10 est \$200,857,000

**Range and Average of Financial Assistance:**

States/Territories: \$521,100 to \$10,302,300 (FY 08); \$3,443,900 (FY 08). Indian Tribes: base grants \$30,000 to \$50,000; competitive grants up to \$150,000 (FY 08). Ranges vary year-to-year based on size of appropriation (and also varies depending on number of applicants for grants to Indian Tribes or intertribal consortia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants have been awarded annually to all States and selected Tribes. Grant funds were used by States and Tribes to implement portions of their NPS management programs. In FY 08 and FY 09, 56 grant awards were made to States and Territories. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. An estimate of load reductions resulting from CWA Section 319(h) funded projects from the time period February 2008 - February 2009 is as follows: nitrogen - 11.3 million pounds; phosphorus - 3.5 million pounds; and sediment - 2.1 million tons. These load reduction totals are mostly from FY 08 grant funded projects. Data for FY 09 funded projects is not available at this time. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current operational grant guidelines are Nonpoint Source Program and Grants Guidelines for States and Territories (Oct. 23, 2003). The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog. A list of specific EPA Regional nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/contacts.html>. The list of specific EPA Tribal nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/tribal>.

**Headquarters Office:**

Andrea Matzke Nonpoint Source Control Branch, Assessment and Watershed Protection Division, Office of Wetlands, Oceans and Watersheds, (4503T), EPA, Ariel Rios Building, 1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460 Email: [matzke.andrea@epa.gov](mailto:matzke.andrea@epa.gov) Phone: (202) 566-1150.

**Website Address:**

<http://www.epa.gov/owow/nps>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Nonpoint Source implementation projects funded include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement. Funds are awarded to States in accordance with Section 319 (h). For selection processes within individual States, contact the appropriate State NPS coordinators. A list of these coordinators is available at: <http://www.epa.gov/owow/nps/contacts.html>.

**66.461 REGIONAL WETLAND PROGRAM DEVELOPMENT GRANTS  
FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs. Funding Priority - Fiscal Year 2009: Under the Regional Wetland Program Development Grant (WPDG) Competition, EPA has identified the following three national program priority areas for improving State/Tribe/local governments (S/T/LGs) ability to protect and restore their wetlands: (1) Wetland Program Planning Based on the Four Core Elements of a Wetlands Program (<http://www.epa.gov/owow/wetlands/initiative/estp.html>), encourages protecting wetlands and water resources through the development of plans that encompass one or more of the four core elements of a wetlands program; (2) Regulation (Enhancing Wetlands Protection), with an emphasis on increasing the effectiveness of compensatory mitigation and refining the protection of vulnerable waters (this includes promoting a number of different approaches for S/T/LGs to use in the development of wetlands protection measures); and (3) Monitoring and Assessment, with an emphasis on National Wetland Condition Assessment Intensification Studies, probabilistic wetland condition surveys, wetland mapping, and an overall goal of building the capacity of States/Tribes to report on the condition and quantity of their wetlands. Regions may add additional Region specific priorities or clarify the three national program priorities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

These grants are intended to encourage comprehensive wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments to effectively protect wetland and riparian resources. Projects funded under this program support the initial development of a wetlands protection, restoration, or management program or support enhancement/refinement of an existing program. Interstate agency and intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. The Regional Office will accept submissions only for projects that affect the States, Tribes, and Territories within their Region. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Additional uses and restrictions on funds will be described in detail in the competitive announcements. Projects that are national in scope are not eligible for funding under this Regional program but may be eligible for funding under EPA's National Wetland Program Development Grants program (CFDA 66.462). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, Tribes, local government agencies, interstate agencies, and intertribal consortia are eligible to apply to the Regions. Past recipients include, but are not limited to, wetland regulatory agencies, water quality agencies (Section 401 water quality certification), planning offices, wild and scenic rivers agencies, departments of transportation, fish and wildlife or natural resources agencies, agriculture departments, forestry agencies, coastal zone management agencies, park and recreation agencies, non-point source or storm water agencies, and



city or county and other S/T/LG governmental agencies that conduct wetland-related activities. In order to be eligible for WPDG funds, Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia that meet the requirements of 40 CFR Part 35.504 are eligible for direct funding. Intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. Universities that are agencies of State government are eligible to receive funds through these competitions. Universities must include documentation showing that they are chartered as a part of State government in their proposal. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within the Region.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration and/or management programs, or programs related to or complement wetlands protection programs.

**Credentials/Documentation:**

Tribes may be asked to demonstrate that they are Federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Universities must include documentation showing that they are chartered as a part of State government in their proposal. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Each EPA Regional Office will set up its own competitive process for awarding WPDGs. Interested applicants should review information on the WPDG at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each EPA Regional Office will establish a process for awarding WPDGs. Regional Offices will accept applications only for projects selected through the competitive process that affect the States, Tribes, and Territories within their Region. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Applicants can also receive a copy of the current announcement by calling the EPA Regional Coordinator. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the grant is awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. The applicant must provide a minimum of 25 percent of the total cost of the work plan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project costs divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or a Total project cost of \$100,000 for the three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c).) Please contact your EPA Regional contact person listed in Section VII if you have any questions about calculating the match requirement. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirement with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,829,000; FY 09 est \$16,330,000; FY 10 est \$16,330,000

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000/fiscal year; \$253,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each of the ten EPA Regional Offices issues a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 08, approximately 6 to 30 proposals were received by each Region under the ten Regional competitive announcements with approximately 4 to 15 cooperative agreements or grants to be awarded under each Regional competitive announcement. No awards were made non-competitively in FY 08. In FY 08, projects were funded to support activities such as: developing plans and management tools for protection of wetland resources; advancing the science and technical tools for evaluating, protecting, and restoring wetland health; facilitating development of watershed stakeholder partnerships; and improving public access to and education about wetlands information. Fiscal Year 2009: In FY 09, ten Regional competitive announcements have been issued and awards are yet to be determined. No awards have been made non-competitively to date in FY 09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30, 31 and 35.610 through 35.615); OMB Circulars A-87 and A-122, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. REGIONAL WETLAND GRANT COORDINATORS: Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees, US EPA Region 1, 1 Congress Street, MC CSP, Suite 100, Boston, MA, 02114. Phone: 617-918-1686. voorhees.jeanne@epa.gov. Region 2 - NJ, NY, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. drake.kathleen@epa.gov. Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393. jackson.morgan@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Cathy Garra, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-886-0241. garra.catherine@epa.gov. Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. mcdonald.sondra@epa.gov. Region 7 - IA, KS, MO, NE: Mandy Whitsitt, US EPA Region 7, 901 North Fifth Street, Kansas City, KS, 66101. Phone: 913-551-7311. whitsitt.mandy@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Brent Truskowski, US EPA Region 8, 999 18th Street, Suite 300, Denver, CO, 80202. Phone: 303-312-6235. truskowski.brent@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr, US EPA Region 9, 75 Hawthorne Street, San Francisco, CA 94105. Phone: 415-972-3468. marr.suzanne@epa.gov. Region

10 - AK, ID, OR, WA: John Olson, US EPA Region 10, Idaho Operations Office, 1435 North Orchard, Boise, ID, 83706. Phone: 208-378-5756. olson.john@epa.gov.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

<http://www.epa.gov/owow/wetlands/initiative/#financial/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The WPDG database provides project information for grants funded through this program since it began in 1990.

<http://yosemite.epa.gov/water/grant.nsf>. Examples of funded projects include: wetland and stream mitigation studies; development of wetland or watershed conservation plans; wetland management training workshops; developing a monitoring and assessment program; development of wetland monitoring and assessment methods and programs; training for State/Tribal/local government staff in monitoring techniques or wetland science such as delineation; wetland mapping to build 404 permit enforcement programs, wetland inventory and classification projects to determine restoration sites; and database development to track 404 permit action and compliance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.462 NATIONAL WETLAND PROGRAM DEVELOPMENT GRANTS AND FIVE-STAR RESTORATION TRAINING GRANT**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs. Funding Priority - Fiscal Year 2009: For the National WPDGs: EPA has identified the following five national priorities for this competition based on the four core elements of a Comprehensive State/Tribal Wetlands Program: 1) State/Tribal Technical and Meeting Support; 2) Regulation; 3) Monitoring, Assessment, and Mapping; 4) Voluntary Wetland Restoration and Protection; and 5) Water Quality Standards for Wetlands. Further explanation of all of the core areas can be found at the following website address: <http://www.epa.gov/owow/wetlands/initiative/estp.html>. The Wetlands Program Development Grants (WPDG) program strives to develop State/Tribal/local government programs that will incorporate each of these elements.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The National WPDGs are intended to encourage comprehensive, national wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and

local governments programs to effectively protect wetland and riparian resources. Activities must help S/T/LGs develop and refine wetland programs. Projects funded under this program support the initial development of a national wetlands protection, restoration or management program, or support enhancement/refinement of an existing national program. Projects must be broad in scope and encompass more than one State and/or Tribe and cannot be limited to activities that affect such entities in only one EPA region. For example, projects and tasks can involve advancing science or collecting and making available through publications and other appropriate means, such as training on how information about how various wetland programs across the nation protect, manage, and restore their wetland resources and about initiatives to improve S/T/LG wetland programs. Projects that are local or encompass only one EPA Region in scope are not eligible for funding under this program but may be eligible for funding under EPA's Regional Wetland Program Development Grants program (CFDA 66.461). Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. EPA's Five Star Restoration Training Grant is anticipated to fund one cooperative agreement to an organization to manage the Five Star Restoration Training Grant subaward process that will award subgrants to achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Projects funded under the subgrant process must be limited to activities that conduct or promote the coordination and acceleration of training relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Other activities under section 104(b)(3) will not be considered for funding. Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Wetland restoration training projects cannot include wetlands constructed for the purposes of treating wastewater or stormwater only. The assistance agreement award under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Non-profit, non-governmental organizations, Interstate agencies, and Intertribal consortia which are capable of undertaking activities that advance wetland programs on a national basis are eligible to compete in this program. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia must meet the requirements of 40 CFR Part 35.504. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complement wetlands protection programs.

**Credentials/Documentation:**

Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see

Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding National Wetland Program Development Grants. Interested applicants should review information on the National Wetland Program Development Grants at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding the Five-Star Restoration Training Grant. Interested applicants should review information on the Five-Star Restoration Training Grant at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. All applicants will be notified by the HQ Office on whether or not the applicant has been selected for funding. The notification is not an authorization to begin performance. The Grant Award document signed by the appropriate grant official in the EPA HQ Office is the authorizing document. Applicants selected for funding must submit a final workplan and grant application forms. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to HQ. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula. The applicant must provide a minimum of 25 percent of the total cost of the workplan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project amount (in dollars) divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or has a total project cost of \$100,000 for a three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR

536(c)). States and Tribes can provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirements with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement workplan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$600,000; FY 09 est \$1,800,000; FY 10 est \$500,000 - National Wetlands Program Development Grants: FY 08 \$600,000; FY 09 est. \$500,000; and FY 10 est. \$500,000. Five-Star Restoration Training Grant: FY 08 \$0; FY 09 \$1,300,000; and FY 10 est. \$0.

**Range and Average of Financial Assistance:**

National Wetlands Program Development Grants: \$25,000 to \$225,000/fiscal year; \$100,000/fiscal year; Five-Star Restoration Training Grant: \$1,300,000 every four years; \$1,300,000/ every four years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 19 proposals were received in response to the National WPDG competitive announcement released July 28, 2008 and approximately 9 proposals were selected for award. Grants have been awarded to: develop and organize a Wetlands Assessment Technical Assistance Center in EPA Region 4; advance the protection of Playa wetlands through the study of effective buffers; develop a Northeast Regional Floristic Quality Index; prepare a National Mitigation Bank Performance Study; develop a Model In-Lieu Fee Instrument; and protect wetlands by enhancing state and local regulatory programs. The FY 09 competitive process for the National WPDGs is still ongoing. In FY 08, EPA issued a competitive announcement for the Five-Star

Restoration Training Grant and in FY 09 awarded one cooperative agreement for \$1,300,000 to organize and manage the Five Star Restoration Training Grant subaward process that will undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Fiscal Year 2009: In FY 08, EPA issued a competitive announcement for the Five-Star Restoration Training Grant and in FY 09 awarded one cooperative agreement for \$1,300,000 to organize and manage the Five Star Restoration Training Grant subaward process that will undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, 40 CFR Parts 30 and 31, 40 CFR 35.610, OMB Circular A-122, or OMB Circular A-87, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

<http://www.epa.gov/owow/wetlands/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Wetland Program Development Grant database will provide project information for the National Wetland Program Development Grants (<http://yosemite.epa.gov/water/grant.nsf>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. The Five-Star Restoration Training Grant supports the management and oversight of the Five Star Restoration Training Grant subaward process that will bring together citizen groups, corporations, youth conservation corps, students, landowners, and government agencies to undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.463 WATER QUALITY COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution through both permitted and non-permitted areas. Funding Priority - Fiscal Year 2009: Funding priorities include, but are not limited to: watershed approaches for solutions to wet weather activities (i.e., combined sewer overflow, sanitary sewer overflows, storm water discharge,

and animal feeding operations); pretreatment and biosolids (sludge) program activities, decentralized systems; and alternative ways to enhance or measure the effectiveness of point source programs. Trading, water efficiency, asset management, and sustainable infrastructure are also areas of consideration. No appropriation authority was provided for FY 2006 or later. However the above funding priorities will be used if unobligated carryover funds are available in FY 2009. Any awards made with carryover funds will be in accordance with the Agency's competition policy.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

These grants are intended to encourage efforts to improve water quality by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects must attain tangible results. EPA may award grants to fund internships for high school students to work at wastewater treatment plants under the Youth and the Environment sub-program in EPA Regions 1, 2, 3, 5, 6, 7, 8, 9 and 10. In the case of Regional competitions, eligible projects may be limited in geographic scope to benefit the citizens of States, Tribes, or Territories within those Regions. Other specific uses of funds will be described in Requests for Proposals for this program. EPA will not award grants to fund ongoing State, Tribal, or local program activities, construction, or to purchase land. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

State water pollution control agencies, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Individuals and organizations affected by water pollution, including State Water Pollution Control Agencies, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

#### **Credentials/Documentation:**

Nonprofit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia must meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competition procedures vary by Region and Headquarters Office. EPA will generally publish a Request for Proposals (RFP), evaluate the proposals under the criteria contained in the RFP, and requests that selected applicants submit a full application. RFPs are synopsisized at [www.fedgrants.gov](http://www.fedgrants.gov), and may be posted on Agency websites or in the Federal Register. All competitions will be conducted in accordance with EPA policy for competing assistance agreements. For Headquarters competitions, applicants submit a proposal, and EPA evaluates and scores the proposals and invites selected applicants to submit a formal applications. Regional procedures may

vary, in accordance with the terms of Regional Request for Proposals. Application forms and completed applications may be requested from and submitted to the appropriate EPA Headquarters or Regional Office. The standard Federal application forms must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Regional or Headquarters review will normally be done within approximately 60 days following the deadline for submissions.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at the time of award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Record keeping requirements are specified 40 CFR Parts 30 or 31 as applicable. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$445,300; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Projects have historically ranged from \$15,000 to \$270,000/fiscal year. The average Regional award in FY 08 was approximately \$95,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were two awards made in FY 08 to develop methods for utilities to use to quantify environmental benefits and costs, to develop a tool to help communities apply the principles and best practices of asset management to maintain, upgrade, and operate physical assets cost-effectively while protecting public health and safety. Funding was also provided to develop a training and certification program that teaches transportation professionals and others to design stormwater management facilities for projects that address regulatory requirements through a watershed approach. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments, and Indian tribal governments, the procedures and requirements shall be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies," OMB Circular Nos. A-87 "Cost Principles for State and Local Governments," and A-102 "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures shall be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and OMB Circular Nos. A-122 for Non-Profit Organizations and A-21 for Educational Institutions.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog for information on the grants administration process or the Regional WQCA Coordinator shown at <http://epa.gov/owm/mab/indian/104coord.htm>.

**Headquarters Office:**

Barron Benroth Office of Wastewater Management (4201M)  
U.S. EPA, Room 7126, EPA East  
1200 Pennsylvania Avenue NW., Washington, District of Columbia 20460  
Email: Benroth.Barry@epa.gov Phone: (202) 564-0672

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support;  
66.454 Water Quality Management Planning

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development of software tool for preparation of industrial stormwater pollution prevention plan; calculating utility avoided cost and environmental values of urban water efficiency programs; characterizing the quality of effluent and other tributary sources during peak wet weather events; Concentrated Animal Feeding Operations producer outreach and development of a system for improved poultry manure management; and nonpoint source pollution reduction through water quality trading. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.466 CHESAPEAKE BAY PROGRAM**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 117.

**OBJECTIVES:**

To expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay. EPA's funding priority is to achieve the goals and commitments established in the Chesapeake 2000 agreement and the Chesapeake Action Plan (CAP). As a means to achieve the goals and commitments of the historic 1983 Chesapeake Bay Agreement to the current Chesapeake 2000 Agreement and the CAP developed in 2008, assistance agreements are awarded to: Nonprofit organizations, State and local governments, colleges, universities, and interstate agencies. The type of projects that are awarded range from monitoring of bay toxins to environmental education. Funding Priority - Fiscal Year 2009: In 2008, the Bay Program developed the Chesapeake Action Plan (CAP) to strengthen and expand partnerships in the watershed, enhance coordination of restoration activities, and increase the collective accountability for protecting the Chesapeake Bay. The CAP includes six goals that define the funding priorities for the Chesapeake Bay Program. These goals are: (1) protect and restore fisheries; (2) protect and restore vital aquatic habitats; (3) protect and restore water quality; (4) maintain healthy watersheds; (5) foster Chesapeake stewardship; and (6) enhance partnering, leadership and management.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 117 authorizes the Agency to award grants or cooperative agreements to: (1) Nonprofit organizations, State and local governments, colleges, universities, and interstate agencies as authorized under and in accordance with Section 117(d), to implement the goals of the Chesapeake Bay Agreement, such as activities to support living resources, vital habitat, water quality, sound land use protection, restoration, and stewardship community engagement. State agencies applying for grants under Section 117(d) must commit to a cost share ranging from 5 percent to 50 percent, as determined at the sole discretion of EPA. This determination will be made on a grant-by-grant basis and EPA will promptly inform the applicant of the selected cost share requirement. All other applicants applying for grants under Section 117 must commit to a cost share of 5 percent of the total project costs; (2) State/Signatory Jurisdictions applying for implementation and monitoring grants under Section 117(e)(1)(A) and 117(e)(1)(B) must identify 50% cost share of total project costs (equal match/dollar for dollar). Section 117(e)(1)(A) authorizes EPA to award Chesapeake Bay Implementation Grants to State/Signatory Jurisdictions. The Implementation Grants are for the purpose of implementing the management mechanisms established under the Chesapeake Bay Agreement, such as ongoing state programs for control and abatement of non-point source pollution. Section 117(e)(1)(B) authorizes EPA to award Monitoring Grants for State/Signatory Jurisdictions for the purpose of monitoring the Chesapeake Bay ecosystem. The Small Watershed Grants Program provides small grants to organizations working on a local level to protect and improve watersheds in the Chesapeake Bay basin while building citizen based resource stewardship, as authorized and in accordance with Section 117(g)(2). This section requires a non-federal matching funds of 25 percent. The purpose of the Small Watershed Grants Program is to address the water quality and living resource needs of the Chesapeake Bay ecosystem. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Under section 117(d), funds are available for technical and general assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117(e)(1)(B), respectively, funds are available for implementation and monitoring grants to signatory jurisdictions; and under section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Under section 117(d), funds are available for technical and general assistance

grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117(e)(1)(B), respectively, funds are available for implementation and monitoring grants to signatory jurisdictions; and under Section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region.

**Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31, and with Program Grant Guidance to matching funds. All OMB circulars apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is recommended and should be obtained from the EPA Region III Grants Management Office. All proposals or work statements should be consistent with CBPO's Grant Guidance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. RFPs will be announced to request initial proposals to implement specific outcomes that will further goals of the Chesapeake 2000 Agreement and the Chesapeake Action Plan(CAP). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Interested parties who would like to receive a copy of issued RFPs and be added to the Environmental Protection Agency's CBPO RFP database should submit their name, address, phone number, and e-mail address (optional) to Veronica Kuczynski at [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov). Mailing address is Environmental Protection Agency, CBPO, Grants Office, 410 Severn Ave., Suite 109, Annapolis, MD 21403. EPA will only accept addresses provided in writing (e-mail or letter); no phone calls. Interested parties applying for a grant under the Small Watershed Grants Program should submit their name and address to the National Fish and Wildlife Foundation 1120 Connecticut Avenue, NW, Suite 900, Washington, DC 20026, for purpose of establishing a database to receive RFPs. National Fish and Wildlife Foundation will list the RFP on their website: [www.NFWF.org](http://www.NFWF.org). Application kits may be requested from EPA CBPO, 410 Severn Avenue, Suite 109, Annapolis, MD 21403. The completed application, including the final proposal, should be submitted to EPA Region III Grants Management Office, 1650 Arch Street, Philadelphia, Pennsylvania 19103 with a copy to CBPO in Annapolis for processing.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 7 months after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula. Under Section 117 (e)(1)(A) and 117(e)(1)(B), respectively, State agencies applying for implementation and monitoring grants must identify 50 percent cost share of total project costs (equal match/dollar for dollar). State agencies applying for technical and general assistance grants under Section 117 (d), must commit to a cost share ranging from 5 percent to 50 percent as determined at the sole discretion of EPA. This determination will be made on a grant-by-grant basis and EPA will promptly inform the applicant of the selected cost share requirement. All other applicants applying for grants under Section 117 must commit to a cost share of 5 percent of the total project costs. Applicants applying for Small Watershed Grants Program under Section 117(g)(2) must commit to a cost share of 25 percent of the total project cost. State and local governments receiving assistance under any of the provisions of Section 117 must comply with 40 CFR 31.24 and all other applicants must comply with 40 CFR 30.23. In addition to the cost share requirement, applicants must adhere to the requirement in the Clean Water Act, Section 117 "Administrative Costs." This section requires a 10 percent cap for administrative costs. The cost of salaries and fringe benefits incurred in administering the grant cannot exceed 10 percent of the Federal grant amount. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$30,555,518; FY 09 est \$30,931,000; FY 10 est \$26,043,000

**Range and Average of Financial Assistance:**

\$5,000 to \$13,875,000/fiscal year; \$6,937,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, CBPO issued one RFP for the development and implementation of a Chesapeake Bay Innovative Nutrient and Sediment Reduction Program. CBPO received three proposals and one award was made. FY 08 and FY 09 activities included: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, and nonpoint and point source data management/analysis. Fiscal Year 2009: In FY 09, CBPO issued eight RFPs to date. Based on the eight RFPs issued, CBPO received twenty-nine proposals and may award approximately twelve awards. FY 08 and FY 09 activities included: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, and nonpoint and point source data management/analysis. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chesapeake Bay Program Office's Annual Grant Guidance and general regulations (40 CFR Parts 30 and 31) for assistance programs available from EPA.

**Regional or Local Office:**

See Regional Agency Offices. Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 109, Annapolis, MD 21403. Telephone: (410) 267-5743; Fax: (410) 267-5777; E-mail: kuczynski.veronica@epa.gov.

**Headquarters Office:**

Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 109, Annapolis, Maryland 21403 Email: kuczynski.veronica@epa.gov Phone: (410) 267-5743.

**Website Address:**

<http://www.epa.gov/region03/chesapeake>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.439 Targeted Watersheds Grants; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; and (5) Chesapeake Bay point source data management. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement.

**66.467 WASTEWATER OPERATOR TRAINING GRANT PROGRAM**

(Wastewater O&M Onsite Technical Assistance Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Federal Water Pollution Control Act, Section 104(g)(1), 33 U.S.C 1251.

**OBJECTIVES:**

To substantially enhance the proficiency of personnel engaged in the operations and maintenance of treatment works and related activities by financing pilot programs. Funding Priority - Fiscal Year 2009: No funds are available in FY 2009. If funds become available, the funding priority will primarily be to provide on-site technical assistance to address the unique performance limiting conditions of wastewater treatment plants. Classroom training may also be provided on a limited basis, if cost-effective, to improve the skills of wastewater treatment plant operators.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations.

**Applicant Eligibility:**

State agencies or the designated organizations of the States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Marianas, America Samoa, the Trust Territories, and Native American Indian Tribes. Additionally, institutions of higher education and "not for profit institutions" may also apply for funding if acting as a designated organization of the State.

**Beneficiary Eligibility:**

State, Tribal, and local governments and publicly owned treatment works (POTWs). Activities which contribute to Operation and Maintenance (O&M) improvements at POTWs, including pollution prevention activities, may be funded. Legislative history supports using appropriations for onsite O&M technical assistance to the small sized POTWs of less than 5 million gallons per day (MGD) of wastewater flow, since many of these POTWs are exhibiting performance problems and do not have readily available consultant's technical assistance like those of the larger POTWs.

**Credentials/Documentation:**

Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Tribes may be asked to demonstrate that they are Federally recognized. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard EPA application assistance forms must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Request for application forms and completed applications must be submitted to the applicable Regional or Headquarters Grants Administration office. Applications must meet the requirements of the grant regulations and must be reviewed and approved by the appropriate Regional or Headquarters' waste management program office prior to approval by the Grants office. The review must include an administrative and technical evaluation to determine adequacy, merit, and relevance of the proposal. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**



An application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 90 days after the grant application is received by EPA.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Generally 25 percent in kind service/goods or matching funds is required; however, this provision may be waived in certain cases.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be awarded for a project period not to exceed 3 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Headquarters receives semi-annual status reports, and an annual data submission of the program's progress for the current fiscal year, from all Regional Offices. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

For every \$1,000,000 appropriated by the U.S. Congress, a State receives approximately \$30,000/fiscal year to provide funds to onsite technical assistance providers. The range and average of financial assistance provided is: \$12,000 to \$40,000/fiscal year; \$25,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 46 states and state environmental training

centers receive grants to provide on-site technical assistance to needy small POTWs (capacity less than 5 MGD) to assist them in achieving or maintaining compliance, or improving plant performance. There are over 15,000 POTWs in the nation of which about 14,000 have capacity less than 5 MGD. Based on the 2007 annual report, with funding of just over a \$1,000,000, small wastewater treatment facilities received technical assistance which resulted in the prevention of more than 4 million pounds of pollutants from entering into the nation's surface waters. No funding was provided in FY 08 and FY 09. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for technical assistance should review 40 CFR Part 30, the General Grant Regulations and Procedures, and the annual guidance produced by the Headquarters wastewater program office.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog or online for additional information.

**Headquarters Office:**

Gajindar Singh Office of Wastewater Management (4204M)  
Office of Water  
Environmental Protection Agency  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: singh.gajindar@epa.gov Phone: (202) 564-0634

**Website Address:**

<http://www.epa.gov/owm/mab/smcomm/104g/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include: diagnostic and energy/water use evaluations at small POTWs; POTW-State technical assistance plans, agreements, and schedules for achieving improvements; technical assistance to communities on plant operations, maintenance, laboratory management, solids handling & disposal, facility management, financial management, pollution prevention, energy saving, and water use; follow-up visits to monitor improvements; and on-site performance summaries. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

On-site wastewater O&M technical applications managed by the Regions are evaluated based on the Headquarters wastewater program office's annual guidance, as well as EPA's grants management-related guidance. Other pilot program proposals, with similar objectives, will be considered by the Regional and Headquarters wastewater program offices based on the merits of the proposal, and prior designation by the applicable State agency(s) to receive these funds. Project objectives and requirements for applicants for other pilot project funding will be negotiated on a case-by-case basis.

**66.468 CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS**

(Drinking Water State Revolving Fund)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Safe Drinking Water Act (SDWA) Amendments of 1996, Section 130, Public Law 104-182.

**OBJECTIVES:**

Grants are made to States and Puerto Rico to capitalize their Drinking Water State Revolving Funds (DWSRFs) which will provide a long-term source of financing for the costs of drinking water infrastructure. Grants are also made to the District of Columbia, U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam), and Indian Tribes. Funding Priority - Fiscal Year 2009: Funding Priority - Fiscal Year 2009: The funding priority established by the SDWA are for capitalization grants to each State for

infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements, protect public health, and assist systems with economic need. A State may use a portion of the capitalization grant funds for programs that emphasize preventing contamination problems through source water protection and enhancing water system management. States and EPA Regions determine priorities for funding in accordance with SDWA. Capitalization grants to each State are also available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding will be targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. The program supports the Agency's strategic goal of ensuring clean and safe water.

#### **TYPES OF ASSISTANCE:**

##### **FORMULA GRANTS**

#### **USES AND USE RESTRICTIONS:**

Capitalization grants are made available to each State and Puerto Rico for the purpose of establishing a DWSRF for providing assistance to drinking water systems for infrastructure improvements. The capitalization grant is deposited in the State's DWSRF, and is used to provide loans and other types of financial assistance to eligible public water systems. A State may elect to use up to 31% of the capitalization grant for other eligible activities, including 4% for administration of the program. States may also elect to transfer up to one-third of the DWSRF capitalization grant to the Clean Water State Revolving Fund (CWSRF) or an equivalent amount from the CWSRF to the DWSRF program. Grants are also made available to Federally Recognized Indian Tribal Governments, U.S Territories, and the District of Columbia. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

States, the District of Columbia, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), and Federally Recognized Indian Tribal Governments are eligible for grants from the program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), Federally Recognized Indian Tribal Governments, local, and intrastate.

#### **Credentials/Documentation:**

To receive a grant, an applicant enters into an agreement with the EPA Regional Administrator which shall include, but are not limited to, the requirements set forth in Section 130 of the SDWA. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

States are required to prepare and provide for public comment on a plan identifying the intended uses (Intended Use Plan, or IUP) of the funds in the DWSRF and how those uses support the goals of the DWSRF. The IUP is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent State assistance for drinking water systems. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Grants for Tribes, U.S. Territories, and the District of Columbia are selected based on funding priorities established by EPA Regional Offices. States must certify that they have the legal authority to receive a capitalization grant and that they have the legal authority to operate the program. States must provide assurance in their applications that they have the legal, managerial, technical and operational capabilities to administer the DWSRF program competently and that they will comply with all applicable Federal cross-cutting authorities and Federal statutes. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approval time averages 45 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

For those portions of the applicant's program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.  
Matching Requirements: The funds available for allotment to State DWSRF programs are those funds appropriated by Congress under the Safe Drinking Water Act (SDWA 1452; 40 CFR 35.3540 35.3585). EPA allots funds to each State based on the State's proportional share of total eligible needs reported for the most recent Drinking Water Infrastructure Needs Survey (which is conducted every four years). The minimum proportional share that each State can receive is 1% of total funds available to States. EPA reserves up to 0.33% of the funds available for allotment to the States to provide grants to the U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam). The SDWA also requires the Administrator to reserve 1% of the funds available for allotment to the States to provide grants to the District of Columbia. The SDWA also allows EPA to reserve funds for national set-asides that include: up to 1.5% of the national appropriation for grants to Indian Tribes, and funding for health effects studies, small system technical assistance, and monitoring of unregulated contaminants. The required State match is 20% of the amount of the capitalization made to the State. States must also provide a match or demonstrate a credit for state funded eligible activities to receive Federal funds for certain program support activities. For Recovery Act funds, the required State match of 20% of the amount of the capitalization grant is waived. For additional information go to <http://www.epa.gov/safewater/dwsrf/allotments/index.html>.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds are available for EPA's obligation to the State until September 30, 2010. The term of the grant shall be determined at the time of award. States must agree to enter into binding commitments with loan recipients to provide financial assistance from the DWSRF in an amount equal to the sum of Federal assistance, less amounts used by the State for eligible set-aside purposes, and the State match. States are also required to agree to commit and expend all funds in the DWSRF as efficiently as possible, and in a timely manner. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

States shall provide biennial reports to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the second fiscal year during which the payments were received). The biennial report shall describe how the State has met the goals and objectives for the preceding two fiscal years as identified in its intended use plans for those periods, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the DWSRF. For grants to Tribes and U.S. Territories, procedures for accounting, auditing, evaluating, and reviewing any program for activities in whole or in part shall be governed by regulations at 40 CFR Parts 31 and 35, "Environmental Program Grants for Tribes," with reports as required by the specific terms of the agreement. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. The audit of the fund to be prepared by the State or an independent auditor must be in accordance with the standards of the Government Accountability Office (known as the Generally Accepted Government Auditing Standards). To the extent that the set-asides are used for project purposes that must be repaid, or are directly related to the DWSRF (e.g., administration) or are revolving funds themselves, they must be part of an audited opinion(s). The audits must provide an auditor's opinion on the DWSRF financial statements, a report on internal controls and a report on compliance with laws and regulations. Those set-aside funds that are not loaned out may be audited in conjunction with audits conducted under the Single Audit Act, as described in OMB Circular No. A-133 and OMB's Compliance Supplement for Single Audits of State and Local Governments.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved. As part of the annual review conducted by the Agency to assess a State's performance against activities identified in the intended use plan and biennial report, and to determine compliance with the terms of the capitalization grant agreement, the State or assistance recipient shall make available to EPA such records as the

Regional Administrator reasonably requires to review and determine State compliance with the requirements of the SDWA.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$829,029,000; FY 09 est \$2,809,029,000; FY 10 est \$150,000,000 - FY 08 \$829,029,000; FY 09 est. \$829,029,000; and FY 10 est. \$1,500,000,000. Recovery Act funds - FY 08 \$0; FY 09 est. \$1,980,000,000; and FY 10 est. \$0.

**Range and Average of Financial Assistance:**

States: \$8,146,000 to \$66,424,000/fiscal year; \$16,105,000/fiscal year. Tribes: \$4,000 to \$1,600,000/fiscal year; \$320,000/fiscal year. Territories: \$249,200 to \$8,229,300/fiscal year; \$2,189,000/fiscal year. Recovery Act funds States: \$19,500,000 to \$160,000,000/fiscal year. Territories: \$500,000 to \$2,100,000/fiscal year. Tribes: \$15,600 to \$3,200,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 08, States made 610 loans to systems for a total of \$2 billion to conduct infrastructure improvement projects. Of the total number of loans, 69% went to small water systems that serve 10,000 persons or fewer. States also used funds to prevent drinking water contamination through source water protection and enhanced system management. In FY 08 and in FY 09, four awards were made to Territories and 38 awards were made to Tribes to conduct infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements. Fiscal Year 2009: In FY 09, States, Tribes, and Territories will continue to receive funding to support infrastructure improvement projects. In FY 09, it is anticipated that 700 awards will be made with Recovery Act funds for a total of \$1.98 billion. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31) and Drinking Water State Revolving Funds (40 CFR Part 35, Subpart L). Additional program information, including contact information for state program managers, is available online at <http://www.epa.gov/safewater/dwsrf.html>.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Peter Shanaghan U.S. Environmental Protection Agency  
Infrastructure Branch (4606M)  
Drinking Water Protection Division  
Office of Groundwater and Drinking Water  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: [shanaghan.peter@epa.gov](mailto:shanaghan.peter@epa.gov) Phone: (202) 564-3848

**Website Address:**

<http://www.epa.gov/safewater/dwsrf.html>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of a ultra-violet treatment facility; construction of pumping stations; upgrades of water treatment plant; line replacement; and new wells to replace wells that have been contaminated. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.469 GREAT LAKES PROGRAM**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104&118, 33 U.S.C 1254; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To restore and maintain the chemical, physical, and biological integrity of the Great Lakes Basin Ecosystem. The Great Lakes National Program Office (GLNPO), in concert with USEPA Regions 2, 3, and 5, leads a consortium of programs, agencies, and public and private institutions in attaining specific objectives and actions that will reduce contaminants, restore habitat, and protect the living resources of the basin. EPA and its partners will use the Great Lakes Regional Collaboration's strategy as a guide in activities supporting the Great Lakes Water Quality Agreement goal of restoring the chemical, physical, and biological integrity of the waters of the Great Lakes Basin Ecosystem. See <http://www.glr.us/strategy.html>. Funding Priority - Fiscal Year 2009: (1) Remediation of contaminated sediments, including (a) sediment assessments; (b) evaluations of remedial alternatives; and (c) source identification/source control. (2) Pollution prevention, reduction, or elimination with an emphasis on substances which are persistent and toxic, especially those which bioaccumulate, in the Great Lakes basin. (3) Habitat (Ecological) Protection and Restoration, including demonstration of practices and tools for protecting and restoring aquatic, terrestrial, and wetland ecosystems. (4) Invasive (non-indigenous) aquatic and terrestrial species in the Great Lakes Basin, with an emphasis on prevention. (5) Strategic or emerging issues of basin-wide importance, including projects which: address assessment, causes, and/or effects of chemical or biological pollutants not in the regulatory mainstream; cut across or overlap two or more of the foregoing areas; support conferences regarding the Great Lakes Water Quality Agreement; address issues pursuant to the Great Lakes Executive Order or the Regional Collaboration; or address some other unanticipated area. (6) Lakewide Management Plan and Remedial Action Plan implementation and development, including de-listing of Areas of Concern and Beneficial Use Impairments. (7) Environmental protection related to Lake St. Clair. (8) Strategic Human Health issues. (9) Various aspects of Great Lakes monitoring including fish contaminants, atmospheric deposition, biology, and open water toxics. (10) Projects addressing contaminated sediments in Areas of Concern pursuant to the Great Lakes Legacy Act. Under the Legacy Act, EPA typically funds large projects in Areas of Concern using Project Agreements (not grants) and requiring a minimum 35 percent non-federal match. Funding Priority - Fiscal Year 2010: A proposed \$475 million Great Lakes Restoration Initiative, guided by the Great Lakes Regional Collaboration Strategy, is a well-orchestrated, well-coordinated effort among EPA and the Great Lakes Federal Interagency Task Force to fund the highest priority activities in order to protect and restore the Great Lakes. Federal projects and over \$250 million in grants and project agreements will be initiated through requests for proposals in the summer of 2009 to jump-start achievement of the following long-term goals: safely eating fish and swimming at our beaches, assuring safe drinking water, and providing a healthy ecosystem for fish and wildlife. Subject to appropriations from Congress, the multi-agency Initiative will fund activities addressing: toxic substances and areas of concern; invasive species; nearshore health and nonpoint source pollution; habitat and wildlife protection and restoration; and accountability, monitoring, evaluation, communication, and partnerships.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Section 104(b)(3) of the Clean Water Act, 33 U.S.C. Section 1254(b)(3), authorizes the awarding of assistance for programs established under the Clean Water Act. The Great Lakes National Program Manager is delegated authority to award assistance (for research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of pollution) affecting the Great Lakes Basin and/or in support of the U.S.-Canada Great Lakes Water Quality Agreement. Such activities include surveillance and monitoring of Great Lakes water quality and land use activities. Subject to appropriations from Congress, additional authorization may be available for implementation of the Great Lakes Restoration Initiative in FY 2010. Grants and cooperative agreements are

available to support recipients' allowable direct costs incident to approved activities plus allowable indirect costs, in accordance with established EPA policies and regulations. Quality System Documentation is required for projects involving measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Section 118 (c)(12) authorizes contaminated sediment remediation in Areas of Concern pursuant to eligible projects under the Great Lakes Legacy Act; however, these will be done through project cooperation agreements, rather than assistance. Eligibility and other requirements for Legacy Act projects is being developed. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

State water pollution control agencies, interstate agencies, other public or nonprofit private agencies, institutions, and organizations for the purposes stated in Section 104 (a)(1) of the Clean Water Act, 33 U.S.C. Section 1254(a)(1). "For profit" organizations are not eligible. Colleges and universities which are subject to 40 CFR 30 or 31 are eligible. Since other federal agencies are public agencies or institutions, they are generally eligible to compete and would receive an interagency agreement if selected for an award. Additional eligibility may be authorized by Congress for implementation of the Great Lakes Restoration Initiative in FY 2010. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, interstate agencies, public and private nonprofit organizations, institutions, and Indian tribes are eligible; "for profit" organizations are not. Colleges and universities which are subject to 40 CFR 30 or 31 are eligible. Additional beneficiary eligibility may be authorized by Congress for implementation of the Great Lakes Restoration Initiative in FY 2010.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-21 "Cost Principles for Educational Institutions," and of OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is available. Requests for Initial Proposals and Proposals will be accessible on the Internet from GLNPO's home page (<http://www.epa.gov/glnpo/>) and an announcement will be mailed to organizations which have registered with GLNPO. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. As specified in applicable requests for proposals. Application kits may be requested from USEPA GLNPO (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Application Packages should be submitted to the same address. Standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Proposals are evaluated by EPA reviewers to determine the adequacy of the application under Great Lakes objectives, including technical merit, relevance

of the project, environmental outcomes, and cost. Administrative review is done by the Regional Assistance Branch. Funds are awarded by the Great Lakes National Program Office or Region 2, 3, or 5, as applicable. GLNPO assistance is approved by the GLNPO Director and awarded by the Great Lakes National Program Manager. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Great Lakes National Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Leveraging, including an applicant's match percentage, will be considered as part of the project selection process for grants and cooperative agreements; however, the program does not expect to require any minimum match requirement. Any such requirement will be specified in the individual Request for Proposals. A minimum 35 percent matching requirement will apply to Legacy Act projects (Section 103 of the Great Lakes Legacy Act of 2002).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1-2 years; however, some incremental awards are made up to 5 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related

records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$40,733,994; FY 09 est \$43,300,000; FY 10 est \$95,000,000 - Grants and Cooperative Agreements - FY 08 \$6,377,994; FY 09 est. \$6,300,000; and FY 10 est. \$30,000,000. Legacy Act (Project Agreements) FY 08 \$34,356,000; FY 09 est. \$37,000,000; and FY 10 est. \$65,000,000. FY 10 estimates include the proposed Great Lakes Restoration Initiative.

**Range and Average of Financial Assistance:**

Grants and Cooperative Agreements: \$9,680 to \$777,496/fiscal year; \$80,902/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Great Lakes National Program Office (GLNPO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement typically includes the number of anticipated awards. EPA's Great Lakes Program has been leading Federal, State, Tribal, local, and industry Great Lakes protection and restoration efforts. Accomplishments include: atmospheric deposition monitoring and open lake monitoring in each Great Lake for toxicant and nutrient loadings and concentrations (using EPA's research vessels); trend and baseline data to support and target remedial efforts and measure environmental progress; publishing results from monitoring the Lake Michigan air, water, sediments, and biota through the Lake Michigan Mass Balance Study; study of Lake Erie "dead zone;" facilitating access to Great Lakes information; contaminated sediment assessments and remediation demonstrations to assist clean-up in Great Lakes Areas of Concern; protection and restoration of important Great Lakes habitats; promoting toxics reduction through the Great Lakes Binational Toxics Strategy; advancing prevention and control of invasive species; and development and implementation of Lakewide Management Plans (LaMPs) and Remedial Action Plans (RAPs). In FY 08, four competitive grants announcements were issued resulting in the selection of 32 projects totaling \$5,082,526 in the areas of Pollution Prevention, RAPs, LaMPs, and Habitat Protection and Restoration. To advance pollution prevention and reduction, 26 grants totaling just over \$531,000 were awarded for collections of pharmaceuticals and electronic waste. Fiscal Year 2009: In FY 09, GLNPO expects to issue competitive requests for proposals or projects in areas supporting the Great Lakes Regional Collaboration Strategy, including the priority areas of: Pollution Prevention and Toxics Reduction; Contaminated Sediments; Habitat Protection and Restoration; Emerging or Strategic Issues (including Invasive Species); LaMP and RAP priorities; and Monitoring. GLNPO also will issue non-competitive grants to States and Tribes for LaMP and RAP activities. Additional information is available from links at <http://www.epa.gov/grtlakes/fund/glf.html>. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for proposals, examples, and other Great Lakes funding information is available from <http://www.epa.gov/glnpo/fund/>. General regulations for EPA assistance programs are contained in 40 CFR Parts 30 through 47.

**Regional or Local Office:**

See Regional Agency Offices. Mike Russ, EPA, Great Lakes National Program Office (G-17J), 77 West Jackson Boulevard, Chicago, IL 60604-3590. Telephone: (312) 886-4013; Fax: (312) 353-2018; E-mail: [russ.michael@epa.gov](mailto:russ.michael@epa.gov).

**Headquarters Office:**

Mike Russ, EPA, Great Lakes National Program Office (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604 Email: [russ.michael@epa.gov](mailto:russ.michael@epa.gov) Phone: (312) 886-4013.

**Website Address:**

<http://www.epa.gov/glnpo/fund/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants

and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants and cooperative agreements awarded to States, local governments, and nonprofit organizations for contaminated sediment assessment and remediation, pollution prevention and reduction, ecological (habitat) protection and restoration, invasive species, indicator development, strategic and emerging issues, assessment pursuant to the Lake Michigan Mass Balance Study, contaminant monitoring of Lake and tributary waters and biota, and information management projects. Individual project summaries are available from <http://www.epa.gov/glnpo/fund/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by EPA according to technical merit and relevance to the Great Lakes Water Quality Agreement, Section 118 of the Clean Water Act, and the criteria established in the applicable request for proposals.

**66.471 STATE GRANTS TO REIMBURSE OPERATORS OF SMALL WATER SYSTEMS FOR TRAINING AND CERTIFICATION COSTS**

(Operator Certification Expense Reimbursement Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 301, Public Law 104-182.

**OBJECTIVES:**

This grant program was established as a one-time grant to states and U.S. territories to train and certify small drinking water system operators. Funding Priority - Fiscal Year 2009: EPA's funding priority has been to provide funds to states to reimburse the costs of training, including an appropriate per diem for unsalaried operators, and certification for persons operating community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are required to undergo training pursuant to EPA's operator certification guidelines. All 50 states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used by states to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification needed to meet EPA guidelines. Unpaid operators may also be reimbursed for per diem costs. States are allowed to use a portion of their grant to administer the program. If a state has reimbursed all such costs, the state may, after notice to the Administrator of EPA, use any remaining funds from the grant for any of the other purposes authorized for Drinking Water State Revolving Fund (DWSRF) capitalization grants under section 1452 of the 1996 SDWA Amendments (CFDA 66.468).

**Applicant Eligibility:**

States, Puerto Rico, and U.S. Territories are eligible to receive grants.

**Beneficiary Eligibility:**

States and U.S. Territories are the primary beneficiaries. States and U.S. Territories use funds awarded to them to provide reimbursement to operators of community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are publicly- or privately-owned. Indian tribes and Alaska Native Villages may be eligible to receive funding through state programs if they are subject to state operator certification program requirements.

**Credentials/Documentation:**

To receive a grant, a State or territory enters into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the requirements set forth in Section 1419(d) of the 1996 SDWA Amendments. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts

with State and Local Governments" applies to state grantees. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant (State and U.S. territory) should seek preapplication assistance from the appropriate EPA Regional Office as listed in Appendix IV of the Catalog. An environmental impact statement is not required prior to grant award. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for EPA non-construction grant assistance (EPA Form SF-424) is submitted to the appropriate Regional Office. The state must receive EPA approval of its operator certification program before it can apply for and receive a grant. The state must provide the assurance in its application that it will comply with all applicable Federal cross-cutting authorities and Federal statutes. EPA grant regulations (40 CFR Part 31) apply to states receiving grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority (Delegation of Authority 9-68) from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 66 FR 19939.

Matching Requirements: The Regional Administrator may award expense reimbursement grants from funds appropriated for this purpose. Allotments to the States and U.S. territories are based on a formula, approved by the Assistant Administrator for Water, that allocates the funds based on several factors, including the number of operators of small systems within a State. The allocation methodology was published in the Federal Register on April 18, 2001 (66 FR 19939). There are no matching requirements on the initial grant award. However, if a state reimburses all eligible costs and chooses to use the remaining funds for purposes eligible under the DWSRF program (CFDA 66.468), it will be required to provide a 20 percent match on the remaining amount. The allotment of funds to the States is determined by a formula that reflects the costs to train and certify operators of system serving 3,300 persons or fewer in each state.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

During the two year reimbursement period, 54 awards were made to states for reimbursement of certification and training cost for drinking water operators of small water systems serving populations of 3,300 or less. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31,

as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$14,420 to \$9,642,860; avg. \$4,828,640.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program to date. In FY 08, awarded funds were used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). Fiscal Year 2009: In FY 09, awarded funds were used to reimburse operators for certification and training costs. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for assistance should review 40 CFR Part 31, the General Grant Regulations and Procedures and guidance produced by the Headquarters drinking water program office.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Meghan Klasic Protection Branch (4606M), Drinking Water Protection Division  
Office of Groundwater and Drinking Water  
U.S. Environmental Protection Agency, Washington, District of Columbia  
20460 Email: klasic.meghan@epa.gov Phone: (202) 564-8221

**Website Address:**

<http://www.epa.gov/safewater/opcert/opcert.htm>

**RELATED PROGRAMS:**

66.468 Capitalization Grants for Drinking Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All States, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program. Funds for this grants program are used to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification. Examples of eligible reimbursement costs include: initial certification fees, certification renewal fees, examination fees, costs of training courses, and mileage reimbursements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.472 BEACH MONITORING AND NOTIFICATION PROGRAM IMPLEMENTATION GRANTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 406; Beaches Environmental Assessment and Coastal Health Act of 2000, Public Law 106-284.

**OBJECTIVES:**

To assist Coastal and Great Lakes States and Tribes eligible under Section 518(e) of the Clean Water Act, as amended, in developing and implementing programs for monitoring and notification for coastal recreation waters adjacent to beaches or similar points of access that are used by the public. Funding Priority - Fiscal Year 2009: EPA's funding priority is to award grants to those applicants whose proposals clearly demonstrate a State's, Tribe's, or local government's ability to monitor recreational waters; notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

These grants are intended to support the development and implementation of recreational water monitoring and notification programs or support enhancement of an existing program. EPA encourages grantees to use implementation grant funds to test various approaches for meeting BEACH Act program requirements. For development grants, programs must clearly demonstrate an increase in a State's, Tribe's, or local government's ability to monitor recreational waters and notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public. To be eligible for implementation grants, programs must also demonstrate that they meet the program performance criteria listed in the National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Coastal and Great Lakes States, territories (Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands), and Tribes eligible under Section 518(e) of the Clean Water Act, as amended. The Administrator may make a grant to a local government under this subsection for implementation of a monitoring and notification program only if, after the one-year period beginning on the date of publication of performance criteria under Section 406 (a)(1), the Administrator determines that the State is not implementing a program that meets the requirements of Section 406(a)(1), regardless of whether the State has received a grant under Section 406(a)(1). Interstate agencies and intertribal consortia are not eligible for Beach grants.

**Beneficiary Eligibility:**

States, U.S. territories, Federally recognized Indian Tribal Governments, environmental and public health agencies, and local governments involved in implementing monitoring and notification programs.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office is encouraged. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information

on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms should be made to the appropriate EPA Regional Grants Management Office identified in Appendix IV of the Catalog. Completed applications should be sent to the appropriate Regional or Headquarters Contact. All proposals or work statements should be developed in response to the criteria identified in CRITERIA FOR SELECTING PROPOSALS. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office, and if approved, are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of complete application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval by the appropriate EPA Regional or Headquarters Contact. Please contact the appropriate EPA Regional or Headquarters Contact for guidance.

**Formula and Matching Requirements:**

Statutory Formula: Title Beaches Environmental Assessment and Coastal Health Act of 2000. EPA awards grants to all eligible States and territories who apply for funding based on an allocation formula that the Agency developed for allocating BEACH Act grant funds in 2002. The allocation formula uses three factors: (1) beach season length, (2) beach miles, and (3) beach use. This program has no matching requirements.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Beach grants are normally funded on a 12-month basis (yearly). However, EPA may negotiate the project period, grant continuations, and grant amendments with each applicant based on project requirements. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

Recipients must submit annual performance reports and financial reports as required in 40 CFR 31.40 and 31.41. The annual performance report explains changes to the beach monitoring and notification program during the grant year. It also describes how the grant funds were used to implement the program to meet the performance criteria listed in National Beach Guidance and Required Performance Criteria for Grants (EPA 823B02004). The annual performance report required under 40 CFR 31.40 is due no later than 90 days after the grant year ends. Recipients must also submit annual monitoring and notification reports required by the National Beach Guidance and Required Performance Criteria for Grants (EPA 823B02004). Sections 2.2.3 and 4.3 of the document contain the performance criterion requiring an annual monitoring report, and sections 2.2.8 and 5.4 contain the performance criterion requiring an annual notification report. This document can be found at <http://www.epa.gov/waterscience/beaches/grants/>. These reports, required to be submitted to EPA under CWA section 406(b)(3)(A) and the National Beach Guidance and Required Performance Criteria for Grants, include data collected as part of a monitoring and notification program. As a condition of award of an implementation grant, EPA requires that the monitoring report and the notification report for any beach season be submitted not later than January 31 of the year following the beach season. Program reports are required under this program. Cash reports are required under this program. Progress reports are

required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$10,642,200; FY 09 est \$9,900,000; FY 10 est \$9,900,000

**Range and Average of Financial Assistance:**

States and territories: \$150,000 to \$528,000/fiscal year; \$280,000/fiscal year. In FY 09, EPA made \$100,000 available to eligible Tribes. In FY 09, there are two eligible Tribes.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, EPA awarded grants to all 35 coastal and Great Lakes States and territories and two eligible Tribes that qualified for the BEACH Act Grant program. Program benefits from funding in FY 08 include: development and implementation of recreational water quality monitoring protocol (sampling design, indicator organism); decreasing swimmer exposure by improving communication outreach and education to public on swimming advisories; establishing more efficient and timely management decision process for posting swimming advisories; and constructing databases to provide government and public access to data and information. Fiscal Year 2009: In FY 09, grants will continue to support the development and implementation of recreational water quality monitoring and notification programs or support enhancement of an existing program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island) Matt Liebman, USEPA Region 1, One Congress St. Ste. 1110 CWQ, Boston, MA 02114-2023; Telephone: (617) 918-1626; FAX: (617) 918-1505; e-mail: [liebman.matt@epa.gov](mailto:liebman.matt@epa.gov)

Region II (New Jersey, New York, Puerto Rico, U.S. Virgin Islands) Helen Grebe, USEPA Region 2, 2890 Woodbridge Ave. MS220, Edison, NJ 08837-3679; Telephone: (732) 321-6797; FAX: (732) 321-6616; e-mail: [grebe.helen@epa.gov](mailto:grebe.helen@epa.gov)

Region III (Delaware, Maryland, Pennsylvania, Virginia) Denise Hakowski, USEPA Region 3, 1650 Arch Street 3WP30, Philadelphia, PA 19103-2029; Telephone: (215) 814-5726; FAX: (215) 814-2318; e-mail: [hakowski.denise@epa.gov](mailto:hakowski.denise@epa.gov)

Region IV (Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina) Joel Hansel, USEPA Region 4, 61 Forsyth St. 15th Floor, Atlanta,



GA 30303-3415; Telephone: (404) 562-9274; FAX: (404) 562-9224; e-mail: hansel.joel@epa.gov

Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin); Holly Wirick, USEPA Region 5, 77 West Jackson Blvd. WT-16J, Chicago, IL 60604-3507; Telephone: (312) 353-6704; FAX: (312) 886-0168; e-mail: wirick.holiday@epa.gov

Region VI (Louisiana, Texas) Mike Schaub, USEPA Region 6, 1445 Ross Ave. 6WQ-EW, Dallas, TX 75202-2733; Telephone: (214) 665-7314; FAX: (214) 665-6689; e-mail: schaub.mike@epa.gov

Region IX (American Samoa, Commonwealth of the Northern Mariana Islands, California, Guam, Hawaii) Terry Fleming, USEPA Region 9, 75 Hawthorne St. WTR-2, San Francisco, CA 94105; Telephone: (415) 744-1939; FAX: (415) 744-1078; e-mail: fleming.terrence@epa.gov

Region X (Alaska, Oregon, Washington) Rob Pedersen, USEPA Region 10, 120 Sixth Ave. OW-134, Seattle, WA 98101; Telephone: (206) 553-1646; FAX: (206) 553-0165; e-mail: pedersen.rob@epa.gov.

**Headquarters Office:**

Richard Healy USEPA  
1200 Pennsylvania Ave. NW, (4305T), Washington, District of Columbia  
20460 Email: healy.richard@epa.gov Phone: (202) 566-0405

**Website Address:**

<http://www.epa.gov/waterscience/beaches>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible for program implementation grants, applicants must meet program performance criteria outlined in National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). The performance criteria set forth implementation grant requirements for monitoring and assessing recreation waters and promptly notifying the public of exceedances of water quality for pathogens. As a condition of receipt of a program Implementation Grant under Section 406(b) of the Clean Water Act, a State or local government program for monitoring and notification under this section shall identify: (1) lists of coastal recreation waters in the State, including coastal recreation waters adjacent to beaches or similar points of access that are used by the public; (2) in the case of a State program for monitoring and notification, the process by which the State may delegate to local governments responsibility for implementing the monitoring and notification program; (3) the frequency and location of monitoring and assessment of coastal recreation waters based on: (a) the periods of recreational use of the waters; (b) the nature and extent of use during certain periods; (c) the proximity of the waters to known point sources and nonpoint sources of pollution; and (d) any effect of storm events on the waters; (4)(a) the methods to be used for detecting levels of pathogens and pathogen indicators that are harmful to human health; and (b) the assessment procedures for identifying short-term increases in pathogens and pathogen indicators that are harmful to human health in coastal recreation waters (including increases in relation to storm events); (5) measures for prompt communication of the occurrence, nature, location, pollutants involved, and extent of any exceeding of, or likelihood of exceeding, applicable water quality standards for pathogens and pathogen indicators to: (a) the Administrator, in such form as the Administrator determines to be appropriate; and (b) a designated official of a local government having jurisdiction over land adjoining the coastal recreation waters for which the failure to meet applicable standards is identified; (6) measures for the posting of signs at beaches or similar points of access, or functionally equivalent communication measures that are sufficient to give

notice to the public that the coastal recreation waters are not meeting or are not expected to meet applicable water quality standards for pathogens and pathogen indicators; and (7) measures that inform the public of the potential risks associated with water contact activities in the coastal recreation waters that do not meet applicable water quality standards.

**66.473 DIRECT IMPLEMENTATION TRIBAL COOPERATIVE AGREEMENTS**

(DITCA)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act, 2006, Public Law 109-54.

**OBJECTIVES:**

Direct Implementation Tribal Cooperative Agreements (DITCAs) enable EPA to award cooperative agreements to federally recognized Indian tribes and eligible intertribal consortia to help carry out the Agency's function to implement directly, Federal environmental programs required or authorized by law in the absence of an acceptable tribal program, notwithstanding the Federal Grant and Cooperative Agreement Act. DITCAs are an increasingly important avenue for EPA and the tribes to realize meaningful environmental protection in Indian Country. DITCAs enable EPA to partner with tribes help fulfill EPA's direct implementation authorities, yield environmental results, and assist the Agency in meeting its Strategic Plan goals and targets. DITCAs also provide tribes with the flexibility and opportunity by allowing tribes, through a workplan with EPA and under federal authority, to choose aspects of a program that address their tribal environmental needs and priorities, to determine the scope and pace of tribal involvement, and to build tribal capacity to implement environmental programs. Funding Priority - Fiscal Year 2009: The program provides another avenue for tribes and EPA to partner in implementing meaningful environmental protection in Indian Country. DITCAs provide tribes with the flexibility and opportunity to develop staff capacity to manage environmental programs, to address specific tribal environmental needs and priorities that are within EPA's authority for direct implementation, and to determine the scope and pace of tribal involvement. EPA retains final decision-making authority and ultimate responsibility for the environmental programs including all regulatory activities. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Because DITCAs can address a wide range of activities, and the need for implementation of these activities in Indian Country is great, the funding priority is for any eligible activity that addresses a tribal environmental need or priority, and yields meaningful environmental results for the tribe and the Agency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

DITCAs assist Tribes in helping EPA directly implement Federal environmental programs required or authorized by law in the absence of an acceptable Tribal program, and may only be awarded to Tribes to assist the Administrator in directly implementing Federal environmental programs for Indian Tribes required or authorized by law. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. There are several limitations on DITCA awards. Among them are: (1) The statutory authority for DITCA is found in appropriations acts. In the event the appropriation authority is extended by continuing resolution(s), the DITCA authority will also be extended. (2) The project period of the DITCA may extend beyond the period of the appropriations act under which it was created, but all funds must be awarded prior to the expiration of the appropriations act authorizing the DITCA. (3) DITCA funded personnel may not perform inherently Federal

functions. (4) EPA personnel can provide assistance to DITCA representatives based on the written DITCA work plan which may include daily direction. EPA cannot treat DITCA representatives as EPA employees by participating in hiring, disciplining, or firing decisions. (5) DITCA funded personnel cannot operate vehicles which are either owned or leased by the Federal government. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

DITCAs may be awarded to: (1) Federally Recognized Indian Tribal Government, and (2) intertribal consortia consistent with applicable provisions. In order for an intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 C.F.R. Part 35. See Notice of Guidance Issuance: Direct Implementation Tribal Cooperative Agreements (DITCAs) Guidance, 70 Fed. Reg 1440 (2005). For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government and intertribal consortia consistent with applicable provisions.

**Credentials/Documentation:**

In order for intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 CFR Part 35. For additional information see also the Notice of Guidance Issuance, 70 Federal Register 1440 (2005). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The preapplication must be submitted to EPA for review. Successful applicants will be contacted by EPA and will be required to submit "Application for Federal Assistance," SF 424; "Budget Information: Non-Construction Programs," SF 424A, "Assurances-Non-Construction Programs, Certification Regarding Debarment, Suspension and Other Responsibility Matters," SF 424B; "Certification Regarding Lobbying;" "Pre-Award Compliance Review," EPA 4700-4; and other required forms to complete the application process. Eligible applicants should contact the appropriate Regional Office Contact identified in Appendix IV of the Catalog of information regarding preapplications. The forms are available at: <http://www.epa.gov/ogd/AppKit/application.htm>. Completed applications should be submitted to the appropriate Regional Office Contact identified in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review each application to determine the adequacy of the application in relation to EPA's grant regulations (40 CFR Part 31) and applicable program regulations and guidance. If the application is approved, EPA will award a cooperative agreement up to the reasonable and necessary cost of the approved work plan. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are generally approved and cooperative agreements awarded within 60 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally awards cooperative agreements for periods of 12 to 36 months. The term of the grant shall be determined at the time of award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA and Tribes will negotiate the frequency and content of performance and financial status reports. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 35, "Environmental Program Grants for Tribes." Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual Financial Status Report (SF-269). If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$803,500; FY 09 est \$700,000; FY 10 est \$750,000

**Range and Average of Financial Assistance:**

EPA expects cooperative agreement amounts to range between \$10,000 and \$100,000/fiscal year; \$55,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each EPA Regional Office works with their tribal partners to

develop cooperative agreements. The number of DITCAs awarded on an annual basis depends on the amount of available funding from Program Offices. In FY 08, 30 DITCAs were awarded or continued with additional funding. DITCAs were awarded in FY 08 for the following activities - Establishing a tribal pesticide circuit rider program in a region to undertake core field program and enforcement activities in the pesticide program, such as inspections, training, compliance assistance across many tribes in that region, where a lack of such programs and authorities currently exists. Developing the capacity of Region 10 tribes to implement, educate, and support activities relating to air quality compliance assistance, education and public outreach, and pollution source inspection activities on their reservations, relating to any applicable tribal rules, as well as Region 10's Federal Air Rules for Reservations in ID, WA, and OR (FARR) and Title V. &#8729; Assisting EPA in implementing the federal Lead-Based Paint Program under Toxic Substances Control Act (TSCA) on reservations in an EPA region. Specific tasks include lead-based paint abatement, renovation and remodeling and the sale and leasing of Pre-1978 housing occurring throughout Indian Country in that region. &#8729; Assisting EPA in the implementation of activities in support of Public Water System Supervision (PWSS) drinking water activities in Indian Country. &#8729; Conducting and completing inventories of Class V wells at two reservations under EPA's Underground Injection Control (UIC) Program. Class V UIC wells are the type of well most commonly found in Indian Country, and include shallow disposal systems such as dry wells, septic systems, and leach fields. The inventories require regulated facilities to comply with certain requirements to protect underground sources of drinking water. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency and applicable EPA guidance. DITCA guidance is available at <http://www.epa.gov/indian/pdfs/ditca-guidance-2004.pdf>.

#### **Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/region.htm>; George Frantz, Regional Indian Program Manager EPA Region 1 (CSP), 1 Congress Street, Suite 1100, Boston, MA 02114-2023 T: 617-918-1883/FAX: 617-918-1505/frantz.george@epa.gov; Christine Yost, Regional Indian Program Coordinator, USEPA Region 2, 290 Broadway, New York, New York 10007-1866, T: 212-637-3564/FAX: 212-637-3772/yost.christine@epa.gov; W. J. (Bill) Patton, Tribal Relations Program Coordinator, USEPA Region 4, Atlanta Federal Center, 61 Forsyth Street, Atlanta, Georgia 30303, T: 404-562-8632/FAX: 404-562-9961/patton.bill@epa.gov; Luke Jones, Director, Indian Environmental Office, USEPA Region 5, 77 W. Jackson Boulevard, Chicago, IL 60604-3507, T: 312-353-2087/FAX: 312-353-9533/jones.luke@epa.gov; Randy Gee, Acting Tribal Affairs Team Leader and Regional Indian Coordinator Office of Environmental Justice and Tribal Affairs, USEPA Region 6, 1445 Ross Ave. (6RA-DT, Dallas, TX 75202 T: 214-665-8355/FAX: 214-665-6648/gee.randy@epa.gov; Wolfgang Brandner, Region 7 Tribal Program Coordinator, USEPA Region 7, PLMG/POIS, 901 N. 5th Street, Kansas City, KS 66101, T: 913-551-7381/FAX: 913-551-7053/brandner.wolfgang@epa.gov; Alfreda Mitre, Tribal Assistance Program Director, EPA Region 8 Tribal Assistance Program Mail Code 8P-TA, 1595 Wynkoop Street, Denver, Colorado 80202-1129 T: 303-312-6343/FAX: 303-312-6116/mitre.alfreda@epa.gov; Jean Gamache, Tribal Program Manager, USEPA Region 9 (CMD-3), 75 Hawthorne Street, San Francisco, CA 94105, T: 415-972-3554/gamache.jean@epa.gov; Sally Thomas, Manager, Tribal Trust and Assistance Unit, USEPA Region 10, 1200 Sixth Ave., Seattle, WA 98101 T: 206-553-2102/FAX: 206-553-0151/thomas.sally@epa.gov.

#### **Headquarters Office:**

Jeff Besougloff, American Indian Environmental Office (4104 M) EPA, Ariel Rios Building  
1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [besougloff.jeff@epa.gov](mailto:besougloff.jeff@epa.gov) Phone: (202) 564-0292

#### **Website Address:**

<http://www.epa.gov/indian/index.htm>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: (1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or (2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Examples of DITCAs activities include: water quality standards promulgation and review; implementation of the National Pollutant Discharge Elimination System permit program under the Clean Water Act; implementation plan development and the Title V permit program under the Clean Air Act; implementation of the Public Water System Supervision program and the Underground Injection Control program under the Safe Drinking Water Act; implementation of the Underground Storage Tank program and the Subtitle C permit program under the Resource Conservation and Recovery Act; certification and training program for pesticide applicators under the Federal Insecticide, Fungicide, and Rodenticide Act; inventory of underground storage tanks; and creation and implementation of a smoke management plan under the Clean Air Act. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Cooperative agreements may be awarded to Tribes which submit applications consistent with EPA regulations and guidance. Potential applicants should work with Regional contacts listed as "Information Contacts" identified in Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program.

#### **66.474 WATER PROTECTION GRANTS TO THE STATES**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

Consolidated Appropriations Resolution of 2004, Public Law 108-199; Consolidated Appropriations Resolution of 2003., Public Law 108-7; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act, 2002, Public Law 107-117; Safe Drinking Water Act, Section 1442.

##### **OBJECTIVES:**

The objective of this grant program is to assist States, Territories, and possessions of the United States with critical water infrastructure protection. Funding Priority - Fiscal Year 2009: EPA's funding priority is to provide grant assistance to the States, Territories, and possessions of the United States to support technical assistance, training, and communication activities on critical water infrastructure protection efforts that include work with drinking water systems as well as with Federal, State, and local agencies. States, Territories, and possessions of the United States will be able to continue their efforts to coordinate critical water infrastructure protection activities with other homeland security responsibilities. Grant awards support Goal 2, "Clean and Safe Water," of EPA's 2006-2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness; communicating vision, mission, and goals of the sector specific plan and the key features of an active and effective security program; helping to ensure security best practices for small systems; promoting outreach and education at small systems; promoting mutual aid compacts development; supporting the development of system redundancy, a national laboratory system and disaster mitigation plans; and developing and overseeing emergency response and recovery plans, including those related to pandemic flu concerns.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

Funded activities include providing: (1) technical assistance, training, or distribution of tools that would lead to satisfactory vulnerability assessments of

drinking water systems; (2) technical assistance, training, or distribution of tools that would lead to drinking water systems creating, amending or updating emergency response plans to meet new requirements or security threats; (3) assistance to improve communications with or between drinking water systems and other agencies or organizations involved with security or emergency response; and (4) other activities focusing on training to enhance security and improving the readiness of individuals and groups involved in first response at drinking water systems. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is available to States, Tribes, Territories, and possessions of the United States.

**Beneficiary Eligibility:**

Water programs of States, Territories, and possessions of the United States.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application assistance is recommended and should be obtained from the Grants Management Office of the pertinent EPA Regional Office listed in Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application kits may be directed to the Grants Management Office of the applicable EPA Regional Office listed in Appendix IV of the Catalog. Kits may also be obtained online at <http://www.epa.gov/ogd/AppKit/application.htm>. The completed application, including the final proposal, should be submitted to the appropriate EPA Regional Grants Management Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PWSS formula. As was the case in FY 02 through FY 08, for FY 09 a modification of the basic PWSS formula was chosen to allocate the funds, with each State, the District of Columbia, and Puerto Rico receiving a minimum of \$50,000 and each Territory at least \$16,700. This program has no matching requirements.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project/budget period on these grants may exceed one year. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$5,642,900; FY 09 est \$4,950,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Funds are awarded by each Regional Office. The range of financial assistance available to States varies according to program and fiscal year. Contact the Grants Management Office of the pertinent EPA Regional Office, listed in Appendix IV of the Catalog, to determine the amount for which applicants are eligible. The range and average of financial assistance provided is: FY 08 - \$16,700 to \$294,900/fiscal year; \$155,800/fiscal year. FY 09 - \$16,700 to \$380,300/fiscal year; \$198,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08 and FY 09, awards were made to 50 States, the District of Columbia, and 5 Territories. In FY 08 and FY 09, States and Territories developed materials (i.e., documents, training manuals, etc.) focused on improving security and emergency response, ensuring the quality of drinking water vulnerability assessments, and associated security enhancements. Additionally, States and Territories conducted a number of trainings, workshops, and/or conferences to improve infrastructure protection, increase preparedness, promote mutual aid compacts and/or provide information to drinking water utilities. Significant action has been accomplished in helping to support and establish mutual aid compacts, including providing technical support and training exercises related to these agreements. Outcomes included changed management and operation of drinking water utilities based on training and current vulnerability assessments of the utilities; and establishment and improvement of emergency response coordination and communications. Fiscal Year 2009: In FY 08 and FY 09, awards were made to 50 States, the District of Columbia, and 5 Territories. In FY 08 and FY 09, States and Territories developed materials (i.e., documents, training manuals, etc.) focused on improving security and emergency response, ensuring the quality of drinking water vulnerability assessments, and associated security enhancements. Additionally, States and Territories conducted a number of trainings, workshops, and/or conferences to improve infrastructure protection, increase preparedness, promote mutual aid compacts and/or provide information to drinking water utilities. Significant action has been accomplished in helping to support and establish mutual aid compacts, including providing technical support and training exercises related to these agreements. Outcomes included changed management and operation of drinking water utilities based on training

and current vulnerability assessments of the utilities; and establishment and improvement of emergency response coordination and communications. In FY 09, States and Territories will continue to provide similar security activities to achieve the overall outcome of improving critical water infrastructure protection with an emphasis on smaller systems, mutual aid compacts between systems and States, and better understanding and application of an active and effective security system. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, General Regulation for Assistance Programs; EPA Annual Program Guidance provided to States.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Nancy Muzzy Water Security Division  
U.S. EPA, (Mail Code 140)  
26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email:  
muzzy.nancy@epa.gov Phone: (513) 569-7864

#### **Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity/financeassist.cfm>

#### **RELATED PROGRAMS:**

66.432 State Public Water System Supervision

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA has supported the following types of drinking water security activities: (1) improving communications to drinking water systems by updating drinking water system contact information and utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by EPA according to technical merit and relevance, and availability of funds.

### **66.475 GULF OF MEXICO PROGRAM**

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), 33 U.S.C 1254.

#### **OBJECTIVES:**

(1) To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution; and (2) To expand and strengthen cooperative efforts to restore and protect the health and productivity of the Gulf of Mexico in ways consistent with the economic well-being of the region. Funding Priority - Fiscal Year 2009: Projects that will deliver significant results to achieve the environmental outcomes of improved health of the Gulf of Mexico by addressing water quality with an emphasis on the following: healthy

beaches and shellfish beds; habitat conservation and restoration; increased awareness/stewardship of the Gulf of Mexico; ecosystems integration and assessment; reduced nutrient inputs to sustain productive Gulf aquatic ecosystems; and coastal community resilience. Projects must actively involve stakeholders and focus on short-term support and implementation of the actions and activities in the Gulf of Mexico Alliance Governors' Action Plan II for Healthy and Resilient Coasts.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Section 104 (b)(3) of the Clean Water Act, 33 U.S.C. Section 1254 (b)(3) authorizes the awarding of assistance for programs established under the Clean Water Act. Assistance will be targeted to States, Tribes, interstate agencies, and other public or nonprofit organizations that commit to specific activities. Eligible activities should be of a relatively short time frame (6 months to 3 years) and all projects should achieve and demonstrate results. Assistance agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, research, and demonstrations plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Funds are available to State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations.

#### **Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31 and with Program Funding Guidance. Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations, and OMB No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should follow the proposal format and instructions provided in the Funding Announcement. The proposal should be transmitted electronically to the email address and by the date and time published in the Funding Announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90-120 days following the application deadline as addressed in the competitive funding announcement.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Gulf of Mexico Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,540,700; FY 09 est \$1,739,000; FY 10 est \$2,092,000

**Range and Average of Financial Assistance:**

\$25,000 to \$330,000/fiscal year; \$138,430/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 31 proposals were received in response to a competition to support projects to accomplish short-term actions toward implementation of the 11 actions and 73 activities in the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts, and 13 assistance agreements were awarded. Accomplishments include: development

of a Public Awareness Campaign for the Gulf of Mexico; implementation of the Coastal and Marine Ecological Classification Standard in the Gulf of Mexico to support development of the Priority Habitat Information System; implementation of a Spatial Catalog to Characterize and Identify Habitats in the Gulf of Mexico; Enhancing Local Capacity to Reach Underserved and Underrepresented Populations; validation and testing of Microbial Source Tracking Methodologies; coordination of Water Quality Monitoring across the Gulf of Mexico; a Gulf of Mexico Ocean Literacy Project; and a Binational HAB Risk Assessment and Communications Partnership. Fiscal Year 2009: In FY 09, it is anticipated that 50 proposals will be received in response to a competition to continue support for projects to accomplish implementation of the Gulf of Mexico Alliance Governors' Action Plan. It is estimated that approximately 10-50 assistance agreements will be awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For assistance agreements with States, local governments, and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For assistance agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Contact the EPA Region 4 Office listed in Appendix IV of the Catalog for information on the grants administration process. Local Office: EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, MS 39529, Attention: Esther Coblentz. Telephone: (228) 688-1281. Fax: (228) 688-2709. E-Mail: coblentz.esther@epa.gov.

**Headquarters Office:**

Esther Coblentz EPA/Gulf of Mexico Program Office  
Mail Code EPA/GMPO, Stennis Space Center, Mississippi 39529 Email: coblentz.esther@epa.gov Phone: 228-688-1281

**Website Address:**

<http://www.epa.gov/gmpo/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support;  
66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Projects will be selected based on the criteria and ranking factors established in the GMPO Competitive Funding Announcement.

**66.478 WATER SECURITY TRAINING AND TECHNICAL ASSISTANCE AND WATER SECURITY INITIATIVE CONTAMINATION WARNING SYSTEM PILOTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act of 2002, Public Law 107-117; The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Title 4, Public Law 107-188; Safe Drinking Water Act, Section 1433&1434.

**OBJECTIVES:**

The objective of these grant programs are (1) for financial assistance that is awarded under SDWA Section 1433, to improve water infrastructure security through both training and technical assistance for water utilities and (2) for cooperative agreements that are awarded under SDWA Section 1434, to address the risk of intentional contamination of drinking water distribution systems. Funding Priority - Fiscal Year 2009: For Section 1433 financial assistance for Fiscal Year 2009, EPA's funding priority is to provide assistance to eligible non-profit organizations that provide training, technical support or other assistance to water utilities. Specifically, EPA is seeking to utilize the ability of non-profit organizations to provide water security technical support and training. For Section 1434 cooperative agreements for Fiscal Year 2009, EPA's funding priority is to provide assistance to community water systems for drinking water contamination warning system pilot projects. Financial assistance awarded under both of these programs support Goal 2, Clean and Safe Water, of EPA's 2006 - 2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funded activities for financial assistance awarded under Section 1433 of the SDWA include: (1) training to gain competence and expertise in the process of developing or completing vulnerability assessments; (2) training to gain competence and expertise in the process of developing, amending, or updating emergency response plans; (3) training to gain competence and expertise in various security enhancements; and (4) providing competent training and technical assistance in the aforementioned areas to help states, tribes, and local authorities in their water infrastructure security efforts. Funded activities for cooperative agreements awarded under Section 1434 of the SDWA may include: (1) demonstration of contamination and warning system monitoring and surveillance components; (2) contamination warning system consequence management plan; and (3) evaluation and transfer of results. Specific uses and restrictions on funds will be described in detail in the competitive announcements for each program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Financial assistance awarded under Section 1433 of the SDWA is available to public non-profit institutions/organizations and private non-profit institution/organizations, capable of providing training, technical support and/or assistance to drinking water systems. Cooperative agreements awarded under Section 1434 of the SDWA will be limited to local governments or institutions (either public or private nonprofit organizations) that operate community water systems (as defined in 40 C.F.R. 141.2). Note that 501(c)(4) non-profit organizations that lobby are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

For financial assistance awarded under both Sections 1433 and 1434 of the SDWA, the beneficiaries are the drinking water systems, the water programs of the State or Tribe, and the public which will benefit from these programs

through safer and more secure drinking water.

**Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Section 1434 cooperative agreements are a new grant program that has not been included in the agency's list of programs subject to Intergovernmental review. However, EPA recommends that applicants for these cooperative agreements should consult the office or official designated as the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program also does not require an environmental impact statement or assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit an "Application for Federal Assistance," SF 424, "Budget Information: Non-Construction Programs," SF 424A, "Assurances: Non-Construction Programs," SF 424B, "Certification Regarding Debarment, Suspension and Other Responsibility Matters," "Certification Regarding Lobbying," "Pre-Award Compliance Review Report," EPA 4700-4, and other required forms to complete the application process. Application kits should be requested from the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, Mail Code 3903R, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including an application kit, required forms, and a check list, may also be found at <http://www.epa.gov/ogd/AppKit/index.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Applications should be submitted in accordance with the procedures stated in the competitive announcement.

**Award Procedure:**

Applications are reviewed by EPA, where subsequent grant awards are made to successful applicants. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days after deadline for application submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Any continuation of funding will be described in the terms of the assistance agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$20,119,149; FY 09 est \$11,500,000; FY 10 est \$7,500,000 - For financial assistance awarded under Section 1433 of the SDWA, FY 08 \$0; FY 09 est. \$0; and FY 10 est. \$0. For cooperative agreements awarded under Section 1434 of the SDWA, FY 08 \$20,119,149; FY 09 est. \$11,500,000; and FY 10 est. \$7,500,000.

**Range and Average of Financial Assistance:**

For financial assistance awarded under Section 1433 of the SDWA, no funding was provided in FY 08 and FY 09 and none is anticipated for FY 10. For cooperative agreements awarded under Section 1434 of the SDWA, the estimated range is \$3,000,000 to \$12,000,000 per agreement. For FY 08 and FY 09, the actual range was a low of \$2,000,000 and a high of \$11,999,999, for an average of \$6,999,999.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 08, for Section 1433 awards, no competitive announcements were issued and no new awards were made. Grantees with existing awards continued to provide direct technical assistance to drinking water systems nationwide for the completion of vulnerability assessments and emergency response plans. The immediate outcome was that drinking water systems were able to address federal requirements for the completion and submission of vulnerability assessments and the creation or revision of emergency response plans. The long-term outcome is that drinking water systems have improved their security through an analysis of their vulnerabilities and preparation to address these vulnerabilities. Currently for FY 09, EPA has no funds available; however, should funding become available, projects that will improve the security of drinking water systems will be the focus of the awards. For Section 1434 awards, this was a financial assistance pilot program. In FY 07, EPA issued a competitive announcement to award up to four cooperative agreements to

support drinking water contamination warning system demonstration pilots. These pilots are part of the Agency's Water Security Initiative, which seeks to develop a warning system that achieves timely detection of and appropriate response to drinking water contamination incidents. The pilots include specified monitoring and surveillance components, a consequence management plan, and an evaluation plan. The anticipated outcome is that these pilots will generate information that allows community water systems nationally to practice effective techniques to detect and respond to possible contamination events. Drinking water consumers will experience a reduction in risk associated with drinking water contamination and improved water quality. In FY 08 and FY 09, cooperative agreements were awarded to four pilots with the expectation that the project will demonstrate and review the effectiveness of drinking water contamination warning systems for community water systems, through reviewing multiple monitoring and surveillance components designed to provide timely detection of contamination in the drinking water distribution systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe Drinking Water Act, Sections 1433 and 1434; "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations," 40 CFR Part 30, and "Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments," 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nancy Muzzy EPA  
Water Security Division, Mail Code 140  
26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email:  
muzzy.nancy@epa.gov Phone: 513-569-7864

**Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity.cfm>

**RELATED PROGRAMS:**

66.474 Water Protection Grants to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA has supported the following types of projects under financial assistance awarded under Section 1433 of the SDWA: 1. A private non-profit organization obtains training for approximately 120 of its members to become security trainers who will assist state and local agencies with drinking water security; 2. A private non-profit organization obtains training on the use of vulnerability assessment software and provides additional training for non-profit groups and state, tribal, and local agencies; 3. A private non-profit organization provides security training on the completion of vulnerability assessments and emergency response plans to drinking water systems serving populations between 50,000-100,000 people; 4. A private non-profit organization provides follow-up technical support to drinking water systems serving populations between 50,000-100,000 people on the completion of vulnerability assessments and emergency response plans; and 5. A private non-profit organization provides direct technical assistance to drinking water systems nationwide serving populations between 3,300 and 10,000 people for the completion of vulnerability assessments and emergency response plans. For cooperative agreements to be awarded under Section 1434 of the SDWA, EPA funded four contamination warning system demonstration pilots (i.e., designing, installing, and operating) that include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.479 WETLAND PROGRAM GRANTS - STATE/TRIBAL ENVIRONMENTAL OUTCOME WETLAND DEMONSTRATION PROGRAM**



**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State and Tribal government agencies protect, manage, and restore wetlands. Funding Priority - Fiscal Year 2009: This one-time pilot program, funded FY 05 through FY07, provided grants for states and tribes to implement regulatory and nonregulatory activities to assess whether financial assistance for wetland program implementation yields positive environmental outcomes. Grantees annually report the programmatic and environmental outcomes resulting from their grants. This program represents a one-time pilot effort; EPA does not plan on funding any new projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State/Tribal Environmental Outcome Wetland Demonstration Grants provide eligible applicants an opportunity to conduct projects that promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. This pilot program will demonstrate that supporting the implementation of State and Tribal wetland programs will have positive environmental results and will support the no net loss/net gain of wetland acreage goal and support increased involvement of State and Tribal protection of vulnerable waters. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States and Tribal wetland agencies are eligible for the State/Tribal Environmental Outcome Wetland Demonstration Program competition pilot. Local agencies and non-for-profits are not eligible for participation. Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and tribal governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complementing wetlands protection programs.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information is available on the EPA website at: <http://www.epa.gov/owow/wetlands/grantpilot/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The EPA Headquarters (HQ) Office established criteria against which State and Tribal wetland programs were evaluated and ranked. For competitive awards,

EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 120 days of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. State and Tribal government agencies must provide a minimum of 25 percent of each award's total project costs in accordance with 40 CFR 31.24, 35.385, and 35.615. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). 40 CFR 35.536(c) (the Environmental Program Grants for Tribes Regulation), States that "the required cost share shall be five percent of the allowable cost of the work plan budget for that program" if the Tribal applicant puts the funds into a PPG. Tribal applicants can submit budgets with a 5 percent match if the Tribe is going to put the funds into a PPG. The following term and condition will be included in the assistance agreement awarded to the Tribe: If the Wetlands Program Grant Funds are not or could not be included in a PPG, then the Tribe must provide a 25 percent match. The match requirement can be met with contributions from entities other than the award recipient. Other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. However, Indian tribes can use funds provided under the Indian Self-Determination and Education Act (25 USC 450 et seq.) to provide the required matching funds to the extent authorized by that Act and implementing regulations. Matching funds are considered grant funds. They may be used for the reasonable and necessary expenses of carrying out the work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the use of matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements

are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$200,000 to \$300,000/fiscal year; \$250,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. This is a one-time pilot grant program. In FY 05, EPA received 51 proposals in response to the competitive announcement released November 05, 2004. EPA awarded 26 one-time pilot grants to 22 states and one tribe. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. To date, pilot grant recipients have submitted two annual reports and the final report. The following represents a sample of results reported to date; these numbers will increase when the pilot projects are complete: -Restoration: 3 grantees have restored 183 wetland acres and 1,542 stream feet; - Inventory and Mapping: 8 grantees have inventoried or mapped 6.7 million acres of wetland resources and surrounding lands; -Data Systems: Because of updated and reconfigured data tracking systems, 44 more programs, agencies, and organizations in 9 states are using wetland data systems; - Monitoring and Assessment: 5 grantees have monitored and/or assessed almost 724,000 wetland acres; and -Regulation: 8 grantees have adopted and implemented 3 new rules and 12 policies or procedures to better protect wetlands resources through state programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations, and Procedures (40 CFR Parts 31 and 35).

**Regional or Local Office:**

See Regional Agency Offices. Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees, US EPA Region 1, 1 Congress Street, MC CSP, Suite 1100, Boston, MA, 02114. Phone: 617-918-1686. voorhees.jeanne@epa.gov. Region 2 - NJ, NY, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. drake.kathleen@epa.gov. Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson and Rhonda Evans, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393 (M. Jackson); 404-562-9369 (R. Evans). jackson.morgan@epa.gov; evans.rhonda@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Sue Elston, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-886-6115. elston.sue@epa.gov. Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. mcdonald.sondra@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Toney Ott, US EPA Region 8, 1595 Wynkoop Street, 8EPR-EP, Denver, CO, 80202. Phone: 303-312-6909. ott.toney@epa.gov. Region 9 - AZ, CA, HI, NV, AS,

GU: Suzanne Marr and Paul Jones, US EPA Region 9, 75 Hawthorne Street, WTR-3, San Francisco, CA 94105. Phone: 415-972-3468 (S. Marr); 415-972-3470 (P. Jones). marr.suzanne@epa.gov; jones.paul@epa.gov. Region 10 - AK, ID, OR, WA: Yvonne Vallette, US EPA Region 10, Oregon Operations Office, 811 S.W. 6th Ave, 3rd Floor, OOO, Portland, OR, 97204. Phone: 503-326-2716. vallette.yvonne@epa.gov.

**Headquarters Office:**

Romell Nandi Wetlands Division (4502T)  
Office of Oceans, Wetlands, and Watersheds  
Environmental Protection Agency  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: nandi.romell@epa.gov Phone: (202) 566-1203

**Website Address:**

<http://www.epa.gov/owow/wetlands/grantpilot/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Decisions of which States and Tribes will receive funding under this pilot will be determined by how the State or Tribe's program rank using established criteria and factors. These criteria will be published on the HQ Office's website ([www.epa.gov/owow/wetlands/grantpilot/](http://www.epa.gov/owow/wetlands/grantpilot/)). States and Tribes will be evaluated and ranked according to these criteria and factors. Funding under this pilot program will be provided to the States and Tribes that rank the highest.

**66.480 ASSESSMENT AND WATERSHED PROTECTION PROGRAM GRANTS**

(AWPPG)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. The two main goals of the Assessment and Watershed Protection Program Grants (AWPPGs) include supporting a watershed approach to better address water quality problems in the U.S. and building the capacity of all levels of government to develop and implement effective, comprehensive programs for watershed protection, restoration, and management. Funding Priority - Fiscal Year 2009: Funding under this program area includes: Watershed/Total Maximum Daily Load (TMDL) Program - (1) Assessment and TMDL Workshops; (2) Impaired Waters Recovery and Results Analysis; (3) Tools and Products Training for the Watershed Approach; and (4) Tools, Incentives and Trainings that Foster Financing of Water Quality, Habitat Restoration/Protection on a Watershed Scale. Nonpoint Source Program - (1) National Conference and Outreach Program to Promote Clean Lakes. National Training Workshops with States on Section 303(d) of the Clean Water Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements.

**Applicant Eligibility:**

Assistance under this program is available to States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Costs will be determined in accordance with OMB Circular no. A-21 for educational institutions, OMB Circular Nos. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, investigations, experiments, training, demonstrations, surveys, and studies and based on competitive applications submitted in response to EPA solicitations. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Ave., NW, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$500,000; FY 09 est \$750,000; FY 10 est \$1,100,000

**Range and Average of Financial Assistance:**

\$10,000 to \$150,000/fiscal year; \$75,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 08, five awards were made under a Request for Proposals. Project outputs included workshops on innovative assessment and modeling techniques, training handbook(s) on low impact development

practices, case studies on agricultural drainage practices, and volunteer monitoring newsletters. For FY 09 no data is currently available. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

#### **Headquarters Office:**

Tim Icke US EPA Office of Wetlands, Oceans and Watersheds  
Assessment and Watershed Protection Division  
1200 Pennsylvania Ave., NW (MC 4501T), Washington, District of Columbia  
20460 Email: ickle.tim@epa.gov Phone: (202) 566-1211

#### **Website Address:**

<http://www.epa.gov/owow/funding.html>

#### **RELATED PROGRAMS:**

66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA awards grants to support the following types of watershed planning activities: workshops on innovative TMDL assessment; workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; production of volunteer monitoring newsletter(s). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.481 LAKE CHAMPLAIN BASIN PROGRAM**

(Lake Champlain Program)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 120, Public Law 107-303.

#### **OBJECTIVES:**

To implement the Lake Champlain Basin Management Plan Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin, and to assist the states of New York and Vermont in protecting and preserving the Lake Champlain ecosystem. Funding Priority - Fiscal Year 2009: Efforts in Lake Champlain will continue to support the successful interstate, interagency, and international partnership undertaking the implementation of "Opportunities for Action," a plan designed to address various threats to the Lake's water quality, including phosphorus loadings, invasive species, and toxic substances. Grants under this program shall be made for assisting research, surveys, studies, modeling, technical, field, restoration, education, outreach, and other supporting work necessary for the development and implementation of the Lake Champlain Basin Management Plan. Funding priorities include phosphorus control, environmental education and outreach, and support for cultural and recreational resources.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

As described in Section 120 of the CWA, funds may be used to implement elements of the Lake Champlain Basin Management Plan, Opportunities for Action. Projects outside of the Lake Champlain Basin are not eligible for funding under this program. Grant awards must be made in consultation with the Lake Champlain Basin Program Steering Committee, and must support activities consistent with the goals of Opportunities for Action. Assistance

agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and public or nonprofit agencies, institutions, and organizations are eligible to receive grants from EPA through this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Assistance under this program generally benefits State environmental, health, and agriculture agencies; interstate water pollution control agencies; public nonprofit institutions and organizations; sponsored organizations; Federal agencies; local agencies; intrastate agencies; public and private nonprofit institutions and organizations; private organizations; small businesses; and quasi-public nonprofit institutions.

#### **Credentials/Documentation:**

Nonprofit private agencies, institutions, and organizations may be required to provide documentation of their organizational status upon application. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. A pre-application form is not required. Informal pre-application discussions or conferences with the Lake Champlain Basin Program Steering Committee, and EPA Regions 1 and 2 are required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Lake Champlain Basin Program Steering Committee, in conjunction with EPA Regions 1 and 2, develops the annual budget and task list. This budget and task list is then divided between the States of Vermont and New York and the New England Interstate Water Pollution Control Commission. From this information, these three organizations then prepare grant applications and workplans for submittal to EPA Region 2 or Region 1. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Detailed information and assistance, including and application kit, required forms, and a checklist may also be found at: <http://www.epa.gov/ogd/AppKit/>. Applications must be submitted to the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Each federal assistance application and final work plan will be evaluated by EPA Region 1 or Region 2 to determine the adequacy of the application under the established EPA grants program requirements and guidelines, including, but not limited to, the requirements set forth in 40 CFR Parts 30 and 31. Technical merit and the relevance of the project to the priorities and objectives established in Opportunities for Action will also be considered. Each application will also be subject to an administrative review by the EPA Region 1 or 2 grants management office as appropriate to determine whether all administrative requirements have been met. The workplan is submitted to the EPA Region 1

and 2 Regional Administrators for approval prior to the award of any assistance agreement. Once a Regional Office approves the annual workplan, funds are awarded by the EPA Region 1 or 2 Regional Administrator as appropriate. Grantees will receive an award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the grants management office within 30 days. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on proposals varies depending on the timing of funds release to the EPA Regional Offices from Headquarters. Interval from submission to notification may vary from two months to eight months.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

No cost extensions and amendments may be available subject to the approval of EPA. Approval of subsequent funding is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has a statutory matching requirement; see CWA section 120 (f)(3). For all assistance (grants and cooperative agreements) agreements made under this program, federal costs shall not exceed 75 percent of the total cost of the agreement. This program has no statutory funding formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a multi-year period at the discretion of EPA. Start dates for assistance agreements are variable and are established at the discretion of EPA. Generally however, it is intended that start dates closely follow award dates of the assistance agreement. Awards are fully funded, recipients draw down funding as cost are incurred, typically monthly. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements

are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those that arose as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$2,918,300; FY 09 est \$2,993,000; FY 10 est \$1,435,000

**Range and Average of Financial Assistance:**

\$75,000 to \$1,199,300/fiscal year; \$637,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 1991, EPA's funding of the Lake Champlain Basin Program has led protection and restoration of the Lake Champlain basin through coordination with federal, provincial, state, and municipal agencies and local citizens. The main program goals, as laid out in the Lake Champlain Management Plan Opportunities for Action, are as follows: reducing phosphorus inputs to Lake Champlain; decreasing toxic contamination; minimizing the risks to humans from water-related health hazards; and controlling the introduction, spread, and impact of nonnative nuisance species. EPA works with the Lake Champlain Basin Program Steering Committee to determine funding priorities and distributes funds accordingly. The following four entities receive funding on an annual basis: New England Interstate Water Pollution Control Commission (NEIWPCC), Vermont Department of Environmental Conservation, the New York Department of Environmental Conservation, and the Lake Champlain Science Center. They may choose to compete all or part of the funds. Competitive announcements typically include the number of anticipated awards.

In FY 08, funds were used to support protection and restoration of the Lake Champlain Basin. Specific examples of accomplishments include: creation and distribution of a "State of the Lake" report detailing current water quality and other ecosystem conditions; conducting water quality monitoring programs with the collection of at least 3,500 water chemistry samples; a boat inspection and education program to reduce the spread of invasive species; a survey of a nearby canal for the presence of asian clam, an invasive species; extensive watershed mapping to better plan for BMP installation; removal of thousands of pounds of invasive water chestnuts; and other tasks. Fiscal Year 2009: In FY 09, expected accomplishments include: revising the Lake Champlain Basin Management Plan "Opportunities for Action"; further removal of invasive water chestnuts; and an extensive monitoring effort for toxic blue-green algae blooms. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Lake Champlain program grants and cooperative agreements are subject to EPA's general grant regulations, 40 CFR Part 30 or 40 CFR Part 31. All assistance agreements must support the goals and objectives of the Lake Champlain Management Plan, Opportunities for Action. A copy of this document is available on request from the Lake Champlain Basin Program, 54 West Shore Road, Grand Isle, VT 05458, Phone 802-372-3213 and is also available online at <http://www.lcbp.org>.

**Regional or Local Office:**

See Regional Agency Offices. Erik Beck, EPA New England, 1 Congress Street, Suite 1100-CWN, Boston, MA 02114-2023. Telephone: (617) 918-1606; Fax: (617) 918-0606; E-mail: [beck.erik@epa.gov](mailto:beck.erik@epa.gov). Mario Paula, EPA Region 2, 290 Broadway, 24th Floor, New York, NY 10007-1866. Telephone: (212) 637-3819; Fax: (212) 637-3889; E-mail: [paula.mario@epa.gov](mailto:paula.mario@epa.gov).

**Headquarters Office:**

Erik Beck US EPA New England  
1 Congress Street, Suite 1100-CWN, Boston, Massachusetts 02114 Email:  
beck.erik@epa.gov Phone: (617) 918-1606

**Website Address:**

<http://www.epa.gov/NE/eco/lakechamplain/index.html>

**RELATED PROGRAMS:**

12.100 Aquatic Plant Control; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants and cooperative agreements awarded to states, interstate agencies, universities, and nonprofit organizations are for implementation of the Lake Champlain Management Plan. Grants awarded to States of Vermont and New York and NEIWPCC generally cover multiple tasks and projects per grant. Examples of work carried out by these grants include: (1) funding for the overall program coordination, and the full-time New York and Vermont Lake Champlain Basin Program coordinators employed by their respective states; (2) annual lake and tributary monitoring for phosphorus and other parameters by professional limnologists; lay monitoring of Lake Champlain and other lakes in the basin for phosphorus and other water quality parameters; (3) phosphorus reduction: research on phosphorus carried downstream by eroding stream banks, research on policy options for further phosphorus reduction from point and nonpoint sources, tracking implementation of best management practices on farms, geomorphic studies, and riparian restoration work; (4) removal of invasive species such as water chestnuts, research on non-chemical alternatives to sea lamprey control, and milfoil removal efforts; (5) toxins: funded studies on cyanobacteria dynamics in Lake Champlain as well as monitoring for cyanobacteria (blue green algae) blooms and their associated toxins in Lake Champlain. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. The Steering Committee recommends projects to EPA for funding based on the technical merit of the proposal and its relevance to the Lake Champlain Basin Management Plan. EPA approves applications after Steering Committee recommendation based on the technical merit of the application and its relevance to the Lake Champlain Basin Management Plan.

**66.508 SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM**

(SEE)

**FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C 4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship. Funding Priority - Fiscal Year 2009: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the EPA in

support of its projects ranging from inspections of schools for asbestos, to support for a Headquarters staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are not established at the SEE program level. Rather, Senior Resource Officials from the participating 65 program offices establish priorities requiring SEE program support. Funding Priority - Fiscal Year 2010: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the EPA in support of its projects ranging from inspections of schools for asbestos, to support for a Headquarters staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are not established at the SEE program level. Rather, Senior Resource Officials from the participating 65 program offices establish priorities requiring SEE program support.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control."

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

Federal, State, and local environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Manager, SEE Program, Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff (3605A), Washington, DC 20460. Basic steps of the application procedure are outlined in the application package containing the application forms.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations, and to program objectives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is incrementally awarded throughout the life of the agreement to support ongoing activities.

**Reports:**

No program reports are required. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Progress reports are required on a quarterly schedule. Expenditure reports are required on a quarterly schedule. Performance monitoring is required as a normal part of project officer post award monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$53,251,852; FY 09 est \$53,000,000; FY 10 est \$53,500,000 - The vast majority of the funds in this CFDA are not Recovery Act. Approximately 1 percent of the funding may be obligated as Recovery Act.

**Range and Average of Financial Assistance:**

New awards and amendments: \$3,000 to \$1,954,236 for FY 2008; Average \$233,560; \$1,705 to \$1,346,140 for FY 2009, Average \$181,934; estimated \$3,000 to \$1,400,000; FY 2010, Average \$240,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, 228 cooperative agreements/amendments were awarded. Fiscal Year 2009: To date, in Fiscal Year 2009, 133 cooperative agreements/amendments were awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Manager, SEE Program, (3605A) Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff (3605A), 1200 Pennsylvania Ave., N. W., Washington, D. C. 20460. Telephone: (202) 564-0410, FAX: (202) 564-0735; e-mail: street.susan@epa.gov. Web Site: <http://epa.gov/epahrist/see/brochure>.

**Headquarters Office:**

Susan Street SEE Program, Office of Administration and Resources Management  
Environmental Protection Agency  
1200 Pennsylvania Ave, N.W., Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410

**Website Address:**

<http://epa.gov/epahrist/see/brochure>

**RELATED PROGRAMS:**

66.518 State Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, provide technical assistance to tribes, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.509 SCIENCE TO ACHIEVE RESULTS (STAR) RESEARCH PROGRAM****FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442, 42 U.S.C 300; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Clean Air Act, Section 103, 42 U.S.C 7403; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Water Act, Section 104, 33 U.S.C 1254; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136.

**OBJECTIVES:**

To (1) support research to determine the environmental and human health effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) support research to explore and develop strategies and mechanisms for those in the social, governmental, and environmental arenas to use in environmental management decisions. Funding Priority - Fiscal Year 2009: The STAR Program will fund the highest quality academic research in the following priority areas:

(1) Air Quality: Novel Approaches to Improving Air Pollution Emissions Information; Air Research Centers.

(2) Human Health: Centers for Children's Environmental Health and Disease Prevention Research (with NIEHS); Exploring Linkages between Health Outcomes and Environmental Hazards, Exposures, and Interventions for Public Health Tracking and Risk Management; Understanding the Role of Nonchemical Stressors and Developing Analytic Methods for Cumulative Risk Assessments; Novel Approaches for Assessing Exposure for School-Aged Children in Longitudinal Studies.

(3) Ecosystem Protection/Water Quality: Enhancing Ecosystem Services From Agricultural Lands: Management, Quantification, And Developing Decision Support Tools.

(4) Drinking Water: Integrated Design, Modeling, and Monitoring of Geologic Sequestration of Anthropogenic Carbon Dioxide to Safeguard Sources of Drinking Water; Innovative and Integrative Approaches for Advancing Public Health Protection Through Water Infrastructure for Sustainability.

(5) Endocrine Disruptors/Biotechnology/Computational Toxicology: Computational Toxicology Research Centers: in vitro and in silico Models of Developmental Toxicity Pathways; Biotechnology and Food Allergy (joint initiative with NIAID).

(6) Nanotechnology: Nanotechnology Research Grants: Joint US UK Research Program: Environmental Behavior, Bioavailability and Effects of Manufactured Nanomaterials.

In addition to the solicitations identified above, other solicitations may be announced in the coming year. Please check the NCER website: <http://www.epa.gov/ncer> for an updated listing of all solicitations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The National Center for Environmental Research (NCER) generally does not accept unsolicited proposals for the STAR program. All STAR awards are made in response to competitive requests for applications (RFAs) or requests for initial proposals (RFIPs). Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Some solicitations issued under this CFDA may allow for the submittal of Multiple Investigator applications. The applicability of Multiple Investigator applications will be described in the solicitations. For further information, please see the EPA Implementation Plan for Policy on Multiple Principal Investigators (<http://rbm.nih.gov/toolkit.htm>).

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Public nonprofit institutions/organizations (includes public institutions of higher education and hospitals) and private nonprofit institutions/organizations (includes private institutions of higher education and hospitals) located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; and U.S. territories or possessions are eligible to apply. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism. Federal Agencies may not apply. Federal employees

are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program. Not-for-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Profit-making firms are not eligible to receive grants from EPA under this program. See RFAs at: <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

Some solicitations issued under this CFDA may propose early career projects which support new, creative investigators with outstanding promise at the Assistant Professor or equivalent level. Principal investigators from applicant institutions applying for the early career portion of the applicable solicitation must meet the following eligibility requirements:

\*Hold a doctoral degree in a field of science or engineering by the closing date of the solicitation;

\*Be untenured at the closing date of the solicitation;

\*By the award date, be employed in a tenure-track position (or tenure-track-equivalent position) as an assistant professor (or equivalent title) at an institution in the U.S., its territories, or possessions. Note: For a position to be considered a tenure-track-equivalent position, it must meet all of the following requirements: (1) the employing department or organization does not offer tenure; (2) the appointment is a continuing appointment; (3) the appointment has substantial educational responsibilities; and (4) the proposed project relates to the employee's career goals and job responsibilities as well as to the goals of the department/organization.

The purpose of early career projects are to fund research by the early career PI. Senior researchers may collaborate in a supporting role for early career projects. Early career applications should not propose significant resources for senior researchers and may not list senior researchers as co-PIs.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs or RFIPs for grants/cooperative



agreements are announced widely through the Internet, university and scientific organizations, among other mechanisms. Applicants must propose EPA mission relevant research based on excellent science as determined through peer review by experts drawn from the national and international scientific community. Other more specialized scientific areas may be solicited via joint RFAs with other Federal agencies. The STAR program may fund research centers that focus on long-term, multi-disciplinary research. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact the Lead Principal Investigator/Contact Principal Investigator to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded for a minimum of 2 years. Total approved project period may not exceed 5 years. Grants are generally fully funded or incrementally funded (on an annual basis). See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. A grant recipient must agree to provide annual progress reports, with associated summaries for posting on NCER's web site, and a final report with an executive summary for web posting. A grant recipient must agree to provide copies of any peer reviewed journal article(s) resulting from the research during the project period. The recipient also agrees to provide expenditure and invention reports as appropriate. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$38,500,000; FY 09 est \$50,400,000; FY 10 est \$52,400,000

**Range and Average of Financial Assistance:**

New awards range from \$185,000 to \$5,000,000 total per grant and average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications received for the STAR Program - FY 08: 211; FY 09: 70. New awards for the STAR Program - FY 08: 54; FY 09: 22. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2009: Applications received for the STAR Program - FY 08: 211; FY 09: 70. New awards for the STAR Program - FY 08: 54; FY 09: 22. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

William Stelz USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 8721F , Washington, District of Columbia 20460 Email: [stelz.william@epa.gov](mailto:stelz.william@epa.gov) Phone: 202-343-9802

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

66.511 Office of Research and Development Consolidated Research/Training/Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1. Characterize coarse particle (CP) composition and origin and investigate the associations of CP mass concentrations and several health

outcomes in a pair of urban and rural communities.

2. Better understand and predict the health and ecological risks of carbon nanotubes (CNTs).
3. Adapt and validate a rapid and accurate optical fiber-based technology for potentially toxic cyanobacterial species detection and enumeration in both laboratory and field settings.
4. Determine the extent to which the surface chemistry of functionalized nanoscale metal oxides is altered under oxidative and reductive environmental conditions and the degree to which such transformations modify the toxicity of functionalized metal oxide nanoparticles.
5. Establish novel methods to determine the occurrence of waterborne microbial contaminants by combining selected molecular methods using solid phase laser cytometry and fluorescence in situ hybridization techniques (FISH).

See Web Page (<http://www.epa.gov/ncer>) for additional information on previously funded grants under the STAR program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

#### **66.510 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF RESEARCH AND DEVELOPMENT**

##### **FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

##### **AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; National Environmental Policy Act of 1969, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Comprehensive Environmental Response, Compensation, and Liability Act of 1980, Section 311; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Marine Protection, Research, and Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Safe Drinking Water Act, Section 1442, 93 U.S.C 523.

##### **OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels. Funding Priority - Fiscal Year 2009: FY 2009 priorities include conducting air pollutants research, improving the science behind risk assessment, water quality research, drinking water research, research to improve human health and the environment, and research related to Homeland Security. Surveys, studies, and investigations to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, endocrine disrupting chemicals, and pesticides will also be funded under this category. Additionally, this funding priority provides support for conferences relating to the areas above.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance plus allocable portions of

allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

##### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

##### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

##### **Credentials/Documentation:**

The Agency may request that applicants demonstrate they have appropriate background, academic training experience in the field, and the necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance. Costs will be determined in accordance with OMB Circular A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) for grants in these areas are announced widely through the Federal Register, Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

##### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated

in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$3,400,000; FY 09 est \$3,900,000; FY 10 est \$3,900,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$5,000 to \$500,000 and average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 50 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years is not available. Summary results of the research are available on <http://www.epa.gov/researchaccomplishments/>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

Mark J. Thomas U.S. Environmental Protection Agency  
1200 Pennsylvania Ave., Washington, District of Columbia 20460 Email:  
Thomas.Mark@epa.gov Phone: 202-564-4763

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) To investigate methods to manage large floodplain rivers in ways that achieve multiple, sustained benefits by restoring hydrogeomorphic river channel processes in carefully selected locations. 2) This assistance agreement will support a meeting to foster collaborative research among researchers in different States on the effects of ozone on plants, and to find ways to reach out to the public to inform them of the results of this research. 3) This project, through distribution of Pollution Prevention and linked life cycle cost accounting tools, will enable small and medium size businesses located in greater New England to reduce their emission of toxic substances, which will in turn lead to reduced environmental health risks. 4) The goals of this project are to develop and apply a methodology for benchmarking curricula in sustainability engineering and to identify individuals active in sustainability engineering education. The information collected in this project will be available as a resource for faculty at institutions of higher education to enhance the engineering curricula with lessons focused on the environmental impacts associated with the design of products, processes, or systems. 5) This grant studies environmental sustainability issues concerning the need to balance the use of water to meet both human and environmental demands. Funding will support a decision support system (DDS) that will integrate scientific models of ecological water flow needs, water demand management, and water supply planning into a decision-oriented optimization framework that promotes preventive approaches. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. A proposal is judged for (A) scientific merit in terms of quality and originality of the proposed work, the qualifications of the investigator(s), the adequacy of the quality assurance plan, the responsiveness of the proposed needs identified in the RFA, the appropriateness of the proposed budget, and the probability that the project will accomplish stated objectives, and (B) program interest in terms

of the need for the proposed work and a balanced ORD research portfolio. See the Web page for specific criteria.

## **66.511 OFFICE OF RESEARCH AND DEVELOPMENT CONSOLIDATED RESEARCH/TRAINING/FELLOWSHIPS**

### **FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

### **AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 311, Public Law 95-510; Safe Drinking Water Act, Section 1442, Public Law 93-523; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901; Solid Waste Disposal Act, Section 8001; Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251.

### **OBJECTIVES:**

The Office of Research and Development (ORD) supports research and development to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) perform risk assessments to characterize the potential adverse health effects of human exposures to environmental hazards, and (4) the facilitation of training and fellowships in these areas. Investigator initiated grants/cooperative agreements may be funded in broad areas such as environmental chemistry and physics, environmental engineering; and health and ecological effects of pollution. The ORD conducts leading-edge research to provide a solid underpinning of science and technology for the Agency. Applied research builds our understanding of how to protect and enhance the relationship between humans and the ecosystems of earth. ORD conducts a comprehensive research program to protect air, water, land, and human health and ecosystems, to improve environmental compliance and stewardship, and to conduct and promote coordination and acceleration of training for individuals relating the protection and enhancement of the relationship between humans and the ecosystems of earth as well as to improve environmental compliance and stewardship. Funding Priority - Fiscal Year 2009: ORD's research supports EPA's five strategic goals. Brief descriptions of this research are as follows: 1. Clean air research investigates risks associated with exposure to hazardous air pollutants (HAPs) and criteria pollutants, such as particulate matter (PM). Our goal is to work with other Federal and state agencies, major universities and institutions, and the private sector to develop a better understanding of the causes and effects of air pollution, and provide the scientific underpinnings to improve air quality in the U.S. 2. ORD provides the science needed to ensure drinking water is safe and to restore and maintain oceans, watersheds, and aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife. Our water research program provides the science needed for effectively implementing the Safe Drinking Water Act (SDWA) and Amendments and the Clean Water Act (CWA). 3. Preserving land quality and remediating contaminated land is another of ORD's major goals. Left uncontrolled, hazardous and non-hazardous wastes on land can migrate to the air, ground water, and surface water, contaminating drinking water supplies, and threatening healthy ecosystems in urban, rural, and suburban areas. Efforts to preserve and restore land are supported through contaminated sediments and groundwater research. 4. ORD also continues to better understand environmental risks and develop tools and management options for improving environmental conditions. To promote healthy communities and ecosystems, ORD brings together a variety of programs, including human health research, endocrine disrupters research, computational toxicology research, global change research, pesticides and toxic substances research, and research on homeland security, as well as promoting and facilitating training in these areas to stimulate interest among students in careers involving environmental research and to provide hands-on experience. 5. Finally, ORD has developed and evaluated tools and technologies to monitor, prevent, control, and clean up pollution throughout its history. Since the Pollution Prevention Act of 1990, the Agency has increasingly focused on

preventative and sustainable approaches to health and environmental problems. ORD's domestic assistance efforts in this area support research specifically designed to address the issue of advancing sustainability goals EPA's Science and Technology for Sustainability (STS) program.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

### **Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) for grants in these areas are announced widely through the Federal Register, Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD

website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Please refer to Appendix IV for the complete mailing address(es) for the Grants Management Office(s). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$22,300,000; FY 09 est \$20,000,000; FY 10 est \$21,000,000

**Range and Average of Financial Assistance:**

Awards range for new grants/cooperative agreements from \$75,000 to \$950,000, and average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 125 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years is not available. Summary results of the research are available on <http://www.epa.gov/researchaccomplishments>.  
Fiscal Year 2009: An estimated 125 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years is not available. Summary results of the research are available on <http://www.epa.gov/researchaccomplishments>.  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Interim Regulations, Research and Demonstration Grants, Environmental Protection Agency (40 CFR Part 40). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

Mark J. Thomas U.S. Environmental Protection Agency  
1200 Pennsylvania Ave., Washington, District of Columbia 20460 Email: Thomas.Mark@epa.gov Phone: 202-564-4763

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) To improve understanding of the relationship between complex mixtures of environmental air pollutants and human health through the creation and analysis of a database developed by conducting identically designed laboratory studies of a small number of highly complex atmospheres having overlapping, but different, compositions. 2) To address critical questions concerning health risks, toxic metal transformations and pathways, sampling and measurement of toxic metal emissions, predictive modeling, and related toxic metal control technologies. 3) To conduct research and development on hazardous substance waste minimization alternative treatment technologies, and techniques to enhance applications of technologies and technology transfer. 4) This research will (1) evaluate the efficacy of alternative management strategies for the control of insects, nematodes, and weeds that reduce the use of pesticides; (2) characterize the environmental fate of nitrogen and synthetic pesticides using current and alternative pest management strategies; and (3)

develop decision aid models that allow utilization of precise control strategies for weeds, insects and diseases that are environmentally safe. 5) To develop a predictive map of ground level ozone concentrations in the Washington/Baltimore non-attainment area by incorporating landscape characteristics and other remote sensing data into existing predictive models for ozone impacted urban areas. 6) To provide the scientific information, understanding, analyses and methods and protocols needed by states and local governments and various regulatory and management agencies to effectively protect the aquatic and terrestrial environment, the EPA seeks to establish a long term Training Cooperative Partnership with a leading research and teaching institution capable of managing an environmental training program. The purpose of this agreement is to stimulate interest among students in careers involving environmental research and to provide hands-on experience. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. A proposal is judged for (A) scientific merit in terms of quality and originality of the proposed work, the qualifications of the investigator(s), the adequacy of the quality assurance plan, the responsiveness of the proposed research to needs identified in the RFA, the appropriateness of the proposed budget, and the probability that the project will accomplish stated objectives, and (B) program interest in terms of the need for the proposed research and a balanced ORD research portfolio. See the Web page for specific criteria.

#### **66.512 REGIONAL ENVIRONMENTAL MONITORING AND ASSESSMENT PROGRAM (REMAP) RESEARCH PROJECTS FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104.

#### **OBJECTIVES:**

The Regional Environmental Monitoring and Assessment Program (REMAP) is a partnership between the EPA Regional Offices and the Office of Research and Development (ORD) Environmental Monitoring and Assessment Program (EMAP), with the primary goal to build state and tribal capacity for using statistically valid monitoring data for reporting on the condition of their aquatic resources. The goals for REMAP are to transfer EMAP's latest scientific techniques for ecological monitoring to EPA Regions, States, Tribes and local decision makers. ORD works with the EPA Regional Offices to support projects meeting EMAP criteria and that are of importance to needs within the Regions. EMAP support for these projects includes: contributing to development of the scientific design of projects; assistance with the selection and evaluation of appropriate indicators and methods for measurement; application of information management approaches; analysis and interpretation of data; and providing a source of funding. EPA funds projects in each of its 10 Regions. Projects are normally funded for up to 2 years, but longer projects are occasionally supported. Annual announcements reflect priority needs in those Regions where funding will be allocated for new projects. The primary objectives of the solicited research are to provide States and Tribes with methods and approaches for incorporating statistically valid ecological monitoring data into their environmental decision-making process. Project goals are to be consistent with EMAP's probabilistic approach ([www.epa.gov/emap](http://www.epa.gov/emap)) to answer questions about ecological conditions at regional and local levels. Information produced from projects is to be transferable to Regional, State and Tribal water quality monitoring programs and regulatory agencies. Research proposals must address one or more of the following monitoring needs for state and tribal aquatic (headwater streams, lakes, near shore coastal areas, wetlands, Wadeable streams or large rivers) resources: State and Tribal monitoring needs for water quality reporting (CWA Section 305b). Information needed for identifying impaired waters (CWA Section 303d). Using probability information to identify the effectiveness of restoration/remediation efforts. Advancing the science of biological reference condition for establishing biocriteria. Improved tools and approaches for the assessment of aquatic ecosystems. Funding Priority-Fiscal Year 2009. At this time it is not anticipated that there will be a new funding

opportunity for 2009. Available funding will be applied to existing agreements. Funding Priority-Fiscal Year 2010: We do not anticipate that there will be any new funding opportunities for 2010.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Information produced from projects is to be transferable to US EPA Regions, and State and Tribal water quality monitoring programs and regulatory agencies. Data from research results may also be incorporated into larger scale objectives within ORD's EMAP research program. Research projects usually result in geospatial information. In compliance with Executive Order 12906, REMAP data is made available for use throughout all levels of government, the private and non-profit sectors, and the academic community. The goal of this infrastructure is to reduce duplication of effort among agencies, improve quality and reduce costs related to geographic information, to make geographic data more accessible to the public, to increase the benefits of using available data, and to establish key partnerships with states, counties, cities, tribal nations, academia and the private sector to increase data availability. Awards are made in response to announced requests for applications. Funds are awarded via cooperative agreements for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institution, in accordance with the established policies and regulations of EPA. No construction costs are allowed in this agreement. Foreign travel is not allowed unless specifically agreed upon. No large capital equipment items, such as vehicles or boats, will be allowed for purchase under these agreements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Entities that are eligible to receive federal assistance under the Clean Water Act which includes the States, their territories and possessions, local governments and federally recognized U.S. Tribal Nations (40 CFR part 31); institutions of higher education, hospitals, and other non-profit organizations (40 CFR part 30). Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. Nonprofit applicants that are recommended for funding will be subject to pre-award administrative capability reviews consistent with Sections 8.b, 8.c, and 9.d of EPA Order 5700.8. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities, as defined in Section 3 of the Lobbying Disclosure Act of 1995, are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

Applicants are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. Organizations can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or through <http://www.dnb.com>. Applicants are required to submit an Application for Federal assistance and Budget Information (SF-424 AND SF-424A), Assurances for Non-Construction Programs (SF-424B), Certificate regarding lobbying, EPA forms 5700-54 and 4700-4, A project and budget narrative including documents of Environmental Results Past Performance and Programmatic Capability. Other pertinent documentation may be required. A complete description and instructions for application submission will be provided in the funding announcement. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFA's for grants/cooperative agreements are announced widely through the internet, university and scientific organizations, among other mechanisms. Complete application information is provided in the RFA. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days for the application to be approved or disapproved.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects periods and funding is normally on a 2 year basis. Longer projects are occasional supported. Expected project and funding periods will vary between funding priorities and will be identified in the annual funding announcement. EPA reserves the right to fully, incrementally or partially fund a project. See the following for information on how assistance is awarded/released: The assistance is awarded either in a lump sum or in annual increments.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Expenditure reports may be required under this program. This requirement will be identified in the terms and conditions of the agreement. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records, and substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Award recipients must agree to make methods, models, and data resulting from this agreement accessible to the public and to EPA. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain, such as those raised as a result of an audit, following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$770,745; FY 09 est \$384,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The average financial assistance for 2007 awards on new projects was \$384,000. Four awards were made each for that amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The REMAP program has made significant advances and contributions in the development of monitoring and assessment tools and protocols. The technical support and collaborative expertise with ORD has enabled regions to integrate these scientific advances into stakeholder programs. With this assistance and partnership the regions have been able to provide the agency with defensible credible data on environmental condition in a more cost effective and timely manner. REMAP emphasizes that project designs employ the EMAP probabilistic approach. This allows for a statistically-valid and defensible framework to report on the condition of resources which is consistent with EPA's long term goal 1 "Developing statistically-valid and defensible frameworks to assess status and trends of ecosystem condition at national scales". In 2007, 12 eligible applications were received and 4 projects were funded. In FY 2008 no RFA was issued and thus no new applications were received or funded. FY 2008 obligations were placed against those projects approved and funded initially in FY 2007. Current awards, projects, progress reports and any outputs are available on REMAP's home page ([www.epa.gov/emap/remap](http://www.epa.gov/emap/remap)). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA's General Grant Regulations, 40 CFR Part 31; EPA's Interim Regulations, Research and Demonstration Grants, 40 CFR Part 40. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes and OMB Circular No. A-21 for educational institutions.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate ORD or Regional Office listed on REMAP's website at [www.epa.gov/emap/remap](http://www.epa.gov/emap/remap), and listed in the RFA for this program.

**Headquarters Office:**

Jo Thompson U.S. Environmental Protection Agency  
Mid-Continent Ecology Division  
6201 Congdon Boulevard, Duluth, Minnesota 55804 Email:  
[Thompson.jo@epa.gov](mailto:Thompson.jo@epa.gov) Phone: 218-529-5198

**Website Address:**

<http://www.epa.gov/emap/remap/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1. Designing and Implementing a Program to Evaluate New

England's Lakes and Ponds: Currently, there is not a statistically-valid design in place to perform a comprehensive and unbiased assessment of New England lakes and ponds. This study is addressing that need in order to meet 305b reporting requirements and provide information on status and trends of these ecosystems. 2. Validation and Sensitivity Analysis for Rapid Wetland Assessment using Comprehensive Wetland Assessment Data: This project is addressing the need for methods to assess and report on the ecological condition of wetlands in the State of Delaware. 3. A Biological Assessment of the Large Rivers of the Upper Mississippi and Ohio River Basins in Region 5: There is currently no statistically valid method to assess large rivers. This study is developing calibrated biological assessment tools and designing a systematic and standardized approach for the assessment of these large river systems. 4. Developing rigorous assessments for large Pacific Northwest rivers. The purpose of this project is to document the feasibility, logistics, and costs to states of using EMAP indicators and designs to assess the ecological condition, major stressors, and likely human disturbances of entire main-stem rivers in the Pacific Northwest in Region 10. 5. Development of Benthic Indicators for Nearshore Coastal Waters of New Jersey. This study is Developing of an indicator of ecosystem health for the benthic community in the estuarine and nearshore waters of New Jersey in Region 2. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria. Generally, the proposals will be judged for (A) Extent to which projects addresses Regional priority areas identified in the announcement, partnerships and transferability of project results to Regional, State and Tribal stakeholders, and consistency with REMAP objectives and EPA's strategic goals; and (B) Technical issues including the identification of plan for tracking outputs and environmental outcomes and evaluating the applicant's past performance in reporting on outputs and outcomes. Specific criteria and weight of criteria are listed in the annual announcement.

#### **66.513 GREATER RESEARCH OPPORTUNITIES (GRO) FELLOWSHIPS FOR UNDERGRADUATE ENVIRONMENTAL STUDY FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Air Act, Section 103, 42 U.S.C 7403; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Clean Water Act, Section 104, 33 U.S.C 1254; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; National Environmental Policy Act of 1969, Section 102(2)(F); Toxic Substances Control Act, Section 10, 15 U.S.C 2609.

#### **OBJECTIVES:**

The National Center for Environmental Research (NCER) offers undergraduate fellowships to students in environmentally related fields of study. This program is intended to strengthen the environmental research capacity of institutions of higher education that receive limited funding to build such capacity. Funding Priority - Fiscal Year 2009: The Greater Research Opportunities Fellowship Program will support undergraduate fellowships in the following areas: Natural and Life Sciences; Environmental Science and Interdisciplinary; Engineering; Social Sciences and Decision-making; Physical Sciences; Mathematics and Computer Science. The planned course of study must focus on one or more of these areas of environmental significance and must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control.

Graduate fellowships will no longer be offered.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Fellowship awards are made in response to competitive solicitations. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this

program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the United States for permanent residence. Resident aliens must include their green card number in their pre-application. Resident aliens must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security.

The GRO Undergraduate Fellowship is intended for students entering their last two years of study before obtaining a bachelor's degree. The term is for 2 academic years (9 months each) with a required internship during the summer between years. Thus, only students who will be entering their last two years of college will be considered eligible.

Applicants attending fully accredited four year U.S. institutions of higher education are eligible to apply. These schools must be among those that are not highly funded for development of environmental research capacity. For the purposes of this CFDA, EPA considers such institutions to be those listed in the National Science Foundation's publication "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2006," Table 12. Institutions identified as receiving \$35 million or less in annual federal research and development funding as designated in column 2 of Table 12, are eligible. These data can be found at: <http://www.nsf.gov/statistics/nsf09310/pdf/tab12.pdf>. Table 12 is a broad representation of institutions, and includes schools that also receive more than \$35 million annually in Federal research assistance.

Applicants attending eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the U.S. Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs), 13230 (President's Advisory Commission on Educational Excellence for Hispanic Americans), 13256 (White House Initiative on Historically Black Colleges and Universities), and 13270 (Executive Order on Tribal Colleges and Universities), which seek to advance the development of the Nation's full human potential, advance equal opportunity in higher education, strengthen the capacity of these institutions to provide the highest quality education, and increase opportunities for these institutions to participate in and benefit from Federal programs. Note however, that not all of these schools receive less than \$35 million annually in Federal Research and Development expenditures. For specific information regarding Federal funding to minority-serving institutions, see The Extent of Federal S&E Funding to Minority-Serving Institutions, at <http://www.nsf.gov/statistics/infbrief/nsf08316/>.

Regarding students who are attending community college, note that only those that are either four-year baccalaureate-granting institutions with degree programs in one or more eligible academic fields, or two year institutions that grant associate degrees and participate in Articulation Agreements with four-year institutions, are eligible to participate in this fellowship program. An Articulation Agreement is a signed contract between a community or technical college and a four-year college or university that guarantees that a student who earns an associate degree at a participating two-year institution can transfer all of the general education core credits to the four-year institution toward the completion of baccalaureate degree requirements. More information can usually be obtained directly from the institution's Registrar.



Students must be pursuing a bachelor's degree in an environmentally-related field of specialization. Students must have two academic years remaining as of Fall 2010 before receiving a bachelor's degree. Students must have at least a "B" average overall.

Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships.

The term of the undergraduate fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years.

Employees of the U.S. government must be able to prove separation from Federal service before accepting this fellowship.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites pre-applications for undergraduate fellowships in academic disciplines including engineering, environmental science, and physical science. A pre-application provides the information needed for the review of its merit. Following the merit review, top rated applicants will be required to submit a brief formal application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper pre-applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725F); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper pre-applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation); 1025 F Street, NW (Room 3500), Washington, DC 20004, Phone: (202) 233-0686. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$1,500,000; FY 09 est \$1,900,000; FY 10 est \$2,100,000

**Range and Average of Financial Assistance:**

The undergraduate fellowship provides up to \$19,250 per year of academic support and \$8,000 for internship support for a combined total of up to \$46,500 over the life of the fellowship. Awards range from \$31,000 to \$46,500 total per fellowship and average \$38,000 total.

## PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: Applications received for the Greater Research Opportunities Fellowship Program (Undergraduate)- FY 08: 40; FY 09: 0; New awards for the Greater Research Opportunities Fellowship Program (Undergraduate)- FY 08: 15; FY 09: 0.

Abstracts of awards and summary results of the research are available on the NCER homepage: <http://www.epa.gov/ncer>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

### Regional or Local Office:

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

### Headquarters Office:

Georgette Boddie USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 8723F , Washington, District of Columbia 20460 Email:  
[boddie.georgette@epa.gov](mailto:boddie.georgette@epa.gov) Phone: 202-343-9741

### Website Address:

<http://www.epa.gov/ncer>

## RELATED PROGRAMS:

66.514 Science To Achieve Results (STAR) Fellowship Program

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: 1. Determine if exposure to arsenic increases the capacity of chromium to cause human lung cancer. 2. Catalog bacteria present in the air and try to detect, if any, seasonal variations within the bacterial species assuming the types of bacteria in the air might change depending on the season, weather and other environmental changes. 3. Understand how *Batrachochytrium dendrobatidis* (Bd) affects the foraging activity and efficiency of larval anurans with different life histories, how Bd is transmitted between individuals, and the effects of Bd at the population and community levels. 4. Examine TMDL implementation in mixed tribal/non-tribal watersheds. 5. Investigate the impact of septic systems on adjacent surface water quality by examining the ecology and persistence of fecal pollution indicators and pathogens through intensive surface water monitoring. See Web Page (<http://www.epa.gov/ncer>) for information on previously funded projects under the Greater Research Opportunities Fellowship Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

## 66.514 SCIENCE TO ACHIEVE RESULTS (STAR) FELLOWSHIP PROGRAM

### FEDERAL AGENCY:

Office of Research and Development, Environmental Protection Agency

### AUTHORIZATION:

Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Water Act, Section 104, 33 U.S.C 1254; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Clean Air Act, Section 103, 42 U.S.C 7403; National Environmental Policy Act of 1969, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136.

### OBJECTIVES:

The National Center for Environmental Research (NCER), as part of its Science to Achieve Results (STAR) program, offers graduate fellowships for master's and doctoral level students in environmentally related fields of study. The purpose of the fellowship program is to encourage promising students to obtain

advanced degrees and pursue careers in environmentally related fields. This goal is consistent with the mission of EPA, which is to provide leadership in the nation's environmental science, research, education, assessment, restoration, and preservation efforts. This program will benefit both the public and private sectors which will need a steady stream of well-trained environmental specialists if society is to meet the environmental challenges of the future. These fellowships are intended to help defray costs associated with advanced environmentally-oriented study leading to a master's or doctoral degree. Funding Priority - Fiscal Year 2009: The STAR Fellowship Program will support graduate fellowships in the following areas: Global Change; Clean Air; Drinking Water; Water Quality: Hydrogeology & Surface Water; Water Quality: Coastal & Estuarine Processes; Human Health: Public Health Sciences; Human Health: Risk Assessment & Decision Making; Ecosystem Services: Aquatic Systems Ecology; Ecosystem Services: Terrestrial Systems Soil & Plant Ecology; Ecosystem Services: Terrestrial Systems Animal Ecology; Pesticides & Toxic Substances; Land Protection; Science & Technology for Sustainability: Environmental Engineering & Green Chemistry/Materials Science; Science & Technology for Sustainability: Environmental Decision Making; and Emerging Environmental Approaches: Informatics. All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control.

## TYPES OF ASSISTANCE:

PROJECT GRANTS

## USES AND USE RESTRICTIONS:

All STAR fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

## Applicant Eligibility:

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the United States or its territories or possessions, or be lawfully admitted to the United States for permanent residence. Resident aliens must include their green card number in their pre-application. Resident alien applicants must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security. Applicants do not need to be enrolled in or formally accepted in a full-time graduate program at the time they apply for a fellowship, but proof of enrollment or acceptance must be produced prior to the award of the fellowship. Applicants must be pursuing a master's or doctoral degree in an environmental field of specialization at a fully accredited U.S. college or university (based in the U.S. or its territories). Applicants who are in a graduate program at the time of application and meet either of the following two criteria as of October 22, 2009 ARE NOT eligible to receive a fellowship: 1) have completed more than one year in their current master's program; or 2) have completed more than four years in their current doctoral program. However, applicants enrolled in a master's program who intend to pursue a doctoral degree beginning in the fall of 2010 may apply for a doctoral fellowship. This fellowship does preclude receiving other federal fellowships simultaneously. However, acceptance of this fellowship does not necessarily preclude acceptance of another private, state, regional, local, or non-profit scholarship, fellowship, traineeship, or grant aid. Employees of the U.S. government may apply, but must be able to prove separation from Federal service before accepting this fellowship.

## Beneficiary Eligibility:

Individual/Family; Student/Trainee and Graduate Student.

## Credentials/Documentation:

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB

Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites pre-applications for graduate fellowships in academic disciplines relating to environmental research including engineering, public health, and ecological sciences. A pre-application provides the information needed for the review of its merit. Following the merit review, top rated applicants will be required to submit a brief formal application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper pre-applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper pre-applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725F), Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1025 F Street, NW (Room 3500), Washington, DC 20004, Phone: (202) 233-0686. Specific details on the application process is described in the solicitation which is located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a graduate fellowship is negotiated with students and customarily covers a period of 9 to 12 months for each fellowship year. Students seeking a master's degree may be supported for a maximum of two years. Students seeking doctoral degrees may receive support for a maximum of three years, available over a period of four years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement

Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$6,000,000; FY 09 est \$6,800,000; FY 10 est \$7,900,000

**Range and Average of Financial Assistance:**

A maximum of \$74,000 will be provided for master's fellows (two years) and up to \$111,000 (three years) for doctoral fellows. Awards range from \$55,000 to \$111,000 total per fellowship and average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications received for the STAR Fellowship Program- FY 08: 878; FY 09: 0. New Awards for the STAR Fellowship Program- FY 08: 32; FY 09: 17. Abstracts of awards and summary results of the research are available on the NCER homepage: <http://www.epa.gov/ncer>. Fiscal Year 2009: Applications received for the STAR Fellowship Program- FY 08: 878; FY 09: 0. New Awards for the STAR Fellowship Program- FY 08: 32; FY 09: 17. Abstracts of awards and summary results of the research are available on the NCER homepage: <http://www.epa.gov/ncer>. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed in the solicitation. The solicitation is located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

Brandon Jones USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 8726F , Washington, District of Columbia 20460 Email: [jones.brandon@epa.gov](mailto:jones.brandon@epa.gov) Phone: 202-343-9850

**Website Address:**

<http://www.epa.gov/ncer>

#### **RELATED PROGRAMS:**

66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1. . Identify and study bacterial survival mechanisms using genomic tools to study genes important to survival of model bacteria, including *Escherichia coli* and *Mycobacterium avium* in drinking water systems. 2. Investigate what factors affect mercury levels and transport within streams in Shenandah National Park. 3. Determine the ability of bacteria in soil to degrade natural and man-made toxic chemicals. 4. Examine the movement and treatment of important technological metals within industrial and municipal waste streams. Produce multi-level spatial maps that quantify the mass of metal flows, energy use and greenhouse gas emissions associated with metal recovery and toxicity associated with metal loss. 5. Test advanced treatment process removal efficiencies of natural and synthetic endocrine disruptors from drinking water while monitoring byproduct formation.

See Web Page (<http://www.epa.gov/ncer>) for additional information on previously funded projects under the STAR Fellowship Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for this RFA.

#### **66.516 P3 AWARD: NATIONAL STUDENT DESIGN COMPETITION FOR SUSTAINABILITY**

##### **FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Air Act, Section 103, 42 U.S.C 7403; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Water Act, Section 104, 33 U.S.C 1254; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981.

##### **OBJECTIVES:**

EPA offers this competition to respond to the technical needs of the developed and developing world in moving towards the goal of sustainability. P3 highlights people, prosperity, and the planet the three pillars of sustainability as the next step beyond P2 or pollution prevention. The P3 Award program is a partnership between the public and private sectors to progress toward sustainability by achieving the mutual goals of economic prosperity, protection of the natural systems of the planet, and providing a higher quality of life for its people. Funding Priority - Fiscal Year 2009: Funding Priority - Fiscal Year 2009: The United States Environmental Protection Agency (EPA) invites submissions to the P3 Award: A National Student Design Competition for Sustainability. The P3 competition will provide grants to teams of college students to research, develop, and design solutions to challenges to sustainability.

The P3 Award Program is composed of two phases that award grants on a competitive basis. The first phase of the P3 Award Program is a competition for one-year grants of up to \$10,000 to test scientific hypotheses and principles by developing scientific or engineering designs that will promote sustainable development. Challenges from a wide range of categories will be considered. These include: Agriculture (e.g., reduction or elimination of pesticides); Materials and Chemicals (e.g., materials conservation; renewable, bio-based feedstocks; inherently benign materials and chemicals through green engineering and green chemistry; biotechnology; recovery and reuse of materials through product, process, or system design); Energy (e.g., reduction in air emissions through innovative strategies for energy production and energy distribution; energy conservation; inherently benign energy through green chemistry, green engineering; biotechnology); Information Technology (e.g., delivery of and access to environmental performance, technical, educational, or public health information related to environmental decision-making); Water

(e.g., water quality or conservation, drinking water treatment and supply); and Built Environment (e.g., environmental benefits through innovative green buildings, transportation and mobility strategies, and smart growth as it results in reduced vehicle miles traveled or reduces storm water runoff).

In the spring following Phase I grant awards, Phase I grantees are required to present their designs at the annual National Sustainable Design Expo on the National Mall in Washington, DC where they will have an opportunity to compete for Phase II grant awards of up to \$75,000. The Phase II grant awards are to support the demonstration and further development of the sustainability designs created in the first phase of the program. The competitors for the P3 Phase II grants will be limited to those selected to receive support as a result of the Phase I competition. Additional instructions for the Phase II proposals, which will be due approximately 8 months after the Phase I grants are awarded, will be distributed to Phase I recipients following award of the Phase I grants. Those projects identified for receipt of a Phase II grant are also recognized as "P3 Award".

##### **TYPES OF ASSISTANCE:**

###### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

Awards are made in response to an announced competitive request for applications (RFA). Funds awarded via grant agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

##### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Public nonprofit institutions/organizations (limited to degree-granting public institutions of higher education) and private nonprofit institutions/organizations (limited to degree-granting private institutions of higher education) located in the U.S. are eligible to apply to be the recipient of a grant to support teams of undergraduate and/or graduate students. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program. The students on the teams supported by the institution receiving the grant must be enrolled in the college, university, or post-secondary educational institution they will be representing at the time the proposal is submitted. Institutions are allowed to submit more than one application where each application represents a unique design concept and student team. For the purposes of grant administration, the team's faculty advisor will be designated the Principal Investigator throughout the P3 grant award and competition process. In addition to the Principal Investigator, each team selected for award will also be asked to provide contact information for a student lead.

Eligible nonprofit organizations include research institutes, corporations, or foundations that are part of a U.S. institution of higher education. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent

FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector. Examples are purchase of satellite data, census data tapes, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

Interdisciplinary teams, including representatives from multiple engineering departments and/or departments of chemistry, architecture, industrial design, business, economics, policy, social science, and others, are strongly encouraged to submit an application through their institution.

Collaboration with colleges and universities outside the United States is permitted, but only U.S. institutions will be eligible for awards. Up to 40% of the total grant may be sub-awarded to another educational institution (domestic or foreign) as described in instructions for submitting to this RFA. If foreign work will be performed, in the process of funding the grant, EPA's Office of Research and Development is required to obtain clearance from EPA's Office of International Activities and the U.S. Department of State.

See RFA at: <http://es.epa.gov/ncer/p3/> for additional information pertaining to eligibility requirements.

**Beneficiary Eligibility:**

Public Nonprofit Institutions/Organizations, Private Nonprofit Institutions/Organizations, Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

**Credentials/Documentation:**

EPA may request that students document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask principal investigators for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Specific details on the application process is described in the solicitation which is located at: <http://es.epa.gov/ncer/p3/>. Applicants may be able to use <http://www.grants.gov>

to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

P3 Awards will be fully funded. Project period for Phase I will normally not exceed 1 year. Project period for Phase II will normally not exceed 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Phase I Report, Phase II report, and invention reports as appropriate. No cash reports are required. Phase II awards require progress reports. No expenditure reports are required. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 are applicable. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$1,900,000; FY 09 est \$1,065,000; FY 10 est \$1,065,000

**Range and Average of Financial Assistance:**

Phase I Awards range from \$7,000 to \$10,000. Average awards total \$9,800.  
Phase II Awards range from \$35,000 to \$75,000. Average awards total \$69,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Applications received for the P3 Phase I Award- FY 08: 110; FY 09: 88. New awards for the P3 Phase I Award: FY 08: 56; FY 09: 0. Applications received for the P3 Phase II Award- FY 08: 50; FY 09: 41. New awards for the P3 Phase II Award: FY 08: 6; FY 09: 0. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage: <http://es.epa.gov/ncer/p3/past/index.html>. Fiscal Year 2009: Applications received for the P3 Phase I Award- FY 08: 110; FY 09: 88. New awards for the P3 Phase I Award: FY 08: 56; FY 09: 0. Applications received for the P3 Phase II Award- FY 08: 50; FY 09: 41. New awards for the P3 Phase II Award: FY 08: 6; FY 09: 0. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage: <http://es.epa.gov/ncer/p3/past/index.html>. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30) and Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the solicitation. The solicitation may be found at: <http://es.epa.gov/ncer/p3>.

**Headquarters Office:**

Cynthia Nolt-Helms USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 8722F, Washington, District of Columbia 20460 Email: [nolt-helms.cynthia@epa.gov](mailto:nolt-helms.cynthia@epa.gov) Phone: 202-343-9693

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1. Quantify and increase awareness of storm water runoff impacts through the development and demonstration of new hydrologic sustainability metrics and increase the hydrologic sustainability of the Texas A&M University campus. 2. Development of biomimetic and enzyme catalysts for production of chemical products with lowered environmental impact, and development of bioremediation agents (biomimetic catalysts or designer-enzymes) to reduce pollution. 3. Estimate the actual effect of the consumption of untreated contaminated water on the social, health and economic situation in poor rural zones of Mexico and demonstrate that Solar Disinfection (SODIS) of drinking water, an effective and acceptable intervention against waterborne disease, can be improved by novel modifications. 4. Develop an environmental design for Southwestern Detroit to reduce effects of particulate matter. 5. Address the challenge of toxic waste in the pharmaceutical industry by experimenting with a methodology for harvesting the sun's ultraviolet radiation to develop green chemistry pharmaceutical manufacturing processes.

See Web Page (<http://es.epa.gov/ncer/p3/past/index.html>) for additional information on previously funded grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://es.epa.gov/ncer/p3>) for additional information on the evaluative criteria for this RFA.

**66.517 REGIONAL APPLIED RESEARCH EFFORTS (RARE)****FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 95-510; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act of 1969, Section 102(2)(F); Marine Protection, Research, and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20&23, Public Law 92-516, 7 U.S.C 136r&136u; Safe Drinking Water Act, Section 1442, Public Law 93-523; Solid Waste Disposal Act, Section 8001; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels. Funding Priority - Fiscal Year 2009: FY 2009 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate and effective pollution control techniques will all be funded under this category. Funding Priority - Fiscal Year 2010: FY 2010 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate and effective pollution control techniques will all be funded under this category.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Scientists/Researchers, Hospitals, and Individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When, applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate laboratory, center or office within ORD specified in the announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals and extensions are available under the discretion of the appropriate Regional Science Liaison (RSL) to ORD.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. A discussion of expenditures is required in progress reports under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$402,655; FY 09 est \$500,000; FY 10 est \$600,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$50,000 to \$200,000 and average \$83,739.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 4 grants/cooperative agreements were made in FY 2008. Contact the Regional Science Liaison of the specific region for the results of the research. Fiscal Year 2009: An estimated 6 grant/cooperative agreements will be made in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31). "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis and "EPA and the Academic Community, Solicitation for Grant Proposals."

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Tia Rush USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 8104R, Washington, District of Columbia 20460 Email:  
[Rush.Tia@epa.gov](mailto:Rush.Tia@epa.gov) Phone: 202-564-5709

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) This project will consist in evaluating commercially available, rapid, economical immunoassays for detection of PCBs in caulking and ventilation system dust. A quantitative PCB immunoassay developed by ORD's Human Exposure and Atmospheric Sciences Division will also be evaluated. Assays performing favorably would be further tested in buildings testing positive for PCBs in caulk to assess whether ventilation dust can be correlated with air sampling methodologies. 2) This project will include conducting a side-by-side comparison between an integrated network approach and the conventional horizontal Flow Gravel Pre-filtration/Slow Sand Filtration approach and examine behavior and costs associated with such water filtration technologies in natural watershed conditions. The project could contribute to finding a solution to the problem of filtration for small rural communities who

receive water from surface sources in a tropical climate. The goal would be to reduce their risks for waterborne diseases and help them comply with the Surface Water Treatment Rule (SWTR). 3) This project is intended to help MS4s develop, select and implement a storm water management plan that effectively addresses TMDL requirements and achieves water quality improvement. The project relies upon existing watershed improvement initiatives and will simply augment what is already being accomplished at the project site in order to better enable EPA to demonstrate environmental results. Due to the great length of time anticipated to achieve TMDL WLAs and water quality standards, interim measures or indices may be used in order to detect improvement in the first two years of the project. This project will ultimately incorporate outreach to MS4s and States to educate them about methods and techniques that can be employed to reach TMDL goals and water quality standards. 4) The use of infrared technology for the discovery of hydrocarbon leaks along pipeline routes has been used for many years. EPA has partnered with LDEQ to test this proven technology to discern if it can determine the amount of leaking organic vapors from the barges and railcars traversing along the Mississippi River industrial corridor. With the use of the HAWK surveying instrumentation from a helicopter flying low over the pipelines, barges and railcars, and tying that information into LDEQ's existing GIS databases, we hope to be able to immediately identify the leakers and have them repaired. This information will also be invaluable in determining if the existing regulations are sufficient to protect the environment and the public from unauthorized releases of hazardous chemicals. 5) This project will focus on (1) reviewing available databases and literature to compare species assemblages and invasion histories across Pacific estuaries relative to shipping patterns; (2) determining patterns of genetic diversity across invasive populations of Smooth Cordgrass and European Green Crab sampled from California, Oregon, and/or Washington to determine whether populations originated from San Francisco Bay; and (3) developing molecular genetic screening tools to determine whether European Green Crabs and Chinese mitten crabs are being carried in ballast originating from San Francisco Bay. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**66.518 STATE SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM**

(SSEE)

**FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C 4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to State environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship. Funding Priority - Fiscal Year 2009: The Environmental Programs Assistance Act of 1984 (Public Law 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical. Funding Priority - Fiscal Year 2010: The Environmental Programs Assistance Act of 1984 (Public Law 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965."

These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State and local environmental agencies for projects of pollution prevention, abatement, and control."

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

State environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Manager, SEE Program, Office of Human Resources, Program Management and Communications Staff (3605A), Washington, DC 20460.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations and to program objectives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is awarded throughout the life of the Agreement



to support ongoing activities.

**Reports:**

No program reports are required. Yes, on a quarterly schedule. Progress reports are required on a quarterly schedule. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Performance monitoring is required as a normal part of Project Officer Post Award Monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$399,851; FY 09 est \$500,000; FY 10 est \$500,000 - The vast majority of the funds in this CFDA are not Recover Act. Approximately 1 percent of the funding could be obligated as Recovery and Reinvestment Act. Obligations are for Salaries and Expenses.

**Range and Average of Financial Assistance:**

New awards and amendments: FY 2008, \$41,251 - \$258,600; Average \$133,283; FY 2009 estimated range \$100,000 - \$270,000; Estimated Averages \$185,000; FY 2010, estimated range \$40,000 - \$250,00; Average \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, two cooperative agreements were continued. Fiscal Year 2009: In Fiscal Year 2009, two cooperative agreements will continue to be administered. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Director SEE Program (3661A), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, 1200 Pennsylvania Ave., N.W., Washington DC 20460. Telephone: (202) 564-0410 Fax: (202) 564-0735; E-mail: street.susan@epa.gov.

**Headquarters Office:**

Susan Street SEE Program (3605A), Environmental Protection Agency Office of Administration and Resources Management 1200 Pennsylvania Ave, N.W, Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410

**Website Address:**

<http://epa.gov/epahrist/see/brochure> .

**RELATED PROGRAMS:**

66.508 Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Focus is on State level programs. Similar programs conducted at the Federal level provided to senior citizens to do national non-agricultural pesticide surveys, monitor for asbestos compliance in schools, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and general administrative and clerical tasks. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.600 ENVIRONMENTAL PROTECTION CONSOLIDATED GRANTS FOR THE INSULAR AREAS - PROGRAM SUPPORT**

(Consolidated Program Support Grants)

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 23(a)(1)&(a)(2); Toxic Substances Control Act, Section 28(a),404(g); Solid Waste Disposal Act, 42 U.S.C 6908; Pollution Prevention Act, Section 6605; Clean Water Act, Section 104(b)(3)&106; National Environmental Policy Act, Section 102(2)(F); Omnibus Territories Act , 48 U.S.C 1469; Safe Drinking Water Act, Section 1443(a)&1443(b); Clean Water Act, Section 205(g)&205(j)2; Toxic Substances Control Act, Section 306; Clean Water Act, Section 319(h).

**OBJECTIVES:**

The consolidated program support grant is an alternative assistance delivery mechanism which allows an Insular Territory responsible for continuing pollution control programs to develop an integrated approach to pollution control. An agency eligible for assistance for two or more pollution control programs may consolidate its assistance requests into a single application and receive a single consolidated award in an effort to reduce administrative and application costs. The consolidated grants program does not represent funding in addition to grants provided under individual authorities, but merely represents the amount of consolidation taking place within the Agency's total grant appropriations. Funding Priority - Fiscal Year 2009: To provide technical and managerial support in relation to our consolidated environmental program grants for the protection of public health and welfare in the Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands (hereinafter referred to as "Insular Areas.") Funding priorities for the fiscal year include: 1) Clean and Safe Water: (a) Safe Drinking Water - To provide on-site technical assistance, training, funding towards building capacity at water utilities and environmental protection agencies, and addressing funding shortages for drinking water infrastructure improvements. We will work with DOI's Office of Insular Affairs and other federal agencies to explore ways of addressing the growing gap between available federal funding and the capital needs for sound infrastructure (b) Clean Water - To provide on-site technical assistance, training, funding, capacity building to utilities and environmental agencies for construction of wastewater treatment facilities; to assist government agencies in the development of surveillance, monitoring, and enforcement programs for streams, lakes, marine water, marine sediment, and coral reef protection through our comprehensive Watershed Management program that protects human health and the environment. 2) Preserve Land: To provide on-site technical assistance, training, and information exchange with other governments and international agencies to establish a regional recycling program that would reduce waste and the need for landfill area and eliminate possible incineration; to continue to inspections and establish training to prevent petroleum releases by working with environmental agencies, utilities, and Department of Defense by instituting comprehensive training, inspection, and on scene coordination concerning emergency responses. 3) Health Communities and Ecosystems: Reduce chemical and biological risks - To provide on-site technical assistance, training, capacity building, funding to eliminate the exposure to hazardous and nonhazardous chemicals, toxic waste, and pesticides for the protection of public health and the environment. Assist government with the removal and remediation of toxic and pesticide wastes; eliminate the illegal importation and improper use of pesticides; promote

sustainable development; provide an information exchange and partnership for the utilization of international treaties regarding the transport and disposal of hazardous materials and waste. 4) Compliance and Environmental Stewardship: To provide on-site technical assistance, training, capacity building, and funding to continue to establish and develop key partnerships with territorial government agencies and federal agencies for enforcement issues concerning land based pollution, illegal toxic releases, and protection of the marine environment. As a result of EPA's continuing leadership and on-site assistance, the territorial governments look to EPA as a leader for all issues concerning environmental management and protection. Funding Priority - Fiscal Year 2010: To provide technical and managerial support in relation to our consolidated environmental program grants for the protection of public health and welfare in the Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands (hereinafter referred to as "Insular Areas.") Funding priorities for the fiscal year include: 1) Clean and Safe Water: (a) Safe Drinking Water - To provide on-site technical assistance, training, funding towards building capacity at water utilities and environmental protection agencies, and addressing funding shortages for drinking water infrastructure improvements. We will work with DOI's Office of Insular Affairs and other federal agencies to explore ways of addressing the growing gap between available federal funding and the capital needs for sound infrastructure (b) Clean Water - To provide on-site technical assistance, training, funding, capacity building to utilities and environmental agencies for construction of wastewater treatment facilities; to assist government agencies in the development of surveillance, monitoring, and enforcement programs for streams, lakes, marine water, marine sediment, and coral reef protection through our comprehensive Watershed Management program that protects human health and the environment. 2) Preserve Land: To provide on-site technical assistance, training, and information exchange with other governments and international agencies to establish a regional recycling program that would reduce waste and the need for landfill area and eliminate possible incineration; to continue to inspections and establish training to prevent petroleum releases by working with environmental agencies, utilities, and Department of Defense by instituting comprehensive training, inspection, and on scene coordination concerning emergency responses. 3) Health Communities and Ecosystems: Reduce chemical and biological risks - To provide on-site technical assistance, training, capacity building, funding to eliminate the exposure to hazardous and nonhazardous chemicals, toxic waste, and pesticides for the protection of public health and the environment. Assist government with the removal and remediation of toxic and pesticide wastes; eliminate the illegal importation and improper use of pesticides; promote sustainable development; provide an information exchange and partnership for the utilization of international treaties regarding the transport and disposal of hazardous materials and waste. 4) Compliance and Environmental Stewardship: To provide on-site technical assistance, training, capacity building, and funding to continue to establish and develop key partnerships with territorial government agencies and federal agencies for enforcement issues concerning land based pollution, illegal toxic releases, and protection of the marine environment. As a result of EPA's continuing leadership and on-site assistance, the territorial governments look to EPA as a leader for all issues concerning environmental management and protection.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are awarded to Insular Area agencies under the above referenced authorities to provide technical and managerial support in relation to continuing environmental program grants that serve to protect the public health and welfare of the Insular Areas.

**Applicant Eligibility:**

The Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands are eligible to receive and administer funds for more than one environmental program. For certain competitive funding opportunities under this description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The Territories of Guam, American Samoa, the Virgin Islands, and the

Commonwealth of the Northern Mariana Islands.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication communications should be directed to the appropriate EPA Regional office. An applicant should consult the Regional office or official designated as the single point of contact for their Insular Area for more information on the process the Insular Area needs to follow when applying for assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. U.S. Insular area agencies will be notified to submit grant application packages identifying required forms including a work plan. The application package should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

U.S. Insular area agencies will be notified of Federal assistance awards through the appropriate EPA Regional Office. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements may be waived by the Agency pursuant to the Omnibus Territories Act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for a 1-year or longer period. The Automated Standard Application for Payments (ASAP) is the preferred payment method. See the following for information on how assistance is awarded/released: Assistance is awarded as fiscal year program funds become available. Typically 2-3 awards/amendments are made per year.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly and final performance reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - 40 CFR Part 31. Additionally, progress reporting by the Insular Area agency and performance monitoring by EPA will be the minimum necessary for sound program management. Reporting requirements may vary with each Insular Area agency depending upon the specific agency's demonstrated management abilities. A financial status report is required within 90 days of the end of the budget period. Program Reports are required. Cash Reports are required. Progress Reports are required. Expenditure Reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

All records including documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If any litigation, claim or audit is started before the end of the 3-year period, the records must be retained until the litigations, claims or audit findings have been resolved.

**Account Identification:**

20-8145-0-7-304; 68-0103-0-1-304; 68-0108-0-1-304; 20-8153-0-7-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$7,947,730; FY 09 est \$8,500,000; FY 10 est \$8,500,000

**Range and Average of Financial Assistance:**

In general, financial assistance has increased annually depending on program funding that is consolidated into the grant. Financial assistance has generally ranged from \$2,000,000 to \$4,000,000/territory/fiscal year. The total estimated average is \$8,500,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Island environmental agencies have significantly bolstered water, air, RCRA, superfund, and pesticides programs through the consolidated grants. The grants have allowed island governments to focus on environmental results without being overly burdened by administering multiple smaller grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 40 CFR Part 35, Subpart A, Environmental Program Grants; EPA annual Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. EPA Region 2 Contact: Victor M. Trinidad, Chief, Environmental Management Branch, EPA Region 2, Caribbean Environmental Protection Division, Centro Europa Building, Suite 417, 1492 Ponce de Leon Avenue, San Juan, Puerto Rico 00907-4127; Phone: (787) 977-5870; FAX: (787) 729-7747; EPA Region 9 Contacts: Alba Espitia, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3667; Fax: 415-947-3556; E-mail: espitia.alba@epa.gov; CNMI and American Samoa: Renee Chan, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3675; Fax: 415-947-3556; E-mail: chan.renee@epa.gov.

**Headquarters Office:**

Alba Espitia Grants Management Office (PMD-7)  
U.S. EPA Region 9  
75 Hawthorne St., San Francisco, California 94105 Email:  
espitia.alba@epa.gov Phone: 415-972-3667

**Website Address:**

<http://www.epa.gov/region9/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have been funded which combined as few as two to several eligible programs. Environmental program grants are awarded annually to Insular Area agencies which consolidate a number of different program funds. In FY04 a grant was awarded to a territorial utility agency which

consolidated grant funds to support a water resources master plan project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be approved if: (1) funds are available; (2) if the application satisfies the requirements of 40 CFR Parts 31 and 35 and applicable statutes; and (3) if the proposed work program is feasible and compatible with the program priorities in EPA annual guidance. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.604 ENVIRONMENTAL JUSTICE SMALL GRANT PROGRAM (EJSG)**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b)(3); Clean Water Act, Section 104(b)(3); Toxic Substances Control Act, Section 10(a); Marine Protection, Research, and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Safe Drinking Water Act, Section 1442(b)(3).

**OBJECTIVES:**

The primary purposes of proposed projects should be to develop a comprehensive understanding of environmental and public health issues, identify ways to address these issues at the local level, and educate and empower the community. The long-term goals of the program are to help build the capacity of the affected community and create self-sustaining, community-based partnerships that will continue to improve local environments in the future. Funding Priority - Fiscal Year 2009: This program is not being funded in FY 2009. Funding Priority - Fiscal Year 2010: An estimated \$1,500,000 will be used to support non-profit organizations with activities that address environmental justice and climate change concerns, including but not limited to: (1) reducing asthma attacks; (2) reducing exposure to air toxics; (3) increasing compliance with regulations; (4) reducing the incidence of elevated blood lead levels; (5) creating green jobs; (6) energy efficiencies; (7) reducing carbon emissions and (8) green business.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, and investigations plus allowable direct costs in accordance with established EPA policies and procedures. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. An eligible applicant MUST BE: (1) a 501(c)(3) non-profit organization as designated by the Internal Revenue Service; (2) a non-profit organization, recognized by the state, territory, commonwealth, or tribe in which it is located; (3) a city, township, county government; OR (4) a Native American tribal government (Federally recognized) (AND) (5) located within the same state, territory, commonwealth, or tribe that the proposed project will be located. In addition, an eligible applicant must be able to demonstrate that it has worked directly with, or provided services to, the affected community. An "affected community" for the purposes of this assistance agreement program, is a community that is disproportionately impacted by environmental harms and

risks and has a local environmental and public health issue that is identified in the proposal. The following entities are INELIGIBLE: colleges and universities; hospitals; state governments; quasi-governmental entities (e.g., water districts, utilities)\*; national, multi-state, or state-wide organizations with chapters; and non-profit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995. Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

**Beneficiary Eligibility:**

Non-Profit organizations and local government organizations as described in 081 above.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations and OMB Circular A-102 for local governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the U.S. Environmental Protection Agency, Office of Environmental Justice, Mail Code 2201A, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified under Information Contacts. Detailed information and assistance including an application may also be found at <http://www.epa.gov/compliance/environmentaljustice/grants/index.html>. For grant awards, Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for training, research, surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project grant will be awarded for a 1 year project period. Activities must be completed within the timeframe of the project's budget period and all grants will be fully funded at the time of award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the Financial Status Report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$800,000; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,000/fiscal year; FY 08 average \$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 120 applications were received and it is anticipated that approximately 40 awards will be granted. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 30.

**Regional or Local Office:**

See Regional Agency Offices. Region I Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Kwabena Kyei-Aboagye (617) 918-1609, [Kyei-Aboagye.Kwabena@epa.gov](mailto:Kyei-Aboagye.Kwabena@epa.gov), USEPA Region I (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Secondary Contact: Sires Rivers (617) 918-1343, [rivers.sires@epa.gov](mailto:rivers.sires@epa.gov). Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact:

Terry Wesley (212) 637-5027, wesley.terry@epa.gov, USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov, USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404) 562-9650, barlow.elvie@epa.gov, USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Secondary Contact: Nelda Perez (214) 665-2209, perez.nelda@epa.gov. Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, mos.es.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556, belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844, henry.karen@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, grass.running@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

#### Headquarters Office:

Sheila Lewis Office of Environmental Justice, (2201A)  
Environmental Protection Agency  
1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: lewis.sheila@epa.gov Phone: (202) 564-0152

#### Website Address:

[http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

#### RELATED PROGRAMS:

66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice

#### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: 1) Training of two environmental youth organizations to identify and categorize contamination levels at key sites along the creek using available site histories and local knowledge. Based on the type and level of contamination, the groups will research and identify best practices for remediation of those sites as well as determine possible liability issues. Students will research policy barriers preventing the transfer of control over the identified sites to partners wishing to create public open space on the site. 2) Development of a health communication model which will provide information about ways to prevent exposure and reduce risk from the harm associated with the organic, chemical and heavy metal compounds/ substances found in fish and seafood from an Estuary System. The goals of the research will be to gather the necessary cultural data to: (1) increase awareness of fish contamination and prevention measures; (2) isolate data gaps in the information about the complex socio-cultural environment of fish consumption among the resident population; (3) develop a collaborative relationship between public health researchers, community advocates, and health care professionals serving the affected communities, and (4) acquire the information needed to foster behavior changes among the vulnerable populations at risk from potential exposure(s); 5) Creation of a one-hour documentary and two 20-minute documentaries on the environmental concerns associated with three copper mines including the history of the mines and the combined work of citizens and the EPA to clean up the mines; 6) Construction of a safe, affordable off-ground garden structure and share its designs and curriculum with local educators and community members wanting safe alternatives to deal with environmental and public health issues at the site. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### 66.605 PERFORMANCE PARTNERSHIP GRANTS

(PPGs)

#### FEDERAL AGENCY:

Office of the Administrator, Environmental Protection Agency

#### AUTHORIZATION:

Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

#### OBJECTIVES:

Improving EPA's partnership with the states and tribes is critical to accelerating environmental outcomes. Performance Partnership Grants (PPGs) are the cornerstone of the National Environmental Performance Partnership System (NEPPS) EPA's strategy to strengthen partnerships and build a results-based management system. PPGs are innovative grant delivery tools that allow states and tribes to combine up to 20 eligible STAG program grants into a single grant with a single budget. PPGs can reduce administrative transaction costs, provide the flexibility to direct resources toward the highest priority environmental problems, and support cross-media approaches and initiatives. EPA's overarching goal is to optimize the leveraging power of PPGs to strategically focus on the joint priorities of EPA, states and Tribes. PPGs do not include any funding in addition to the state and tribal assistance grants provided under other statutory authorities. Funding Priority - Fiscal Year 2009: The Agency's ongoing goals for the PPG program are to: (1) strengthen partnerships between EPA, the state, tribes, and interstate agencies through joint planning and priority setting to deploy resources more effectively; (2) provide states, tribes, and interstate agencies with the flexibility to direct resources where they are needed most to address environmental and public health priorities; (3) link program activities more effectively with environmental and public health goals and environmental outcomes; (4) foster implementation of innovative approaches such as pollution prevention, ecosystem management, and community-based environmental protection strategies; and (5) provide savings by streamlining administrative requirements. In FY 2009, the Agency will continue to implement its joint initiative with states to maximize the use and benefits of Performance Partnership Grants. Through this initiative, EPA will work with volunteer states to: address real or perceived barriers to PPGs that are within EPA's purview; promptly elevate and carefully consider policy issues and, wherever possible, resolve them in favor of providing flexibility; and, test ways to accommodate multi-media projects and alternative priorities and approaches in accountability and management systems.

#### TYPES OF ASSISTANCE:

FORMULA GRANTS; PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

PPGs are a type of modified block grant, where recipients may combine funds from categorical grants to accomplish their joint and several purposes, so long as recipients meet program requirements for each categorical grant combined into the PPG. The 20 categorical grants eligible for PPGs are a mixture of continuing program grants and competitive project grants. Eligible recipients can combine two or more of the following 20 categorical grants programs identified in EPA's FY 2009 state and Tribal Assistance Grants (STAG) appropriation into a PPG: (1) Air Pollution Control (Clean Air Act [CAA] Section 105); (2) Water Pollution Control (Clean Water Act [CWA] Section 106); (3) Nonpoint Source Management (CWA Section 319); (4) Water Quality Cooperative Agreements (CWA Section 104(b)(3)); (5) Wetlands Program Development (CWA Section 104(b)(3)); (6) Public Water System Supervision (Safe Drinking Water Act [SDWA] Sections 1443(a) and 1451(a)(3)); (7) Underground Water Source Protection (SDWA Section 1443(b)); (8) Hazardous Waste Management (Solid Waste Disposal Act, Section 3011(a)); (9) Underground Storage Tank (Solid Waste Disposal Act, Section 2007(f)(2)); (10) Radon Assessment and Mitigation (Toxic Substances Control Act [TSCA] Section 306); (11) Lead-based Paint Activities (TSCA Section 404(g)); (12) Toxic Substances compliance monitoring (TSCA Section 28); (13) Pollution

Prevention Incentives for states (Pollution Prevention Act [PPA] Section 6605); (14) Pesticide Cooperative Enforcement (Federal Insecticide, Fungicide, and Rodenticide Act [FIFRA] Section 23(a)(1)); (15) Pesticides and program implementation (FIFRA Section 23(a)(1)); (16) Pesticide Applicator Certification and Training (FIFRA Section 23 (a)(2)); (17) Environmental Information Network Exchange Grants (Consolidated Appropriations Resolution for the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies of 2003, Public Law 108-7; Consolidated Appropriations Act of 2004, Public Law 108-199); (18) Brownfields state and Tribal Response Program Grants (Comprehensive Environmental Response, Compensation, and Liability Act of 1980 [CERCLA], Section 128(a), as amended; Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act); (19) Capacity Building Grants and Cooperative Agreements for states and Tribes (CWA, Section 104; FIFRA, Section 20; CAA, Section 103; Solid Waste Disposal Act, Section 8001; SDWA, Section 1442; TSCA, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; CERCLA, Section 311; National Environmental Policy Act [NEPA], Section 102(2)(F) [for international awards]; and (20) General Assistance Grants to Indian Tribes (Indian Environmental General Assistance Program Act of 1992) only eligible tribes can propose to include these funds in a PPG application. Recipients may use PPGs to fund activities that are within the cumulative eligibilities of the 20 categorical grants programs listed above for which they are eligible. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

All states, interstate agencies, U.S. territories, and federally recognized Indian tribes eligible to receive more than one of the 20 categorical grants program referred to in "Uses and Use Restrictions" above are eligible to apply for PPGs. Any duly authorized state or tribal entity that currently receives or is eligible to receive EPA categorical program grants may request a PPG for the funds it administers. This may include agencies other than environmental agencies (for example, agricultural and health agencies), where authorized by state or tribal law. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, U.S. territories, federally recognized Indian tribal governments, and interstate agencies.

**Credentials/Documentation:**

All recipients are agencies of state, local, tribal, or territorial governments. All documentation requirements for recipients are presented at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 40 CFR Part 35, "State and Local Assistance." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants interested in pursuing PPGs should coordinate with their appropriate EPA Regional Office to develop a PPG through joint negotiations. (See Appendix IV of the Catalog.) Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for applications should be made to the appropriate EPA Regional Grants Management Office.

Applicants will negotiate the content of their PPG with their EPA Regional Office and submit an application for the PPG based on these negotiations. Applicants for PPGs must submit an "Application for Federal Assistance: State and Local Non-Construction Programs," (Standard Form 424), including the required supporting documents. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office, and if approved, awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. After the applicant is chosen for the competitive award, the applicant will work with the EPA regional office to add those competitive grant funds to the PPG. The workplan and supporting documentation that were the basis of the competitive award also will be added to the PPG.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Major portions of the PPGs are by statutory formula. The allocation for a PPG consists of the cumulative allocations for the categorical grants included in the PPG. Recipients should calculate a single, composite minimum cost share (based on the match or maintenance of effort requirements of the categorical grants included in the PPG) for each of their PPGs. To calculate the minimum cost share for a PPG, start with the amount of Federal dollars from each program (source of funds) going into the PPG. The minimum required cost share for each portion is determined by identifying the cost share requirements of the relevant categorical grant program (based on the source of funds). The minimum recipient cost share for the PPG is the sum of the minimum cost shares of the contributed categorical grants. Tribal governments and intertribal consortia may be eligible for match requirement waivers based on demonstrated hardship. The determination of eligibility will be completed by the Regional Administrator and will be based on socio-economic criteria.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined during pre-application negotiations and at the time of the award. Applicants may choose to submit annual or multi-year work plans and project periods. Budget periods will be for 12 months with the applicant having the flexibility to select, in consultation with the Regional Administrator, the specific start and end date for the budget period. Grant awards are made after review and approval of the application. Grantees are reimbursed for actual expenses based on submissions in financial status reports. See the following for information on how assistance is awarded/released: Annually.

**Reports:**

Applicants must provide reports and conduct joint evaluations in accordance with 40 CFR Part 31 and 40 CFR Part 35, Subparts A and B. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list). Cash reports may be required.

Progress reports may be required. Expenditure reports may be required. Performance monitoring may be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 08 \$391,000,000; FY 09 est \$411,000,000; FY 10 est \$427,000,000 - NOTE: See General Objectives, section [50], for a description of PPGs. The amounts cited above are inclusive of, not in addition to, obligations reported under individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list).

**Range and Average of Financial Assistance:**

There is no low-end limit for PPG awards to tribes. EPA may make awards as small as two programs and thousands of dollars to tribes. EPA may award PPGs that combine up to 19 categorical grants to states. PPGs for larger states can exceed \$10 million. In FY 2008, state PPGs generally contained six or seven categorical grants, with award amounts averaging around \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: PPGs have allowed states to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and tribes have used PPGs to address critical emergencies and unplanned events (for example, responses to hurricanes Rita and Katrina). They have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Agencies may request to receive their categorical grant funds in a PPG. Nearly all PPG applicants receive a grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect in FY 2008 was 147, including 40 to state environmental agencies; 23 to state agriculture agencies; and 84 to tribal agencies. The total number of PPGs in effect in FY 2009 is 167, including 39 to state environmental agencies; 23 to state agricultural agencies; and 105 to tribal agencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 35 Subparts A and B; 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for EPA Regional Office contacts.

**Headquarters Office:**

Michael Osinski USEPA Headquarters

Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 1306A, Washington, District of Columbia 20460 Email:  
osinski.michael@epa.gov Phone: (202) 564-3792

**Website Address:**

<http://www.epa.gov/ocir>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Performance Partnership Grant combines funds from ten categorical grant programs to implement major operating environmental programs for clean air, clean water, drinking water, hazardous waste, and others; (2) Grants taps funding from media programs combined in the PPG to fund pollution prevention activities; (3) Grant negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet selection criteria for the categorical grants to be combined in the PPG. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.608 ENVIRONMENTAL INFORMATION EXCHANGE NETWORK GRANT PROGRAM AND RELATED ASSISTANCE**

**FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 104(b)(3); Comprehensive Environmental Response, Compensation, and Liability Act, Section 104; Safe Drinking Water Act, Section 1442; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001.

**OBJECTIVES:**

EPA and its state, territorial, and tribal partners are building a nationwide Environmental Information Exchange Network. The Exchange Network is an Internet and standards-based information network that facilitates electronic reporting and the exchange and integration of environmental data and information from many different sources. The Exchange Network makes it easier for EPA and its partners to obtain the timely and accurate information needed when making decisions concerning the natural environment and related human health issues. The Exchange Network Grant Program provides financial assistance to states, territories, federally recognized Indian tribes, and intertribal consortia of federally recognized tribes to support the development of information technology and information management (IT/IM) infrastructure and capabilities needed to participate in the Exchange Network; the development of dataflows using the Exchange Network, including geospatial dataflows; planning, mentoring, and training activities; and a challenge group of activities that advance the development and use of the Exchange Network. Exchange Network Grants also provide strategic program support for the Exchange Network through non-competitive awards to state- and tribal-supporting co-regulator/co-implementor organizations. Funding Priority  
Fiscal Year 2009: Projects supported by the FY 2009 Exchange Network Grant Program, which are funded through EPA's STAG account, must address at least one of the following priorities: developing or upgrading IM/IT capabilities and tools to participate in the Exchange Network; developing the capabilities to exchange environmental, human health, or related data flows using the Exchange Network, and developing related data analysis and integration tools; planning and implementing collaborative, innovative projects that use the Exchange Network to help address the business needs of government agencies at all levels; providing mentoring and training to other Exchange Network partners; providing outreach, communications, technical assistance, and other support to states that are participating in, or may wish to participate in, the Exchange Network; and providing support for state

participation in the Network Operations Board and related workgroups. Other FY 2009 Exchange Network-related awards that focus on providing support to all tribes not just those that are currently participating in the Exchange Network and that are funded through EPA's EPM account must address the following priorities: providing programmatic support to federally recognized Indian tribes and intertribal consortia of federally recognized tribes that are participating in or may wish to participate in the Exchange Network; providing outreach, communications, training/mentoring, and technical assistance to tribes to increase their knowledge about the Exchange Network, enhance their IT/IM capabilities, and encourage their development of Exchange Network nodes and dataflows; providing support for tribal participation in the Exchange Network governance structure; and providing periodic reports to the Exchange Network management organization on the status of tribal participation in the Exchange Network. Other FY 2009 Exchange Network-related awards that focus on enhancing state participation in the state/EPA information management governance structure and that are funded through EPA's EPM account must address the following priority: providing support for state participation in the Exchange Network Leadership Council, which is responsible for developing the strategic direction and overall policies for the Exchange Network.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Funding is available for direct costs associated with carrying out grant-supported projects and for allocations of allowable indirect costs, in accordance with established EPA policies. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Eligible applicants for the Exchange Network Grant Program include states, the District of Columbia, U.S. territories (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands), federally recognized Indian tribes, and intertribal consortia of federally recognized tribes. An intertribal consortium is eligible to apply for assistance from the Exchange Network Grant Program by meeting the following criteria: a) the majority of the consortium members are federally recognized Indian tribes; b) all consortium federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program; and c) the intertribal consortium has adequate accounting controls to manage awarded funds while ensuring that only federally recognized tribal members will benefit directly from the award. Regional air pollution control districts may apply for assistance if they are legally considered to be agencies or instrumentalities of the state under applicable state laws. The following entities are not eligible to apply for funding from the competitive Exchange Network Grant Program: state/territorial/tribal universities; city, town, county, or regional governments; nonprofit organizations, including organizations that represent the interests of co-regulators/co-implementors in executing environmental programs. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In addition to issuing competitive awards to states/territories/tribes and intertribal consortia, EPA may use a portion of the Exchange Network Grant Program funds to issue one or more non-competitive awards for associated program support to a co-regulator/co-implementor organization. A co-regulator/co-implementor organization is one that represents the interests of governmental units (for example, state or regional governments) in executing a national or regional environmental program. The membership of such a national or regional organization is composed of officials of the co-regulator or co-implementor entities (for example, state environmental commissioners). Eligible applicants for non-competitive awards that relate to the Exchange Network and are funded through EPA's EPM account include non-profit organizations that are co-regulator/co-implementor organizations.

#### **Beneficiary Eligibility:**

Federal, state, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting

requirements; and the public.

#### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Please contact Marla Sheppard ((202) 564-5954) for questions involving Intergovernmental Review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants for the FY 2009 Exchange Network Grant Program must submit application packages to EPA by November 21, 2008. Applicants have the option to submit application packages in hard copy through the U.S. Postal Service or an overnight mail or courier delivery service. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Electronic applications submitted through Grants.gov have to be received no later than 11:59 pm Eastern Time on November 21, 2008. EPA will not review or fund any applications that are postmarked or received by Grants.gov after (November 21, 2008, or any applications that are received from ineligible applicants. The application package included the following materials: Overview of Application Package 1. Cover letter that outlines the following information: A. Contact information for the Project Lead B. Number of copies of the application (one original plus two copies) C. One sentence description of the project's goal D. Data exchanges (and data standards) for which the applicant is requesting funding E. Any additional partner on the grant F. The amount of funds requested G. Coordination efforts between the IM/IT and Environmental/Health Programs H. Signature of executive level official; 2. A list of no more than five (5) Federally or non-Federally funded assistance agreements performed in the last three (3) years of similar size and scope to the current proposal; 3. Project Narrative - Work Plan, including a Quality Assurance Narrative Statement (Work Plans must address the Evaluation Results (Section I-1) and Evaluation Criteria (Section V) in the work plan; 4. Budget Narrative and Detailed Itemized Budget; 5. Copy of applicant organization's Negotiated Indirect Cost Rate Agreement, if indirect costs are included in the budget or a copy of the submitted application to the cognizant fiduciary agency; and 6. Resume(s) of the Project Manager(s) or Project Lead(s). Inter-tribal consortia applying for the Exchange Network Grant Program must include written documentation in the application package that demonstrates the following: A formal partnership exists among the Indian tribal governments that are members of the inter-tribal consortium, and the majority of the members and federally recognized Indian tribes; and the consortium's Federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program. Please note that after a potential grantee is notified of their selection for a recommendation for an award, additional documents will be needed to complete the funding package. Annual solicitation notices outline the format and page limitations for the work plan and provide more detailed application instructions. EPA will not review work plan pages in excess of the stipulated page limitation. If the proposal is funded, the recipients would be required to submit a separate, tailored Quality Assurance Project Plan based on guidance in the applicable solicitation notice. EPA posted the solicitation notice for the FY 2009 Exchange Network Grant Program on the Web site on September 16, 2008 (<http://www.epa.gov/exchangenetwork/grants>). Please see the solicitation notice for complete application instructions.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA will evaluate the project proposal based on how well and clearly the applicant has articulated project outputs, outcomes and environmental results,



and whether they are tied to the intermediate outcomes as defined in Section I of this Solicitation Notice (i.e., burden reduction, cost savings, improved quality of data, etc.). EPA will also evaluate the applicant's work plan for tracking and measuring their progress towards achieving the expected outputs, outcomes, and environmental results of the project proposal.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants whose applications are denied for funding will be notified approximately five months after the application deadline. Applicants whose applications are recommended for funding will be notified, initially to request additional documentation to finalize the application, and, later, when the assistance agreements are issued and mailed by EPA's Grants and Interagency Agreements Management Division, which is expected to be approximately eight to nine months after the application deadline.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will be provided through grants and cooperative agreements. EPA may provide support in the form of direct funding and/or in-kind assistance, in lieu of direct funding. EPA plans to issue awards for applications that are recommended for funding approximately seven months after the application deadline. The standard period of performance for projects funded by the Exchange Network Grant Program is two years. EPA may consider requests from award recipients for project/budget period extensions; and if deemed appropriate by EPA, the Grants and Interagency Agreements Management Division may issue amendments extending the project/budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Award recipients must submit semi-annual progress reports and a final project report that covers the entire project period. The semi-annual progress reports must be submitted within one month of the end of each semi-annual reporting period. The reporting periods are from October through March and April through September of each fiscal year. Award recipients must submit the final project report and a final Financial Status Report (Standard Form 269) to EPA within 90 days after the end of the project/budget period. Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all accounting records that substantiate the charges

to each grant, must be maintained and accessible to personnel authorized to examine EPA grant accounts. If certain financial records are part of an audit investigation, then they must be retained until the matter under investigation has been completely resolved. Award recipients must retain complete records documenting their projects for a period of seven years after the close-out of the agreement. Such records include, but are not limited to, financial records, technical reports, periodic performance progress reports, project management files, correspondence with other project partners, and correspondence with EPA. Final products and deliverables that result from the project are considered to be permanent records and should be retained indefinitely.

**Account Identification:**

68-0103-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$15,210,000; FY 09 est \$12,300,000; FY 10 est \$10,520,000 - STAG Account: FY 2008 \$14,700,000; FY 2009 est \$11,780,000; and FY 2010 est \$10,000,000.

EPM Account: FY 2008 \$510,000; FY 2009 \$520,000; and FY 2010 est. \$520,000.

EPA will set aside approximately ten percent of appropriated funding for tribal assistance agreements to further facilitate expanded tribal participation in the Exchange Network.

**Range and Average of Financial Assistance:**

STAG Account: Award amounts will range from \$75,000 to \$500,000 for the entire two-year project period. The average award amount will be \$300,000 for the entire two-year project period. EPM Account: The average award amount will be \$260,000 for the entire two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 2009 will be the eighth year of the Exchange Network Grant program. As of 2008 EPA provided an estimated total of \$135,000,000 for state/territorial/tribal awards and associated program support awards through the Exchange Network Grant program. EPA's FY 2009 appropriations requests include an additional \$11.0 million for the Exchange Network Grant program. In previous fiscal years, EPA received applications and made awards to state/territorial/tribal entities and associated program support awards as follows: FY 2007,77 applications,57 awards. FY 2008, 70 applications,55 awards (estimated). As of early November 2007, all states, the District of Columbia, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, the U.S. Virgin Islands, and more than 50 tribes have received awards and been involved in the development of the Exchange Network. As of April 2008, the Exchange Network Grant Program had contributed to the development of 50 State, one territorial and 8 Tribal Exchange Network nodes. A number of additional nodes are currently under development. EPA and its partners are currently using or planning to use the Exchange Network to exchange data that relate to the following: Beaches (beaches water quality and closure data), Air Facility System (AFS), Air Quality System (AQS), Arsenic and Radon , Asbestos, Biodiversity Data Exchange, Drinking Water Laboratory Results, electronic Discharge Monitoring Reports (e-DMR), Facility Registry System (FRS), Geospatial, Institutional Controls Tracking System (ICTS), Integrated Compliance Information System/National Pollutant Discharge Elimination System (ICIS-NPDES), Methamphetamine, National Emissions Inventory (NEI), National Pollution Prevention (P2) Results System, Resource Conservation and Recovery Act Information System (RCRA Info), Safe Drinking Water Information System (SDWIS),Source Water Protection (SWP), Toxics Release Inventory System (TRIS), Underground Injection Control (UIC), and Water Quality Monitoring. Fiscal Year 2009: FY 2009 will be the eighth year of the Exchange Network Grant program. As of 2008 EPA provided an estimated total of \$135,000,000 for state/territorial/tribal awards and associated program support awards through the Exchange Network Grant program. EPA's FY 2009 appropriations requests include an additional \$11.0 million for the Exchange Network Grant program. In previous fiscal years, EPA received applications and made awards to state/territorial/tribal entities and associated program support awards as follows: FY 2007,77 applications,57 awards. FY 2008, 70 applications,55 awards (estimated). As of early November

2007, all states, the District of Columbia, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, the U.S. Virgin Islands, and more than 50 tribes have received awards and been involved in the development of the Exchange Network. As of April 2008, the Exchange Network Grant Program had contributed to the development of 50 State, one territorial and 8 Tribal Exchange Network nodes. A number of additional nodes are currently under development. EPA and its partners are currently using or planning to use the Exchange Network to exchange data that relate to the following: Beaches (beaches water quality and closure data), Air Facility System (AFS), Air Quality System (AQS), Arsenic and Radon, Asbestos, Biodiversity Data Exchange, Drinking Water Laboratory Results, electronic Discharge Monitoring Reports (e-DMR), Facility Registry System (FRS), Geospatial, Institutional Controls Tracking System (ICTS), Integrated Compliance Information System/National Pollutant Discharge Elimination System (ICIS-NPDES), Methamphetamine, National Emissions Inventory (NEI), National Pollution Prevention (P2) Results System, Resource Conservation and Recovery Act Information System (RCRA Info), Safe Drinking Water Information System (SDWIS), Source Water Protection (SWP), Toxics Release Inventory System (TRIS), Underground Injection Control (UIC), and Water Quality Monitoring. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Exchange Network Grant Program assistance agreements issued to state, territorial, and tribal governments are governed by EPA's regulations at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." The assistance agreements issued to nonprofit organizations (i.e., co-regulator/co-implementor organizations) for associated program support for the Exchange Network Grant Program or other Exchange Network activities are governed by EPA's regulations at 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations." General information and guidance documents regarding the Exchange Network are available at <http://www.epa.gov/exchangenetwork>. Information about the Exchange Network Grant Program and previously funded activities is available at <http://www.epa.gov/exchangenetwork/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

Jonathan Jacobson Information Exchange Partnership Branch  
Office of Information Collection  
Office of Environmental Information  
U.S. Environmental Protection Agency  
1200 Pennsylvania Ave., NW, Mail Code (2823-T), Washington, District of Columbia 20460 Email: [Jacobson.jonathan@epa.gov](mailto:Jacobson.jonathan@epa.gov) Phone: (202) 566-1984

#### **Website Address:**

<http://www.epa.gov/oei>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of some projects funded by the Exchange Network Grant Program are described below: A state environmental agency is using grant funds to advance the use of the state's Exchange Network node and to promote the efficient and effective use of data to improve environmental conditions across the state. In particular, the state EPA is using the Exchange Network to exchange data associated with the Facility Registry System (FRS), the National Emissions Inventory (NEI), and the Integrated Compliance Information System - National Pollutant Discharge Elimination System (ICIS-NPDES). A state's Office of Technology is using federal assistance to enhance the use of watershed modeling in the state's environmental decision-making. In addition to the Office of Technology, project partners include the state's Department for Environmental Protection, the Office of Geographic Information, the Open GIS Consortium, and the U.S. Geological Survey. The project involves developing a web-based watershed modeling information portal to provide timely watershed modeling data to support state environmental decision-making. Project partners will also work toward making the watershed modeling data available to other Exchange Network partners

through the state's Exchange Network node, which is currently under development. A state's Department of the Environment is continuing to develop an Exchange Network node to facilitate the exchange of information from the state's Enterprise Environmental Management System (EEMS) with EPA and other Exchange Network partners. The primary purpose of the project is to advance the electronic exchange of data with EPA. The project focuses on submitting data associated with the Resource Conservation and Recovery Act Information System (RCRAInfo) and ICIS-NPDES from MDE's node to EPA's node on the Central Data Exchange. A state Department of Environmental Protection is working in partnership with other regional state and watershed partners to use the Exchange Network to share data on Best Management Practices (BMP) for addressing non-point source pollution. This effort involves developing and registering XML schema for exchanging BMP data. The watershed office receives BMP data from jurisdictions that participate in the program and then enters the data in a regional watershed module and various presentation tools for regional use. Four state environmental agencies collaborated to develop an application that would provide a range of critical information to field personnel responding to emergencies such as flooding at facilities that store toxic chemicals or an explosion at a chemical plant. By using the Exchange Network technology, the project team created the Heartland Emergency Response Exchange which can reach across organizational lines to retrieve integrated environmental and natural resource data from agencies in partner states. Emergency planners can quickly identify potential dangers posed by chemical inventories or hazardous waste storage. In minutes, response teams can assess threats to drinking water infrastructure or other environmental interests. One of the key features of this system is its ability to visualize the data using popular web-based mapping applications such as Google Earth or Microsoft Virtual Earth. In short, better information will offer opportunities for more comprehensive planning and more informed responses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria for the FY 2009 Exchange Network Grant program was described in the FY 2009 solicitation notice. The quantitative evaluation criteria included such factors as expected project outputs/outcomes, the feasibility and approach of the work plan, the relevance and significance of the proposed project to the Exchange Network, the adequacy of resources and key personnel, and past performance. EPA may also consider various qualitative criteria when determining which applications to recommend for funding. Examples of such qualitative criteria may include, but are not limited to, factors such as achieving a balance among projects, distributing funds among different states/territories/tribes, and having EPA programmatic support for the project. Applications for non-competitive awards to co-regulator/co-implementor organizations, funded by the Exchange Network Grant program through EPA's STAG appropriation, will be evaluated based on the ability of the applicant to provide the following: outreach, communications, technical assistance, and other support to states/tribes that are participating in, or may wish to participate in, the Exchange Network; and support for state/territorial/tribal participation in the Network Operations Board and related workgroups. Applications for non-competitive awards to a co-regulator/co-implementor organization, funded through EPA's EPM appropriation, will be evaluated based on the applicant's ability to implement the types of activities described in the Objectives section of this description.

#### **66.609 PROTECTION OF CHILDREN AND OLDER ADULTS (ELDERLY) FROM ENVIRONMENTAL HEALTH RISKS**

(Children's Environmental Health and the Aging Initiative)

#### **FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

#### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Toxic Substances Control Act, Section 10; Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311; Solid Waste Disposal Act, Section 1442; National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 104.

#### **OBJECTIVES:**

To support efforts by organizations; educational institutions; and/or State, local, and tribal governmental agencies to establish or enhance their ability to take actions that will reduce environmental risks to the health of children or the aging (elderly) population. Funding Priority - Fiscal Year 2009: Support efforts to: (1) Support efforts to promote healthy home, school, and child care environments; (2) Build state, local, and tribal government capacity to address environmental health risks to children and older adults; (3) Educate health practitioners on environmental risks to children; (4) Implement a National Agenda for the Environment and the Aging to protect the health of older persons, prepare for an aging society, and encourage civic engagement among older adults; (5) Protect children and older adults from environmental hazards in local communities through civic engagement, demonstration projects, and other community capacity building activities; (6) Conduct environmental health tracking as it relates to older persons at the state level; (7) Protect children and older adults internationally from environmental health risks; (8) Demonstrate how smart growth activities can promote healthy communities for older adults and children; (9) Reduce environmental risks to children and older adults through intergenerational activities; (10) Educate women of childbearing age and their health care providers about preventing and reducing environmental health risks; (11) reduce environmental health disparities; (12) Educate older adults to be environmental leaders in their community and train other elders to be leaders and educate children and older adults about the importance of environmental stewardship and health; (13) Support efforts to address climate change and its effects on the health of children and older adults; (14) Support efforts to increase understanding of the relationship between the environment and children's health and development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States or state agencies, territories, the District of Columbia, American Indian Tribes (federally recognized), and possessions of the U.S. It is also available to public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and 501(c)(3) organizations. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, American Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Child and Aging Health Protection Division within the Office of Children's Health Protection and Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Child and Aging Health Protection Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula. EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching funds requirements may be established in program guidance or in the terms of competitive solicitations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis.

However, the Child and Aging Health Protection Division of the Office of Children's Health Protection and Environmental Education can negotiate the project period with each applicant based on project requirements. EPA limits project periods to five (5) years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by EPA. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. These reports will cover work status, work progress, difficulties encountered, preliminary data results and a statement of activity anticipated during the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated. The report shall also include any changes of key personnel concerned with the project. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. A discussion of expenditures along with a comparison of the percentage of the project completed to the project schedule and an explanation of significant discrepancies shall be included in the report. The EPA Project Officer is required to conduct baseline monitoring of each active award. For awards with original project periods 18 months or less in duration, the initial baseline monitoring will take place no later than six months from the award date. For awards with original project periods greater than 18 months in duration, the initial baseline monitoring will take place no later than 1 year from the award date. After the initial baseline monitoring, all subsequent baseline monitoring will occur within 12 months of the last baseline or advanced monitoring activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$200,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

Range \$10,000 to \$150,000 per grant. Average \$100,000 per grant (2 year grants).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Developed tools for organizations to work across generations to protect children's health from environmental risks; supported international effort to develop children's environmental health indicators; increased the capacity of health care providers to identify, prevent and manage environmentally-related illnesses in children in United States and around the world; increased the capacity of prenatal health care providers and pregnant women to reduce environmental exposures to the developing fetus; increased

state capacity to measure environmentally-related illnesses in older adults; increased state, local and tribal capacity to address environmental toxicants that can affect the health of older adults; developed multicultural leaders in the field of environment and aging; and successfully piloted environmental intergenerational projects in urban and rural settings (including projects that taught youth and elders about acid mine drainage and water quality monitoring; organic farming, solar energy and agribusiness; indoor air quality including mold and toxic cleaning products; e-cycling business; integrated pest management and the growth and migration of monarch butterflies). Fiscal Year 2009: Data on the number and ratio of applications for FY 09: Building Healthy Communities for Active Aging: Training and Demonstration Projects - 76 applications received, 2 awards made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally recognized tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Martha Shimkin Child and Aging Health Protection Division  
Office of Children's Health Protection and Environmental Education  
JUSEPA; Mail Code: 1107A  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: shimkin.martha@epa.gov Phone: (202) 564-4407

**Website Address:**

<http://www.epa.gov/children>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: There were no projects awarded funding in FY 2008 though projects awarded in past years were ongoing. The following are examples of programs funded in the past: Develop training tools to educate older Americans about environmental hazards in their communities. Training, innovation, outreach, and educational projects to protect the health of older adults and the environment. Public education materials to inform older persons about environmental hazards that affect health and the environment. Increase capacity of state legislators to deal effectively with children's environmental health issues at the state level. Build health professional capacity to address pediatric environmental health issues. Increase intergenerational cooperation to improve environmental health in urban and rural communities. Support the ability of schools to manage chemicals in a safe and effective manner. Demonstration projects to dispose of unwanted medications in a prudent manner. Build capacity with women of childbearing age and health professionals to address environmental health issues during pregnancy. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.610 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF THE ADMINISTRATOR**

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001; Marine Protection, Research, and Sanctuaries Act, Section 203; Toxic Substances Control Act, Section 10; Clean Air Act, Section 103; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311; National Environmental Policy Act, Section 102(2)(F); Safe Drinking Water Act, Section 1442(a)&(c); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 106-74; Clean Water Act, Section 104.

**OBJECTIVES:**

(1) To support surveys, studies, investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) to identify, develop, and demonstrate necessary pollution control techniques; (3) to prevent, reduce, and eliminate pollution; (4) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (5) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Funding Priority - Fiscal Year 2009: Priorities continue to include support for environmental health information and analysis to state legislatures; support to build state capacity to reduce environmental hazards that may affect health and the environment; support of environmental education training; support to promote and enhance state collaboration by focusing on communication and the sharing of environmental information among states; support to detail environmental outcome oriented indicators, measures, and goals that promote innovative environmental protection; and support to increase efficiency in the state environmental protection programs that results in cost-effective, sustainable environmental protection.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to State agencies, territories, the District of Columbia, Indian Tribes, and possessions of the U.S. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be

requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of the Administrator may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive award, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost-sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching fund requirements may be established in program guidance or in the terms of competitive solicitations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis.

However, the Office of the Administrator can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$308,217; FY 09 est \$225,000; FY 10 est \$225,000

**Range and Average of Financial Assistance:**

Range \$500 to \$500,000 per grant. Average amount of award approximately \$150,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Agency anticipates making one new award under this CFDA in Fiscal Year 2008. Although there were no new applications received and no new awards made during Fiscal Year 2007, the program accomplishments of ongoing grants were: (1) "Building of state capacity to improve results based management" -- The grant recipient developed 15 pilot projects to help States refine and expand their strategic planning efforts to focus on lessons learned with an eye towards better integration of multi-media approaches that achieve quantifiable environmental outcomes. Some states focused their pilots on the development of state priorities, multi-state priorities, and/or joint planning with EPA, while others worked on the alignment of State, regional and national planning processes. Information and experiences from the pilots will be used to evaluate progress and identify additional improvements. These pilots are ongoing. (2) Mercury Abatement helped States to educate and engage key public and private sector leaders on the actions taken to reduce and manage mercury in the environment. Grantee developed and published a mercury compendium of State Mercury Activities and worked with States and EPA to implement a partnership to reduce mercury in the environment. Developed and published an information document on "Mercury Product Labeling." Also helped develop a National Voluntary Mercury Switch Removal Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Anthony Raia Environmental Protection Agency  
Office of the Administrator  
1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: Raia.Anthony@epamail.epa.gov Phone: (202) 564-2758

**Website Address:**

<http://www.epa.gov/adminweb/>

**RELATED PROGRAMS:**

66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.611 Environmental Policy and Innovation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA has funded projects that: (1) Strengthen State Capacity to Reduce and Manage Mercury in the Environment; (2) build State capacity to improve results-based environmental management and help States share information on best practices; (3) support State efforts to deliver comprehensive environmental compliance assistance to small local governments; (4) assist State efforts to more accurately manage expenditures for water quality programs; (5)

To utilize a broad scope of work to include research, studies, demonstrations, training and professional development in order to promote active state involvement in the coordination of Federal/State efforts to reduce and eliminate pollution. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.611 ENVIRONMENTAL POLICY AND INNOVATION GRANTS**

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104, 33 U.S.C 1254; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Toxics Substances Control Act, Section 10, 15 U.S.C 2609; Safe Drinking Water Act, Section 1441, 42 U.S.C 300j-1; Clean Air Act, Section 103, 42 U.S.C 7403; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136(r); National Environmental Policy Act, Section 102(2)(F), 42 U.S.C 4332; Comprehensive Environmental Response, Compensation, and Liability Act, Section 104(k)(6)&311, 42 U.S.C 9660.

**OBJECTIVES:**

(1) To support analyses, studies, evaluations, workshops, conferences, and demonstration projects that lead to reduced pollutants generated and conservation of natural resources; (2) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects on the benefits, costs, and

impacts of environmental programs; and (3) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects of incentive-based and voluntary environmental management strategies and mechanisms; and (4) to support research to explore and develop strategies and mechanisms for those in the economic, social, governmental, and environmental arenas to use in environmental management decisions. Funding Priority - Fiscal Year 2009: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmentally preferable approaches to development. In the area of economic research there was one solicitation issued at the beginning of the year to solicit proposals in two areas: (1) conducting research on the "Design of Policies for Pollution Control Using Market Mechanisms," and (2) research support for "Data Gathering for Dissertation and Early Career Research on the Pollution Control Aspects of Environmental Economics". This solicitation is affiliated with the Economics and Decision Sciences Program, which prior to FY2008 had been administered by EPA's Office of Research and Development, National Center for Environmental Research. Effective in FY2008, responsibility and resources for this program were transferred within EPA to the Office of Policy, Economics and Innovation. Funding Priority - Fiscal Year 2010: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmentally preferable approaches to development. In the area of economic research, pending budget decisions, FY2010 funds will primarily be dedicated to financing projects awarded to applications to the 2009 solicitation targeting policy designs for pollution control using market mechanisms and research to support data gathering for dissertation and early career research on pollution control and environmental economics. It is possible that a new solicitation will be issued in FY2010, but due to uncertainty on budget and project priorities, it is not clear at this time what the topic or theme of an FY2010 solicitation will be. If there is a new solicitation issued in FY2010, the funding used to finance any awards will in all likelihood rely on FY2011 resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by

applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitions involving research that are administered as part of the Economic and Decision Sciences program, OPEI will continue to adhere to the policies and procedures followed by ORD, NCER and their Science to Achieve Results (STAR) program, which includes engaging an external technical peer review panel to evaluate the technical merits of research proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days for most competitive solicitations. For competitive

solicitations administered under the Economic and Decision Sciences program, the time to notification is approximately 240 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula. CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally or fully funded. This determination will be made by the EPA. See the following for information on how assistance is awarded/released: Most assistance awarded under this CFDA will either be released as a lump sum payment or paid on a quarterly basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Parts 30 and 31.

In general, it is the policy of the Office of the Administrator to require Progress Reports from recipients on a quarterly basis. This requirement, or a different requirement when applicable, will be spelled out in solicitations issued under this CFDA, and confirmed in the Terms and Conditions section for funded assistance agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$1,661,000; FY 09 est \$486,000; FY 10 est \$2,060,000 - OBLIGATIONS: For awards directed at smart growth issues, the following distributions and projections are - total awarded through new awards and incremental funding: \$922,000 in FY2008 and \$431,000 in FY2009. Projected new awards and incremental funding are expected to be \$960,000 in FY2010. For awards directed at economic analysis and research topics, including funding provided under the Economic and Decision Sciences program, the following distributions and projections are - FY 2008 total awarded through new awards and incremental funding: \$739,000. FY 2009 total awarded through new awards and incremental funding: \$55,000. FY 2010 projected new awards and incremental funding: \$1,100,000.

**Range and Average of Financial Assistance:**

For awards related to smart growth, the range is from \$20,000 to \$250,000, with an average of \$250,000. For awards in the area of economics - related to Environmental Economic Workshops: range is \$45,000 - \$96,000, with an average award of \$70,000. Related to Environmental Economics Dissertations and Early Career Research: range is \$44,000 - \$75,000, with an average of \$64,000. Related to Environmental Economic Research: range is \$90,000-\$300,000, with an average of \$250,000. There were no earmarks included in FY2008 or FY2009. We do not anticipate any earmarks in FY2010.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Examples of activities funded in support of smart growth projects using incremental funding include developing guidelines for sustainable streets, identifying and eliminating barriers to smart growth development options, support for a smart growth educational website, and co-sponsorship of a smart growth conference. The ratio of applications received to those awarded is about 10:1 for the smart growth program. An FY2008 NCEE solicitation for workshops received 22 applications, of which 7 were funding in FY2008. The Economics and Decision Sciences (EDS) research program in FY2009 issued a new solicitation with two sections (1) for research on "Design of Policies for Pollution Control Using Market Mechanisms", and (2) for "Data Gathering for Dissertation and Early Career Research on the Pollution Control Aspects of Environmental Economics." Both seek to strengthen the quality and completeness of the scientific information used in preparing economic analyses. The solicitation garnered 23 applications on the market mechanisms topic, of which 3 were selected for funding (for effective ratio of received-to-awarded of 7.5:1). For the dissertations and early career research category, of the 11 applications, 5 were selected for funding (for effective ratio of received-to-awarded of 2:1). Due to FY2009 budget constraints, the majority of funds to be used to finance assistance agreements under these two research topics will draw on FY2010 resources. The FY2009 funds available for these purposes could only provide partial funding to 2 of the early career research awards.

Recent examples of some the outputs and accomplishments provided by economic research and workshops supported under the Economic and Decision Sciences program include:

- Convened workshop presenting ongoing research findings on the use of market mechanisms and incentives in the areas of fuel economy, water quality, land use and the distributional consequences of using market incentives, and climate change

- Study developed and evaluated market systems with both a price ceiling and price floor for use in environmental trading programs, finding that a symmetric safety valve may be superior to a price ceiling

- Study developed additional valuation tools, including observation that adults will pay twice as much to protect their children from mortality risks from pesticides in food as they would pay to protect themselves. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part



31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Pamela Stirling Environmental Protection Agency  
1200 Pennsylvania Avenue, N.W, Washington, District of Columbia 20460  
Email: [stirling.pamela@epa.gov](mailto:stirling.pamela@epa.gov) Phone: (202) 566-0949

**Website Address:**

<http://www.epa.gov/opei>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants; 66.940 Environmental Policy and State Innovation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Under 66.611, EPA has funded projects such as reviewing a city's municipal code; identifying barriers to smart growth and developing options to eliminate the specific barriers; integrating redevelopment solutions for brownfields for a particular state; sponsoring economic policy or economic methodology development workshops and conferences; supporting applied dissertations in environmental economics; and supporting high priority environmental economic research topics. Details on economic projects funded under prior solicitations can be found at the webaddress:

<http://yosemite.epa.gov/ee/epa/eed.nsf/Webpages/Grants.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

**66.612 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING DEMONSTRATIONS AND EDUCATIONAL OUTREACH RELATED TO ENVIRONMENTAL INFORMATION AND THE RELEASE OF TOXIC CHEMICALS**

**FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Clean Water Act, Section 104; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001.

**OBJECTIVES:**

The program's objective is to provide funding in support of surveys, studies, investigations, training/demonstrations, educational outreach and special purpose assistance as they relate to environmental information and the release of toxic chemicals. The purpose of this program is to educate the public on the how to obtain access to and effectively use environmental information, including information about toxic chemical releases and other waste management activities. Through this grant program EPA intends to enhance the public understanding of environmental information generally and the potential

risks and hazards of releases of toxic chemicals to their communities as they relate to facilities covered under the Toxic Release Inventory Program; support efforts to assist state, tribal and local governments improve management of environmental information; identify priorities and opportunities for the public and state, tribal and local governments to work with industry to reduce toxic chemical disposal or other releases and potential risks associated with them; and establish reduction targets and measure progress toward reduction goals. Funding Priority Fiscal Year 2009 (optional): Topics include, but are not limited to the following: promotion of pollution prevention and the public's right to know about chemical risks, evaluation of chemicals to safeguard all Americans, including children and other vulnerable members of the population, as well as, our most threatened species and ecosystems from environmental harm. Types of activities include but not limited to the following: Capacity Building - identifying and developing relationships with key audiences for TRI information to ensure more effective presentation, dissemination, understanding, and better use of TRI data and information; Education and Outreach - creating a forum for all interested stakeholders to stay up to date on the latest TRI regulatory developments, electronic reporting advances, and new data access and analytical tools, as well as providing opportunities for all interested TRI stakeholders and data users to exchange information and expertise regarding the use of TRI data; and Community Issues - developing a collaborative website where all interested stakeholders can access information about the TRI program and realize how the information and resources can support their individual program goals and objectives. Topics include, but are not limited to the following: Expand stakeholder outreach by coordinating with a variety of non-federal Environmental Justice organizations that share common goals relating to the control of toxic substances in communities around the country. The grantee will formally launch the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)) which will allow various stakeholders to post discussion topics, position papers, and original research and analyses on an array of TRI on other related topics. The collaborative site will also allow for stakeholders to provide commentary and feedback. Training opportunities will include at least two on-line webinars and the preparation for the Fall 2010 TRI National Training Conference. Request for proposals will be issued to award small grant opportunities that will focus on Environmental Justice efforts.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Applicant Eligibility:**

Assistance under this program is generally available to states, the District of Columbia, US territories (for example, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands), federally recognized Indian tribes, intertribal consortia of federally recognized tribes, public and private colleges and universities, and other public or private nonprofit organizations. Nonprofit organizations exempt from taxation under Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible for financial assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

**Credentials/Documentation:**

Applicants must demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects.

EPA will ask applicants or principle investigators to provide curricula vitae and relevant publications. EPA may ask for documentation of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies and investigations, demonstrations, educational outreach and special purpose projects that consider the relevance to EPA's mission and the likelihood of the success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. See the following for information on how assistance is awarded/released: The Agency anticipates annual incremental (for five years) for this assistance award.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31. Quarterly progress reports and a detailed final report are required. Quarterly

progress reports summarize technical progress, planned activities for next quarter and summary of expenditures. A summary of expenditures should be included in the quarterly progress reports. Annual performance monitoring is required. (Due July 1, 2009).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$240,152; FY 09 est \$200,000; FY 10 est \$200,000

**Range and Average of Financial Assistance:**

Estimated \$15,000 to \$350,000 with an average of \$200,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Worked with EPA to conduct the 2009 TRI National Training Conference by completing the following tasks: developed agenda, solicited corporate sponsorship opportunities, distributed travel scholarships, and coordinated hotel logistics. Fiscal Year 2009: Developing and finalizing the collaborative website, expanding stakeholder outreach to EJ Communities, conducting 2-3 on-line webinars, and preparing for Fall 2010 TRI National Training Conference. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined on accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Research and demonstration projects are subject to 40 CFR Part 40. Training grants are subject to 40 CFR Part 45.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in [http://www.epa.gov/tri/contacts\\_regional.htm](http://www.epa.gov/tri/contacts_regional.htm) or in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Christine Arcari EPA Headquarters  
EPA West  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 2842T, Washington, District of Columbia 20460 Email:  
[Arcari.Christine@epa.gov](mailto:Arcari.Christine@epa.gov) Phone: 202-566-1746

**Website Address:**

<http://www.epa.gov/oei>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: ECOS Toxics Release Inventory Outreach Support (not to exceed \$1M in 5 years). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. EPA selects proposed Surveys, Studies, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria.

**66.700 CONSOLIDATED PESTICIDE ENFORCEMENT COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 92-516, 7 U.S.C 136.

**OBJECTIVES:**

To: (a) Assist States, territories and possessions of the U.S., including the District of Columbia and Indian Tribes, in developing and maintaining comprehensive pesticide programs that address all aspects of pesticide enforcement, and special pesticide initiatives; (b) sponsor cooperative surveillance, monitoring and analytical procedures; and (c) encourage regulatory activities within the States. Funding Priority: State, Territorial, and Tribal agencies participating in this cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities. Funding Priority -- Fiscal Year 2009. Two specific compliance monitoring and enforcement activities have been identified as major priorities for this program: the pesticide workers' protection program and pesticides used to protect public health. Other typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Available for costs specifically incurred in purchasing inspectional supplies and equipment; reimbursing State travel and per diem expenses associated with the performance of grant outputs; purchasing essential laboratory equipment and supplies; paying salaries for personnel performing inspectional, analytical and/or managerial functions related to grant activities, and for administrative costs associated with the performance of grant outputs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. There are no specific restrictions on the use of this assistance.

**Applicant Eligibility:**

State agencies having pesticide compliance program responsibilities in each State, territory and possession of the U.S., including the District of Columbia, and Indian Tribes.

**Beneficiary Eligibility:**

States, Federally Recognized Indian Tribal Governments, U.S. Territories and the District of Columbia.

**Credentials/Documentation:**

The application must supply evidence of legal authority to conduct pesticide compliance activities contemplated under the grant and a workable program officially adopted for the agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application form and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance Awards through the Federal Assistance Awards Data System (FAADS). Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicants must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Other.

**Reports:**

As requested in the Annual Program Guidance for inclusion in the grant award; quarterly with mid-year and year-end evaluations. Program reports are required. No cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$18,419,000; FY 09 est \$18,711,000; FY 10 est \$18,711,000

**Range and Average of Financial Assistance:**

Enforcement/States:\$32,000(territory) to \$800,000; \$270,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Consolidated Pesticide Enforcement Cooperative Agreements are continuing environmental program grants. In fiscal years 2008 and 2009, 85 applications for pesticide enforcement grants were received and 85 grants awarded. Agencies participating in the Federal cooperative agreement program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices. The States will also develop implementation plans for special pesticide initiatives. States will be responsible for dissemination of information and materials related to these pesticide initiatives. States, Territories, and Tribes that are participating in the pesticide enforcement cooperative agreements program conducted 95,000 compliance monitoring inspections in FY 2008. These inspections were conducted at agricultural establishments, pesticide producers and retailers, ports of entry, at pesticide applicators, as well as at other site where pesticides were distributed, sold, or used. As a result of these inspections, 19,023 enforcement actions were initiated in FY 2008 [civil and criminal actions, license suspensions or revocation, warning letters,]. Fiscal Year 2009: For FY 2009, the number of inspections is expected to be between 90,000 and 105,000. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Al Havinga Office Of Compliance  
Office of Enforcement and Compliance Assurance (2225A)  
EPA, Washington, District of Columbia 20460 Email: havinga.al@epa.gov  
Phone: (202) 564-4147

**Website Address:**

<http://www.epa.gov/compliance>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State agencies participating in the Federal/State cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at producing facilities and in the

retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of State management plans for the protection of groundwater and endangered species from pesticides and development of worker protection programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to the following criteria: (1) Need: The need for the development, improvement and/or maintenance of a comprehensive pesticides enforcement program within the State that includes enforcement, new initiative programs, and programs that address existing environmental problems, potential problems, and/or existing exposed populations related to the use of pesticides. (2) State Pesticide Activity: The relative amount of pesticide production, formulation and use in a State, and the potential risk to human health and the environment from pesticide misuse or abuse. (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the comprehensive pesticide program. (4) Effectiveness of program: The past level and effectiveness of the State pesticide program. (5) level of activity as indicated by such factors as numbers of farms and numbers of applicators. (6) Magnitude of effort needed to accomplish expected outputs and products; and (7) Ability to accomplish output goals.

**66.701 TOXIC SUBSTANCES COMPLIANCE MONITORING COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act (TSCA), Section 28&404(g), Public Law 102-550, 15 U.S.C 2601.

**OBJECTIVES:**

To 1) To assist States, territories and possessions of the U.S. including the District of Columbia, the commonwealth of Puerto Rico, and Indian Tribes in developing and maintaining compliance monitoring programs to prevent or eliminate unreasonable risks to health or the environment associated with chemical substances or mixtures within the States, specifically asbestos, PCBs, and lead-based paint; 2) encourage regulatory activities within the States to establish their own programs for lead-based paint and asbestos (waiver programs); and 3) for asbestos waiver state programs and lead-based paint programs fund enforcement activities. EPA provides funding for cooperative compliance monitoring grants to States and Tribes under TSCA to conduct inspections to ensure compliance with the PCB regulations, the asbestos in schools requirements (inspections at charter schools, public schools, private schools and religious schools), the Model Accreditation Plan (MAP), TSCA Section 6 Ban and Phase Down Rule, and the TSCA Asbestos Worker Protection Standards and to conduct lead-based paint activities. Authorized States also conduct enforcement for the lead-based program. States that have obtained an EPA waiver from the asbestos regulation (Subpart E of Part 763) also have enforcement responsibilities. Funding Priority for FY 09- For the TSCA PCB, asbestos, and Lead programs inspection activities are a funding priority. For the Fiscal Year 2009, existing TSCA asbestos and, PCB compliance programs, Lead programs and new asbestos waiver states have higher funding priority. The activities in priority order are tracking and responding to tips/complaints, situations involving non-compliance and inspections to ensure coverage of the regulated community. In addition, funding to ensure that state inspectors who conduct inspections using EPA credentials continue to meet the minimum training standards will also be a priority. The standards are found in EPA Order 3510: EPA Federal Credentials for Inspections and Enforcement of Federal Environmental Statutes which references the specific requirements found in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of

EPA." States with inspectors using EPA credentials to conduct inspections need to have authorizations agreements in place and inspectors must complete the minimum training requirements.

For the Asbestos Compliance Monitoring Program, it is a priority for states to conduct inspections at Local Education Agency's (LEA's) and respond to tips and complaints. Priority attention should be given to tips alleging asbestos contamination at schools. Under AHERA, "any person may file a complaint with the Administrator or with the Governor of the State in which the school building is located with respect to asbestos-containing material in a school building. If the Administrator or Governor receives a

Complaint under this subsection containing allegations which provide a reasonable basis to believe that a violation of this Act has occurred, the Administrator or Governor shall investigate and respond (including taking enforcement action where appropriate) to the complaint within a reasonable period of time." Inspections may also be conducted for the Model Accreditation Plan (MAP), TSCA Ban and Phase down Rule (TSCA Section 6), and the TSCA Asbestos Worker Protection Standards. In non-waiver states with grants, states must submit to the regional office inspection reports from inspections conducted with EPA credentials for case review and appropriate follow-up. Where applicable, the regions should encourage states to apply for the "asbestos waiver" program. Non-waiver states must submit inspection reports to the region for review and appropriate enforcement action.

The PCB program is part of the Agency's Persistent Bioaccumulative Toxics (PBT) program. Due to their persistence, PCBs present major environmental/public health problems, especially when they reach food or water. Priorities for PCBs should be determined based on EPA's National Program Guidance, Regional priorities, and State priorities. It is a priority that there is adequate PCB compliance monitoring coverage throughout the regions. States must submit to the regional office inspection reports from inspections conducted with EPA credentials for case review and appropriate follow-up. Also for PCBs, EPA strongly encourages the purchase and use of tablet personal computers with EPA developed templates to automate the PCB inspection process. Software and training are available from EPA headquarters.

States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements. Funding priorities in FY 10, assuming the same funding provided in FY09, will be: 1) existing compliance monitoring programs to ensure their continuance provided they continue to meet certain standards; 2) activities leading to waiver status for asbestos programs; 3) training activities as necessary for meeting training requirements necessary for obtaining and keeping EPA credentials in those programs which require the use of EPA credentials (the PCB compliance monitoring programs and asbestos programs in non-waiver states); 4) new programs that provide inspection activity where there is an identified need; and 5) activities that further the use of new technology for conducting field inspections, e.g., use of personal computer Tablets and PCB template to improve the efficiency of inspections. States with authorized lead-based paint programs will focus compliance monitoring activities on individuals and firms which conduct lead abatement with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds are available for costs specifically incurred by States, tribes, and tribal consortiums in developing, enhancing and maintaining comprehensive compliance monitoring/enforcement programs under TSCA, including PCBs,

asbestos, and lead-based paint. Funded activities may include inspector training, inspection supplies, and laboratory costs, including personnel and equipment; reimbursement for salaries, travel, training, and per diem expenses for inspectors, analysts, and program managers; and other functions related to grant activities. For those programs where inspections are conducted using EPA credentials, prior to conducting inspections under the Grant, the State/Tribe must have an authorization agreement and the inspectors must complete the minimum inspector training, including health and safety training, and conduct inspections according to the September 2004 Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA. They must also have a signed authorization agreement with EPA.

**Applicant Eligibility:**

In order to be eligible to apply for STAG TSCA Compliance Monitoring Agreements State Agencies and Indian Tribes should have toxic substance compliance responsibilities and have the authority to enter into these cooperative agreements. For Lead, State Agencies, Indian Tribes, and tribal consortiums that have toxic substance compliance responsibilities, who have the authority to enter into these cooperative agreements, and who have their own lead laws in place are eligible to apply for assistance under STAG TSCA Compliance Monitoring Grants.

**Beneficiary Eligibility:**

States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, Indian Tribes and Intertribal Consortia, and any territory or possession of the United States.

**Credentials/Documentation:**

The applicant must supply evidence of legal authority to conduct toxic substance compliance program activities contemplated under the grant and a workable program officially adopted for the agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program office concerning program preparation are advisable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance awards through the Federal Assistance Awards Data System (FAADS). "Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA."

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under TSCA Section 28, no grant may exceed 75 percent of the establishment and operation costs of such a program during the

period for which the grant is made. Thus, recipients must contribute 25% of the total costs for activities conducted under Section 28 of TSCA (i.e., the PCB and Asbestos grants). There are no cost-sharing or matching fund requirements for lead-based paint enforcement grants under Section 404(g). There is no statutory formula aside from the required 25 percent contribution of the States for the PCB and asbestos grants.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipients must request the initial advance payment on the form SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Other.

**Reports:**

As required in the Annual Program Guidance for inclusion in the grant award, grantees must submit mid-year and year-end evaluations. For inspections conducted using credentials issued by EPA to the state or tribal employee, the inspection report must be submitted to the regional office for review pursuant to the authorization agreements. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$5,273,600; FY 09 est \$5,099,000; FY 10 est \$5,099,000

**Range and Average of Financial Assistance:**

For PCB and Asbestos: \$18,900 to \$221,000/year; \$90,000/year

For Lead: 21,400 - 36,200; 28,500/year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Twenty-four Asbestos, nine PCB, and thirty six Lead State cooperative agreements were awarded in FY 08 and FY 09. A similar number are expected to be awarded in FY 10. Agencies participating in the Federal enforcement cooperative agreement program receive funds to support and enhance toxic substance compliance monitoring/ enforcement activities. To date, many states including, Indiana, Missouri, North Dakota, Tennessee, and Illinois have purchased, have received training from EPA, and are using PC Tablets and the PCB inspection software to conduct PCB inspections.

Typical program activities for asbestos include compliance inspections at facilities regulated under TSCA, preparation of inspection reports, case preparation activities for some programs, and for waiver states, taking enforcement action and for non-waiver states, referral and submission of inspection reports to EPA for case review and appropriate enforcement action

when violations are detected. Based on regional data, the following are the asbestos inspection numbers, 1,043 compliance monitoring inspections were conducted in FY 08 and 1,025 compliance monitoring inspections will be conducted in FY 09 (per the Region's and states commitments, and similar numbers in FY 10). These numbers include the non-waiver states.

Typical program activities for the PCB grant program include compliance inspections at facilities regulated under TSCA, initial case preparation, and submission of inspection reports to EPA for review and enforcement action, if appropriate. Based on regional data the following are the PCB inspection numbers, 351 compliance monitoring inspections were conducted in FY 08, and approximately 350 inspections will be conducted in FY 09, and similar number of inspections will be conducted in FY 10 if funding levels are the same.

Typical program activities, for Lead include compliance inspections at facilities regulated under TSCA and, initiation of appropriate enforcement action by authorized states or referral to EPA for case review and appropriate enforcement action when violations are detected. Based on the data inputted into the National Compliance Data Base (NCDB) system and regional data the following are the Lead inspection numbers, approximately 6000 section 402/406 lead paint inspections by authorized states in FY 2008, and anticipate similar levels of compliance monitoring activities for FY 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Phyllis Flaherty National Compliance Monitoring Policy Branch, Compliance Assessment and Media Programs Division, Office of Enforcement and Compliance Assurance, (2223A), U.S. EPA, 1200 Pennsylvania Ave. NW., , Washington, District of Columbia 20460 Email: Flaherty.Phyllis@epa.gov Phone: (202) 564-4131

**Website Address:**

<http://www.epa.gov/compliance/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State agencies participating in the Federal/State enforcement cooperative agreement program receive funds to support and enhance compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include development of State enabling legislation for enforcement, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. In addition, EPA is encouraging states/tribes to purchase Personal Portable Computers, i.e., Tablet PCs, that are compatible for use with PCB inspection software developed by EPA for conducting inspections and writing inspection reports. The National Compliance Monitoring Branch (NCMPB) developed a PCB Inspection Template to make inspections more efficient and consistent by allowing the inspector to use handwriting recognition software to collect data electronically. The software prints EPA notification forms; collects inspection data for opening and closing conferences, records reviews, and walkthroughs; makes available necessary reference materials; and assists in inspection report writing. For Template software and training in the use of the Tablet PCs and PCB Template, state/tribes may request the PCB software and training on its use through their regional project

officer. It is anticipated software for asbestos inspections will be available in the near future. Once developed, states are encouraged to purchase Tablet PCs compatible with the software developed and to use the Tablets to conduct the inspection and prepare the inspection report. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to criteria including the following: (1) Need: The need for the development, improvement, and/or maintenance of a comprehensive compliance monitoring/enforcement program within the State; (2) Level of Activity: The amount of regulated chemicals and facilities, and the potential risk to human health and the environment; (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the compliance program; and (4) Effectiveness of program: The past level and effectiveness of the State regulatory program, number of inspections conducted by state and number of trained inspectors that have completed the minimum training set forth in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA."

#### **66.707 TSCA TITLE IV STATE LEAD GRANTS CERTIFICATION OF LEAD-BASED PAINT PROFESSIONALS**

(State Lead Certification Grants)

##### **FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

##### **AUTHORIZATION:**

Toxic Substances Control Act, Section 404(g).

##### **OBJECTIVES:**

The goal of EPA's lead-based paint program is to eliminate childhood lead poisoning by 2010. The program is comprised of four strategies designed to achieve the following goals: 1) Establish standards to define where lead hazards are present in paint, dust and soil; 2) Give the public information about lead hazards and steps to protect themselves; 3) Ensure that information about known lead-based paint hazards is disclosed to individuals buying or renting pre-1978 housing, and that owners and occupants of pre-1978 housing are provided information on lead-based paint hazards before renovation activities take place; 4) Establish lead-safe work practice standards and require lead-based paint professionals to be trained and certified. The objective of this grant program is to assist States, Tribes, and Territories in developing and carrying out authorized programs that: (a) certify contractors engaged in lead-based paint activities and accredit lead-based paint activities training programs; (b) certify contractors engaged in renovation, repair and painting activities that disturb painted surfaces in most target housing; and/or(c) require distribution of lead-hazard information prior to renovation (pre-renovation education program). Funding Priority - Fiscal Year 09: The priority for FY 09 is to continue to provide assistance to authorized State, Tribal and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. If appropriate, the Agency will use grant funding to provide assistance to a State, Tribal or Territorial program that is looking to develop an authorized Renovation, Repair and Painting Program.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to authorization under TSCA Title IV. Supported activities must contribute or lead to the attainment or maintenance of authorization pursuant to TSCA Title IV. Funds cannot be used for general program activities not related to the attainment or maintenance of authorized programs.

##### **Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, and any other territory or possession of the United States may receive assistance under Section 404(g) of TSCA. Federally recognized Indian

governing bodies are also eligible to apply for and receive assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

State governments, Federally recognized Indian governing bodies, U.S. Territories and possessions.

##### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Discussions or informal meetings with the appropriate EPA Regional Office concerning program preparation are advisable. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office. The following forms and certifications must be included in all final grant applications: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information & #150; Non-Construction Programs); Standard Form 424B (Assurances -- Non-Construction Programs); Certification Regarding Lobbying and SF LLL, if applicable; Certification Regarding Debarment and Suspension; EPA Form 4700-4 (Compliance Review Report Form); and Quality Assurance Narrative Statement, if applicable. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

##### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

##### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

##### **Renewals:**

Applicant must reapply for grant funding each fiscal year.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Cooperative agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis. See the following

for information on how assistance is awarded/released: Grantees usually receive either a lump sum payment or draw down funds as their Agency allows.

**Reports:**

No program reports are required. No cash reports are required. Pursuant to 40 CFR 31.40, grantees shall, at a minimum, submit annual performance reports to the appropriate EPA Regional Office. These requirements were approved by the Office of Management and Budget (OMB) under OMB Control Number 2030-0020 (General Administrative Requirement for Assistance Programs). The individual Regional Offices may require that these reports be submitted on a quarterly or semiannual basis, but not more frequently than quarterly. The specific information contained within the report will include, at a minimum, a comparison of actual accomplishments to the objectives established for the period. Regional Offices may ask for the inclusion of specific data (e.g., providing to EPA specific address information associated with the abatement notifications that are received by the grantee) as part of the annual performance report from the grantees which may be useful for Agency reporting under the Government Performance and Results Act. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$13,546,000; FY 09 est \$13,564,000; FY 10 est \$14,564,000

**Range and Average of Financial Assistance:**

\$16,000 to \$350,000; average of \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: As of May 2009 39 States, 3 Tribes, Puerto Rico, and D.C. have received EPA approval to administer a lead-based paint activities training and certification program and 2 States have received authorization to administer and enforce a pre-renovation education program.

As of May 2009, 26 States, 1 Tribe and DC have received seed grants to begin work toward becoming authorized to implement the new Renovation, Repair and Painting rule. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Lead Contact Person in the appropriate EPA regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michelle Price National Program Chemicals Division (7404T)

Office of Pollution Prevention and Toxics  
U.S. Environmental Protection Agency  
1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: price.michelle@epa.gov Phone: (202) 566-0744

**Website Address:**

<http://www.epa.gov/lead/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Over the past twelve years, EPA has provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR part 745, subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.708 POLLUTION PREVENTION GRANTS PROGRAM**

(P2 Grant Program)

**FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

**AUTHORIZATION:**

Pollution Prevention Act of 1990, Section 6605, Public Law 101-508.

**OBJECTIVES:**

This CFDA announcement supports the Pollution Prevention (P2) and the Pollution Prevention Information Network (PPIN) Grant Programs. Both programs were authorized under the Pollution Prevention Act of 1990. The P2 Grant program funds grants/cooperative agreements that implement pollution prevention technical assistance services for businesses. The PPIN Grant Program funds grants/cooperative agreements projects that aim to create collaborative national networks to maintain and share information on P2 tools and services. Under these grant programs, EPA supports projects that utilize pollution prevention techniques to reduce and/or eliminate pollution from air, water and/or land. Funding Priority - Fiscal Year 2009: To help business and industry incorporate pollution prevention techniques into their day-to-day business operations as a way to reduce and/or eliminate harmful pollutants that may enter the air, water or land. For purposes of these grant programs, pollution prevention refers to practices that reduce or eliminate the creation of pollutants through increased efficiency in the use of raw materials, energy, water or other resources, and/or protection of natural resources through conservation. EPA achieves these priorities by awarding grants and cooperative agreements to States, Federally-recognized Tribes, Inter-Tribal Consortia's and colleges and universities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds awarded under the P2 and PPIN Grant Programs support innovative activities that promote preventive approaches to environmental performance and address the transfer of potentially harmful pollutants across all environmental media: air, water, and land. These two grant programs support the establishment and expansion of State and Tribal pollution prevention



programs and address various sectors of concern such as industrial toxics, agriculture, energy, transportation, etc.

Specifically, the P2 Grant Program is intended to build and support State and Tribal pollution prevention approaches and methodologies. The P2 Grant Program is focused on institutionalizing multimedia pollution prevention as an environmental management priority, establishing prevention goals, providing direct technical assistance to businesses, conducting outreach, and collecting and analyzing data.

Under the PPIN Grant Program, EPA supports projects that help to coordinate work among technical assistance providers in order to minimize duplication of effort in information collection and synthesis, dissemination and training for the promotion of pollution prevention technologies.

The P2 and PPIN grant programs will not support projects that focus on recycling, waste removal or any activity which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which is not integral to and necessary for the production of a product or essential to providing a service. For more information, refer to PPA Section 6603 and 40 CFR Sections 35.343 and 35.662.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In accordance with the Pollution Prevention Act of 1990, eligible applicants for purposes of funding under these grant programs include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, and any territory or possession of the United States, any State agency or instrumentality of a State including State colleges/universities, Federally-recognized Tribes and Intertribal Consortia. For convenience, the term "State" in this notice refers only to eligible applicants.

Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible to apply for funding.

**Beneficiary Eligibility:**

State applicants are encouraged to establish partnerships with business and other environmental assistance providers to deliver seamless pollution prevention assistance. The most successful applications will be those that make the most efficient use of government funding. In many cases, this has been accomplished through partnerships. As a result, those who are eligible can provide pollution prevention benefits to the following entities: States, interstate and local agencies or organizations/universities, Federally-recognized Tribes, Intertribal Consortia, public or private nonprofit organizations/institutions, private businesses, and quasi public nonprofit organizations.

**Credentials/Documentation:**

In cases where applicants are not clear, by given name, the applicant must provide proof that the applicant is indeed a State or interstate agency/organization. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If the applicant does not know who their Single Point of Contact is, they may call the appropriate EPA regional coordinator listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the

State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for general information may be made to EPA Headquarters or to the appropriate EPA Regional Office listed in Appendix IV of this Catalog. Under the P2 grant program, proposals and final applications must be submitted to the appropriate Regional Pollution Prevention Program office in order to be considered for an award. Under the PPIN grant program, proposals and final applications must be submitted to EPA Headquarters in order to be considered for an award.

Applications must meet the requirements of the grant regulations and will be reviewed to determine the relevancy of the proposed project(s). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 to 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Pollution Prevention Act of 1990.

Matching Requirements: The statutory formula for P2 and PPIN grants is authorized by the Pollution Prevention Act of 1990. Organizations receiving grant funds through the P2 and PPIN Grant Programs are required to match Federal funds by at least 50 percent. For example, the Federal government will provide half of the total allowable cost of the project, and the State will provide the other half. A grant request for \$100,000 would support a total allowable project cost of \$200,000, with the State providing \$100,000. State contributions may include: dollars, in kind goods and services, and/or third party contributions. With concern to P2 Grants only: If a Tribe or Intertribal Consortium is selected for an award, and the Tribe includes the funds from a performance partnership grant (PPG) awarded under 40 CFR Part 35, Subpart B, the required Tribal match for the Pollution Prevention portion of the PPG will be reduced to 5% of the allowable Pollution Prevention project cost for the first two years of the PPG grant. After the first two years in which a Tribe or Intertribal Consortium receives a Performance Partnership Grant, the Regional Administrator must determine through objective assessment whether the Tribe or the members of an Intertribal Consortium meet socioeconomic indicators that demonstrate the ability of the Tribe or the Intertribal Consortium to provide a cost share greater than five percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 3 years. Funds are released by a letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. The P2 and PPIN Grant programs require grantees to submit budget information to the grant project officer. The information should be included in the grantees' semi-annual progress report. The P2 and PPIN Grant programs requires the grantee to submit semi-annual

progress reports to the grant project officer. The report should explain the work executed under the project(s), whether or not the project's milestones were achieved, and the staff and budget plan for any remaining work. Expenditure reports are required at the end of the grant/cooperative agreement. The grantee should submit this information to the grant project officer when submitting their final technical report. If the grantee proposes work that involves gathering, measuring, or tracking environmental data the grantee is required to report on their environmental performance. The information should be provided in the grantees' semi-annual progress report and final technical report. The reports should be submitted to the grant project officer.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

(Project Grants) FY 08 \$4,863,000; FY 09 est \$4,940,000; FY 10 est \$4,940,000

#### **Range and Average of Financial Assistance:**

Range in FY 2008: \$30,000 - \$180,000; Average in FY 2008: \$80,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY '08, EPA awarded 46 P2 Grants totaling \$3,994,964. P2 Grants are made available to State institutions and Federally-recognized tribes to develop projects to provide pollution prevention technical assistance. In FY '08, EPA awarded 7 PPIN Grants totaling \$820,000. PPIN Grants are issued to State institutions to strengthen the efficiency and effectiveness of retrieving electronic pollution prevention information and/or resources nationwide. EPA anticipates similar accomplishments under both programs in FY '09. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

#### **Regional or Local Office:**

See Regional Agency Offices. U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), 1 Congress Street, Suite 1100 - Room 2203, Mail Code: SPP, Boston, MA 02114-2023; Contact: Robert Guillemain, phone: (617) 918-1814; fax: (617) 918-1810; email: guillemain.robert@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Mindee Osno, phone: (215) 814-2074; fax: (215) 814-3274; email: osno.mindee@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal

Center, 61 Forsyth Street S.W., Atlanta, GA 30303, Contact: Suganthi Simon: phone: (404) 562-9384; fax: (404) 562-9066; email: simon.suganthi@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contact: Phil Kaplan, phone: (312) 866-4669; fax: (312) 353-4788; email: kaplan.phil@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431; fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSP, 901 N. 5th Street, Kansas City, KS 66101, Contact: Marcus Rivas, phone: (913) 551-7669; fax: (913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email: walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: OEA-095, 1200 Sixth Ave. Seattle, WA 98101, Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

#### **Headquarters Office:**

Michele Amhaz Office of Pollution Prevention and Toxics  
Pollution Prevention Division  
U.S. Environmental Protection Agency  
1200 Pennsylvania, Ave., N.W., (MC 7409-M), Washington, District of Columbia 20460 Email: amhaz.michele@epa.gov Phone: (202) 564 8857

#### **Website Address:**

<http://www.epa.gov/p2/pubs/grants/index.htm>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following text provides examples of P2 Grants that were funded in FY '08:

EPA funded amount: \$63,676

The recipient will initiate a P2 for wastewater and environmental assistance conference, a South Carolina Environmental Excellence program and partner with the South Carolina Department of Commerce. The project supports wastewater self-assessments, technical assistance site visits, best practices for stormwater management; promotes partnerships, and modifies and increases distribution of the "Handy Guide for Environmental Assistance."

EPA funded amount: \$76,000

The recipient is proposing a project with overall objectives to achieve water and/or energy conservation in municipal, commercial, and/or residential settings. The recipient will work with communities, their constituents, and Illinois EPA staff to identify opportunities to reduce energy use, water use and wastewater generation. Additionally, the project will promote the implementation of strategies to achieve the desired improvements. The recipient's ADOP2T (Accelerated Diffusion of Pollution Prevention Technology) approach will be used to facilitate the implementation of innovative technologies in addition to more "tried and true" approaches to pollution prevention and energy efficiency (P2/E2) that can achieve reduction in water usage and energy.

EPA funded amount: \$65,000

The recipient will provide technical assistance for small and medium size businesses, initiate P2 projects with Pueblo of Taos, offer P2 training to dental

and healthcare facilities and introduce environmental management systems to municipalities. Portions of the technical assistance will be in partnership with NMED. The EMS work will be done in partnership with the University of Texas at Arlington.

EPA funded amount: \$128,929

The recipient will provide multimedia P2 and energy conservation technical assistance to businesses, manage an intern program to assist companies with implementing P2 and energy conservation projects, conduct air quality "lunch and learns" to foster ozone reduction, educate the public on P2 by hosting an environmental conference with P2 awards, and publish a newsletter.

EPA funded amount: \$45,706

The recipient will provide technical assistance to employees of government and non-government organizations to increase green purchasing statewide and realize increased energy conservation, reduced hazardous waste, and waste minimization benefits. Tracking and reporting tools will be used to measure effectiveness of programs and environmental benefits will be reported. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.709 MULTI-MEDIA CAPACITY BUILDING GRANTS FOR STATES AND TRIBES**

#### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

#### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxic Substances Control Act, Section 10; Clean Water Act, Section 104; Safe Drinking Water Act, Section 1442; Clean Air Act, Section 103; Solid Waste Disposal Act, Section 8001; Marine Protection, Research and Sanctuaries Act, Section 203; Indian Environmental General Assistance Program Act.

#### **OBJECTIVES:**

The general objectives of this program are to build and improve the capacity of States, multijurisdictional State organizations and federally recognized tribes by providing assistance agreements to foster environmental enforcement and compliance assurance activities and to improve compliance with environmental laws. Such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training and fellowships to the extent authorized under the Acts listed above. These funds cannot be used for implementation of compliance monitoring and enforcement programs. Funding Priority - Fiscal Year 2009: The Office of Compliance (OC), within EPA's Office of Enforcement and Compliance Assurance (OECA) will be soliciting proposals and partial grant applications for states and tribes to strengthen their ability to address environmental and public health threats, while furthering the art and science of environmental compliance. In previous years, areas of emphasis have been: (1) tribal and state inspection training, (2) program planning and performance measurement, (3) outcome measurement, (4) public access, (5) data management, and (6) permit compliance system modernization.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The Office of Enforcement and Compliance Assurance identifies special focus areas each funding cycle (annually). Work under grants and agreements must address those focus areas. Previous years have included calls for proposals for innovative enforcement and compliance assurance projects including training, performance measurement, data quality, and public access to information.

#### **Applicant Eligibility:**

State agencies, U.S. territories, the District of Columbia, federally recognized

Indian Tribes and Intertribal Consortia, local governments, and multi-jurisdictional State organizations and associations of environmental regulatory professionals, with enforcement and compliance assurance responsibilities or responsibilities that support enforcement and compliance assurance including but not limited to data management or research. In addition, public universities and colleges with expertise in compliance assurance and enforcement issues, including compliance assistance and training to tribal environmental professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State agencies, U.S. territories, the District of Columbia, federally recognized tribes, and local governments.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

The Office of Enforcement and Compliance Assurance typically requests proposals and partial grant applications (424 and 424A) from applicants detailing the substantive information asked for in the solicitation. Initial decisions are made based on headquarters and regional review of the proposals. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal Agency and required by the OMB Circular No. A-102 must be used for this program. Requests for application forms and completed applications should be submitted to EPA. (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to partially fund proposals/applications by funding discrete activities, portions, or phases of proposed projects. If EPA decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and selection process.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 90 days from the date of submission of the final proposal.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in one lump sum to the applicant for projects spanning up to 3 years. It is recommended that the money be spent within 5 years of receipt. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Semi-annual reports must be submitted (in pdf) to the Project Officer for the duration of the project period. Final reports (in pdf) must be submitted upon completion of the project. Final reports must contain interim outcomes and/or final outcomes achieved as a result of the funding. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,666,300; FY 09 est \$1,828,000; FY 10 est \$1,828,000

**Range and Average of Financial Assistance:**

The range for the smallest and largest awards in the past fiscal year is \$21,600 to \$200,000. The average amount of financial assistance over the past and current fiscal years is \$156,825.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The solicitation in fiscal year 2008 resulted in 17 projects being selected for funding from a total of 40 proposals (42.5%). The FY2009 solicitation is currently being finalized therefore no selections or awards have been made yet. Previous years have included calls for proposals for innovative enforcement and compliance assurance capacity building projects including inspector training, performance measurement, data quality, public access to information, data management, and performance measurement/program planning. The Office of Enforcement and Compliance Assurance has posted the previous and current grant project results and outcomes on their OECA website at <http://www.epa.gov/compliance/state/grants/stag/index.html>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative

Agreements to and Local Governments (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ginger Gotliffe Office of Compliance  
Environmental Protection Agency  
Ariel Rios Bldg., 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [gotliffe.ginger@epa.gov](mailto:gotliffe.ginger@epa.gov) Phone: (202) 564-7072

**Website Address:**

<http://www.epa.gov/compliance/state/grants/stag/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1. Feasibility study on migration of state/tribal data from the legacy Permit Compliance System (PCS) system to the new modernized Integrated Compliance Information System-National Pollutant Discharge Elimination System, (ICIS-NPDES) (e.g., conversion of General Permit data currently in legacy PCS to correspond with the General Permit data requirements of the modernized system). 2. Improved tribal access to on-site compliance assistance and compliance monitoring services and/or improved tribal capacity for compliance monitoring and enforcement. 3. Establish a training program to support the creation of an inspection force for regulated underground storage tank facilities (UST), and design and implement a continuing education module for UST inspectors. 4. Development of a sector-specific model for outcome-based performance measures. 5. Provide technical assistance, including training, to build capacity to provide compliance assistance to Municipal Separate Storm Sewer Systems (MS4) program. Development of MS4 demonstration projects that show how states will build capacity to operate and maintain a high quality MS4 program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.714 PESTICIDE ENVIRONMENTAL STEWARDSHIP REGIONAL GRANTS**

(PESP Regional Grants)

**FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20.

**OBJECTIVES:**

To provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the United States. The objective is to provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the United States. This program is competed and the grants are awarded by EPA's Regional grant offices. Funding Priority - Fiscal Year 2009: The Pesticide Environmental Stewardship Program (PESP) Regional Grants - projects to provide risk reduction from the use of pesticides in agricultural and non-agricultural settings in the U.S. Types of activities: pesticide risk reduction, pesticide pollution prevention, Integrated Pest Management (IPM) implementation, and children's health issues related to pesticides.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund projects that further the goals of the Pesticide Environmental Stewardship Program (PESP). The type of projects that will be considered include research, monitoring, demonstration, and related activities. Projects must address the risk reduction goals of PESP, pesticide pollution prevention or Integrated Pest Management (IPM), or children's health issues

related to pesticides. There are no discretionary funds available to fund projects.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any Territory or Possession of the United States, any agency or instrumentality of a State including State Universities, and all Federally recognized Native American Tribes. Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible. The organizations excluded from applying directly are encouraged to work with eligible applicants in developing proposals that include them as participants in the projects.

**Beneficiary Eligibility:**

Any State, U.S. Territory/Possession, Native American Organization, or other entities working in conjunction with these eligible applicants.

**Credentials/Documentation:**

Application should present a well thought out work plan with established infrastructure to execute the work plan. Key officials should have and document appropriate work experience or education to effectively carry out the proposed work plan or research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Grants are awarded on the basis of merit. The call for proposals is announced on the Office of Pesticide Programs' website and by other established mechanisms early in the fiscal year. The proposal format is specified in the call. Proposals not using the published format will not be considered. National criteria are established in the call and the Regional Offices may add additional criteria that may tailor the project proposals to specific environmental projects within the Region. Once the grant process is announced nationally, interested applicants are urged to contact the appropriate EPA Regional Office for detailed instructions. Proposals are submitted to an EPA Regional Office. All proposals received are rated using the published criteria and compete for funding against all acceptable proposals received. Consultation or assistance in filling out a project proposal is available from any of the EPA Regional Offices either by phone, mail, fax or electronic mail. EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Successful applicants will be notified and invited to complete and sign a Standard Form 424, (an application form) which will be supplied upon notification. Questions about this form will be answered by the Regional representative who contacts the applicant. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a project period not to exceed 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Organizations that are awarded grant/cooperative agreement funds will be required to submit at least annual progress reports, during the life of the project, to the EPA Project Officer. Each report will summarize funds expended, tasks accomplished, and results achieved to date. A summary final report will also be required at the end of the project period. This final report should include a discussion of the prospects of continuation, further development of the effort, project evaluation and future direction. Grantees are required to submit program reports to their regional Project Officer. Grantees are required to submit financial reports to their regional Project Officer. Grantees are required to submit progress reports to their regional Project Officer. Grantees are required to submit expenditure reports. Grantees are required to perform performance monitoring as part of their requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-2-1-304.

**Obligations:**

(Project Grants) FY 08 \$497,200; FY 09 est \$500,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,500. Average: \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For fiscal year 2008, 22 awards were made (two per Region) to Tribal or State entities to conduct research and/or demonstration projects that promoted Integrated Pest Management (IPM) or other practices that reduce the risks associated with the use of pesticide products. Fiscal Year 2009: An announcement was posted for FY 2009 to continue this program. We anticipate making 10 awards, one per Region. Applications are due by June 12, 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32 and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. The applicant may contact the appropriate EPA

Regional PESP Coordinator to obtain clarification and guidance. EPA Regional PESP Coordinators are: Region I (Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, Vermont), Andrea Szylyvian, 1 Congress St Ste 1100 (SEP), Boston, MA 02114-2023. Telephone: (617) 918-1198, szylyvian.andrea@epa.gov. Region II (New York, New Jersey, Puerto Rico, Virgin Islands), Audry Moore, Raritan Depot, 2890 Woodbridge Ave (MS-500), Edison, NJ 08837-3679. Telephone: (732) 906-6809, moore.audry@epa.gov. Region III (Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia), John Butler, 1650 Arch St (3WC32), Philadelphia, PA 19103-2029. Telephone: (215) 814-2127, butler.john@epa.gov. Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Patricia Livingston, 61 Forsyth St SW, Atlanta, GA 30303-8960. Telephone: (404) 562-9171, livingston.patricia@epa.gov. Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin), Heather Anhalt, 77 W Jackson Blvd (DT-8J), Chicago, IL 60604-3507. Telephone: (312) 886-3572, anhalt.heather@epa.gov. Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas), Eugene Thilsted, 1445 Ross Ave Ste 1200 (6PD-P), Dallas, TX 75202-2733. Telephone: (214) 665-2782, thilsted.eugene@epa.gov. Region VII (Iowa, Kansas, Missouri, Nebraska), Heather Duncan, 901 N Fifth St. (WWPDTOPE), Kansas City, KS 66101. Telephone: (913)551-7640, duncan.heather@epa.gov. Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming), Jaslyn Dobrahner, 1595 Wyncoop ST.(8P-P3T), Denver, CO 80202-2466. Telephone: (303) 312-6252, dobrahner.jaslyn@epa.gov. Region IX (Arizona, California, Hawaii, Nevada, American Samoa, Guam), Cindy Wire, 75 Hawthorne St (CED-1), San Francisco, CA 94105, Telephone: (415) 947-4242, Wire.Cindy@epa.gov. Region X (Alaska, Idaho, Oregon, Washington), Sandra Halstead, WSU-IAREC, 24106 N. Bunn Road, Prosser, WA 99350. Telephone: (509) 786-9225, halstead.sandra@epa.gov.

**Headquarters Office:**

Frank Ellis Biopesticides and Pollution Prevention Division (7511-P)  
Office of Pesticide Programs  
Environmental Protection Agency  
1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: ellis.frank@epa.gov Phone: 703-308-8107

**Website Address:**

[http://www.epa.gov/peps/regional\\_grants.htm](http://www.epa.gov/peps/regional_grants.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) Integrated Pest Management (IPM) education programs; 2) research on safer methods for controlling agricultural pests including non-chemical control methods; 3) urban IPM projects; 4) implementation of IPM in schools; and 5) pesticide risk reduction utilizing decision-support systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.715 LEAD EDUCATIONAL OUTREACH AND BASELINE ASSESSMENT OF TRIBAL CHILDREN'S EXPOSURE AND RISKS ASSOCIATED WITH LEAD**

(Tribal Lead Grants)

**FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Title 10.

**OBJECTIVES:**

The Tribal Lead Grant Program for outreach and education is supported by EPA's goal to reduce childhood lead poisoning. The grant projects should support this goal by providing lead poisoning prevention education and blood-lead screening of Tribal children. This program is not being funded in FY 2009. Awards based on applications received in FY 2009 will be made in FY

2010. Funding Priority-Fiscal Year 2010: To support Tribal lead outreach and baseline assessment activities to identify children's risks to lead hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to blood-lead screening of tribal children and outreach efforts to educate Indian families about the dangers of exposure to lead-based paint hazards among children.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible recipients are Federally recognized Indian Tribes or Tribal consortiums (an association or partnership with one or more Federally recognized Indian Tribes) only.

**Beneficiary Eligibility:**

Federally recognized Indian Tribes.

**Credentials/Documentation:**

Tribal consortiums must submit letters of interest and support from Tribal Chair that is being represented in the proposal. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Such applications must also include standard forms as listed in the grants.gov instructions. Proposals may also be submitted to EPA via regular or overnight mail. Proposals must address all elements in the evaluation criteria listed in the Request for Proposals. Proposals submitted by mail are not required to include any standard forms as in the grants.gov submittals.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for proposal submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 2 years from award of grant. Assistance is awarded in lump sum amounts. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required within 30 days of each quarter. No cash reports are required. Quarterly progress reports and a detailed final report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required within 30 days of each quarter. Applicants are further required to make a commitment to share all data collected with EPA for assessment on a regional level. The Final report shall be completed within 90 calendar days of the completion of the project period. The final report should encompass a complete overview/summary of all of the activities conducted within the grant project period; including any and all data results as well as a justification for impediments. Quarterly reports summarizing expenditures are required within 30 days of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$475,042; FY 09 est \$0; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

The overall range for outreach awards in FY 08 was between \$50,042 and \$75,000. The average outreach award was \$68,760 in FY 08. The overall range for baseline assessment awards in FY 08 was \$50,000 (all same amount). The average baseline assessment award in FY 08 was \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, 20 grants were received and 8 grants were awarded. Anticipated accomplishments include testing Native American children and homes for lead and development and/or distribution of lead awareness materials to the Native American communities. Fiscal Year 2009: No awards have been made for 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV

of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemicals Division, Office of Pollution Prevention and Toxics (7404T), Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460  
Email: watford.darlene@epa.gov Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include the development of a customized lead poisoning prevention brochure and poster for Native Americans, development of a series of lead poisoning prevention coloring books sheets with Native American themes, setting up a blood-lead testing booth during a Little League baseball sign-up session, arranging in-home lead inspections, and blood-lead testing at a Head Start facility. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.716 RESEARCH, DEVELOPMENT, MONITORING, PUBLIC EDUCATION, TRAINING, DEMONSTRATIONS, AND STUDIES**

**FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), Section 20, Public Law 106-74; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

Grants are awarded to support Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies assistance relating to the protection of public health and the environment from pesticides and potential risk from toxic chemicals. Funding Priority - Fiscal Year 2009: projects for safer use of pesticides, including worker protection, certification and training of pesticide applicators, protection of endangered species, tribal pesticide programs, integrated pest management; environmental stewardship, Pesticide Registration Renewal Act (PRIA 2) Partnership grants; and Pesticide Regulatory Education Program (PREP). Types of activities: developed and implemented programs to reduce pesticide risks; developed pesticide drift mitigation education program; analysis and development of pilot pesticide safety programs and materials; Water Quality and Pesticide Management Planning for Federal Recognized Tribes; Tribal Pesticide Program Council (TPPC); national Train-the-trainer program to educate farmworkers on how to reduce risks from pesticides; develop and distribute innovative materials for integrating the National pesticide Competency for Medical & Nursing Education into curricular of medical and nursing programs; continue the National Pesticide Information Center (NPIC); and continue the National Pesticide Medical Monitoring Program (NPMMP)-provide clinical toxicology information and laboratory service; PRIA partnership grants; PREP education program for states and tribes; IPM in All Schools by 2015; Reduced pesticide use for Bemisia tabaci and Greenhouse Whiteflies on Greenhouse Tomatoes; The adoption integrated farming practices in Central Coast Vineyards; Reducing Pesticide Emissions/Orchards-San Joaquin; and adoption of reduced-risk pest management practices in Midwest Blueberries. The Office of Pollution Prevention and Toxics (OPPT)- Projects will provide multi-disciplinary environmental toxic education and training in the CARE national nonprofit competitive cooperative agreement program that covered a variety of sessions including auto body and nail salon pollution prevention, healthy homes, built environment, children's health, and environmental justice; focus on multiple programs areas under the OECD EHS Program, including industrial chemicals, pesticides, biocides, biotechnology and nanotechnology, support training, awareness raising and capacity building programs which encourage

environmentally sound management of hazardous waste and other waste by following a life-cycle management approach and by promoting sustainable developments policies; grants will also support the implementation and follow-up action of global instruments to reduce risks to human health and the environment presented by chemicals; OPPT's projects for supporting the implementation and follow-up action of global instruments to reduce risks to human health and the environment presented by chemicals; to identify and develop inventories for the release and transfer of pollutants; to identify, develop inventories, reduce, or eliminate the use of mercury-containing products; to develop environmentally sound waste management and reduction strategies; and to develop strategies for regional and international coordination for chemicals management."

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development.

**Applicant Eligibility:**

Assistance under this program is generally available to States, U.S. territories or possession, federally recognized Indian tribal governments and Native American Organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, local governments, and individuals and international entities. For profit organizations are not eligible. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to a subset of eligible applicants and/or to tribes, Alaska native villages, and intertribal consortia located in the Region where a project is going to be performed. For Tribal funding opportunities to be funded with the State and Tribal Grant (STAG) appropriation, eligibility will be limited to Tribes, Alaska native villages, and intertribal consortia to support the Office of Prevention, Pesticides and Toxic Substances' Tribal Program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Also, for certain competitive opportunities offices may limit eligibility to tribes in a region.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, federally recognized Indian tribal governments and Native American Organizations, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, general public, and other Non-Governmental Organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, 2 CFR Part 225 for State and local governments and Indian Tribes, OMB Circular No. A-21, 2 CFR Part 220 for educational institutions, and OMB Circular No. A-122, 2 CFR Part 230 for nonprofit institutions. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Non-profits required to demonstrate non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, development, monitoring, public education, training, demonstrations, and studies based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For this reason, we recommend that potential applicants discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. See

Appendix IV of the Catalog. EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including and application kit, required forms, and a check list may also be found at: <http://www.epa.gov/ogd/AppKit/>. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formal and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit. See the following for information on how assistance is awarded/released: Assistance agreements will be fully funded by a lump sum or incrementally funded yearly.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31. Under OPP, grantees are required to submit program reports.



Under OPPTS, grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to submit financial reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to submit progress reports. Under OPPTS, grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to submit expenditure reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to perform performance monitoring as part of their requirements. Under OPPTS, grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-4310-0-0-000; 68-0108-0-1-304; 68-5374-0-0-000; 68-0103-2-1-304.

**Obligations:**

(Project Grants) FY 08 \$4,805,823; FY 09 est \$3,408,100; FY 10 est \$3,443,100 - OPP - FY 08 \$4,123,600; FY 09 est. \$2,943,100; and FY 10 est. \$2,943,100

The Office of Pollution Prevention and Toxics (OPPT) - FY \$682,223; FY 09 est. \$465,000; FY 10 est. \$500,000.

**Range and Average of Financial Assistance:**

[10] PROGRAM TITLE ~ Update ~ Log ~ Top of page  
Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies.

Paragraph Comments  
No comments found

[20] POPULAR TITLE ~ Update ~ Log ~ Top of page  
No content available.

Paragraph Comments  
No comments found

[30] FEDERAL AGENCY ~ Update ~ Log ~ Top of page  
OFFICE OF PREVENTION, PESTICIDES AND TOXIC SUBSTANCES,  
ENVIRONMENTAL PROTECTION AGENCY

Paragraph Comments  
No comments found

[40] AUTHORIZATION ~ Update ~ Log ~ Top of page  
Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), Section 20; Toxic Substances Control Act, Section 10, as supplemented by Public Law No. 106-74; Public Law No. 105-174, which granted EPA permanent authority to use STAG funds to award grants (other than PPGs) to entities eligible to receive grants under the Agency's organic statutes; and NEPA Section 102(2)(F).

Paragraph Comments  
No comments found

[50] OBJECTIVES

General Objectives ~ Update ~ Log ~ Top of page  
Grants are awarded to support Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies assistance relating to the protection of public health and the environment from pesticides and potential risk from toxic chemicals.

Paragraph Comments  
No comments found

Funding Priority - Fiscal Year 2009 ~ Update ~ Log ~ Top of page  
OPP: projects for safer use of pesticides, including worker protection, certification and training of pesticide applicators, protection of endangered species, tribal pesticide programs, integrated pest management; environmental stewardship, Pesticide Registration Renewal Act (PRIA 2) Partnership grants; and Pesticide Regulatory Education Program (PREP). Types of activities: developed and implemented programs to reduce pesticide risks; developed pesticide drift mitigation education program; analysis and development of pilot pesticide safety programs and materials; Water Quality and Pesticide Management Planning for Federal Recognized Tribes; Tribal Pesticide Program Council (TPPC); national Train-the trainer program to educate farmworkers on how to reduce risks from pesticides; develop and distribute innovative materials for integrating the National pesticide Competency for Medical & Nursing Education into curricular of medical and nursing programs; continue the National Pesticide Information Center (NPIC); and continue the National Pesticide Medical Monitoring Program (NPMMP)-provide clinical toxicology information and laboratory service; PRIA partnership grants; PREP education program for states and tribes; IPM in All Schools by 2015; Reduced pesticide use for Bemisia tabaci and Greenhouse Whiteflies on Greenhouse Tomatoes; The adoption integrated farming practices in Central Coast Vineyards; Reducing Pesticide Emissions/Orchards-San Joaquin; and adoption of reduced-risk pest management practices in Midwest Blueberries. The Office of Pollution Prevention and Toxics (OPPT)- Projects will provide multi-disciplinary environmental toxic education and training in the CARE national nonprofit competitive cooperative agreement program that covered a variety of sessions including auto body and nail salon pollution prevention, healthy homes, built environment, children's health, and environmental justice; focus on multiple programs areas under the OECD EHS Program, including industrial chemicals, pesticides, biocides, biotechnology and nanotechnology, support training, awareness raising and capacity building programs which encourage environmentally sound management of hazardous waste and other waste by following a life-cycle management approach and by promoting sustainable developments policies; grants will also support the

implementation and follow-up action of global instruments to reduce risks to human health and the environment presented by chemicals; OPPT's projects for supporting the implementation and follow-up action of global instruments to reduce risks to human health and the environment presented by chemicals; to identify and develop inventories for the release and transfer of pollutants; to identify, develop inventories, reduce, or eliminate the use of mercury-containing products; to develop environmentally sound waste management and reduction strategies; and to develop strategies for regional and international coordination for chemicals management."

Paragraph Comments  
No comments found

Funding Priority - Fiscal Year 2010 (optional) ~ Update ~ Log ~ Top of page

No content available.

Paragraph Comments  
No comments found

[60] TYPES OF ASSISTANCE ~ Update ~ Log ~ Top of page  
Project Grants.

Paragraph Comments  
No comments found

[70] USES AND USE RESTRICTIONS ~ Update ~ Log ~ Top of page  
Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development.

Paragraph Comments  
No comments found

[80] ELIGIBILITY REQUIREMENTS

[81] Applicant Eligibility ~ Update ~ Log ~ Top of page  
Assistance under this program is generally available to States, U.S. territories or possession, federally recognized Indian tribal governments and Native American Organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, local governments, and individuals and international entities. For profit organizations are not eligible. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to a subset of eligible applicants and/or to tribes, Alaska native villages, and intertribal consortia located in the Region where a project is going to be performed. For Tribal funding opportunities to be funded with the State and Tribal Grant (STAG) appropriation, eligibility will be limited to Tribes, Alaska native villages, and intertribal consortia to support the Office of Pesticide Programs Tribal Program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Also, for certain competitive opportunities offices may limit eligibility to tribes in a region.

Paragraph Comments

No comments found

[82] Beneficiary Eligibility ~ Update ~ Log ~ Top of page  
State and local governments, U.S. territories and possessions, federally recognized Indian tribal governments and Native American Organizations, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, general public, and other Non-Governmental Organizations.

Paragraph Comments  
No comments found

[83] Credentials/Documentation ~ Update ~ Log ~ Top of page  
Costs will be determined in accordance with OMB Circular No. A-87, 2 CFR Part 225 for State and local governments and Indian Tribes, OMB Circular No. A-21, 2 CFR Part 220 for educational institutions, and OMB Circular No. A-122, 2 CFR Part 230 for nonprofit institutions. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Non-profits required to demonstrate non-profit status.

Paragraph Comments  
No comments found

[90] APPLICATION AND AWARD PROCESS

[91] Preapplication Coordination ~ Update ~ Log ~ Top of page  
EPA awards grants and cooperative agreements supporting research, development, monitoring, public education, training, demonstrations, and studies based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For this reason, we recommend that potential applicants discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. See Appendix IV of the Catalog. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

Paragraph Comments  
No comments found

[92] Application Procedure ~ Update ~ Log ~ Top of page  
The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including and application kit, required forms, and a check list may also be found at: <http://www.epa.gov/ogd/AppKit/>. For

competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

Paragraph Comments  
No comments found

[93] Award Procedure ~ Update ~ Log ~ Top of page  
For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

Paragraph Comments  
No comments found

[94] Deadlines ~ Update ~ Log ~ Top of page  
For competitive awards, deadlines will be specified in Request for Applications or Request for Initial Proposals. Contact your HQ or Regional Office for application deadlines.

Paragraph Comments  
No comments found

[95] Range of Approval/Disapproval Time ~ Update ~ Log ~ Top of page  
Approximately 180 days.

Paragraph Comments  
No comments found

[96] Appeals ~ Update ~ Log ~ Top of page  
Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

Paragraph Comments  
No comments found

[97] Renewals ~ Update ~ Log ~ Top of page  
None. Generally, EPA incrementally funds grants and cooperative agreements for research, development, monitoring, public education, training, demonstrations and studies. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

Paragraph Comments  
No comments found

[98] OMB Circular No. A-102 ~ Update ~ Log ~ Top of page  
For Grants and Cooperative Agreements with State and Local Governments, the standard application forms as furnished by the Federal agency are required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424.

Paragraph Comments  
No comments found

[99] OMB Circular No. A-110 ~ Update ~ Log ~ Top of page  
For Grants and Cooperative Agreements with State and Local Governments, the standard application forms as furnished by the Federal agency and required by OMB Circular No. A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424.

Paragraph Comments  
No comments found

#### [100] ASSISTANCE CONSIDERATIONS

[101] Formula and Matching Requirements ~ Update ~ Log ~ Top of page  
Not Applicable.

Paragraph Comments  
No comments found

[102] Length and Time Phasing of Assistance ~ Update ~ Log ~ Top of page  
EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit.

Paragraph Comments  
No comments found

[103] How Is the Assistance Awarded (lump sum, quarterly, by letter of credit, or other)? ~ Update ~ Log ~ Top of page  
OPP: Assistance agreements will be fully funded by a lump sum or incrementally funded yearly.

Paragraph Comments  
No comments found

[104] Total Allocations ~ Update ~ Log ~ Top of page  
OPP - Not applicable.

The Office of Pollution Prevention and Toxics (OPPT) - This program does not have MOE requirements or total allocations over \$100 million for FY09

Paragraph Comments  
No comments found

#### [110] POST ASSISTANCE REQUIREMENTS

[111] Reports ~ Update ~ Log ~ Top of page

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31.

Paragraph Comments  
No comments found

[112] Are Program Reports Required? ~ Update ~ Log ~ Top of page  
OPP Yes, grantees are required to submit program reports.

The Office of Pollution Prevention and Toxics (OPPT) - Yes, Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31.

Paragraph Comments  
No comments found

[113] Are Cash Reports Required? ~ Update ~ Log ~ Top of page  
OPP - Yes, Grantees are required to submit financial reports.

OPPT - Yes, Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31.

Paragraph Comments  
No comments found

[114] Are Progress Reports Required? ~ Update ~ Log ~ Top of page  
OPP - Yes, Grantee's are required to submit progress reports.

The Office of Pollution Prevention and Toxics (OPPT) - Yes, Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31.

Paragraph Comments  
No comments found

[115] Are Expenditure Reports Required? ~ Update ~ Log ~ Top of page  
OPP - Yes, Grantee's are required to submit expenditure reports.

The Office of Pollution Prevention and Toxics(OPPT) - Yes, Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31.

Paragraph Comments  
No comments found

[116] Is Performance Monitoring Required? ~ Update ~ Log ~ Top of page  
OPP - Yes, Grantee's are required to perform performance monitoring as part of their requirements.

The Office of Pollution Prevention and Toxics (OPPT) - Yes, Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31.

Paragraph Comments  
No comments found

[117] Audits ~ Update ~ Log ~ Top of page  
Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

Paragraph Comments  
No comments found

[118] Records ~ Update ~ Log ~ Top of page  
The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

Paragraph Comments  
No comments found

#### [120] FINANCIAL INFORMATION

[121] Account Identification ~ Update ~ Log ~ Top of page  
68-0108-0-1-304 - EPM; 68-0103-2-1-304 - STAG; 68-X-5374-000-0 PRIA; 68-X-4310-000-0 FIFRA Fees

Paragraph Comments  
No comments found

[122] Obligations ~ Update ~ Log ~ Top of page  
OPP - FY 08 \$4,123,600; FY 09 est. \$2,943,100; and FY 10 est. \$2,943,100

The Office of Pollution Prevention and Toxics (OPPT) - FY \$682,223; FY 09 est. \$465,000; FY 10 est. \$500,000

Paragraph Comments

No comments found

[123] Range and Average of Financial Assistance ~ Update ~ Log ~ Top of page

\$1,000 to \$1,500,000. Average: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Office of Pesticide Programs (OPP) made 9 awards in 2008 and for FY 2009 anticipates that 16 awards will be granted to conduct projects to protect human health and the environment. The Office of Pollution Prevention and Toxics (OPPT) made 8 awards in FY2008 and for FY2009 anticipates that 10 Awards will be granted for Pollution Prevention, Mercury, and Lead-based paint programs domestically and internationally. Fiscal Year 2009: The Office of Pollution Prevention and Toxics (OPPT) for FY2009 anticipates that 10 Awards will be granted for Pollution Prevention, Mercury, and Lead-based paint programs domestically and internationally. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research, development, monitoring, public education, training, demonstrations and studies grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for non-profit institutions.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Sharon Clark Office of Pollution Prevention and Toxics  
Environmental Protection Agency, Washington, District of Columbia 20460  
Email: clark.sharon@epa.gov Phone: (202) 564- 3810

**Website Address:**

<http://www.epa.gov/oppts.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Office of Pesticide Programs funded the following projects: developed and implemented programs to reduce pesticide risks; developed an education/outreach program targeted at aerial applicators to reduce pesticide drift incidents; commercialization of pesticides reducing biotechnologies; analysis and development of pilot pesticide safety programs and materials; Developed an integrative modeling framework for use in assessing the benefits and costs of pesticide use; Water Quality and Pesticide Management Planning for Federally Recognized Tribes; Formed a council that works to strengthen tribal pesticide programs; Provide a toll-free number that serves the US, Puerto Rico, and the Virgin Islands seeking impartial information about pesticides; Provide clinical toxicology information and laboratory services regarding pesticides; Pesticide Regulatory Education Program (PREP) Education Program for States and Tribes; and Pesticide Registration Renewal Act (PRIA 2) Partnership Grants. The Office of Pollution Prevention and Toxics funded the following: Increased scientific and technical support for Children's Environmental Health Network; researched and developed methods of microbial identification; education materials development and outreach for green engineering in chemical curriculum;

development of computational methods for visualization of taxonomic relationships; and public outreach and education for green chemistry and the evaluation of chemicals to safeguard vulnerable populations.

The Office of Pollution Prevention and Toxics funded the grants or cooperative agreements programs that reduce or eliminate mercury use in hospitals and health care clinics in other countries; provide training workshops to bring together communities to share information and engage in dialogue about experiences; provide support to States, Tribes and Territories so they can develop programs to implement the renovation, repair, and painting (RRP) rule; apply pollution prevention technical expertise and international network to train environmental health and safety specialists and hospital staffs and conduct pilot project to reduce mercury; and create a regional initiative to advance sustainable practices and links the national resources and expertise of EPA and other federal agencies. OPPT also funded work on industrial chemicals, pesticides, biocides, biotechnology and nanotechnology. Also to ensure high quality chemical testing and evaluation, to increase the efficiency and effectiveness of chemical management, and to minimize non-tariff barriers to trade in chemicals and products containing chemicals. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.717 SOURCE REDUCTION ASSISTANCE**

**FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103(b); Safe Drinking Water Act, Section 1442(a)(1)&(c); Clean Water Act, Section 104(b)(3); Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001(a).

**OBJECTIVES:**

The goal of the Source Reduction Assistance (SRA) Grant Program is to provide grants to support pollution prevention/source reduction and/or resource conservation activities. For purposes of this grant program, pollution prevention is defined as any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy, water, or other resources, or protection of natural resources by conservation activities. EPA is interested in funding projects which assist in reducing hazardous substances, pollutants, or contaminants entering waste streams or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal. Grant activities may involve, but are not limited to the following: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, improvements in housekeeping, maintenance, training, inventory control, etc. Funding Priority - Fiscal Year 2009: To support source reduction, pollution prevention and resource conservation activities that comply with the statutory authorities of the Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and the Toxic Substances Control Act, Section 10, as amended. Please note: Projects must consist of activities within the statutory terms of these EPA grant authorities. The statutes authorize grants for the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing awareness. Applicants should emphasize in their grant proposal's this "learning" concept, as opposed to "fixing" an environmental problem using a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the proposal must be eligible under one or more of the statutory authorities.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

EPA is interested in supporting pollution prevention, source reduction and resource conservation projects that will provide an overall benefit to the environment by preventing pollutants at the source. Source reduction projects can include but are not limited to: 1) improving facility and institutional operations that reduce pollutant use and exposure, 2) reformulating and procuring products to reduce toxic constituents, 3) providing direct technical assistance to businesses and other organizations, 4) encouraging green product design and manufacturing, 5) conducting outreach, 6) collecting and analyzing data, and 7) integrating pollution prevention concepts into state, regional and tribal environmental multimedia programs. Grant activities must be consistent with the grant guidelines of the statutory authorities listed for this program. The statutory authorities are listed in this CFDA announcement and in the applicable grant solicitations. The statutes authorize EPA to award assistance agreements to support the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing the state of knowledge. Grant proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the applicant's proposal must be eligible under one or more of the statutory authorities listed.

### Applicant Eligibility:

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance under this program is available to the fifty States, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits other than institutions of higher education private institutions of higher education, and community-based grassroots organizations. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

### Beneficiary Eligibility:

Any State, Federally-recognized Tribal government, Intertribal Consortia, college/university, non-profit organization, local government or independent school district.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A 21 for educational institutions, OMB Circular No. A 122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Standard grant forms are required, as provided by the EPA and must be used for this program. Forms may be obtained via the Internet by visiting: <http://www.epa.gov/ogd/AppKit/application.htm>. Please consult the Source Reduction Assistance program notice, posted to EPA's Pollution Prevention Grant web site at <http://www.epa.gov/oppt/p2home/grants/index.htm> for more information. An

applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, they should contact the appropriate EPA Regional Pollution Prevention Program office listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This CFDA program description is designed to benefit national and regional source reduction, pollution prevention, and resource conservation activities. Grant proposals must meet the requirements outlined in the national and regional Source Reduction Assistance solicitation notices. EPA will conduct the grant competition by posting a Request for Proposals (RFP) on-line. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Source Reduction Assistance grants and cooperative agreements are subject to the availability of funds. EPA will issue awards contingent upon the criteria specified in this CFDA program description and within the corresponding solicitations. EPA reserves the right to reject any or all proposals and issue no awards. Procedures for awards are outlined in the General Grant Regulation 40 CFR Part 30.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 90 to 120 days.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.

Matching Requirements: This program does not have a statutory formula. However, EPA requires a minimum 5% match of the total allowable project cost. For example, the Federal government will provide 95% of the total allowable cost of the project and the recipient will provide the remaining 5%. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project. This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Assistance agreements are awarded for a project period not to exceed 2 years. Method of awarding/releasing assistance: by letter of credit.

### Reports:

No program reports are required. Budget information should be submitted to the grant project officer. This information should be included in the semi-annual

progress report and the final technical report. Semi-annual progress reports are required. Grantees should explain the work executed to date, provide environmental performance data, if available, describe the future direction of the project and describe staff and budget plans. Expenditure information should be included in the semi-annual progress report and the final technical report. Performance monitoring is required if the grantee produces environmental data. In the semi-annual progress report and in the final technical report the grantee should explain how environmental data was gathered, measured, tracked and documented.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$633,515; FY 09 est \$1,260,000; FY 10 est \$1,260,000 - The FY '08 funds represent actual award totals from eight of EPA's ten Regional P2 program offices (i.e., Regions 1, 2, 3, 4, 5, 6, 7, 8, and 10).

The FY '09 funding estimate represents anticipated funding from nine of EPA's ten Regional P2 program offices (i.e., Regions 1, 2, 3, 4, 5, 6, 7, 9, and 10).

**Range and Average of Financial Assistance:**

Range - FY '09: \$10,000 - \$130,000. Average - FY '09: \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY'08, the regional P2 program offices received 82 proposals and issued 18 awards. EPA anticipates similar results in FY '09. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," are available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), 1 Congress Street, Suite 1100 - Room 2203, Mail Code: SPP, Boston, MA 02114-2023; Contact: Robert Guillemin, phone: (617) 918-1814; fax: (617) 918-1810; email: guillemin.robert@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Mindee Osno, phone: (215)

814-2074; fax: (215) 814-3274; email: osno.mindee@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W. Atlanta, GA 30303, Contact: Suganthi Simon: phone: (404) 562-9384; fax: (404) 562-9066; email: simon.suganthi@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contacts: Phil Kaplan, phone: (312) 866-4669; fax: (312) 353-4788; email: kaplan.phil@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431; fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSPP, 901 N. 5th Street, Kansas City, KS 66101, Contact: Marcus Rivas, phone: (913) 551-7669; fax: (913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email: walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: OEA-095, 1200 Sixth Ave. Seattle, WA 98101, Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

**Headquarters Office:**

Michele Amhaz Office of Pollution Prevention and Toxics  
Pollution Prevention Division  
U.S. Environmental Protection Agency  
1200 Pennsylvania, Ave., N.W., (7409-M), Washington, District of Columbia 20460  
Email: amhaz.michele@epa.gov Phone: (202) 564-8857

**Website Address:**

<http://www.epa.gov/oppt/p2home/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following text provides examples of SRA awards issued in FY '08:

EPA funded amount: \$24,500

The recipient will provide technical assistance to reduce the usage of chlorine in public swimming pools. The project will develop and distribute an education package to large recreational pools.

EPA funded amount: \$45,000

The recipient will provide workshops and a webinar to green businesses. Direct P2 assistance will also be provided to help businesses quantify and reduce greenhouse gas emissions.

EPA funded amount: \$85,000

The recipient will provide natural gas source reduction training and technical assistance to State oil and gas field inspectors and to independent operators and producers in Oklahoma.

EPA funded amount: \$11,000

The recipient will expand its on-site industry internship program to six students to provide training to businesses impacted by the new air quality regulations and will partner with Missouri Enterprise to conduct on-site "Lean and Green" environmental assessments for the Green Suppliers Network.

EPA funded amount: \$25,000

The recipient will provide training to implement economical and environmental solutions for sustainable growth and reduce greenhouse gas emissions by eliminating the use of virgin materials in soil stabilization applications. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.718 NATIONAL COMMUNITY-BASED LEAD OUTREACH AND TRAINING GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Office of Pollution Prevention and Toxics Substances, Environmental Protection Agency

##### **AUTHORIZATION:**

Toxic Substances Control Act , Section 10, Public Law 105-174; Toxic Substances Control Act , Section 10, Public Law 106-74.

##### **OBJECTIVES:**

This lead outreach grant program is supported by EPA's goal to reduce childhood lead poisoning. The projects support this goal by providing lead poisoning outreach to low income communities. Funding Priority - Fiscal Year 2009: This grant program will not be offered in 2009.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to outreach efforts to educate communities about the dangers of children's exposure to lead hazards.

##### **Applicant Eligibility:**

Eligible recipients include national organizations, local governments, community-based organizations, nonprofit organizations, faith-based organizations, community action agencies, institutions of higher learning, school groups, trainers, and environmental consultants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

Local,Public Nonprofit Institution/Organization,Health Professional, Education Professional, Builder/Contractor/Developer, Homeowner, Land/Property Owner, Preschool, Low Income, Rural.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see

Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The following forms must be provided if proposal is submitted via grants.gov: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information Non-Construction Programs). No forms are required to be provided if submitting via mail to the EPA Headquarters contact.

##### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

About 90 days after the deadline for the proposal.

##### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Projects are expected to be completed within 1 year. Funds are drawn down. See the following for information on how assistance is awarded/released: Funds are drawn down.

##### **Reports:**

No program reports are required. No cash reports are required. Recipients are required to provide EPA with written progress reports within 30 days after the end of each quarter and a final report within 90 calendar days of the completion of the project period. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

##### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.



**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$1,940,000; FY 09 est \$0; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

For FY 08: Lowest Award: \$226,250; Highest Award: \$250,000; Average Award: \$243,540. Applicants may be awarded up to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 57 proposals were received and 8 awards were granted to the top 8 applicants in fiscal year 2008. Program focuses on low-income communities through grants to national organizations engaged in working with these communities and is helping national organizations and community organizations reach under-served populations that may have a disproportionate number of children with elevated blood lead levels. Fiscal Year 2009: No solicitation was offered in fiscal year 2009 for this grant program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemical Division (7404T), Office of Pollution Prevention and Toxics (OPPT), Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: watford.darlene@epa.gov Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded grants: 1. Lead outreach and training will be delivered to an economically disadvantaged urban neighborhood that has been heavily impacted by lead poisoning. Formal training and seminars, door-to-door home visits, and community events will be provided. 2. Four low income communities will receive lead awareness, training and infrastructure development. Lead safe work practices will be taught to painters and remodelers. Lead awareness will be offered to tenants, homeowners, and service delivery networks. 3. Three counties will provide outreach materials to educate rental property owners, public health and code officials, realtors, landlords, and others in low in communities. Training will be offered to rental property owners, public health and code officials, realtors, landlords on lead-safe work practices. An extensive curriculum on training as well as a model guidebook for local housing lead poisoning prevention ordinances will be developed. 4. Specialized outreach will be conducted in border communities. Lead safe work practices training will be provided to workers. Realtors will receive outreach on lead-related laws and regulations and local requirements. Specialized training will be provided to local youth and paint apprenticeship programs. 5. Approximately 280 contractors will attend a one-day joint EPA/HUD Lead Safety for Remodeling, Repair and Painting course in rural communities. Media outreach on lead poisoning and lead-safe work practices will be provided to more than 4000 consumers and do-it-yourselfers in rural communities at risk for lead poisoning. More than 50 extension service agents and program specialists will be trained at national conferences. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.801 HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT****FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 3011(a)&(c), Public Law 94-580, 42 U.S.C 6901.

**OBJECTIVES:**

To assist State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous wastes. Funding Priority - Fiscal Year 2009: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste. Funding Priority - Fiscal Year 2010: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Under Section 3011, funds may be used for development and implementation of authorized State hazardous waste programs.

**Applicant Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act are eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's competition policy.

**Beneficiary Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act.

**Credentials/Documentation:**

The State work plan is to be sent to the appropriate EPA Regional Office by the date 60 days before the beginning of the budget period (typically by August 1 of each year, if the budget period is the Federal fiscal year). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Office. The hazardous waste management staff of the appropriate EPA Regional Office (listed in the address appendix of the Catalog) is available to assist in preparation of the application. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities

under this CFDA.

**Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review applications, proposals or submissions in accordance with the terms, conditions, and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For applicants under Section 3011, 60 days.

**Appeals:**

As described in 40 CFR Part 31, Subpart F. Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For applicants under Section 3011, grants and cooperative agreements are renewed annually, provided all requirements are met.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act. This program operates under a formula. Statistical factors used for allocation include: 1) State population, as determined by the most recent Census; 2) number of hazardous waste management facilities in States, based on studies conducted by EPA, Office Of Solid Waste; 3) number of Large Quantity Generators (LQGs), based on studies conducted by EPA, Office of Solid Waste; and 4) the number of facilities requiring corrective action, based on studies conducted by EPA, Office of Solid Waste. By law, all States and trust territories are eligible for funding. The formula is based on each State's population (17 percent); (LQG) number of facilities proceeding amount of waste produced (16 percent); number of hazardous waste management facilities (52 percent); and the number of facilities requiring corrective action (15 percent). Matching Requirement: Maximum Federal share of approved costs is 75 percent; State must provide at least 25 percent of approved costs. (Regional Administrators will determine each State allotment.)

Matching Requirements: This program operates under a formula. Statistical factors used for allocation include: 1) State population, as determined by the most recent Census; 2) number of hazardous waste management facilities in States, based on studies conducted by EPA, Office Of Solid Waste; 3) number of Large Quantity Generators (LQGs), based on studies conducted by EPA, Office of Solid Waste; and 4) the number of facilities requiring corrective action, based on studies conducted by EPA, Office of Solid Waste. By law, all States and trust territories are eligible for funding. The formula is based on each State's population (17 percent); (LQG) number of facilities proceeding amount of waste produced (16 percent); number of hazardous waste management facilities (52 percent); and the number of facilities requiring corrective action (15 percent). Matching Requirement: Maximum Federal share of approved costs is 75 percent; State must provide at least 25 percent of approved costs. (Regional Administrators will determine each State allotment.)

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12 month basis (Federal or State fiscal year). The total project period varies according to program requirements. Assistance is awarded by advance payment method. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required on an annual basis. Cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts in an institution. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 08 \$101,440,000; FY 09 est \$101,046,000; FY 10 est \$101,046,000

**Range and Average of Financial Assistance:**

Most fiscal years range \$250,000 to \$8,500,000; average: \$2,060,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal years 2008 and 2009, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency, 40 CFR Part 31; State and Local Assistance, EPA, 40 CFR Part 35; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. State agencies are encouraged to communicate with the appropriate EPA Regional Administrator listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wayne Roepe, EPA Headquarters, Ariel Rios Building  
1200 Pennsylvania Avenue, N. W., Mail Code: 5303P  
, Washington, District of Columbia 20460 Email: roepe.wayne@epa.gov  
Phone: (703) 308-8630

**Website Address:**

<http://www.epa.gov/epaoswer/osw/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include 1) issuance of hazardous waste management permits, 2) oversight of corrective action at hazardous waste management facilities, 3) inspections of hazardous waste management facilities, 4) inspections of hazardous waste generators, and 5) waste minimization activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.802 SUPERFUND STATE, POLITICAL SUBDIVISION, AND INDIAN TRIBE SITE-SPECIFIC COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 104(d), 42 U.S.C 9604(d); American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To (1) conduct site characterization activities at potential or confirmed hazardous waste sites; (2) undertake response planning and implementation actions at sites on the National Priorities List (NPL) to clean up the hazardous waste sites that are found to pose hazards to human health; and (3) effectively implement the statutory requirements of CERCLA 121(f) which mandates substantial and meaningful State involvement. Funding Priority - Fiscal Year 2009: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups. Funding Priority - Fiscal Year 2010: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups.

States, Indian Tribes, or political subdivisions receiving cooperative agreement funding from the American Recovery and Reinvestment Act of 2009 (Recovery Act), must use those funds for response actions that can be implemented expeditiously and promote job creation and preservation in a manner consistent with the Funding Priority listed above.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding may be used to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and, (8) oversee PRP cleanups. Funding may not be used to conduct tasks or activities not authorized by CERCLA. Funds may not be used for non-site-specific Core Program activities (see 66.809). Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Consultation and preapplication conference(s) are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless redelegated to the Regional Division Director. For the Recovery Act funding, EPA will award separate cooperative agreements.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately ninety (90) days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Extensions are available but not guaranteed. The original cooperative agreement is amended by using EPA Standard Form 424 and submitting it to the Regional Administrator.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: None required for pre NPL activities or for remedial planning at any site if the site was privately owned and operated at the time of disposal of hazardous wastes. Matching Requirements: 10 percent State, 90 percent Federal, for remedial action if the site is privately owned and operated at the time of disposal of hazardous wastes. Minimum 50 percent State, 50 percent Federal, of all response costs if the site was State/locally operated at time of any disposal of hazardous waste (Note: percentage may vary). CERCLA section 104(c)(3). Tribal governments are not required to share in the costs of Superfund actions. This program has no statutory formula. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded for duration of project, subject to time constraints imposed by EPA. Money is released on a draw down or a letter of credit basis. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method, the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

Program reports are required pursuant to 40 CFR 35, Subpart O. Grantees are required to submit financial reports in accordance with Agency policy and the

Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No. A-102.

Progress reports, notification of significant developments, property inventory reports, procurement reports, financial reports, and final reports are required pursuant to 40 CFR 35, Subpart O. Financial status reports are required.

Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten year period, whichever is later.

**Account Identification:**

20-8145-0-7-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$85,400,000; FY 09 est \$117,000,000; FY 10 est \$50,000,000 - \$67 million (estimate) is for recovery and reinvestment act obligation. These dollars will be used to clean-up Superfund sites.

**Range and Average of Financial Assistance:**

\$30,000 to \$ 14.5 million; average amount \$578,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal years 2008 and 2009, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2009: In fiscal years 2008 and 2009, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 30; 40 CFR 31; 40 CFR 35, Subpart O; 25 CFR 20; and Program

Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators: See Appendix IV of the Catalog.

**Headquarters Office:**

Angelo Carasea, Site Assessment and Remedy Decisions Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Office of Solid Waste and Emergency Response, Mail Code 5204P, EPA, Washington, District of Columbia 20460 Email: carasea.angelo@epa.gov Phone: (703) 603-8828.

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For fund-lead remedial action, the site must appear on the National Priorities List of the National Oil and Hazardous Substances Contingency Plan (NCP) (40 CFR 300). Removal actions require a planning period of six months or more. Each project is examined and selected on a case-by-case basis based upon site ranking, availability of matching funds from the State, availability of Trust funds, receipt of application and other criteria as determined by EPA.

**66.804 UNDERGROUND STORAGE TANK PREVENTION, DETECTION AND COMPLIANCE PROGRAM**

UST Prevention, Detection and Compliance Program

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act (SWDA) of 1976, Section 2007; Energy Policy Act of 2005, Title XV, Section 1521-1533, Public Law 109-58, 42 U.S.C 15801; Ethanol And Motor Fuels, Title B, Section 1521, Public Law 109-58, 42 U.S.C 15801; Superfund Reauthorization Amendments of 1986, Title I, Section 2007(f); Energy Policy Act of 2005, 42 U.S.C 6916(f)(2).

**OBJECTIVES:**

To assist States, Territories, Tribes and Intertribal Consortia that meet the requirements at 40 CFR 35.504, in the development and implementation of underground storage tank (UST) programs and for leak prevention, compliance and other activities authorized by the Energy Policy Act (EPAct) of 2005 and EPA's annual appropriations acts. Funding Priority - Fiscal Year 2009: High priority tasks include providing financial assistance: 1) to states and Tribes in implementing the UST program; 2) to states to help them meet their responsibilities authorized under the Energy Policy Act (EPAct) (e.g., conducting more frequent inspections, prohibiting delivery for non-complying facilities, and requiring either secondary containment for tank systems or financial responsibility for manufacturers and installers); 3) to Tribes to conduct on-site inspections in Indian Country every three years in accordance with EPAct requirements; 4) to states and Tribes to encourage owners and operators to properly operate and maintain their USTs; 5) to states and Tribes to ensure owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations; and 6) to states to develop State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. LUST prevention funds may be used by States for inspections and other release prevention and compliance assurance activities for federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to release prevention. Priority will be given to

providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into assistance agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs. The Agency provides financial assistance to Tribes to develop and implement programs to manage USTs. Funding Priority - Fiscal Year 2010: High priority tasks include providing financial assistance: 1) to states and Tribes in implementing the UST program; 2) to states to help them meet their responsibilities authorized under the Energy Policy Act (EPA) (e.g., conducting more frequent inspections, prohibiting delivery for non-complying facilities, and requiring either secondary containment for tank systems or financial responsibility for manufacturers and installers); 3) to Tribes to conduct on-site inspections in Indian Country every three years in accordance with EPA requirements; 4) to states and Tribes to encourage owners and operators to properly operate and maintain their USTs; 5) to states and Tribes to ensure owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations; and 6) to states to develop State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. LUST prevention funds may be used by States for inspections and other release prevention and compliance assurance activities for federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to release prevention. Priority will be given to providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into assistance agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs. The Agency provides financial assistance to Tribes to develop and implement programs to manage USTs.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under assistance agreements for leak prevention, detection, and compliance, as described in the Section:50 Funding Priority. Assistance agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Funds awarded under this program may be used by states and Tribes for the following types of activities: (1) Encouraging owners and operators to properly operate and maintain their USTs. (2) Ensuring owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations. (3) Developing State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. (4) Conducting more frequent inspections. (5) Prohibiting delivery to noncompliant tanks. (6) Requiring either secondary containment for new tank systems or financial responsibility for manufacturers and installers. These assistance agreements may also be used for EPA to help States, who request it, and for the Agency, to obtain SEE enrollees through a SEE assistance agreement to work on the State's underground storage tanks and to support direct UST implementation programs.

Unlike State and Tribal Assistance Grant (STAG) funding under Section 2007(f) of the Solid Waste Disposal Act (SWDA), the LUST prevention funding under Section 9011 and other applicable provisions of Subtitle I of the SWDA is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA may award combined STAG funded UST prevention, detection, and compliance assistance agreements authorized by Section 2007(f) with LUST prevention assistance agreements authorized by Subtitle I if the combined agreement is not included in a PPG.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Prevention, detection and compliance assistance agreements are only available

to States and Territories and to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia." These assistance agreements may also be used for EPA to help States, who request it, to obtain SEE enrollees through a SEE assistance agreement to work on the State's underground storage tanks and to support direct UST implementation programs.

#### **Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia.

#### **Credentials/Documentation:**

States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. EPA may award combined or separate assistance agreements for leak prevention.

#### **Award Procedure:**

These funds are awarded non-competitively. However, if EPA elects to hold competitions for Tribal and/or Intertribal Consortia assistance agreements, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. An assistance agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the assistance agreements to states through a previously established allocation process, issued under national guidance rather than through competition (see 40 CFR 35.332 and EPA Order 5700.5, Section 6(c)(1)).

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Generally, from 3 to 4 months.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act, Subpart I.

Matching Requirements: The UST prevention, detection, and compliance

Solid Waste Disposal Act 2007(f) assistance agreement (STAG) program has no statutory formula or matching requirement. However, there is a 25 percent matching requirement (cost share) for States under 40 CFR 35.335. State matches (cost shares) may include in-kind contributions. Under 40 CFR 35.332, EPA regions allocate funds to states based on their programmatic needs and applicable EPA guidance. Factors include the number of active federally regulated petroleum underground storage tanks. LUST prevention funding is awarded under Section 9011 and other applicable provisions of Subtitle I of the Solid Waste Disposal Act subject to an allocation process developed by the Agency. The Agency distributes funds based on the number of federally-regulated petroleum USTs in a State and other indicators of State needs. States will provide a 25 percent match (cost share) for assistance agreements awarded under Section 9011 and other applicable provisions of Subtitle I. If EPA awards a State a combined UST prevention, detection, and compliance (STAG) and LUST prevention assistance agreement, the 25 percent cost share will apply to total project costs for the combined assistance agreement. There is no matching requirement (cost share) for prevention, detection and compliance assistance agreements for Tribes or Intertribal Consortia awarded pursuant under Public Law 105-276 or the agency's annual appropriation acts.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at the time of award by the specific EPA Regional Office. Assistance agreements can be awarded on a single- or multiple-year basis. See the following for information on how assistance is awarded/released: Financial assistance is released in a lump sum. States use the Automated Standard Application for Payment System to request cash drawdowns based on a projected cash requirement.

#### **Reports:**

Recipients submit annual reports which include a description of the progress made towards meeting environmental goals as expressed by the environmental indicators and program measures. Recipients report program performance results semi-annually that provide updates for commitments and priorities. States are required to submit Cash Reports to regional grants offices. States must certify that they are meeting or are making progress in meeting the Energy Policy Act requirements. States are required to provide expenditure reports for overall funding for UST prevention, detection and compliance (STAG) assistance agreements. For LUST prevention assistance agreements, States are required to submit Financial Status Reports to regional grants offices. Annual reviews are conducted to determine recipients' progress in meeting overall program goals.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

20-8153-0-7-304; 68-0103-0-1-304.

#### **Obligations:**

(Formula Grants) FY 08 \$32,977,000; FY 09 est \$38,400,000; FY 10 est

\$36,930,000 - STAG: FY 08 actual \$2,461,000; FY 09 actual \$2,900,000; and FY 10 estimate \$2,500,000.

LUST Prevention: FY 08 actual \$30,516,000; FY 09 actual \$35,500,000; and FY 10 estimate \$34,430,000.

#### **Range and Average of Financial Assistance:**

Range for States and Territories: In FY 2008, FY 2009, and FY 2010, the STAG and LUST prevention financial assistance is based on states' needs. In FY 2008 - STAG funding - Range for States and Territories: \$20,000 to \$410,000, Average for States and Territories = \$139,000. Range for Tribes: \$35,000 to \$255,000; Average for Tribes = \$143,000. LUST Prevention funding - Range for States and Territories: \$102,000 to \$1,500,000; Average for States and Territories = \$596,000. Range for Tribes: \$92,000 to \$359,000; Average for Tribes = \$420,000.

In FY 2009, STAG funding - Range for States and Territories: \$25,000 to \$1,120,000; Average for States and Territories = \$94,654. In FY 2009, there was no STAG distribution for Tribes. LUST Prevention Funding - Range for States and Territories: \$98,000 to \$2,000,000; Average for States and Territories = \$472,000. Range for Tribes: \$20,000 to \$650,000; Average for Tribes = \$420,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008, 21 states, five territories and approximately 10 Indian Tribes submitted STAG assistance agreement applications and were awarded STAG assistance agreements. For FY 2008, 49 states, six territories and approximately 10 Indian Tribes submitted LUST prevention assistance agreement applications and were awarded LUST prevention assistance agreements. In FY 2008, results achieved were measured by the annual percent increase (+1 percent) of UST facilities that were in significant operational compliance with both release detection and release prevention (spill, overflow, and corrosion protection requirements). There was a notable increase in the significant operational compliance measure in FY 2008 over the previous fiscal year, from 63 percent to 66 percent. In FY 2008, EPA met and exceeded its goal of reducing the number of confirmed UST releases nationally to less than 10,000. FY 2008 was the first year LUST funds were available for release prevention purposes. In FY 2008, to comply with the Energy Policy Act requirements, states increased their rate of inspections. In FY 2008, states completed more than 100,000 inspections. Fiscal Year 2009: In FY 2009, 14 states and four territories submitted applications and will be awarded STAG assistance agreements; and one Intertribal Consortia recipient was awarded a competitive assistance agreement. For the LUST prevention assistance agreements, 50 states and six territories submitted applications and will be awarded assistance agreements. At mid-year FY 2009, EPA is on target for meeting its goal of UST facilities that are in significant operational compliance with both release detection and release prevention (spill, overflow and corrosion protection requirements) with a starting baseline of 65 percent. At mid-year FY 2009, EPA is on target for meeting its goal of reducing the number of confirmed UST releases to less than 10,000. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30 or 31, as applicable), State and Local Assistance (40 CFR Part 35.330 et. seq. for States and 40 CFR 35.730 et. seq. for Tribes and Intertribal Consortia). Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional UST Program Manager for documents.

#### **Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/OUST/regions/index.htm>).

#### **Headquarters Office:**

Lynn DePont USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 5401P, Washington, District of Columbia 20460 Email:  
depont.lynn@epa.gov Phone: 703-603-7148

**Website Address:**

<http://www.epa.gov/OUST/cmplastc/index.htm>

**RELATED PROGRAMS:**

66.805 Leaking Underground Storage Tank Trust Fund Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: UST prevention, detection, and compliance assistance agreements' funded projects include functions necessary for the development and/or implementation of a State or Indian underground storage tank (UST) program. Those functions that may be accepted for funding include the development and/or implementation of enforcement and inspection programs, outreach, and training related to the underground storage tanks program. Specific examples of STAG funded projects in FY 2008 were: (1) Corrosion testing and training for field inspectors; (2) Red Tag Enforcement Tools for states to obtain UST compliance from owners/operators; (3) Web-based training for UST owners/operators; (4) Photograph records of USTs in large states, such as Montana; and (5) Third-party inspection programs to more efficiently conduct compliance inspections at UST facilities. For the LUST prevention assistance agreements, funded projects included state inspections, enforcement, development of regulations and other program infrastructure. These assistance agreements were also used for EPA to help states, who requested it, to obtain SEE enrollees through a SEE assistance agreement to work on the state's underground storage tanks (UST) and to support direct UST implementation programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section:101. Funding provided to states for release prevention must be expended in accordance with grant guidelines EPA issued to implement the Title XV, Subtitle B of the Energy Policy Act of 2005, [http://www.epa.gov/swerust1/fedlaws/publ\\_109-058.pdf](http://www.epa.gov/swerust1/fedlaws/publ_109-058.pdf).

**66.805 LEAKING UNDERGROUND STORAGE TANK TRUST FUND CORRECTIVE ACTION PROGRAM**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 9003(h), Public Law 105-276; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To support State (including Territories that are included in the definition of "State" in the Solid Waste Disposal Act) and Tribal corrective action programs that address releases from underground storage tanks. Funding Priority - Fiscal Year 2009: Program funds from the annual Leaking Underground Storage Tanks (LUST) Trust Fund appropriation are used to provide resources to States and Tribes for their underground storage tank (UST) programs. Corrective Action: Eighty percent of the funds appropriated to the Agency for corrective action must be distributed to the States under cooperative agreements. Program funds are to be used to provide resources for the oversight and corrective action for petroleum releases from federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to such corrective action. States that have entered into cooperative agreements with EPA have the authority to respond to petroleum releases from USTs using Leaking Underground Storage Tanks (LUST) Trust funds where owners and operators are unknown, unwilling or unable to take corrective actions themselves, and in certain other circumstances. States may also oversee responsible party cleanups. When the LUST Trust Fund is used, tank owners/operators are liable to the State for costs incurred and are subject to cost recovery actions.

States receiving cooperative agreement funding with supplemental appropriations from the Leaking Underground Storage Tanks (LUST) Trust Fund provided by the American Recovery and Reinvestment Act of 2009 (Recovery Act), must use those funds for corrective actions that can be implemented expeditiously and promote job creation and preservation in a manner consistent with the Funding Priority listed above, as well as necessary oversight of responsible party lead cleanups. Funding Priority - Fiscal Year 2010: Program funds from the annual Leaking Underground Storage Tanks (LUST) Trust Fund appropriation are used to provide resources to States and Tribes for their underground storage tank (UST) programs. Corrective Action: Eighty percent of the funds appropriated to the Agency for corrective action must be distributed to the States under cooperative agreements. Program funds are to be used to provide resources for the oversight and corrective action for petroleum releases from federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to such corrective action. States that have entered into cooperative agreements with EPA have the authority to respond to petroleum releases from USTs using Leaking Underground Storage Tanks (LUST) Trust funds where owners and operators are unknown, unwilling or unable to take corrective actions themselves, and in certain other circumstances. States may also oversee responsible party cleanups. When the LUST Trust Fund is used, tank owners/operators are liable to the State for costs incurred and are subject to cost recovery actions.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under cooperative agreements for corrective action, as described in Section: 54 Funding Priority. This financial assistance program is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA will award cooperative agreements for corrective action activities. The applicable provisions in OSWER Directive 9650.10A, "LUST Trust Fund Cooperative Agreement Guidelines" apply to states receiving funds under this program. See <http://www.epa.gov/swerust1/directiv/d965010a.htm>.

LUST Trust Funds for corrective will not be used to implement any provision of the Energy Policy Act (EPAct) of 2005, Title XV, Subtitle B, that is not also a leaking underground storage tank activity authorized by Section 205 of the Superfund Amendments and Reauthorization Act. Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Cooperative agreements are only available to States and Territories that have UST programs. Additionally, these cooperative agreements are only available to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia."

**Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia and the communities and industries affected by leaks from underground storage tanks.

**Credentials/Documentation:**

The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally recognized Tribes and Intertribal Consortia. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices under this CFDA.

**Award Procedure:**

These funds are awarded non-competitively. Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. A cooperative agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. These grants are non-discretionary. EPA awards the cooperative agreement to states through a previously established allocation process, issued under national guidance rather than through competition. See EPA Order 5700.5, Section 6(c)(1).

For the Recovery Act funding, EPA will award separate cooperative agreements. Applicants will need to submit full workplans. However, to expedite the award of ARRA cooperative agreements, awards may be made on partial work plans. In these cases, the award must include a condition requiring submission of a full work plan within a specified time period.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally from 3 to 4 months. The Agency will award Recovery Act funding on an expedited basis.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act.  
Matching Requirements: LUST corrective action funding awarded under Section 9003(h)(7) of the Solid Waste Disposal Act is subject to an allocation process developed by the Agency. By guidance, the Agency has established a process for allocating funds to states under Section 9003(h)(7) based on the cumulative numbers of confirmed UST releases, total number of existing registered petroleum UST systems, cleanups initiated, cleanups completed, the percentage of the population using groundwater for drinking water, and the number of states with approved UST programs. This program allocates funding to Tribes and Intertribal Consortia non-competitively based on their programmatic needs and national guidance. States must provide a 10 percent cost share for cooperative agreements awarded under Section 9003(h)(7). There is no matching requirement for corrective action cooperative agreements for Tribes or Intertribal Consortia awarded pursuant to Public Law 105-276. Cooperative agreements awarded with Recovery Act funds are not subject to cost share requirements under section 9003(h)(7)(B) of the SWDA. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award by the specific EPA Regional Office.

Cooperative agreements awarded with Recovery Act funds may be awarded on a two and one-half year budget and performance period (e.g., 4/1/2009 to 9/30/2011). The budget and performance period may be extended on a limited basis to allow work to be performed on eligible sites. See the following for information on how assistance is awarded/released: LUST Trust Fund Corrective Action assistance agreements are awarded to states annually on a multi-year cycle. States request funds through a letter of credit drawdown. The

LUST Trust Fund Recovery Act assistance agreements will be awarded to states in a lump sum. States will request funds through a letter of credit drawdown.

**Reports:**

For the LUST Trust Fund Corrective Action assistance agreements, states report program performance results semi-annually and progress reports as part of the yearly review with EPA. For the LUST Trust Fund Recovery Act assistance agreements, states will report program performance results on a quarterly basis. For the LUST Trust Fund Corrective Action assistance agreements, states are required to submit Cash Reports to EPA's regional grants offices. For the LUST Trust Fund Recovery Act assistance agreements, states will be required to submit Cash Reports to EPA's regional grants offices. No progress reports are required. States are required to submit Financial Status Reports to regional grants offices. Performance monitoring is conducted to determine states' progress towards meeting overall program goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) or 40 CFR Part 30 (non-profit intertribal consortia) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

Recipients must account for Recovery Act funds separately.

**Account Identification:**

20-8153-0-7-304 - LUST 20-81-53-0-7-304 and for LUST Recovery Act funding 68-9/0 8196.

**Obligations:**

(Formula Grants) FY 08 \$61,237,000; FY 09 est \$252,861,000; FY 10 est \$63,192,000 - FY 09 LUST Recovery Act actual \$190,700,000.

**Range and Average of Financial Assistance:**

For the LUST corrective action funding, in FY 2008, Range for Territories and States: \$43,000 - \$3,700,000; Territory Average \$54,000; State Average: \$2,100,000. Range for Tribes and Intertribal Consortia: \$20,00 - \$300,000; Average: \$160,000. For FY 2009, Range for Territories and States: \$44,000 - \$4,000,000; Territory Average \$54,000; State Average: \$1,100,000. Range for Tribes and Intertribal Consortia: \$15,000 to \$ 500,000; Average: \$113,000. For 2010, the estimated Range for Territories and States: \$44,000 - \$4,000,000; Territory Average \$54,000; State Average: \$1,100,000. Range for Tribes and Intertribal Consortia: \$15,000 to \$ 500,000; Average: \$113,000.

For the LUST Recovery Act funding, in FY 2009, Range for Territories and States: \$57,000 - \$15,600,000; Territory Average: \$84,000; State Average: \$3,700,000. Tribes are not receiving LUST Recovery Act funding through LUST corrective action cooperative agreements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008, 50 States, five territories and approximately 10 Indian Tribes submitted assistance agreement applications and the same number



of awards were granted. In FY 2008, EPA met 98 percent of its national goal of 13,000 LUST cleanups completed. EPA met and exceeded its tribal LUST cleanups completed goal of 30 LUST cleanups completed by completing 40 LUST cleanups in Indian country. Fiscal Year 2009: It is anticipated that 50 States, five territories and approximately 10 Indian Tribes will submit assistance agreement applications and the same number of awards will be granted in FY 2009. In FY 2009, 49 states and five territories will submit assistance agreement applications and the same number of awards will be granted for the LUST Trust Fund Recovery Act cooperative agreements. In FY 2009, EPA expects to meet its national goal of 12,250 LUST cleanups completed, including 30 LUST cleanups completed in Indian country. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations governing the award and administration of the Recovery Act Leaking Underground Storage Tanks cooperative agreements and the Leaking Underground Storage Tank corrective action cooperative agreements are the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" set forth at 40 CFR Part 31 ([www.access.gpo.gov/nara/cfr/waisidx\\_00/40cfr31\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html)). Non-profit recipients are subject to 40 CFR Part 30.

Guidelines: Leaking Underground Storage Tanks Trust Fund. Cooperative Agreement Guidelines. Energy Policy Act of 2005 Grant Guidelines, <http://www.epa.gov/swerst1/index.htm>. Guidance To Regions For Implementing The LUST Provisions Of The American Recovery And Reinvestment Act of 2009, <http://www.epa.gov/oust/eparecovery/index.htm>.

Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional LUST Program Manager for documents.

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV Of the Catalog for list of Underground Storage Tanks Regional Program Manager addresses.

#### **Headquarters Office:**

Lynn DePont USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 5401P , Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-0175

#### **Website Address:**

<http://www.epa.gov/OUSt/cat/index.htm>.

#### **RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Conducted site assessment/site characterization; reviewed site characterization reports; reviewed corrective action plans; conducted enforcement actions; provided assistance to Tribes to help develop and implement the LUST program; and conducted cleanups and provided oversight of responsible party cleanups. . Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section :101. Guidelines for LUST corrective action cooperative agreements are found in OSWER Directive 9650-10A, and at OUST's website <http://www.epa.gov/swerst1/directiv/d965010a.htm>. Guidelines for LUST Recovery Act cooperative agreements are found in Guidance To Regions For Implementing The LUST Provisions Of The American Recovery And Reinvestment Act of 2009, <http://www.epa.gov/oust/eparecovery/index.htm>.

#### **66.806 SUPERFUND TECHNICAL ASSISTANCE GRANTS (TAG)**

#### **FOR COMMUNITY GROUPS AT NATIONAL PRIORITY LIST (NPL) SITES**

(TAG)

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C 9617; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 117(e), Public Law 96-510.

#### **OBJECTIVES:**

The statutory authority for this project is CERCLA 117(e) as amended by 42 USC 9617(e); it authorizes Technical Assistance Grants to be awarded to groups of individuals affected by or threatened by a release at a Superfund site so that they can obtain independent technical assistance to interpret site-related documents and share this information to the rest of the community. The objective of each TAG is to procure an independent technical advisor(s) to review and inform the community on EPA documents related to cleaning up the Superfund site that is affecting them. The goal of each TAG is that the technical advisor's information aids the community in the preparation of public comments and assists the community to more meaningfully participate in the cleanup decision-making process. Funding Priority - Fiscal Year 2009: Only one grant is available per site, at any time. EPA does not prioritize among eligible sites. All TAG applications are given equal priority as long as the site and group are eligible. The applicant group must meet minimum administrative and management capability requirements by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management. In addition, all applications must address: plans for using a technical advisor's services, plans and ability to inform other members of the community, and the group's membership (representative of the different individuals/groups affected by the site). Funding must be used to provide resources so that community groups can obtain technical assistance to better understand technical issues related to the cleanup of the Superfund site affecting them and to provide comments on technical, cleanup-related documents. Technical issues for which groups obtain technical assistance may include: the nature of the environmental and public health hazards at the site; the various stages of health and environmental investigations; cleanup and operation and maintenance activities for a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All or most of the Federal funds must be used, at sites listed on the National Priorities List (NPL) or proposed for listing under the National Contingency Plan (NCP) where a response action has begun under CERCLA, to procure a technical advisor(s) to help in understanding the nature of the environmental and public health hazards at the site, the various stages of health and environmental investigations and activities, cleanup, and operation and maintenance of a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal. Limitations: (a) Federal funds cannot be used to develop new primary data, such as conducting independent testing and monitoring activities at a site. (b) Under CERCLA, as amended, grant funds cannot be used for lawsuits or other legal actions, or attorney fees for services connected to any legal action or that could result in a relationship to which attorney/client privileges applies. (c) Grant funds cannot be applied towards a technical advisor's time spent assisting an attorney in preparing a legal action or preparing and serving as an expert witness at any legal proceedings. (d) Grant funds cannot be used for any activities or expenditures for recipient group members' travel. (e) Grant funds cannot be

used for political activity and lobbying. (f) Grant funds cannot be used for generation of new health data through biomedical testing (for example, blood or urine testing), clinical evaluations, health studies, surveillance, registries, and/or public health investigations. (g) Grant funds cannot be used for activities that are unallowable under the cost principles stated in Office of Management and Budget (OMB) Circular No. A-122. (h) Grant funds cannot be used for tuition or other training expenses for recipient group's members. (i) Grant funds cannot be used to reopen or challenge final EPA decisions.

#### **Applicant Eligibility:**

A technical assistance grant (TAG) is available to any qualified group of individuals which: may be "affected" by a release or threatened release at any facility listed on the NPL or proposed for listing under the NCP where a "response action" under CERCLA has begun; meets minimum administrative and management capability requirements found in 40 CFR 30.12 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management; and incorporates as a nonprofit for the specific purpose of the representing "affected" individuals at the site. "Affected" means subject to actual or potential health, economic or environmental threat. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represents a PRP; (b) The group is affiliated with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045.

#### **Beneficiary Eligibility:**

This program benefits groups of individuals affected by Superfund hazardous waste sites. Groups should be representative of the community affected by the Superfund site, which may include homeowners, land/property owners, local businesses, as well as any other individuals in the general public who live near a site.

#### **Credentials/Documentation:**

At the time of the award, a recipient must either be incorporated or demonstrate that they have taken all necessary and appropriate actions to do so. Recipients must show proof of incorporation no later than the time of the group's first request for reimbursement for costs incurred. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

1) Groups wishing to apply for a TAG must first submit to EPA a letter of intent (LOI). Groups interested in applying for a TAG are encouraged to contact their regional TAG coordinator(s), listed in Appendix IV of the Catalog). 2) If site work is already underway or scheduled to begin, EPA will publish a notice in the local newspaper to formally notify other interested parties that they may contact the first group that sent the LOI to form a coalition or they may submit a separate LOI. 3) Competing groups are encouraged to consolidate and submit a single application. 4) Prior to submitting their application to EPA (or concurrently), the applicant must submit the application package for their State's intergovernmental review process. This intergovernmental review may take up to 60 days. For more information regarding the procedures for submitting a LOI or for application assistance, contact the TAG coordinator(s) for your region (in Appendix IV of the Catalog) or the individuals listed under "Information Contacts.". Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An applicant for a TAG must submit the following materials in accordance with 40 CFR 35.4125 of the Final Rule: 1) An original EPA Form 424, Application for Federal Assistance. The application must have the original signature of the project manager. 2) A budget showing the proposed expenditure of funds, how the funds and other resources, including the required

20 percent match, will be used to complete the project, and how the budget figures were derived. 3) A scope of work which states how the group will organize, use procured personnel, and share and disseminate information to the larger affected community. In addition, the scope of work must explain project milestones and how the group's board of directors, technical advisors(s) and "project manager" will interact with each other. 4) Assurances, certifications and other preaward paperwork as 40 CFR part 30 requires. Currently, opportunities under this CFDA are not available and electronic submissions are not accepted through [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

1) A TAG review team in the EPA Regional Office to which the application is submitted reviews the application and sends a letter containing written comments telling the applicant what, if any, changes need to be made to the application to make it complete. 2) An applicant group has 90 days from the date of the EPA letter to make the changes to their application and resubmit it to EPA. If the changes are not submitted within the 90-day period, the application will be returned unprocessed. 3) EPA determines the applicant's eligibility under 40 CFR 35.4020 and considers whether and how successfully the group meets three equally weighted criteria in 40 CFR 35.4155 (see 180, "criteria for selecting proposals," below). When multiple groups apply, EPA will rank each applicant relative to other applicants using the three equally weighted criteria. 4) If an applicant is not going to be awarded a TAG, the EPA will send a letter of rejection to the applicant. 5) If an application is approved for an award, a grant agreement document (EPA Form 5700-20A) is signed by the EPA award official. This document becomes an offer from EPA to the applicant. Award offers are mailed to the recipient five working days after the award official signs the agreement. 6) The applicant must sign and return the agreement to EPA within three weeks of the date the agreement is postmarked or request an extension. EPA will review applications in accordance to terms, conditions and criteria in the TAG regulations and EPA's policy for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 4 to 9 weeks.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. Before a group obtains judicial review of the dispute, they must have requested the Regional Administrator to review the dispute decision official's determination under 40 CFR 31.70(c), and if the group still has a dispute, they must request the Assistant Administrator for the Office of Solid Waste and Emergency Response to review the Regional Administrator's decision under 40 CFR 31.70(h).

#### **Renewals:**

Grant waiver requests are made at the end of the budget period and are based on the requirements of 40 CFR 35.4065, which lists criteria which must be met.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. As directed by statute (Section 117(e) of CERCLA, as amended by 42 USC 9617(e)) there may be only one grant per site, there is a \$50,000 award limit unless waived, and recipient must contribute a 20 percent match (including in-kind contributions).

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

A grant may be available from the time a site is proposed for listing under the NCP (with a response action underway) until the site is delisted from the NPL - this time span varies based on the complexity of the site cleanup; a group may submit an LOI to apply for a TAG at any eligible site at any point in the site cleanup. For each award, the grant period is determined by the time needed to complete the scope of work stated in the grant application and through negotiations with EPA (this is generally a period of three years or greater). Grants under this CFDA are reimbursement-based; a grantee may draw down funds to cover grant-related expenses they have incurred (such as a technical advisor's invoice for services/expenses). Method of awarding/releasing

assistance: lump sum.

**Reports:**

No program reports are required. Federal Cash Transaction Reports (OMB SF272) are required of TAG grant recipients. 1) Progress reports. Each recipient shall submit quarterly progress reports to EPA for the technical assistance grant project 45 days after the end of each calendar quarter. Progress reports shall fully describe in chart or narrative format the progress achieved in relationship to the approved schedule, budget, and the technical assistance grant project milestones. Special problems encountered must be explained. 2) Financial status report. Each recipient shall submit to EPA a financial status report annually, within 90 days of the anniversary date of the start of the TAG project. These reports shall include the status of project's funds through identification of project transactions and within 90 days after the end of the TAG funding period. 3) Final report. Each recipient shall submit to EPA the final report within 90 days after the end of the project. The report shall describe project goals and objectives, activities undertaken to achieve goals and objectives, difficulties encountered, technical advisors' work products and funds spent. 4) Requests for Reimbursement or Federal Cash Transactions Reports. Depending on the method of payment, each recipient shall submit periodic requests for reimbursement as funds are needed, or shall submit to EPA a federal cash transaction report semiannually, within 15 working days following the end of the semiannual period which ends June 30 and December 31 of each year. These reports shall include the amount of funds advanced to the TAG recipient or electronically transferred to the TAG recipient's bank account, and a description of how the funds were spent. 5) Minority-Owned Business Enterprise/Women-Owned Enterprise (MBE/WBE) Utilization. Each recipient shall submit to EPA a MBE/WBE Utilization report annually, even if no contracts have been signed. Each recipient is required to disclose whether they have contracted with a MBE/WBE in the past Federal fiscal year, the value of the contract, if any, and the percentage of the total project dollars on MBE/WBEs. 6) Each recipient shall comply with any reporting requirements in the terms and conditions of the "grant agreement". 7) Each recipient shall comply with any reporting and record keeping requirements in OMB Circular A-122 and 40 CFR part 30. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

(1) Each recipient shall keep complete financial records accurately showing how the Federal funds were used and the match, whether it is in the form of cash or in-kind assistance. (2) Each recipient shall comply with any reporting and record keeping requirements of OMB Circular A-122 and 40 CFR Part 30. (3) Each recipient must keep TAG financial records for ten years from the date of the final Financial Status Report, or until any audit, litigation, cost recovery, and/or disputes initiated before the end of the ten-year retention period are settled, whichever is longer. At the ten-year mark, the TAG financial records may be disposed of after first getting written approval to do so from the EPA. Alternately, a recipient may choose to submit financial records to the EPA for safekeeping when the final Financial Status Report is submitted. (4) Each recipient must send to EPA a copy of each final written product prepared by their technical advisor as part of the TAG. EPA will send the final written products to the local Superfund site information repository(ies) where all site-related documents are available to the public.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$497,620; FY 09 est \$350,000; FY 10 est \$400,000

**Range and Average of Financial Assistance:**

Initial awards for assistance agreements awarded under this CFDA number will not exceed \$50,000. After the initial award, additional funding may be awarded based on the criteria detailed under 40 CFR 35.4065, and subject to the availability of funds. The average additional award is \$40,000 (per agreement). Since 1988, 308 TAGs have been awarded. Of these, 193 grantees were awarded \$50,000 or less; 81 grantees have received awards with a cumulative value between \$51,000 and \$150,000; 24 grantees have received awards with a cumulative value ranging between \$151,000 and \$250,000; and 10 grantees have received awards whose cumulative value totals of more than \$250,000. The cumulative award value includes the initial award and any supplemental funding awards over the life of the agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the program began on March 24, 1988, 308 awards have been issued by EPA, totaling more than \$26,475,000 in TAG awards (including new awards, additional funds, waivers and deviations). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 08 three new grants were awarded (\$125,000 total) and 11 established grantees were awarded additional funds (\$372,620 total). Fiscal Year 2009: In FY 09, as of May 15, 2009, no new grants have been awarded and two established grantees were awarded additional funds (\$50,000 total); EPA anticipates two new awards (\$100,000 total) and five additional existing grantees will be awarded supplemental funding (est. total \$225,000 total) by the end of FY 09. The grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan). Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31; 40 CFR Part 30; 40 CFR Part 35.( Subpart M); and TAG Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. Freya Margand; Community Involvement and Outreach Branch, Office of Superfund Remediation & Technology Innovation, Mail code: 5204P, U.S. Environmental Protection Agency; Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, DC 20460. Telephone: (703) 603-8889. Fax: (703) 603-9102. E-mail address: margand.freya@epa.gov Questions may also be directed to the EPA Regional Office serving a particular state. All TAG paperwork should be submitted directly to the EPA Regional Office. A list of the Regions and their States, plus the name(s) and telephone number(s) for the Regional TAG contact can be found in Appendix IV of the CFDA. A list of EPA Regional TAG contacts can also be found at the web site address: <http://www.epa.gov/superfund/community/tag/contacts.htm>.

**Headquarters Office:**

Freya Margand Community Involvement and Outreach Branch Office of Superfund Remediation & Technology Innovation Mail code: 5204P, U.S. Environmental Protection Agency Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, District of Columbia 20460 Email: margand.freya@epa.gov Phone: (703) 603-8889

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but

are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the programmatic regulations (40 CFR Part 35) as follow. In selecting a proposal: 1) EPA will determine if a group meets the following eligibility criteria: (a) The community group is a group of people who may be "affected" by a release or a threatened release at any facility listed on the NPL or proposed for listing under the NCP where a response action is underway; and (b) The group meets the minimum administrative and management capability requirements found in 40 CFR 30.21 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to managing the TAG. 2) EPA will also determine if there are factors which make the group ineligible. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represent a PRP; (b) The group is "affiliated" with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045. 3) Once EPA determines if eligibility requirements have been met, the Agency considers whether and how successfully a group meets the following, equally weighted, criteria: (a) Representation of groups and individuals affected by the site; (b) The group's plans to use the services of a technical advisor throughout the Superfund response action; and (c) The group's ability and plan to inform others in the community of the information provided by the technical advisor. 4) Additionally, a group must incorporate as a nonprofit for the purpose of participating in decision making at the Superfund site for which the TAG was granted (for exception see 40 CFR 35.4045). Applicant groups should consult the Superfund TAG Handbooks, "Applying for a Grant" and "The Application Forms with Instructions," for detailed instructions on applying for a TAG.

#### **66.808 SOLID WASTE MANAGEMENT ASSISTANCE GRANTS**

##### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

##### **AUTHORIZATION:**

Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901; Solid Waste Disposal Act, Section 8001.

##### **OBJECTIVES:**

To promote use of integrated solid waste management systems to solve solid waste generation and management problems at the local, regional and national levels. Funding Priority - Fiscal Year 2009: Partnerships - Establishing and developing partnerships with states, local governments and other non profit organizations to assist them in advancing their waste management programs, including recycling and reduction of wastes, appropriate management of wastes that are generated, and developing integrated waste management plans. Education and Outreach - Developing and providing education, training, and outreach materials to educate and inform Americans about waste's impact on resource and energy use and pollution. Fostering a better understanding of the environmental ramifications of collective actions including how individual purchasing and manufacturing decisions are connected to the environment and to enable Americans to make better choices resulting in increased recycling, less waste and greater energy savings.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Available for the allowable direct cost expenditures incident to program

performance plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policies. Projects can include the following types of activities: training, surveys, education materials and programs, studies, and demonstrations; assistance to such projects shall not include any element of construction, or any acquisition of land or interest in land, or any subsidy for the price of recovered resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

##### **Applicant Eligibility:**

State (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands), local, Tribal, interstate, and intrastate government agencies and instrumentalities; and nonprofit organizations that are not 501(c)(4) organizations that lobby, including nonprofit educational institutions and nonprofit hospitals. Individuals and for-profit organizations are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, EPA may limit competition under this CFDA to Tribes and Inter-Tribal Consortia.

##### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, the public, and interstate agencies.

##### **Credentials/Documentation:**

Nonprofits need to provide proof of their status. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Discussion with EPA Headquarters or the appropriate EPA Regional Office is advisable. (See Appendix IV of the Catalog for list of Regional Contacts). Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for application forms and submission of completed applications should be directed to EPA Grants and Interagency Agreements Management Division(3903R), Washington, DC 20460, or the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

##### **Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and program evaluation criteria to determine the merit and relevance of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 180 days.

##### **Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted, which will be reviewed in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 month basis (yearly). The total approved project period is generally no longer than 3 years. See the following for information on how assistance is awarded/released: Assistance under this program can be awarded in various ways, but will usually be awarded in lump sum or annually.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports are required under this program. Generally they are quarterly or monthly.

Expenditure Reports are required and usually accompany the progress reports. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised during the three year project period as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$3,000,000; FY 09 est \$1,860,000; FY 10 est \$1,850,000

**Range and Average of Financial Assistance:**

(Fiscal year 2009) \$5,000 to \$1,700,000; \$470,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In fiscal year 2009, 14 projects were awarded. The estimate of projects for fiscal year 2010 is about the same. Quantifiable data on the number and ratio of past applications not available. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Parts 30, 31 and 33); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161, on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nick Vizzone USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 5305P  
, Washington, District of Columbia 20460 Email: vizzone.nick@epa.gov  
Phone: (703) 308-8460

**Website Address:**

<http://www.epa.gov/epawaste/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Conference to provide a national forum for tribal governments to disseminate environmental program training and to interact with federal partners; (2) Conduct outreach to state purchasers, educate them about the guidelines established in January 2002, and encourage them to formally adopt product stewardship purchasing criteria into their state purchasing contracts for carpet; (3) Challenge the electronics industry to design products that meet new, peer reviewed design principles and recycling strategies; (4) Develop and implement a mercury containing lamp recycling outreach program; (5) Increase public awareness of mercury containing lamp recycling and access to resource information; (6) Foster information sharing among State regulatory programs with varying regulatory approaches and experiences and in differing stages of maturity. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.809 SUPERFUND STATE AND INDIAN TRIBE CORE PROGRAM COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 104(d), 42 U.S.C 9604(d).

**OBJECTIVES:**

To effectively implement the statutory requirements of CERCLA Section 121(f) for State involvement. To provide funds to conduct CERCLA activities which are not assignable to specific sites, but support a recipient's site-specific response program. Funding Priority - Fiscal Year 2009: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction. Funding Priority - Fiscal Year 2010: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Core Program Cooperative Agreements are offered to ensure that each State, or Federally Recognized Indian Tribe or intertribal consortia can substantially participate in CERCLA response actions. Recipients negotiate with EPA Regions to receive funding for a variety of activities that include: (1) Procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and (5) activities that support EPA/Recipient interaction. Recipients with Regional approval may receive awards for multi year budget

and project periods at the Region's discretion. Funding for the entire project may be made as a lump sum or incrementally over time. Recipients must demonstrate progress towards the goals stated in the Core Program Cooperative Agreement in order to be eligible for continued funding. Only one Core Program Cooperative Agreement will be awarded to each eligible State or Tribe or intertribal consortia through the Single Point of Contact. Funds must be used for non-site-specific activities as described above.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation and pre-application conference are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices review the applications for cooperative agreements. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless re-delegated to the Regional Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately ninety (90)days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applications for additional funding need to include only the revised pages from EPA Form 424.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. As required by 40 CFR Part 35 Subpart O, State recipients of Core Program Cooperative Agreements must provide a 10 percent cost share of the total project cost on all awards. This match may be made from either direct, non-federal funds, non reimbursed fund, or with in kind contributions. CERCLA credits earned at other Superfund sites cannot be used to meet the 10 percent match. This program has no statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is awarded as a lump sum, or may be incrementally funded. Recipients with Regional approval may receive cooperative agreement awards for multi year budget and project periods at the Region's discretion. Continued funding of tasks in subsequent years is based on an evaluation of demonstrated progress towards the goals in the Core Program Cooperative Agreement Statement of Work. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method,

the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

No program reports are required. No cash reports are required. The recipients must submit progress reports no more frequently than quarterly, but at a minimum annually. The recipients must submit financial status reports annually, and a final report. Financial status reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$8,700,000; FY 09 est \$8,000,000; FY 10 est \$8,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$600,000; average award amount: \$228,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Years 2008 and 2009, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. In Fiscal Year 2008, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31, 40 CFR Part 35, Subpart O, Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Angelo Carasea Site Assessment and Remedy Decisions Branch  
Assessment and Remediation Division  
Office of Superfund Remediation and Technology Innovation  
Mail Code 5204P, EPA, Washington, District of Columbia 20460 Email:  
carasea.angelo@epa.gov Phone: (703) 603-8828

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Administrative and program development, accounting systems development, legal authorities and enforcement support, hiring and training of State response staff, procedures for emergency response actions.  
Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Core Program Cooperative Agreements, recipients must demonstrate a need for non-site specific funds to support activities not covered by other site-specific awards. Each project is examined and selected on a case-by-case basis based upon availability of funds, receipt of application, and other criteria as determined by EPA.

**66.810 CHEMICAL EMERGENCY PREPAREDNESS AND PREVENTION (CEPP) TECHNICAL ASSISTANCE GRANTS PROGRAM**

(CAA 112 and SARA Title III State Grants Program)

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10(a)&28(a), Public Law 94-469, 15 U.S.C 2601; Clean Air Act, Section 103(b)(3).

**OBJECTIVES:**

To provide financial assistance to States, Local agencies, and Indian Tribes for chemical accident prevention activities that relate to the Risk Management Program under the Clean Air Act Section 112(r). To provide financial assistance to Tribes for chemical emergency planning, and community right-to-know programs which are established to prevent or eliminate unreasonable risk to the health and environment of communities within the State. Anticipated Funding Priority - Fiscal Year 2009: (1)Capacity Building: Increase capacity at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to integrate chemical accident prevention activities; chemical emergency planning efforts, and community right-to-know programs. (2) Community Issues: Development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities and to take appropriate prevention and preparedness steps to protect the community. (3) Partnerships: Strengthening partnerships among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration and build credibility for chemical prevention and preparedness activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Innovative Technical Assistance Grants are offered to improve the ability of States, Tribes and local communities to protect public health and safety and involve the development of technical assistance or similar materials that could be used directly or adapted by other States/Tribes or Local Emergency Planning Committees (LEPCs). Projects which address implementing the Risk Management Program under the Clean Air Act Section 112(r) are especially of

interest. The grant money may not supplant State or Tribal funds already being spent. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

States, Local agencies and Federally Recognized Indian Tribes located within EPA Region 7. This includes the States of Nebraska, Kansas, Iowa, and Missouri. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, Tribes, Local Emergency Planning Committees, and local emergency responders.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should contact the CEPP Regional contact listed below to determine if grants are available in a specific Region. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States, Local agencies, and Indian Tribes must submit the original completed application package and one copy to the appropriate EPA Regional Office. The Regional office will review the application package to ensure completeness. States must comply with all applicable requirements. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Grant applications will undergo the following review process: EPA Regional Office staff will evaluate each application and, based on the criteria established will select proposal(s) for funding. EPA Regional offices will be awarding the grants. The review process will concentrate on choosing the best project concepts. Once the grant is awarded to the State Emergency Response Commission (SERC), Tribal Emergency Response Commission (TERC), directly to the local agencies such as the Local Emergency Planning Committee (LEPC), or other State agency with SERC coordination as appropriate, the recipient will be notified by phone or email. EPA will monitor the work in progress and provide project guidance and oversight to the State, Local agencies, and Tribes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also

be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. This program has no statutory formula. There is a 25 percent match requirement for assistance agreements awarded to States under the Toxic Substances Control Act, Section 28.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 to 24 month basis. Total approved project period should not exceed 2 years for a particular project. A call for letters of intent and applications will be advertised annually via the Regions notifying States, Local agencies, and Tribes. Recipients will be notified by phone call or email that their proposal will be funded. The grants may be awarded in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program reports are conducted. Final financial status report required. Quarterly and final reports are required. Expenditure reports are part of the annual financial status report. Performance monitoring is accomplished through the quarterly progress reports, ongoing EPA involvement with recipient, and on-site reviews as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant recipient accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$75,000; FY 09 est \$75,000; FY 10 est \$75,000

**Range and Average of Financial Assistance:**

\$75,000; an average of approximately \$75,000 for a one year award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During FY 2008, 1 grant was received and 1 awarded for conducting and promoting activities associated with the Clean Air Act program in the area of Chemical Accident Prevention, Preparedness and Response. This grants is in support of Goal 4: Healthy Communities and Ecosystems, and the outcomes for these projects are defined and include Chemical Organism and Pesticide Risk reduction at facilities. Fiscal Year 2009: For FY 2009, we estimate up to 4 awards and 4-6 applications. The estimate for FY 2010 is also up to 4 awards with 4-6 applications. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements

to States and Local Government (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Tina Wilkins, Lead EPS, R7/AWMD/IO, 901 North 5th St., Kansas City, Kansas, 66101 telephone 913-551-7964 fax 913-551-7065 email: wilkins.tina@epa.gov.

**Headquarters Office:**

Sherry Fielding OSWER/OEM/POCD (5104A)  
EPA HQ, Ariel Rios Building  
1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: fielding.sherry@epa.gov Phone: (202) 564-6174

**Website Address:**

<http://www.epa.gov/emergencies>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Conduct compliance assistance visits to RMP facilities. During these compliance assistance site visits, the State investigator will tour the sites, interview representatives, offer guidance in correcting deficiencies and continue to support and monitor the establishment until RMP compliance is achieved. A tracking database will be used to record the facility's progress toward meeting federal requirements. Workshops provide outreach to the regulated communities regarding Risk Management. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.812 HAZARDOUS WASTE MANAGEMENT GRANT PROGRAM FOR TRIBES**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriation Act, Public Law 105-276.

**OBJECTIVES:**

The purpose of the Hazardous Waste Management Grant Program for Tribes is to provide financial assistance to Tribal governments and Tribal Consortia for the development and implementation of hazardous waste programs; for building capacity to improve and maintain regulatory compliance; and for developing solutions to address hazardous waste impacting Tribal lands. Funding Priority - Fiscal Year 2009: Develop and implement hazardous waste management programs that improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. Build capacity to improve and maintain regulatory compliance and develop solutions to address hazardous waste mismanagement impacting Tribal lands. Development and institutionalization of hazardous waste program capacity for Tribal governments and the communities they serve.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This grant program will support projects designed to develop and implement hazardous waste management programs. These programs must improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. All hazardous waste management activities that address the Resource Conservation and Recovery Act (RCRA) Subtitle C "cradle to grave" approach are eligible. Each of the following hazardous waste management program activities are considered central to a "cradle to grave" program: Hazardous Waste Identification; Hazardous Waste Generator Siting, Monitoring, & Compliance (Large Quantity, Small Quantity, and Conditionally Exempt Small Quantity Generators); Hazardous Waste Minimization, Recycling, Used Oil, and Universal Wastes; Hazardous Waste Transportation; Treatment, Storage, and Disposal Facility Siting, Permitting, Monitoring, Corrective Action, &



Enforcement; Land Disposal Restrictions; Combustion. Assistance will be provided under this program only for activities which EPA determines are appropriate to carry out the purposes of RCRA. Assistance under this program does not include any element of municipal solid waste management, chemical emergency planning and preparedness or superfund program cleanup.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) an Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should consult the designated Regional Tribal hazardous waste program coordinator. It is strongly suggested that potential applicants consult with the designated Regional point of contact. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The annual competitive announcement outlines specific procedures for submitting proposals. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress on previously awarded grant

must be demonstrated.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award.  
Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Typically expenditure reports are not required. However, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Records and accounts must be maintained to reflect the operations of the project. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$305,200; FY 09 est \$304,000; FY 10 est \$304,000

**Range and Average of Financial Assistance:**

Range = \$18,00 to \$100,000; Average = \$56,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the Office of Resource Conservation and Recovery (ORCR) - formerly OSW - distributed funds to Tribes and Inter-Tribal Consortia in support of activities that facilitate the development of comprehensive management programs to properly identify, manage, or dispose of hazardous waste; build capacity to improve and maintain regulatory compliance; and identify and/or implement solutions that will address hazardous waste mismanagement. In FY 2008, ORCR received 7 proposals. To assist Tribes through the FY 2008 Hazardous Waste Management Grant Program, \$305,200 in STAG funding was distributed to Regions 9 and 10. A total of 4 awards were made through these Regions. Fiscal Year 2009: In FY

2009, it is anticipated that 4 new awards will be made through the Hazardous Waste Management Grant Program for Tribes. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30), "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA. Contact designated Regional program coordinator for other documents, including the "Hazardous Waste Management Grant Program for Tribes: Guidance for Applicants."

#### **Regional or Local Office:**

See Regional Agency Offices. Designated Regional Tribal Hazardous Waste Management Program Contacts: Region, Address, Name, E-mail Address, Phone, Fax. Region I, U.S. EPA, 1 Congress Street, Boston, MA 02114-2023, Stuart Gray, Gray.Stuart@epa.gov, (617) 918-1302,(617) 918-1505. Region II, U.S. EPA, 290 Broadway, 22nd Floor, New York, NY 10007-1886, Lorraine Graves, Graves.Lorraine@epa.gov,(212) 637-4099,(212) 637-4437. Region IV, U.S. EPA, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, Davy Simonson, Simonson.Davy@epa.gov,(404) 562-8457, (404) 562-8439. Region V, U.S. EPA, 77 W. Jackson Blvd, Chicago, IL 60604, Margaret Millard, Millard.Margaret@epa.gov, (312) 353-1440,(312) 353-6519. Region VI, U.S. EPA, 1445 Ross Avenue, Dallas, TX 75202-2733, Nick Stone (Technical), Stone.Nick@epa.gov, ChesTeena Hullum (Grants), Hullum.ChesTeena@epa.gov, (214) 665-7226, (214) 665-7216, (214) 665-7263,(214) 665-6762. Region VII, U.S. EPA, 901 N. 5th Street, Kansas City, KS 66101, Gayle Hubert, Hubert.Gayle@epa.gov, (913) 551-7439,(913) 551-9669. Region VIII, U.S. EPA, 1595 Wynkoop Street, Mail Code: 8P-HW, Denver, CO 80202-1129, Susanna Trujillo, Trujillo.Susanna@epa.gov, (303) 312-7008, (303) 312-6341. Region IX, U.S. EPA, 75 Hawthorne Street, Mail Code: WST-7, San Francisco, CA 94105, Heather White, White.Heather@epa.gov, (415) 972-3384,(415) 947-3530. Region X, U.S. EPA, 1200 6th Avenue, Seattle, WA 98101, Maria Tartaglia, Tartaglia.Maria@epa.gov, (206) 553-1128, (206) 553-8509.

#### **Headquarters Office:**

Denise Roy Office of Resource Conservation and Recovery  
Environmental Protection Agency  
1200 Pennsylvania Ave., NW., (5303P) , Washington, District of Columbia  
20460 Email: Roy.Denise@epa.gov Phone: (703) 308 8458

#### **Website Address:**

<http://www.epa.gov/tribalmw/>

#### **RELATED PROGRAMS:**

66.473 Direct Implementation Tribal Cooperative Agreements; 66.605 Performance Partnership Grants; 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements; 66.708 Pollution Prevention Grants Program; 66.709 Multi-Media Capacity Building Grants for States and Tribes; 66.801 Hazardous Waste Management State Program Support; 66.808 Solid Waste Management Assistance Grants; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program; 66.926 Indian Environmental General Assistance Program (GAP)

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following activities are suggestive and do not limit the range of activities considered eligible under this grant program. These activities are eligible when they are performed in support of developing and implementing a tribal program to manage hazardous waste: Develop and implement codes, regulations, and ordinances, policies, and/or guidance to regulate hazardous waste management activities and facilities, such as generators, transporters, and treatment, storage and disposal facilities. Develop and implement hazardous waste program enforcement policies and procedures to ensure regulatory compliance, including monitoring and inspection schemes. Develop legal and administrative infrastructure adequate to implement and maintain regulatory and/or non-regulatory hazardous waste management programs. Includes support for Tribal Emergency Response Committees (TERC). Identify and assess hazardous waste generation and ongoing management of concern to the community, including: inventory active and inactive dump/disposal sites and assess contamination potential; characterize hazardous waste stream, including illegal dump-sites; and identify sensitive sites with potential or actual impacts on water bodies, soil, air, cultural/historic

resources, threatened or endangered species, etc. Develop and implement tribal integrated hazardous waste management plans (including, but not limited to, source reduction/recycling, household hazardous waste collection programs, pesticide container collection, ). Implement used oil collection/re-use and other programs to reduce the mismanagement of hazardous waste in the community. Implement household hazardous waste collection events or programs that provide sustainable or long-term solutions for disposal of household hazardous waste for the community. Develop outreach/education documents and other resource materials to plan and conduct hazardous waste management seminars for tribal leaders, community members, business and civic organizations, etc. Establish qualifications for environmental management personnel relative to the tribes needs and plan for program implementation. Establish a communications plan for hazardous waste management program activities. Identify multi-jurisdictional opportunities for hazardous waste management, including feasibility for intergovernmental (Tribal, Federal, State, local) cooperative efforts. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.813 ALTERNATIVE OR INNOVATIVE TREATMENT TECHNOLOGY RESEARCH, DEMONSTRATION, TRAINING, AND HAZARDOUS SUBSTANCE RESEARCH GRANTS**

##### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

##### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311(b)&(c), Public Law 95-510, 42 U.S.C 9660.

##### **OBJECTIVES:**

To support grants and cooperative agreements for (1) a program of research, evaluation, testing, development, and demonstration of alternative or innovative treatment technologies which may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment; (2) a technology transfer program including the development, collection, evaluation, coordination, and dissemination of information relating to the utilization of alternative or innovative treatment technologies for response actions; (3) a program of training and evaluation of training needs in the procedures for the handling and removal of hazardous substances for employees who handle hazardous substances and training in the management of facilities at which hazardous substances are located and in the evaluation of the hazards to human health presented by such facilities for State and local health and environmental agency personnel, and (4) a program of research with respect to the detection, assessment, and evaluation of the effects on and risks to human health of hazardous substances and detection of hazardous substances in the environment. Funding Priority - Fiscal Year 2009: 1) To support the Removal Action Focus Group with research on resources, capabilities and successes of State removal and environmental emergency response programs to participate in Superfund large-scale emergencies. 2) To produce information that States will use to improve and enhance the practices relative to the assessment, remediation, and long-term stewardship activities conducted at Superfund sites. 3) The recipient will host technical conferences and training events for non federal personnel on innovative and alternative treatment technologies. 4) To support work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Two renewable energy forums, a compendium of best practices, and other related work have been proposed. Funding Priority - Fiscal Year 2010: 1) To support the Removal Action Focus Group with research on resources, capabilities and successes of State removal and environmental emergency response programs to participate in Superfund large-scale emergencies. 2) To produce information that States will use to improve and enhance the practices relative to the assessment, remediation, and long-term stewardship activities conducted at Superfund sites. 3) To support work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Renewable energy forums, a compendium of best practices, and

other related work have been proposed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations.

Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Types of discrete projects may include: land use controls research; health effects in construction workers; studies of above ground storage tank inspection practices; remediation technologies and strategies; and support for State forums to share information on research on hazardous substances waste remediation. Funding awarded for research under CERCLA 311(c) does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. In some instances, EPA will consider applications from profit makers, proposing projects with significant technical merit and relevance to EPA's Office of Solid Waste and Emergency Response. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, industry, and other public and private institutions and individuals.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants considering submitting proposals are advised to discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For information contacts, see Appendix IV of the Catalog. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard

Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

For non-competitive awards: Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. For competitive awards: Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant and cooperative agreement proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA 311(b)(3) requires that EPA, "to the maximum extent possible", enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. This program has no statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements in a lump sum on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. The Office of Congressional Liaison is notified of the award. They in turn notify the appropriate House and Senate members that the assistance agreement has been awarded. This notification period lasts 5. After the 5 Day Congressional notification period, the original award document will be sent to the recipient. A copy of the award document will be sent to the Project Officer and the Las Vegas Financial Management Center or the Regions Financial Management Office. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular

No.A-102. No cash reports are required. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. EPA may require that for profit recipients follow 40 CFR Part 30. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

20-8145-0-7-304.

**Obligations:**

(Project Grants) FY 08 \$931,182; FY 09 est \$500,000; FY 10 est \$1,040,000

**Range and Average of Financial Assistance:**

For each fiscal year it is \$20,000 - \$500,000, Average \$320,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Technical conferences and training events for non federal personnel on innovative and alternative treatment technologies; to conduct research with respect to the detection, assessment, and evaluation of the effects on, and risks to, human health from hazardous substances and detection of hazardous substances in the environment, as related to states and territories; and, to increase the county official's capacity to identify, assess, finance, revitalize and manage over time contaminated or potentially contaminated properties. In FY 08 there were 4 active awards. Fiscal Year 2009: Technical conferences and training events for non federal personnel on innovative and alternative treatment technologies; to conduct research with respect to the detection, assessment, and evaluation of the effects on, and risks to, human health from hazardous substances and detection of hazardous substances in the environment, as related to states and territories; and, to increase the county official's capacity to identify, assess, finance, revitalize and manage over time contaminated or potentially contaminated properties. In FY 09 there are 3 active awards. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Alternative or innovative treatment technology and hazardous substance research grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to

communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Barbara McDonough Contracts Management Branch, Resources Management Division

Office of Superfund Remediation & Technology Innovation

USEPA (5202-P), 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: mcdonough.barbara@epa.gov Phone: (703) 603-9042

**Website Address:**

<http://www.epa.gov/superfund/index.htm>

**RELATED PROGRAMS:**

66.808 Solid Waste Management Assistance Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Land use controls research; estimating soil ingestion in construction workers; study of state and territorial above ground storage tank inspection practices; State support for forums to discuss and share experiences on remediation technologies and strategies; support for State forums to share information on research on waste remediation; and work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Renewable energy forums, a compendium of best practices, and other related work have been proposed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.814 BROWNFIELDS TRAINING, RESEARCH, AND TECHNICAL ASSISTANCE GRANTS AND COOPERATIVE AGREEMENTS**

Brownfields (k)(6) Grants

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 101(39)&104k(6), 42 U.S.C 9604(k)(6).

**OBJECTIVES:**

CERCLA 104(k)(6) provides EPA with authority for a program of training, research, and technical assistance to individuals and organizations to facilitate the inventory of brownfields properties, assessments, cleanup of brownfields properties, community involvement, or site preparation. Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. Funding Priority - Fiscal Year 2009: EPA may solicit proposals for training, research, and technical assistance and will incrementally fund projects with satisfactory project progress selected in previous 104(k)(6) training, research, and technical assistance competition. The Agency gives preference to the ten statutory ranking criteria, as applicable, found at CERCLA 104(k)(5)(C) (see :180 CRITERIA FOR SELECTING PROPOSALS, below) when evaluating applications for research, training and technical assistance funding. EPA, in addition to the statutory criteria, also evaluates applicants based on their ability to manage grants and other policy based factors intended to promote effective stewardship of Federal funds. Annual Funding Priorities: By statute, 25% of the funding for CERCLA 104(k), must be used for characterization, assessment, and remediation of Brownfields sites

contaminated by petroleum or petroleum products. No more than 15% of the funding appropriated for CERCLA 104(k) grants may be used to fund training, research, and technical assistance grants authorized by CERCLA 104(k)(6). EPA expects to support brownfields training, research, and technical assistance related to the following categories: (1) community involvement, (2) health impacts of brownfields sites, (3) science and technology relating to brownfields assessment, remediation, and site preparation, (4) integrated approaches to brownfields cleanup and redevelopment, (5) economics of brownfields cleanup and redevelopment, (6) results analysis, and (7) state, local and tribal government brownfields programs. For certain competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The amount of financial assistance will vary, with the funding amount expected to be between \$50,000 and \$300,000 per grant. Funding Priority - Fiscal Year 2010: EPA may solicit proposals for training, research, and technical assistance and will incrementally fund projects with satisfactory project progress selected in previous 104(k)(6) training, research, and technical assistance competition. The Agency gives preference to the ten statutory ranking criteria, as applicable, found at CERCLA 104(k)(5)(C) (see :180 CRITERIA FOR SELECTING PROPOSALS, below) when evaluating applications for research, training and technical assistance funding. EPA, in addition to the statutory criteria, also evaluates applicants based on their ability to manage grants and other policy based factors intended to promote effective stewardship of Federal funds. Annual Funding Priorities: By statute, 25% of the funding for CERCLA 104(k), must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. No more than 15% of the funding appropriated for CERCLA 104(k) grants may be used to fund training, research, and technical assistance grants authorized by CERCLA 104(k)(6). EPA expects to support brownfields training, research, and technical assistance related to the following categories: (1) community involvement, (2) health impacts of brownfields sites, (3) science and technology relating to brownfields assessment, remediation, and site preparation, (4) integrated approaches to brownfields cleanup and redevelopment, (5) economics of brownfields cleanup and redevelopment, (6) results analysis, and (7) state, local and tribal government brownfields programs. For certain competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The amount of financial assistance will vary, with the funding amount expected to be between \$50,000 and \$300,000 per grant.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites.

**Applicant Eligibility:**

A general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations are also eligible for training, research, and technical assistance grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Under this definition, colleges, universities, and community

colleges are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Tribal - an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community, and local governments, communities with Brownfields sites and their residents, community groups, universities and colleges, industry, and other public and private institutions and individuals.

**Credentials/Documentation:**

EPA may request that applicants document their non-profit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out projects. EPA may ask applicants for research projects to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Applicants must contact directly affected state area-wide regional and local entities prior to award. (See 40 CFR 29.7(b)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This is a competitive grant program. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA is required by statute to conduct this assistance program competitively. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. Incremental funding is subject to review and approval by the Office of Brownfields and Land Revitalization, Office of Solid Waste and Emergency Response. The funded grants and cooperative agreements are not eligible for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For training, research and technical assistance grants, EPA will not require that applicants include a match or cost share unless required by the terms of a competitive announcement. Even if EPA decides not to require matching funds, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance.

This program has no statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12 month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods for training, research and technical assistance grants to 5 years. See the following for information on how assistance is awarded/released: EPA generally funds the research, training, and technical assistance grants and cooperative agreements incrementally on a 12 month basis. However, EPA can negotiate the assistance award with each applicant based on project requirements.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are generally required as part of the terms and conditions of the grants and cooperative agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,266,053; FY 09 est \$3,000,000; FY 10 est \$3,000,000

**Range and Average of Financial Assistance:**

(FY08) \$47,640.38 to \$398,569.00; Average \$180,864.72. The performance period for these grants ranges from two to five years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, EPA solicited proposals for training, research, and technical assistance to support geographically based technical assistance centers. EPA selected four proposals with an award of \$200,000 per year for up to 5 years each. In FY08, EPA solicited proposals for training, research, and technical assistance focused on protecting health and the environment, sustainable development, and equitable development. EPA received 44 applications and selected 11 proposals with awards of up to \$300,000 per year for up to 5 years each. The new grants were awarded in FY09 and include brownfields related projects providing sustainable redevelopment training, researching community gardens and renewable fuels on brownfields, and models for the carbon and air emission impacts of brownfields projects. Fiscal Year 2009: In FY09, EPA provided incremental funding to projects awarded in previous years. The ongoing grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by state, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brownfields training, research, and technical assistance grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. EPA will provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means. EPA will provide assistance regarding clarification of the grant proposal guidelines. Potential applicants may submit written requests to OBCR for clarification. Significant clarifications to the guidelines will be posted on the brownfields website <http://www.epa.gov/brownfields>. This is the only form of pre-application assistance available. EPA will not meet with applicants to discuss draft proposals or provide informal comments on proposals.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

David Lloyd Office of Brownfields and Land Revitalization  
OSWER, EPA  
1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777

**Website Address:**

<http://www.epa.gov/brownfields>

**RELATED PROGRAMS:**

66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EPA has funded cooperative agreements for a variety of training, research, and technical assistance activities including: new geographically based technical assistance centers; training for communities new to brownfields activities; technical assistance and training for assessing and cleaning up meth labs in Indian Country; research on brownfields financing; and web sessions and conference calls providing training and technical assistance to brownfields communities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.815 BROWNFIELD JOB TRAINING COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection

Agency

#### **AUTHORIZATION:**

The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 101(39)&104k(6), 42 U.S.C 9604(k)(6); American Recovery and Reinvestment Act of 2009.

#### **OBJECTIVES:**

The objective of the Brownfield Job Training Program is to recruit, train, and place unemployed and under-employed residents of brownfields-impacted communities, and by doing so, providing individuals of these communities with the skills needed to obtain sustainable employment in brownfields redevelopment and environmental related careers. By doing so, the Brownfields Job Training Program promotes the facilitation of assessment, remediation, or preparation of brownfield sites. A brownfield site is "real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant," as defined in 101(39) of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended (CERCLA, or Superfund). The law further defines the term "brownfield site" to include a site that "is contaminated by a controlled substance...; is contaminated by petroleum or a petroleum product excluded from the definition of 'hazardous substance'...; or is mine-scarred land." Funding Priority - Fiscal Year 2009: EPA expects to solicit proposals on an annual basis for its regular appropriation. Greater weight will be given to those applicants who meet the ranking criteria outlined in Section 180 of this CFDA including those who demonstrate experience in providing job training recruitment and placement services and environmental remediation knowledge, community involvement and employer partnerships, an ability to leverage nongovernmental funding, prior experience in managing and reporting upon federal grants, a demonstration of community need and environmental justice issues, and performance measurement strategies. In addition, for fiscal year 2009 only, EPA solicited proposals for American Recovery and Reinvestment Act (ARRA) funding. EPA issued a request for applications (RFA) from eligible governmental entities and nonprofit organizations to provide environmental job training projects that will facilitate job creation in the assessment, remediation, or preparation of brownfields sites for sustainable reuse. Annual Funding Priorities: No more than 15% of the funding appropriated for CERCLA 104(k) grants may be used to fund research, training and technical assistance grants authorized by CERCLA 104(k)(6). By statute, 25% of the funding appropriated for CERCLA 104(k) grants must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to the ten statutory ranking criteria found at CERCLA 104(k)(5)(C) when evaluating applications for funding.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. However, for brownfields job training grants, individuals are not eligible to apply. (See eligibility requirements in Section 080) Grants and cooperative agreements are available to eligible entities throughout the United States. However, eligible applicants must propose to serve a community that currently receives, or has received, financial assistance for brownfields assessment, revolving loan fund, cleanup, state or tribal site-specific response program work, and/or targeted brownfield assessment grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grant or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of

Brownfields sites. Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools.

#### **Applicant Eligibility:**

Proposals will be accepted from either eligible governmental entities as defined in CERCLA Section 104(k)(1) or eligible nonprofit organizations as defined in Public Law 106-107, the Federal Financial Assistance Management Improvement Act. Eligible governmental entities include a general purpose local unit of government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of government; a governmental entity created by a state legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a state; a state; an Indian Tribe (other than in Alaska), or an Alaskan Native Regional Corporation and an Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 and following); and the Metlakatla Indian Community. Intertribal consortia, except consortia comprised of ineligible Alaskan tribes, are eligible to apply as well. Eligible nonprofit organizations include any corporation, trust, association, cooperative, or other organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. Workforce Investment Boards that meet these criteria may be eligible nonprofit organizations. Public and nonprofit private educational institutions are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit or proprietary training organizations or trade schools are not eligible to apply. Evidence of current nonprofit status under Federal, state or tribal law must be provided at the time the proposal is submitted. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants that received a Brownfields Job Training grant from EPA in Fiscal Year 2008 (announced March 2008) are not eligible to apply in FY09 for regular appropriation funds. However, this restriction has been waived for applicants applying for the ARRA funding. A list of brownfields job training grants awarded in Fiscal Year 2008 can be found on the Brownfields Website, <http://www.epa.gov/brownfields/pilot.htm#previous>. Applicants who received a brownfields job training grant in or before FY07 are eligible to apply for this competition. Applicants must also demonstrate that their proposed project will not duplicate other federally-funded job training programs in their target area. For example, applicants must demonstrate that the proposed training project does not duplicate National Institute of Environmental Health Sciences hazardous waste worker training programs in their target community. If an applicant is listed as a recipient of an NIEHS job training grant, the applicant must demonstrate how services under this proposed project will complement but not duplicate existing federal job training activities in the target community and area. All applicants must also include OSHA 29 CFR 1910.120 40-hour Hazardous Waste Operations and Emergency Response (HAZWOPER) training as part of their proposed training curriculums. All curriculums must include this training and be provided to all individuals entering training. Please visit the following website for more details: [http://www.osha.gov/pls/oshaweb/owadisp.show\\_document?p\\_table=STANDARDS&p\\_id=9765](http://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STANDARDS&p_id=9765).

#### **Beneficiary Eligibility:**

Job training grants will provide environmental job training and help individuals of brownfields neighborhoods take advantage of job opportunities created as a result of the assessment and cleanup of brownfields properties. In addition, this program benefits industry by increasing the supply of skilled labor for firms that engage in environmental assessment and cleanup.

#### **Credentials/Documentation:**

EPA requires that applicants document their nonprofit status at the time of application. The Agency may also request that applicants demonstrate that they have appropriate background, academic training, experience in fields, and necessary equipment to carry out training projects. OMB Circular No. A-87

applies to this program.

**Preapplication Coordination:**

This is a competitive grant program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" in Section 7 of the Application Guidelines for Brownfields Job Training Grants. (See EPA's Federal Register Notice from November 26, 1986, to exempt hazardous waste training programs from intergovernmental review.) Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. By statute, EPA must award Brownfields Job Training grants competitively. EPA will specify application procedures in Requests for Initial Proposals or Request for Applications. As stipulated in the Requests for Applications, successful grant applicants must provide, in addition to the SF 424, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, which is now required when applying for federal grants or cooperative agreements on or after October 1, 2003. For more information go to: <http://www.grants.gov>. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Final approval of applications for job training grants and supporting documentation is made by EPA. Award of grant funds are made by EPA Regional Award Officials. For the Recovery Act funding, EPA will award separate cooperative agreements. To expedite the award of ARRA cooperative agreements, awards may be made on partial workplans. In these cases, the award must include a condition requiring submission of a full workplan within a specified time period.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For job training grants, the range of approval/disapproval time will be approximately ninety days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities and availability of funds. Renewals and extensions of funding are not available.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The performance period for job training grant funds is generally two years. For those funded with ARRA funding, the performance period is three years. Brownfield grant cooperative agreements may be amended to provide additional funding and additional time for grant recipients demonstrating significant success in brownfields training and redevelopment efforts depending upon the availability of funding. Proposal funding is not guaranteed at any stage of the proposal process until the Cooperative Agreement, including workplan, is completed and the final award is made. All awards are made in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are generally required as part of the terms and conditions of the cooperative agreements. No expenditure reports are required. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,597,050; FY 09 est \$7,500,000; FY 10 est \$2,600,000 - FY08 - \$2,597,050; and an estimated \$2,500,000 in FY09. Approximately \$5 million in ARRA funding will also be available in FY09 only. It is estimated that \$2,600,000 will be available in FY2010.

**Range and Average of Financial Assistance:**

(FY08) \$197,051 to \$200,000; average \$199,773. For job training grants, an eligible entity may apply up to \$200,000. The performance period for these grants is generally 2 years. For those grants funded with ARRA funding, they may be funded up to \$500,000 for a performance period of three years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To date, EPA has funded 131 brownfields job training grants totaling approximately \$25 million. In FY08, EPA received 38 proposals and awarded thirteen new cooperative agreements. As of spring 2008, more than 4,200 people had completed training; and more than 2,700 obtained employment in the environmental field with an average starting hourly wage of \$13.97. Fiscal Year 2009: It is anticipated that 12 to 13 cooperative agreements will be awarded for FY09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For job training grants, costs must be in accordance with OMB Circulars Nos. A-87 (state, tribal and local governments), A-21 (universities) and A-122 (nonprofit organizations), depending on the recipient. Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations, and Part 31 for states, tribes, and local governments. In addition, recipients must comply with applicable provisions of EPA training grant regulations at 40 CFR Part 45. EPA will also provide applicants with guidance on statutory prohibitions on the



use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices are listed in Section 7 in the Application Guidelines for Brownfields Job Training Grants.

**Headquarters Office:**

Joseph Bruss Office of Brownfields and Land Revitalization  
OSWER, EPA, Washington, District of Columbia 20460 Email:  
bruss.joseph@epa.gov Phone: (202) 566-2772

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In Fiscal Years 2006, 2007, and 2008, the EPA Brownfields Program awarded cooperative agreements to a variety of eligible entities and nonprofit organizations to provide local residents with the skills needed to gain employment in careers related to the assessment and cleanup of brownfields sites. These cooperative agreements included training and instruction in a variety of subjects, including: OSHA health and safety training, HAZWOPER and HAZMAT certification, lead and asbestos abatement, forklift operations, phytoremediation, mold remediation, site assessment, sampling, field investigation, instrumentation, and treatment technologies. Furthermore, these cooperative agreements provided brownfields job training programs the funds needed to perform recruitment and community outreach to residents in low-income and minority neighborhoods impacted by brownfields sites. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.816 HEADQUARTERS AND REGIONAL UNDERGROUND STORAGE TANKS PROGRAM**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act of 1976, Section 8001(a)&(b), Public Law 98-616, U.S.C 8001; Superfund Amendments and Reauthorization Act of 1986 , Public Law 99-499, 42 U.S.C 6991; Safe Drinking Water Act Amendments of 1986 , Public Law 99-339; Resource Conservation and Recovery Act of 1976.

**OBJECTIVES:**

To support activities that promote the prevention, compliance, and identification of underground storage tanks, and to support activities that promote corrective action, enforcement and management of releases from underground storage tank systems. Funding Priority - Fiscal Year 2009: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. Funding Priority - Fiscal Year 2010: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program

implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Use Restrictions are that funds awarded under Section 8001(a) and (b) of RCRA must be used for projects that may include the following types of activities: educational materials, surveys, training, studies, demonstrations, investigations, special projects and the development or use of methods to improve UST systems management and performance to reduce the actual and potential risks to human health and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>."

**Applicant Eligibility:**

These assistance agreements are only available to public authorities (State, interstate, intrastate, agencies designated by States or Territorial Governors to receive UST notifications, federally-recognized Tribes and Intertribal Consortia, and local), public agencies and institutions; private non-profit organizations and agencies that meet the requirements of Section 8001(a) and (b) of the Solid Waste Disposal Act. Profit-making organizations and the general public are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, territories and possessions, interstate agencies, Tribes, Intertribal Consortia, members of the regulated community and residents in areas impacted by federally regulated underground storage tanks.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and time phasing of the assistance agreement shall be determined prior to the award. Assistance agreements are awarded either as non-competitive or competitive, subject to EPA Order 5700.5A1. Assistance agreements are awarded on a single-year basis, three-year basis, or five-year basis. See the following for information on how assistance is awarded/released: The funding is released to the recipient according to the recipient's accounting requests, e.g., quarterly, monthly, etc.

**Reports:**

The recipient is required to submit quarterly program performance and financial reports. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. No cash reports are required. No progress reports are required. Recipients must submit quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

20-8153-0-7-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$1,382,468; FY 09 est \$969,000; FY 10 est \$1,500,000 - EPM: FY 08 actual \$645,819; FY 09 est. \$660,000; FY 10 est. \$900,000

LUST: FY 08 actual \$736,649; FY 09 est. \$309,000; FY 10 est. \$600,000.

**Range and Average of Financial Assistance:**

FY 08 Range \$237,000 - \$746,000/year; Average \$492,000/year. FY 09

Estimated Range \$215,000 - \$600,000/year; Average \$407,000/year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For the four FY 08 assistance agreements awarded, two of which were awarded competitively, two were awarded non-competitively, program outcomes results included assisting the states in ensuring fewer confirmed UST releases and completing LUST cleanups. Fiscal Year 2009: It is anticipated that four applications will be received and awarded in Fiscal Year 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30, 31, and 34); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA, on a subscription basis. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for State and local governments and Indian Tribes, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers, see <http://www.epa.gov/OUST/regions/index.htm>.

**Headquarters Office:**

Lynn Depont USEPA  
1200 Pennsylvania Avenue, NW  
Mail Code 5401P, Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: 703-603-7148

**Website Address:**

<http://www.epa.gov/OUST/>

**RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program; 66.805 Leaking Underground Storage Tank Trust Fund Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) Training Support: Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., the Annual Tanks Conference, training on the effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. 2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on UST systems. 3) State/Federal Partnerships: Provide technical assistance and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. 4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. 5) Disseminate technical information to states, tribes and Intertribal Consortia on UST/LUST program implementation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.817 STATE AND TRIBAL RESPONSE PROGRAM GRANTS****FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 128(a), Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act.

**OBJECTIVES:**

EPA's CERCLA Section 128(a) grant program funds activities that establish or enhance state and tribal response program capacity, capitalize revolving loan

funds (RLFs), and support insurance mechanisms. The goals of this funding are to provide financial support for elements of an effective state or tribal response program as specified in CERCLA Section 128 and to ensure that states and tribes maintain a public record of sites included in their programs. Funding Priority - Fiscal Year 2009: In FY 2009, funding will be prioritized as follows: (1) Funding for program development activities to establish or enhance the four elements of a state or tribal response program and to enable states and tribes to comply with the public record requirement, including activities related to institutional controls. (States and tribes that have established one or more of the four elements will not be prejudiced in funding distributions if their work plan includes activities that enhance the four elements. States with Voluntary Cleanup Program Memorandum of Agreement will not be prejudiced in funding distributions if their work plan does not include tasks related to establishing or enhancing the four elements.) (2) Funding for program development activities to enhance the response program or the cleanup capacity of a state or tribal response program. (3) Funding for site-specific activities at eligible brownfields sites. (4) Funding for environmental insurance mechanisms. (5) Funding to capitalize brownfields cleanup RLFs.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

States and tribes can use Section 128 funding to (1) establish or enhance four statutory elements of a response program, as per CERCLA 128(a)(2), (2) capitalize a Revolving Loan Fund program for brownfields cleanup, pursuant to CERCLA 104(k)(3), (3) purchase environmental insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under their programs, and (4) maintain and update, at least annually, a public record of sites, pursuant to CERCLA 128(b), that includes the name and location of sites at which response actions have been completed during the previous year and the name and location of sites at which response actions are planned to be addressed in the next year; (5) conduct limited site-specific activities; "Establish" includes activities necessary to build the foundation for the four elements of a state or tribal response program or may also include activities that keep their program at a level that meets the four elements. "Enhance" is related to activities that add to or improve a state or tribal response program or increase the number of sites at which response actions are conducted under a state or tribal response program. States and tribes may use Section 128(a) funds for activities that establish and enhance their response programs, even if their response programs address petroleum-contamination. Restrictions apply to site-specific activities, such as assessment and cleanup. Assessments and cleanups must be conducted at eligible brownfields sites, as defined in CERCLA 101(39).

#### **Applicant Eligibility:**

States (as defined in CERCLA Section 101(27)) and tribes (as defined in CERCLA Section 101(36)) are eligible for funding under Section 128(a). To be eligible to receive funding under CERCLA Section 128(a), a state or tribe must demonstrate that its response program includes, or is taking reasonable steps to include, the four elements of a response program. States or tribes that are parties to voluntary response program memoranda of agreement (MOAs) are automatically eligible for Section 128(a) funding. Additionally, states and tribes, including those with MOAs, must maintain and make available to the public a record of sites at which response actions have been completed in the previous year and are planned to be addressed in the upcoming year in order to qualify for Section 128(a) funding.

#### **Beneficiary Eligibility:**

Beneficiaries include individuals living in recipient states', territories', and tribes' jurisdiction.

#### **Credentials/Documentation:**

States and tribes must provide documentation that they have met or are making reasonable progress towards meeting the four statutory elements, or have a Voluntary Cleanup Program Memorandum of Agreement with EPA, and have established and are maintaining the public record. States and tribes must define their "Section 128(a) response program", and may designate a component of the state or tribe that will be EPA's primary point of contact for negotiations on their proposed work plan. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Annually, states and tribes will work with the EPA regional offices to develop their work plans and funding requests for the upcoming year. Each cooperative agreement must have an annual budget period tied to an annual work plan. Annual funding guidance provides the requirements for submitting requests. No specific forms are required. Informal assistance is available through regional offices. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and tribes submit requests to EPA regional offices for funding on an annual basis by submitting a proposed work plan. Annual funding guidance provides the information that should be submitted to the regional office. Once initial requests are submitted, EPA headquarters consolidates requests and provides a final allocation based on factors provided in the funding guidance. No specific form is required for submission of request.

#### **Award Procedure:**

EPA regional offices will negotiate and enter into a single cooperative agreement with interested states or tribes. States and tribes may distribute these funds among the appropriate state and tribal agencies to meet their specific needs within their state or tribal agency structures. At least annually, the regional offices must verify that a public record as described above exists for each of the state or tribal response programs that are receiving funding.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

120 days from completed negotiation of cooperative agreement.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Each state and tribal cooperative agreement will be evaluated on an annual basis to ensure that the requirements to receive funding are being met. If funding is not used, it may be carried over into the next budget period.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States and tribes are not required to provide matching funds for grants awarded under Section 128(a). However, if the state or tribe uses Section 128(a) funds to capitalize a Brownfields RLF under CERCLA 104(k)(3), a 20% cost share is required on the amount of Section 128(a) funds used to capitalize an RLF. This program has no statutory formula, but does take into account use of prior years' funding in determining future awards. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

EPA regions will evaluate cooperative agreements annually to ensure that requirements to receive funding are being met. EPA regional offices will determine the project period for each cooperative agreement. These may be for multiple years depending on the regional office's grants policies. Each cooperative agreement must have an annual budget period tied to an annual work plan. Funds are awarded on an annual basis and may be drawn down according to regional financial processes. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. States and tribes will provide progress reports under 40 CFR 31.40, in accordance with terms and conditions of the cooperative agreement negotiated with EPA regional offices. As a minimum, state or tribal progress reports must include both a narrative discussion and performance data relating to the state's or tribe's accomplishments with Section 128(a) funding. Depending upon the activities included in the state's or tribe's scope of work, an EPA regional office may

request that a progress report include other elements as described in the Grant Funding Guidance for State and Tribal Response Programs. The regional offices may also request other information be added to the progress reports, as appropriate, to properly document activities described by the cooperative agreement work plan. Expenditure information should be provided in the progress reports. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

In addition to the statutory public record requirement, states and tribes must comply with record keeping requirements of 40 CFR Part 31 and any applicable requirements under state and tribal laws. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain following the three-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$49,800,000; FY 09 est \$49,500,000; FY 10 est \$49,500,000

**Range and Average of Financial Assistance:**

Most fiscal years range from \$50,000 to \$1,500,000; average approximately \$500,000. For FY09, funding request are limited to a maximum of \$1,500,000 per State or tribe.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, 110 requests for funding were received. In FY09, 120 requests for funding were received. In FY08, 107 states and tribes were able to establish and enhance their response programs as a result of funding support from this program. It is anticipated that most requestors will be funded in FY09. Fiscal Year 2009: In FY08, 110 requests for funding were received. In FY09, 120 requests for funding were received. In FY08, 107 states and tribes were able to establish and enhance their response programs as a result of funding support from this program. It is anticipated that most requestors will be funded in FY09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31; OMB Circular A-87 applies to the program. EPA anticipates that it will annually publish national Grant Funding Guidance for State and Tribal Response Programs. Fiscal Year 2008 guidance may be found at [www.epa.gov/brownfields](http://www.epa.gov/brownfields).

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Brownfields Coordinators: Region 1: Diane Kelley, Phone: 617-918-1424, Fax: 617-918-1291, [kelley.diane@epa.gov](mailto:kelley.diane@epa.gov); Region 2: Larry D'Andrea, Phone: 212-637-4314, Fax: 212-637-4360, [dandrea.larry@epa.gov](mailto:dandrea.larry@epa.gov); Region 3: Tom Stolle, Phone: 215-814-3129, Fax: 215-814-5518, [stolle.tom@epa.gov](mailto:stolle.tom@epa.gov); Region 4: Mike Norman, Phone: 404-562-8792, Fax: 404-562-8439, [norman.michael@epa.gov](mailto:norman.michael@epa.gov); Region 5: Deborah Orr, Phone: 312-886-7576, Fax: 312-886-7190, [orr.deborah@epa.gov](mailto:orr.deborah@epa.gov); Region 6: Monica Chapa Smith, Phone: 214-665-6780, Fax: 214-665-6660, [smith.monica@epa.gov](mailto:smith.monica@epa.gov); Region 7: Susan Klein, Phone: 913-551-7786, Fax: 913-551-8688, [klein.susan@epa.gov](mailto:klein.susan@epa.gov); Region 8: Dan

Heffernan, Phone: 303-312-7074, Fax: 303-312-6955, [heffernan.daniel@epa.gov](mailto:heffernan.daniel@epa.gov); Region 9: Debbie Schechter, Phone: 415-972-3093, Fax: 415-947-3520, [schechter.debbie@epa.gov](mailto:schechter.debbie@epa.gov); Region 10: Susan Morales, Phone: 206-553-7299, Fax: 206-553-0124, [morales.susan@epa.gov](mailto:morales.susan@epa.gov).

**Headquarters Office:**

David R. Lloyd Office of Brownfields and Land Revitalization  
OSWER, EPA  
1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777

**Website Address:**

<http://www.epa.gov/brownfields>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program development activities to establish the four elements of a state or tribal response program, including conducting an inventory of brownfields sites; developing or enhancing oversight and enforcement mechanisms; establishing mechanisms to approve cleanup plans; and providing opportunities and resources for public involvement. Establishing and maintaining a public record of sites, including making information available on the Internet and maintaining and monitoring institutional controls; capitalizing an RLF for brownfields cleanup; purchasing environmental insurance; developing legislation, regulations, procedures, and guidance that would establish or enhance the administrative and legal structure of their response programs; and undertaking-site specific related activities, such as conducting assessments at selected brownfields sites and auditing completed site cleanups in states that administer a licensed site professional program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA will not fund this program through competitive grant solicitations. Section 128(a) funds will be allocated to eligible states and tribes in accordance with the national Grant Funding Guidance for State and Tribal Response Programs.

**66.818 BROWNFIELDS ASSESSMENT AND CLEANUP COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C 9601(39)&9604k; The Small Business Liability Relief and Brownfields Revitalization Act of 2002, Public Law 107-118; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. The objectives of the brownfield assessment, revolving loan fund and cleanup cooperative agreements (project grants) are to provide funding: (1) to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites; (2) to capitalize a revolving loan fund (RLF) and provide subgrants to carry out cleanup activities at brownfield sites; and (3) to carry out cleanup activities at brownfield sites that are owned by the grant recipient. Funding Priority - Fiscal Year 2009: By statute, 25 percent of the funding for this program must be used for characterization, assessment, and cleanup of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to statutory ranking criteria found at CERCLA 104(k)(5)(C) (see :180 CRITERIA FOR SELECTING PROPOSALS) when evaluating applications for funding. For FY09 only, a limited number of grants will be awarded with American Recovery and Reinvestment Act funding.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For site specific projects, the site must meet the definition of a brownfields site

found at CERCLA 101(39). As part of the application process, EPA provides guidance to assist grant applicants in determining whether sites meet this definition. (1) The brownfields grants may be used to address sites contaminated by petroleum and hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum). (2) Brownfields assessment grant funds may be used to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites. (3) An RLF project grant recipient must use at least 60 percent of the awarded funds to capitalize and implement a revolving loan fund; an RLF project grant recipient may use no more than 40 percent of the awarded funds for cleanup subgrants and may not subgrant to itself. Revolving loan fund project grants generally are used to provide no-interest or low-interest loans for brownfields cleanups. (4) An RLF project grant recipient may use its funds to award subgrants to other eligible entities, including nonprofit organizations, for brownfields cleanups on sites owned by the subgrantee; (5) Brownfields cleanup grant funds must be used to carry out cleanup activities at brownfield sites that are owned by the grant recipient. (6) Costs incurred under CERCLA 104(k) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites. (7) Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools. All grants under 66.818 are awarded on a discretionary basis. For information on statutory limits on the amount of funding, see: 123 Range and Average of Financial Assistance, below. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Eligibility for Assessment, Revolving Loan Fund, and Cleanup Grants: a general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations that own the property are also eligible for cleanup grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 (Note: Under this definition, colleges, universities, and community colleges are eligible to apply.) However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply for direct funding from EPA. However, for profit organizations may apply for loans made by eligible entities with RLF capitalization grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Generally, those eligible entities identified above will benefit from the brownfields grant actions. Specifically, individuals and commercial organizations in brownfields grant communities will benefit from brownfields assessment, cleanup, and revitalization funding. New strategies for promoting environmental cleanup lessons from these grants will provide a growing base of information and knowledge for other communities across the country seeking partnerships with stakeholders to coordinate issues related to brownfields and leverage additional opportunities for redevelopment.

#### **Credentials/Documentation:**

EPA may require that nonprofit organizations or eligible entities other than states, tribes, or general purpose units of local government provide documentation of eligibility. EPA may also require that applicants provide site specific information to determine whether a site qualifies as a Brownfields site

under CERCLA 101(39). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify application procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify award procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For the Recovery Act funding, EPA will award separate cooperative agreements. To expedite the award of ARRA cooperative agreements, awards may be made on partial workplans. In these cases, the award must include a condition requiring submission of a full workplan within a specified time period.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Recipients of RLF grants may apply for additional funding on a non-competitive basis during any year after the first year the recipient receives an RLF grant. To seek additional funding, RLF grant recipients should contact their EPA Regional Office. In awarding this additional funding the Agency will consider: (I) the number of sites and number of communities that are addressed by the revolving loan fund; (II) the demand for funding by eligible entities that have not previously received an RLF grant; (III) the demonstrated ability of the eligible entity to use the revolving loan fund to enhance remediation and provide funds on a continuing basis; and (IV) Other similar factors, including the availability of funds and the recipient's performance history. Recipients of assessment and cleanup grants generally do not receive additional funding on a non-competitive basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Matching

requirements are not applicable for brownfield assessment grants. Under CERCLA 104(k)(9)(B)(iii) revolving loan fund and cleanup grants require a 20 percent cost share, which may be in the form of a contribution of money, labor, material, or services, and must be for eligible and allowable costs. An RLF or cleanup grant applicant may request a waiver of the 20 percent cost share requirement based on financial hardship. In fiscal year 2009 only, the 20 percent cost share requirement is waived for cleanup and revolving loan fund grants receiving funding under the American Recovery and Reinvestment Act (ARRA).

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The performance period for brownfields assessment and cleanup grant funds is three years. The performance period for brownfields revolving loan fund grants is generally five years. Grants are generally announced nationally and awarded by EPA Regional Offices. The Regional Offices work with the applicants to negotiate a workplan and award the cooperative agreement. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports, property profiles, notification of significant development, property inventory reports, procurement reports, a final report and financial reports may be required if authorized by 40 CFR Parts 30 and 31. No expenditure reports are required. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Record Retention Requirements of 40 CFR Part 30 (non-profits and universities) and 40 CFR Part 31 (governmental units) are applicable, depending upon the identity of the recipient and the program funded.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Cooperative Agreements) FY 08 \$74,000,000; FY 09 est \$111,900,000; FY 10 est \$84,000,000 - FY 08 \$74 million; FY 09 \$111.9 million (this includes \$37.3 million in ARRA funding). An estimated \$84 million will be available in FY2010.

#### **Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: (1) For assessment grants, an eligible entity may apply for up to \$200,000 to address sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$200,000 to address sites contaminated by petroleum; most applicants receive this amount. Applicants may request a waiver of the \$200,000 limit up to \$350,000 for sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$350,000 to address sites contaminated by petroleum. Waiver requests must be based on the anticipated level of contamination, size, or ownership status of the site. These limits are mandatory under CERCLA 104(k)(4)(A). (2) For revolving loan fund grants, an eligible entity may apply for up to \$1,000,000 for an initial RLF grant. This limit is mandatory under CERCLA 104(k)(4)(A). In addition, coalitions of eligible entities may apply together under one recipient for up to \$1,000,000 per eligible entity. (3) For cleanup grants, an eligible entity may apply for up to \$200,000 per site. The \$200,000 per site limit is mandatory under CERCLA 104(k)(3)(A). Approximate average financial assistance is

\$200,000 for cleanup grants, \$200,000 for assessment grants and \$1 million per entity for revolving loan fund grants.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This grant program replaced CFDA 66.811 in FY2003. EPA's brownfields assistance has led to more than \$12.9 billion in public and private investment in cleanup and redevelopment, helped create more than 53,000 jobs, and resulted in the assessment of more than 13,000 properties and the cleanup of more than 300 properties. In Fiscal Year 2009, EPA announced 389 grants, totaling \$111.9 million in combined Recovery Act and Brownfields general funding. These included: a.) 104 assessment grants at \$25.8 million Recovery Act funding and 149 assessment grants at \$41 million general program funding, to assess and plan for eventual cleanup at one or more brownfield sites; b.) 39 cleanup grants totaling \$7.5 million Recovery Act funding and 77 cleanup grants at \$15 million general program funding, for recipients to clean up brownfield sites they own; and c.) 3 revolving loan fund grants totaling \$4 million Recovery Act funding and 17 rlf grants at \$18.6 million general program funding, which communities use to make low interest loans for the cleanup of brownfield sites. Fiscal Year 2009: This grant program replaced CFDA 66.811 in FY2003. EPA's brownfields assistance has led to more than \$12.9 billion in public and private investment in cleanup and redevelopment, helped create more than 53,000 jobs, and resulted in the assessment of more than 13,000 properties and the cleanup of more than 300 properties. In Fiscal Year 2009, EPA announced 389 grants, totaling \$111.9 million in combined Recovery Act and Brownfields general funding. These included: a.) 104 assessment grants at \$25.8 million Recovery Act funding and 149 assessment grants at \$41 million general program funding, to assess and plan for eventual cleanup at one or more brownfield sites; b.) 39 cleanup grants totaling \$7.5 million Recovery Act funding and 77 cleanup grants at \$15 million general program funding, for recipients to clean up brownfield sites they own; and c.) 3 revolving loan fund grants totaling \$4 million Recovery Act funding and 17 rlf grants at \$18.6 million general program funding, which communities use to make low interest loans for the cleanup of brownfield sites. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For brownfields assessment, revolving loan fund, and cleanup grants, costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments or A-122 for nonprofit organizations, and OMB Circular A-21 for universities. Recipients must comply with 40 CFR Part 30 (nonprofit organizations) or 40 CFR Part 31 (governmental entities). The Agency will periodically publish guidance for brownfields grant proposals.

#### **Regional or Local Office:**

See Regional Agency Offices. Regional Brownfields Coordinators: EPA Region 1, New England, Diane Kelley, One Congress Street (HBT), Boston, MA 02114-2023, Phone (617) 918-1424, Fax (617) 918-1291, Kelley.Diane@epa.gov; EPA Region 2, Larry D'Andrea, 290 Broadway, 18th Floor, New York, NY 10007, Phone (212) 637-4314, Fax (212) 637-4360, torres.ramon@epa.gov; EPA Region 3, Tom Stolle, 1650 Arch Street, Philadelphia, Pennsylvania 19103, Phone (215) 814-3129, Fax (215) 814-5518, stolle.tom@epa.gov; EPA Region 4, Mike Norman, Sam Nunn Atlanta Federal Center, 61 Forsyth Street, Waste Management Division, Brownfields/State Support Section, Atlanta, GA 30303, Phone (404) 562- 8792, Fax (404) 562-8628, norman.michael@epa.gov; EPA Region 5, Deborah Orr, 77 West Jackson Boulevard, Chicago, Illinois 60604-3507, Phone (312) 886-7576, Fax (312) 886-7190, orr.deborah@epa.gov; EPA Region 6, Monica Chapa Smith, First Interstate Bank Tower at Fountain Place, 1445 Ross Avenue, Suite 1200 (6SF-PB), Dallas, Texas 75202-2733, Phone (214) 665-6780, Fax (214) 665-6660, smith.monica@epa.gov; EPA Region 7, Susan Klein, 901 N. 5th Street, Kansas City, Kansas 66101, Phone (913) 551-7786, Fax (913) 551-8688, klein.susan@epa.gov; EPA Region 8, Dan Heffernan, 1595 Wynkoop Street (EPR-B), Denver, Colorado 80202-1129, Phone (303) 312-7074, Fax (303) 312-6067, heffernan.daniel@epa.gov; EPA Region 9, Debbie Schechter, 75 Hawthorne Street, SFD 1-1, San Francisco, California 94105, Phone (415) 972-3093, Fax (415) 947-3520, schechter.debbie@epa.gov; EPA Region 10, Susan Morales, 1200 Sixth Avenue, Seattle, Washington 98101, Phone (206) 553-7299, Fax (206) 553-0124, morales.susan@epa.gov.

#### **Headquarters Office:**

David Lloyd Office of Brownfields and Land Revitalization

OSWER, EPA, Washington, District of Columbia 20460 Email:  
Lloyd.DavidR@epa.gov Phone: (202) 566-2777

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: This competitive grant program provides funding for three different kinds of grants: assessment grants, revolving loan fund grants, and cleanup grants. Assessment grants provide funding for a grant recipient to inventory, characterize, assess, and conduct cleanup and redevelopment planning and community involvement related to brownfield sites. Revolving Loan Fund grants provide funding for a grant recipient to capitalize a revolving loan fund and to provide subgrants to carry out cleanup activities at brownfield sites. Cleanup grants provide funding for a grant recipient to carry out cleanup activities at brownfield sites. Examples of projects include conducting Phase I and Phase II assessments, developing cleanup plans, conducting community outreach activities, and conducting cleanups. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Selection criteria will be outlined in the proposal guidelines and will be based on a system that includes the following ten statutory ranking criteria: (i) The extent to which a grant will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfield sites are located. (ii) The potential of the proposed project or the development plan for an area in which one or more brownfield sites are located to stimulate economic development of the area on completion of the cleanup. (iii) The extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including threats in areas in which there is a greater-than-normal incidence of diseases or conditions (including cancer, asthma, or birth defects) that may be associated with exposure to hazardous substances, pollutants, or contaminants. (iv) The extent to which a grant would facilitate the use or reuse of existing infrastructure. (v) The extent to which a grant would facilitate the creation of, preservation of, or addition to a park, a greenway, undeveloped property, recreational property, or other property used for nonprofit purposes. (vi) The extent to which a grant would meet the needs of a community that has an inability to draw on other sources of funding for environmental remediation and subsequent redevelopment of the area in which a brownfield site is located because of the small population or low income of the community. (vii) The extent to which the applicant is eligible for funding from other sources. (viii) The extent to which a grant will further the fair distribution of funding between urban and nonurban areas. (ix) The extent to which the grant provides for involvement of the local community in the process of making decisions relating to cleanup and future use of a brownfield site. (x) The extent to which a grant would address or facilitate the identification and reduction of threats to the health or welfare of children, pregnant women, minority or low-income communities, or other sensitive populations. In addition, applicants will be required to demonstrate that site specific activities are carried out at sites that meet the definition of a Brownfields site at CERCLA 101(39).

**66.926 INDIAN ENVIRONMENTAL GENERAL ASSISTANCE PROGRAM (GAP)**

(GAP for Tribes)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Indian Environmental General Assistance Program Act of 1992, Section 11, Public Law 102-497, 42 U.S.C 4368b.

**OBJECTIVES:**

To provide general assistance program (GAP) grants to Indian tribal governments and intertribal consortia to build capacity to administer environmental regulatory programs on Indian lands, and provide technical assistance from EPA to Indian tribal governments and intertribal consortia in the development of multimedia programs to address environmental issues on Indian lands. Funding Priority - Fiscal Year 2009: Funding is for the purposes of planning, developing, and establishing the administrative, technical, legal, enforcement, communications, and environmental education and outreach structure of a tribal environmental program. In FY 2009, the goal is to provide access to funding and technical assistance so that approximately 500, or 90 percent, of the federally-recognized tribal governments and intertribal consortia have at least one person working in their community to build a strong, sustainable environment for the future. The vital work performed includes locally assessing the status of a tribe's environmental condition, utilizing available federal information, building an environmental program tailored to the tribe's needs, developing environmental education programs, developing solid waste management plans, assisting in the building of tribal environmental capacity, and alerting EPA to serious conditions involving immediate public health and ecological health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Activities eligible for funding under this program are those for planning, developing, and establishing capability to implement environmental protection programs including development of solid and hazardous waste programs. General assistance agreements offer the opportunity for a tribe to develop an integrated environmental program, develop the capability to manage specific programs and establish a core program for environmental protection. These assistance agreements provide the opportunity for the tribes to define and develop administrative and legal infrastructures; to conduct assessments, monitoring, planning, and other actions; and to undertake additional activities within a simplified administrative framework. The primary purpose of these assistance agreements is to support the development of elements of a core environmental program, such as: providing for tribal capacity-building to assure an environmental presence for identifying programs and projects, including developing proposals for environmental program grants and managing environmental work; fostering compliance with Federal environmental statutes by developing appropriate tribal environmental programs, ordinances, and services; and establishing a communications capability to work with Federal, State, local and other tribal environmental officials. Restrictions: The principal focus of this program is on the development of general tribal environmental capability. Assistance will be provided under this program only for activities which the agency determines are appropriate to carry out the purposes of the Act. No single grant awarded under this program may be for an amount exceeding ten percent of the total annual funds appropriated under Section (h) of the Act. As with many of EPA's grants to States and Tribes, GAP grants may now be combined with one or more other EPA grants into a Performance Partnership Grant for administrative savings and, with EPA concurrence, programmatic flexibility. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) An Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A intertribal consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. An intertribal consortium is eligible to receive a GAP grant if the consortium demonstrates that: (1) A majority of its members meets the eligibility requirements for GAP grants; (2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the

grant; and (3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect. An intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and eligible Intertribal Consortia.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use the "Application for Federal Assistance: State and Local Non-Construction Programs" (Standard Form 424). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate Regional Office and, if approved, financial assistance is awarded by the Regional Administrator or his/her delegated official. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress must be demonstrated. Renewals are subject to approval of EPA. Contact the EPA Regional contact

identified in Appendix IV of the Catalog for additional information.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Award amount remains available until expended in accordance with the term of the award. The term of an award may exceed one year, but may not exceed four years. The term of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released:  
Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31 and 40 CFR Part 35, "Environmental Program Grants for Tribes." Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$58,628,800; FY 09 est \$57,925,000; FY 10 est \$62,875,000

**Range and Average of Financial Assistance:**

The minimum award for the first year of the grant is \$75,000/fiscal year, max. \$400,000/fiscal year; avg. \$110,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, approximately 200 awards were made which enabled over 450 tribal governments and intertribal consortia to continue to develop and expand their environmental management programs. EPA has implemented a new work plan reporting system to assist in tracking progress and accomplishments. Fiscal Year 2009: In FY 09, GAP funding is available to allow up to 500 eligible tribal governments and intertribal consortia to continue the work initiated in FY 08 and prior years. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 102-497, Section 11, 42 U.S.C.4368(b), as amended by Public Law 103-155, November 24, 1993. The Agency published a notice for the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes at <http://www.epa.gov/indian/tgrant.htm>.

**Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/region.htm>; George Frantz, Regional Indian Program



Manager EPA Region 1 (CSP), 1 Congress Street, Suite 1100, Boston, MA 02114-2023 T: 617-918-1883/FAX: 617-918-1505/frantz.george@epa.gov; Christine Yost, Regional Indian Program Coordinator, USEPA Region 2, 290 Broadway, New York, New York 10007-1866, T: 212-637-3564/FAX: 212-637-3772/yost.christine@epa.gov; W. J. (Bill) Patton, Tribal Relations Program Coordinator, USEPA Region 4, Atlanta Federal Center, 61 Forsyth Street, Atlanta, Georgia 30303, T: 404-562-8632/FAX: 404-562-9961/patton.bill@epa.gov; Luke Jones, Director, Indian Environmental Office, USEPA Region 5, 77 W. Jackson Boulevard, Chicago, IL 60604-3507, T: 312-353-2087/FAX: 312-353-9533/jones.luke@epa.gov; Randy Gee, Acting Tribal Affairs Team Leader and Regional Indian Coordinator Office of Environmental Justice and Tribal Affairs, USEPA Region 6, 1445 Ross Ave. (6RA-DT), Dallas, TX 75202 T: 214-665-8355/FAX: 214-665-6648/gee.randy@epa.gov; Wolfgang Brandner, Region 7 Tribal Program Coordinator, USEPA Region 7, PLMG/POIS, 901 N. 5th Street, Kansas City, KS 66101, T: 913-551-7381/FAX: 913-551-7053/brandner.wolfgang@epa.gov; Alfreda Mitre, Tribal Assistance Program Director, EPA Region 8 Tribal Assistance Program Mail Code 8P-TA, 1595 Wynkoop Street, Denver, Colorado 80202-1129 T: 303-312-6343/FAX: 303-312-6116/mitre.alfreda@epa.gov; Jean Gamache, Tribal Program Manager, USEPA Region 9 (CMD-3), 75 Hawthorne Street, San Francisco, CA 94105, T: 415-972-3554/gamache.jean@epa.gov; Sally Thomas, Manager, Tribal Trust and Assistance Unit, USEPA Region 10, 1200 Sixth Ave., Seattle, WA 98101 T: 206-553-2102/FAX: 206-553-0151/thomas.sally@epa.gov.

#### **Headquarters Office:**

Rodges Ankrh American Indian Environmental Office (4104 M)  
U.S. Environmental Protection Agency  
Ariel Rios Building  
1200 Pennsylvania Ave., NW., , Washington, District of Columbia 20460  
Email: ankrh.rodges@epa.gov Phone: (202) 564-0280

#### **Website Address:**

<http://www.epa.gov/indian/tgrant.htm>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Purpose: GAP funds are intended to provide general assistance grants for planning, developing, and establishing the capability to implement programs administered by EPA in Indian country. Examples of past funded projects include: establishment of a water quality assessment program; an environmental assessment inventory; establishment of an environmental code; establishment of a multi-media program to address water quality, air quality, safe drinking water, solid waste, hazardous waste and pesticides; establishment of a management plan with emphasis on wastewater sludge reclamation and tire recovery; and establishment of a program to address underground storage tanks, SARA Title III, and radon. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by the individual EPA Regional offices according to the applicant's ability to achieve objectives outlined in Public Law 102-497, Section 11, the interim final regulation for programs implementation in the Federal Register on December 2, 1993, 40 CFR Part 35, Indian Tribes; and the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes. Proposals should contain schedules for progress reports that will contribute towards development of environmental management capacity building; provide for an on-going coordination and problem resolution; and show an adequate ability to meet the proposed objectives, record keeping, and reporting requirements.

#### **66.931 INTERNATIONAL FINANCIAL ASSISTANCE PROJECTS SPONSORED BY THE OFFICE OF INTERNATIONAL AFFAIRS FEDERAL AGENCY:**

Office of International Affairs, Environmental Protection Agency

#### **AUTHORIZATION:**

Marine Protection, Research and Sanctuaries Act of 1972, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 92-516, 7 U.S.C 136; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Solid Waste Disposal Act, Section 8001; National Environmental Policy Act, Section 102(2)(F); Safe Drinking Water Act, Section 1442(a)&(c), Public Law 93-523.

#### **OBJECTIVES:**

To protect human health and the environment while advancing U.S. national interests through international environmental collaboration. This mission is supported by four strategic objectives: 1) Reduce Transboundary Pollution; 2) Advance U.S. Interests Abroad; 3) Promote Good Environmental Governance; and 4) Ensure Effective Management.

Funding Priority Fiscal Year 2009: EPA Safeguards air, water, and land for all Americans. International capacity-building plays a key role in protecting human health, communities and the environment by providing technical cooperation to help countries reduce air pollution, better manage air quality global climates, reduce the global use and emission of mercury, manage drinking & surface water quality, and provide technical assistance to restore the land and mitigate sources of land pollution. OIA will work to transfer appropriate air management tools and techniques to key countries and regions as we collaborate with partners to improve air quality. In addition, we will continue efforts to reduce global sources of persistent bioaccumulative toxins. Long-range and transboundary atmospheric transport and deposition of such toxics as Mercury, Persistent Organic Pollutants (POPs) such as polychlorinated biphenyls (PCBs), pesticides, dioxins, and furans continue to threaten human health and ecosystems. OIA will continue to promote the development of activities for managing drinking and surface water quality and provide technical cooperation, expertise, and assistance to help communities and countries preserve and restore the land and to mitigate sources of land pollution.

OIA plays a key role in ensuring trade-related activities sustain environmental protection. Initiatives relating to environmental trade and investment are carried out bilaterally, multilaterally or in connection with multilateral institutions such as the World Trade Organization (WTO), World Bank, European Union (EU), or Asia-Pacific Economic Cooperation Forum (APEC). Also, OIA will support protection of human health and ecosystem for North America through the United States participation in the North American Agreement on Environmental Cooperation and through leadership in the Commission on Environmental Cooperation (CEC), the Organization for Economic Cooperation and Development (OECD), and other international entities. EPA will provide targeted capacity building support under the environmental cooperation agreements developed parallel to U.S. free trade agreements.

U.S.-Mexico Border (to sustain and restore community health and preserve the ecological systems that support them) program is implement in partnership with the ten Border States and the government of Mexico with its corresponding states and tribes. It addresses the Agency's major themes of clean air, clean water, and clean land. The key areas of focus for the Border 2012 Program include improving water quality in the region; improving availability of low sulfur diesel fuel on the border; the stabilization of abandoned hazardous waste sites; removal of used tire piles along the U.S.-Mexico Border; defining baseline and alternative scenarios for air emissions reductions along the border region; and binational emergency preparedness drills and exercises at border sister cities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures incident to approved project plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of

Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of International Affairs' mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of International Affairs (OIA) may require applicants to submit documentation of non-profit status. OIA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OIA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5A1, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD) may be exempted from competition at the discretion of OIA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OIA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OIA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Assistance is awarded by project.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Progress reports are required under this program. Expenditure Reports are required under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$2,200,000; FY 09 est \$3,000,000; FY 10 est \$3,000,000

**Range and Average of Financial Assistance:**

Range: \$15,000 - \$300,000; Average: FY 2008 \$150,000, FY 2009 est. \$100,000 and FY 2010 est. \$100,000.

## PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: Some examples of OIA accomplishments: OIA funded several international cooperative/grant projects during FY 2008 and FY 2009, for the protection of human health and the environment with the the following titles and objectives: 1) "Mobile Source Air Pollution" - By 2011, eliminate the use of lead in gasoline in the remaining countries benefiting over 700 million people in developing countries and economies in transition. 2)"Global Persistent Organic Pollutants" - By 2011, place into safe storage 4,600 tons of obsolete and prohibited pesticides stockpiles and prohibited PCB-containing liquids impacting the Arctic. 3) "Global Mercury" - By 2011, reduce mercury consumption and releases by 30.5 tons from chlor-alkali plants, artisanal gold mining, and coal combustion at pilot demonstration sites in China, Brazil, India Mexico, Russia and West Africa. 4) The U.S. -Mexico Environmental Program (Border 2012) is a collaboration between the U.S. and Mexico to improve the environment and protect the nearly 12 million people living along the shared 2,000 mile border. Progress includes completion of greenhouse gas emissions inventories; removal of 4 million scrap tires; establishment of a post-graduate degree program at Mexico's Institute of Public Health; and implementation of 15 sister cities emergency response plans to better protect residents along the border. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

### Regional or Local Office:

See Regional Agency Offices.

### Headquarters Office:

Iris Zeigler Office of International Affairs  
USEPA

1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460

Email: [zeigler.iris@epa.gov](mailto:zeigler.iris@epa.gov) Phone: (202) 564-6614

### Website Address:

<http://www.epa.gov/oia/>

## RELATED PROGRAMS:

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.469 Great Lakes Program; 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.808 Solid Waste Management Assistance Grants

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Examples of OIA awarded international projects were to assist in: 1) "Managing Pollution from POPs and Other Toxic Substances in China"; 2) "Reduction of Risks from Obsolete Pesticide Stockpiles"; 3) "Mercury Emissions Monitoring and Management for Waste Incinerators"; 4) "Support for Partnership for Clean Fuels and Vehicles"; 5) "Program on Empowerment of Rural Communities of Alaska (USA) and Kamchatkat (Russia) in Environmental Health Control". Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.940 ENVIRONMENTAL POLICY AND STATE INNOVATION GRANTS

(State Innovation Grants)

### FEDERAL AGENCY:

Office of the Administrator, Environmental Protection Agency

### AUTHORIZATION:

Clean Water Act, Section 104(b)(3), 33 U.S.C 1254(b)(3); Safe Drinking Water Act, Section 1442(a)&(c), 42 U.S.C 1(a)&(c); Clean Air Act, Section 103(b)(3), 42 U.S.C 7403(b)(3); Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Comprehensive Environmental, Response, Compensation and Liability Act,

Section 104(k)(6); Toxics Substances Control Act, Section 10, 15 U.S.C 2609; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r.

## OBJECTIVES:

(1) To support analyses, studies, evaluations, and conferences that lead to improved environmental compliance, reduction in pollutants generated or released to the environment, and conservation of natural resources; (2) To promote comprehensive, integrated (multi-media or cross-media) approaches to environmental protection and management with a high potential for transfer to other states, U.S. territories, and tribes; (3) To encourage and promote stewardship programs that reflect "beyond compliance" behaviors and offer incentives or rewards for superior environmental performance; (4) To encourage and promote change that is "systems-oriented" and enables better results (e.g., environmental, efficiency, and/or cost savings) from a program, process, or sector-wide innovation; and (5) To incorporate outcome measurement and evaluation essential to transferability of the innovation. Funding Priority - Fiscal Year 2009: To support 3-10 projects that promote the testing of innovative approaches in state permitting programs that strive to create a more performance-based regulatory system, promote environmental stewardship and beyond-compliance business operation, and/ or promote a culture of creative environmental problem solving. Funding Priority - Fiscal Year 2010: Historically, the theme of our solicitation has been "Innovation in Permitting". Funding priorities may change as the new administration identifies emerging themes.

## TYPES OF ASSISTANCE:

### PROJECT GRANTS

## USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

## Applicant Eligibility:

Assistance under Part 1 of this program is available to principal environmental regulatory agencies for States, territories, and possessions of the U.S., including the District of Columbia. EPA may make a separate competition available under Part 1 of this program to federally-certified Native American Tribes. Assistance under Part 2 of this program is available to not-for-profit institutions, foundations and institutes to provide independent evaluation of projects or classes of projects that will be of use to other States and Tribes in implementing innovations. Additionally, under Section 2 NCEI would provide assistance agreements to support a symposium that advances the practice, theory and policy of environmental evaluation and promotes the use of evaluation and evaluation tools by the states and other practitioners as a means to improve environmental management. Part 3 of this announcement would provide assistance to states testing policy innovation and for the transfer among the states and tribes of information useful for the implementation of innovations. EPA would issue separate solicitations for Part 1, Part 2, and Part 3 of this program. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

## Beneficiary Eligibility:

Under Part 1 of this announcement, State and local governments, U.S. territories and possessions. In a separate solicitation that could be issued under Part 1, Federally-certified Native American Tribes. For Parts 2 and 3, non profit institutions, foundations and institutes may apply.

## Credentials/Documentation:

Documentation of nonprofit status may be required. Applicants may be

requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Forms are available on the EPA web site ([http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm)). EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. For information on the current or prior solicitations, please see the EPA State Innovation Grants website at <http://www.epa.gov/innovation/stategrants>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Most projects have been of a 1-3 year duration. For

purposes of this program, EPA limits the project periods to no more than 4 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Quarterly progress reports are required. Expenditure reports are required to be submitted as a part of the project budget along with the quarterly progress reports. Performance monitoring is required as specified in the workplan for specific projects, and are included in the progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$885,000; FY 09 est \$565,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$350,000 per grant. The average for awards is approximately \$225,000 for a 1-4 year assistance agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In the FY 2009 competition, the Agency received 26 pre-proposals totaling \$6.21M. Two projects have been selected for a total of \$0.565M in federal funds. In the FY 2008 competition, 12 pre-proposals were submitted totaling over \$3M. Three projects were selected totaling \$0.885M in funding. Since the beginning of the State Innovation Grant Program, 38 awards have been made (the 2 selections made in the 2009 competition have awards pending at the date of this announcement). The 40 projects cover the following areas: 20 Environmental Results Program (ERP) projects, 9 Environmental Management Systems (EMS) and other permitting integration approach projects, 2 watershed permitting projects, 1 project for a streamlined and enhanced permitting through application of innovative information technology (IT) Systems, 2 projects for integrated approaches across state or regional boundaries, and 8 Performance Track (PT) projects. Please note that several of these projects incorporate multiple elements (e.g., projects that are both ERP and EMS, or projects that are both ERP and Performance Track)so, this breakdown of projects identifies projects that appear in multiple categories. Ten of the projects from the FY 2002, 2004, and 2005 solicitations are now complete. These state agencies have submitted their final project reports. For additional information, including access to the Program's 2008 progress report executive summary, see: <http://www.epa.gov/innovation/stategrants>. The results of these assistance agreements will enable the Agency to meet performance measures noted in the Agency Strategic Plan. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and State Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). State governments costs will be determined in accordance with OMB Circular No. A-87.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Pamela Stirling Environmental Protection Agency  
1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460  
Email: [stirling.pamela@epa.gov](mailto:stirling.pamela@epa.gov) Phone: (202) 566-0949

**Website Address:**

<http://www.epa.gov/innovation/stategrants>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.611 Environmental Policy and Innovation Grants; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: This is the fourth year for this CFDA entry. Under this announcement and previous announcements under CFDA 66.606, Surveys, Studies, Investigations and Special Purpose Grants and 66.611, Environmental Policy and Innovation Grants, EPA funded projects in 2008 such as a Comprehensive Regional Multi-pollutant Air Quality Management Plan for the St. Louis metropolitan area. The plan integrates all existing State Implementation Plan (SIP) requirements and address a broad range of issues related to climate, growth, transportation, energy efficiency and hazardous air pollutant exposures. Another project supports the use of EMS and ERP to create a Sustainable Energy Management System for wastewater treatment facilities. The EMS focuses on improving energy efficiency; an ERP reduces the oil and grease coming in to the facilities from restaurants and food processing operations with the goal of turning this waste into a renewable fuel source. Another project tests the use of incentives such as early technical assistance and integrated/coordinated permitting to encourage adoption of better development practices. The project integrates storm water and other permits for the construction sector with the goal of development that produces fewer air, water, and ground water impacts and energy and water savings.

Projects funded in earlier cycles include the "Implementation of a Voluntary Automotive Body and Automotive Repair Environmental Results Program." This project supported a state undertaking an automotive body and automotive repair Environmental Results Program (ERP) to administer targeted multi-media assistance to auto body and auto repair facilities, to implement a self-certification program, and to measure the compliance results. Another example of a project funded is the "Auto Salvage Environmental Results Program: Improved Compliance and Performance through Innovation." This project supported a state applying the ERP program to the auto salvage sector. The three part program included: (1) facility certification; (2) statistically-based performance measurement; and (3) on-site compliance, pollution prevention, and technical assistance. A third example of a project funded is the "Retail Gasoline Sector Environmental Results Project," which enabled a state to apply the ERP model to the retail gasoline sales sector as well as to other facilities regulated by the state's Underground Storage Tank program. Other examples of funded projects include: (a) the development of a voluntary Community EMS model under their Comprehensive Local Environmental Action Network (CLEAN) to encourage comprehensive environmental planning and continuous improvement; (b) the development of a watershed-based permitting program to address integrated management of water quality in a Basin impacted by coal-bed methane (CBM) extraction; (c) the implementation of an Environmental Leadership Program A Vertical Start-up Model with Multi-State Applicability - designed to expand development of the state environmental leadership program, develop partnerships with other States in the Region and on the State borders to develop membership criteria and support for

common business sectors, and work to align previously separate leadership projects such as OSHA's Voluntary Partnership Program, Energy Star, Green Buildings, and Smart Growth; and (d) the encouragement of Superior Environmental Performance Through Management Systems, Recognition, and Rewards. This program establishes a State-based Environmental Leadership Program that will complement (through a MOU/PPA) their participation in the National Performance Track Program. Planned project tasks include: building a "virtual EMS" tutorial through the college/university system; "greening the supply chain" mentoring projects; and implementing Performance Track incentives for applicable member facilities. New projects are testing the use of the Environmental Results Program across several business sectors applied at improving stormwater management, and applying Environmental Management Systems in permitting to improving compliance and environmental performance in the dairy AFO sector. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.950 ENVIRONMENTAL EDUCATION TRAINING PROGRAM**

(Training Program)

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Education Act, Section 5, Public Law 101-619.

**OBJECTIVES:**

To train educational professionals in the development and delivery of environmental education programs. As required by Public Law 101-619, funds are provided to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. Funding Priority-Fiscal Year 2009: EPA awards only one cooperative agreement to a university, non-profit organization, or a consortia to operate the program on a multi-year basis. The training and support must be provided for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. The training program to be operated from October 1, 2005 through September 30, 2010 must provide training and support for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to establish an education and training program which shall include, at a minimum: (1) classroom training in environmental education and studies including environmental sciences and theory, educational methods and practices, environmental career or occupational education, and topical environmental issues and problems; (2) demonstrations of the design and conduct of environmental field studies and assessments; (3) development of environmental education programs and curricula, including programs and curricula to meet the needs of diverse ethnic and cultural groups; (4) sponsorship and management of international exchanges of teachers and other educational professionals between the United States, Canada, and Mexico involved in environmental programs and issues; (5) maintenance or support of a library of environmental education materials, information, literature, and technologies, with electronic as well as hard copy accessibility; (6) evaluation

and dissemination of environmental education materials, training methods, and related programs; (7) sponsorship of conferences, seminars, and related forums for the advancement and development of environmental education and training curricula and materials, including international conferences, seminars, and forums; (8) supporting effective partnerships, networks, and the use of distant learning technologies; and (9) such other activities as the Administrator determines to be consistent with the policies of the Act. No funds made available for this program shall be used for the acquisition of real property (including buildings) or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

**Applicant Eligibility:**

Assistance under this program is available to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A solicitation notice is issued for this program once every five years. The notice identifies the application process. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The next solicitation notice which describes the application procedure for this program will be issued in the Federal Register in 2010. The last solicitation notice was issued March 18, 2005. The solicitation process for this program is conducted every five years. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

This program is subject to the provisions of OMB Circular No. A-110. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The next award will not be made until 2010.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Environmental Education Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-Federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The training program consists of an initial one year budget and project period subject to annual supplemental funding agreements for up to five years. See the following for information on how assistance is awarded/released: This program operates on a five year basis. Funds are initially awarded for a one year project period. Subsequent supplemental funding awards on an annual basis for the next four years.

**Reports:**

No program reports are required. No cash reports are required. The grantee must submit bi-annual and final progress reports. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,209,000; FY 09 est \$2,244,750; FY 10 est \$2,200,000

**Range and Average of Financial Assistance:**

This is a 5-year program, one recipient is selected every 5 years. The project is funded on an annual basis and the amount of the annual funding depends on Congressional appropriation. The range and average financial assistance for the full 5-year project period is approximately \$8.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: (1) Trained hundreds of thousands of teachers and other education professionals in scientifically-sound and pedagogically-effective environmental education; (2) published a series of national environmental education guidelines for: what constitutes quality EE materials, what K-12 students need to know about the environment to become environmentally literate, what educators need to know to teach effectively about the

environment, what constitutes effective non-formal EE programs; and what pre-school children need to learn about the environment; (3) provided leadership and strategic planning training and support to more than 25 states to ensure coordinated and effective statewide EE programs; (4) supported state EE certification efforts in several states; (5) developed four university accredited on-line EE courses that introduce educators to EE, teach educators how to evaluate EE programs, teach natural resource education professionals about strategic planning, and help EE programs reach culturally diverse audiences; and (6) developed and maintained a state-of-the-art Internet site called "EE-Link" to enable educators to access quality information and resources about environmental education. More information on program accomplishments is available at <http://www.eetap.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 30, 31, 32, 33, 45, 47; program guidance; Federal Register (Invitation for Pre-proposal, July 2, 1991); Public Law 101-619.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Kathleen MacKinnon Environmental Education Division, (1704A)  
Environmental Protection Agency  
1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [mackinnon.kathleen@epa.gov](mailto:mackinnon.kathleen@epa.gov) Phone: (202) 564-0454

#### **Website Address:**

<http://www.epa.gov/enviroed>

#### **RELATED PROGRAMS:**

66.951 Environmental Education Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Environmental education activities such as training for in-service and pre-service educators; promotion of the national environmental education guidelines; support for state capacity building; the development of a materials review process; support for accreditation efforts at universities; support for state educator certification programs; and support for internet access to information and materials. More information is available at <http://www.eetap.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Priorities for selecting proposals are listed in Section 5 of Public Law 101-619, National Environmental Education Act. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.951 ENVIRONMENTAL EDUCATION GRANTS**

#### **FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

#### **AUTHORIZATION:**

National Environmental Education Act, Section 6, Public Law 101-619.

#### **OBJECTIVES:**

To support projects to design, demonstrate, or disseminate practices, methods, or techniques related to environmental education and teacher training. As required by Public Law 101-619, this grant program provides financial support for environmental education projects implemented by schools, universities, state and local government environmental and educational agencies, tribal education agencies, and nonprofit 501 (c)(3) organizations. Funding Priority - Fiscal Year 2009: All grant projects must address one of the following educational priorities: (1) Capacity Building: Increasing capacity to develop and deliver coordinated environmental education programs across a state or across multiple states. Steps include developing effective leaders and organizations which create strategic plans to implement and link environmental education programs to promote long term programs and to decrease fragmentation of effort and duplication across programs; (2) Education Reform: Utilizing environmental education as a catalyst to advance state or local education reform goals; (3) Community Stewardship: Designing and

implementing model projects to educate the public about environmental issues in their communities through state and local government and community based organizations or through print, film, broadcast, or other media; (4) Health: Educating teachers, students, community leaders, or the public about human-health threats from environmental pollution, especially as it affects children, and how to minimize human exposure to preserve good health; (5) Teaching Skills: Providing professional development for teachers, faculty, or non-formal educators about environmental issues and content, such as sustainability, to improve environmental education skills; or (6) Career Development: Educating students in formal or non-formal settings about environmental issues to encourage environmental careers.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grant funds shall be used to establish an education program which shall include, at a minimum: (1) design, demonstration, or dissemination of environmental curricula and materials on specific topics for which there are no existing materials; (2) design and demonstration of field methods, practices, and techniques, including review of environmental and ecological conditions and analysis of environmental and pollution problems; (3) projects to understand and evaluate a specific environmental issue or a specific environmental problem; (4) provision of training or related education for teachers, faculty, or related personnel in a specific geographic area or region; and (5) design and demonstration of projects to foster international cooperation in addressing environmental issues and problems involving the United States and Canada or Mexico. Priority will be given to those projects which will develop: (a) a new or significantly improved environmental education practice, method, or technique; (b) an environmental education method which may have wide application; (c) an environmental education method which addresses skills or scientific fields identified as a priority in the report developed by the National Environmental Education Advisory Council; and (d) an environmental education project which addresses an environmental issue which, in the judgment of the Administrator, is of a high priority. More specific priorities are listed above under Objectives and are specified in the annual Solicitation Notice. Restrictions: No funds made available for this program shall be used for technical training of environmental management professionals; for advocacy or lobbying; for acquisition of real property (including buildings); or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

#### **Applicant Eligibility:**

Assistance under this program is generally available to local education agencies, colleges and universities, state education and environmental agencies, nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Service, and noncommercial educational broadcasting entities as defined and licensed by the Federal Communications Commission. Applicant organizations must be located in the United States or territories and the majority of the educational activities must take place in the United States, Canada, or Mexico. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants must demonstrate that they have appropriate background, academic training, and experience in the field, and may be asked to demonstrate the necessary equipment or facilities to carry out the project. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

The annual solicitation notice for proposals and grant writing tips are available on the Agency's website listed below. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the

pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are accepted on an annual grant cycle and are due at the deadline stated below. Applicants submit an application package in the format required in the annual Solicitation Notice. Applicants submit an application package to their respective EPA Regional Grants Management Offices for grants requesting \$50,000 or less in Federal funds; and to the EPA Headquarters for larger grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. However, where possible it is preferable to submit applications and attachments on paper via mail or delivery services.

**Award Procedure:**

Applications for a Federal share of \$50,000 or less are to be submitted to and evaluated by the respective EPA Regional Offices. Applications for a larger Federal dollar amount are to be submitted to and evaluated by the Office of Environmental Education, (1704A), 1200 Pennsylvania Ave., N.W., Washington, DC 20460. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. All awards are competed through the annual announcement and no proposals are awarded non-competitively.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The majority of the grants are completed in a one-year project period which is the preferred length of time. However, some flexibility up to two year project periods is possible depending upon the nature and complexity of the project. Activities must be completed within the time frame of the budget period. Concurrent grants to the same organization during the second year are not allowed. Grants may be incrementally or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: As requested by the grantee periodically.

**Reports:**

No program reports are required. No cash reports are required. Recipients of grants are expected to submit progress reports on at least a semi-annual basis.

Final reports and two copies of all grants products are due within 90 days of the close of the budget period. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$3,365,600; FY 09 est \$3,400,000; FY 10 est \$3,400,000

**Range and Average of Financial Assistance:**

Range \$7,000 to \$125,000 per grant. Average financial assistance: Regional grants \$12,000 to \$15,000 per grant and Headquarters \$90,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year, Headquarters awards approximately 10 grants and the ten EPA Regional Offices award 10 to 15 each for a total of about 135 grants nationwide. In a typical annual grant cycle, these Environmental Education Grants educate approximately 6,000 teachers, 20,000 students, and 12,000 members of the general public. In Fiscal Year 2008, the issuance of grants followed the typical grant pattern, awarding 12 grants from a pool of 105 grant applications, and the 10 EPA Regional offices awarded almost 135 grants from a pool of over 850 grant applications. Fiscal Year 2009: For the 2009 grant cycle, it is anticipated that the ratio of applications to awards will follow past patterns and approximately 10 percent of the headquarters applications and 30 percent of the regional office proposals will be funded. This grant program is expected to reach a target audience of about 6,000 teachers, 20,000 students and 12,000 members of the public in the next fiscal year. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 7, 12, 30, 31, 32 Subpart F, 33, 47; Public Law 101-619, and the Office of Environmental Education 2008 Grant Program Solicitation Notice to be issued in the fall of 2007.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog and on the website [www.epa.gov/enviroed/grants](http://www.epa.gov/enviroed/grants).

**Headquarters Office:**

Karen Scott Environmental Education Grant Program (1704A), Environmental Protection Agency 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [scott.karen@epa.gov](mailto:scott.karen@epa.gov) Phone: (202) 564-2194

**Website Address:**

<http://www.epa.gov/enviroed>

**RELATED PROGRAMS:**

66.950 Environmental Education and Training Program



## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: One workshop gave teachers a better understanding of the important role their state's forest ecosystems play in protecting the environment while providing economic resources to the citizens. This workshop included field trips, hands-on activities, and classroom lectures. The curriculum raised awareness and provided a better understanding of the necessity of managing the forests and other natural resources to keep them healthy and productive.

Another workshop provided students with an increased understanding on the many, varied environmental careers available at both the professional and technical levels, the wide variety of environmental college degree programs and the desire among these programs to increase student diversity inclusion. The program emphasized the array of scholarships, fellowships, and grants available for underrepresented students interested in pursuing environmental science degree programs. Specifically, this program provided the students with career development priorities and prepare underrepresented high school students in their school district for college degree programs and careers in science and environmental fields. Also see the Office of Environmental Education website at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed) for a complete list with descriptions by State. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

Basis and priorities for selecting proposals are listed in Section 6 of Public Law 101-619, National Environmental Education Act, and in the annual Solicitation Notice which can be accessed at [www.epa.gov/enviroed](http://www.epa.gov/enviroed) on the internet. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.952 NATIONAL NETWORK FOR ENVIRONMENTAL MANAGEMENT STUDIES FELLOWSHIP PROGRAM

(NNEMS Fellowship Program)

### FEDERAL AGENCY:

Office of the Administrator, Environmental Protection Agency

### AUTHORIZATION:

Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311, 42 U.S.C 9660; Clean Water Act, Section 104(b)(5)&(g)3B, 33 U.S.C 1254(b)(5)&g3B; Clean Air Act, Section 103(b)(5), 42 U.S.C 7403(b)(5); National Environmental Education Act, Section 7, Public Law 101-619; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r.

### OBJECTIVES:

To provide students an opportunity to participate in a research project that is directly related to their field of study. To foster a growing interest among higher education students in environmental careers. To help defray the costs associated with the pursuit of academic programs related to the field of environmental protection, such as pollution control, science, engineering, technology, social science, and specialty areas. Funding Priority - Fiscal Year 2009: Includes research projects in the following categories: 1) Environmental Policy, Regulation, and Law, 2) Environmental Management and Administration, 3) Environmental Science, 4) Public Relations and Communication; and, 5) Computer Programming and Development.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The funds are to provide resources to allow for training and research fellowships relating to environmental issues. No matching funds are required.

### Applicant Eligibility:

Applicant Eligibility: A NNEMS Fellowship is available to any associate, undergraduate, graduate, or advanced student who meets the general criteria listed below, as well as those identified for associate, undergraduate, graduate and advanced students. At a minimum, all applicants must be: 1) A citizen of the United States, its territories or possessions, or lawfully admitted to the United States for permanent residency. 2) Enrolled for academic credit at a college or university, or distance-learning institution accredited by a regional or

national accrediting organization recognized by the United States Department of Education or the Council for Higher Education Accreditation. Associate and Undergraduate Students: Students attending 2- or 4-year institutions or distance learning institutions must meet the following requirements: 1) 3.0 cumulative grade point average (GPA) based on a scale of 4.0 at the time that the application is due. 2) Completion of at least four courses related to the field of environmental studies. Graduate and Advanced Students: Students enrolled in graduate or doctoral programs must meet the following requirements: 1) Currently enrolled in a graduate or Ph.D. program or can provide proof of acceptance and enrollment to a graduate or Ph.D. program at the time of fellowship award. 2) Completion of at least one semester of graduate or Ph.D. work, or at least four undergraduate courses related to the field of environmental studies. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

Students.

### Credentials/Documentation:

Students are required to submit an official transcript from each 2- or 4-year college or university, or distance learning institution attended. A student must submit verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students who are interested in applying for a NNEMS fellowship must submit four complete application packages (one original and three copies) that include: 1) A completed NNEMS application, 2) SF 424, 3) A resume, 4) A completed NNEMS reference form, 5) A completed NNEMS Disclosure and Waiver Statement, 6) Verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior, and 7) An official transcript for each 2- or 4-year college or university, or distance learning institution attended. Official transcripts should be opened and photocopied as three copies. NNEMS application forms can be obtained on our web site at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed). Applicants must submit their completed application package to: NNEMS Fellowship Program, Tetra Tech EM Inc., 1881 Campus Commons Drive, Suite 200, Reston, VA 20191. Students selected for a NNEMS Fellowship must fill out a Fellowship Application (EPA Form 5770-2), a Fellowship Facilities and Commitment Statement (5770-3), and a NNEMS Fellowship Application. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

Students who are interested in applying for a NNEMS fellowship must submit four complete application packages (one original and three copies) that include: 1) A completed NNEMS application, 2) SF 424, 3) A resume, 4) A completed NNEMS reference form, 5) A completed NNEMS Disclosure and Waiver Statement, 6) Verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior, and 7) An official transcript for each 2- or 4-year college or university, or distance learning institution attended. Official transcripts should be opened and photocopied as three copies. NNEMS application forms can be obtained on our web site at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed). Applicants must submit their completed application package to: NNEMS Fellowship Program, Tetra Tech EM Inc., 1881 Campus Commons Drive, Suite 200, Reston, VA 20191. Students selected for a NNEMS Fellowship must fill out a Fellowship Application (EPA Form

5770-2), a Fellowship Facilities and Commitment Statement (5770-3), and a NNEMS Fellowship Application. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Grants are solicited through competitions and are not renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

NNEMS Fellowships are awarded for three months full-time and up to three years part-time. Students receive payment in the form of a stipend typically paid in equal monthly payments throughout the duration of the fellowship period. See the following for information on how assistance is awarded/released: Stipends are awarded according to Project Officer's disbursement plan.

**Reports:**

Reporting requirements will be stated in the Terms and Conditions of the official grant award documents. Recipients must submit original final reports to both the EPA Project Officer and to the Office of Environmental Education NNEMS Coordinator. The final report should be submitted on the last day of the fellowship. Unless directed otherwise by the EPA Project Officer, the final report should summarize the specific project undertaken by the student and the project results. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Pursuant to 40 CFR Part 46- Fellowships, Subpart E-46.230, Closeout Procedures: NNEMS Fellows must retain all records related to the fellowship for 3 years following the completion date identified on the Completion of Studies Notice. The EPA, the Inspector General, and the Comptroller General of the United States, and any duly authorized representatives have the right of timely and unrestricted access to a student's documents, papers, or other records related to a fellowship in order to make audits, examinations, excerpts, transcripts, and copies of such documents. The rights of access in this paragraph are not limited to the required retention period but shall last as long as those records are retained.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 08 \$217,859; FY 09 est \$316,085; FY 10 est \$400,000

**Range and Average of Financial Assistance:**

Recipients of NNEMS fellowships receive a grant award in the form of a stipend, based on the student's level of education and the duration and location of the project. Grant awards range from approximately \$7,400.00 to \$12,600.00 per award for a 3-month, full-time period. The average award is for approximately \$10,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year, the NNEMS program offers approximately 20 to 25 research projects, developed and sponsored by EPA Headquarters in Washington, D.C. and in EPA's 10 regional offices and laboratories throughout the U.S. EPA has awarded nearly 1,400 fellowships under the NNEMS program since its inception in 1986. Each year, EPA announces the available projects offered by EPA offices and students from colleges and universities nationwide make application to do the research or other environmental studies and tasks that are educational and promote environmental careers. In 2008, 142 applications were received and 18 applicants were awarded a NNEMS fellowship of which the average stipend amount was about \$13,000. Fiscal Year 2009: In 2009, 345 applications were received and 25 applicants were awarded a NNEMS fellowship with the average amount of the stipend being about \$13,000. Fiscal Year 2010: In 2010, EPA anticipates approximately 25-30 applicants will be awarded a fellowship, with \$400,000 as the estimated total amount of awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 46-Fellowships and 40 CFR Part 30-General Regulations for Assistance Programs.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Andrew Burnett Office of Environmental Education (MC1704A)  
U.S. Environmental Protection Agency  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: [burnett.andrew@epa.gov](mailto:burnett.andrew@epa.gov) Phone: (202) 564-0446

**Website Address:**

<http://www.epa.gov/enviroed/>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: NNEMS fellows are placed in EPA Headquarters and Regional offices and laboratories nationwide. They work on a variety of EPA developed research projects and environmental topics relating to the following five categories: Environmental Policy, Regulation, and Law; Environmental Management and Administration; Environmental Science; Public Relations and Communications; and Computer Programming and Development. Examples of projects offered by the NNEMS fellowship program relating to the above categories are as follows: 1) Environmental Policy, Regulation and Law: Fellowships offered in this category may provide students an opportunity to review and evaluate existing policies and regulations, or perhaps conduct research related to the development of new policies. A recently funded project involved a student working with EPA staff to analyze international air quality issues and approaches related to capacity building work with China. The student gained insight into international air pollution issues and be exposed to EPA, federal government, and bilateral and multilateral international programs that address air quality. 2) Environmental Management and Administration: The fellowships offered in this category may focus on environmental management goals. A recently funded project involved a student conducting research and learning about energy efficiency, green purchasing, and green buildings. The student also analyzed environmental measurement goals, such as expected greenhouse gases reduced, electricity saved, and gallons of water diverted. 3) Environmental Science: Research projects in this category typically include direct participation in field studies and laboratory research. A recently funded project involved a student researching the implications of low-impact development (LID) in watershed restoration. The student gained an understanding of the principles and philosophy of "green infrastructure" and

LID and its relationship with the Green Highway Program (GHP) and watershed resources protection and preservation. 4) Public Relations and Communications: These types of projects may include the review and analysis of public response to EPA policies and regulations, as well as general public opinion of environmental issues. These projects may also include assisting with the development of communication tools. A recently funded project involved a student conducting research and analysis on the content and design of a regional website and other communications. For a complete listing of NNEMS 2009 project descriptions, see: <http://www.epa.gov/enviroed/NNEMS>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Applicants must meet all of the basic eligibility requirements. Eligible applications then will be reviewed by panels comprised of EPA staff members. Applications will be evaluated based on the following criteria: 1) relevancy of classroom experience of the student as it relates to the EPA research project, 2) the student's understanding of the proposed EPA research project subject matter, 3) relevancy of work experience of the student (whether volunteer activities, internships, or paid jobs) as it relates to the EPA research project, 4) relevancy of the student's academic studies as it relates to the EPA research project, 5) leadership skills, written communication skills, and demonstrated success at working well in an office, laboratory, or field environment, as appropriate to the project, and 6) potential for success, as reflected by academic records, letters of reference, and other relevant information. Applications that are scored highly by the panels of reviewers are sent to NNEMS staff and EPA project officers for selection consideration.

## **OVERSEAS PRIVATE INVESTMENT CORPORATION**

### **70.002 FOREIGN INVESTMENT FINANCING**

#### **FEDERAL AGENCY:**

Overseas Private Investment Corporation

#### **AUTHORIZATION:**

Foreign Assistance Act of 1969, Title IV, Section 234(b), 234(c), 22 U.S.C 2191, et seq.

#### **OBJECTIVES:**

To provide financing for projects sponsored by private U.S. businesses in developing countries and emerging economies throughout the world, thereby assisting development goals and improving U.S. competitiveness, creating American jobs and increasing United States exports.

#### **TYPES OF ASSISTANCE:**

Direct Loans; GUARANTEED/INSURED LOANS

#### **USES AND USE RESTRICTIONS:**

To provide financing for investments in developing countries in projects that contribute to the economic and social development of the host country and have a positive impact on the U.S. economy. OPIC screens out projects that might have a negative effect on U.S. employment or the host country's development or the environment, or would contribute to the violation of internationally recognized worker rights. Direct loans can only be made to private sector projects in which there is significant involvement by an U.S. small business. See the OPIC Handbook for more information. The amount of OPICs participation in an eligible project may vary, taking into consideration the projects contribution to the host country's development, the projects financial requirements, and the extent to which the financial risks and benefits are shared among the investors and the lenders. OPIC will not generally support more than 75 percent of the total investment.

The terms of such loans will typically provide for a final maturity of three to 15 years, including a suitable grace period during which only interest is payable.

#### **Applicant Eligibility:**

Guaranteed investor must be citizen of the United States, a corporation, partnership, or other association created under the laws of the United States or any State or territory, and more than 50 percent beneficially owned by U.S. Citizens; a foreign corporation at least 95 percent owned by such entities; or a 100 percent United States-owned foreign entity. Direct loans are reserved for

projects sponsored by or significantly involving United States small businesses or cooperatives. Applicants also must meet OPIC's credit underwriting criteria.

#### **Beneficiary Eligibility:**

Project must have significant participation by a United States sponsor, generally in the form of at least 25 percent equity ownership. OPIC does not support projects that will result in the loss of U.S. jobs, that would contribute to the violation of internationally recognized worker rights or involve illicit payments. OPIC only supports projects that contribute to the economic and social development of the host country.

#### **Credentials/Documentation:**

OPIC Finance Application; Financial statements; OPIC sponsor disclosure report; other applicable information on operations of U.S. investor, and project business plan. A bilateral agreement between the United States and the host country government must be in place before OPIC can provide loan guaranties in a country. In some cases, special foreign government approval is required before financing can be provided. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Financing is required.

#### **Award Procedure:**

OPIC conducts extensive due diligence and project analysis. Project must be approved internally and meets OPIC's credit, policy and legal criteria. Loan guaranty is issued directly to the lender by OPIC, in conjunction with OPIC entering into financing documentation with the borrower, U.S. sponsor and other parties. Direct loan is made directly to the project company.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Variable, depending on status and complexity of the project.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Significant equity investment in the project company by a qualified U.S. sponsor.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Variable, depending on characteristics of the project. OPIC financing is usually in the range of 5-15 years. See the following for information on how assistance is awarded/released: Once OPIC has signed a loan agreement, a borrower may submit a request for disbursement

20 business days before the requested disbursement. The conditions to disbursement must be

satisfied in full before the funds will be disbursed. Most of these conditions are under the

borrowers control, i.e. providing certificates, documentation, etc., but in some cases

additional security documentation must be drafted by OPIC or outside counsel. OPIC will

work diligently to see that these documents get promptly executed but a high level of

cooperation is needed from the borrower to see that this process goes smoothly.

#### **Reports:**

#### **Audits:**

Not Applicable.

**Records:**

Certain accounting records, drawdowns of all funds, and other information must be available during term of financing and beyond.

**Account Identification:**

71-4030-0-3-151; 71-4074-0-3-151; 71-4075-0-3-151; 71-4184-0-3-151; 71-0100-0-1-151.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$1,374,000,000; FY 09 est \$2,000,000,000; FY 10 est \$2,350,000,000 - Total Loan Commitments.

**Range and Average of Financial Assistance:**

\$200,000 to \$400,000,000; small business loans \$200,000 to \$100,000,000, \$23,353,000; non-small business loans \$1,166,550 to \$400,000,000, \$27,067,770.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"OPIC Program Handbook," free. Web site address is <http://www.opic.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alison Germak 1100 New York Avenue, N.W., Washington, District of Columbia 20527 Email: [Alison.Germak@opic.gov](mailto:Alison.Germak@opic.gov) Phone: 202-336-8651

**Website Address:**

<http://www.opic.gov>.

**RELATED PROGRAMS:**

70.003 Foreign Investment Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See USES AND USE RESTRICTIONS and ELIGIBILITY REQUIREMENTS.

**NUCLEAR REGULATORY COMMISSION**

**77.006 U. S. NUCLEAR REGULATORY COMMISSION NUCLEAR EDUCATION GRANT PROGRAM**

Nuclear Education Grant Program - Curricula Development

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

The Energy Policy Act of 2005, Section 651(c)(1), Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051(b).

**OBJECTIVES:**

To provide assistance to colleges and universities in support of courses, studies, training, curricula, and disciplines relevant to nuclear safety, security, environmental protection, or any other field that the Commission determines to be critical to its regulatory mission.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support in whole or part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, and related activities. Restrictions on use of funds are specified in the award. Funding is provided for the purpose of improving or supporting curricula that does not necessarily duplicate work already in process or contemplated by NRC, is not already known to NRC, or has previously unrecognized merit.

**Applicant Eligibility:**

Applicants can be U.S. public and private institutions of higher education.

**Beneficiary Eligibility:**

U.S. public and private institutions of higher education will benefit.

**Credentials/Documentation:**

Administration and costs will be determined in accordance with guidance in 2 CFR 215-220, OMB Circular No. A-110 and A-21 for institutions of higher education. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Letters of intent are encouraged as stated in the funding opportunity announcement posted at [Grants.gov](http://Grants.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The NRC will accept electronic applications only from eligible organizations submitted as specified in the funding opportunity announcement (FOA) posted at [www.grants.gov](http://www.grants.gov). Apply using the electronic application package required in the FOA. Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from [Grants.gov](http://Grants.gov).

\*NOTE: FOA is [Grants.gov](http://Grants.gov)'s terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA) or Funding Notice (FN).

**Award Procedure:**

Applications will be screened for relevance and then reviewed for scientific and technical merit by qualified individuals based on a set of criteria stated in the funding opportunity announcement. Recommendations for award are made by the review panel via the U. S. Nuclear Regulatory Commission Office of Human Resources Training Division, and the selected applications will be forwarded to the U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts, for grant negotiation and award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Proposals for renewal/continuations are subject to review and acceptance by the U.S. Nuclear Regulatory Commission Office of Human Resources Training Division.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for grants are normally three years and shall not exceed five (5) years at intervals determined at the time of award. Funds must be obligated by the recipient organization within the project period of performance or as specified in the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The Recipient shall submit a "Federal Financial Report" (SF-425) at intervals specified in the award to the Grants Officer and Program Office in compliance with 2 CFR 215.52. Performance monitoring will be conducted by NRC staff as stipulated in the terms of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 08 \$4,722,312; FY 09 est \$4,741,600; FY 10 est \$4,700,000

**Range and Average of Financial Assistance:**

Award amounts range from \$50,000 to \$150,000 in FY 2009 with an average of \$108,000 for 12 months of financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 U.S.C. 2051(b); 2 CFR 215 and 220. Technical and administrative information for this program are available at <http://www.nrc.gov/about-nrc/grants.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Randi Neff Gateway Building  
7201 Wisconsin Ave  
Mail Stop: W5-A6, Washington, District of Columbia 20555-0001 Email: [Randi.Neff@nrc.gov](mailto:Randi.Neff@nrc.gov) Phone: 301-492-2301

**Website Address:**

[www.nrc.gov](http://www.nrc.gov) .

**RELATED PROGRAMS:**

77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

- Fiscal Year 2008: - Development of Education and Training Materials for Environmental Assessments and Security of Nuclear Facilities
- Development of a Problem-Based Undergraduate Nuclear Course to Strengthen Math Skills in Support of the US Nuclear Workforce
- Development of Graduate Level Nuclear Safety Course Modules and Radiation Protection Laboratory Exercises
- A Sustainable Program on Environmental Impact Statements in Dealing with Radioactive and Special Materials
- Development of an Educational Laboratory Course: Risk Evaluations and Environmental Assessment for Nuclear Environmental Protection
- Safety and emergency management at nuclear power plants: education and training using virtual reality and 3D gaming technology
- Graduate Certificate Program in Nuclear Power Engineering
- Improving Nuclear Education by Advancing Educational Infrastructure: The Advanced Nuclear Science Educational Laboratory (ANSEL)
- Development of SCALE-based Educational Modules to Innovate Reactor Physics and Criticality Safety Curricula. Fiscal Year 2009: - Materials Science for Advanced Nuclear Energy
- Power Up Construction and Maintenance of New and Aging Nuclear Power Plants in the Southeast
- Summer School in Reactor Physics and Nuclear Criticality Safety
- Development of a Course (TO) and a Course Module (UC) on Nuclear Reactor Thermal-Hydraulics
- Development of Interrelated Minors in Nuclear Energy and Health Physics
- Nuclear Power Plant Technician Program
- Development of an Educational Course Module: Environmental Assessment for Siting of Nuclear Facilities. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection for support is based on the soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected

products and results, evaluation, and dissemination plans. The applicant's capability to perform the project is assessed to the degree that the project will strengthen its teaching or research capacity; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

**77.007 U.S. NUCLEAR REGULATORY COMMISSION MINORITY SERVING INSTITUTIONS PROGRAM (MSIP)**

NRC Minority Supporting Institutions Program

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Section 651.c.4 and 622, Public Law 109-58, 42 U.S.C 2051(b); Executive Order 13256, 13270, and 13230.

**OBJECTIVES:**

To fund minority serving programs and activities, projects, symposiums, and training for the exchange and transfer of knowledge and skills relevant to nuclear safety, security, environmental protection, or any other fields the Commission deems critical to its mission. To provide assistance for minority serving programs and activities to include, but not limited to, mentoring, leadership development, training, instruction, developmental learning, research and development, program evaluation, and technical assistance. To provide assistance to include direct institutional subsidies, facilities and equipment acquisition, internships, fellowships, scholarships, and tuition and housing assistance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, stipends, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training and related activities. Restrictions on use of funds depend on grant provisions, the nature of assistance provided, and the purpose(s) for which the programs and activities were funded to achieve.

**Applicant Eligibility:**

Minority Serving Institutions and organizations that provide services to Minority Serving Institutions and their students and faculty.

**Beneficiary Eligibility:**

U.S. public and private Minority Serving Institutions and their students and facility will benefit.

**Credentials/Documentation:**

Cost will be determined in accordance with Office of Management and Budget Circulars and requirements in 2 CFR 215-230. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Letters of intent are required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals should be submitted as specified in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Proposals will be screened for relevance, and, where required, reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the review panel via U.S. Nuclear Regulatory Commission Office of Small Business and Civil Rights (SBCR), and the selected proposals will be forwarded to U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts for development and award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Proposals for renewal are subject to review and acceptance by the Nuclear Regulatory Commission Office of Small Business and Civil Rights.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project periods for grants shall not exceed five (5) years at intervals determined at the time of the award. Funds must be obligated within the approved project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. No cash reports are required. Progress report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.5. Federal Financial Reports (SF-425) must be submitted to the Agency in compliance with 2 CFR 215.51 and 2 CFR 215.52, at intervals stipulated in the terms of award. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$476,459; FY 09 est \$1,010,900; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Award amounts range from \$5,400 to \$117,500 with an average of \$67,000 in FY2009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for The Minority Supporting Institution Program is on line at <http://www.nrc.gov/about-nrc/grants/minority-serving-institutions-program.pdf>

EPA Section 651(c) (4), 42 U.S.C. 2051(b); 2 CFR 215 and 220.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Tuwanda M. Smith, Esq. Two White Flint North, 11545 Rockville Pike, Rockville, Maryland 20852 Email: [EEOPrograms@nrc.gov](mailto:EEOPrograms@nrc.gov) Phone: 301-415-7394

**Website Address:**

[www.nrc.gov](http://www.nrc.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: On Campus Employment Program

Experiential learning/Occupational Exposure - DOE Day of Science Event  
The Presidential STEM Leadership Program for Native American Students  
Nuclear Engineering Program at South Carolina University. Fiscal Year 2009:  
Nuclear Science and Engineering Research Program  
National Hispanic Environmental Council (NHEC) Minority Youth  
Environmental Training  
Minority Supporting Institution- HBCU- Summer Program  
The Working Group on Engineering Studies. Fiscal Year 2010: No Current  
Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation and dissemination plans. The applicant's ability to perform the project is assessed relative to the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to the program objectives in the funding opportunity announcement.

**77.008 U.S. NUCLEAR REGULATORY COMMISSION SCHOLARSHIP AND FELLOWSHIP PROGRAM**

NRC Scholarship and Fellowship Program

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051(b).

**OBJECTIVES:**

This Scholarship and Fellowship program provides funding for undergraduate scholarships, graduate fellowships, trade school and community college scholarships, and faculty development grants. The program allows students to pursue an education in science, engineering, or another field of study that the Commission determines is in a critical skill area related to its regulatory mission. Scholarship and fellowship recipients need to be enrolled in a trade school or postsecondary educational institution; programs accredited by an accrediting agency or state approval agency; registered apprenticeship programs; a professional degree or graduate program offered by an accredited institution of higher education in the United States.

The activity supported by this funding is intended to benefit the nuclear sector broadly. Consequently, NRC requires scholarship and fellowship students to serve 6 months in nuclear-related employment for each full or partial year of academic support. The employment may be with NRC, other Federal agencies, State agencies, Department of Energy laboratories, nuclear-related industry, or academia in the students sponsored fields of study. Recipients of scholarships and fellowships must commit to the service obligation agreement.

The program also supports faculty development in the nuclear-related fields of Nuclear Engineering, Health Physics, Radiochemistry and related disciplines as determined by the NRC. The program specifically target probationary, tenure-track faculty in these academic areas during the first 6 years of their career.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides funding to accredited post-secondary schools and institutions of higher education to provide scholarships, fellowships, and stipends to develop a cadre of professionals, and a workforce capable of supporting the design, construction, operation, and regulation of nuclear facilities and the safe handling of nuclear materials. Faculty development grants provide support for developing applications for research, small amounts for initiating or continuing research projects in their areas of expertise, and expenses associated with an institutions faculty development plan.

Funds are managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution.

Funds may not be used for purposes other than those specified in the award. Fellowships, scholarship and stipends are paid to the students and fellows directly through his/her institution. Scholarship and fellowship recipients are required to comply with a service obligation agreement for a period equal to the level of support received.

**Applicant Eligibility:**

Applicants must be four year U.S. public and private institutions of higher education.

**Beneficiary Eligibility:**

Undergraduate and graduate students. Four year public and private institutions of higher education.

**Credentials/Documentation:**

Applications using the SF-424 forms stipulated in the Funding Opportunity Announcement must be submitted through Grants.gov, signed electronically by an official authorized to commit the institution in business and financial affairs, and who can commit the organization on the SF-424B to certain proposal certifications. Costs will be determined in accordance with 2 CFR 220 (OMB Circular No. A-21) for colleges and universities. Recipients for scholarship and fellowship support must show evidence of ability such as academic records, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted by eligible institutions as specified in the funding opportunity announcement posted at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are processed by the assigned staff and approved by the NRC, based on a set of criteria established by the NRC, as stated in the Funding Opportunity Announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Proposals for renewal are subject to review and acceptance by the U.S. Nuclear Regulatory Commission office of Human Resources Training Division.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for project grants shall not exceed five (5) years at intervals determined at the time of award. Funds must be obligated within the active period of performance. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The recipient shall submit a "Federal Financial Report," SF-425 at intervals specified in the terms of award in compliance with 2 CFR 215.52. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 08 \$14,456,164; FY 09 est \$14,997,887; FY 10 est \$15,000,000 - Funds availability are subject to annual appropriations.

**Range and Average of Financial Assistance:**

Awards range from \$36,500 to \$450,000 in FY2009, with an average award of \$307,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reports, brochures, guidelines and frequently asked questions are available at <http://www.nrc.gov/about-nrc/grants.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Gutteridge One White Flint North, 11555 Rockville Pike and Two White Flint North, 11545 Rockville Pike, Rockville, Maryland 20852 Email: [John.Gutteridge@nrc.gov](mailto:John.Gutteridge@nrc.gov) Phone: 301-492-2313

**Website Address:**

[www.nrc.gov](http://www.nrc.gov).

**RELATED PROGRAMS:**

77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Undergraduate Scholarships in Nuclear Engineering  
New Generation Nuclear Engineering Faculty Development Program  
Faculty Development Program for Junior Faculty with Major Research Thrusts in the Area of Nuclear Engineering  
Nuclear Engineering Ph.D. Student Program  
Nuclear Education Graduate Fellowship Program  
Junior Faculty Development: Loading the Fuel of the 21st Century Academic Reactor Core  
Scholarships to Nuclear Technology Program Students  
College Energy Production Scholarships  
Professional Pipe Welders: Safety and Security in the Nuclear Welding Industry  
Trade School Scholarship Program  
Development of a Nuclear Thermal-Hydraulics and Safety Research Program  
Junior Faculty Development Program  
Undergraduate Nuclear Engineering Scholarship Program  
Graduate Fellowship Program in Nuclear Engineering  
Nuclear Education Fellowship Program  
Nuclear Engineering and Health Science Scholarship Program  
Nuclear Science Workforce Development Scholarships  
Nuclear and Radiological Scholarship Program. Fiscal Year 2009: Scholarships for Aspiring Nuclear Energy Technicians to Develop the Energy Operations Tract within Engineering Technology as a Degree Program  
Nuclear Education Trade School Scholarship Program  
Preparing the 21st Century Energy Workforce  
Graduate Fellowship in Nuclear Engineering  
Health Physics Fellowship Program  
University Faculty Development Grant for Advanced Nuclear Power Technologies

Project to Create a New Course in Nuclear Welding  
Nuclear Sector Technician Education Scholarship Program. Fiscal Year 2010:  
No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Capacity and ability of the institution to effectively conduct the program.  
Number and quality of students that will be served by the program. Justification for number of students served and amount of stipend and scholarship support.  
Quality and feasibility of recruitment and marketing strategies. Quality of technical programs for scholarship/fellowship programs. Type of student support, i.e. mentoring or advisor assistance Feasibility and completeness of an evaluation plan that will measure the effectiveness of the scholarship/fellowship program Institutional support for the program and the extent to which the institution is committed to making the program an organizational focus. Plans for sustainability. Additional merit review considerations apply.

**77.009 U.S. NUCLEAR REGULATORY COMMISSION OFFICE OF RESEARCH FINANCIAL ASSISTANCE PROGRAM**

NRC OFFICE OF RESEARCH GRANT PROGRAM

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Title , Part , Section 651(c), Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051(a)(b).

**OBJECTIVES:**

The Office of Nuclear Regulatory Research (RES) furthers the regulatory mission of the NRC by providing technical advice, technical tools and information for identifying and resolving safety issues, making regulatory decisions, and promulgating regulations and guidance. RES conducts independent experiments and analyses, develops technical bases for supporting realistic safety decisions by the agency, and prepares the agency for the future by evaluating safety issues involving current and new designs and technologies. RES develops its program with consideration of Commission direction and input from the program offices and other stakeholders.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program provides funding to educational institutions, nonprofit organizations, State and local governments, and professional organizations. The award recipient bears primary responsibility for general supervision of all financial assistance activities. Funds may not be used for purposes other than those specified in the award.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined by Office of Management and Budget Circulars and Guidance in 2 CFR 215-230. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Office of Nuclear Regulatory Research, Division of Program Management, Policy Development & Analysis Staff, 301-251-7668. Telecommunications for the hearing impaired are available at: TDD 1-800-635-4512. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The NRC will accept electronic applications only from organizations submitted as specified in the funding opportunity announcement (FOA) posted at www.grants.gov. Apply using the electronic application package required in the FOA. Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from Grants.gov.

\* Note: FOA is Grants.govs terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA), or Funding Notice (FN).

**Award Procedure:**

Applications are processed by the assigned NRC staff based on a set of criteria established by the NRC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal/continuations are subject to the review and acceptance by the U.S. Nuclear Regulatory Commission Office of Nuclear Regulatory Research.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project periods for both grants and cooperative agreements shall not exceed five (5) years at intervals determined at the time of the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Financial reports will be stipulated in the terms of award in compliance with 2 CFR 215.51 and 2 CFR 215.52. Progress reports and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.5. The Recipient shall submit a Federal Financial Report (SF-425) as specified in the terms of award. Performance report monitoring will be conducted as stipulated in the terms of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53 Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$1,129,129; FY 09 est \$1,500,000; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

Award amounts range from \$25,000 to \$75,000 in FY2008.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Nuclear Reactor Safety Research  
Nuclear Materials Safety Research  
Radioactive Waste Safety Research  
Fire Research Program  
Computer Codes for Simulation of Scientific Phenomena and Prediction of their Behavior.  
Radiological Toolbox  
Digital Instrumentation and Controls (I&C)  
State-of-the-Art Reactor Consequence Analyses (SOARCA). Fiscal Year 2009:  
No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**



Reports or brochures on regulatory decisions, results of research, results of incident investigations, and other technical and administrative information are available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/>

**Regional or Local Office:**

None.

**Headquarters Office:**

Mary Muessle 21 Church Street, Rockville, Maryland 20853 Email: Mary.Muessle@nrc.gov Phone: 301-251-7668

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Safety Curriculum Development to Facilitate Nuclear Energy in the 21st Century

- Development of a Nuclear Certification for Nuclear Safety, Nuclear Security and Nuclear Environmental Protection within a Mechanical Engineering Department
- Meeting the Demand for Young Engineers with Knowledge of Engineering Risk, Uncertainty and Decision Analysis
- Research on the Advanced VHTR Gas-Cooled Reactor
- Reprocessing and Interpretation of Seismic Reflection Data to Investigate Recently Discovered Faulting in the Epicentral Areas of the 1886 Charlestown Earthquake
- Committee on Geological and Geotechnical Engineering
- In the Area of Advanced Methods for Probabilistic Risk Assessment
- Fracture of Hydrided Zircaloy under Thorough-Thickness Crack Growth
- Probabilistic Risk Assessment Training
- Basic Research on High Temperature Gas Reactor Thermal Hydraulics and Reactor Physics. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of Research support through financial assistance methods may be made to support basic, advanced, and developmental scientific research where the purpose is to conduct or further that research at nonprofit institutions of higher education, nonprofit organizations, State and local governments, and professional organizations.

Factors generally indicating support through financial assistance methods:

- the primary purpose of the proposal is to aid or support the development of knowledge or understanding of the subject or phenomena under study;
- the exact course of the work and its outcome are not defined precisely and specific points in time for achievement of significant results may not be specified;
- the nature of the proposed work is such that the recipient will bear prime responsibility for the conduct of the research and will exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the related resources provided;
- the research problem requires long-term support (that is, in excess of 1 year) for the study to mature to maximum scientific effectiveness (this does not preclude shorter term assistance);
- meaningful technical reports (as distinguished from semiannual status reports) can be prepared only as new findings are made rather than on a predetermined time schedule; and
- simplicity and economy in execution and administration are mutually desirable.

**DEPARTMENT OF ENERGY**

**81.003 GRANTING OF PATENT LICENSES**

(DOE Patents Available for Licensing)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101. ; Atomic Energy Act of 1954, Sections 156 and 161(g), as amended, Public Law 83- 703, 68 Stat. 919, 42 U.S.C. 2186 and 2201; Public Law 96-517, 35 U.S.C. 207, 208, 209.

**OBJECTIVES:**

To encourage widespread utilization of inventions covered by DOE owned patents.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Nonexclusive, revocable licenses are granted by Department of Energy (DOE) to responsible applicants with plans for development and/or marketing on approximately 1,500 DOE owned United State patents. Exclusive and partially exclusive licenses may also be granted. Similar licenses on approximately 200 DOE owned foreign patents may be accorded to United State citizens and corporations, and to others under terms and conditions which depend upon particular facts. Licenses for use or sale in the United States may normally be granted only to licensees that agree to substantial manufacture in the United States. Copies of U.S. patents may be obtained from the United States Patent and Trademark Office, Department of Commerce, Washington, DC 20231, for a modest fee.

**Applicant Eligibility:**

Individuals, firms, or corporations with satisfactory plans and intentions to commercialize the invention may apply.

**Beneficiary Eligibility:**

Individuals, firms, and corporations will benefit.

**Credentials/Documentation:**

Satisfactory plans for development and/or marketing of the invention. In the case of corporations, the State of incorporation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By letter to the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE, Washington, DC 20585, identifying the patent by its number, together with information as to: (1) The nature and type of the applicant's business; (2) the purpose for which the license is desired together with documentation as to the applicant's plan for development and/or marketing of the invention to achieve that purpose; (3) the geographical areas in which the applicant will practice the invention; (4) the applicant's willingness to render periodic reports on the use of the licensed subject matter; (5) the applicant's status as a small business firm, minority business, or other; and (6) remittance of a \$25 processing fee for each license requested.

**Award Procedure:**

Patent licenses are issued by the Office of the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Normally three months for nonexclusive licenses; somewhat longer for exclusive licenses.

**Appeals:**

Applicants denied a license and revoked licensees have the right to appeal in accordance with 10 CFR 781 by filing notice of appeal within 30 days. Appeals board is designated upon filing of notice of appeal.

**Renewals:**

Licenses may be renewed upon reapplication, contingent on satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There are no funds obligated under this program. See the following for information on how assistance is awarded/released: There are no funds obligated under this program.

**Reports:**

No program reports are required. If license is royalty bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement. Annual reports are required to be submitted as to the extent of utilization and royalties due, if applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. If license is royalty bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement.

**Records:**

None except where the specific license provides for payment of royalty.

**Account Identification:**

89-0228-0-1-276.

**Obligations:**

(Dissemination of Technical Information) FY 08 \$0; FY 09 est \$0; FY 10 est \$0  
- There are no dollars obligated under this program.

**Range and Average of Financial Assistance:**

No dollars are obligated under this program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 4 patent licenses were granted. Fiscal Year 2009: 3 patent licenses were granted. Fiscal Year 2010: it is estimated that 3 patent licenses will be granted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Licensing of government owned inventions (37 CFR 404). 10 CFR 781, DOE Patent Licensing Regulations; "DOE Invention Licensing Program" describes the program and is available at <http://www.osti.gov/gencon/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John T. Lucas 1000 Independence Ave, SW, Washington, District of Columbia 20585 Phone: (202) 586-2802

**Website Address:**

<http://www.doe.gov>

**RELATED PROGRAMS:**

11.900 Patent and Trademark Technical Information Dissemination

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Nonexclusive licenses - satisfactory plan for development and/or marketing of the invention. Exclusive licenses in addition, a determination in accordance with 35 U.S.C. 209(c) that exclusivity is reasonable and necessary for commercialization.

**81.022 USED ENERGY-RELATED LABORATORY EQUIPMENT GRANTS**

(Used Equipment Grants)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, Section 31(a) and (b), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title

I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To assist United States institutions of higher education in equipping their science and engineering laboratories for energy-related research and/or instructional purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Used energy-related laboratory equipment is granted to nonprofit educational institutions of higher learning for use in energy-oriented research or instructional programs in the life, physical, and environmental sciences and engineering. The donated equipment must remain in the United States. The donated equipment must not be sold or placed on eBay for sale.

**Applicant Eligibility:**

Nonprofit educational institutions of higher learning, such as universities, colleges, junior colleges, middle schools, high schools, hospitals, and technical institutes or museums located in the United States and interested in establishing or upgrading energy oriented educational and research programs in the life, physical, and environmental sciences and engineering may apply. Sufficient training on proper use of the scientific equipment may be provided to 'high-need' middle schools and high schools dependent upon the level of need as determined by the guidelines set forth by the U.S. Department of Education. All ERLE program applicants are required to provide a statement that validates their capabilities to use the requested scientific equipment. The program reserves the right to deny an applicants' request if it appears that the applicants' ability to successfully use the equipment is lacking.

**Beneficiary Eligibility:**

Nonprofit institutions of higher education benefit. Middle schools and high schools are limited to certain approved equipment.

**Credentials/Documentation:**

Institutions complete the on-line application. This application includes: (1) Identification of institution and school and/or department where equipment would be used; (2) the objectives to be met through use of the equipment; (3) a detailed listing of the equipment requested; (4) a brief description of energy-oriented course offerings and numbers of graduate and undergraduate students enrolled; (5) data on qualifications of faculty members to make effective use of the equipment; (6) reference to any prior grant for equipment (financial or otherwise) to the same or to a related department; (7) the name and title of the person preparing the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of eligible institutions should contact Department of Energy (DOE) Used Energy-Related Laboratory Equipment (ERLE) web site located at <http://erle.osti.gov/erle>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The guideline and application are on the website. The application will be automatically submitted to the appropriate DOE field office via electronic mail.

**Award Procedure:**

Award is on basis of first-received, first- qualified proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. From 30 days.

**Appeals:**

From 1 to 15 days. A written appeal must be submitted within 15 days after a freeze is placed on an item.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Cash reports are not applicable. At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are performed on a selective basis.

**Records:**

None.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Project Grants) FY 08 \$26,644,329; FY 09 est \$12,484,629; FY 10 est \$30,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The ERLE program has enabled institutions of higher education to acquire millions of dollars in high quality surplus laboratory equipment, totaling over \$25 millions in 2008 to 671 U.S. colleges, universities, museums and other learning institutions. Fiscal Year 2009: This program has enjoyed the success in knowing that the recipients of the program are benefiting; and performing better from the use of Department of Energy (DOE) Energy Related Laboratory Equipment (ERLE) program. Fiscal Year 2010: The ERLE program will accomplish its goal of seeing more colleges, universities, middle schools and high schools and other nonprofit educational institutions of higher learning in the United States with an increase of better performance of important research.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The "Energy-Related Laboratory Equipment (ERLE) Guidelines" are available via the Internet at <http://erle.osti.gov/erle>.  
The grantee must not sell or place DOE scientific equipment on eBay for sale.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vera A. O'Connor 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [vera.oconnor@science.doe.gov](mailto:vera.oconnor@science.doe.gov) Phone: (202) 586-9742 Fax: (202) 586-0019

**Website Address:**

<http://erle.osti.gov/erle>

**RELATED PROGRAMS:**

39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.041 STATE ENERGY PROGRAM**

SEP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy and Conservation Act, Public Law 94-163, 42 U.S.C. 6321-6326; Balanced Budget Down Payment Act II of 1996, Public Law 104-134. ; National Energy Conservation Policy Act of 1978, Public Law 95-619 and Public Law 101-440; American Recovery and Reinvestment Act of 2009; Department of Energy Organization Act of 1977, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

The program provides financial and technical assistance to State governments to create and implement a variety of energy efficiency and conservation projects in order to provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources across the geographic panorama of the United States and its territories. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Grants are to be used by States for the development, implementation, or modification of State plans submitted to and approved by DOE. To be eligible for Federal assistance, each State plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163; and may also include a wide range of optional activities.

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.
- \* Conducting residential and commercial building energy audits.
- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and efficiency rates for recycling programs.
- \* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.
- \* Installing light emitting diodes (LEDs).
- \* Developing, implementing, and installing renewable energy technologies on or in any government building.
- \* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency. Funds cannot be used for the purchase of land, buildings or any interest therein; construction of buildings or structures; research, development or demonstration of non-commercially available technology; or subsidies of public transportation, fares, utility rate demonstrations or State tax credits for energy conservation.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The ultimate potential beneficiaries will be the people affected by the plan each

State develops. This is anticipated to be the State's population.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. Only one application from each State, however a separate application is required for ARRA funds; compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States submit applications and plans (or amendment to plans) in response to 10 CFR 420.

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

Applications must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at

[https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

It is the responsibility of the applicant to verify successful transmission.

Separate applications are required for ARRA funding.

**Award Procedure:**

Grant applications will be reviewed by DOE Office of Energy Efficiency and Renewable Energy personnel. Grant procedures will be accomplished in accordance with Federal government regulations. Notification of grant awards will be issued by a DOE Procurement Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds. Assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

Statutory Formula: Title 10 Vol 3, Chapter II, Part 420, Subpart B Section 420.11, Public Law Energy Policy and Conservation Act 42 USC 6321 et seq. Matching Requirements: Percent: 20.%. There is a 20 percent match requirement for the SEP, however leveraging of funds on the part of the recipient is encouraged. This requirement is waived for ARRA funding. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA, ESA and ARRA. Funds awarded annually are subject to Congressional appropriation, with no restriction on spending period, except ARRA requires all funds be spent within 36 months of award. Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE. See the following for information on how assistance is awarded/released: See award procedures above.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial status reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. This Circular can be accessed at the White House website, <https://www.whitehouse.gov/omb/circulars/index.html>

In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0331-2-1-272; 89-0321-0-1-270.

**Obligations:**

(Formula Grants) FY 08 \$32,139,672; FY 09 est \$3,100,000,000; FY 10 est \$70,000,000 - In addition to the above, \$3.1 Billion in FY 2009 funding as appropriated under the American Recovery and Reinvestment Act of 2009.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fifty States and territories participate in the development and implementation of their State plans. Fiscal Year 2009: Fifty States and territories participate in the development and implementation of their State plans. Fiscal Year 2010: Fifty States and territories participate in the development and implementation of their State plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009 and 10CFR 420.

**Regional or Local Office:**

None. Angela Young, Division Director, NETL Project Management Center (PMC) (412) 386-6042; EERE Information Center, (877)337-3463.

**Headquarters Office:**

Mark Bailey, 950 L'Enfant Plaza SW, Room 6044, Washington, District of Columbia 20585 Phone: (202) 586-9424.

**Website Address:**

[http://www.eere.energy.gov/state\\_energy\\_program/](http://www.eere.energy.gov/state_energy_program/) and <http://www.eere.energy.gov/>; <https://www1.eere.energy.gov/>; <https://www1.energy.gov/informationcenter>

**RELATED PROGRAMS:**

81.042 Weatherization Assistance for Low-Income Persons; 81.119 State Energy Program Special Projects; 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Advanced Building Codes; Gigawatt-scale Clean Energy.  
Fiscal Year 2009: Development of a wind technician safety curriculum. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. In addition, each State energy conservation plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163, and may also contain a wide range of optional activities.

**81.042 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; 10 CFR Part 440 ; Title IV, Energy Conservation and Production Act; Energy Independence and Security Act of 2007; Energy Policy Act of 2005; 10 CFR Part 600.

**OBJECTIVES:**

To improve home energy efficiency for low-income families through the most cost-effective measures possible. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities; and
- \* To reduce the total energy use of the eligible units while ensuring their health and safety.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Formula Grants

**USES AND USE RESTRICTIONS:**

Improvement of the thermal efficiency and cooling of dwellings by the installation of weatherization materials such as attic insulation, caulking, weather-stripping, furnace efficiency modifications, certain mechanical measures to heating and cooling systems, and replacement furnaces, boilers, and air-conditioners. States may average expenditures per dwelling unit for materials, program support and labor costs not to exceed an average per unit of \$6,500 adjusted annually for inflation. Up to 10 percent of each grant may be spent by a State and its subgrantees for administrative expenses (a State may not use more than 5 percent of the total State grant for such purposes).

**Applicant Eligibility:**

States, including the District of Columbia, and in certain instances, Native American tribal organizations. In the event a State does not apply, a unit of general purpose local government, or community action agencies and/or other nonprofit agencies within that State becomes eligible to apply.

**Beneficiary Eligibility:**

All low-income households are eligible to receive weatherization assistance. A low-income household is one whose combined income falls at or below 125 percent of the poverty level determined by the Office of Management and Budget's poverty income guidelines or the basis on which Federal, State, or local cash assistance payments have been made. A State may also elect to make all homes eligible under the HHS Low-income Home Energy Assistance Program (LIHEAP) eligible for weatherization assistance and may use either 150 percent of poverty or 60 percent of State median income.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. The Department of Energy (DOE) requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Rules available at 10 CFR Section 440 et al and from

DOE offices. Governors or their designated agencies must apply for grants to the appropriate DOE office and submit State Plans and applications pursuant to State applications at 10 CFR part 440.12. Any household at or below 200% of poverty, per the modified statute, is considered low-income. About 15 million of all eligible households are good candidates for Weatherization. Priority service is given to the elderly, people with disabilities, and families with children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. State applications for the WAP Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

It is the responsibility of the applicant to verify successful transmission.

ARRA Applications will be reviewed and awarded in accordance with the final 2009 Recovery Act Formula Allocations, set forth in the Weatherization Assistance Program Notice 09-1B

**Award Procedure:**

States and tribes will submit applications for available allocation. Grant applications will be reviewed by DOE Office of Energy Efficiency and Renewable Energy (EERE) personnel. Grant procedures will be in accordance with Federal government regulations. Notification of grant awards will be issued DOE Procurement Office and/or EERE personnel serving the applicant State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under 42 USC 6861 et al and 10 CFR Section 440.

**Renewals:**

Renewals are subject to review by the DOE EERE Project Management Center and the headquarters program office and subject to the availability of funds. Financial assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA, ESA and ARRA. See the following for information on how assistance is awarded/released: No information was provided.

**Reports:**

No program reports are required. Cash reports are not applicable. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This Circular can be accessed at the White House website, <https://www.whitehouse.gov/omb/circulars/index.html>

**Records:**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 and 10 CFR part 440 (See: <http://ecfr.gpoaccess.gov>).

**Account Identification:**

89-0321-0-1-270; 89-0331-2-1-272.

**Obligations:**

(Project Grants) FY 08 \$224,438,793; FY 09 est \$5,151,000,000; FY 10 est \$225,000,000 - It is estimated that there will be an additional \$5,000,000,000 of Recovery Act funds available in FY 2009.

**Range and Average of Financial Assistance:**

\$6,500.00 Average Per Home.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 6.2 million homes have been weatherized with DOE funds since 1976. Fiscal Year 2009: Assistance Per Home Increased to \$6,500.00. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. Weatherization Assistance guidelines published June 1, 1977. Amendments to guidelines published January 2, 1979, August 29, 1979, February 27, 1980, June 1, 1981, March 1, 1982, January 27, 1984, January 4, 1985, December 5, 1985, March 4 1993, June 5, 1995, and December 8, 2000.

**Regional or Local Office:**

None. Angela Young, Division Director, NETL Project Management Center (PMC) Division, (412) 386-6042; EERE Information Center, (877) 337-3463.

**Headquarters Office:**

Ronald Shaw, 950 L'Enfant Plaza, Room 6043, Washington, District of Columbia 20585 Email: [ronald.shaw@ee.doe.gov](mailto:ronald.shaw@ee.doe.gov) Phone: (202) 586-6593.

**Website Address:**

<http://www.eere.energy.gov/weatherization/> and <http://www1.eere.energy.gov> and <http://www.waptac.org>; <https://www1.eere.energy.gov>; <https://www1.energy.gov/informationcenter>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Weatherization service providers installed energy efficiency measures in the homes of qualifying homeowners free of charge. Fiscal Year 2009: Weatherization service providers install energy efficiency measures in the homes of qualifying homeowners free of charge. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. DOE requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines at <http://apps1.eere.energy.gov/weatherization/>.

**81.049 OFFICE OF SCIENCE FINANCIAL ASSISTANCE PROGRAM**

(Basic Energy Sciences; High Energy Physics; Nuclear Physics; Fusion Energy Sciences; Biological and Environmental Research; Advanced Scientific Computing Research, and Workforce Development for Teachers

and Scientists)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 ; Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 42 U.S.C. 2051; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; American Recovery and Reinvestment Act of 2009, Public Law 111-5, (Recovery Act); Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 42 U.S.C. 5817; Small Business Innovation Research Program Reauthorization Act of 2000, Public Law 106-554 ; Small Business Technology Transfer Program Reauthorization Act of 2001, Public Law 107-50.

**OBJECTIVES:**

To provide financial support for fundamental research in the basic sciences and advanced technology concepts and assessments in fields related to energy.

The application deadlines will be posted at the Grants.gov web site:

<http://www.grants.gov> or FedConnect at:

<https://www.fedconnect.net/Fedconnect/>.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, and services required for conducting research, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on grant provisions.

**Applicant Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, small businesses, and unaffiliated individuals.

**Beneficiary Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, small businesses, and unaffiliated individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-21 for institutions of higher education and OMB Circular A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal communication addressed to the Headquarters Office listed below is desirable before preparing a detailed formal application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement at the Grants.gov web site:

<http://www.grants.gov> or FedConnect at:

<https://www.fedconnect.net/Fedconnect/>

The application deadlines will also be posted at the above sites.

**Award Procedure:**

Decisions to approve are made by a Headquarters program official. A DOE procurement office is then authorized to negotiate and prepare an appropriate award document.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Normally, 6 months from receipt of grant application. Maximum, 12 months.

The application deadlines will be posted at the Grants.gov web site:  
<http://www.grants.gov> or FedConnect at:  
<https://www.fedconnect.net/Fedconnect/>.

**Appeals:**

None.

**Renewals:**

Applications for renewal are subject to review and acceptance by the Headquarters Office of Science program offices. For ongoing grant projects, renewal applications must be submitted six months prior to the grant's project period expiration date.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Usually, cost sharing is encouraged but not required. In some cases, however, cost sharing may be required by specific grant solicitation notices.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office. See the following for information on how assistance is awarded/released: No additional information is provided.

**Reports:**

No program reports are required. No cash reports are required. Typically for research projects, grantees are required to submit an annual progress report and a final report at the end of the project. The schedule of reports is arranged at the time of the negotiation. Quarterly financial status reports are required along with a final report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0222-0-1-251; 89-0224-0-1-271.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$974,311,832; FY 09 est \$1,290,000,000; FY 10 est \$1,290,000,000 - In addition to the above, it is anticipated that the following Recovery Act funds will be available: FY 09 est \$333,000,000 and FY 10 est \$50,000,000.

**Range and Average of Financial Assistance:**

\$10,000 to \$2,000,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Office of Science research programs, which complement DOE's applied missions in energy resources, environmental quality, and national security, have been at the forefront of modern scientific advances and have expanded the frontiers of basic scientific knowledge. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research projects. Student support on basic science research projects has helped to train the future scientific talent in DOE supported science areas such as materials science, chemistry, mathematics, general life sciences, geosciences, genetics, radiation biology, ecology, nuclear medicine, and high energy and nuclear

physics. Fiscal Year 2009: Office of Science research programs, which complement DOE's applied missions in energy resources, environmental quality, and national security, have been at the forefront of modern scientific advances and have expanded the frontiers of basic scientific knowledge. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research projects. Student support on basic science research projects has helped to train the future scientific talent in DOE supported science areas such as materials science, chemistry, mathematics, general life sciences, geosciences, genetics, radiation biology, ecology, nuclear medicine, and high energy and nuclear physics. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 605; 10 CFR 600; Application Guide for the Office of Science Financial Assistance Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tonja Stokes 19901 Germantown Road  
, Germantown, Maryland 20874-1290 Phone: (301) 903-2859

**Website Address:**

<http://www.science.doe.gov/production/grants/grants.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Results and accomplishments of basic research performed under these programs are reported in open scientific literature. Fiscal Year 2009: Results and accomplishments of basic research performed under these programs are reported in open scientific literature. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific and/or technical merit of the project; appropriateness of the proposed method or approach; competency of the applicant's personnel and the adequacy of proposed resources; and reasonableness and appropriateness of the proposed budget.

**81.057 UNIVERSITY COAL RESEARCH**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438; Research and Marketing Act of 1946, as amended, Public Law 85-934; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93- 577; Department of Interior and Related Agencies Appropriations for 1980, Public Law 96-126; Department of Interior and Related Agencies Appropriations for 2004, Public Law 108-108.

**OBJECTIVES:**

To improve scientific and technical understanding of the chemistry and physics involved in the conversion and utilization of coal. The primary objective is to fund long-term, high-risk, meritorious fundamental research for the advancement of science related to all Fossil Energy's coal-related programs. Through an annual solicitation, applications are sought with the potential to overcome barriers in technology development and accelerate the identification of solutions for energy and environmental problems. Solicited research should contemplate nearly total carbon closure by the year 2015 along with substantial increases in energy conversion efficiency for utilizing our nation's abundant coal resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Work must be related to program objectives. The eligibility of recipients for DOE financial assistance awards under the UCR Program is limited to U.S. universities, colleges, and university-affiliated research institutions. Projects

selected for an award must have a teaching professor as Principal Investigator or a Co-Principal Investigator.

**Applicant Eligibility:**

Only US colleges and universities can apply.

**Beneficiary Eligibility:**

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to U.S. colleges, universities, and university-affiliated research institutions. Grants awarded through the UCR Program are for maintaining and upgrading the educational, training and research capabilities of U.S. universities and colleges in the fields of science, environment, energy and technology related to coal. The involvement of professors and students generates fresh research ideas and enhances the education of future scientists and engineers. To assure the program continues to support the performance of high quality fundamental research by professors and students at U.S. colleges and universities, applications may be submitted by U.S. colleges, universities and university-affiliated research institutions provided the following criteria are met: (1) Principal Investigator or a Co-Principal Investigator listed in the application is a teaching professor at the submitting university. If this condition is met, other participants, Co-Principal Investigators or research staff, who do not hold teaching positions may be included as part of the research team; (2) Applications from university-affiliated research institutions must be submitted through the college or university with which they are affiliated; and (3) At least one student registered at that university is to receive compensation for performing research.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An environmental questionnaire is required from institutions whose applications are selected for award. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of 10 CFR 600. Proposals should be submitted through <http://www.grants.gov>.

**Award Procedure:**

Proposals reviewed by qualified experts in accordance with the factors listed in 10 CFR Chapter II, Part 600 with specific emphasis on the scientific and technical merit of the proposed research and the factors listed in the formal solicitation for proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Limited university/industry collaboration is encouraged but not required. A minimum of 25% cost sharing is required for larger sized grants that support university/industry collaboration. 10-CFR-600.3. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects awarded through the UCR Program have a performance period of 36 months and usually are funded by the Electronic Transfer System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly reports and technical progress reports containing research accomplishments and information on cost status, reported per task is required. Quarterly project Financial Cash Transaction Report is required. Quarterly project technical progress and a final report is required. Topical Reports may be submitted as appropriate. Expenditure reports are required quarterly. Performance monitoring is achieved through submission of progress reports, site visits, and the Principal Investigators are required to participate in a two day Annual Contractors Review Meeting, typically held in June.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-110, in conjunction with OMB Circular No. A-21, "Cost Principles for Education Institutions".

**Records:**

Retention of records will be required pursuant to guidelines set forth in 10 CFR 600.

**Account Identification:**

89-0213-0-1-271.

**Obligations:**

(Project Grants) FY 08 \$2,305,702; FY 09 est \$2,352,382; FY 10 est \$2,400,000

**Range and Average of Financial Assistance:**

Maximum funding for 36 month project is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A formal competitive solicitation for proposals will be issued in [month] for the fiscal year 2010 program.

**Regional or Local Office:**

None. Project Office - National Energy Technology Laboratory, P.O. Box 10940, Pittsburgh, PA 15236. Contact: Ms. Paula Flenory, Telephone (412) 386-4781.

**Headquarters Office:**

Fred Glaser, Office of Fossil Energy (FE-22), Department of Energy, Washington, District of Columbia 20585 Email: [fred.glaser@hq.doe.gov](mailto:fred.glaser@hq.doe.gov) Phone: (301) 903-2676.

**Website Address:**

<http://www.netl.doe.gov/technologies/coalpower/advresearch/>.

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, two awards were made and the remainder of funding was used to pay outstanding mortgages. Research was limited to a single broad topic: enabling advanced modeling and simulation for fuel-flexible combustors. The projects selected include:

Stanford University, Stanford, Calif., will determine the ability of simulation to capture fuel variability effects on turbines. Currently, combustor simulations are unable to predict such key features as flame stability and pollutant emissions. Such simulations are critical for optimizing turbine efficiency and minimizing emissions. The new project will resolve these problems and enable large eddy simulation (LES) to be used to optimize turbine design. The optimized turbine-engine design will aid in planning and construction of future turbines by predicting performance for new gasification-created fuels. (DOE award: \$276,264)

Virginia Polytechnic Institute, Blacksburg, Va., will determine the sensitivity of transient thermo-acoustic computational fluid dynamics simulations to poorly defined or misrepresented acoustic boundary conditions. Time-dependent experimental boundary conditions, such as combustor inlets and compressor diffusers, will be simulated and measured experimentally. The study will result in a methodology to measure these experimental boundary conditions, describe them properly in a simulation, and apply them to an analysis of a realistic combustion system. (DOE award: \$276,256). Fiscal Year 2009: In 2009, six



projects were awarded in three broad topics:

**AREA OF INTEREST: Computational Energy Sciences**

Work in this interest area will include multiphase flow research to complement ongoing NETL-funded modeling research and the development of process and equipment co-simulations of highly efficient, near-zero-emission fossil energy plants.

University of Michigan (Ann Arbor, Mich.) In collaboration with the University of Florida, University of Michigan researchers will perform a comprehensive study of horizontal gas jets injected into a two-dimensional bubbling fluidized bed of non-spherical particles. (DOE share: \$297,219)

Ohio State University (Columbus, Ohio) Ohio State researchers seeks to develop an ASPEN Plus plant model coupled with FLUENT equipment models that can accurately and conveniently simulate the operation of chemical-looping reactor systems for both chemical-looping combustion and chemical-looping gasification. (DOE share: \$299,819)

**AREA OF INTEREST: Material Science**

Research in this area of interest will focus on (1) new materials ideas and concepts that reach beyond the current state-of-the-art for fossil energy applications, and (2) the development of computational tools and simulations that will reliably predict properties of materials for fossil energy systems in advance of fabrication.

University of Texas at Dallas (Richardson, Texas) In this project, researchers will prepare novel mixed-matrix membranes based on polymer composites with nanoparticles of zeolitic imidazolate frameworks and related hybrid frameworks, and then use these membranes to evaluate separations important to coal gasification. Membrane performance will be evaluated under operating conditions defined by 2015 DOE targets. (DOE share: \$299,974)

University of Tennessee (Knoxville, Tenn.) In collaboration with Northwestern University, University of Tennessee, researchers will use modern computational tools, integrated with focused experiments, to design innovative ferritic superalloys strengthened mainly by nickel aluminidetype precipitates for advanced fossil energy systems at temperatures up to 1,033 Kelvin. (DOE share: \$300,000)

**AREA OF INTEREST: Novel Materials for Sensing or Monitoring in Extreme Environments of Fossil Energy Systems** - Projects under this topic will focus on innovations in the development of novel sensor materials and devices to measure process parameters in the corrosive, high temperature (greater than 500 degrees Celsius), high pressure (250 pounds per square inch) conditions found in fossil energy systems.

Research Foundation of SUNY, University at Albany (Albany, New York) SUNY is using a plasmonics-based, all-optical sensing technique which utilizes the optical properties of tailored nanomaterials as the sensing layer. This novel approach to gas sensing under harsh environmental conditions is much simpler than current sensor designs. Researchers seek to develop a detailed understanding of the sensing mechanism as a function of temperature and humidity and work to enhance sensor selectivity. (DOE share: \$300,000)

University of Cincinnati (Cincinnati, Ohio) In collaboration with researchers from Missouri University of Science and Technology are investigating the development of two new types of doped-ceramic nanofilm-coated optical fiber chemical sensors that will possess desired stability, sensitivity, and selectivity for rapid in situ gas detection in coal-derived syngas streams Sensors being developed through this project also includes sensors for hydrogen and hydrogen sulfide detection at temperatures above 500 degrees Celsius and pressures up to 250 pounds per square inch. (DOE share: \$299,915)  
Project descriptions are available at:  
<http://www.fossil.energy.gov/programs/powersystems/advresearch/advresearch-university.html>. Fiscal Year 2010: In 2010, 6-7 awards are anticipated to be awarded.

**CRITERIA FOR SELECTING PROPOSALS:**

Emphasis is on the scientific and technical merit of the proposed research and the factors listed as generic goals in the formal solicitation for proposals.

**81.064 OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION (OSTI)**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act of 2005 (Public Law 109-58), Section 982, Department of Energy Organization Act of 1977 (Public Law 95-91), Energy Reorganization Act of 1974 (Public Law 93-438), Atomic Energy Acts of 1946 (Public Law 79-585) and 1954, as amended (Public Law 83-703), America COMPETES Act of 2007 (Public Law 110-69), Section 1009 and Section 3191, Public Law 109-58, 42 U.S.C 5916, 7112.

**OBJECTIVES:**

To advance science and sustain technological creativity by making R&D results available, findable and useful to the Department of Energy (DOE) researchers and the public. To collect, preserve, disseminate, and leverage the scientific and technical information (STI) resources of DOE in order to provide access to national and global STI for use by DOE, the scientific research community, academia, US industry, and the public to expand the knowledge base of science and technology. To acquire domestic and international information of interest to DOE and the scientific community through partnerships with U.S. agencies and over 120 countries and international organizations.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The Scientific and Technical Information (STI) produced through DOE and its predecessor agencies includes information from the broad range of science disciplines of interest to the Energy Department mission. OSTI is the sole source of specialized collections containing results of closed-out DOE research and development projects. OSTI provides information services to DOE and DOE contractor organizations and makes Energy Department information publicly available through a suite of OSTI web tools and services. Most information services are provided electronically through databases and full-text compilations at no cost. Some collections result from partnerships with other national and international governmental agencies.

**Applicant Eligibility:**

State and local governments and universities that are DOE contractors are provided electronic access to Energy Department information in specific areas of concern. Energy information exchange agreements may be made with non-DOE affiliates, universities and other organizations involved in energy-related research. Public access to R&D documents is also available through the National Technical Information Service (NTIS) and the Government Printing Office (GPO).

**Beneficiary Eligibility:**

DOE federal employees and contractors are primary beneficiaries of DOE STI collections in their specific areas of concern. Although most web-based collections are available to the general public through official government outlets, limited-access databases contain information restricted by international exchange agreements or other access restrictions.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By written or telephone inquiry to the information contacts shown below.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

89-0230-0-1-270.

**Obligations:**

(Salaries) FY 08 \$8,700,000; FY 09 est \$8,900,000; FY 10 est \$8,900,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, OSTI introduced the DOE Data Explorer (<http://www.osti.gov/dataexplorer>) for discovering Department of Energy scientific research data wherever they reside. This data discovery tool was developed as a way to guide users to scientific research data - such as computer simulations, numeric data files, figures and plots, interactive maps, multimedia, and scientific images generated in the course of DOE-sponsored research in various science disciplines. Federal R&D Project Summaries (<http://www.osti.gov/fedrmd/>) was expanded providing full-text, single-query access to federal government research projects from the Transportation Research Board, National Aeronautics and Space Administration-funded research and lists of publications, and Department of Defense research, development, test and evaluation programs and program elements. Adopt-A-Doc (<http://www.osti.gov/adoptAdoc/>) was launched to help digitization of scientific documents for online access. People's Republic of China joined WorldWideScience Alliance the multilateral governance structure for the global science gateway, WorldWideScience.org. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Jordan, 1 Science.gov Way, Oak Ridge, Tennessee 37830 Email: [jordans@osti.gov](mailto:jordans@osti.gov) Phone: (865) 576-1194.

**Website Address:**

<http://www.osti.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.065 NUCLEAR WASTE DISPOSAL SITING**

(Consultation and Cooperation Financial Assistance)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Nuclear Waste Policy Act (NWP), Sections 116, 118, 219, 302, Public Law 97-425; Nuclear Waste Policy Amendments Act of 1987, Public Law 100-159.

**OBJECTIVES:**

For nuclear waste disposal activities to carry out the purposes of the Nuclear Waste Policy Act of 1982, Public Law 97425, as amended (NWP); to conduct appropriate activities and participate in licensing activities in accordance with the NWP.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial and technical assistance is provided by Direct Payments for Specified Uses or Project Grants (cooperative agreements) to review potential economic, social, public health and safety, and environmental impacts; develop requests for impact and mitigation assistance; engage in any monitoring, testing, or evaluation activities; provide information to the public; and request information and make comments, recommendations. Any salary or travel expense that would ordinarily be incurred by such State, political subdivision of such State, or an Indian tribe may not be considered eligible for funding under this program.

**Applicant Eligibility:**

The State of Nevada, affected units of local government, and affected Indian tribes. Designation of a unit of local government or tribe as an 'Affected Unit of Local Government' or 'Affected Tribe' is done pursuant to the NWP.

**Beneficiary Eligibility:**

States, affected units of local government and affected American Indian tribes will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A letter of inquiry describing the proposed work and eligibility of the proposer to do the work under a project grant (cooperative agreement) is desirable before preparation of a detailed formal proposal. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Neither an environmental assessment nor an environmental impact statement is required. An environmental impact statement/assessment is required for nuclear waste siting, but is not required in connection with the receipt or expenditure of these funds. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Direct Payments require no application. Applicant may omit the letter of inquiry and submit a proposal instead.

**Award Procedure:**

The proposal may be forwarded for internal and external review and then, if approved, to a DOE procurement office for grant development.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Normally 3 to 6 months for Project Grants (cooperative agreements).

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to both internal and external evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. However, cost-sharing may be appropriate under certain conditions as set forth in DOE financial assistance rules (10 CFR Part 600) governing cost-sharing.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The schedule of DOE payment is arranged at the time of grant negotiations. Length and time phasing of assistance will vary with DOE program phase and activity. See the following for information on how assistance is awarded/released: Project Grants (cooperative agreements) are awarded/released in accordance with the terms set forth in the cooperative agreement. Direct Payments are released in a lump sum.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Grantee is expected to maintain auditable records to substantiate the total costs incurred under the agreement or contract. Annual appropriation language provides, in the heading "Nuclear Waste Disposal", that notwithstanding the provisions of chapters 65 and 75 of title 31, United States Code, the Department shall have no monitoring, auditing or other oversight rights or responsibilities over amounts provided to affected units of local government in this or any previous year under this heading.

**Account Identification:**

89-5227-0-2-271.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 08 \$29,000,000; FY 09 est \$27,000,000; FY 10 est \$27,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Guidelines for Implementing Financial Assistance Programs under Section 116 and 118 of the Nuclear Waste Policy Act of 1982, as amended. 10 CFR Part 600.

**Regional or Local Office:**

None. Candice S. Trummell, Office of Civilian Radioactive Waste Management, Communications and Outreach, Las Vegas, NV 89134. Telephone: (702) 794-1322.

**Headquarters Office:**

Candice S. Trummell, 1551 Hillshire Drive, Las Vegas, Nevada 89134 Email: candice\_trummell@ymp.gov Phone: (702) 794-1322 Fax: (702) 794-5431.

**Website Address:**

<http://ocrwm.doe.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.086 CONSERVATION RESEARCH AND DEVELOPMENT**

(Conservation)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Public Law 95-911 and Public Law 97-377; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To conduct a balanced, long-term research effort in Buildings Technologies, Industrial Technologies, Vehicle Technologies, and Hydrogen and Fuel Cell Technologies. Grants will be offered on a competitive basis to develop and transfer various energy conservation technologies to the nonfederal sector. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used in the form of cooperative agreements, or grants to nonprofit institutions and organizations to develop and transfer energy conservation technologies to the scientific and industrial communities, States, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement posted on the [grants.gov](http://www.grants.gov) website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov> From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants may be modified or extended.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula, but cost

sharing is encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 2 years. See the following for information on how assistance is awarded/released: No additional information is provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As previously mentioned quarterly expenditure reports, and a final report at the conclusion of the grant time period are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0215-0-1-999; 89-0321-0-1-270; 89-0125-0-1-272; 89-0224-0-1-271.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$87,535,664; FY 09 est \$77,156,068; FY 10 est \$97,000,000 - American Reinvestment and Recovery Act Funds:

Buildings Energy Star Rebates - \$300,000,000; Solid State Lighting - \$45,600,000; Buildings Training and Development Program - \$9,500,000; Building America Energy Efficient Housing Partnership - \$25,000,000; Advanced Energy Efficient Building Technologies - \$100,000,000; Advance Battery Manufacturing - \$2,000,000,000 and Transportation Electrification - \$400,000,000; Industrial Technologies - \$266,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Numerous awards for ongoing research and development projects are made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm).

**Regional or Local Office:**

None. Golden Field Office  
1617 Cole Blvd  
Golden Colorado 80401  
(303) 275-4700  
Building Technologies (303) 275-4810  
Industrial Technologies (303) 275-4758 and Fuel Cells and Infrastructure (303) 275-4903.

**Headquarters Office:**

See above for contact information for each HQ program office 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: See above

**Website Address:**

<http://www.eere.energy.gov/> and <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants have been awarded to perform: (1) Research on high performance heat pumps; (2) research on thermally efficient commercial buildings; (3) research on vehicle technologies and systems (4) research on high temperature materials; and (5) research on industrial separation processes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.087 RENEWABLE ENERGY RESEARCH AND DEVELOPMENT**

(Renewable Energy)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Public Law 101-218; American Recovery and Reinvestment Act of 2009; Department of Energy Organization Act of 1977; Public Law 95-238, Section 207.

**OBJECTIVES:**

To conduct balanced research and development efforts in the following energy technologies: solar, biomass, hydrogen, fuel cells and infrastructure, wind and hydropower, hydrogen, and geothermal. Grants will be offered to develop and transfer to the nonfederal sector various renewable energy technologies on a competitive basis.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments. Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, and local agencies and universities may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, State and local agencies and universities will benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application due dates will be posted in the individual funding opportunity announcements posted at <http://www.grants.gov>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field

Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>  
From 60 to 180 days.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: This program has no statutory formula, but cost-sharing is encouraged.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 1 year. See the following for information on how assistance is awarded/released: No further information is available.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As described above. Quarterly expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270; 89-0224-0-1-271.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$520,145,713; FY 09 est \$292,026,610; FY 10 est \$600,000,000 - American Reinvestment and Recovery Act Funds:  
Biomass - \$800,000,000; Geothermal - \$ 400,000,000; Hydrogen - \$43,400,000; Solar - \$117,600,000; \$32,000,000 - Water and Wind - \$118,000,000.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under the State Cooperative Reservoir Analysis Program, a broad range of research, technical, and resource studies were carried out. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: American Recovery and Reinvestment Act of 2009; EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations(10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm).

**Regional or Local Office:**

None. Golden Field Office, 1617 Cole Blvd, Golden Colorado, 80401, (303) 275-4700. Solar Energy Technologies, (303) 275-4953; Wind and Hydropower, (303) 275-4905; Geothermal Technologies, (303) 275-4972; Biomass, (303) 275-4771 and Fuel Cells, (303) 275-4903.

**Headquarters Office:**

See above for contacts for each HQ program office 1000 Independence Ave, SW, Washington, District of Columbia 20585 Phone: See above

**Website Address:**

<http://www.eere.doe.gov> and <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

81.079 Regional Biomass Energy Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: American Institute of Architects Foundation-Determination of solar building technology research and development needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation laws, reports, and as otherwise specified in specific solicitation document(s).

**81.089 FOSSIL ENERGY RESEARCH AND DEVELOPMENT**

Office of Fossil Energy, Department of Energy

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Public Law 95-91 DOE Organization Act of 1977, as amended by Public Law 109-58 Energy Policy Act 2005. Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-557; Energy Policy and Conservation Act, Public Law 94-163.

**OBJECTIVES:**

The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

States, local governments, universities, governmental entities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, U.S. Territories, and individuals are eligible to apply.

**Beneficiary Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, and individuals will benefit.

**Credentials/Documentation:**

Prior successful research and development experience in the fossil energy field and related areas. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any information listed above, is subject to change. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the

specific funding opportunity announcement posted on the Grants.gov web-site: <http://www.grants.gov>. Unsolicited Proposals (USP) should be submitted in accordance with the instructions posted at the following web site: <http://www.netl.doe.gov/business/usp/USPGuide.pdf>. This program is subject to the provisions of 10 CFR 600 and FAR 15.6.

**Award Procedure:**

DOE solicitations sets forth award procedures. Unsolicited proposals will be evaluated by DOE personnel assigned to the specific area with peer reviews as required. This program is excluded from coverage under E.O. 12372.

**Deadlines:**

Oct 30, 2009: Deadlines are subject to change, please check with contact person(s) listed. None for USP. For others the deadline is stated in the financial assistance opportunity announcement (FOA) posted at <http://www.grants.gov>.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be amended or extended as required.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Varies with each grant/cooperative agreement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: TBD.

**Reports:**

TBD. TBD. Quarterly progress and financial reports are required. The final scientific/technical report is due within 90 calendar days after the grant or cooperative agreement project period ends. TBD. TBD.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by grant/assistance award document.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 08 \$400,000,000; FY 09 est \$450,000,000; FY 10 est \$450,000,000

**Range and Average of Financial Assistance:**

\$10,000 to \$10,000,000/Average:\$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Financial assistance actions were processed, including new awards and amendments. Fiscal Year 2009: Financial assistance actions were processed, including new awards and amendments. Fiscal Year 2010: Financial assistance actions are projected to be processed, which will include new awards and amendments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Assistance Regulations, 10 CFR 600; Federal Acquisition Regulation 15.6, Unsolicited Proposals; Guide to Unsolicited Proposals: <http://www.netl.doe.gov/business/usp/unsol.html>.

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance

Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. For Unsolicited Proposals, E-mail John Augustine at [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov) Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov> and <http://www.fossil.energy.gov>.

**RELATED PROGRAMS:**

81.057 University Coal Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Contact John Augustine for further information at [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov). Fiscal Year 2009: Contact John Augustine for further information at [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov). Fiscal Year 2010: TBD.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING**

Environmental Management

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 96-573, as amended by Low-Level Radioactive Waste Policy Amendments Act, Public Law 96-368; Low-Level Radioactive Waste Policy Act, Public Law 99-240; Hazardous Materials Transportation Uniform Safety Act of 1990, Public Law 101-615; Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438.

**OBJECTIVES:**

The Technology Development and Deployment program provides key investments in mid- and long- range research and development (R&D) projects focused on high priority issues related to cleanup of the Nations legacy from nuclear weapons production. These R&D projects are aimed at improving technical maturity for current baseline technologies, developing cost-effective transformational alternative technologies, and improving or providing next-generation technologies for insertion into the project baselines. The results of these R&D projects will address technology gaps and reduce technical risk and uncertainty in the EM projects. The Technology Development and Deployment Program is focused on a limited number of critical, high-risk and high-payback activities where step improvements can be gained. By realigning the project in this manner, the Department is ensuring that the activities support EM's primary goal of accelerating risk reduction and environmental cleanup. The highest priority needs requiring technical solutions for Tank Waste; Groundwater and Soils, Decontamination and Decommissioning (D&D), and Nuclear Materials.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

Public, quasi-public, private industry, individuals, groups, educational institutions, organizations, and nonprofit organizations may apply including State or local level governments, federally recognized Indian tribal governments, and institutions in U.S. Territories and possessions may apply. Determinations are made by DOE EM Headquarters or EM Field Offices, or both.

**Beneficiary Eligibility:**

States, affected Indian tribes, regional organizations, (including U.S. Territories) local governments, and the public will benefit.

**Credentials/Documentation:**

Cost will also be determined in accordance with OMB Circular No. A-21 for institutions of higher education or as otherwise defined in the financial assistance instrument. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization, or institution. Financial assistance requests will be reviewed pursuant to the Office of Environmental Management Merit Review System (May 5, 1991) and the DOE Financial Assistance Manual, as amended.

**Award Procedure:**

Award decisions may be made by DOE Headquarters throughout the fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approximate approval/disapproval time is from 2 months to 1 year.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Proposals for renewal are subject to review and acceptance by DOE Headquarters, the field, or both.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Match requirements will be determined depending upon the award. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of an award is 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. At a minimum annual progress reports are required. Frequency of progress reports will be determined at time of award. Expenditure reports will be required. The type and frequency will be determined at time of award. Performance monitoring will be determined at time of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the contract or grant period and before final close-out. The extent and frequency of audits depend on the size of the contract/grant and the specific contract/grant provisions.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement. In addition, if cost sharing is required, the grantee is also expected to maintain auditable records for the cost sharing portion of the award.

**Account Identification:**

89-0242-0-1-053; 89-0240-0-1-053.

**Obligations:**

(Cooperative Agreements) FY 08 \$26,944,500; FY 09 est \$12,572,000; FY 10 est \$4,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Development and testing of technologies for facilities D&D. Research related to use of an electrochemical process to recover sodium from radioactively contaminated alkaline wastes. Initiated project to test for materials reliability related to materials used for high level waste remediation. Fiscal Year 2009: Continued testing of technologies applicable for D&D of facilities contaminated with radionuclides. Development of technologies for treating tank waste such as use of ceramic membranes for separation of sodium. Continuation of maintaining databases and web tools for waste forecasting and for monitoring data, etc. Fiscal Year 2010: Complete studies on potentially new wasteforms for tank waste. Continue R&D for facility D&D and characterization and remediation of soils and groundwater at EM cleanup sites.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Justine Alchowiak, 1000 Independence Ave., SW , Washington, District of Columbia 20585 Email: justine.alchowiak@em.doe.gov Phone: (202) 586-4629.

**Website Address:**

<http://www.em.doe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Research must be beneficial to the overall accomplishment of the program objectives and consistent with the criteria of the EM Merit Review System (i.e., technically meritorious, qualified principal investigators, adequate facilities for conduct of the work, past experience and performance history).

**81.105 NATIONAL INDUSTRIAL COMPETITIVENESS THROUGH ENERGY, ENVIRONMENT, AND ECONOMICS**

(NICE3)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Policy Act of 1992, as amended, Public Law 102-486.

**OBJECTIVES:**

This program is in close-out. Financial assistance will not be provided in the future.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Both state and local governments benefited from these grants. Commercial firms with expertise in waste reduction and pollution prevention, large and small businesses, and others in the business of preventing pollution and energy

conserving technologies also benefited.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. NICE3 is in close-out mode. There is no appropriation for grant project funding.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation were entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects covered a period of up to 3 years with release of funding subject to work progress. Access to process implementation and efficiency data is to be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0215-0-1-250.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Funding is not available at this time.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: 202-586-3835

**Website Address:**

<http://www.eere.energy.gov>; <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.106 TRANSPORT OF TRANSURANIC WASTES TO THE WASTE ISOLATION PILOT PLANT: STATES AND TRIBAL CONCERNS, PROPOSED SOLUTIONS**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Waste Isolation Pilot Plant Land Withdrawal Act, Public Law 102-579; National Security and Military Application of Nuclear Energy Authorization Act, Public Law 96-164.

**OBJECTIVES:**

To enlist cooperation among the Tribal and the Southern, Western, Northeast, and Midwest state governments along the Waste Isolation Pilot Plant (WIPP) shipping corridors in developing plans and procedures for the safe and uneventful transportation of transuranic waste from current temporary storage facilities to the WIPP.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The participating States, tribes, and the DOE will work to develop, coordinate, and implement activities in accident prevention, emergency preparedness, and public information programs to help ensure the safe transportation of transuranic waste to the WIPP site and safe disposal operations. Financial assistance is provided to support cooperation among the tribes, the Southern, Western, Northeastern, and Midwestern states along the WIPP shipping corridors, in developing plans and procedures for the safe uneventful transportation of transuranic waste from current temporary storage facilities to WIPP. Restrictions on the use of these funds depend on the specific collaborative agreement. Applicants must meet the guidelines established by DOE.

**Applicant Eligibility:**

Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, Council of State Governments (midwest and eastern regions), and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two Midwest state governments, and two northeast state governments. The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

**Beneficiary Eligibility:**

Benefits from this program will go to DOE and the State and tribal governments located on the WIPP disposal phase shipping corridor.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This



program is excluded from coverage under OMB Circular No. A-110. After informal communication, a formal proposal by the applicants is submitted to the DOE Carlsbad Field Office. Note: All eligible parties are participating in the program and applications from others will not be accepted.

**Award Procedure:**

Decisions are made by DOE Carlsbad Field Office. Award documents are then prepared.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Schedule for DOE payments will be established during negotiations. See the following for information on how assistance is awarded/released: Schedule for DOE payments will be established during negotiations.

**Reports:**

A reporting schedule will be established during negotiations. No cash reports are required. A reporting schedule will be established during negotiations. A reporting schedule will be established during negotiations. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits will be conducted to ensure that funding is properly used. Audits will be performed at appropriate intervals depending on the duration of the project.

**Records:**

The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0242-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$3,610,000; FY 09 est \$6,124,100; FY 10 est \$6,609,000

**Range and Average of Financial Assistance:**

\$50,000 to \$2,150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funds were awarded to program participants for emergency training, equipment, and public information to support the shipment of transuranic waste to WIPP. As new transportation corridors are scheduled to open, the affected States and Indian Tribes will be funded accordingly. Fiscal Year 2009: Funds were awarded to program participants for emergency training, equipment, and public information to support the shipment of transuranic waste to WIPP. As new transportation corridors are scheduled to open, the affected States and Indian Tribes will be funded accordingly. Fiscal Year 2010: Funds are awarded to program participants for emergency training, equipment, and public information to support the shipment of transuranic waste to WIPP. As new transportation corridors are scheduled to open, the affected States and Indian Tribes will be funded accordingly.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

None. Department of Energy, Carlsbad Field Office, P.O. Box 3090, Carlsbad, NM 88221-3090. Contact: Bill Mackie, Institutional Affairs Manager, Telephone: (575) 234-7335.

**Headquarters Office:**

Mary Bisesi, Office of Environmental Management, Office of Disposal Operations, Department of Energy, Washington, District of Columbia 20585  
Phone: (301) 903-7416

**Website Address:**

<http://www.em.doe.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Details on funded projects for transportation and emergency response planning activities are contained in State and tribal work plans submitted to the Carlsbad Field Office. Fiscal Year 2009: Details on funded projects for transportation and emergency response planning activities are contained in State and tribal work plans submitted to the Carlsbad Field Office. Fiscal Year 2010: Details on funded projects for transportation and emergency response planning activities are contained in State and tribal work plans submitted to the Carlsbad Field Office.

**CRITERIA FOR SELECTING PROPOSALS:**

The awards are restricted to the entities listed in the "Applicant Eligibility" portion of this program listing. Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two mid-west State governments, and zero northeast state governments (at the current time). The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

**81.108 EPIDEMIOLOGY AND OTHER HEALTH STUDIES FINANCIAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 ; Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051;.

**OBJECTIVES:**

To provide financial support for research, education, conferences, communication, and other activities relating to the health of Department of Energy workers, as well as other populations potentially exposed to health hazards associated with energy production, transmission, and use.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on award provisions. Support is provided for work in such areas as the health experience of DOE and DOE contractor workers; health experience of populations living near DOE facilities; health experience of workers exposed to toxic substances; use of biomarkers to recognize exposure to toxic substances; conduct of epidemiologic and other health studies relating to energy production, transmission, and use (including electromagnetic fields) in the United States and abroad; compilation, documentation, management, use, and analysis of data for the DOE Comprehensive Epidemiologic Data Resource; and other systems or activities enhancing these areas, as well as other program areas as may be described by notice published in the Federal Register.

**Applicant Eligibility:**

Colleges and universities, businesses, and nonprofit institutions may apply.

**Beneficiary Eligibility:**

Colleges and universities, businesses, and nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A formal application by the principal investigator interested in doing the work is required. If submitted on behalf of an institution, the application should be sent through the appropriate administrative official. In the case of any competitive solicitations issued under this program, the application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site at <http://www.grants.gov/>.

**Award Procedure:**

Decisions to approve are made by the Headquarters Program Director. DOE procurement offices are then instructed to negotiate and prepare an appropriate award document.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Normally 6 months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 60 to 90 days. Proposals for renewal are subject to review and acceptance by the Headquarters Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The schedule of DOE payments is arranged at the time of award. See the following for information on how assistance is awarded/released: Incrementally funded unless full funding is available.

**Reports:**

No program reports are required. No cash reports are required. Monthly progress/status reports detailing monthly activities are required. Monthly expenditure reports detailing accrued costs are required. Performance shall be monitored and details provided in the monthly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is expected to maintain records required to audit or otherwise substantiate costs incurred under the grant.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Project Grants) FY 08 \$18,000,000; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Results and accomplishments of basic research and training performed under these programs are reported in open scientific literature. The research and training supported by these awards will help train future scientific talent in epidemiology and other health related issues. Fiscal Year 2009: Results and accomplishments of basic research and training performed under these programs are reported in open scientific literature. The research and training supported by these awards will help train future scientific talent in epidemiology and other health related issues. Fiscal Year 2010: Results and accomplishments of basic research and training performed under these programs are reported in open scientific literature. The research and training supported by these awards will help train future scientific talent in epidemiology and other health related issues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 602. Guidelines and current program announcements are included in application kits. See also doing business website located at [www.pr.doe.gov/](http://www.pr.doe.gov/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron W. Barnes, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [ron.barnes@eh.doe.gov](mailto:ron.barnes@eh.doe.gov) Phone: (301) 903-1244.

**Website Address:**

<http://www.hss.energy.gov/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Several cooperative agreements were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108. Fiscal Year 2009: Several cooperative agreements were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108. Fiscal Year 2010: Several cooperative agreements were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108.

**CRITERIA FOR SELECTING PROPOSALS:**

The scientific and technical merit of the proposed research, appropriateness of the proposed method or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors set forth in a Notice of Availability or in a specific solicitation.

**81.112 STEWARDSHIP SCIENCE GRANT PROGRAM**

(Defense Science)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

- (1) To grow the U.S. scientific community through university involvement in areas of fundamental science and technology relevant to stockpile stewardship;
- (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories;
- (3) to train scientists in

specific areas of long-term research relevant to stockpile stewardship; (4) to increase the availability of unique experimental facilities sited at NNSA's laboratories to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship; and (5) to develop and maintain a long-term recruiting pipeline to NNSA's laboratories by increasing the visibility of NNSA's Defense Program's scientific activities to the U.S. faculty and student communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for basic and applied research in the field of physical science in support of the DOE stockpile stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring an idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Some solicitations are open to institutions of higher education only.

**Applicant Eligibility:**

Some solicitations are open to institutions of higher education only and others include nonprofit organizations and for profit commercial organizations. See individual funding opportunity announcements for details on eligibility.

**Beneficiary Eligibility:**

Depending upon the eligibility requirements of the individual solicitation, U.S. public and private institutions of higher education and/or nonprofit organizations and for profit commercial organizations will benefit. The Federal government will also benefit from the research of these grants.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov/>.

**Award Procedure:**

Proposals will be screened for stewardship relevance and then reviewed for scientific and technical merit by qualified individuals. The review and selection process for each funding opportunity are included in the solicitation. Decisions to approve are made by a Headquarters program official within the Program Office. Selected proposals will be forwarded to the NNSA Albuquerque Service Center for grant development, negotiation and award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for two-year or three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office. Cooperative Agreements typically have five-year project periods and are funded one year at a time. See the following for information on how assistance is awarded/released: The NNSA Service Center will make determination of method of funding release at the time of award.

**Reports:**

No program reports are required. SF245 quarterly. Progress Reports annually. No expenditure reports are required. Performance monitoring is required for Cooperative Agreements.

**Audits:**

No audits are required for this program.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$94,662,587; FY 09 est \$80,960,000; FY 10 est \$90,000,000

**Range and Average of Financial Assistance:**

grants \$50,000 - \$750,000 per year  
Cooperative agreements \$1,000,000-\$55,000,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2009: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2010: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 600, Federal Statutes, OMB Circulars, and other Government-wide guidance implementing 10 CFR 600, DOE Acquisition Policy and Guidance, DOE Guide to Financial Assistance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Terri Lynn Batuyong, 1000 Independence Avenue, SW , Washington, District of Columbia 20585 Email: [terri.batuyong@nnsa.doe.gov](mailto:terri.batuyong@nnsa.doe.gov) Phone: (202) 586-9342. Fax: (202) 586-8005

**Website Address:**

<http://www.nnsa.energy.gov/dsup>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: For current and past awards please visit <http://www.nnsa.energy.gov/dsup>. Fiscal Year 2009: For current and past awards please visit <http://www.nnsa.energy.gov/dsup>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope; (2) Scientific/technical merit of the project, including innovativeness and originality; (3) Expected impact on the area of technical scope addressed; (4) Consistency with the objective of this academic alliances program to focus on advanced experimental investigations; (5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) For projects currently receiving funding under this program, the quality and scientific impact of recent results and accomplishments; (8) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex. Generally, a higher degree of interaction both quantitatively and qualitatively is considered desirable; (9) Leverage provided by cost sharing with other funding sources.

### **81.113 DEFENSE NUCLEAR NONPROLIFERATION RESEARCH**

Defense Nuclear Nonproliferation Research

#### **FEDERAL AGENCY:**

Department of Energy

#### **AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189, 103 Stat. 1684, 42 U.S.C. 2051; , Section 3157, 1684 Stat. 42, 2051 U.S.C ; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817, Title I, Section 107, 1240 Stat. 42, 5817 U.S.C ; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; , 7101 U.S.C , as amended by Public Law 106-65; National Defense Authorization Act of 2000.

#### **OBJECTIVES:**

To conduct basic and applied research and development that enhances U.S. national security and reduces the global danger from the proliferation of weapons of mass destruction and special nuclear materials through needs-driven research and development. The emphasis is on developing the requisite technologies to detect and deter nuclear proliferation and to meet U.S. nuclear detonation detection goals. Research focuses on advanced detection systems and concepts to support current and future USG policies.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

#### **USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, supplies, equipment, travel, publication costs, services required for conducting nonproliferation research and development to reduce the global danger from the proliferation of weapons of mass destruction. Construction or related costs are not allowed under these project grants. All work must comply with export control regulations.

#### **Applicant Eligibility:**

Universities (public and private), institutions of higher education with postdoctoral programs, and nonprofit non-government organizations (public and private) whose activities benefit the general public through results which are available to the National Nuclear Security Administration (NNSA), other U.S. government agencies, and universities and institutions of higher learning may apply.

#### **Beneficiary Eligibility:**

The NNSA, other U.S. government agencies, universities and institutions of higher learning will benefit.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher learning. For Non-government organizations, Costs will be determined in accordance with OMB Circular No. A-122 . This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The NNSA Service Center in Albuquerque, New Mexico issues Broad Agency Announcements (BAAs) under which formal applications may be submitted by a scientist or principal investigator who will conduct or lead the research team. The BAAs will be posted to Grants.gov which can be accessed at: <http://www.grants.gov>

#### **Award Procedure:**

Evaluations will be conducted by technical staff assigned to the Office of Nonproliferation Research and Development or at the DOE national laboratories. Final decisions for approval are made by the cognizant program director. DOE/NNSA Procurement is then instructed to negotiate and prepare the grant award documents. Program management responsibilities may be delegated as a whole or in part to the NNSA Service Center or NNSA Site Offices.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadlines will be provided in the individual BAAs posted at Grants.gov.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Grants will be modified and extended as required. Renewals are subject to an annual review by the Headquarters and/or NNSA Service Center.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The grant period is for up to 3 years depending upon available appropriations. The schedule of payments is arranged at the time of award, but it is expected under the Integrated University Program that proposals will be fully funded for their three year lifecycles in one lump sum. See the following for information on how assistance is awarded/released: Depending on the program some can be awarded lump sum or incrementally funded.

#### **Reports:**

No program reports are required. Cash reports are not applicable. Quarterly Progress reports, and final reports are required. Also progress is reported annually at the University Industry Technical Interchange meeting for the life of the project. In the first year creation of a poster for project presentation is required and formal presentations are required thereafter. All projects are subject to this audit process. Expenditure reports are not applicable.

Independent performance and merit reviews are required in the second year of the lifecycle. All projects are subject to this audit process.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

None.

#### **Account Identification:**

89-0243-0-1-053.

#### **Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$38,715,862; FY 09 est \$25,347,817; FY 10 est \$10,000,000

#### **Range and Average of Financial Assistance:**

The expected range of Awards is approximately \$200k to \$999k for the lifecycle of the project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The results and accomplishments from basic and applied research and development performed under these grants are reported in the open scientific literature. University research may be integrated with ongoing research and development programs at the DOE national laboratories which will facilitate access to and use of special facilities and equipment. The objective of these grants is to advance the state of knowledge on science and technology. The final product may lead to improved or new commercial products to ensure availability to the U.S. arms control and nonproliferation community. In 2008 there were 20 grants awarded, which all were fully funded. Fiscal Year 2009: The results and accomplishments from basic and applied research and development performed under these grants are reported in the open scientific literature. University research may be integrated with ongoing research and development programs at the DOE national laboratories which will facilitate access to and use of special facilities and equipment. The objective of these grants is to advance the state of knowledge on science and technology. The final product may lead to improved or new commercial products to ensure availability to the U.S. arms control and nonproliferation community. In 2009 there were an additional 7 grants awarded and fully funded. Fiscal Year 2010: The results and accomplishments from basic and applied research and development performed under these grants are reported in the open scientific literature. University research may be integrated with ongoing research and development programs at the DOE national laboratories which will facilitate access to and use of special facilities and equipment. The objective of these grants is to advance the state of knowledge on science and technology. The final product may lead to improved or new commercial products to ensure availability to the U.S. arms control and nonproliferation community. We expect 15 grants to be awarded and fully funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Code of Federal Regulations (CFR); 10 CFR 600 and OMB Circulars

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivy D. Martin, 1000 Independence Ave SW, Washington , District of Columbia 20585 Email: ivy.martin@hq.doe.gov Phone: (202) 586-2246 Fax: (202) 586-2246.

**Website Address:**

<http://www.nnsa.doe.gov/na-20>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants have been awarded to conduct research on: (1) Hyperspectral data analysis techniques (2) improved materials and methods for gamma-ray and neutron detection (3) seismic research to improve detection, location, and discrimination of nuclear detonations. Fiscal Year 2009: Grants have been awarded to conduct research on: (1) Remote Sensing data analysis techniques (2) improved materials and methods for gamma-ray and neutron detection (3) alternatives to radiation sources for medical and industrial processes (4) safeguard technologies , and (5) simulation and algorithm science related to nonproliferation. Fiscal Year 2010: Grants will be awarded to conduct research on: (1) Remote Sensing data analysis techniques (2) improved materials and methods for gamma-ray and neutron detection (3) alternatives to radiation sources for medical and industrial processes (4) safeguard technologies , and (5) simulation and algorithm science related to nonproliferation.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 2) quality of the proposed research plan, and 3) proposed schedule, budget and available resources.

**81.117 ENERGY EFFICIENCY AND RENEWABLE ENERGY INFORMATION DISSEMINATION, OUTREACH, TRAINING AND**

**TECHNICAL ANALYSIS/ASSISTANCE**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Reorganization Act of 1974, 42 U.S.C. 5813(6)(7)(8), 42 U.S.C 5813 (6-8); Energy Policy Act 1992 , 42 U.S.C 13231; Department of Energy Organization Act of 1977, 42 U.S.C 712.

**OBJECTIVES:**

The Department of Energy (DOE) seeks to provide financial assistance for information dissemination, outreach, training and related technical analysis/assistance which will: (1) stimulate increased energy efficiency in transportation, buildings, industry and the Federal sector and encourage increased use of renewable and alternative energy; and (2) accelerate the adoption of new technologies to increase energy efficiency and the use of renewable and alternative energy through the competitive solicitation of applications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives as described in a single competitive solicitation or multiple competitive solicitations. The solicitation(s) will provide funding in various program areas within the Office of Energy Efficiency and Renewable Energy: Solar, Wind and Hydropower, Geothermal, Biomass, Industrial Technologies, FreedomCAR, Building Technologies, Weatherization and Intergovernmental, Federal Energy Management Program, and the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy. Restrictions on use of funds depend on the provisions of the specific project agreement.

**Applicant Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities may apply. DOE Laboratories are not eligible.

**Beneficiary Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>. A separate application must be submitted for each DOE Energy Efficiency and Renewable Energy (EERE) Program Area of Interest.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. Objective Merit Review Committees will evaluate applications based on the evaluation criteria set forth in the competitive solicitation. After the Merit Review Committee has completed its evaluations, an EERE Office Director or other Program Official will evaluate the applications against program policy factors set forth in the competitive solicitation. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. None.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of awards varies among the Program Areas of Interest and ranges from 6 months to 5 years. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual reporting is required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and before final close-out.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0215-0-1-272; 89-0224-0-1-271.

**Obligations:**

(Project Grants) FY 08 \$39,682,020; FY 09 est \$24,367,510; FY 10 est \$45,000,000

**Range and Average of Financial Assistance:**

Vary.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

None. EERE Information Center (877) 337-3463.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [latonya.poole@ee.doe.gov](mailto:latonya.poole@ee.doe.gov) Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>; <http://www1.eere.energy.gov>; <https://www1.energy.gov/informationcenter>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review recommendation, program policy factors, the amount of funds available, provisions of appropriation law and reports and as otherwise specified in the solicitation document.

**81.119 STATE ENERGY PROGRAM SPECIAL PROJECTS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy and Conservation Act, Title III, Part C, Section 361-366, Public Law 163-94, 42 U.S.C 6321-6326; National Energy Conservation Policy Act of 1978, Public Law 95-619, Public Law 619-95; Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101, Public Law 91-95, 42 U.S.C 7101; Balanced Budget Down Payment Act II of 1996, Public Law 134-104.

**OBJECTIVES:**

To allow States to submit proposals to implement specific Department of Energy (DOE) Office of Energy Efficiency and Renewable Energy deployment activities and initiatives as Special Projects under the State Energy Program. States will compete for funding to implement activities relating to a number of programmatic areas such as building codes and standards, alternative fuels, industrial efficiency, building efficiency, and solar and renewable technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, and supplies, equipment, travel, publication costs, and services required for implementing the activities described in the application.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands may apply.

**Beneficiary Eligibility:**

States and their project partners will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact within the State for more information on the process the State requires to be followed in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by staff of the Office of Energy Efficiency and Renewable Energy end-use sectors participating in the annual solicitation. Final decisions to approve are made by Assistant Secretary Office of Energy Efficiency and Renewable Energy. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines are set forth in the solicitation.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing is not required however strongly encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Vary. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs will be verified and subject to audit according to standard government practice and in accordance with OMB Circular No A-102.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0215-0-1-270.

**Obligations:**

(Project Grants) FY 08 \$6,870,063; FY 09 est \$0; FY 10 est \$0 - Funding is not available at this time.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program requirements issued in Federal Register prior to actual invitation and solicitation to the States.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: 2025863835

**Website Address:**

[http://www.eere.energy.gov/state\\_energy\\_program/](http://www.eere.energy.gov/state_energy_program/) and

<http://www1.eere.energy.gov>.

**RELATED PROGRAMS:**

81.041 State Energy Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the annual solicitation.

**81.122 ELECTRICITY DELIVERY AND ENERGY RELIABILITY, RESEARCH, DEVELOPMENT AND ANALYSIS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Superconductivity and Competitiveness Act of 1988, Public Law 100-697; Energy Independence and Security Act of 2007 (EISA), Public Law 110-140; Energy Tax Act of 1978, Public Law 95-618; American Recovery and Reinvestment Act of 2009 (ARRA); Public Law 111-5 ; Energy Security Act of 1980, Public Law 96-294; Energy Policy Act of 1992 (EPACT), Public Law 102-486; Energy Policy Act of 2005 (EPACT), Public Law 109-58; Department of Energy Organization Act of 1977, as amended, Public Law 95-91.

**OBJECTIVES:**

Through research, development, demonstration, technology transfer, and education and outreach activities, lead national efforts to modernize the electric grid; enhance security and reliability of the energy infrastructure; and mitigate the impact of, and facilitate recovery from, disruptions to the energy supply. Develop cost-effective technology that enhances the reliability, efficiency, and resiliency of the electric grid, while enabling the effective utilization of emerging and renewable generation sources and promoting the rapid deployment and integration of advanced digital "Smart Grid" technology that is needed to modernize the nations electric delivery network for enhanced operational intelligence and connectivity.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance provided as cost-shared cooperative agreements or grants to nonprofit and profit institutions and organizations to develop, demonstrate and transfer technologies or information developed to utilities, energy companies, energy regulators, state and local governments and other stakeholders. ARRA funding includes the Smart Grid Investment Grant Program, Smart Grid Demonstration program, Workforce Training, and State and Local Government Assistance.

**Applicant Eligibility:**

All types of domestic entities are eligible to apply, such as profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments. Not eligible are Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by DOE and required by 10 CFR Part 600 must be used to apply for financial assistance, as further specified in competitive solicitation(s). The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web site: <http://www.grants.gov/>.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by the Office of Electricity Delivery and Energy Reliability personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Operations Offices and technical experts. Final decisions will be made by the Assistant Secretary, Office of Electricity Delivery and Energy Reliability.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements may be modified or extended.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: As Specified under Section 988 of the Energy Policy Act of 2005 and EISA, with exceptions, a minimum of 20% cost share is required for research and development. A minimum of 50% is required for demonstration. Higher cost share may be requested. The Smart Grid Investment Grant Program provides grants of up to 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for up to five years, as specified in the solicitation. See the following for information on how assistance is awarded/released: To be determined.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly progress and a final report at the conclusion of the grant or cooperative agreement time period. Expenditure reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly expenditure reports and a final report at the conclusion of the grant or cooperative agreement time period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0318-0-1-999 - OE Annual Appropriations; 89-0328-0-1-999 - OE ARRA ; 89-0224-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$38,605,751; FY 09 est \$27,491,427; FY 10 est \$95,000,000 - Annual Appropriations. (Project Grants (Cooperative Agreements)) FY 08 not reported.; FY 09 est \$84,596,387; FY 10 est \$4,355,000,000 - Recovery Act Appropriations.

**Range and Average of Financial Assistance:**

FY 08 award obligations ranged from \$50,000 to \$5,200,000 , with the average at \$965,000. FY09 award obligations from annual appropriations ranged from \$140,000 to \$5,200,000, with the average at \$785,000. FY09 ARRA award obligations ranged from \$250,000 to \$8,100,000, with the average at \$1,414,000. FY10 award obligations for annual appropriations are expected to be similar. Over the life of the awards, Smart Grid Investment Grant Program awards range from: \$300,000 to \$200,000,000; Smart Grid Demonstration awards have no specified floor or ceiling, but it is anticipated that awards will range from \$25M to \$100M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 nine cooperative agreements were competitively awarded to increase efficiency in the nation's electricity grid under the Renewable and Distributed Systems Integration. Fiscal Year 2009: In FY 2009 51 new awards were made from ARRA funds, and 17 new awards were made from annual appropriations. Fiscal Year 2010: In FY 2010, approximately

\$60,000,000 in new solicitations are scheduled to be awarded in the areas of Power Electronics, Advanced Control Methods, Cyber Security and Energy Storage.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: Office of Electricity Delivery and Reliability homepage, at <http://www.oe.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

None. National Energy Technology Laboratory: <http://www.netl.doe.gov>.

**Headquarters Office:**

Office of Electricity Delivery and Energy Reliability 1000 Independence Ave SW, Washington, District of Columbia 20585 Phone: 202-586-1411

**Website Address:**

<http://www.oe.energy.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects awarded in FY 2008 under Renewable and Distributed Systems Integration include research and development activities to improve the security of controls systems for energy delivery and increase the use of distributed generation during peak load periods (<http://www.energy.gov/news/6170.htm>). Fiscal Year 2009: ARRA awards in FY09 focused on improving State Energy Assurance planning, and were individually awarded to states. Awards from annual appropriations funded work including from research and development of microgrids, advanced synchrophasor research and the development of early warning systems and adaptive protection. Fiscal Year 2010: FY 2010 annual appropriations will be awarded to support planned new awards in Power Electronics, Clean Energy Transmission Reliability, Cyber Security and Energy Storage research and development. Remaining ARRA funds will be awarded for the Smart Grid Investment Grant Program, Smart Grid Demonstrations, Workforce Training and Local Government Energy Assurance Initiatives.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection is based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.123 NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTIONS (MSI) PROGRAM (NNSA)****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189; 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Nuclear Security Administration Act, Public Law 106-65, as amended; Consolidated Appropriations Act, 2005, Public Law 108-447; Energy and Water Development Appropriations Act, 2006, Public Law 109-103; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5, as amended; Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended; Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended; Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended.

**OBJECTIVES:**

To engage minority serving institutions (MSIs) in NNSA mission activities, collaborative research projects throughout the NNSA complex, and future



workforce development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, stipends, materials and supplies, equipment, travel, publication and training costs, and services required for conducting research, training, and related activities. Funding is provided for the purpose of exploring an idea that does not duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Restrictions on the use of funds depend on grant provisions.

**Applicant Eligibility:**

Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs) and non-profit institutions servicing HBCUs, HSIs and TCUs.

**Beneficiary Eligibility:**

The general public, scientists, researchers, student/trainee, graduate students, institutions of higher learning, NNSA, and other US government agencies will benefit. Middle and high school will also benefit due to the institutions of higher learning's programs supported by NNSA.

**Credentials/Documentation:**

Documentation for indirect cost rates and any other documentation required by 2CFR. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms and instructions are available upon request from the Associate Administrator for Management and Administration Office; phone: (202) 586-6174.

**Award Procedure:**

NNSA technical staff conduct evaluations in accordance with the Code of Federal Regulations (CFR) Part 2. If the proposal meets the pre-established CFR criteria, then a grant is awarded.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The range is from 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Grants will be modified or extended as required. Renewals are subject to an annual review by the NNSA Headquarters and/or Operations' program offices.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula or matching funds requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grant period ranges from 1 to 5 years depending upon available appropriations. Expenditure of funds is allowed during the budget period specified in the grant document. The payment type and schedule are arranged at the time of award. Funding is provided to the grantee on a reimbursable basis. See the following for information on how assistance is awarded/released: reimbursement.

**Reports:**

Activity status, property, and financial reports are due on a quarterly basis.

Standard Form 425 is completed and submitted on a quarterly basis. The grantee completes the SF-425 to specify the cumulative cash receipts, disbursements and on-hand balance. Quarterly Progress reports indicative of the progress made, planned activity and estimated expenditures for the subsequent quarters are required. A quarterly expenditure report specifying expenses for the quarter, cumulative expenditures and on-hand balance. Progress reports are monitored to measure grantee's progress and expenditures are monitored to ensure that there is a correlation between work performed and expenditures.

**Audits:**

Not Applicable.

**Records:**

The grantee is required to maintain auditable records in accordance with CFR Part 2 Subpart 215.53.

**Account Identification:**

89-0299-0-1-050.

**Obligations:**

(Project Grants) FY 08 \$27,623,110; FY 09 est \$27,829,360; FY 10 est \$13,700,000

**Range and Average of Financial Assistance:**

Grant awards range from \$250K to \$4.7M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Minority institutions' faculty and students are (1) conducting valuable research in support of the NNSA mission requirements, (2) collaborating with Lawrence Livermore National Laboratory on research projects, (3) educating students to become nuclear engineers, (4) participating in summer internships around the NNSA complex and (5) forming collaborative partnerships among the participating institutions and other majority of institutions of higher education. Fiscal Year 2009: Minority institutions' faculty and students are (1) conducting valuable research in support of the NNSA mission requirements, (2) collaborating with Lawrence Livermore National Laboratory on research projects, (3) educating students to become nuclear engineers, (4) participating in summer internships around the NNSA complex and (5) forming collaborative partnerships among the participating institutions and other majority of institutions of higher education. From FY 05 to present, NNSA has awarded 43 financial assistance awards to more than 25 Minority Serving Institutions (MSIs) totaling over \$90,000,000 (includes \$27.8M awarded in Fiscal Year 2009). Fiscal Year 2010: Fiscal Year 2010 funds will be utilized to fund existing grants. However, subject to the availability of funds, new awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CFR Part 2.

**Regional or Local Office:**

None.

**Headquarters Office:**

Malika S. Hobbs, National Nuclear Security Administration, 1000 Independence Avenue S.W. , Washington, District of Columbia 20585 Email: malika.hobbs@nnsa.doe.gov Phone: (202) 586-6174 Fax: (202) 586-6971.

**Website Address:**

<http://www.nnsa.doe.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process is based on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 4) quality of the proposed research plan; 5) proposed schedule, budget and available resources.

**81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM**

Office of Advanced Simulation and Computing (ASC)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

(1) To foster the science of building integrated, multi-scale, and multi-physics codes with the primary focus on code validation and verification to help advance the newly emergent predictive science in academia; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) and to train scientists in specific areas of long-term research relevant to DOE stockpile stewardship.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for applied research in the field of computational science in support of the DOE NNSA Stockpile Stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring a research idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. See the Minimum Requirements in the FOA.

**Applicant Eligibility:**

Only U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

**Beneficiary Eligibility:**

Only U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov>.

**Award Procedure:**

Proposals will be screened for ASC programmatic relevance and then reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the ASC office, Defense Programs, NNSA, and selected proposals will be forwarded to the NNSA Service Center in Albuquerque, NM, for grant development and award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. See individual opportunity announcements at <http://www.grants.gov> for deadlines for each specific announcement.

**Appeals:**

From 90 to 120 days.

**Renewals:**

Applications for annual renewal are subject to review and acceptance by the

NNSA Office of Advanced Simulation and Computing.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 10.0%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The NNSA cooperative award assistance is available for total of 5 project-year time window, subject to approval of annual renewals. The annual funding should be expended within the allocated timeframe, with 10% allowed for carryover to the next fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program reports are required. Quarterly submissions of SF-272 are required. Quarterly technical progress reports are required. No expenditure reports are required. Annual technical reviews by external review panels are performed.

**Audits:**

No audits are required for this program.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

(Project Grants) FY 08 \$7,500,000; FY 09 est \$16,000,000; FY 10 est \$17,000,000

**Range and Average of Financial Assistance:**

\$17M for each award for 5 project years ranging from mid-FY08 to mid-FY13, with \$3.4 M as the average annual award amount.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thuc Hoang 1000 Independence Ave. SW.

, Washington, District of Columbia 20585 Email: [thuc.hoang@nnsa.doe.gov](mailto:thuc.hoang@nnsa.doe.gov)

Phone: 2025867050

**Website Address:**

<http://www.sandia.gov/NNSA/ASC/univ/psaap.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The 5 funded PSAAP Centers are listed below:

- California Institute of Technology: The Center for the Predictive Modeling and Simulation of High-Energy Density Dynamic Response of Materials

- University of Michigan: The Center for Radiative Shock Hydrodynamics (CRASH)

- Purdue University: The Center for Prediction of Reliability, Integrity and Survivability of Microsystems (PRISM)

- Stanford University: The Center for Predictive Simulations of Multi-Physics Flow Phenomena with Application to Integrated Hypersonic Systems

- University of Texas at Austin: The Center for Predictive Engineering and Computational Sciences (PECOS). Fiscal Year 2009: See above list. Fiscal Year 2010: See above list.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope called forth in the call for application; (2) Scientific/technical merit of the project; (3) Expected impact on the proposed area of research activity; (4) Consistency with the objective of this academic alliances program to focus on advanced computational science

investigations; (5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex; (8) Leverage provided by cost sharing by applicant and with other funding sources.

## **81.126 FEDERAL LOAN GUARANTEES FOR INNOVATIVE ENERGY TECHNOLOGIES**

Loan Guarantee Program Office (LGPO) or Advanced Technology Vehicles Manufacturing Loan Program (ATVM)

### **FEDERAL AGENCY:**

Department of Energy

### **AUTHORIZATION:**

Energy Policy Act of 2005, PL 109-58, 119 Stat 1117-1122, Title XVII, 42 USC 15801; August 8, 2005. Energy Independence and Security Act of 2007, PL 110-140, Section 136.

### **OBJECTIVES:**

To encourage, through the use of Federal loan guarantees, early commercial use in the United States of new or significantly improved technologies in energy projects that; 1) avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and (2) employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued. (42 U.S.C. 16513(a)). Also, under section 1705, guarantees can be made for rapid deployment of certain renewable and electric transmission projects. For ATVM, issue loans to automobile and part manufacturers for cost of re-equipping, expanding, or establishing manufacturing facilities in the United States to produce advanced technology vehicles or qualified components, and for engineering integration costs.

### **TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

### **USES AND USE RESTRICTIONS:**

The assistance provides Federal loan guarantees for technologies that avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued and which provide a reasonable assurance of repayment. Further Program information may be found at <http://www.lgprogram.energy.gov>.

Projects that may be eligible for a loan guarantee include: Renewable energy systems including wind, photovoltaics, biomass and hydropower projects; Advanced fossil energy technology including gasification, integrated gasification combined cycle, industrial gasification, petroleum coke gasification and coal to oil liquefaction projects; Efficient end use technologies; Hydrogen fuel cell technology for residential, industrial, or transportation applications; Advanced nuclear energy facilities; Carbon capture and sequestration practices and technologies, including agricultural and forestry practices that store and sequester carbon; Efficient electrical generation, transmission, and distribution technologies; Efficient end-use energy technologies; Production facilities for fuel efficient vehicles, including hybrid and advanced diesel vehicles; Pollution control equipment; and Refineries, meaning facilities at which crude oil is refined into gasoline. For ATVM, issue loans to automobile and part manufacturers for cost of re-equipping, expanding, or establishing manufacturing facilities in the United States to produce advanced technology vehicles or qualified components, and for engineering integration costs. See above. The term of an obligation shall require full repayment of principle and interest on the Guaranteed Obligations and other project debt over a period of up to the lesser of 30 years or 90 percent of the projected useful life of the project's major physical assets as calculated in accordance with generally accepted accounting principles and practices. The tenor of ATVM loans varies from project to project.

### **Applicant Eligibility:**

Any corporation, company, partnership, association, society, trust, joint venture, joint stock company, or governmental nonfederal entity, that has the authority to enter into, and is seeking, a loan guarantee for a loan or other debt obligation of an Eligible Project. For ATVM loans, automobile manufacturers and parts suppliers are potential recipients. See the [www.atvmloan.energy.gov](http://www.atvmloan.energy.gov) website for details.

### **Beneficiary Eligibility:**

Small businesses, profit organizations, quasi-public nonprofits, public institutions and interstate, intrastate, State and local governments will benefit from the loan guarantee program. For ATVM, DOE has promulgated regulations defining the eligibility requirements for automobile manufacturers which are available on the [www.atvmloan.energy.gov](http://www.atvmloan.energy.gov) website.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures for a Department of Energy Title XVII loan guarantee are unique to each solicitation issued by the Department. Potential applicants should only apply for a loan guarantee under the specific funding opportunity announcement posted on the Federal Government website at <http://www.fedconnect.net>. For additional information, see final regulations, 10 CFR Part 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, published on October 23, 2007. For ATVM loans, the application procedure is also detailed in each solicitation. See the [www.ATVMloan.energy.gov](http://www.ATVMloan.energy.gov) website for details.

### **Award Procedure:**

Award Procedures are identified in the individual solicitations for both LGPO and ATVM.

Except for division C of Public Law 108-324, the Secretary shall make guarantees or loans under this or any other Act for projects on such terms and conditions as the Secretary determines, after consultation with the Secretary of the Treasury.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

The Ranges of approval/disapproval times are identified in individual solicitations.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: For the LGPO and Section 1703 guarantees, this is a "self-pay" program. Applicants will pay the subsidy costs as determined by the credit subsidy calculation. Also, fees will be charged to recover DOE's administrative costs in managing the Loan Guarantee Program. A fee schedule will be determined. No guarantee shall be made unless: (1) an appropriation for the cost has been made; or (2) the Secretary has received from the borrower a payment in full for the cost of the obligation and deposited the payment into the Treasury. (42 U.S.C. 16512.) Section 1705 guarantees have appropriated funds for the credit subsidy but applicant's and awardees are subject to additional fees during the application process and after award. See the solicitations at [www.lgprogram.energy.gov](http://www.lgprogram.energy.gov) for details. For ATVM Section 136 loans, there is no self pay for credit subsidy. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of an obligation shall require full repayment of principle and interest on the Guaranteed Obligations and other project debt over a period of up to the lesser of 30 years or 90 percent of the projected useful life of the project's major physical assets as calculated in accordance with generally accepted accounting principles and practices. Tenor may be less for the ATVM loans. See the following for information on how assistance is awarded/released: Except for division C of Public Law 108-324, the Secretary shall make guarantees or loans under this or any other Act for projects on such terms and conditions as the Secretary determines, after consultation with the Secretary of the Treasury.

**Reports:**

No program reports are required. The terms and conditions for each loan or guarantee will contain a schedule of all required reports. This includes any ARRA Section 1512 reporting requirements. The terms and conditions for each loan or guarantee will contain a schedule of all required reports. The terms and conditions for each loan or guarantee will contain a schedule of all required reports. The terms and conditions for each loan or guarantee will contain a schedule of all required reports and performance monitoring.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Costs incurred are subject to audit throughout the guarantee period and before final close-out. The extent and frequency of audits depend on the size of the guarantee and the specific guarantee provisions. Similar provisions apply to any ATVM loans.

**Records:**

A recipient of a guarantee or loan shall keep such records and other pertinent documents as the Secretary shall prescribe by regulation, including such records as the Secretary may require to facilitate an effective audit. The Secretary and the Comptroller General of the United States, or their duly authorized representatives, shall have access, for the purpose of audit, to the records and other pertinent documents.

**Account Identification:**

89-0224-0-1-251; 89-0224-0-1-271; 89-0208-0-1-271 - Title 17, Innovative Technology Loan Guarantee Program, Recovery Act.

**Obligations:**

(Guaranteed/Insured Loans) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - In addition to our FY09 authority, the Loan Guarantee Program will also support "the rapid deployment of renewable energy and electric power transmission projects, the Secretary may make loan guarantees for projects that commence construction not later than September 30, 2011", using \$4 billion in appropriated credit subsidy cost authority.

**Range and Average of Financial Assistance:**

The value of the loan or guarantee will be determined on a project by project basis.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: None. Fiscal Year 2009: Final regulations have been published for the Loan Guarantee Program in the Federal Register: 10 CFR Part 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, October 23, 2007. Sixteen project sponsors, who submitted preapplications, have been invited to submit full applications for loan guarantees. The American Recovery and Reinvestment Act of 2009 provided the first appropriations to support credit subsidies for advanced and mature renewables technologies, stepping in to provide support to the distressed capital markets. DOE has closed one loan on September 4, 2009, and has made two conditional loan guarantees. Having issued two new solicitations, one for renewables technologies and one for transmission and distribution projects, the program has a strong overall pipeline in place, including 4 advanced nuclear plants (8.5 GW), 2 front-end nuclear projects, 5 carbon capture fossil facilities (2 GW), and 27 advanced renewable and energy efficiency technology projects (2 GW). Under existing appropriations of \$4B in credit subsidy, DOE expect that the 1705 program will exhaust its funds by the end of next summer. The ATVM program has issued four loans totaling in excess of \$8 Billion. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and

literature associated with the loan guarantee program. Solicitation Number: DE-PS01-06LG00001, - Loan Guarantee Solicitation Announcement, - Federal Loan Guarantees for Projects that Employ Innovative Technologies in Support of the Advanced Energy Initiative, Available at: <http://www.lgprogram.energy.gov/Solicitationfinal.pdf> Guidelines for Proposals Submitted in Response to the first Solicitation under Title XVII of the Energy Policy Act of 2005, Available at: <http://www.lgprogram.energy.gov/FinalGuidelines.pdf>. - Final Regulations - Final regulations were published in the Federal Register, 10 CFR 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, on October 23, 2007. All subsequent solicitations are also on the website identified above for LGPO and at [www.atvmloans.energy.gov](http://www.atvmloans.energy.gov) for ATVM.

**Regional or Local Office:**

None.

**Headquarters Office:**

Loan Guarantee Program Office 1000 Independence Ave, SW, CF 1.3, Washington, District of Columbia 20585 Email: [lgprogram@hq.doe.gov](mailto:lgprogram@hq.doe.gov) Phone: (202) 586-8336

**Website Address:**

<http://www.lgprogram.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to solicitation and guidelines for the criteria to be utilized.

**81.127 ENERGY EFFICIENT APPLIANCE REBATE PROGRAM (EEARP)**

EEARP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act (EPAAct) of 2005. , Title 1, Part B.

**OBJECTIVES:**

The program provides financial and technical assistance to States to establish residential energy star rated appliance rebate programs. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To improve energy efficiency in the residential sector.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Establish or continuation of State energy efficient appliance rebate program to provide rebates to residential consumers for the purchase of residential Energy Star products to replace used appliances of the same type.

**Applicant Eligibility:**

Assistance available to States and US Territories and possessions.

**Beneficiary Eligibility:**

Individuals and families are the ultimate beneficiaries.

**Credentials/Documentation:**

Compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Energy Efficient Appliance Rebate Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf) It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States submit application for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the solicitation.

**Appeals:**

As required under the American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be twenty four months. All funds must be expended within this period. See the following for information on how assistance is awarded/released: No information is provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the project period. In accordance with the Energy Independence and Security Act of 2007, EACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$29,750,800; FY 10 est \$0 - It is anticipated that all funds obligated under this program will be Recovery Act funds.

**Range and Average of Financial Assistance:**

Range: 500k-6 million average 5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

Office of Energy Efficiency and Renewable Energy 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: (1-877) 337-3463 (Toll Free).

**Website Address:**

<http://https://www1.eere.energy.gov/informationcenter/>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Formula Grant allocations to supplement State Programs.

**81.128 ENERGY EFFICIENCY AND CONSERVATION BLOCK GRANT PROGRAM (EECBG)**

EECBG

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security Act (EISA), signed into Public Law 110-140 on December 19, 2007.

**OBJECTIVES:**

The program provides financial and technical assistance to assist State and local governments create and implement a variety of energy efficiency and conservation projects. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Special)

**USES AND USE RESTRICTIONS:**

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.
- \* Conducting residential and commercial building energy audits.
- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and efficiency rates for recycling programs.
- \* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.
- \* Installing light emitting diodes (LEDs).
- \* Developing, implementing, and installing renewable energy technologies on

or in any government building.

\* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency.

**Applicant Eligibility:**

State and local governments including US Territories and Possessions.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the EECBG Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States and eligible units of local governments and Tribes will submit applications for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There is no local match requirement for the EECBG, however leveraging of funds on the part of the recipient is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be eighteen months. Funds must be under contract within eighteen months. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be

required. As previously mentioned, quarterly financial reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This Circular can be accessed at the White House website, <https://www.whitehouse.gov/omb/circulars/index.html>

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,482,910,154; FY 10 est \$0 - All obligations under this program will be made with Recovery Act funds.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: (1-877) 337-3463 (Toll Free).

**Website Address:**

<http://https://www1.eere.energy.gov/informationcenter/>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.042 Weatherization Assistance for Low-Income Persons

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**81.129 ENERGY EFFICIENCY AND RENEWABLE ENERGY TECHNOLOGY DEPLOYMENT, DEMONSTRATION AND COMMERCIALIZATION**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

EPACT 1992, EPACT 2005, EISA 2007, ARRA 2009.

**OBJECTIVES:**

This program provides financial assistance for the technology deployment, demonstration, and commercialization of Energy Efficiency and Renewable Energy technologies. This includes Biomass, Building Technologies, Federal Energy Management, Geothermal Technologies, Projects involving Hydrogen, Fuel Cells and Infrastructure Technologies, Industrial Technologies, Solar Energy Technologies, Vehicle Technologies, Weatherization and Intergovernmental, and Wind and Hydropower technologies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

No information provided.

**Applicant Eligibility:**

Anyone who meets the requirements specified in the funding opportunity announcement at <http://www.grants.gov> may apply.

**Beneficiary Eligibility:**

Beneficiaries are states and local governments and other public and private institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Energy Efficient and Renewable Energy Technology Deployment, Demonstration and Commercialization must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf)

**Award Procedure:**

Applications which pass an initial review will receive an objective merit review. An objective Merit Review Committee will evaluate applications in accordance with the evaluation criteria set forth in the competitive solicitation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation are entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Federal funds may be awarded to applicants that can match DOE Federal funds at 50 percent. Other matching requirements may be determined by specific legislation or as allowed by the Secretary of Energy.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No information provided. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. No cash reports are required. Quarterly project status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not

applicable. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DOE may perform audits.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, EACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. Access to process implementation and efficiency data may be required to be available for 10 years after project completion to measure performance against expectation and support commercialization of the technology. The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$19,491,478; FY 10 est \$1,000,000,000 - It is anticipated that all funds obligated under this program will be Recovery Act funds.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE financial assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Energy, Office of Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW., Washington, District of Columbia 20585  
Phone: (1-877) 337-3463 (Toll Free).

**Website Address:**

<http://https://www1.eere.energy.gov/informationcenter/>

**RELATED PROGRAMS:**

81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are restricted to the entities listed in the Applicant Eligibility portion of this program listing. All election criteria will conform to EISA 2007, EACT 1992 and 2005, and ARRA 2009 requirements as applicable to the specific project authorization.

**81.131 EXPAND AND EXTEND CLEAN COAL POWER INITIATIVE**

Expand and Extend Clean Coal Power Initiative Round III Funding Opportunity Announcement

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H. R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Office of Fossil Energy (FE) Clean Coal Power Initiative (CCPI) Round III Funding Opportunity Announcement is to gain broader carbon capture and storage experience at the commercial-scale by expanding the relevant technologies, applications, fuels and geologic formations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development and commercial demonstration of technology. The restrictions are outlined in the FOA.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Prior successful experience with current state of the art technologies that will support the next stage Carbon Capture and Storage (CCS) development for coal based power generation technologies at the commercial scale. Pre-application letters are requested, but not required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov (www.grants.gov) and FedConnect (www.fedconnect.net) websites.

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in DOE and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Yes, there is a restriction placed on the time permitted to spend the money awarded. See the following for information on how assistance is awarded/released: The length of time for financial assistance awards is dependent upon the individual project submitted.

**Reports:**

In addition, a monthly report will be required. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$5,000,000; FY 10 est \$791,000,000

**Range and Average of Financial Assistance:**

TBD.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations at 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochrans Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include:

1. Technical Merit
2. Project Organization and Project Management
3. Commercialization Potential
4. Funding Plan
5. Financial Business Plan.

**81.132 GEOLOGIC SEQUESTRATION SITE CHARACTERIZATION**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Office of Fossil Energy (FE) Geologic Sequestration Site Characterization grant is to comprehensively characterize a minimum of ten geologic formations which could include saline formation, oil and gas fields, and coal seams. Utilize site characterizations to accelerate carbon capture storage in a range of geologic formations that encompass the entire United States. Leverage existing work completed by the Regional Carbon Sequestration Partnerships and State Geologic Surveys.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Prior successful R&D experience in Geologic Sequestration and Site Characterization focusing on the characterization of geologic storage formations related to saline formations, depleted oil fields, or coal seams. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The applicant should follow the procedures listed in the specific funding



opportunity announcement posted on the Grants.gov or FedConnect website. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement (FOA) posted at <http://www.grants.gov> or at <https://www.fedconnect.net/FedConnect/>

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length and time for financial assistance awards is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial reports are required. A final technical report is due within 90 days after completion of the project. Quarterly financial reports are required. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be performed monthly to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$49,750,000; FY 10 est \$0 - These are all Recovery Act dollars.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Maria Jones 1000 Independence Avenue S.W., Mail Stop FE-3, Washington, District of Columbia 20585 Email: [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov) Phone: (202) 586-6660

**Website Address:**

<http://www.netl.doe.gov>, <http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.133 GEOLOGIC SEQUESTRATION TRAINING AND RESEARCH GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Fossil Energy (FE) Sequestration Training and Research Grant Program is to develop a future generation of geologists, scientists and engineers to fill the gap and provide the skills required for National-scale, large volume geologic storage projects. This program will emphasize advancing educational opportunities across a broad range of minority colleges and universities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Enhance educational opportunities across a broad range of universities, colleges, and university affiliated research institutions to develop a future generation of geologists, scientists and engineers to expand the workforce and provide the skills required for national-scale, commercial geologic storage projects. Educational and training opportunities will be developed by seeking grant applications from universities, colleges, and university affiliated research institutions to educate and train undergraduate and graduate level students through research related to CCS in geology, geophysics, geomechanics, geochemistry and reservoir engineering disciplines needed to staff a broad national CCS program targeting underground storage and monitoring of carbon dioxide (CO<sub>2</sub>) in deep geologic formations. Fundamental research is needed to advance science in: simulation and risk assessment; monitoring, verification, and accounting; geological related analytical tools; methods to interpret geophysical models; CO<sub>2</sub> capture; well completion and integrity; and water production/clean-up/alternative use.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Prior successful experience in the education and training of Carbon Capture and Storage (CCS) technologies to develop a future generation of geologists, scientists, and engineers in CCS technologies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov ([www.grants.gov](http://www.grants.gov)) and FedConnect ([www.fedconnect.net](http://www.fedconnect.net)) websites.

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This information will be published in the FOA. See the following for information on how assistance is awarded/released: This information will be published in the FOA.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be performed to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$19,900,000; FY 10 est \$0 - There will be an estimated \$12.93M directed to the Universities and another \$6.9M directed to training facilities.

**Range and Average of Financial Assistance:**

TBD.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov) Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.134 INDUSTRIAL CARBON CAPTURE AND STORAGE (CCS) APPLICATION**

CCS

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the office of Fossil Energy (FE) Industrial Carbon Capture and Storage Applications grant is to a.) demonstrate advanced technologies that capture and sequester CO2 emissions from industrial sources (e.g., cement plants, chemical plants, refineries, steel and aluminum plants, manufacturing facilities, and power plants using opportunity fuels (petroleum coke, municipal waste, etc.). into underground formations or put to beneficial use. The large-scale CCS projects include integration of CO2 capture, transportation and sequestration incorporating comprehensive Monitoring, Verification & Accounting (MVA), and/or b.) demonstrate innovative concepts for beneficial CO2 use, which include, but are not limited to, CO2 mineralization to carbonates directly through conversion of CO2 in flue gas or indirectly through capture of CO2 from air; use of CO2 from power plant or industrial applications to grow algae/biomass; or, conversion of the CO2 to fuels and chemicals.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Prior successful R&D experience in the subject titled program field or partnering with successful industrial carbon capture and storage technology industries. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov or FedConnect

websites. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted at <http://www.grants.gov> or <https://www.fedconnect.net/Fedconnect/>

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Matching requirements are yet to be determined for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length and time for financial assistance awards is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial reports are required. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Quarterly financial reports are required. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be performed monthly to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$1,512,400,000 -

This program is to be funded solely with Recovery Act funds.

**Range and Average of Financial Assistance:**

To be determined with publication of FOA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Maria Jones 1000 Independence Avenue S.W., Mail Stop FE-3, Washington, District of Columbia 20585 Email: [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov) Phone: (202) 586-6660

**Website Address:**

<http://www.netl.doe.gov>, <http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.135 ADVANCED RESEARCH AND PROJECTS AGENCY ENERGY FINANCIAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69).

**OBJECTIVES:**

To support the Presidents National Objectives for the Department of Energy.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

ARPA-E will fund transformational energy related technologies.

**Applicant Eligibility:**

Any recipient other than foreign entity.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-application required in the form of a Concept Paper. Consultation and assistance will be available from DOE in the preparation of the application. This program is not eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs.. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for ARPA-E must be submitted through FedConnect to be considered for award.

Information on how to submit application via FedConnect can be found at: [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect Ready Set Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect%20Ready%20Set%20Go.pdf). It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

All eligible applications will be considered through the Departments Merit Review Process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. There is a requirement for cost sharing of at least 20%, a higher percentage may be required for individual Funding Opportunity Announcements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009. Quarterly progress reports will be required along with a final report. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reports will be required along with a final report. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements laid out in the OMB Circulars apply to the ARPA-E Program. Circulars are available at the White House website, <https://www.whitehouse.gov/omb/circulars/index.html>.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009.

**Account Identification:**

89-0336-0-1-270.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$400,000,000

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No awards were made in 2008. Fiscal Year 2009: FY 2009 was the first year of program implementation. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007, America COMPETES Act and the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shane Kosinski Department of Energy, 1000 Independence Avenue, S.W., Washington, District of Columbia 20585 Phone: (202) 586-4336

**Website Address:**

<http://www.arpa-e.energy.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As described in the FOA.

**81.136 LONG-TERM SURVEILLANCE AND MAINTENANCE**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499; Uranium Mill Tailings Radiation Control Act of 1978, Public Law 95-604; Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Resource Conservation and Recovery Act (RCRA), Public Law 95-480; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) as amended; Department of Energy Organization Act of 1977, as amended Public Law 96-573.

**OBJECTIVES:**

The objectives of the Office of Legacy Management are to manage the Departments post-closure responsibilities and ensure the future protection of human health and the environment. This Office has control and custody for legacy lands, structures, and facilities and is responsible for maintaining them at levels suitable for their long-term use.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These determinations will be made by DOE Headquarters. An environmental impact statement may be required depending on the program and project. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. After informal communication with DOE Headquarters Office, a formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization or institution. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted to the project office and include: a title, objectives, time frame, and a budget breakdown.

**Award Procedure:**

Projects are reviewed at the Office of Legacy Management and award decisions are made throughout the fiscal year.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Varies with each grant/cooperative agreement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project proposed. See the following for information on how assistance is awarded/released: Varies with each grant/cooperative agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final report may be due at the end of the grant or cooperative agreement. SF 425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

A recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement.

**Account Identification:**

89-0243-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$0; FY 09 est \$3,241,592; FY 10 est \$2,391,473

**Range and Average of Financial Assistance:**

\$10,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: None. Fiscal Year 2009: None. Fiscal Year 2010: It is anticipated that 3 applications will be received and 3 awards will be granted in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None. Deborah J. Boggs  
Business Management Specialist  
Office of Legacy Management  
3600 Collins Ferry Road  
Morgantown, WV 26505  
304-285-4473.

**Headquarters Office:**

Office of Legacy Management, 1000 Independence Avenue, S.W., Washington, District of Columbia 20585 Phone: (202) 586-7550.

**Website Address:**

<http://www.lm.doe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on statutory eligibility and work that is beneficial to the overall accomplishment of the Office of Legacy Management goals and objectives.

Goal 1: Protect human health and the environment through effective and efficient long-term surveillance and maintenance.

Goal 2: Preserve, protect, and make accessible legacy records and information.

Goal 3: Support an effective and efficient work force structured to accomplish Departmental missions and assure continuity of contractor worker pension and medical benefits.

Goal 4: Manage legacy land and assets, emphasizing protective real and personal property reuse and disposition.

Goal 5: Improve program effectiveness through sound management.

In most cases, the criteria for award on the specific scope are associated with the site and the local entities. All grants/cooperative agreements are awarded to entities specifically associated with a respective site and regulatory agreements (i.e., State has oversight rights). Grants/cooperative agreements are almost always sole-source. Criteria may include cost of the project, applicants qualifications, and applicability to LMs mission being To manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment. Legacy Management has control and custody for legacy lands, structures, and facilities and is responsible for maintaining them at levels consistent with Departmental long-term plans.

**DEPARTMENT OF EDUCATION**

**84.002 ADULT EDUCATION - BASIC GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act; 20 U.S.C. 1209 et seq.

**OBJECTIVES:**

To fund local programs of adult education and literacy services, including workplace literacy services, family literacy services, and English literacy and civics education programs. Participation in these programs is limited to adults and out-of-school youths aged 16 and older who do not have a high school diploma or equivalent.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Act lists specific performance measures on which States are assessed. These include: demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem-solving, English language acquisition and other literacy skills; placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; receipt of a high school diploma or its equivalent; other objective, quantifiable measures, as identified by the State agency. Not more than 12.5 percent of the State allotment may be used for State leadership activities, including professional development; 82.5 percent of the State allotment must be used to support local programs and corrections education and other institutionalized individuals. Not more than 8.25 percent of the State allotment may be used for correctional education and other institutionalized individuals; not more than 5 percent (or \$65,000, whichever is greater) of the State allotment may be used for State administrative costs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Formula grants are made to designated eligible State agencies. State agencies

shall provide direct and equitable access to: Local educational agencies, public or private nonprofit agencies, community-based organizations of demonstrated effectiveness; institutions of higher education, volunteer literacy organizations of demonstrated effectiveness; libraries, public housing authorities; nonprofit institutions not described above that have the ability to provide literacy services to adults and families, and consortia of the entities described above.

**Beneficiary Eligibility:**

Out-of-school adults who are 16 years of age and older, who are not enrolled or required to be enrolled in secondary school under State law, and who lack sufficient mastery of basic educational skills to enable them to function effectively in society or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education, or are unable to speak, read, or write the English language.

**Credentials/Documentation:**

A 5-year State plan as provided for in Section 224 of the Adult Education and Family Literacy Act, Education Department General Administrative Regulations, 34 CFR 74, 76, 77, 79, 80, 81, 82, 85, and 86. The State plan shall include a certification from a State official that all provisions and amendments thereto are consistent with the Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Director of Adult Education and Literacy will provide guidance on specific problems and technical assistance in the preparation of State Plans. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each eligible educational agency must submit to the Secretary of Education a 5-year State plan that sets forth the manner and procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Department approves the 5-year State plan and any amendment thereto and makes allocations to the State each July 1.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

States are afforded an opportunity for hearings.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: \$100,000 initial allotment to Guam, American Samoa, Northern Mariana Islands and U.S. Virgin Islands. Allotments reserved for Marshall Islands, Micronesia and Palau are awarded competitively pursuant to recommendations by the Pacific Region Educational Laboratory to Guam, American Samoa, Northern Mariana Islands, Marshall Islands, Micronesia, or Palau. No funds may be provided to Marshall Islands, Micronesia, and Palau as of fiscal year 2002. States and the District of Columbia and Puerto Rico receive an initial allotment of \$250,000. The remainder is allotted to all eligible agencies on the basis of the ratio of adults age 16 and older who are not enrolled or required to be enrolled in secondary school under State law and who do not hold a high school diploma or equivalent. No agency may receive less than 90

percent of its allotment for the preceding fiscal year. The data source is a special tabulation by the Bureau of the Census. To receive a grant, States, the District of Columbia, and Puerto Rico must provide a nonfederal contribution in an amount equal to 25 percent of the total amount of funds expended for adult education and literacy activities in the State. To receive a grant, eligible outlying agencies must provide a nonfederal contribution in an amount equal to 12 percent of the total amount of funds expended for adult education and literacy activities. This program has maintenance of effort (MOE) requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds must be expended within 27 months of their date of availability. States draw funds as needed under the Electronic Transfer System. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Cash reports are not applicable. Progress reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Expenditure reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$544,122,000; FY 09 est \$554,122,000; FY 10 est \$628,221

**Range and Average of Financial Assistance:**

FY 09: \$809,994 - \$81,801,424; \$10,439,299 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were approximately 2.8 million participants in fiscal year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Adult Education General Provisions and State-Administered Basic Grant Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joyce Campbell Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: joyce.campbell@ed.gov Phone: (202) 205-5698

**Website Address:**

<http://www.ed.gov/fund/grant/find//AdultEd/f-ogrant.html>.

**RELATED PROGRAMS:**

84.191 Adult Education\_National Leadership Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **84.004 CIVIL RIGHTS TRAINING AND ADVISORY SERVICES**

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

##### **AUTHORIZATION:**

Civil Rights Act of 1964, as amended., Title IV.

##### **OBJECTIVES:**

To provide technical assistance and training services to school districts to cope with educational problems occasioned by race, gender, and national origin desegregation.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds support Equity Assistance Centers to provide technical assistance and training, upon request, in the areas of race, sex, and national origin to public school districts and other responsible governmental agencies to promote equitable education opportunities. The centers work in the areas of civil rights, equity, and school reform. This assistance helps schools and communities ensure that equitable education opportunities are available and accessible for all children.

##### **Applicant Eligibility:**

Any private, nonprofit organization or any public agency may apply.

##### **Beneficiary Eligibility:**

Educational personnel and elementary and secondary students in local school districts benefit.

##### **Credentials/Documentation:**

Submission of a proposal for one or more of the sections of Title IV, Civil Rights Act of 1964. More detailed information may be found in the regulations. OMB Circular No. A-122 for nonprofit organizations also applies. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

##### **Award Procedure:**

Final recommendations are made following advice from a panel of peer reviewers.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 30 to 90 Days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Equity assistance centers receive 3-year awards if they meet the criteria for annual continuation in the regulations. Renewals are subject to the availability of appropriations.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Funds are appropriated on an annual basis. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by

letter of credit.

##### **Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Administrative Regulations for Direct Project Grant and Contract Programs, 34 CFR 74, 75. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

##### **Account Identification:**

91-1000-0-1-501.

##### **Obligations:**

(Project Grants) FY 08 \$6,989,000; FY 09 est \$9,489,000; FY 10 est \$6,989,000

##### **Range and Average of Financial Assistance:**

\$556,321-\$757,353, year 1; \$690,707 - average.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards were made to ten equity assistance centers in FY 08. Each center is responsible for providing technical assistance on the basis of race, gender, and national origin. Fiscal Year 2009: Continuation awards are expected to be made in FY 2009. Fiscal Year 2010: FY 2009 and FY 2010: Appropriations language included \$2.5 million for one-time grants for local educational agencies facing challenges in creating student assignment plans that comply with the 2007 Supreme Court decision regarding student assignment plans and race.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 270, 271, and 272 apply.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Sandra Brown School Support and Technology Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., , Washington, District of Columbia 20202 Email: Sandra.brown@ed.gov Phone: (202) 260-2638

##### **Website Address:**

<http://www.ed.gov/programs/equitycenters/index.html> or  
<http://www.ed.gov/about/contacts/gen/othersites/equity.html>

##### **RELATED PROGRAMS:**

84.165 Magnet Schools Assistance

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Equity assistance centers provide training and technical assistance to public school districts in the States in their geographical service area. Typical activities include the dissemination of general information on such topics as successful educational practices and legal requirements related to non-discrimination on the basis of race, gender, and national origin in educational programs; training designed to develop educators' skills in specific areas, such as the identification of race and sex bias in instructional materials; and technical assistance in the identification and selection of appropriate educational programs to meet the needs of limited English speaking students. In all instances, the assistance provided is at the request of the local educational agency. Fiscal Year 2009: Year 2 continuation/renewal awards. Fiscal Year 2010: Year 3 continuation/renewal awards.

##### **CRITERIA FOR SELECTING PROPOSALS:**

New equity assistance center applications are evaluated on the basis of selection

criteria, in Section 272.30(a)-(g), addressing mission and strategy, organizational capability, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, and adequacy of resources. The highest ranking application for each geographical service area is selected for an award.

#### **84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS**

(FSEOG)

##### **FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

##### **AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 3, 20 U.S.C. 1070b-1070b-3.

##### **OBJECTIVES:**

To provide need-based grant aid to eligible undergraduate postsecondary students to help meet educational expenses.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

##### **USES AND USE RESTRICTIONS:**

Grants are for undergraduate study, and range from \$100 to \$4,000 per academic year. However, if reasonable study abroad costs exceed the cost of attendance at the home institution, the amount of the grant may exceed the \$4,000 maximum by as much as \$400. A student is eligible to receive a FSEOG for the period of time needed to complete the first undergraduate baccalaureate course of study being pursued by that student. If it awards grants to students in that year an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000, expended plus 4 percent of expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent of expenditures in excess of \$5,500,000.

##### **Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

##### **Beneficiary Eligibility:**

Undergraduate students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

##### **Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation (see listing of ED Regional Offices in Appendix IV). Students should contact the institution(s) they attend or wish to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit the Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Federal Student Aid office. New institutions submit only the application form.

##### **Award Procedure:**

The Federal Student Aid office determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

##### **Deadlines:**

Oct 01, 2009 Deadlines are specified on the application (usually October 1). Contact the program office for additional information.

##### **Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1, and final award notifications sent by April 1.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

There are annual renewals.

##### **Formula and Matching Requirements:**

Statutory Formula: Title IV, Part A, Subpart 3.

Matching Requirements: Funds are allocated to institutions on the basis of the institution's base guarantee and pro rata share and then on demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. This program requires institutional matching funds. The Federal share may not exceed 75 percent unless waived based on objective criteria established in regulations.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Specified in the award document.

##### **Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits are performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

##### **Records:**

All records pertaining to the activities of a given fiscal year must be retained for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until resolution of an applicable audit, whichever is later.

##### **Account Identification:**

91-0200-0-1-502.

##### **Obligations:**

(Direct Payments for Specified Use) FY 08 \$757,465,000; FY 09 est \$757,465,000; FY 10 est \$757,465,000

##### **Range and Average of Financial Assistance:**

No Data Available.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Institutions will award \$958,816,000 in aid to 1,258,289 students. Fiscal Year 2009: Institutions will award \$958,816,000 in aid to 1,258,289 students. Fiscal Year 2010: Institutions will award \$958,816,000 in aid to 1,258,289 students.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 676, Student Guide fact sheet, no charge; Student Financial Aid Handbook, no charge; Notification to Members of Congress, list of grantees, published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.



**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA),  
Department of Education, 400 Maryland Avenue, S.W.,  
, Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov;www.studentaid.gov>

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.031 Higher Education Institutional Aid; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.038 Federal Perkins Loan Program Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES**

(Title I Basic, Concentration, Targeted and Education Finance Incentive Grants)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title I, Part A, 20 U.S.C 6301.

**OBJECTIVES:**

To help local educational agencies (LEAs) and schools improve the teaching and learning of children failing, or most at-risk of failing, to meet challenging State academic achievement standards.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Use of funds varies, depending on whether a school is operating a schoolwide program under Section 1114 of Title I of the ESEA or a targeted assistance program under Section 1115 of the ESEA. A school with at least a 40 percent poverty rate may choose to operate a schoolwide program under Section 1114 that allows Title I funds to be combined with other Federal, State, and local funds to upgrade the school's overall instructional program. Schoolwide program schools must receive the amount of non-Federal resources they would have received in the absence of Title I funds. All other participating schools must operate targeted assistance programs, which provide extra instruction to those children failing, or most at risk of failing, to meet challenging State academic achievement standards. Targeted assistance programs must ensure that Title I services supplement, not supplant the regular education programs normally provided with non-Federal funds by local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) and the Secretary of the Interior. Local educational agencies (LEAs) and Indian tribal schools are subgrantees.

**Beneficiary Eligibility:**

Children who are failing, or most at risk of failing, to meet challenging State academic standards.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. SEAs apply for funds as part of Title I, Part A, State plans submitted to the Department of Education in accordance with Section 1111 of ESEA or as part of a consolidated State plan submitted under Section 9302 of ESEA. The plan remains in effect for the duration of the State's participation in Title I, Part A, but must be updated to reflect substantive changes. Participating LEA's must file an approved plan with their SEAs.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

If an LEA's plan is disapproved by the SEA it may appeal to the SEA and then to the Department of Education under Section 432 of the General Education Provisions Act (GEPA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A.

Matching Requirements: The statute includes four separate formulas for allocating Title I Grants to LEAs. Under the statute, Basic and Concentration Grants are funded at the 2001 appropriation level. Basic Grants are allocated to almost all local educational agencies based on each State's per-pupil expenditure for education and the number of school-aged children from low-income families. Concentration Grants are allocated to LEAs having more than 6,500 children from low-income families or a poverty rate of more than 15 percent. In addition, funds appropriated in excess of the fiscal year 2001 level are allocated as Targeted Grants, which make higher payments to LEAs with higher numbers or percentages of poor children. The law also includes a separately authorized Education Finance Incentive Grants formula, which incorporates factors designed to measure a State's commitment to provide sufficient education funding, as well as how equitably that funding is distributed across districts. Allocations from all four formulas are combined into a single award to eligible LEAs. Within LEAs, funds are targeted to schools with the greatest percentages of poor children.

This program has MOE requirements, see funding agency for further details. The maintenance of effort requirements in sections 1125A(e) and 9521 of the ESEA apply to Title I, Part A.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure under section 421(b) of GEPA, subject to the carryover limitation of section 1127 of the ESEA. See the following for information on how assistance is awarded/released: The information is contained in the award documents.

**Reports:**

States submit annual performance reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR, Part 80, requires State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with section 443(a) of the General Education Provisions Act, States and LEAs must maintain certain program records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$13,898,875,000; FY 09 est \$492,401,000; FY 10 est \$12,992,401,000

**Range and Average of Financial Assistance:**

The range of awards to states in FY 2008 is \$31,515,777 - \$1,698,808,133. The average award is \$264,538,364. The estimate range of awards in FY 2009 is \$33,594,004 - \$1,636,280,566. The average award is \$275,836,865. The estimated range of awards in FY 2010 is \$29,984,004 - \$1,457,618,134. The average award is \$247,179,173.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 54,600 schools received Title I funding. Nearly 20 million students were served with Title I funds. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: Same as 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For Title I guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Wilhelm Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: susan.wilhelm@ed.gov Phone: (202) 260-0826

**Website Address:**

<http://www.ed.gov/programs/titleiparta/index.html> .

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.011 MIGRANT EDUCATION\_STATE GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part C, 20 U.S.C 6391.

**OBJECTIVES:**

To assist States to ensure that migratory children have the opportunity to meet the same challenging State content and performance standards that all children are expected to meet.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

Program funds are used to support high quality and comprehensive educational programs that address the needs of migratory children. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies or consortia of State educational agencies and other appropriate entities may apply.

**Beneficiary Eligibility:**

Children, ages 0 through 21, of migratory agricultural workers or of migratory fishers, including children (i.e. persons under age 21) who are workers themselves and the spouses of such workers, who have moved across school district lines during the past 36 months to obtain temporary or seasonal employment in agriculture, fishing, or related food processing activities.

**Credentials/Documentation:**

States are responsible for ensuring that information documenting a child's eligibility is recorded on a certificate of eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State educational agency works closely with local educational agencies, IHEs, and public and nonprofit private agencies that serve migratory children. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State educational agencies submit applications to the Department of Education that meet the requirements of the Elementary and Secondary Education Act and applicable regulations.

**Award Procedure:**

The Department of Education notifies an approved State educational agency of its award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part C.

Matching Requirements: Funds are allocated through a statutory formula based on each State's per pupil expenditure and the number of eligible full-time and part-time equivalent migrant students aged three through twenty-one residing within the State. In determining the full-time and part-time equivalent number of migratory children who are in a State during the summer months, the Secretary adjusts the number to take into account the special needs of those children for summer and/or intersession programs and the additional costs of operating such programs during the summer. Beginning in 2003, each State will receive at least 100 percent of its fiscal year 2002 allocation and any amount in excess of that appropriation will be distributed by the formula included above. Sec 1303, ESEA.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Twelve months. Unspent funds may be carried over into the next fiscal year. See the following for information on how assistance is awarded/released: The information is contained in the award documents.

**Reports:**

Each SEA receiving funds is required to submit an annual performance report that provides information on the number of children identified as eligible for the program, characteristics of children served the services provided, and staff. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain program records must be maintained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$369,771,000; FY 09 est \$394,771,000; FY 10 est \$394,771,000

**Range and Average of Financial Assistance:**

The range of awards in FY 2008 was \$66,870-\$124,729,661.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 536,376 students received services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For more information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sam Harris, Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W, Washington, District of Columbia 20202-6135 Email: sam.harris@ed.gov Phone: (202) 260-1334 or (800) 872-5327

**Website Address:**

<http://www.ed.gov/programs/mep/index.html>.

**RELATED PROGRAMS:**

84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.213 Even Start\_State Educational Agencies; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program funds are used to establish or improve programs to meet the special educational needs of migratory children in such areas as academic instruction; remedial and compensatory instruction; bilingual and multicultural instruction; vocational instruction and career education services; special guidance, counseling, and testing services; health services; and preschool services. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.013 TITLE I PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part D.

**OBJECTIVES:**

To help provide education continuity for children and youth in State-run institutions for juveniles and in adult correctional institutions, so that these youth can make successful transitions to school or employment once they are released.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used for educational related services. State juvenile institutions are eligible to use funds for institutionwide programs that integrate activities with other Federal, State, and local education programs in the institution. In facilities not operating institutionwide programs, services must be used to supplement, not supplant, those normally provided with State funds. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs). State agencies responsible for providing free public education for those children in institutions who are neglected or delinquent, responsible for children who are enrolled in education programs in adult correctional facilities, and responsible for those children in community day programs who are neglected or delinquent may apply to their state education agencies for subgrants.

**Beneficiary Eligibility:**

Children in a State institution for neglected or delinquent children, or in an adult correctional institution, or a community day school operated by a State agency.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An SEA may apply for State Agency Neglected and Delinquent funds as (1) part of its Title I, Part D, State plan submitted to the Department under Section 1414 of ESEA or (2) as part of a consolidated State plan under Section 14302 of ESEA. To receive funds, State agencies must apply to the SEA and provide the information and assurances required in Section 1414 of ESEA.

**Award Procedure:**

The Department of Education's Office of Elementary and Secondary Education awards grants to State educational agencies, that in turn, award subgrants to the State agencies that have submitted applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

Not Applicable.

**Renewals:**

Although State plans are effective for the duration of Title I's authorization,

SEAs are required to update plans to reflect changes. State agencies must update their applications annually to receive funds.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part D, Subpart A.

Matching Requirements: Funds are allocated through a formula based on the number of children in State-operated institutions and per-pupil education expenditures for the State. Each State's allocation is generated by child counts in State institutions that provide at least 20 hours of instruction from nonfederal funds; adult correctional institutions must provide 15 hours a week. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to the State for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: The information is included in award documents.

**Reports:**

Each State agency conducting a Part D program is required to evaluate the program's impact on students served at least once every 3 years. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$48,927,046; FY 09 est \$50,427,000; FY 10 est \$50,427,000

**Range and Average of Financial Assistance:**

2008: Range: \$83,568 - \$3,013,656; Average: \$917,382  
2009: Range: \$69,671 - \$2,953,982; Average: \$945,506  
2010: Range: \$69,671 - \$2,953,982; Average: \$945,506.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 905 institutions receive funding under this program. Fiscal Year 2009: The Department expects to make approximately 52 awards in FY 2009 and FY 2010. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Rm. 3C106, , Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 260-4412

**Website Address:**

<http://www.ed.gov/programs/titleipartd/index.html>.

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 93.645 Child Welfare Services\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds generally provide supplemental instruction in core academic subjects, such as reading and mathematics. In addition, funds support counseling, tutoring, and projects to facilitate the transition of children from State institutions back to locally operated schools. Fiscal Year 2009: Haven't made FY 2009 awards. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

State agencies are eligible to receive assistance if they are providing free public education for children who are (1) in institutions for neglected or delinquent children; (2) attending community day programs for neglected or delinquent children; or (3) in adult correctional institutions.

**84.015 NATIONAL RESOURCE CENTERS PROGRAM FOR FOREIGN LANGUAGE AND AREA STUDIES OR FOREIGN LANGUAGE AND INTERNATIONAL STUDIES PROGRAM AND FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 602.

**OBJECTIVES:**

Centers: To promote instruction in modern foreign languages and area and international studies that are critical to national needs by supporting the establishment, strengthening and operation of such programs at colleges and universities. Centers may focus on undergraduate training only or may be comprehensive, including undergraduate, graduate, and professional training components. Fellowships: To meet the needs of the United States for experts in modern foreign languages combined with area studies and world affairs by supporting fellowships for undergraduate and graduate study at institutions for higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Centers: Funds may be used for instructional costs of language and area and international studies programs, administration, lectures, conferences, library resources and staff, outreach, and travel. Fellowships: Funds may be used for academic year and summer fellowships to institutions of higher education (IHEs) in order to assist graduate students in acquiring foreign language and either area or international studies competencies. A fellowship awarded to an undergraduate student may include an allowance for educational programs in the United States or education programs abroad that meet certain criteria.

**Applicant Eligibility:**

Centers: Accredited American colleges and universities may apply. Applying institutions provide evidence of existing resources and institutional commitment to language and area and international studies through a curriculum that provides instruction dealing with a particular world area and its languages, with comparative world area studies, or with the international aspects of professional or other fields of study. Fellowships: Accredited U.S. institutions of higher education offering comprehensive graduate area or international studies programs combined with language study are eligible to apply for allocations of fellowships.

**Beneficiary Eligibility:**

Centers: Accredited American colleges and universities will benefit. Fellowships: Graduate students enrolled in funded centers and programs will benefit. Student candidates must be U.S. citizens or nationals or permanent residents training in area or international studies and in modern foreign languages programs that have or are developing performance-based language instruction. Training must be undertaken through an institution that has an allocation of Foreign Language and Area Studies (FLAS) Fellowships.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State

requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for the funding of centers only, fellowships only, or both when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of proposals are available from the Advanced Training and Research Team of the International Education and Programs Service (IEPS).

**Award Procedure:**

Centers: Final recommendations are made to the Secretary following evaluations from panels of experts that evaluate applications according to published selection criteria. Fellowships: The student should contact his/her sponsoring institution for information concerning application forms, deadlines, and related matters. Institutional proposals are approved or disapproved by the Secretary, following the same procedures as for Center applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Higher education institutions receiving funds for three year phased program support must submit annual performance reports for the second and third year for continuation of such support. Students seeking fellowships apply to their institutions for each summer or academic year award period. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Centers: Grants are awarded for 12-month budget periods, subject to renewals of 1 or 2 years. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. Fellowships: Academic year second summer fellowships payments to student recipients are made by the institutions on a competitive basis. If summer fellowships are issued, they will be for a summer session in which the equivalent of an academic year's foreign language study is completed. Payments are made by the grantee institution. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Centers: All programs must provide performance reports upon completion of each year's budget period and a final report of project accomplishments at the end of the grant. Financial reports are also required. Fellowships: Performance reports from fellowship award recipients at the end of each award period. Institutional final reports (awards lists) and financial reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Centers: All fiscal records will be subject to audit by the Education Department at any time within 3 years after expiration of the grants. Fellowships: Fiscal records of institutions administering fellowship funds will be subject to audit by the Department at any time within 5 years after the close of the fiscal year in

which grant funds are all spent.

**Records:**

All records supporting claims under grant or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of completion of Federal financial audit, whichever is later. Fellowships: All records bearing on the receipt and expenditure of funds under the program must be available for inspection by the Department: (1) For 3 years after the fiscal year in which grant funds are spent, (2) until audit or for 5 years after grant, or (3) until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$29,933,500; FY 09 est \$33,089,000; FY 10 est \$33,089,000 - For fellowships. (Project Grants) FY 08 \$29,624,152; FY 09 est \$31,919,000; FY 10 est \$31,919,000 - For Centers.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Centers and Fellowships: In fiscal year 2008, 125 National Resource Centers were funded at institutions of higher education and 124 Foreign Language and Area Studies Fellowship grants were awarded to institutions of higher education. Fiscal Year 2009: Centers and Fellowships: In fiscal year 2008, 125 National Resource Centers are expected to be funded at institutions of higher education and 124 Foreign Language and Area Studies Fellowship grants are expected to be awarded to institutions of higher education. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 656, and 657, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carla White, International Education Programs Services, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: carla.white@ed.gov Phone: (202) 502-7631.

**Website Address:**

<http://www.ed.gov/programs/iegpsnrc/>; or  
<http://www.ed.gov/programs/iegpsflas/>.

**RELATED PROGRAMS:**

84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The University of Washington/East Asia Studies Center offers training programs in East Asian languages and in a wide variety of disciplines at both the undergraduate and graduate levels and in professional schools. The Center for Advanced Study of International Development and the Women and International Development programs at Michigan State University offer courses and activities focused on development studies in the new era of globalization. University of Wisconsin/Latin American Studies Center offers courses in languages and in many disciplines at the undergraduate level in all participating campuses. The Madison and Milwaukee campuses offer extensive graduate and some professional training programs in Latin American studies as well. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

34 CFR 655, 656, and 657 apply to the Centers and Fellowships Programs. Selection criteria for evaluating applications and selecting centers are listed in the Title VI, International Education Program Regulations in 34 CFR 655.31,

656.21 or 656.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. 34 CFR 657.21 gives the criteria for selection of institutional awards for fellowship allocations. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

#### **84.016 UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE PROGRAMS**

##### **FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

##### **AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 604.

##### **OBJECTIVES:**

The Undergraduate International Studies and Foreign Language Program issues awards to institutions of higher education and public and nonprofit private agencies and organizations. The purpose of the awards is to: (1) Assist institutions of higher education to plan, develop, and carry out a program to strengthen and improve undergraduate instruction in international studies and foreign languages; and (2) assist associations and organizations to develop projects that will make an especially significant contribution to strengthening and improving undergraduate instruction in international studies and foreign languages.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Each program assisted with federal funds must primarily enhance the international academic program of the institution. Eligible activities may include but are not limited to: development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and its corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and preprofessional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

##### **Applicant Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

##### **Beneficiary Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. When funds are available for the support of new programs, announcements are issued in the Federal Register. Application forms and guidelines for submission of proposals are available

from the Undergraduate International Studies and Foreign Language Program.

##### **Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants in accordance with the published criteria.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. About 150 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Institutions of higher education and associations and organizations currently receiving funds for two or three year phased program support must submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of funds.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The non-Federal share of the cost of the programs assisted may be provided in cash from the private sector corporations or foundations in an amount equal to one-third of the total cost of the programs or may be provided as an in-cash or in-kind contribution from institutional and noninstitutional funds, including State and private sector corporation or foundation contributions, equal to one-half of the total cost of the programs assisted herein. The Secretary may waive or reduce the matching requirement for institutions that are eligible to receive assistance under part A or B of Title III or under Title V of the Higher Education Act of 1965, as amended. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods, subject to renewals of one or two years. Payments are made as stipulated in the grant. Renewals are subjects to the availability of funds. See the following for information on how assistance is awarded/released: The information is included in the grant award documents.

##### **Reports:**

All programs must provide final reports upon completion of the program. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records will be subject to audit any time within 3 years after expiration of the grant.

##### **Records:**

All records supporting claims under a grant or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later.

##### **Account Identification:**

91-0201-0-1-502.

##### **Obligations:**

(Project Grants) FY 08 \$4,295,914; FY 09 est \$4,605,000; FY 10 est \$4,605,000

##### **Range and Average of Financial Assistance:**

No Data Available.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Twenty-two new grants and 30 continuation grants were expected to be awarded in FY 2008. Fiscal Year 2009: Twenty-seven new grants and 24 continuation grants are expected to be awarded in FY 2009. Fiscal Year 2010: Twenty-five new awards and 27 continuation grants are expected to be awarded in FY 2010.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 658, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christine Corey, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Christine.corey@ed.gov Phone: (202) 502-7629.

**Website Address:**

<http://www.ed.gov/programs/iegpsugisf/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Consortium for Inter-Institutional Collaboration in African and Latin-American Studies, situated at Michigan State University, is characterized by a series of on-campus and in-country intensive language and area studies institutes, organized through cooperation with 20 or more Historically Black Colleges and Universities (HBCU), 12 liberal arts colleges in the Great Lakes Colleges Association (GLCA), and several institutions in the Associated Colleges of the Midwest (ACM). Wayne State University will develop an interdisciplinary program in Eastern Europe, representing a collaborative effort between the School of Business, the Department of German and Slavic Studies and Wayne State University. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluation on the basis of criteria found in the Education Division General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, and 78 the Secretary will further evaluate applications for Federal support for international studies programs in accordance with the criteria published in 34 CFR 655, 658, and 45 CFR 86872.

**84.017 INTERNATIONAL RESEARCH AND STUDIES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 605.

**OBJECTIVES:**

To improve foreign language, area, and other international studies training through support of research, studies, experimentation, development of specialized instructional materials, and the publication of specialized materials developed as a result of research conducted under this program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program supports research and studies that may include but are not limited to: (1) Studies and surveys to determine needs for increased or improved instruction in foreign language, area studies, or other international fields including the demand for foreign language, area, and other international specialists in government, education, and the private sector; (2) studies and surveys to assess the utilization of graduates of programs supported under this title by governmental, educational, and private sector organizations and other studies assessing the outcomes and effectiveness of programs so supported; (3) comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education; (4) research on more effective methods of providing instruction and achieving competency in foreign languages; (5) the development and publication of specialized materials for use

in foreign language, area studies, and other international fields, or for training foreign language, area and other international specialists; (6) the application of performance tests and standards across all areas of foreign language instruction and classroom use; (7) evaluation of the extent to which programs assisted under this title reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs, as described in the grantees application; (8) the systematic collection, analysis, and dissemination of data that contribute to achieving the purposes of this part; and (9) support for programs or activities to make data collected, analyzed, or disseminated under this section publicly available and easy to understand, and (10) other research or materials development projects that further the purposes of the International Education Programs authorized by Part A of Title VI of the HEA. Funds awarded under this program may not be used for the training of students and teachers.

**Applicant Eligibility:**

Public and private agencies, organizations, institutions, and individuals may apply.

**Beneficiary Eligibility:**

Public and private agencies, organizations, institutions, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Formal applications should be prepared in response to announcements of mandatory program requirements and closing dates in the Federal Register.

**Award Procedure:**

Applications are reviewed by Department of Education specialists and review panels of scholars.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From six to seven months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Projects conducted under a grant may be phased, with the phases following the first phase subject to renewal on a non-competitive basis. Renewals of grants, which were not included in the original negotiations, will be considered in competition with all other new applications and are dependent on the submission of reports that demonstrate that substantial progress has been made.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Depends on project, but is generally from 12 to 36 months. Phasing of projects is determined during the negotiation process. See the following for information on how assistance is awarded/released: This information is included in the grant award document.

**Reports:**

A final report or subject data as established through negotiation. Interim progress reports and a financial report are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not

applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records will be subject to audit by the Department at any time within three years after expiration of the contract or grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after close of the fiscal year of grant expiration or (2) until the grantee is notified of completion of the Federal audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$5,943,200; FY 09 est \$6,344,000; FY 10 est \$6,344,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008, 11 new awards and 32 continuation awards were to be made. Fiscal Year 2009: For FY 2009, 21 new awards and 22 continuation awards are expected to be made. Fiscal Year 2010: For FY 2010, 9 new awards and 32 continuation awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655, 660, and the Education Department General Administrative Regulations. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sam Eisen, International Education Program Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: sam.eisen@ed.gov Phone: (202) 502-7522.

**Website Address:**

<http://www.ed.gov/programs/iegpsirs/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: HEA Title VI, Part A, Section 606: An Assessment Study"; "National Proficiency Tests in Ukrainian and Croatian"; "Teaching about the Americas: An Electronic Curriculum"; "Instructional Materials on China and Japan"; "Proficiency-based Business Arabic"; "A CD-ROM-based Video in Japanese Language and Culture"; "Middle East Curriculum and Dissemination Project"; "Teaching Materials for Russian Language Instruction at the Secondary Schools Level"; "Africa: Media and Education Project"; "Survey of Foreign Language Entrance and Degree Requirements in U.S. Colleges and Universities." International Law - Video Course and Learner's Guide, Hausa Language and Culture Video Project, The Muslim Middle East: Curriculum Development and Dissemination Project. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals is stated in 34 CFR 655.31, 660.31, 660.32, and 660.33. The Secretary will evaluate applications in accordance with the published criteria. An applicant may receive as many as five or ten points or as few as zero points under each criterion. (20 U.S.C. 1121-1127, 3063- 3065.)

**84.018 OVERSEAS PROGRAMS\_SPECIAL BILATERAL PROJECTS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended,, Executive Order Section 102(b)(6)., Public Law 87-256.

**OBJECTIVES:**

To increase mutual understanding and knowledge between the people of the United States and those in other countries by offering qualified U.S. educators opportunities to participate in short-term study seminars abroad on topics in the social sciences and the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds provide round-trip economy airfare, room and board, tuition and fees for seminars. Actual locations may vary from year-to-year. No dependents are to accompany awardees participating in seminars.

**Applicant Eligibility:**

(1) Applicants must be U.S. citizens or have permanent resident status; (2) must hold a bachelor's degree; (3) must have at least 3 years full-time in teaching, administering or supervising in the humanities, the social sciences or social studies subjects; (4) applicants must be currently employed full-time in teaching, administering or supervising in the aforementioned areas; (5) applicants also must meet any language requirements if applicable (see the application booklet for details). If selected, awardees must furnish evidence of good health and emotional maturity.

**Beneficiary Eligibility:**

(1) Undergraduate faculty members of four year colleges/universities and 2-year community colleges in the fields of the humanities and social sciences; (2) supervisors and secondary (grades 9 through 12) and elementary and junior high school (grades K through 8) teachers of social studies and humanities; and (3) curriculum development specialists, administrators of local and State education agencies who have direct responsibility for developing curriculum in the subject areas encompassed by the social sciences and the humanities.

**Credentials/Documentation:**

Applicants' basic data; education and professional preparation; present and previous employment; specific statement of objectives; plans to utilize the knowledge and experience gained from the seminar; involvement in educational/professional/civic groups, associations/organizations; personal traits; honors/awards/publications, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

International Education Graduate Programs Service, Department of Education, publishes an annual announcement of opportunities and conducts open competition to select participants. Binational commissions or foundations or other appropriate agencies receive funding to conduct the seminars. The standard application forms as furnished by the Federal agency and as required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants may submit applications for a position in one of the seminars when the announcement of a new competition is made through journals, newsletters, educational associations, individuals, etc.

**Award Procedure:**

Recommendations are made to the Secretary of Education following advice from a panel of consultants. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application



deadlines.

**Range of Approval/Disapproval Time:**

Applicants notified in mid March of selection for seminars.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From 4 to 6 weeks. See the following for information on how assistance is awarded/released: The information is included in the award documents.

**Reports:**

Individual curriculum projects and program evaluations from participants are submitted. Cash reports are not applicable. Progress reports are not applicable.

Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Retained for one year.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$2,149,000; FY 09 est \$233,613; FY 10 est \$2,333,613

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 96 participants were enrolled in 6 projects.

Fiscal Year 2009: 142 participants enrolled in 9 projects. Fiscal Year 2010: No

Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. Program announcements and related information are available from the Program Officer for International Education, Department of Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Ward, International Education Programs Service, Department of Education, 1990 K St NW, 6th Floor, Washington, District of Columbia 20006  
Email: michelle.ward@ed.gov Phone: (202) 502-7623.

**Website Address:**

<http://www.ed.gov/programs/iegpsap/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Seminars have been conducted in Chile, China, Egypt, Hungary, Poland, Malaysia, Mexico, and Zimbabwe. Annual language training programs are offered in Japan for teachers of Japanese. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.019 OVERSEAS PROGRAMS - FACULTY RESEARCH ABROAD  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Executive Order Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To help universities and colleges strengthen their language and area studies programs by enabling faculty members to conduct research abroad in order to improve their skills in languages and their knowledge of the cultures on which their academic interests focus.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Generally, awards will not be available for projects focusing primarily on Western Europe or on countries where the United States has no diplomatic representation. This program funds fellowships through institutions of higher education to faculty members who propose to conduct research abroad in modern foreign languages and area studies to improve their skill in languages and knowledge of the culture of the people of these countries. Funds support: travel expenses to and from the residence of the fellow and the country or countries of research, a maintenance stipend for the fellow related to his or her academic year salary, and an allowance for research-related expenses overseas such as books and photocopying, tuition, affiliation fees, local travel, and other incidental expenses. Fellowships are adjusted for duplicating support.

**Applicant Eligibility:**

Institutions of higher education may apply.

**Beneficiary Eligibility:**

Those benefiting will: (1a) Be a citizen or national of the United States; (1b) be a permanent resident of the United States; or (1c) provide evidence from the Immigration and Naturalization Service that he or she is in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident; (2) be employed by an institution of higher education; (3) have been engaged in teaching relevant to his or her foreign language or area specialization for the 2 years immediately preceding the date of the award; (4a) have proposed research relevant to a modern foreign language or area specialization that cannot be conducted in the United States, or for which a foreign country or region provides superior research facilities; (4b) contribute to the development or improvement of the study of modern foreign languages or area studies in those fields needed for a full understanding of the area, regions, or countries in which the modern foreign languages are commonly used; (4c) not be doing dissertation research for a Ph.D.; and (5) possess adequate skills in the language or languages necessary to successfully carry out the project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Eligible institutions will be responsible for accepting, screening, and forwarding through the Department of Education's Application Control Center to the International Education Programs Service (IEPS) those individual applications that meet the institution's technical and academic criteria and the program's eligibility requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Faculty members may address requests for general information to the Advanced Training and Research Team, International Education Programs Service. Completed applications should be submitted directly to the faculty members employing institution, which will forward them to the Application Control Center.

**Award Procedure:**

The IEPS will make the initial selection and recommendation of fellowship recipients with the advice of a panel of academic specialists in modern foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. The selections are subject to review and final approval by the J. William Fulbright Foreign Scholarship Board. The grant covering successful scholars is made to the institutions which employ the faculty members.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 200 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From 3 to 12 months. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Award recipient: final program report submitted through the grantee institution no later than 90 days after the termination date of the award. Institution: fiscal year report. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Fiscal records of institutions subject to the Department audit at any time within 5 years after close of the fiscal year in which expenditures are made.

**Records:**

Records bearing on receipt and expenditure of grant funds must be made available for the Department inspection: (1) For 3 years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for 5 years following end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$1,600,000; FY 09 est \$1,295,857; FY 10 est \$1,295,857

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Nineteen new grants were awarded in FY 2008. Fiscal Year 2009: Eighteen grants were awarded in FY 2009. Fiscal Year 2010: Eighteen new grants are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 663, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Dudzinski, Advanced Training and Research Team, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: cynthia.dudzinski@ed.gov Phone: (202) 502-7589.

**Website Address:**

<http://www.ed.gov/programs/iegpsfra/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Effects of the Zimbabwe Revolution on the Southern African Regional System; Refugee Integration and Repatriation in Eastern Sudan; Women in Politics in Ecuador; Health Problems and the Accessibility and Utilization of Health Care in Guanacaste, Costa Rica; Worker Cooperatives in Japan and Culture of Cooperation; Technology and Nationalism in Late Colonial Netherlands East Indies; Proficiency-Based Business Arabic; Nations, Nationalism and Ethnicity: The Srilankan Model and its Transformations; Race, Ethnicity, Social Class and Power in the Hispanic Caribbean: The Historical Development and Contemporary Expression of Relations; The Americans in Prague: A History of US-Czechoslovak Relations, 1918-1993; Central and East European Countries and the European Union: Admission, Terms, Impacts; Turkey's Encounter with Nationalism and Modernity's Race, Class, and Gender in Black Political Movements in South Africa, 1925- 1960: A Biography of Jose Mpama. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following selection criteria for this program are from 34 CFR 663.21 and are as follows: The maximum score for all of the criteria, including the competitive preference priority is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers (1) the statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed or plans for research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress with scholars and officials of the host country or countries and the American scholarly community (10 points); and (6) the objectives of the project regarding the sponsoring institution's plans for developing or strengthening, or both, curricula in modern foreign languages and area studies (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's academic record (teaching, research, contributions, professional association activities (10 points); (2) the applicant's excellence as a teacher or researcher, or both, in his or her area or areas of specialization (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's previous overseas experience, or documentation provided by the sponsoring institution, or both (5 points). Subject to change. Contact program officer for further information.

**84.021 OVERSEAS PROGRAMS - GROUP PROJECTS ABROAD****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Executive Order Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To contribute to the development and improvement of the study of modern foreign languages and area studies in the United States by providing opportunities for teachers, faculty, and upperclassmen and/or graduate students to study, travel, and research in foreign countries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grant does not provide funds for project-related expenses within the United States. The grant funds may be used in the country of study for the following: maintenance stipend; round-trip international travel; project-related local travel; artifacts; books and other teaching materials; rent for instructional facilities; and clerical and professional services.

**Applicant Eligibility:**

Institutions of higher education, State departments of education, private nonprofit educational organizations, and a consortium of institutions, departments, and organizations.

**Beneficiary Eligibility:**

A participant must be: a citizen, or permanent resident of the United States, faculty member and teachers at all levels; a graduate or upperclassman who plans a teaching career in modern foreign languages or area studies.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An institution or organization interested in the program should plan and propose a group project that would significantly improve its program in foreign language and area studies. Specific guidelines for preparation of proposals as published in the Federal Register are available upon request from the International Education Programs Service (IEPS). The institution or organization must give assurance that the individuals it nominates to undertake the projects are appropriately qualified.

**Award Procedure:**

With the advice of a panel of academic consultants and an assessment of the feasibility and suitability of each proposal by U.S. Embassies and Binational Commissions in the proposed countries of study, the IEPS will make initial selections, and preliminary recommendations of grant recipients to the Secretary. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For short-term seminar, curriculum development, and group research or study

projects ranging from 5 weeks, generally, to 12 months; up to 48 months for advanced intensive language training projects. See the following for information on how assistance is awarded/released: The information is included in the grant award document.

**Reports:**

Terminal program reports and financial reports from the grantee. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records subject to audit at any time within five years after close of the fiscal year in which expenditures are made.

**Records:**

Documents bearing on receipt and expenditure of grant funds must be made available for inspection by the Department: (1) For three years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for five years following the end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$4,613,000; FY 09 est \$5,867,692; FY 10 est \$5,867,692

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects have had an effect on the curriculum through new and expanded courses and faculty training in the use of new materials. In fiscal year 2008, 44 new grants were awarded. Fiscal Year 2009: 44 new grants are expected to be awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 664, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Guilfoil, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St. NW, 6th Floor, Washington, District of Columbia 20006 Email: michelle.guilfoil@ed.gov Phone: (202) 502-7625.

**Website Address:**

<http://www.ed.gov/programs/ieegpsgpa/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A School-University Collaborative Project for Curriculum Development About the People's Republic of China: Choosing Modernization; Seminar on Cultural Diversity and Development in Malaysia and Singapore - A curriculum development program for 15 Andrew and other college faculty and pre-college teachers in Georgia; Seminar on Mexican Perspective of the North American Free Trade Agreement; Russia: In search of Democracy and Economic Reform A Curriculum Development Team Project; The Walls Come Tumbling Down: A 5-week travel-study seminar for 14 Maryland community college faculty to study the Polish people, country, and culture; and a 5-week seminar for consortia faculty on Post-Revolutionary Prospects in Ethiopia and

Eritrea. In addition nine advanced foreign language programs in Egypt, China, the Philippines, India, Nigeria, Indonesia, Japan, Russia, and Tanzania involving the instruction of Arabic, Chinese, Filipino, Hindi, Marathi, Bengoli, Hausa, Yoruba, Indonesian, Japanese, Russian, and Kiswahili. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 664.31 and are as follows: (a) Plan of operation (20 points), (b) quality of key personnel (10 points), (c) budget and cost effectiveness (10 points), (d) evaluation plan (20 points), (e) adequacy of resources (5 points), (f) potential impact of the project on the development of the study of modern foreign languages and area studies in American education (15 points), (g) relevance to the institution's educational goals and its relationship to its program development in modern foreign languages and area studies (5 points), (h) the extent to which direct experience abroad is necessary to achieve the project's objectives and the effectiveness with which relevant host country resources will be utilized (10 points), and (i) the extent to which the proposed project addresses the competitive preference priorities (10 points). Subject to change. Contact program officer for further information.

#### **84.022 OVERSEAS PROGRAMS - DOCTORAL DISSERTATION RESEARCH ABROAD**

##### **FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

##### **AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Executive Order Section 102(b)(6), Public Law 87-256.

##### **OBJECTIVES:**

To provide opportunities for graduate students to engage in full-time dissertation research abroad in modern foreign language and area studies with the exception of Western Europe. This program is designed to develop research knowledge and capability in world areas not widely included in American curricula.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds will be available to enable doctoral candidates to complete field research for their dissertations. Generally awards will not be available for projects focusing primarily on Western Europe or countries where the United States has no diplomatic representation. Financial provisions include basic stipend computed on the cost-of-living in the country where research is to be conducted; cost of round trip jet economy air fare for award recipient only; baggage allowance, if justified; dependents allowance for accompanying dependents based on cost-of-living in host country; project allowance to be utilized for the purchase of expendable materials, services, and supplies, tuition payments to foreign institutions, and local travel expenditures; funds to secure health and accident insurance.

##### **Applicant Eligibility:**

Institutions of higher education may apply.

##### **Beneficiary Eligibility:**

Candidate for Doctoral Dissertation Research Abroad Fellowship must: (1a) Be a citizen or national of the United States; (1b) be a permanent resident of the United States; or (1c) provide evidence from the Immigration and Naturalization Service that he or she is in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident; (2) be a graduate student in good standing at an institution of higher education who, when the fellowship period begins, has been admitted to candidacy in a doctoral degree program in modern foreign languages and area studies at that institution; (3) plan a teaching career in the United States upon graduation; (4) possess adequate skills in the foreign language(s) necessary to carry out the dissertation research project.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

The graduate dean of a college or university or his or her representative will be responsible for accepting, screening, and forwarding through the Department of Education's Application Control Center to the Advanced Training and Research Team those individual applications which meet the institution's technical and academic criteria and the program's eligibility requirements. Candidates for dissertation research fellowships apply directly to the institutions at which they are enrolled in a Ph.D. program, not to the Department of Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Institutions should request application materials from the Advanced Training and Research Team. Students should address requests for application forms to the office of the graduate dean or his or her representative at the graduate schools at which they are enrolled in a Ph.D. program.

##### **Award Procedure:**

The Advanced Training and Research Team will make initial selection and recommendation of fellowship recipients with the advice of a panel of specialists in foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. Selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board. The grant covering successful graduate students is made to the applicant, i.e., institutions of higher education.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

About 200 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Awards are made for at least 6 but not more than 12 months. See the following for information on how assistance is awarded/released: This information is included in the award document.

##### **Reports:**

Fellows: Terminal reports through the grantee institution no later than 90 days after the termination date of the award. Institutions: fiscal reports. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Fiscal records of institutions subject to Education Department audit at any time within 5 years after close of the fiscal year in which expenditures are made.

##### **Records:**

Records bearing on receipt and expenditure of funds to be made available for inspection by the Department for 3 years after close of fiscal year in which expenditures are made if departmental audit has occurred by that time, until audit or for five years following the end of the budget period in which the grant expired (whichever is later) or until resolution of any outstanding audit questions.

##### **Account Identification:**

91-0201-0-1-502.

##### **Obligations:**

(Project Grants) FY 08 \$4,925,225; FY 09 est \$4,667,838; FY 10 est \$4,667,838

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 146 new fellowships were awarded. Fiscal Year 2009: 116 new fellowships were awarded. Fiscal Year 2010: 116 new fellowships are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations published in 34 CFR 662, and in the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amy Wilson, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St NW, Room 6084, Washington, District of Columbia 20006 Email: [ddra@ed.gov](mailto:ddra@ed.gov) Phone: (202) 502-7689.

**Website Address:**

<http://www.ed.gov/programs/iegpsddrap/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Imagined Democracies, Nocturnal Communities: The Production of Political Space in Cote d'Ivoire; Strategies for Survival: Women, Power, and HIV Risk in Uganda; Spirit Possession in Northern Brazil; The Exus of Umbanda Forest Conservation and Common Property Management in Oaxaca, Mexico; Continuity and Change: Cooperatives in Contemporary Rural China; Strangers in their Homeland: The Ethnic Adaptation of Japanese-Brazilian Return Migrants and the Japanese Sociopolitical Response Towards Co-management; Conservation, Indigenous Communities and the Philippine State Disease; Social Change and Gender Among the Huli of Papua New Guinea; Language and Identity in Ukraine: The Politics of Interaction Propaganda vs. "Stalinization" of the Soviet Press, 1922-1930; Commemoration of Nation and Class in Two Palestinian Villages; Educating Ethnicity: Cypriot Conflict and the Revision of History; Education and Youth Culture in Kerala, South India, Trekking Tourism, Traditionalism and Development in a Nepali Village; Women's Political NGOs in the Emerging Democracy of Ghana; and Community Building among Indonesian Transmigrants: The Challenges of Ecological Sustainability and Social Harmony. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 662.21 and are listed in the following paragraphs. The maximum score for all of the criteria, including the competitive preference priority, is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers: (1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed in the United States and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to

establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and officials of the host country or countries (10 points); and (6) the guidance and supervision of the dissertation advisor or committee at all stages of the project, including guidance in developing the project, understanding research conditions abroad, and acquainting the applicant with research in the field (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's graduate academic record (10 points); (2) the extent to which the applicant's academic record demonstrates strength in area studies relevant to the proposed project (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experience, or both (5 points). Subject to change. Contact program officer for further information.

**84.027 SPECIAL EDUCATION GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Executive Order Sections 611-618, Part B, 20 U.S.C 1411-1418.

**OBJECTIVES:**

To provide grants to States to assist them in providing a free appropriate public education to all children with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used by State and local educational agencies, in accordance with the IDEA, to help provide the special education and related services needed to make a free appropriate public education available to all eligible children and, in some cases, early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, District of Columbia, Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Guam and Virgin Islands, the Department of the Interior, and freely associated States. Local educational agencies apply to their State educational agency for subgrants.

**Beneficiary Eligibility:**

Children with disabilities will benefit.

**Credentials/Documentation:**

The designated plan review agencies must be given an opportunity to review the State's policies and procedures. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility for funds under Section 612 of Part B of the IDEA. Local education agencies establish eligibility by meeting local application eligibility requirements of Section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award is forwarded to the State department of education. Notification of the award is made to Chief State School Officer.

**Deadlines:**

Apr 01, 2009: The submission date for State applications is April 1 to expedite funding, but plans or amendments are accepted throughout the fiscal year. The submission date for State applications is April 1 to expedite funding, but plans or amendments are accepted throughout the fiscal year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days.

**Appeals:**

The Department must give a State educational agency an opportunity for a hearing before taking any action involving the proposed disapproval of a State plan and the withholding of payments. If a State disagrees with a final action, it may, within 60 days after notice of such action, file a petition for review of that action with the U.S. Circuit Court of Appeals. A State may also engage in a hearing with the Department if the State disagrees with the action taken regarding a request for a waiver of the Part B supplementing and supplanting requirements.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Part B.

Matching Requirements: funds are awarded based on a statutory formula. In general, subject to minimum and maximum funding requirements, if the funds available to States increase from one year to the next, each of the states first received what it received in 1999. Eighty-five percent of the remaining funds are distributed based on the relative number of children with disabilities in the age range for which States mandate services; 15 percent of the remaining funds are distributed based on the relative numbers of those children living in poverty. If the amount available to these entities decreases from one year to the next, each entity receives what it did in 1999. Remaining funds are distributed in proportion to the increased these entities received between 1999 and the present year. Most of the funds must be distributed to local education agencies directly serving children. States may retain the remaining funds for state-level activities including administration of, support of, and direct services to children with disabilities. There are non-supplanting and excess cost requirements. The MOE requirements for this program applies to both State Educational Agencies and local educational agencies and is based on the amount of State and local expenditures for the previous fiscal year. Contact the program office for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. States and local education agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Annual data report and performance reports are submitted to the Department of Education from the State departments of education. No cash reports are required. Grantees are required to submit annual performance and progress reports. 34 CFR 80.40. No expenditure reports are required. Grantees are required to submit annual performance and progress reports. 34 CFR 80.40.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731).

Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$10,947,511,571; FY 09 est \$11,505,211,000; FY 10 est \$11,505,211,000

**Range and Average of Financial Assistance:**

In FY 2009, regular annual allotments to States, including DC and Puerto Rico, ranged from \$17 million to \$1.2 billion, with an average award of \$147 million. Grants to outlying areas ranged from \$4 million to \$13 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR 300, and 34 CFR 76-77,79,80-82,84-86, and 97-99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W, Washington, District of Columbia 20202 Email: Ruth.Ryder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/osep/index.html>

**RELATED PROGRAMS:**

84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection; 84.391 Special Education Grants to States, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Federal funds are combined with State and local funds to provide free appropriate public education to children with disabilities. This includes special education and related services. Funds are used for salaries of teachers and other personnel, education materials, related services--such as special transportation or occupational therapy that allow children with disabilities to access education services--and other education-related needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding based upon applications approved under IDEA, Section 612.

**84.031 HIGHER EDUCATION\_INSTITUTIONAL AID  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title V; Higher Education Act of 1965, as amended, Title II; Higher Education Act of 1965, as amended, Title IV, Part J, Section 449A, as amended by College Cost Reduction and Access Act (CCRAA) of 2007, Section 802.

**OBJECTIVES:**

To help eligible colleges and universities to strengthen their management and fiscal operations and to assist such institutions to plan, develop, or implement activities including endowment building that promise to strengthen the academic quality of their institutions.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Eligible institutions may apply under Part A or B of Title III. Part A includes Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian serving (ANNH) institutions, and Asian American and Native American Pacific Islander-serving Institutions (AANAPISI). Part B includes the Historically Black Colleges and Universities (HBCUs) program and the Historically Black Graduate Institutions (HBGI) program. Part A provides funds to eligible institutions to plan, develop, and implement activities for development of faculty, funds, and administrative management, and improvement of academic programs, acquisition of equipment for use in strengthening academic programs and institutional management, and joint use of facilities such as libraries, laboratories, and student services. Part B provides funds to undergraduate HBCUs and graduate HBGIs. Funds may be used for purchase, rental, or lease of scientific equipment; construction, maintenance, renovation, improvement in classroom, library and other instructional facilities; support of faculty exchanges and fellowships; academic instruction in disciplines in which Blacks are underrepresented, purchase of library books, periodicals, and other educational materials; tutoring, counseling, and student services; funds and administrative management; acquisition of equipment for use in funds management; endowment funds; and joint use of facilities. Title V Developing Hispanic Serving Institutions (HSIs) program provides funds to eligible HSIs for activities such as: faculty development; funds and administrative management; development and improvement of academic programs; endowment funds; curriculum development; scientific or laboratory equipment for teaching; renovation of instructional facilities; joint use of facilities; academic tutoring; counseling programs; and student support services. Title III, Part F, Section 371 authorizes funds for Hispanic Serving Institutions STEM and Articulation Programs to support the kinds of activities being supported under the existing Title V program, except that priority is given for applications that propose to increase the number of Hispanic and other low income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to applications that propose to develop model transfer and articulation agreements between the 2-year and 4-year HSIs in such fields. Funds provided for Title III and Title V may not be used for activities other than those in an approved application, activities that are inconsistent with any applicable State plan of higher education or State plan for desegregation, a school or department of divinity or any religious worship or sectarian activity; general operating and maintenance expenses; indirect costs; or supplanting of other funds available to the institution. These programs are subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

### Applicant Eligibility:

An institution of higher education that qualifies as eligible using criteria as specified in the regulations. Under Part A, specific and basic requirements as stated in the program regulations must be met. Eligible applicants include institutions that have: (1) A low average per FTE educational and general expenditure; (2) a substantial percentage of students having Pell Grants or other Federal need-based financial aid. However, a waiver of the low educational and general expenditure requirement and the needy student enrollment requirement may be granted to institutions meeting the criteria specified in the existing regulations. Under Part B HBCUs, certain historically Black institutions that were established prior to 1964, whose principal mission was, and is, the education of Black Americans are eligible. A listing of those institutions is published in program regulations; these HBCUs are also eligible under the Endowment Challenge Grant Program. Institutions eligible for HBGI program grants are specified in Title III Section 326(e)(1) of the HEA. Under the Title V HSIs program, an HSI is defined as an institution that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent.

### Beneficiary Eligibility:

Applicant institutions of higher education, including those in the territories and possessions that meet statutory eligibility requirements will benefit.

### Credentials/Documentation:

Institutions must document that they are accredited a nationally recognized accrediting agency or that they are making satisfactory progress toward such

accreditation. A 4-year institution must have authority to award a bachelor's degree. A 2-year institution must offer a program acceptable for full credit towards a bachelor's degree, or a two year program in engineering, mathematics, or the physical or biological sciences designed to prepare the student to work as a technician at a semiprofessional level. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for funding are available from the program office. Application deadlines are published in the Federal Register.

### Award Procedure:

Title III Part A applications and Title V Developing HSIs program applications are evaluated by external reviewers who are experts in postsecondary education. The Department makes final awards based primarily on the scores assigned to the applications by the external reviewers and the recommendations submitted by the staff of Institutional Development and Undergraduate Education Service, Office of Postsecondary Education.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

About six months.

### Appeals:

Not Applicable.

### Renewals:

Under the Strengthening Institutions Program, priority is given to applicants who are not already receiving a grant. Institutions that received a 5-year development grant are not eligible to receive an additional grant until 2 years after the date on which the 5-year terminates. After fulfilling the wait-out requirement, institutions applying for another grant under the Strengthening Institutions Programs must reapply for eligibility.

### Formula and Matching Requirements:

This program has no statutory formula. Matching Requirements: Funds are allocated to TCCUs, HBCUs, and HBGIs based on a statutory formula. Title III, Part A, Section 316(d), Title III, Part B, Sections 324 and 326(f). Under the Strengthening Institutions Program, Tribally Controlled Colleges and Universities, Historically Black Colleges and Universities, and Hispanic Serving Institutions, institutions of higher education may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. Under the HBGIs program, eligible institutions that have project grants over \$1,000,000 must match the entire Federal share on a dollar-for-dollar basis. This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Under the Strengthening Institutions Program, TCCUs, ANNH, AANAPI and HSIs, planning grants are for a period of up to 1 year, development grants are for a period of 5 years. See the following for information on how assistance is awarded/released: This information is included in the award document.

### Reports:

As required by the Special Grant Terms and Conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Subject to a Federal audit any time during the term of the grant and within a period of 3 years after the termination of Federal support.

**Records:**

Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$265,791,196; FY 09 est \$26,579,000; FY 10 est \$12,158,000 - Strengthening ANNH. (Project Grants) FY 08 \$323,095,530; FY 09 est \$323,095,000; FY 10 est \$250,000,000 - Strengthening HBCUs. (Project Grants) FY 08 \$5,000,000; FY 09 est \$7,500,000; FY 10 est \$2,625,000 - Strengthening AANAPI. (Project Grants) FY 08 \$8,577,487; FY 09 est \$8,577,000; FY 10 est \$9,006,000 - MSEIP. (Project Grants) FY 08 \$53,158,232; FY 09 est \$53,158,000; FY 10 est \$24,316,000 - Strengthening TCCUs. (Project Grants) FY 08 \$78,145,523; FY 09 est \$80,000,000; FY 10 est \$84,000,000 - Strengthening Institutions (Part A). (Project Grants) FY 08 \$56,903,225; FY 09 est \$58,500,000; FY 10 est \$61,425,000 - Strengthening HBGLs. (Project Grants) FY 08 \$15,000,000; FY 09 est \$15,000,000; FY 10 est \$7,785,000 - Strengthening PBIs. (Project Grants) FY 08 \$5,000,000; FY 09 est \$5,000,000; FY 10 est \$2,625,000 - Strengthening NASNTI.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 600 grants were made in fiscal year 2008 in the Title III and Title V programs. Fiscal Year 2009: Approximately 610 grants are expected to be made in FY 2009. Fiscal Year 2010: Approximately 560 grants are expected to be made in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 607, 608, 609, 628, the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Laws, Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, 1990 K St., N.W., Washington, District of Columbia 20202 Email: james.laws@ed.gov Phone: (202) 502-7719.

**Website Address:**

<http://www.ed.gov/about/offices/list/ope/idues>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Education Department awarded grants: (1) To develop a management information system at the applicant institution; (2) to develop curriculum; (3) to develop management capabilities among administrators; (4) to develop computer-assisted instruction; and (5) to develop funds management procedures. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(a) Under Title III and Title V, the Department appoints review panels to provide comments and recommend ratings for the applications. The reviewers numerically rate each application assigned and provide the Secretary with comments on each. Criteria are published in the Federal Register along with the point value for each criterion. (b) Under HBCUs and HBGLs, funds are allocated based on a statute-driven formula. To be eligible to receive a grant under the Strengthening HBCUs program, an institution must be designated by the Secretary of Education as a Historically Black College or University. HBGLs receiving discretionary grants are specified in the program statute.

**84.032 FEDERAL FAMILY EDUCATION LOANS****FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title iv, Part B.

**OBJECTIVES:**

To encourage lenders such as banks, credit unions, savings and loan associations, pension funds, insurance companies, and schools to make loans to vocational, undergraduate, and graduate students enrolled at eligible postsecondary institutions to help pay for educational expenses. The loans are insured by a State or private nonprofit guaranty agency and reinsured by the Federal government.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford Loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS Loans generally begins within 60 days of disbursement of the last installment; repayment of a Consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

Under the Federal Stafford Loan Program, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school may apply. An otherwise eligible student is eligible for loans during a single 12-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Federal PLUS Loan program, parents may borrow for dependent students, and beginning July 1, 2006, graduate students may borrow to support their own education. Under the Federal Unsubsidized Stafford Loan program, graduate or professional students, and independent undergraduate students may apply; under certain circumstances, a dependent undergraduate student may apply for an Federal Unsubsidized Stafford Loan. Students who are enrolled at an eligible institution on at least a half time basis in a program that is required by a State for elementary or secondary teacher certification are also eligible for Federal Family Education Loan Program (FFEL) aid (Stafford, Unsubsidized Stafford and PLUS). Under the Federal Consolidation Loan program, a borrower may have his or her Stafford, Unsubsidized Stafford, PLUS, Perkins (formerly NDSL), and Health Professions Student loans consolidated, provided that the borrower is in a grace period or repayment status on all loans being consolidated, or is a delinquent or defaulted borrower who will reenter repayment through consolidation, and does not have another application for a consolidation loan pending. Only U.S., citizens or nationals may receive a loan to attend eligible foreign postsecondary schools. A student presently enrolled at a participating institution must maintain satisfactory academic progress in the course of study he/she is pursuing. Also, the borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a statement of registration compliance (Selective Service). To receive a subsidized Stafford Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest and special allowance benefits. Unsubsidized Federal Stafford, PLUS, or Consolidation loans are non-need based programs. A Stafford Loan applicant who is an undergraduate student who attends a school that participates in the Pell Grant program must receive a determination of his or her Pell Grant eligibility or ineligibility before the school may certify an application for a loan. If the applicant is determined to be eligible for a Pell Grant, the applicant must apply for a Pell Grant for the enrollment period before the institution may certify an application for a FFEL loan. An Unsubsidized Stafford Loan applicant must also receive a determination of need for a loan under the Stafford Loan program and, if eligible, must apply for a Stafford Loan prior to the school's certification of the Unsubsidized Stafford Loan



application.

**Beneficiary Eligibility:**

Generally, for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, professional, or vocational student at a participating postsecondary school benefits. If a student is enrolled in a non-degree/noncertificate course of study, the student may be eligible for Stafford or Unsubsidized Stafford loans for one consecutive twelve-month period, if the school determines that the course of study is necessary in order for the student to enroll in a program leading to a degree or certificate. A student enrolled on at least a half-time basis in a program required by a State for a professional credential or certificate for employment as a teacher in an elementary or secondary school located in that State is eligible to receive aid under the Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs. Consolidation Loan borrowers need not be enrolled in any school to be eligible.

**Credentials/Documentation:**

For the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, the student will need certification of eligibility from the school, and may be required to supply documentation to verify the accuracy of data used in the Stafford Loan need analysis. 87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Information regarding application procedures may be obtained from lenders, schools, the Department of Education, States, or guaranty agencies. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs are obtained from a participating lender, guaranty agency, or school. FFEL Consolidation Loan applications are obtained from lenders. The borrower completes his or her portion of a Stafford, Unsubsidized Stafford, or PLUS loan application and submits it to the school. The school must certify the student meets eligibility requirements for the loan, including a certification that the student is enrolled, or accepted for enrollment as at least a half-time student, and that the student is making satisfactory progress. The school must also certify the type and amount of loan the student is eligible to receive. The lender then completes its portion of the application and forwards it to the guarantor for commitment. In some States, the guarantor issues the notice of guarantee prior to sending the application to the lender.

**Award Procedure:**

If the lender agrees to make the loan, the application is forwarded to the guarantor for insurance. The lender disburses the proceeds of a Stafford, Unsubsidized Stafford, or PLUS loan to the school or, if the student is attending a foreign school, directly to the borrower. Consolidation Loan proceeds are disbursed directly to the holders of the loans selected for consolidation. In most cases, a loan must be disbursed in more than one installment over the length of the period of enrollment for which the loan was intended, based on a disbursement schedule provided to the lender by the school on behalf of the borrower. This multiple disbursement requirement does not apply to Consolidation Loans. The borrower is required to pay an insurance premium of one percent of the principal amount of a subsidized Stafford Loan, Unsubsidized Stafford Loan, or PLUS Loan. The charging of the insurance premium and the amount is determined by the guarantor. In addition, for a Stafford, Unsubsidized Stafford, or PLUS loan, the borrower is required to pay a three percent "origination fee" (on loans disbursed on or after July 1, 1994) which is used to help defray program costs. These origination fees are normally deducted proportionately from each disbursement of the loan proceeds. Under the Higher Education Reconciliation Act (HERA) of 2005, these fees were reduced to 2 percent on July 1, 2006; 1.5 percent on July 1, 2007; 1 percent on July 1, 2008; and 0.5 percent on July 1, 2009; or Stafford and insubsidized Stafford. The fees would be eliminated as of July 1, 2010. Plus loans retain a 3

percent origination fee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The College Cost Reduction and Access Act (CCRAA) of 2007 authorized phased reductions to the interest rates for Subsidized Stafford loans borrowed by undergraduates with the rate cut in half to 3.4 percent on July 1, 2011. Repayment generally is made over a period of 10 years for Federal Stafford, and PLUS Loans, excluding periods of authorized deferment and forbearance, but extended repayment plans are available. The repayment period for a Consolidation Loan depends on the amount of the loan and may be up to 30 years, exclusive of periods of authorized deferment and forbearance. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. See the following for information on how assistance is awarded/released: Contact the program office for information.

**Reports:**

Lenders submit quarterly reports of loans outstanding in order to receive interest benefits and special allowance payments. Guaranty agencies submit reports in order to receive reinsurance and administrative payments. Additional operational reports are required for specific purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Lenders, schools (except foreign schools), and guaranty agencies are subject to examination and program review by the Department of Education. Generally, program reviews are performed on a fiscal year basis. Participating schools must have an independent audit of all Stafford Loan Program transactions at least annually. Guaranty agencies must have independent financial and compliance audits annually. Guaranty agencies must conduct annual reviews of the ten largest loan volume lenders in their areas as well as schools with default rates above 20 percent that do not have a default management plan approved by the Secretary.

**Records:**

Lenders must maintain records to support and identify loan transactions, interest billings, and/or special allowance. Guaranty agencies must maintain complete records to support and identify their activities. Federal regulations specify administrative and fiscal records required to be maintained by schools.

**Account Identification:**

91-4251-0-1-502.

**Obligations:**

(Direct Loans) FY 08 \$62,352,000,000; FY 09 est \$75,827,000,000; FY 10 est \$45,535,000,000 - FFEL Consolidation volume: FY 08 est \$10,745,000,000; FY 09 est \$1,018,000,000; FY 10 est \$812,000,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 13 million loans were made in fiscal year 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 682.

**Regional or Local Office:**

See Regional Agency Offices. See list of Regional Offices listed in Appendix IV of the Catalog. Each State with an operating guaranty agency maintains an office in its respective State. A list of guaranty agency addresses is available from the address below.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: 800-433-3243

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.007 Federal Supplemental Educational Opportunity Grants; 84.033 Federal Work-Study Program; 84.038 Federal Perkins Loan Program Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.033 FEDERAL WORK-STUDY PROGRAM**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Higher Education Act of 1965, as amended, Title IV, Part C; 42 U.S.C. 2751-2756a.

**OBJECTIVES:**

To provide part-time employment to eligible postsecondary students to help meet educational expenses and encourage students receiving program assistance to participate in community service activities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Federal share of compensation paid to students does not exceed 75 percent for work on campus, or work in a public agency or private nonprofit organization, unless waived by the Secretary. The Federal share of compensation paid to students does not exceed 50 percent for jobs with a private-for-profit organization. No more than 25 percent of an institution's work-study allocation may be used for private-for-profit organizations. If it provides FWS employment to its students in that year, an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000 of its program expenditures, plus up to 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000 plus up to 3 percent of expenditures in excess of \$5,500,000. An institution is required to use at least 5 percent of its total FWS allocation to pay the Federal share of wages to students employed in community service jobs unless it receives a waiver.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial

need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation. See listing of ED Regional Offices in Appendix IV of the Catalog. Students should contact the institution(s) they attend or plan to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office of Federal Student Aid. New institutions submit only the application form.

**Award Procedure:**

The Office of Student Financial Aid determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

**Deadlines:**

Oct 01, 2009: Deadlines are specified on the application (usually October 1). Specified on the application (usually October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notifications sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part C.

Matching Requirements: Under the funding formula, funds are distributed to institutions, first, on the basis of the institution's base guarantee plus the pro rata share received during the 1999-2000 award year under the FWS Program and, then, on the basis of the aggregate need of the eligible students in attendance. Employers of FWS recipients must contribute 25 percent of the funding, (except in the case of private, for-profit organizations, which must match 50 percent) and in the case of established criteria for which the matching requirement is waived.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. ARRA funds are included in the regular appropriation program compliance under OMB Circular A-122. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to activities of a given fiscal year must be retained for a period of 3 years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502; 91-0199-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$980,492,000; FY 09 est \$1,180,492,000; FY 10 est \$980,492,000 - FY 2009 total includes \$200,000,000 provided by the American Recovery and Reinvestment Act of 2009.

**Range and Average of Financial Assistance:**

The average award in FY 2008 was \$1,500. The average award in FY 2009 is estimated at \$1,527.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Institutions will award \$1,170,845,000 to about 780,563 recipients. Fiscal Year 2009: Institutions are estimated to award \$1,417,322,000 to approximately 944,881 recipients. Fiscal Year 2010: Institutions are estimated to award \$1,170,845,000 to approximately 780,563 recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 675. Notification to Members of Congress, list of grantees, published annually or as required, no charge; Student Guide, no charge; Student Financial Aid Handbook, no charge; Federal Needs Analysis Methodology, no charge; Verification Handbook, no charge; Training Materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Public and private nonprofit organizations should contact grantee educational institutions in their own State or multi-State areas. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: 800-433-3243

**Website Address:**

<http://www.ifap@ed.gov>; [www.studentaid.ed.gov](http://www.studentaid.ed.gov)

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.031 Higher Education Institutional Aid; 84.032 Federal Family Education Loans; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.037 PERKINS LOAN CANCELLATIONS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title IV, Part E.

**OBJECTIVES:**

To reimburse institutions for their share of loans canceled for Perkins Loan recipients who enter certain fields of public service and to restore to institutional revolving funds the full amounts of Direct and Federal Perkins Loans canceled for certain types of teaching service, Head Start service, military service in areas of hostility, law enforcement or corrections officer service, service as a nurse or medical technician, service to certain types of high risk children, and volunteer service.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

To reimburse institutions for their share of loans canceled for Perkins Loan recipients.

**Applicant Eligibility:**

Higher education institutions (public, other nonprofit, postsecondary vocational and proprietary) meeting the eligibility requirements may apply.

**Beneficiary Eligibility:**

For Federal Perkins and National Direct Loan borrowers with loans made on or after July 23, 1992, and for Federal Perkins National Direct and Defense loan borrowers with an outstanding balance as of October 7, 1998, on loans made before 7/23/92. Loan cancellation is available for service as a full-time teacher in a designated elementary or secondary school having a high enrollment of children from low-income families; as a full-time staff member in a Head Start Program; as a member of the Armed Forces (in an area of hostilities); as a volunteer in the Peace Corps or ACTION programs as a full-time law enforcement officer or corrections officer serving local, State, or Federal agencies; as a full-time special education teacher, including teachers of infants, toddlers, children, or youth with disabilities in a public or other nonprofit elementary or secondary school system, or as a full-time qualified professional provider of early intervention services in a public or other nonprofit program under public supervision; as a full-time teacher of mathematics, science, foreign languages, bilingual education, or any other field of expertise that is determined by the State education agency to have a shortage of qualified teachers; as a full-time nurse or medical technician; or as a full-time employee of a public or private nonprofit child or family service agency that is providing or supervising the provision of services to high risk children and their families from low-income communities. Cancellation provisions are different for loans made before July 23, 1992.

**Credentials/Documentation:**

Cancellation certificates require documenting public service. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In case of loans canceled under provisions of the National Defense Education Act, the institution receives funds from the Department of Education equal to the institutional contribution of the amounts canceled; for loans canceled pursuant to Title IV, Part E, of the Higher Education Act, the institution receives funds from the Department of Education to restore the full amount canceled. No application form is required.

**Award Procedure:**

Reimbursements are made annually upon acceptance of the institution's Fiscal Operations Report.

**Deadlines:**

Oct 01, 2009 Deadlines are specified on application notices (usually October 1).

**Range of Approval/Disapproval Time:**

Reimbursements are made upon acceptance of the Fiscal Operations Reports.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title IV.

Matching Requirements: Under the National Defense Education Act, as amended, payments are based on ratio of institutional matching monies to total loan amount. The payment replaces institutional funds (not less than one-tenth of loan) which were canceled for teaching and/or military service. For loans canceled pursuant to the Higher Education Act, the full amount canceled for teaching, Head Start, military, volunteer, law enforcement or corrections officer, nurse or medical technician, and child or family service agency is restored to the fund at the institution.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Reimbursement takes place upon acceptance of an annual Fiscal Operations Report. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

A Fiscal Operations Report is submitted by each institution at the close of each award year (June 30). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

Records pertaining to the eligibility and repayment history of each loan recipient must be retained by the institutions for three years after the final repayment or cancellation occurs or until the loan is assigned. An institution must keep other records for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$64,327,000; FY 09 est \$67,164,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 674; Student Guide, no charge; Student Financial Aid Handbook, no charge; notification to Members of Congress, list of grantees published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator for Student Financial Assistance in the appropriate Regional Office. See Appendix IV of the Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studetaid.gov](http://www.studetaid.gov)

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.007 Federal Supplemental Educational Opportunity Grants; 84.031 Higher Education Institutional Aid; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.038 FEDERAL PERKINS LOAN PROGRAM\_FEDERAL CAPITAL CONTRIBUTIONS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title IV, Part E.

**OBJECTIVES:**

To provide low interest loans to eligible postsecondary students with demonstrated financial need to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Institutions use funds to make loans to needy, eligible students for meeting educational expenses. The maximum annual loan amount limit for an eligible student attending an institution is \$8,000 for a graduate or professional student or \$5,500 for undergraduates. The maximum aggregate loan amount for an eligible student attending an institution is \$60,000 for a graduate or professional student, including loans borrowed as an undergraduate student, or \$27,500 for a student who has successfully completed 2 years of a program of undergraduate study and \$11,000 for any other student. For a program of study abroad that has reasonable costs in excess of the home costs, the annual and aggregate limits may be exceeded by 20 percent. An institution is entitled to an administrative cost allowance for an award year if it advances funds to students in that year under the Federal Perkins Loans Program, in an amount equal to five percent of the first \$2,750,000 in expenditures, plus 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent for expenditures in excess of \$5,500,000. Contact the program office for this information.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students in an eligible program, are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation (see listing of ED Regional Offices in Appendix IV). Students should contact the institution(s) they attend or wish to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office Federal Student Aid. New institutions submit only the application form.

**Award Procedure:**

The Office Federal Student Aid determines final awards and notifies participating institutions.

**Deadlines:**

Oct 01, 2009 Deadlines are specified on the application (usually around October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notification sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part E.

Matching Requirements: Funds are allocated to institutions on the basis of the institution's guarantee allocations and demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. The institutional capital contribution (ICC) for institutions is one-third of the FCC (or 25 percent of the combined FCC and ICC).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED Form 646-1) is submitted by each institution at the close of each award year of operation (June 30). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

Except for loan records and records of expenditures questioned in audits or Departmental program reviews, an institution must keep records for an award year for three years after submitting its Fiscal Operations Report for an award year, or until final resolution of an applicable audit or program review, whichever is later. An institution must keep loan repayment records for at least 3 years from the date of satisfaction of the loan or assignment of the loan to the United States, or it is canceled.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 674; Student Guide, no charge; Student Financial Aid Handbook, no

charge; notification to Members of Congress, list of grantees published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in appropriate ED Regional Office. See Appendix IV of the Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., , Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov)

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.040 IMPACT AID\_FACILITIES MAINTENANCE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title VIII, Section 8008.

**OBJECTIVES:**

To maintain school facilities owned by the Department of Education and operated by local educational agencies (LEAs), and to transfer those facilities to the LEAs, where appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To maintain federally owned school facilities and restore or improve them where appropriate to enable an LEA to accept ownership. The Department directly oversees construction projects, unless the LEA has agreed to accept transfer of the facility, in which case funds may be provided to the LEA to complete the project after the transfer. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

LEAs that operate school facilities owned by the Department of Education.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. There is no application form for Section 8008 grants. Contact the program office for information.

**Award Procedure:**

The Department of Education makes final decisions to fund projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Contact the program office for this information.

**Appeals:**

Not Applicable.

**Renewals:**

Approved construction projects may be revised during construction, subject to appropriate approvals.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and terms of an award will be established prior to the award. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and Education Department General Administrative Regulations (EDGAR) for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with OMB Circular No. A-102 (Attachment C) and Education Department General Administrative Regulations, for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$4,864,000; FY 09 est \$4,864,000; FY 10 est \$4,864,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Emergency repairs are made to schools with funds from this program. Some facilities are improved to the extent that LEAs accept ownership. Fiscal Year 2009: Same as FY08. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published at 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Schagh, Department of Education, OESE Impact Aid Programs 400

Maryland Ave., S.W., Rm. 3E105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858.

**Website Address:**

<http://www.ed.gov/about/offices/list/oease/impactaid/index.html>.

**RELATED PROGRAMS:**

84.041 Impact Aid; 84.401 Impact Aid School Construction, Recovery Act; 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Additions of classrooms to existing buildings. Repairs of schools to provide access for the disabled and to ensure the safety of building users. Construction of a new school to replace three outdated facilities on a military base. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Emergency repairs are funded as needed. Priority for more extensive projects is given to LEAs that agree to accept transfer of the school facility.

**84.041 IMPACT AID**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended., Executive Order Title VIII., Title xx.

**OBJECTIVES:**

To provide financial assistance to local educational agencies (LEAs) where affected by Federal activities, i.e., where the tax base of a district is reduced through the Federal acquisition of real property (Section 8002, ESEA) and; where the presence of certain children living on Federal property places a financial burden on the LEAs that educate them (Sections 8003 and 8007(b), ESEA).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Most assistance becomes part of the general operating fund of the LEAs. Districts usually deposit the Federal payment in the general operating funds account in accordance with State laws, together with all State and local funds available for current operating expenses and use this combined account to finance the school program in the district. Special additional payments made to LEAs related to enrollments of federally connected children with disabilities must be used for programs and projects designed to meet the special educational and related needs of these children. Payments for construction may be used for construction and renovation, debt service, or other capital fund activities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Local educational agencies that provide free public elementary or secondary education may apply. Under Section 8002, generally, assistance is provided to districts where an aggregate of 10 percent or more of the assessed valuation of all real property in the school district as of the time(s) of acquisition) has been acquired by the Federal Government since 1938 and the district is not being substantially compensated by revenue from activities on the eligible Federal property. Under Section 8003, assistance is provided to districts where at least three percent or 400 of the total number of eligible federally connected children in average daily attendance (ADA) live on Federal property including Indian lands and/or have a parent who works on Federal property or is on active duty in the uniformed services. Under Section 8007(b), LEAs that enroll a high proportion (at least 40 percent) of federally connected children, have little or no funding capacity, or one "heavily impacted" districts may be eligible for a competitive construction award.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to the Secretary of Education and a copy is sent to the State educational agency (SEA). A local educational agency may secure advice and an application form (ED Form 4019) from its SEA. Applications must show the membership of federally connected children on the survey date chosen by the school district within the period prescribed by the Secretary.

**Award Procedure:**

Funds are generally made available, when an appropriation is made.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Program Office for this information.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included under the program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Sections 8002 and 8003.

Matching Requirements: Under Section 8002, payments are determined under a statutory formula that considers the assessed valuation of the property acquired by the Federal government and the LEA's local tax rate for current expenditures. Under Section 8003, payments are determined under a statutory formula that considers the average daily attendance of federally connected students for the previous year, the per pupil expenditure average from the third preceding year, the weight in the statute attached to certain categories of federally connected students, the total current expenditures of the LEA, and the total membership of the LEA. Under Section 8007(b), payments are awarded on a competitive basis to certain eligible LEAs that receive Impact Aid. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are made annually to eligible LEAs. See the following for information on how assistance is awarded/released: This information is included in award documents.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program staff conducts mail-in or on-site reviews to verify application data and collect additional required information.

**Records:**

In accordance with the General Education Provision Act and program regulations, an LEA generally must retain records supporting its payment amount for 3 years after the last payment for a fiscal year.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$1,218,345,000; FY 09 est \$1,243,345,000; FY 10 est \$1,243,345,000. (Project Grants (Discretionary)) FY 08 \$17,509,000; FY 09 est \$17,509,000; FY 10 est \$17,509,000

**Range and Average of Financial Assistance:**

For FY 2009, the estimated range of awards for Basic Support payments is expected to be between \$58-\$47,630,248 with an average award of \$922,760; for Payments for Children With Disabilities, the estimated range of awards is expected to be between \$491-\$1,575,530 with an average award of \$53,882; for Payments for Federal Property, the estimated range of payments is expected to be \$150-\$5,350,000 with an average award of \$309,383. For Impact Aid Construction, the estimated range of payments is expected to be \$20,000-\$3,000,000 with an average award of approximately \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants on behalf of an estimated 953,000 children were awarded to approximately 1,234 LEAs. Fiscal Year 2009: (est) Grants on behalf of an estimated 934,000 children will be awarded to approximately 1,223 LEAs. Fiscal Year 2010: (est) Grants on behalf of an estimated 934,000 children will be awarded to approximately 1,223 LEAs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Schagh, Department of Education, OESE Impact Aid Programs 400 Maryland Ave., S.W., Rm. 3E105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858.

**Website Address:**

<http://www.ed.gov/about/offices/list/oease/impactaid/index.html>.

**RELATED PROGRAMS:**

84.040 Impact Aid\_Facilities Maintenance; 84.401 Impact Aid School Construction, Recovery Act; 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Under Section 8002 and 8003, formula payments are generally deposited in eligible LEA, general fund accounts and are used for basic operating costs within the LEA, including teacher salaries, utilities, books, and supplies. For Section 8007(b), the most recent competitive construction grant were awarded in the Summer of 2006. Funds were used by LEAs to replace failing alarm systems, install waste water treatment facilities, repair lighting, electrical and air exchange systems, repair roofs, floors, and windows, and other emergency repairs. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Payments are computed on the basis of the statutory formula. Payments are prorated if appropriations are insufficient.

**84.042 TRIO\_STUDENT SUPPORT SERVICES****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 2, Chapter 1, Section 402D.

**OBJECTIVES:**

To provide supportive services to disadvantaged college students to enhance their potential for successfully completing the postsecondary education program in which they are enrolled and increase their transfer rates from 2-year to 4-year institutions. To foster an institutional climate supportive of the success of disadvantaged college students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities or limited English proficiency, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's funds).

**Applicant Eligibility:**

Institutions of higher education and combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income, first generation college students or disabled students who are enrolled or accepted for enrollment at the institution which is the recipient of the grant and who are in need of academic support in order to successfully pursue a program of postsecondary education. At least two-thirds of the project participants must be disabled or must be low-income individuals who are first generation college students. The remaining participants must be disabled, low-income individuals, or first generation college students. One-third of the disabled participants must be low-income. Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State Plan is required. Requests for program applications should be made to the Office of Federal TRIO Programs, College and University Support Team. This program is subject to the provisions of EDGAR.

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 646.21 and 646.22. Grants are awarded through the Federal TRIO Programs office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

. Yes. The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is 5 years. Continuation awards are approved on an annual basis; subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Any grantee that uses funds for student grant aid must match the funds, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of student grant aid funds, unless the grantee is eligible for a waiver to the match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, with annual continuation awards. Continuation awards are subject to the availability of funds and satisfactory progress by the grantee. See the following for information on how assistance is awarded/released: Contact the program office.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a period in its first year of funding. Staff monitor grant drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with Education Department General Administrative Regulations, 34 CFR 75.702 and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$284,365,000; FY 09 est \$297,122,000; FY 10 est \$295,548,000

**Range and Average of Financial Assistance:**

The average 2008 award was \$301,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supported 948 projects serving nearly 199,000 students in 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 34 CFR 646 and Education Department General Administrative Regulations (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Walsh Department of Education, Office of Postsecondary Education, Federal TRIO Programs, 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: trio@ed.gov Phone: (202) 502-7694

**Website Address:**

<http://www.ed.gov/programs/triostudsupp/>.

**RELATED PROGRAMS:**

84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects at colleges, universities, and community and junior colleges provide support (counseling, tutoring, instruction, and other special services) for low-income, first-generation college students and for students with disabilities. Some projects also provide supportive services especially designed for students of limited English proficiency. Fiscal Year 2009: No



Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of 34 CFR 75.253. For new awards, applicants will be selected under this part on the basis of the criteria set forth in 34 CFR 646.21. Contact the program office for additional information.

**84.044 TRIO\_TALENT SEARCH**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 2, Chapter 1, Sections 402B, 20 U.S.C 1070a-12.

**OBJECTIVES:**

To identify qualified disadvantaged youths with potential for postsecondary education; to encourage them in continuing in and graduating from secondary school and in enrolling in programs of postsecondary education; to publicize the availability of student financial aid; and to increase the number of secondary and postsecondary school dropouts who reenter an educational program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to educational institutions and agencies to identify qualified disadvantaged youths with potential for postsecondary education, encourage them to complete secondary school and undertake postsecondary educational training, and publicize existing forms of student aid. . Projects must provide connections to academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, connections to services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide academic tutoring personal and career counseling; information on career options, exposure to college campuses; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care. A grantee may not use the project as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education, public and private agencies and organizations, a combination of the above and, in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Individuals residing in the target area or attending a target school who have potential for education at the postsecondary level and who can benefit from one or more of the services provided by the project. Two-thirds must be low-income individuals who are also potential first generation college students. Project participants must be between 11 and 27 years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State plan

is required. Requests for program applications should be made to the Federal TRIO Programs. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 643.21 and 34 CFR 643.22. New regulations are being developed. Consult the program office for details. Grantees will be selected on the basis of satisfactory proposals and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five year project periods. Continuation awards are approved on an annual basis, subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, annual awards. Continuation awards are subject to the availability of funds and evidence that the grantee is making satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. Cash reports are not applicable. Progress reports (form ED 524B) are required for a project in its first year of funding. Staff monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR (74.26, 75.702, 75.910, 74.61.)

**Records:**

In accordance with EDGAR 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$142,744,000; FY 09 est \$142,744,000; FY 10 est \$142,744,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 08 the average award was approximately \$306,000. The statutory minimum is \$200,000, unless the applicant requests a smaller amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supported 466 grants serving approximately 363,300 students in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 34 Code of Federal Regulations Part 643  
Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 74, 75, 77, 79, 82, 84, 85, and 86.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Loretta Brown Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [loretta.brown@ed.gov](mailto:loretta.brown@ed.gov) Phone: (202) 502-7539

**Website Address:**

<http://www.ed.gov/programs/triotalent/>

**RELATED PROGRAMS:**

84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria that were set forth in 643.21 of the program regulations. New regulations are under development. Contact the program office for additional information.

**84.047 TRIO\_UPWARD BOUND****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Subpart 2, Title IV, Part A, Section 402C, 20 U.S.C 1070a-13.

**OBJECTIVES:**

To generate skills and motivation necessary for success in education beyond high school among low-income and potential first-generation college students and veterans. The goal of the program is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue and complete a postsecondary educational programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to eligible grantees to provide academic instructional programs, personal and academic counseling, career guidance and special instruction to prepare project participants for careers in which persons from disadvantaged backgrounds are particularly underrepresented, tutoring, and exposure to cultural events and academic programs not usually available to disadvantaged youths.

Projects must provide academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide academic tutoring; personal and career counseling; information on career options; summer college campus residential programs; services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care; and to pay stipends to students, not to exceed \$40 a month during the academic year and \$60 a month during the summer. A grantee may not use the project as part of its recruitment program. Separate projects provide special services for veterans and for

students with a special interest in math and science.

**Applicant Eligibility:**

Institutions of higher education, public or private not-for-profit agencies, a combination of the above, and in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Low-income individuals and potential first generation college students who have a need for academic support in order to successfully pursue a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first generation college students. The remaining participants must be either low-income individuals or potential first generation college students. Required low-income criteria are stated in application materials. Except for veterans, who can be served regardless of age, project participants must be between 13 and 19 years old and have completed the eighth grade but have not entered the twelfth grade (exceptions allowed).

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, application and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers who are not employees of the Federal Government evaluate new proposals on the basis of the selection criteria specified in 34 CFR 645.31 and 34 CFR 645.32. Grantees will be selected on the basis of rank order of total scores and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Continuation awards for up to five years approved on an annual basis; subject to the availability of funds and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects; annual awards. See the following for information on how assistance is awarded/released: Contact the program office for the information.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a project in its first year of funding. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.702, 74.61.

**Records:**

In accordance with (EDGAR) 34 CFR 75.730, 75.731, and 75.732 and 34 CFR 645.43(c).

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$356,500,000; FY 09 est \$362,600,000; FY 10 est \$362,600,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supported 1,121 projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 645.

**Regional or Local Office:**

See Regional Agency Offices. Department of Education regional offices. See Appendix IV in the Catalog.

**Headquarters Office:**

Gaby Watts Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W, Washington, District of Columbia 20202 Email: gaby.watts@ed.gov Phone: (202) 502-7545

**Website Address:**

<http://www.ed.gov/programs/trioupbound/>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants to colleges, universities and other institutions to generate skills and motivation necessary for low-income, potential first generation college students to be successful in postsecondary institutions. Regular Upward Bound projects provide high school students with both summer and academic year services. Veterans Upward Bound projects provide short-term services, designed to prepare eligible veterans for acceptance into a postsecondary program. Upward Bound Math and Science Regional Centers provide high school students with summer academic services for interested math and science students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, applicants will be selected on the basis of the criteria set forth in 34 CFR 645.31. New regulations are under development. Contact the program office for additional information.

**84.048 CAREER AND TECHNICAL EDUCATION -- BASIC GRANTS****TO STATES****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title I.

**OBJECTIVES:**

To develop more fully the academic, career, and technical skills of secondary and postsecondary students who elect to enroll in career and technical education programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Each State must distribute at least 85 percent of its award to local agencies to fund secondary and postsecondary institutions that provide career and technical education services, from which the state may choose to award an amount equivalent to 10 percent of its award to make awards to local agencies in rural areas, areas with high percentages of career and technical education students, and areas with high numbers of career and technical education students. Each State may keep up to 5 percent (or \$250,000, whichever is greater) of its award for state administration and up to 10 percent of its award to fund leadership activities (and from that amount, it must reserve an amount equivalent to 1 percent of its award to assist individuals in state institutions and between \$60,000 and \$150,000 to fund services to prepare individuals for non-traditional fields). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to States. Eligible recipients for subgrants are local educational agencies and postsecondary institutions.

**Beneficiary Eligibility:**

A wide range of individuals pursuing vocational education and training will benefit.

**Credentials/Documentation:**

The establishment of a State Board for Career and Technical Education is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A 5-year State plan for career and technical education must be prepared. State plans are subject to public hearings. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States submit 5-year State plans for career and technical education to the Department of Education.

**Award Procedure:**

The Department of Education approves the 5-year State plan and makes allocations to the States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 30 to 120 days.

**Appeals:**

A State board that is dissatisfied with the final action of the Assistant Secretary in disapproving a State Plan is afforded reasonable notice and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The funding formula is based on State per-capita income and population in three age cohorts (15-19,20-24, and 25-65). The formula provides for a minimum State allocation and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder flows to the other States. In addition, the Pacific territories receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Hawaiian Natives. The Bureau of the Census supplies the population data; the Department of Labor supplies the per-capita income data.

Section 102 of the Perkins Acts requires 50/50 matching for State administration. No match is required for American Samoa, the Northern Mariana Islands, the Virgin Islands, Guam, or the Republic of Palau.

Section 311(b) of the Perkins Act describes maintenance of effort requirements. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds must be expended within 27 months after their first date of availability. See the following for information on how assistance is awarded/released: States draw funds as needed under the Electronic Funds Transfer System.

**Reports:**

Annual financial report, performance report, and Office for Civil Rights Annual Compliance Report must be submitted. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with section 443 of the General Education Provisions Act, as amended, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$1,141,988,000; FY 09 est \$1,141,988,000; FY 10 est \$1,141,988,000

**Range and Average of Financial Assistance:**

The range or awards in FY 2008 was \$613,000 to \$128,508,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants are made to the States and Outlying Areas to support career and technical education programs at the secondary, postsecondary, and adult levels. In school year 2007-2008 over 14.8 million students enrolled in secondary and postsecondary career and technical education programs. Fiscal Year 2009: In school year 2008-2009 over 14.8 million students enrolled in secondary and postsecondary career and technical education programs. Fiscal Year 2010: In school year 2009-2010 over 14.8 million students enrolled in secondary and postsecondary career and technical education programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations, Title 34 CFR 400 and 403; EDGAR 74, 76 (except 76.103), 77, 79, 80, 81, 82, and 85; OCR Guidelines for Vocational Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lee Miller Department of Education, OVAE Division of High School, Postsecondary and Career Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: sharon.miller@ed.gov Phone: (202) 245-7846

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/index.html>.

**RELATED PROGRAMS:**

17.201 Registered Apprenticeship and Other Training; 23.002 Appalachian Area Development; 84.002 Adult Education - Basic Grants to States; 84.051 Career and Technical Education -- National Programs; 84.101 Career and Technical Education - Indian Set-aside; 84.243 Tech-Prep Education; 84.245 Tribally Controlled Postsecondary Career and Technical Institutions

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Local recipients must operate a career and technical education program that: Strengthen the academic, career, and technical skills of students participating in vocational and technical education programs, achieved by integrating core academic subjects into career and technical education programs through a coherent sequence of courses; provide students with strong experience in and understanding of all aspects of an industry; develop, improve, or expand the use of technology in career and technical education; provide professional development programs to teachers, counselors, and administrators; develop and implement evaluations of the career and technical education programs carried out with funds under the Perkins Act, including an assessment of how the needs of special populations are being met; initiate, improve, expand, and modernize quality career and technical education programs; provide services and activities that are of sufficient size, scope, and quality to be effective; and link secondary career and technical education, including Tech-Prep programs, with postsecondary career and technical education programs. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: Same as FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.051 CAREER AND TECHNICAL EDUCATION -- NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 114.

**OBJECTIVES:**

To provide support research, development, demonstration, dissemination, evaluation, and assessment activities aimed at improving the quality and effectiveness of career and technical education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be made only for activities designed to improve the practice of career and technical education. Announcements for grants are made in the Federal Register. Contract competitions are announced in the FedBizOps.

**Applicant Eligibility:**

Eligible applicants include universities or a consortium of universities and a public or private nonprofit organization.

**Beneficiary Eligibility:**

Education professionals as well as the general public will benefit.

**Credentials/Documentation:**

Legal signature by a designated official on the grant application or contract proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for grants must be prepared in accordance with the regulations in 34 CFR Part 75. A proposal for a contract must be prepared in accordance with program announcements in the FedBizOps.

**Award Procedure:**

Applications are reviewed in accordance with regulations applicable to the Carl D. Perkins Career and Technical Education Act of 2006 found in 34 CFR Part 75 and with requirements published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

For grants, not applicable; for contracts, as specified in Federal Procurement Regulations, 41 CFR 1, 2, 407, and 408.

**Renewals:**

Awards are made annually, for a maximum award period of 5 years. Renewals subject to the availability of appropriations and are contingent on recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants or contract are awarded annually with a maximum award period of 5 years. Renewals are subject to the availability of appropriations and contingent on recipient performance. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Specific contract reporting requirements are contained in the Request for Proposal and contract document. Reporting requirements for grants are required in the regulations for Carl D. Perkins Career and Technical Education Act of 2006 for 34 Part 75. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of contract and grants.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$7,860,000; FY 09 est \$7,860,000; FY 10 est \$7,860,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Program funds support the National Career and Technical Education Research Center, the National Assessment of Career Technical Education, and other career and technical education dissemination activities. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: Same as FY 2008.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 34 CFR 401 and 411-413.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ricardo Hernandez, Department of Education, OVAE Policy, Research and Evaluation Staff 400 Maryland Ave., S.W., Washington, District of Columbia 22202 Email: Ricardo.Hernandez@ed.gov Phone: (202) 245-7818.

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/index.html> .

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded Projects include activities that help States align their career and technical education accountability systems with the provisions of the Perkins legislation, showcase and replicate successful community college programs, and support a National Research Center for Career and Technical Education and a National Assessment of Career and Technical Education. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: Same as FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

See 34 CFR Part 75 for selection criteria. However, each request for proposal contains weighted evaluation criteria which are unique to the particular requirements of the individual procurement.

**84.060 INDIAN EDUCATION\_GRANTS TO LOCAL EDUCATIONAL AGENCIES****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title VII, Part A, Subpart 1.

**OBJECTIVES:**

To address the unique education and culturally related academic needs of Indian students, including preschool children, so that these students can achieve to the same challenging state performance standards expected of all students. This program is the Department's principal vehicle for addressing the particular needs of Indian children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants supplement the regular school program, helping Indian children sharpen their academic skills, assisting students in becoming proficient in the core content areas, and providing students an opportunity to participate in enrichment programs that would otherwise be unavailable. Funds support such activities as after-school programs, tutoring, and dropout prevention. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) that enroll at least 10 Indian children or in

which Indians constitute at least 25 percent of the total enrollment. These requirements do not apply to LEAs serving Indian children in Alaska, California, and Oklahoma or located on, or in proximity to, an Indian reservation. Schools that receive funding from the DOI Bureau of Indian Education (BIE) under Section 1130 of the Education Amendments of 1978, 25 U.S.C. 2001, are deemed to be eligible to participate in this program.

**Beneficiary Eligibility:**

Eligible Indian children enrolled in eligible local educational agencies, and BIE-funded schools.

**Credentials/Documentation:**

The applicant must certify the number of eligible Indian children enrolled. The grant award is computed based on this information. An applicant must also assure that it has carried out a number of other required activities, including: holding a public hearing, establishing an Indian parent committee, and making arrangements for an evaluation of the effectiveness of the project. No grant will be made unless the applicant has the written approval of the applicant's Indian parent committee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The LEA annually submits to the Department of Education an application describing its proposed project. Application forms are available from the headquarters office.

**Award Procedure:**

Awards are issued annually directly to the LEA. Awards are made to all applicants that meet the applicable requirements of the Act and that have designed a project that the Secretary of Education determines will substantially increase the educational opportunities of the Indian children served by the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The Department calculates the amount of a grant that an LEA receives by multiplying the number of Indian children enrolled in the LEA's schools by the average per-pupil expenditure for the State in which the applicant is located, or 80 percent of the national average per pupil expenditure, whichever is greater. In setting the actual amount of a grant, an applicant's formula amount is adjusted on the basis of available appropriations. In order for an LEA to receive a grant, the appropriate State educational agency (SEA) must certify that the combined fiscal effort of that LEA and the State with respect to the provision of free public education by that LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort for that purpose for the second preceding fiscal year. If an LEA does not meet this requirement and the Secretary does not grant a waiver for unusual circumstances, the LEA's grant award is reduced in the proportion by which the LEA failed to meet the combined fiscal effort requirement. DOI/Bureau of Indian Education grantees

are exempt from the combined fiscal effort requirement. This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months and funds must be spent or obligated within the project period. Payments are made by direct deposit upon request by LEAs. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Financial and performance reports are due within 90 days of the termination of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained three years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$96,613,157; FY 09 est \$99,331,000; FY 10 est \$99,331,000

**Range and Average of Financial Assistance:**

Range of New Awards: \$4,000-\$2,245,000; Average New Award: \$78,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, awards were made to approximately 1,110 LEAs, 20 tribes, 86 BIE-grant/contract schools, and 54 BIE-operated schools. The projects that were funded served approximately 476,404 Indian students in elementary and secondary schools. The average per student payment was \$203. Fiscal Year 2009: Awards will be made to approximately 1,105 LEAs, 21 tribes, 88 BIE-grant/contract schools, and 54 BIE-operated schools. The projects will serve approximately 471,510 Indian students in elementary and secondary schools, with an average per student payment of \$211. Fiscal Year 2010: Awards will be made to approximately 1,105 LEAs, 21 tribes, 88 BIE-grant/contract schools, and 54 BIE-operated schools. The projects will serve approximately 471,510 Indian students in elementary and secondary schools, with an average per student payment of \$211.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 78, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathie Carothers Office of Indian Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: cathie.carothers@ed.gov Phone: (202) 260-1683

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/oie/programs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Instruction in reading and mathematics; counseling and guidance; native language and cultural education instruction; early childhood and family programs emphasizing school readiness; and school-to-work transition programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## **CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR; contact the program office for additional information.

## **84.063 FEDERAL PELL GRANT PROGRAM**

### **FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Higher Education Act of 1965, Title IV, Part A, Subpart 1, as amended.

### **OBJECTIVES:**

To provide eligible undergraduate postsecondary students who have demonstrated financial need with grant assistance to help meet educational expenses.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

### **USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching. Applicants must demonstrate need according to Part F of the Higher Education Act of 1965, as amended.

### **Applicant Eligibility:**

Undergraduate students and students pursuing a teaching certificate enrolled as regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered.

### **Beneficiary Eligibility:**

Undergraduate students and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens and meet financial need criteria. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's financial eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

### **Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Federal Pell Grant, using a payment schedule developed by the Department of Education that determines the amount of the award based on the student's expected family contribution, cost of attendance, and enrollment status.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 15 to 30 days.

### **Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

### **Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application which contains preprinted student data and requires students only to update certain information. However, eligibility is still annually determined.

### **Formula and Matching Requirements:**

Statutory Formula: Title IV, Part F.

Matching Requirements: Federal Pell Grant eligibility determinations are based on Part F of the HEA, as amended. This national need analysis formula determines financial eligibility for Federal Pell grants and other Federal student aid and is applied uniformly to all applicants. This formula determines a student's "expected family contribution" (EFC). The fundamental elements of this need analysis formula are the parents' and/or the student's income and assets (excluding home), the family's household size, and the number of family members attending postsecondary institutions. The EFC is determined as the sum of: (1) A percentage assessment of net income (remaining income after subtracting allowances for basic living expenses) and (2) a percentage assessment of net assets, other than a home, (remaining assets after subtracting an asset protection allowance).

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Students are currently limited to one Federal Pell Grant during any award year (July 1 through June 30). There is no funding for students to receive a second Federal Pell Grant during a single award year. Funds for one Federal Pell Grant are usually disbursed at least twice during an award year. Students may only receive a Federal Pell Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released:  
Electronic transfer.

### **Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. ARRA funds are included in the regular appropriation program compliance under OMB Circular A-133.

### **Records:**

All records pertaining to the eligibility of each Federal Pell Grant recipient and

all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0199-0-1-502; 91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$16,256,000,000; FY 09 est \$36,492,000,000; FY 10 est \$28,654,059,000 - FY 2009 - Includes \$17,114,000,000 in FY 2009 provided under the American Recovery and Reinvestment Act of 2009.

**Range and Average of Financial Assistance:**

For FY 2008, grants will range from \$400-\$4,731; the average grant is \$2,970. For FY 2009, grants will range from \$400-\$5,350; the average grant is estimated at \$3,607. For FY 2010, No Current Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, approximately 6,116,000 recipients are expected. Fiscal Year 2009: Approximately 7,000,000 recipients are expected. Fiscal Year 2010: Approximately 7,590,000 recipients expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Pell Grant Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965 as amended. Regulations governing administration of the Pell Grant Program are found in 34 CFR 600, 668, and 690. The Student Guide; Free Application for Federal Student Aid (no charge); "The Expected Family Contribution Formula"; "The Student Financial Aid Handbook."

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965, as amended.

**84.066 TRIO\_EDUCATIONAL OPPORTUNITY CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Subpart 2, Chapter 1, Section 402F, Title IV, Part A.

**OBJECTIVES:**

To provide information on financial and academic assistance available for qualified adults desiring to pursue a program of postsecondary education and to assist them in applying for admission to institutions of postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education or agencies for establishment and operation of centers to collect and disseminate information concerning financial aid and academic programs available to participants seeking to pursue postsecondary education and to assist participants in preparing admission and financial aid applications. Centers may also provide tutoring and counseling for project participants who are not enrolled in an Upward Bound or a Student Support Services project. A grantee may not use the center as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education, public and private not-for-profit agencies and organizations, a combination of the above and, in exceptional cases, secondary schools may apply.

**Beneficiary Eligibility:**

Persons residing in the target area who need one or more of the services provided by the project in order to pursue a program of postsecondary education and who desire to pursue or who are pursuing a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first-generation college students. Project participants must be at least nineteen years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular A-21 applies. OMB Circular A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected non-Federal field readers evaluate new proposals based on the selection criteria established in program regulations 34 CFR 644.21 and 34 CFR 644.22. Grantees will be selected on the basis of satisfactory proposals and availability of funds. Grants are awarded through Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five years. Continuation awards are approved on an annual basis, subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**



This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five-year projects, annual awards. Continuation awards are subject to the availability of funds and evidence that the grantee is making satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports are required for a project in its first year of funding. Staff monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 74.26, 75.702, 75.910, and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$47,057,000; FY 09 est \$46,807,000; FY 10 est \$46,807,000

**Range and Average of Financial Assistance:**

Varies by competition. In 2008, the average annual award was approximately \$376,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supported 125 projects serving approximately 196,000 students in 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulation 34 CFR 644. New regulations are under development. Contact the program office for additional details.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rachel Couch, Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: ope.trio@ed.gov Phone: (202) 502-7547.

**Website Address:**

<http://www.ed.gov/programs/trioeoc/>

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.038 Federal Perkins Loan Program Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects to universities and agencies to collect and disseminate information on financial and other assistance available to low-income, first-generation college-bound persons seeking to pursue postsecondary education and to assist participants in preparing admission and

financial aid applications. Some centers also provide tutoring and counseling for project participants that are not enrolled in an Upward Bound or Student Support Services project. Centers are funded in metropolitan, urban, and rural areas. Applicants define target area to be served. Fiscal Year 2009: No Current Data Available. Fiscal Year 2010: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards the Selection Criteria in 34 CFR 644.21 are considered. New regulations are under development. Contact the program office for additional information.

**84.069 LEVERAGING EDUCATIONAL ASSISTANCE PARTNERSHIP (LEAP-formerly SSIG)**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, , Executive Order Title IV, Part A, Subpart 4.

**OBJECTIVES:**

To provide grants to States for use in programs of financial assistance to eligible postsecondary students.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To make grants of up to \$5,000 for full-time (reduced for less than full-time) attendance to students with substantial financial need who are enrolled at postsecondary institutions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

The agency responsible for administering each State's need-based scholarship/grant program. U.S. Territories are also eligible to apply.

**Beneficiary Eligibility:**

Postsecondary education students with substantial financial need will benefit.

**Credentials/Documentation:**

A State application reviewed and approved annually by the Secretary of Education qualifies the State for funds. States pay administrative costs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For technical assistance for States regarding the State application, refer to ED Form 1288. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The designated State student scholarship or grant assistance agency in each State annually applies for State allotments/reallotments of funds; refer to ED Form 1288. Eligible students annually apply to their State of residence for a grant under this program, if the State has received an allotment. Student applicants must follow the application procedures as directed by each State and must demonstrate substantial financial need to receive a grant.

**Award Procedure:**

The Federal Student Aid office awards grants to State student scholarship or grant assistance agencies for making grants or providing work-study financial assistance to students.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 45 days.

**Appeals:**

Appeals of final disapprovals can be made to the Secretary and may be subject to judicial review.

**Renewals:**

New State applications are required annually.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part A, Subpart 4.

Matching Requirements: Each State receives an allotment and possibly a reallocation of funds based upon the number of students it deems eligible to participate in the program relative to the total number of such students in all States; no State receives less than its fiscal year 1979 allotment (Section 415B(a)(1), HEA). Maintenance of effort (MOE) requirements provide that annual State-appropriated expenditures in the program must not be less than the average for the previous three fiscal years (Section 415C(b)(8), HEA). States match Federal funds on at least their MOE level, but not less than a one-to-one basis, out of resources appropriated by the State which represent additional State grant expenditures over an established base year, defined as the second year before the State entered the LEAP Program (Section 415C(b)(6), HEA). This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating States for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual fiscal performance report (ED Form 1288-1) and other reports as required by the Secretary. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records are examined by State or Federal auditors.

**Records:**

States must maintain records sufficient to identify student grants awarded in compliance with the program statute and requirements concerning the expenditure of Federal funds and matching State appropriated funds. Records must be retained for three years or until completion of Department audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Formula Grants) FY 08 \$63,852,000; FY 09 est \$63,852,000; FY 10 est \$63,852,000

**Range and Average of Financial Assistance:**

Maximum student award is \$5,000; Average student award is \$1,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 692 (Program Regulations) reissued July 14, 1981, amended December 1, 1986, November 27, 1987, and January 28, 1994. Directory of State Agency Official Contacts (current).

**Regional or Local Office:**

None. Program description and a List of State student scholarship or assistance agencies available in the Education Department regional offices. Program is administered from the Department's headquarters.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District

of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov).

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.083 WOMEN'S EDUCATIONAL EQUITY ACT PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 21, 20 U.S.C 7231-7238.

**OBJECTIVES:**

(1) To promote gender equity in education in the United States; (2) to promote equity in education for women and girls who suffer from multiple forms of discrimination based on sex, race, ethnic origin, limited-English proficiency, disability, or age; and (3) to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Department may award two types of grants: (1) Implementation grants for gender equity programs in schools, and (2) research and development grants to develop model equity programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Through a nationwide competition, public agencies, private nonprofit agencies, institutions, organizations, student groups community groups, and individuals may apply.

**Beneficiary Eligibility:**

Public agencies, private nonprofit agencies, institutions, organizations, student groups, community groups, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Department publishes grant application forms and instructions in the Federal Register.

**Award Procedure:**

Applications and proposals are reviewed by a panel of experts in women's programs that represent various geographical areas, racial and ethnic groups, and levels of education. Final decisions on grants are made by the Department on the basis of the selection criteria published in the regulations and statutory

considerations, and to the extent feasible, on the basis of geographical distributions. The Department may give special consideration to applications submitted by applicants that have not received assistance under this part.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months from receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

The project period for a WEEA award may not exceed four years. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to four years, subject to the availability of funds. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit annual performance reports. The program office will establish a due date. A final performance report must also be submitted. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be specified in grant award documents.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, as amended, grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$1,846,000; FY 09 est \$2,423,000; FY 10 est \$2,423,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 11 implementation grants. Fiscal Year 2009: The Department expects to make approximately 14 new awards. Fiscal Year 2010: The Department expects to make approximately 14 continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Educational Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beverly A. Farrar, Department of Education, OII Improvement Programs, 400 Maryland Avenue, S.W., Rm 4W242, Washington, District of Columbia 20202  
Email: beverly.a.farrar@ed.gov Phone: (202) 205-3145.

**Website Address:**

<http://www.ed.gov/programs/equity/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded by this program have been used for: Training for teachers and other school personnel to encourage gender equity in the classroom; Evaluating programs designed to advance gender equity; School-to-work transition programs; Guidance and counseling activities to increase opportunities for women in technologically demanding workplaces; and, Developing strategies to assist local educational agencies in evaluating, disseminating, and replicating gender-equity programs. Fiscal Year 2009: See FY 2008. Fiscal Year 2010: See FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are outlined in the Education Department General Administrative Regulations. Contact the program office for more information.

**84.101 CAREER AND TECHNICAL EDUCATION - INDIAN SET-ASIDE**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Executive Order Section 116(b), Title I, 20 U.S.C 2326(b).

**OBJECTIVES:**

To make grants to or enter into contracts with Indian tribes, tribal organizations and Alaska Native entities to plan, conduct, and administer programs or portions of programs authorized by and consistent with the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Indians and Alaskan Natives. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Indian tribes, tribal organizations, and Alaska Native entities are eligible for assistance under this program.

**Beneficiary Eligibility:**

Federally recognized Indian tribes, tribal organizations, and Alaskan Natives.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Local and Indian Tribal Governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices are published in the Federal Register. Applications must be prepared and submitted in accordance with program announcements which are published in the Federal Register.

**Award Procedure:**

Application are approved using the selection criteria found in 34 CFR 75.200.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

After receiving written notice that the Department of Education will not award a grant, the eligible applicant, has 30 calendar days to request, in writing, a hearing to review the Department's decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Specific reporting requirements are contained in the regulations and award documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. An audit must be conducted annually and should be a part of the recipients financial management and internal control.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$14,511,000; FY 09 est \$14,511,000; FY 10 est \$14,511,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Thirty projects were funded. Fiscal Year 2009: 30 projects will be funded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74,75,77,80,81,82,84,85,86,97,98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Mayo Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: linda.mayo@ed.gov Phone: (202) 205-9353

**Website Address:**

<http://www.ed.gov/programs/cteivep/index.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Mississippi Band of Choctaw Indians is conducting a 2-year program for tribal manufacturing, nursing, child development, electrical and carpentry technology and hotel/restaurant management. The project is housed and operated out of Choctaw Vocational Center, Philadelphia, Mississippi. Salish Kootenai College is conducting a 2-year program in building trades, secretarial science, computer science, and forest technology. The College also conducts a State licensed associate degree nursing program. The project is located at Polson, Montana. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: Same as FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria are utilized in reviewing applications. A segment or

segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (a) Need for the project; (b) significance; (c) quality of the project design; (d) quality of project services; (e) quality of personnel services; (f) adequacy of resources; (g) quality of the management plan; and (h) quality of the project evaluation.

**84.103 TRIO STAFF TRAINING PROGRAM****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Subpart 2, Chapter 1, Title IV, Part A, Section 402G.

**OBJECTIVES:**

To provide training for staff and leadership personnel employed in, or preparing for employment in, projects funded under the Federal TRIO Programs (program numbers 84.042, 84.044, 84.047, 84.066, and 84.217.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible grantees to provide training for project directors and staff of funded Federal TRIO Programs projects. The grants may provide support for conferences, seminars, internships, workshops, and the publication of manuals designed to improve the operation of Federal TRIO Programs projects.

**Applicant Eligibility:**

Institutions of higher education, public and nonprofit private agencies and organizations may apply.

**Beneficiary Eligibility:**

Leadership personnel, full-time and part-time staff members of projects under the Federal TRIO Programs, and individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Special Programs will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with program regulations, applications, and timetables issued by the Department of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Program, College and University Support Team. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 642.31 and 34 CFR 642.32.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications.

The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is two years. Grantees may receive one continuation award (for the second year of the grant), subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Two year-projects with one annual continuation award. The continuation award is subject to the availability of funds and satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are submitted on an annual basis. No cash reports are required. Required for a project in the first year of funding using form ED 524B. Staff monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR and 34 CFR 75.702, 74.61.)

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$4,275,000; FY 09 est \$4,275,000; FY 10 est \$3,425,000

**Range and Average of Financial Assistance:**

FY 08: Range of awards \$400,000 to \$450,000. Average award \$427,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program supported 10 awards in 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 642.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane Wrenn Federal Trio Programs, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W. , Washington, District of Columbia 20202-8510 Email: trio@ed.gov Phone: (202) 502-7614

**Website Address:**

<http://www.ed.gov/programs/triotrain/> .

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Training has been offered in the following areas: (1) Student financial aid; (2) general project management for new directors; (3) legislative and regulatory requirements for the operation of Federal TRIO programs; (4) design and operation of model programs for projects funded under the Federal TRIO programs; (5) retention and graduation strategies; (6) counseling; (7) reporting student and project performance; and (8) coordinating project activities with other available resources and activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department will select applicants to be funded for new awards under this part on the basis of criteria set forth in 34 CFR 642.31. New regulations are under development. Contact the program office for additional information.

**84.116 FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION**

(FIPSE)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended,, Executive Order Title VII , Part B.

**OBJECTIVES:**

To provide assistance for innovative programs that improve access to and the quality of postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Fund provides project grants for activities sponsored by institutions and agencies that develop and demonstrate more effective approaches to the postsecondary teaching and learning. Each year, the Department establishes funding competitions and priorities. Funded projects are action-oriented, focusing on improvements in practice rather than support for basic research.

**Applicant Eligibility:**

Eligible applicants include a full range of providers of postsecondary educational services including but not limited to: 2 and 4-year colleges and universities, community organizations, libraries, museums, consortia, student groups, and local government agencies.

**Beneficiary Eligibility:**

Postsecondary educational institutions and their students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications, consultation and assistance are available from the Fund staff. Application materials and further information is also available on the WEB. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards. The Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Proposals are reviewed by field readers, by staff, by the Board of the Fund, by the Fund Director, and by appropriate Department officials. State Postsecondary Education Commissions must be given an opportunity to comment on projects funded in their States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 8 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Fund will support multi-year projects; grants are awarded on a 1-to-4-year basis. Funds are released as required. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Fund require periodic progress evaluation reports from grant recipients, as well as a final report upon termination of funding. Reporting requirements are found in EDGAR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Awardees must comply with standard Education Department audit requirements.

**Records:**

Grant recipients are required to maintain standard financial records.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$120,333,397; FY 09 est \$133,667,000; FY 10 est \$47,424,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Fund awarded 69 comprehensive program grants. Fiscal Year 2009: Approximately 125 comprehensive program grants are expected to be awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are contained in 34 CFR 630. In addition, the Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, and 85 also apply. The official Application Notice is published each year in the Federal Register. The Fund also published "Lessons Learned," a compilation of FIPSE projects. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cassandra Courtney Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, Department of Education, 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: cassandra.courtney@ed.gov Phone: (202) 502-7506

**Website Address:**

<http://www.ed.gov/programs/fipsecomp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Improved undergraduate liberal arts curriculum; (2) improved undergraduate teaching; (3) improved graduate education; (4) improved access for Blacks, Hispanics, and other minorities; (5) cooperation between colleges and businesses; (6) teacher education; (7) uses of technology; and 8) improved study abroad programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grantees are selected based on the project's significance in improving postsecondary education; feasibility; and appropriateness.

**84.120 MINORITY SCIENCE AND ENGINEERING IMPROVEMENT (MSEIP)****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title III, Part E, Subpart 1.

**OBJECTIVES:**

To (1) Effect long-range improvement in science and engineering education at predominantly minority institutions and (2) increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program funds are generally used to implement design projects, institutional projects, and cooperative projects. The program also supports special projects designed to provide or improve support to accredited nonprofit colleges, universities, and professional scientific organizations for a broad range of activities that address specific barriers that eliminate or reduce the entry of minorities into science and technology fields. Grant funds may be used for paying costs necessary for improving and maintaining high quality science and engineering education programs in minority postsecondary institutions, including salaries and wages, equipment and instructional materials and supplies, travel related to the project activities, faculty development, and other direct and indirect costs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Private and public nonprofit accredited institutions of higher education that award baccalaureate degrees; and are minority institutions; public or private nonprofit institutions of higher education that award associate degrees, and are minority institutions that have a curriculum that includes science or engineering subjects; and enters into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science or engineering. Applications may also be submitted by nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees, that provide a needed service to a group of minority institutions; or provide in-service training for project directors, scientists, and engineers from minority institutions; or consortia of organizations, that provide needed services to one or more minority institutions, the membership of which may include: institutions of higher education which have a curriculum in science and engineering; institutions of higher education that have graduate or professional programs in science or engineering; research laboratories of, or under contract with the Department of Energy; private organizations that have science and engineering facilities; or quasi-governmental entities that have a significant scientific or engineering mission.

**Beneficiary Eligibility:**

Private or public accredited 4-year institutions of higher education whose total enrollments are predominantly (50 percent or more) American Indian; Alaskan Native; Black (not of Hispanic origin); Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin); Pacific Islander; or any combination of these or other ethnic minorities who are

underrepresented in science and engineering. Also, 2- year private or public accredited minority (see description of minority above) institutions that have curricula in science or engineering and have formed a partnership with a 4-year institution.

**Credentials/Documentation:**

Institutions must provide the information necessary to establish their eligibility for participation in MSEIP. The data on enrollment furnished to the Office for Civil Rights to satisfy requirements for the "Fall Enrollment and Compliance Report of Institutions of Higher Education" are acceptable. Applications must be signed by the project director(s), the relevant department head(s), and by an authorized organizational official. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An eligible institution may submit a proposal for funding of a planned project and proposed amount of the grant when announcement of a new competition appears in the Federal Register. See 34 CFR 637 and the specific program guidelines. Application forms are available from the MSEIP.

**Award Procedure:**

Panels of outside experts with knowledge of the fields covered by the application review all applications. Grants awards are recommended to the Secretary by the program office, in the order of merit.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed for up to 2 years, renewals subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One to three years. Funds are awarded annually and disbursed as required. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The program requires interim performance reports from directors of projects having duration of more than one year at the end of each budget year's activities. A substantive performance and financial report is required within 90 days upon completion of the project for all funded projects. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Compliance with standard Department of Education requirements.

**Records:**

Grantees are required to maintain standard programmatic and financial records. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$8,577,487; FY 09 est \$8,577,000; FY 10 est \$9,006,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For FY 2008, approximately 16 new awards and 51 continuation awards were made. Fiscal Year 2009: Seventeen new awards and 38 continuation awards are expected to be made in FY 2009. Fiscal Year 2010: Nineteen new awards and 33 continuation awards are expected to be made in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 637 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernadette Hence Office of Postsecondary Education, Institutional Development and Undergraduate Education Service, Department of Education, 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: bernadette.hence@ed.gov Phone: (202) 219-7038.

**Website Address:**

<http://www.ed.gov/programs/idadesmsi/> .

**RELATED PROGRAMS:**

84.031 Higher Education\_Institutional Aid; 84.116 Fund for the Improvement of Postsecondary Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A project is providing state-of-the-art training to minority students in field and laboratory studies dealing with water quality, and educating students on the benefits of using an interdisciplinary approach to solving environmental problems. (2) A project has a summer science program designed to improve access of pre-college (8th and 9th grade) minority students to careers in science and engineering. Integrated, hands-on curriculum in biology, physical science, mathematics, and computer technology is offered. (3) A project is a consortium of five minority serving community colleges across the nation and two engineering schools whose purpose is to share resources and strategies in order to increase the number of bilingual engineers and strengthen the educational pipeline from pre-college through engineering school. (4) One project is to establish a computer laboratory in science and mathematics. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Decisions are based primarily on the scientific and educational merits of described activities and conformance with the objectives of the program. Priority is given to applicants which have not previously received funding from the Minority Science Improvement Program and to previous grantees with a proven record of success, as well as to proposals that contribute to achieving balance among projects with respect to geographic region, academic discipline and project type.

**84.126 REHABILITATION SERVICES\_VOCATIONAL REHABILITATION GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Executive Order Parts A and B, Sections 100-111,

Title I.

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, and capabilities so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided vocational rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community programs.

**Applicant Eligibility:**

State agencies in all States (including territories/possessions) designated as the sole State agency to administer the vocational rehabilitation program may apply.

**Beneficiary Eligibility:**

Eligibility for vocational rehabilitation services is based on the presence of a physical and/or mental impairment, which for such an individual constitutes or results in a substantial impediment to employment, and the need for vocational rehabilitation services that may be expected to benefit the individual in terms of an employment outcome.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State Vocational Rehabilitation agencies are required to submit a State Plan describing the manner in which they will administer the VR and Supported Employment programs in their States. The State is not required to submit any policies, procedures or descriptions related to its State Plan that have been previously approved and demonstrate that the State currently meets the requirements of the Act. However, State agencies are required to annually update and submit State Plan attachments related to: (1) the comprehensive system of personnel development; State assessments, estimates, goals and priorities, and reports of progress; (2) innovation and expansion activities, and (3) a description of the State's plans with respect to the distribution of State Supported Employment Title VI, Part B funds.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The State plan must be approved before the State agency can receive its allotment of funds. If a State plan is disapproved, and after reasonable effort has been made to resolve a dispute, the State agency may request a hearing. If dissatisfied with the hearing officer's initial decision, the State agency may seek the Secretary's review of the decision.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Rehabilitation Act of 1973, as amended, Title I, Section 110. Federal funds are distributed based on population weighted by per capita income. The statistical factors for fund allocation are: per capita income 3-year average by State, Bureau of Economic Analysis estimates and; U.S. total and State population Annual Population Estimates, Bureau of the Census. The program's matching requirement is 78.7 percent Federal and 21.3 percent Non-Federal (State) funds. This program has a maintenance of effort (MOE) requirement. The MOE level is based on the amount of State expenditures for the Federal fiscal year two years earlier.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for an additional year if the matching requirement is met in the year of the appropriation. Grant awards are issued biannually (1st and 4th quarter). See the following for information on how assistance is awarded/released: Electronic Transfer.

**Reports:**

Program report: Annual and quarterly reports. No cash reports are required. Progress report: Annual and quarterly reports. Expenditure reports: quarterly financial reports (Federal Financial Report (SF-425). Performance monitoring: The Rehabilitation Act requires the conduct of annual reviews and periodic on-site monitoring of whether a State VR agency is complying substantially with the provisions of its State plan and with the program's performance indicators established under section 106 of the Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule.

**Records:**

Case service records for individual consumers. Financial and programmatic records must be kept for a prescribed period of three years (34 CFR 80.42).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$2,839,151,000; FY 09 est \$2,938,522,000; FY 10 est \$3,047,247,000

**Range and Average of Financial Assistance:**

In FY 2009 regular annual allotments to States, including D.C. and Puerto Rico ranged from \$9.8 million to \$285 million, with a median award of \$42 million. Grants to outlying areas ranged from \$1 million to \$3 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As a group, persons who achieve employment as a result of vocational rehabilitation services each year show notable gains in their ability



to function in economic terms, regardless of their employment status when they apply for services. In fiscal year 2008, approximately 985,475 persons received services. Approximately 58 percent of those individuals who exited the program after receiving services achieved an employment outcome. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR 361). Vocational Rehabilitation Manual. Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.ed.gov/programs/rsabvrs/index.html>.

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.234 Projects with Industry; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.250 Rehabilitation Services\_American Indians with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.128 REHABILITATION SERVICES\_SERVICE PROJECTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title II, Executive Order Sections 304 and 305.

**OBJECTIVES:**

To provide discretionary grant funds to State vocational rehabilitation agencies and public nonprofit organizations for special projects and demonstrations which hold promise of expanding and otherwise improving services to individuals with disabilities over and above those provided by the Basic Support Program administered by States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Migrant and seasonal farm workers (subsection 304) and recreational programs (subsection 305). Grants support vocational rehabilitation services to migrant and seasonal farm workers and projects that establish and operate recreation programs for individuals with disabilities.

**Applicant Eligibility:**

Recreational projects are awarded to States, public agencies and nonprofit organizations. Grants cannot be made directly to individuals. Migrant and seasonal farm worker projects are funded by grants to a State designated agency (including territories/possessions) and to nonprofit and local agencies in collaboration with the State agencies.

**Beneficiary Eligibility:**

Individuals with disabilities and individuals with significant disabilities as defined in Sections 7(9)(A)(B) and 7(20)(A), respectively, of the Rehabilitation Act of 1973, as amended.

**Credentials/Documentation:**

Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted to the Department of Education, 400 Maryland Ave. S.W., Washington, DC 20202-4725, or in certain cases to the appropriate RSA Regional Commissioner, OSERS.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS for new projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance. Renewals are available only through a new application process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally matching is required; the Migratory Worker program requires 10 percent matching. The Federal share of the costs of the Recreation program shall be 100 percent for the first year, 75 percent for the second year, and 50 percent for the third year with corresponding matching requirements for the second and third years.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project support may be available for up to three to five years depending upon satisfactory performance and availability of funds. Funds are granted on a 12-month basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Fiscal records must be maintained for the periods of time specified in the grant award.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$2,239,000; FY 09 est \$2,239,000; FY 10 est \$2,239,000 - (migrant and seasonal farm workers). (Project Grants) FY 08 \$2,474,000; FY 09 est \$2,474,000; FY 10 est \$2,474,000 - (recreational).

**Range and Average of Financial Assistance:**

varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 33 recreational projects and 11 migrant and seasonal farm workers projects in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 369. Specific guidelines and literature may be obtained from the RSA headquarters offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sonja Turner, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W, Washington, District of Columbia 20202 Email: sonja.turner@ed.gov Phone: (202) 245-7557.

**Website Address:**

<http://www.ed.gov/programs/rsamigrant/index.html>; or  
<http://www.ed.gov/programs/rsarecreation/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: An outreach effort to identify and provide necessary vocational rehabilitation services for migrant and seasonal farm workers with disabilities. Assist persons with significant disabilities returning to the community to achieve the optimal vocational adjustment of which they are capable. Provide recreational services to individuals with disabilities a priority to integrate these individuals into regular recreation programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Grants for migrant and seasonal farmworker projects are made to a designated State agency and to nonprofit and local agencies working in collaboration with the State agencies. Applications for discretionary grants are subjected to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program regulations 34 CFR 75.210.

**84.129 REHABILITATION LONG-TERM TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302.

**OBJECTIVES:**

To support projects to provide academic training in areas of personnel shortages identified by the Secretary to increase the number of personnel trained in providing vocational rehabilitation services to individuals with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation counseling, independent living, rehabilitation medicine, physical and occupational therapy, prosthetics-orthotics, speech-language, pathology and audiology, rehabilitation of individuals who are blind and individuals who are deaf, and rehabilitation technology. A grantee must use at least 75 percent of the total award for scholarships.

**Applicant Eligibility:**

Institutions of Higher Education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals preparing for employment in the field of rehabilitation of individuals with disabilities.

**Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New applications are made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725. Attn: 84.129.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel consists of nonfederal consultants with experience and training in the related field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Federal share may not be more than 90 percent of the total cost of a project under this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally supported for a maximum of 5 years; with budget periods of 12 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal

awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper records must be maintained for a period of time equal to the time required to fulfill the obligations of each grantee to determine whether a scholar has met the work-or-repay provision in 34 CFR 386.34, or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$19,524,000; FY 09 est \$19,549,000; FY 10 est \$19,549,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 1505 students are supported annually. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 386.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.263 Rehabilitation Training\_ Experimental and Innovative Training; 84.264 Rehabilitation Training\_ Continuing Education; 84.265 Rehabilitation Training\_ State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_ General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Residency scholarships in physical medicine and rehabilitation; (2) graduate scholarships in rehabilitation counseling; (3) graduate scholarships in rehabilitation administration; and (4) undergraduate scholarships in rehabilitation service. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the purpose of the content and the training project to the administratively established mission of the public rehabilitation program and the objectives of the Rehabilitation Services Administration. The methodology to be employed in implementing the project and its feasibility for the achievement of the established educational objectives. The existence of a working relationship with the State vocational rehabilitation agency and other agencies and rehabilitation facilities providing vocational rehabilitation services. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 386.

**84.132 CENTERS FOR INDEPENDENT LIVING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title VII, Chapter 1, Part C.

**OBJECTIVES:**

To provide independent living services to individuals with significant disabilities to assist them to function more independently in family and community settings, by developing and supporting a statewide network of

centers for independent living.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used for the establishment and operation of centers for independent living which offer a combination of services. Services must include independent living core services which mean information and referral services, training in independent living skills, peer counseling, individual and systems advocacy, and as appropriate, a combination of any other independent living services specified in Title II of the Rehabilitation Act. Each center must have a governing board composed of a majority of persons with significant disabilities. The majority of the staff and individuals in decision making positions must be individuals with disabilities. Not less than 1.8 percent and not more than two percent of Federal funds appropriated for the program must be reserved to provide training and technical assistance under contracts with entities experienced in the operation of centers for independent living.

**Applicant Eligibility:**

The principal eligible applicants are the private nonprofit agencies that received funding directly or through subgrants or contracts under the Centers for Independent Living program in fiscal year 1992. If funds remain available after all principal eligible applicants have been funded, other centers for independent living (as defined in Section 702 of the Rehabilitation Act) and State agencies may receive funding based on satisfactory applications (including territories and outlying areas).

**Beneficiary Eligibility:**

Individuals with significant physical, mental, cognitive, or sensory impairments whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited. Eligibility shall not be based on the presence of any one or more specific significant disabilities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for new awards from eligible agencies should be submitted to the Department of Education, 400 Maryland Ave., S.W., Washington, DC 20202-4725, unless otherwise directed in the Federal Register Announcement.

**Award Procedure:**

New awards are made on approval of the Commissioner of Rehabilitation Services Administration, and the Assistant Secretary of OSERS, based on the findings of Federal and nonfederal reviews of applications to ensure the applicants satisfactorily demonstrate that they have met the standards and assurances described in Section 725 (b) and (c) the Rehabilitation Act.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects may be continued based on a self-evaluation report activities, and accomplishments as described in the Center's self-evaluation and annual report requirements under Section 725 (c)(8) of the Act, submittal of a continuation

application, and the availability of funds. Renewals are available through the regular continuation application process. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Existing projects are approved on an annual basis with funding on a twelve month basis. New projects are funded for five years with funding approved on a 12-month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual and fiscal progress reports and self-evaluations (A-F Reports) must be submitted as prescribed by Section 725 (e)(8) of the Rehabilitation Act, and grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Fiscal records must be maintained for 3 years after the grant ends and the final financial report is submitted or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$73,334,000; FY 09 est \$77,266,000; FY 10 est \$80,266,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants supported the operation of approximately 340 centers in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Regulations at 34 CFR 364 and 366.

**Regional or Local Office:**

None.

**Headquarters Office:**

Veronica Hogan Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: veronica.hogan@ed.gov Phone: (202) 245-7378

**Website Address:**

<http://www.ed.gov/programs/cil/index.html>

**RELATED PROGRAMS:**

84.169 Independent Living State Grants; 84.177 Rehabilitation Services Independent Living Services for Older Individuals Who are Blind; 84.398 Independent Living State Grants, Recovery Act ; 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act ; 84.400 Centers for Independent Living, Recovery Act.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Provided services vary from one center to another. Centers provide a combination of services, including: information and referral;

independent living skills training; individual and systems advocacy; counseling services; housing; rehabilitation technology; mobility training; life skills training; interpreter and reader services; personal assistance services; accessible transportation; supported living; therapeutic treatment; provision of prostheses and other devices; and other services described in Section 7 (30)(B) of the Rehabilitation Act. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program include extent of need for the project, past performance, satisfaction of the standards and assurances set forth in Section 725, quality of key personnel, budget and cost-effectiveness, evaluation plan, plan of operation, and involvement of individuals with significant disabilities. Criteria for evaluating applications are published in program regulations at 34 CFR 366.

**84.133 NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title II.

**OBJECTIVES:**

To support and coordinate research and its utilization in order to improve the lives of people of all ages with physical and mental disabilities, especially persons with severe disabilities, through: (1) identifying and eliminating causes and consequences of disability; (2) maximizing the health, physical, and emotional status of persons with disabilities and their functional ability, self-sufficiency, self-development and personal autonomy; (3) preventing or minimizing personal and family, physical, mental, social, educational, vocational, and economic effects of disability; and (4) reducing and eliminating physical, social, educational, vocational, and environmental barriers to permit access to services and assistance and to use their abilities in daily life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for research, demonstration, dissemination/utilization projects of national significance, and career training projects. All applications must meet standards of excellence in research and evaluation design. Fellowships support individual investigators in pursuing research in rehabilitation.

**Applicant Eligibility:**

States, public, private, or nonprofit agencies and organizations, institutions of higher education, and Indian tribes and tribal organizations are eligible for research projects and specialized research activities related to the rehabilitation of individuals with disabilities; fellowships may be awarded to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities may benefit directly or indirectly from research and other activities conducted by grantees, such as technical assistance and dissemination.

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their acceptance or the utilization of their facilities or services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The NIDRR long-range research plan serves as the basis for program announcements that are published in the Federal Register and Requests for Proposals that are published in the Commerce Business Daily. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Notice of Grant Award or an official letter of fellowship award. Grants and fellowships are awarded by the Secretary, Department of Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ranges from 30 to 120 days. Generally, solicited grants, fellowships, and contracts will be acted upon within 120 days.

**Appeals:**

There are no formal appeal procedures. If an application is disapproved, the reasons for disapproval will be fully stated in the notice issued by the Department of Education. Applicants will be sent copies of the reviewers' comments appraising their applications.

**Renewals:**

Grantees must submit annual progress reports in order to receive continuation funding. Awards may be renewed annually for up to five years throughout the project period of the award. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees funded under Sections 204(a) and 202(k) of the Rehabilitation Act, as amended, are required to share in the cost of projects. The amount of cost-sharing is negotiable. Cost-sharing for other grantees is at the Secretary's option.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded in 12 month budget periods. Support beyond the first 12 month budget period is contingent upon evidence that the grantee has made substantial progress toward achieving the objectives and outcomes for a project, and availability of funds. Awards may be made for a maximum of five years. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual reports of progress and annual expenditures are required on all projects. Comprehensive final reports are due 90 days after the end of the project. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant or contract number including all receipts and expenditures, must be maintained for three years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$105,740,861; FY 09 est \$107,741,000; FY 10 est \$107,741,000

**Range and Average of Financial Assistance:**

The range and average vary greatly according to the competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 235 new and continuation awards. Fiscal Year 2009: Est. 238 new and continuation awards. Fiscal Year 2010: Est. 230 new and continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administrative policies for programs and fellowships may be obtained from the program office. NIDRR program regulations are contained in 34 CFR 350-359.

**Regional or Local Office:**

None. Contact Headquarters Office.

**Headquarters Office:**

Donna Nagle, Department of Education, OSERS National Institute on Disability and Rehabilitation Research 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: donna.nangle@ed.gov Phone: (202) 245-7462.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 84.129 Rehabilitation Long-Term Training; 84.224 Assistive Technology

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Research and Training Centers with emphasis on vocational rehabilitation, medical rehabilitation, rehabilitation of persons with mental retardation, deafness rehabilitation, rehabilitation of persons with mental illness, and rehabilitation of those with severe visual disabilities; (2) Rehabilitation Engineering Centers with the application of engineering advances as applied to rehabilitation of persons with physical disabilities; special activities in prosthetics, orthotics, and rehabilitation aids and devices for various handicapping conditions; (3) specific research and demonstration projects concerned with medical, psychosocial, sensory, psychiatric, and vocational rehabilitation; (4) research utilization and dissemination of research findings; (5) field initiated projects in rehabilitation research; (6) innovation grants for conferences, testing of devices and curriculum development; (7) grants for advanced training in research related to disability; and (8) grants for projects to facilitate implementation of the Americans with Disabilities Act. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Objectives of projects and programs must be in consonance with and should contribute to achievement of the goals and objectives of the Institute. Adequate facilities must be available or planned to carry out the specific project or program. Personnel must be trained and qualified to carry out the proposed programs, and staffing patterns must be appropriate. Demonstrations of adequate plans and procedures for ensuring the relevance to current needs in rehabilitation and the potential for project results must be effectively utilized. Commitment of available resources on the part of the applicant and evidence that the applicant has knowledge of rehabilitation issues as well as knowledge of past and present related research activities. A statement showing that the estimated cost to the government is reasonable in relation to anticipated project results. Demonstrate the ability and capacity to achieve stated goals. Demonstrate, coordinate and cooperate with regional programs, State agency programs, and private rehabilitation facilities. Specific weighted selection criteria are contained in program regulations. For fellowships, criteria are specified in program regulations, 34 CFR 356. These criteria include the education and experience of the individual and the quality of the fellowship proposal.

**84.141 MIGRANT EDUCATION\_HIGH SCHOOL EQUIVALENCY PROGRAM**

(HEP)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title IV, Part A, Section 418A.

**OBJECTIVES:**

To assist students who are engaged, or whose parents are engaged, in migrant and other seasonal farm work to obtain the equivalent of a secondary school diploma and subsequently to gain employment or be placed in an institution of higher education or other postsecondary education or training.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to recruit and provide academic and support services (including counseling, health services, stipends, and placement) to migrant students to obtain the equivalent of a secondary school diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

Persons who are engaged or whose parents are engaged in migrant and other seasonal farmwork or who have participated or have been eligible to participate in the Title I, MEP. Eligible beneficiaries are 16 and older or beyond the age of compulsory school attendance, and lacking a high school diploma.

**Credentials/Documentation:**

To be eligible to participate in HEP: the applicant or their parents must: (1) Have worked a minimum of 75 days during the past 24 months in migrant on seasonal farmwork, or have been eligible to participate or have participated within the past 2 years in Title I, Migrant Education Program; (2) not have earned a secondary school diploma or its equivalent; (3) not be currently enrolled in an elementary or secondary school; (4) be 16 years of age or older, or above the age of compulsory school attendance in the State where the project is located; and (5) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms are available from the Department of Education. An applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel for selection of possible funding.

**Award Procedure:**

The Department of Education notifies a successful applicant of its award. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for up to 5 years. Renewals are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months. Funds are awarded for 12-month budget periods. Renewals are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual continuation applications showing satisfactory performance are required each year and a final performance report is required 90 days after completion of a project. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$18,226,000; FY 09 est \$18,588,360; FY 10 est \$19,948,431

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the program will serve approximately 7,400 students in 44 projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 79, 82, 85, 86, and 206.

**Regional or Local Office:**

None.

**Headquarters Office:**

David De Soto Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Room 3E227, Washington, District of Columbia 20202 Email: david.de.soto@ed.gov Phone: (202) 260-8103

**Website Address:**

<http://www.ed.gov/programs/hep/index.html>.

**RELATED PROGRAMS:**

84.047 TRIO\_Upward Bound; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.214 Even Start\_Migrant Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Project funds are used for recruitment, instruction designed to help participants pass an examination and obtain a high school equivalency certificate, counseling, health services, housing for on-campus residential programs, exposure to academic programs, cultural events, and other activities not usually available to migrant youth, and appropriate in-service training activities for project staff members. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Migrant Education High School Equivalency Program regulations (34 CFR 206) include the following criteria for selecting proposals, as follows: need for project (15 points); quality of project design (20 points); quality of management

plan (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); project evaluation (10 points); and prior experience (15 points).

#### **84.144 MIGRANT EDUCATION\_COORDINATION PROGRAM**

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

##### **AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part C, Section 1308, 20 U.S.C 6398.

##### **OBJECTIVES:**

To encourage the interstate and intrastate coordination of migrant education including consortium arrangements in order to reduce the administrative costs of state educational agencies (SEAs) receiving Title I Migrant Education Program funds under 84.011.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds are used to: (A) Support activities to improve interstate and intrastate coordination of migrant education by State and local educational agencies; and (B) provide incentive grants to SEAs that participate in an approved consortium under the program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

##### **Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher education and other public or nonprofit private entities may apply for funds to improve interstate and intrastate coordination of migrant education (specific eligibility varies by activity). SEAs participating in MEP consortium may apply for incentive grant awards.

##### **Beneficiary Eligibility:**

Migratory children of migratory agricultural workers or migratory fishers benefit.

##### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for funding selection.

##### **Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff. The Department's Contracts Service negotiates contracts.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately three months.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Interstate and intrastate coordination grants have no statutory formula or matching requirements. Consortium incentive grants are awarded by formula, based on the amount of MEP funds an SEA is able to redirect from administrative activities into direct services to migrant children as a result of participating in a consortium.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Grants and contracts for interstate and intrastate coordination activities may be awarded for not more than five years, subject to the availability of funds.

Consortium incentive grants are annual awards made for a 12-month period.

See the following for information on how assistance is awarded/released: electronic transfer.

##### **Reports:**

Annual performance reports are required from SEAs participating in consortium incentive grants and from other grant recipients. Reports for activities funded through contracts depend on the specific terms of the contract. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

##### **Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, grantees must maintain certain project records for 3 years.

##### **Account Identification:**

91-0900-0-1-501.

##### **Obligations:**

(Project Grants) FY 08 \$10,000,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000

##### **Range and Average of Financial Assistance:**

to be determined.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 23 consortium incentive grants were awarded in FY 2008. Consortium Incentive Grants fund high-quality consortia to improve the intrastate and interstate coordinatin of migrant education programs by addressing any of eight key needs of migratory children who have their education interrupted. FY 2008 recipients implemented activities designed to improve the proper and timely identification and proficiency of migratory children. In addition, development of the Migrant Student Information Exchange (MSIX) was completed in 2007. Fiscal Year 2009: Same as 2008, except consortia were awarded in 2008, so they are continuations. Fiscal Year 2010: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 76, and 80.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Alejandra Velez-Paschke Office of Migrant Education, Office of Elementary

and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Room 3E255, Washington, District of Columbia 20202 Email: alejandra.velez-paschke@ed.gov Phone: (202) 260-2834

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/ome/index.html>.

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.141 Migrant Education\_High School Equivalency Program; 84.149 Migrant Education\_College Assistance Migrant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded programs include: (1) Consortium Incentive Grants, which support multistate consortia for improving coordination in seven areas of need (e.g., improving the identification and recruitment of eligible migrant children; using scientifically based research to improve school readiness; improving reading and math proficiency; decreasing the dropout rate; improving high school completion rates; strengthening the involvement of parents; and expanding access to innovative technologies), and separately by contract (2) the Migrant Education Hotline, a toll-free number (800) 234-8848 that migrant farmworkers and their families can call to obtain migrant education program services and for referrals to supportive services; (3) the Migrant Education Coordination Support Center, a logistical support contract to organize and implement effective meetings in support of national interstate coordination initiatives; and (4) the Migrant Student Information Exchange (MSIX) System, a records transfer system to facilitate the transfer of health and academic records of migrant children across states. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for interstate/intrastate coordination grants are consistent with 34 CFR 75. Incentive grant awards are made under a formula established in a Notice of Final Criteria published April 8, 1996, in the Federal Register at FR 15670.

**84.145 FEDERAL REAL PROPERTY ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Office of Human Resources and Administration, Department of Education

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), as amended.; Department of Education Organization Act of 1979.

**OBJECTIVES:**

To convey surplus Federal Real Property for educational purposes at fair market value.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Must be used for education purposes including but not limited to higher education, elementary and secondary education, libraries, central administrative facilities, educational television and radio, rehabilitation and training, vocational education and research, correctional education centers.

**Applicant Eligibility:**

Those groups, organizations, entities, or institutions providing educational programs including: States; their political subdivisions and instrumentalities; and tax supported organizations or private nonprofit institutions held exempt from taxation under Section 501(C)(3) of the Internal Revenue Code of 1954 may apply.

**Beneficiary Eligibility:**

Program participants receiving educational opportunities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All potentially eligible entities are notified of the availability of property including State and local officials or any known educational entity authorized to

operate within the general geographical area. Upon receipt of a notice of intent to file an application, a preapplication conference is possible. An environmental impact assessment is required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application guides and deadlines for filing applications are provided on a case by case basis. All applicants must demonstrate the legal, financial, and technical ability to conduct the educational programs proposed.

**Award Procedure:**

Written notification with follow-up issuance of formal transfer of title.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Thirty to 90 days for tentative decisions, after receipt of the application, and 90 to 360 days to the formal transfer of a title.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 30 years. The fair market value (FMV) of the property is amortized over a period of time established based on the type of property acquired. Public benefit discount of the FMV is granted when public educational programs are being conducted. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

An annual written report of activities by the recipient. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. On-site audits are conducted during the period of restriction to assure operation as specified in the application and deed of transfer.

**Records:**

Record requirements will be included in award documents.

**Account Identification:**

91-0800-0-1-503.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Funds are not separately identifiable.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Current active cases number about 800 with approximately ten transfers per year. Historically, the program has transferred over 2,000 parcels of various sizes with an acquisition value of \$1.17 billion. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**



Regulations: 34 CFR 12; Pamphlet: How to Acquire Surplus Federal Real Property for Educational Purposes; Guidelines: Application outline and preparation assistance can be obtained at the zone office level.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of regional offices.

**Headquarters Office:**

David Hakola, Federal Real Property Assistance Program, Office of the Administrator for Management Services, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (202) 401-0500.

**Website Address:**

<http://www.ed.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Type of surplus facilities available range from improved or unimproved land in rural and urban settings (e.g., former Nike missile sites to total military bases such as former Air Force stations). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution and its program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, not met needs, integrated research, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**84.149 MIGRANT EDUCATION\_COLLEGE ASSISTANCE MIGRANT PROGRAM**

(CAMP)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Section 418A, 20 U.S.C 1070d-2.

**OBJECTIVES:**

To assist students that are engaged, or whose parents are engaged in migrant and other seasonal farmwork, and are enrolled or are admitted for enrollment on a full-time basis in the first academic year at an institution of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to provide supportive and instructional services, including tutoring and counseling services and assistance in obtaining student financial aid (including stipends, tuition, and room and board) to first-year college students, assist those students in obtaining financial aid for their remaining undergraduate years, and provide follow-up services, such as monitoring and reporting students first year and subsequent year academic progress, and referrals to counseling services, academic assistance or financial aid.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

First-year college students that are engaged, or whose parents are engaged, in

migrant and other seasonal farmwork or who have participated or been eligible to participate in the Title I, Migrant Education Program.

**Credentials/Documentation:**

To be eligible to participate in a CAMP project, the applicant must: (1) be enrolled or admitted for enrollment as a full-time student at a participating institution of higher education; (2) not be beyond the first academic year of a program of study at the institution of higher education, as determined under the standards of the institution; and (3) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the institution of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the Department of Education. An applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel for possible selection for funding.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department of Education's Office of Migrant Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for 5 years, subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months; funds are awarded for a 12-month budget period. Renewals are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual continuation applications showing satisfactory performance are required each year, and a final performance report is required 90 days after project ends. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations

in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate. If such entities are excluded, audits of these entities shall be made in accordance with statutory requirements and the provisions of 34 CFR 74.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for five years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$15,108,000; FY 09 est \$15,408,800; FY 10 est \$16,536,229

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 the program will serve approximately 1,943 students in 38 projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 206.

**Regional or Local Office:**

None.

**Headquarters Office:**

David De Soto Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Room 3E227, , Washington, District of Columbia 20202 Email: david.de.soto@ed.gov Phone: (202) 260-8103

**Website Address:**

<http://www.ed.gov/programs/camp/index.html>.

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.042 TRIO\_Student Support Services; 84.047 TRIO\_Upward Bound; 84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Project funds are used to recruit potential participants and to provide services to students in such areas as: tutoring; academic, career, and personal counseling; health services; housing support; exposure to academic programs, cultural events, and other activities not usually available to migrant youth; and appropriate in-service training activities for project staff members. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Program regulations (34 CFR 206) include the criteria for selecting proposals, as follows: Need for Project (15 points); quality of project design (20 points); quality of management plan (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); evaluation (10 points); prior experience (15 points).

**84.153 BUSINESS AND INTERNATIONAL EDUCATION PROJECTS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part B, Section 613.

**OBJECTIVES:**

To promote innovation and improvement in international business education curricula at institutions of higher education (IHEs) and promote linkages

between IHEs and the business community.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Institutions eligible for discretionary grant funding must enter into an agreement with a business enterprise, trade organization or association engaged in international economic activity, or a consortium of the named entities. Eligible activities include but are not limited to: Improving the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; Developing programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; Internationalizing curricula at the junior and community college level and at undergraduate and graduate schools of business; Developing area studies and interdisciplinary international programs; Establishing export education programs; Conducting research and developing specialized teaching materials appropriate to business-oriented students; Establishing student and faculty fellowships and internships or other training or research opportunities; Creating opportunities for business and professional faculty to strengthen international skills; Developing research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; Establishing internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; Establishing links overseas with IHEs and organizations that contribute to the education objectives of this program; and Establishing summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of this program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Accredited institutions of higher education may apply. Institutions must enhance their own international academic programs and provide appropriate services to the business community to expand U.S. exports abroad.

**Beneficiary Eligibility:**

Students and faculty at accredited institutions will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the International Education Programs Service.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants, developed according to procedures in regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 24 months. Applicants submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12 or 24 month period. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements are included in the award document.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request: (1) For three years after close of the fiscal year in which the grant was closed out; or (2) until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$4,191,200; FY 09 est \$4,592,000; FY 10 est \$4,592,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Twenty-three new grants and 26 continuation grants were awarded in FY 2008. Fiscal Year 2009: Twenty-eight new grants and 23 continuation grants are expected to be awarded in FY 2009. Fiscal Year 2010: Twenty-three new awards and 28 continuation awards are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 661, Education Department General Administrative Regulations. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: tanyelle.richardson@ed.gov Phone: (202) 502-7626.

**Website Address:**

<http://www.ed.gov/programs/iegpsbie/>.

**RELATED PROGRAMS:**

84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects to improve the teaching of international business and support linkages between institutions of higher education and the business community engaged in international commerce. Howard Community College's International Business and Education Center developed a one-stop shopping International Trade Assistance Center (ITAC) which promotes economic development in Howard County and the State of Maryland with Title VI funding. ITAC provides services to businesses in all phases of exporting.

Furthermore, ITAC has partnered with several public entities, including Maryland's International Division, World Trade Center Institute and Howard County's Economic Development Authority and others. These partnerships enable ITAC to serve businesses and promote their capacity to sell its goods and services outside the United States. Moreover, the International Business and Educational Center (IBEC) has launched major initiatives to internationalize both credit and non-credit courses at Howard Community College. These initiatives include international faculty exchanges. The first-hand experience enables faculty to enrich both the curriculum and the student awareness of international business issues. Purdue University's School of Agriculture trained twenty undergraduate students in agribusiness, Russian language and area studies. The students studied Russian language, area studies, agriculture and business practices in both Indiana and Novgorod, Russia. Each student collected and compiled market research for Indiana businesses and were involved in several trade workshops in Indiana to increase the capacity of Indiana agribusiness to conduct trade activities in Russia. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 661.31. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.160 TRAINING INTERPRETERS FOR INDIVIDUALS WHO ARE DEAF AND INDIVIDUALS WHO ARE DEAF-BLIND**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302(f).

**OBJECTIVES:**

To support projects that increase the numbers and improve the skills of manual, oral, and cued speech interpreters providing services to individuals who are deaf and individuals who are deaf-blind.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible entities to provide training for manual, tactile, oral and cued speech interpreters. This training may include classroom instruction, workshops, seminars, and field placement. Curriculum may include specialty areas such as interpreting in legal, medical, or rehabilitation settings or for deaf-blind, speech-impaired or developmentally disabled persons.

**Applicant Eligibility:**

Public or private nonprofit agencies and organizations, including institutions of higher education are eligible for assistance.

**Beneficiary Eligibility:**

Individuals preparing for employment as interpreters for individuals who are deaf and individuals who are deaf-blind who are presently serving as interpreters and wish to maintain or raise the level of their skills, and the persons who will receive the services of interpreters are beneficiaries of this program.

**Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application is made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will include one or more nonfederal consultants with experience and training with interpreting for individuals who are deaf and individuals who are deaf-blind.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with a portion subject to individual negotiations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, with budget periods of 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

Proper records must be maintained for three years subsequent to audit or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$2,084,000; FY 09 est \$2,084,000; FY 10 est \$2,084,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Six awards were made in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training of Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind Regulations (34 CFR 385); (34 CFR 396); the Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/students/college/aid/rehab/catinter.html>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The program supports regional interpreter training projects to provide training to interpreters. The national interpreter training projects are also supported to address the training of interpreters via distance education and the training of interpreter educators and mentors. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the project to the stated objectives of the interpreter training program. The number of trainees expected to be involved; demonstrated capacity or potential for providing interpreter training, the past record of existing training programs; and the geographical area expected to be served.

**84.161 REHABILITATION SERVICES\_CLIENT ASSISTANCE PROGRAM**

(CAP)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title I, Part B, Section 112, 29 U.S.C 732.

**OBJECTIVES:**

(1) To provide assistance in informing and advising clients and client applicants of available benefits under the Rehabilitation Act; (2) to assist and advocate for clients and client applicants in their relationships with projects, programs and services provided under this Act, including assistance and advocacy in pursuing legal, administrative and other appropriate remedies; (3) to provide information on available services under the Act and Title I of the Americans with Disabilities Act to any individual with disabilities in the State.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for services to help clients and applicants understand the rehabilitation services available under the Rehabilitation Act, and to provide information to individuals with disabilities in the State. No class action suits are allowed.

**Applicant Eligibility:**

States and Territories (through the Governor) are eligible for awards. The Governor shall designate a public or private agency to conduct the State's program.

**Beneficiary Eligibility:**

Clients and client applicants receiving services or interested in seeking assistance under the Rehabilitation Act of 1973, as amended, will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Governor submits assurances that meet the requirements established under the Rehabilitation Act, as amended, and Federal regulations.

**Award Procedure:**

Notice of annual allotment to States, quarterly grant award notices and funds are withdrawn under the Electronic Transfer System or by Treasury check.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges (34 CFR 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: In accordance with the Act Federal funds are distributed on the basis of the relative population of each State, except no State shall receive less than \$50,000, Territories \$30,000. When total funds available for this program exceed \$7,500,000, the minimum allotment is \$100,000 for States and \$45,000 for Territories. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds generally are available for one fiscal year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. Cash reports are required quarterly. Progress reports are not applicable. Expenditure reports are required annually. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Information on clients and client applicants served as cases should be maintained.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$11,576,000; FY 09 est \$11,576,000; FY 10 est \$11,576,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 56,800 clients were served in FY 08. The majority (or more than three-fourths) of individuals served were persons with disabilities who requested routine information or referral services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Client Assistance Program Regulations (34 CFR 370).

**Regional or Local Office:**

None.

**Headquarters Office:**

James Billy, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: james.billy@ed.gov Phone: (202) 245-7273.

**Website Address:**

<http://www.ed.gov/programs/rsacap/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.234 Projects with Industry; 84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.165 MAGNET SCHOOLS ASSISTANCE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part C.

**OBJECTIVES:**

To provide grants to eligible local educational agencies (LEAs) or consortia of LEAs to establish and operate magnet schools that are part of approved court-ordered of federally approved voluntary desegregation plans. Magnet programs aim to eliminate, reduce, or prevent minority group isolation in elementary and secondary schools while strengthening students' academic achievement.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for planning and promotional activities directly related to the development, expansion, continuation, or enhancement of academic programs offered at magnet schools; for purchasing books, materials, equipment; and for paying or subsidizing the salaries of teachers and instructional staff in magnet schools. Funds may not be used for transportation or activities that do not augment academic improvement. No more than 50 percent of the funds an applicant receives in the first year of a grant may be used for planning. No more than 15 percent of the funds received for the second year may be used for planning, and no more than 10 percent in the third year. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEA) or consortia of LEAs that are implementing court-ordered or federally approved voluntary desegregation plans that include magnet schools are eligible to apply.

**Beneficiary Eligibility:**

Local educational agencies and participating students will benefit.

**Credentials/Documentation:**

Applicants must submit a copy of the desegregation plan they are implementing, or will implement, if assistance is made available. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices are published in the Federal Register and applications must be sent to the Education Department on or before the closing date.

**Award Procedure:**

Recommendations for the approval of applications are made by the program staff on the basis of published criteria, statutory priorities, State comments received under the E.O. 12372 process, and with the advice and assistance of a panel of reviewers. In addition, no application may be approved unless the Assistant Secretary for Civil Rights determines that all required assurance will be met.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is anticipated to be 90 to 120 days from the closing date.

**Appeals:**

Not Applicable.

**Renewals:**

The project period for a Magnet School award may not exceed 36 months. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The length of grants will be up to 36 months, subject to the availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$104,826,000; FY 09 est \$104,829,000; FY 10 est \$104,829,000

**Range and Average of Financial Assistance:**

Range of awards: \$350,000-\$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Forty-one new awards were made in FY 2007. The next grant competition will be held in FY 2010, subject to the availability of funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information on regulations (34 CFR 280).

**Regional or Local Office:**

None.

**Headquarters Office:**

Anna Hinton, Department of Education, Office of Innovation and Improvement Parental Options and Information, 400 Maryland Ave., SW, Room 4W229, Washington, District of Columbia 20202 Email: anna.hinton@ed.gov Phone: (202) 260-1816.

**Website Address:**

<http://www.ed.gov/programs/magnet/index.html> .

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following are examples of the types of projects that have been funded: (1) Implementation of science and math magnet projects; (2) projects to support performing arts magnet programs at the elementary and secondary level; and (3) projects to support Montessori programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Quality criteria are used to evaluate the applicant's plan of operation; personnel; project design; budget and resources; evaluation plan; and commitment and capacity. Competitive priority is given to applicants that demonstrate the greatest need for assistance; that carry out new or significantly revised magnet schools; that select students to attend magnet schools through methods such as lottery, rather than academic examination; that implement innovative educational approaches consistent with approved State and local system reform plans; and that draw on comprehensive community involvement plans. For funds appropriated for the program in excess of \$75 million, competitive priority is given to those applicants that did not receive funds under the program in the last fiscal year of the previous funding cycle.

**84.169 INDEPENDENT LIVING\_STATE GRANTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title VII, Chapter 1, Part B.

**OBJECTIVES:**

To assist States in maximizing the leadership, empowerment, independence, and productivity of individuals with disabilities, and the integration and full inclusion of individuals with disabilities into the mainstream American society, by providing financial assistance for providing, expanding, and improving the provision of independent living services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under this Part may be used to support the operation of the Statewide Independent Living Councils (SILC), States may also use funds received under this Part for one or more of the following purposes: to provide independent living services to individuals with significant disabilities; to demonstrate ways to expand and improve independent living services; to support the operations of centers for independent living; to increase the capacities of public or nonprofit agencies and organizations and other entities to develop comprehensive approaches or systems for providing independent living services; to conduct studies and analyses, gather information, develop model polices and procedures, and present information, approaches, strategies, findings, conclusions, and recommendations to Federal, State, and local

policymakers in order to enhance independent living services for individuals with disabilities; to train individuals with disabilities and individuals providing services to individuals with disabilities and other persons regarding the independent living philosophy; and to provide outreach to populations that are unserved or underserved by programs under this title, including minority groups and urban and rural populations.

**Applicant Eligibility:**

State agencies (including Territories) designated as the State unit to administer the State's independent living rehabilitation services program may apply.

**Beneficiary Eligibility:**

Individuals with significant physical, mental, cognitive, or sensory impairments.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. The match for this program may be in-kind. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In order to be eligible for an allocation under this program, States must submit a State plan for independent living rehabilitation services (meeting requirements established under the Rehabilitation Act of 1973, as amended) no later than July 1, of the year preceding the year for which the plan is submitted. Beginning in fiscal year 1996, State applicants must submit a 3-year State plan. This plan must be submitted not later than July 1, of the year preceding the first year of the forthcoming 3-year period. The plan is updated whenever necessary to reflect a material change in the administration of the plan. The State may choose to submit a consolidated 3-year rehabilitation plan that includes independent living rehabilitation services and either vocational rehabilitation services or both the State's rehabilitation plans and the State's plan for services for persons with developmental disabilities developed under the Developmental Disabilities Act.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, the State may appeal to the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to two additional years, for a total of three years under an approved State Plan for Independent Living.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Federal funds are distributed based on the percentage each State's population constitutes of the total population of the United States. The source is the Population Estimates Annual, Bureau of the Census. The Federal share for any fiscal year is one State dollar for every Federal dollar. The

State contribution may be cash or in-kind.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR 76). Performance reports are required annually. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Education Department periodically conducts audits and site visits of designated State unit programs funded under Part B.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$22,193,000; FY 09 est \$23,450,000; FY 10 est \$23,450,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funds were awarded to 78 designated State units. Fiscal Year 2009: Funds were awarded to 78 designated State units. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Independent Living Regulations 34 CFR 364 and 365.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Kelley, Office of Special Education and Rehabilitative Services, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: thomas.kelley@ed.gov Phone: (202) 245-7404.

**Website Address:**

<http://www.ed.gov/programs/rsalstate/index.html>.

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.177 Rehabilitation Services Independent Living Services for Older Individuals Who are Blind; 84.398 Independent Living State Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An approved State plan is a condition for receipt of funds under Title VII, Part B of the Rehabilitation Act.

**84.170 JAVITS FELLOWSHIPS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title VII, Part A, Subpart 1.

**OBJECTIVES:**

To provide fellowships for graduate study in the arts, humanities, and social sciences to individuals of superior ability selected on the basis of demonstrated achievement, financial need, and exceptional promise. Fellowships are awarded to students intending to pursue a doctoral degree and may be awarded to students pursuing a master's degree in those fields in which the master's degree is commonly accepted as the terminal degree.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A recipient is entitled to use the fellowship in a graduate program at any accredited institution of higher education in which the recipient may decide to enroll. For each fellowship awarded, the institution receives an institutional allowance determined in accordance with the statutory formula in Section 703 of the Higher Education Act of 1965, as amended. The student receives a stipend set at the level of support based on that provided by the National Science Foundation graduate fellowships. No stipend may exceed the Fellow's demonstrated level of need according to measurements of need set forth in Part F of Title IV of the Higher Education Act. An individual receives payments only during the periods that he or she maintains satisfactory progress in his or her program of study and devotes essentially full time to study or research in the field in which the fellowship was awarded.

**Applicant Eligibility:**

Eligibility is limited to U.S. citizens or nationals, permanent residents of the United States, and citizens of any one of the Freely Associated States. Applicants must be enrolled or eligible to be enrolled in a graduate program in an approved field of study at an accredited institution of higher education. A minimum of sixty percent of these new fellowships shall be awarded to applicants in the humanities, twenty percent to applicants in the social sciences, and twenty percent to applicants in the arts.

**Beneficiary Eligibility:**

Citizens and nationals of the United States, permanent residents of the United States, and citizens of any one of the Freely Associated States.

**Credentials/Documentation:**

Regulations were published in the Federal Register on January 19, 1998. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted in accordance with the notice of closing date published in the Federal Register.

**Award Procedure:**

The Education Department will make awards in accordance with the criteria established by the Javits Fellowship Board. Contact the program office for additional information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for continuation of support are made on an annual basis by the institution at which the fellow is pursuing graduate study, but may not exceed 48 months. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the grant is one year, but renewable for up to a total of 48 months, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Certification from an appropriate official at an institution of higher education approved by the Secretary, stating that the fellow is making satisfactory progress and has devoted essentially full time to study or research in the field in which the fellowship was awarded. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Fiscal records of institutions administering funds are subject to audit by the Education Department at any time within 5 years after the close of the fiscal year in which expenditures are liquidated.

**Records:**

All records bearing on the receipt and expenditure of funds under this program must be available for inspection by the Education Department. Records must be held for three years after the fiscal year in which expenditures are liquidated, or five years after the grant, or until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$9,529,558; FY 09 est \$9,687,000; FY 10 est \$9,687,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 220 fellowships were awarded. Fiscal Year 2009: 22 fellowships can be expected to be awarded. Fiscal Year 2010: 218 fellowships are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Javits Fellowship Program regulations are found at 34 CFR 650. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmen Gordon International Education and Graduate Programs, Office 1990 K St NW, 6th Floor, Washington, District of Columbia 20006 Email: OPE\_Javits\_Program@ed.gov Phone: (202) 219-7542

**Website Address:**

<http://www.ed.gov/programs/jacobjavits>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Fellowships are made in the following areas: arts, humanities, and social sciences. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Fellowship Board. Fellowship applications are evaluated based on scholarly achievements, including Graduate Record Examination (GRE) scores on the general test only if applying in the humanities, social sciences, multi-or interdisciplinary fields of art history or creative writing; awards; honors; narratives describing personal goals; and three letters of recommendation.



## **84.173 SPECIAL EDUCATION\_PRESCHOOL GRANTS**

### **FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

### **AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1419., Part B, Section 619.

### **OBJECTIVES:**

To provide grants to States to assist them to make available special education and related services for children with disabilities ages 3 through 5 years, and at a State's discretion, to 2 year old children with disabilities who will reach age three during the school year.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Funds are used by State education agencies: (1) to provide a free appropriate public education (FAPE) to preschool children with disabilities ages 3 through 5, and at the State's discretion, to 2-year old children with disabilities who will reach age 3 during the next school year; (2) to administer section 619; and (3) for support services, direct services, activities to meet the State's performance goals, to supplement other funds used for a Statewide coordinated service system designed to improve results for children and families, to provide early intervention services in accordance with Part C to children ages 3 through 5 who would otherwise be eligible under the Preschool Grants program, and to continue service coordination or case management for families who receive services under Part C.

### **Applicant Eligibility:**

State education agencies in the 50 States, the District of Columbia, and Puerto Rico.

### **Beneficiary Eligibility:**

Children aged 3 through 5 with disabilities, and (at the State's option) 2-year old children that will reach age 3 during the school year, that require special education and related services will benefit.

### **Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the application and statement of assurance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

There is no separate application required for this program. States are eligible to receive Preschool Grant funds if the State education agency establishes eligibility under section 612 of the IDEA and if the State makes free appropriate public education available to all children ages 3 through 5 with disabilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the Secretary has approved the application and statement of assurances for that State as provided under Section 612 of Part B of the IDEA and if the State makes a free appropriate public education available to all children ages 3 through 5 year with disabilities residing in the State. Local education agencies establish eligibility for Preschool Grant funds by meeting local application requirements in section 613 of Part B of the IDEA. A single application is required for programs funded under Part B of the IDEA, including this program.

### **Award Procedure:**

Once the State application is approved, a grant award representing the total preschool grant amount for that fiscal year is forwarded to the State's department of education. A State must serve all 3 through 5- year old children

with disabilities if the State wants to continue participating in this program, as well as to receive funds for children ages 3 through 5 served under the Grants to States program. This is a forward funded program, in which funds become available for obligation on July 1 of the fiscal year for which they are appropriated and remain available for 15 months through September of the following year.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Within 90 days.

### **Appeals:**

The Department shall not take any final action until the State is provided reasonable notice and an opportunity to submit written objections and opportunity for a hearing.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Preschool Grants are awarded to States based on a statutory formula. A State first receives the amount it received under this program in federal fiscal year 1997. If the appropriation for this program in any subsequent fiscal year exceeds the amount for the preceding fiscal year, 85 percent of the excess appropriation over the fiscal year 1997 appropriation is awarded to States based on their relative populations of children aged 3 through 5, and 15 percent of the excess appropriation is awarded based on the State's relative population of all children aged 3 through 5 living in poverty. The formula also provides several floors and ceilings regarding the amount a State can receive in a year. In addition, the Act also specifies how funds are allocated when the appropriation is less the amount provided in the prior fiscal year. This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30 of the following fiscal year. State and local education agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

Annual State Performance Plans (SPPs) and Annual Performance Reports (APRs) are submitted to the Department of Education from the State department of education, including information required by section 618 of the IDEA. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its contractors must retain records related to grant funds and compliance for a period of 5 years. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

### **Account Identification:**

91-0300-0-1-501.

### **Obligations:**

(Formula Grants) FY 08 \$374,099,280; FY 09 est \$374,099,000; FY 10 est \$374,099,000

**Range and Average of Financial Assistance:**

For FY 2010, the range of awards is expected to be between \$240,249 to \$37,840,680; the average award is expected to be \$7,194,212.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All State agencies, Puerto Rico, and the District of Columbia received funding under this program. In FY 2008, 710,371 children with disabilities ages 3 through 5 were served. Fiscal Year 2009: Est. 724,598. Fiscal Year 2010: Est. 739,070.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations were published in the Federal Register on August 14, 2006 at 34 CFR 300, to implement the Individuals with Disabilities Education Improvement Act of 2004. Also, a notice of proposed rulemaking was published on May 13, 2008 proposing additional amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy Treusch, Office of Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: nancy.treusch@ed.gov Phone: (202) 245-7553.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.181 Special Education-Grants for Infants and Families; 84.392 Special Education - Preschool Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Federal funds were combined with State and local funds to provide a free appropriate public education to children with disabilities. This includes special education and related services. Funds are used for salaries of teachers and other personnel, educational materials, related services -- such as speech or occupational therapy -- and other education-related needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify for funding based upon an approved application under section 612 of the Individuals with Disabilities Education Act and that they provide a free appropriate public education to all children with disabilities ages three through five. The criteria for approving an application appear in the regulations implementing Part B of the Individuals with Disabilities Education Act.

**84.177 REHABILITATION SERVICES\_INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title VII, Chapter 2.

**OBJECTIVES:**

To provide independent living services to individuals aged 55 or older who are blind, whose severe visual impairments make competitive employment extremely difficult to obtain, but for whom independent living goals are feasible.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used to improve or expand independent living services. Among the services provided are those to help correct or modify visual disabilities, provide eyeglasses and other visual aids, provide services and equipment to enhance mobility and self-care, provide training in Braille and other services to help older individuals who are blind adjust to blindness, provide teaching services in daily living activities, and other supportive services

that enable individuals to live more independently. Funds can also be used to improve public understanding of the problems faced by visual older individuals who are blind.

**Applicant Eligibility:**

Any State agency (including territories/possessions designated by the State as the State agency) authorized to provide rehabilitation services to blind individuals may apply.

**Beneficiary Eligibility:**

Individuals aged 55 or older whose severe visual impairments make gainful employment extremely difficult to obtain but for whom independent living goals are feasible and beneficial.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Any application for a grant must contain assurances that the designated State unit will seek to incorporate any new methods and approaches relating to services for older individuals who are blind into the State plan for Independent Living Services.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS, based on a review of findings of Federal and nonfederal reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made on an annual basis. Projects may be continued for up to 4 additional years based on annual review of accomplishments, submittal of a continuation application, and the availability of funds. Renewals are available only through the new application process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost-sharing of \$1 for each \$9 of Federal grant funding is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects in fiscal year are generally approved for a period of up to 5 years with funding approved on a 12-month basis. Renewals are subject to availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$32,320,000; FY 09 est \$32,320,000; FY 10 est \$34,151,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funding was received by 56 projects in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 752 of the Rehabilitation Act, as amended, and 34 CFR 367, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Kelley, Office of Special Education and Rehabilitative Services, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: thomas.kelley@ed.gov Phone: (202) 245-7404.

**Website Address:**

<http://www.ed.gov/programs/rsailob/index.html> .

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living State Grants; 84.240 Program of Protection and Advocacy of Individual Rights; 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have extended services to subgroups of the older blind population that are vulnerable to premature or unnecessary institutionalization as well as to older deaf-blind persons. These projects provide services in both rural and urban areas and about half of the grantees make subgrants to community nonprofit agencies to deliver services. In addition to in-home and/or facility-based service provisions, mobile units and community minicenters are available near the residences of persons being served. All projects provide comprehensive independent living services. Fiscal Year 2009: Grants were awarded to 56 designated State units. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program are extent of need for the project, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, adequacy of resources, service comprehensiveness, and likelihood of sustaining program. Criteria for selecting projects are published in program regulation at 34 CFR 367.

**84.181 SPECIAL EDUCATION-GRANTS FOR INFANTS AND FAMILIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1431-1444, Part C.

**OBJECTIVES:**

To provide grants to States to assist them to implement and maintain a Statewide, comprehensive, coordinated, multidisciplinary, interagency system to make available early intervention services to infants and toddlers with disabilities and their families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to assist States in implementing and maintaining their Statewide systems of early intervention services. Funding may also be used to provide direct services for eligible infants and toddlers with disabilities aged birth through 2 and their families that are not otherwise provided by other public or private sources, to expand and improve services for infants and toddlers with disabilities that are otherwise available and to provide a free appropriate public education, in accordance with Part B of IDEA, to children with disabilities from their third birthday to the beginning of the following school year. States also have the discretion to provide services to infants and toddlers who are at risk of having substantial developmental delays if they do not receive appropriate early intervention services. The Individuals with Disabilities Education Improvement Act of 2004 amended IDEA to allow states, at their discretion, to continue to serve children with disabilities under this program beyond age 2 until the children enter or are eligible to enter kindergarten or elementary school, if the children are otherwise eligible for services under the Preschool Grants Program (84.173), and previously received services under the Part C program.

**Applicant Eligibility:**

The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Secretary of the Interior and the following jurisdictions: Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities aged birth through 2 and their families will benefit.

**Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the application and statement of assurances for that State. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific application procedures are provided in the application form for the program. The State lead agencies, the applicants for this program, are designated by the Governor.

**Award Procedure:**

Once the State application is approved, a grant award representing the total State allocation is forwarded to the State lead agency. This is a forward funded program, in which funds become available for obligation on July 1 of the fiscal year for which they are appropriated and remain available for 15 months through September of the following year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within to 90 days.

**Appeals:**

The Department may not disapprove an application unless the Department determines, after notice and opportunity for a hearing, that the application,

including the statement of assurances, fails to comply with the requirements of Section 637.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Awards are based on each applicant's proportionate share of children, aged birth through two years, in the general population, based on the most recent satisfactory data available from the United States Bureau of the Census. No State may receive less than 0.5 percent of the funds available for all States. The Department of Interior receives 1.25 percent of the amount available to States. The Outlying Areas receive up to 1 percent of the funds appropriated.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each year. The Federal obligation period is a 15-month period from July 1 through September 30 of the following fiscal year. State and local education agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An annual report to the Governor and to the Secretary by the State Interagency Coordinating Council on the status of early intervention programs operated within the State as required under Section 641(e)(1)(D) of the Act, and other information that the Secretary may require, including information required under Section 618 of the Act. Annual State Performance Plans and Annual Performance Reports are submitted to the Department of Education by the lead agency on an annual basis. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its contractors must retain records related to grant funds and compliance for a period of 5-years.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$435,653,802; FY 09 est \$439,427,000; FY 10 est \$439,427,000

**Range and Average of Financial Assistance:**

For 2010, the range of awards is expected to be between \$2,153,000 and \$53,560,000; the average award is expected to be \$8,188,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, approximately 321,894 infants and toddlers with disabilities are expected to be served. Fiscal Year 2009: Est. 388,000. Fiscal Year 2010: Est. 354,900.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations were published in the Federal Register on June 1, 1988, at CFR Part 303.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, District of

Columbia 20202 Email: Ruth.Ryder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/osep/programs.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.392 Special Education - Preschool Grants, Recovery Act ; 84.393 84.393 Special Education - Grants for Infants and Families, Recovery Act; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are used to implement and maintain statewide systems of early intervention services, provide direct services that are not otherwise provided by other public or private sources, and to expand or improve services that are otherwise available. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify based on an approved application under Part C of the IDEA.

**84.184 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES\_NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title IV, Part A, Subpart 2, Sections 4121, 4122, 4129, and 4130.

**OBJECTIVES:**

To enhance the Nation's efforts to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels; and to support mentoring programs for at-risk children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program support alcohol abuse reduction, mentoring, drug and violence prevention and education, and school emergency preparedness activities. The Secretary may fund applications that address specific priorities and requirements published in the Federal Register. Maintenance-of-effort provisions apply to local educational agencies (LEAs); an LEA may receive a grant only if its State educational agency finds that either the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year. All grantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

Public and private organizations, and individuals.

**Beneficiary Eligibility:**

Higher education institutions, State educational agencies (SEAs), Local educational agencies (LEAs), and nonprofits will benefit, as will students, teachers, and parents.

**Credentials/Documentation:**

Contact the headquarters for credential/documentation requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in

applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department of Education makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove an application is five months following the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon the availability of funding and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be made for a period of 12 to 48 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant, cooperative agreement or contract document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements are found in Part 74 of EDGAR.

**Records:**

As required by EDGAR, 34 CFR 75.730-734.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$218,632,000; FY 09 est \$220,240,000; FY 10 est \$283,608,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, the Department made 672 awards. Fiscal Year 2009: In FY 2009, an estimated 704 awards are expected. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299).

**Regional or Local Office:**

None.

**Headquarters Office:**

William Modzeleski Office of Safe and Drug-Free Schools, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: William.Modzeleski@ed.gov Phone: (202) 245-7831

**Website Address:**

<http://www.ed.gov/about/offices/list/osdfs/programs.html#state>.

**RELATED PROGRAMS:**

84.186 Safe and Drug-Free Schools and Communities\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects that develop and implement a "Safe Schools/Healthy Students" model designed to comprehensively address multiple factors that predispose youth to drug use and violence. Project that support local educational agencies and higher education institutions in improving and refining their emergency management plans. Projects to reduce alcohol use by high school students. Mentoring programs for children who are at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lack strong role models. School-based drug testing programs for students. Drug and violence prevention programs for college students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Need for the project; (2) significance; (3) quality of project design; (4) adequacy of resources; (5) quality of the management plan; and (6) quality of project evaluation.

**84.185 BYRD HONORS SCHOLARSHIPS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 6.

**OBJECTIVES:**

To provide scholarships to support postsecondary education to outstanding high school seniors who show promise of continued academic achievement in an effort to recognize and promote student excellence and achievement.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Scholarships of \$1,500 are awarded to support a maximum of 4 years of study at any eligible institution of higher education.

**Applicant Eligibility:**

The State educational agencies (SEA), which supervise public elementary and secondary schools in the States, are responsible for administering the program. For the purposes of this program, the States include the fifty States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, Guam, and Palau.

**Beneficiary Eligibility:**

A student must meet residency and citizenship requirements, be a graduate of a public or private secondary school or have been accepted for enrollment at an institution of higher education, have demonstrated outstanding academic achievement, and show promise of continued academic achievement to be eligible to receive a scholarship.

**Credentials/Documentation:**

To receive allotments for scholarships, a State must submit a participation agreement to the Department of Education as required by Section 419E of the program statute. A State is not required to provide further application information for funding unless the State wants to modify an approved agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Annual allotments are provided through grant awards to the State educational agencies for making scholarships to qualifying students. Students apply to their State of legal residence for a scholarship under this program. Student applicants must follow the application procedures as directed by each State. Each participating State awards scholarships to eligible students in accordance with selection procedures developed by the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

To be eligible for allotments for any year, States must enter into an agreement with the Department of Education in accordance with Section 419E of the program statute and the program requirements for the year as published in the Federal Register by the Secretary. To be eligible for renewal of scholarships, students must continue to meet residency and citizenship requirements, be enrolled as a full-time student, and maintain satisfactory academic progress. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Each participating State is allotted funds based on the ratio of the State's population ages five through seventeen years to the population ages five through seventeen in all participating States, except that no State shall receive less than 10 scholarships of \$1,500 each.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards may be made for up to four years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An annual performance report of the expenditure of Scholarship funds and other reports as required by the Secretary. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 5 years after the activity for which the funds were awarded or until completion of the Department Audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Formula Grants) FY 08 \$40,283,730; FY 09 est \$40,642,000; FY 10 est \$40,642,000

**Range and Average of Financial Assistance:**

Range: \$60,000 - \$5,037,000; Average: \$725,732.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal Year 2008, approximately 27,000 students received \$1,500 in scholarships. Fiscal Year 2009: Approximately 27,000 students are expected to receive \$1,500 in scholarships. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 654 (Program Regulations) published in the Federal Register on

August 11, 1993, fact sheet, program description, and Directory of State Agency Official Contacts (current). Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Darryl Davis Department of Education, Office of Postsecondary Education, Higher Education Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: darryl.davis@ed.gov Phone: (202) 502-7657

**Website Address:**

<http://www.ed.gov/programs/idadesbyrd/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.186 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES STATE GRANTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title IV, Part A, Subpart 1.

**OBJECTIVES:**

To offer a disciplined environment conducive to learning, by preventing violence in and around schools and strengthening programs that prevent the illegal use of alcohol, tobacco, and drugs, involve parents, and are coordinated with related Federal, State, and community efforts and resources.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Drug prevention programs must convey a clear and consistent message that the illegal use of alcohol and other drugs is wrong and harmful. Generally, funds under the program may not be used for construction, medical services, or drug treatment or rehabilitation. This program is subject to maintenance of effort requirements. In addition, grantees and subgrantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

State Departments of Education; State Governors; State educational agencies (SEAs), Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern, Mariana Islands may apply. Organizations primarily serving and representing Native Hawaiians for the benefit of Native Hawaiians may also apply under a designated grant competition.

**Beneficiary Eligibility:**

Governors' offices, SEAs, LEAs, Insular Areas, Tribal governments, and other public and private nonprofit organizations (including parent groups, community action agencies, and other community-based organizations); American Indians and Native Hawaiians; and students and teachers in public and private schools in each State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State must submit to the Department of Education an application covering a 5-year period which is amended as needed.

**Award Procedure:**

Applications from States are reviewed for compliance with the statute. If it is determined that the application meets the statutory requirements, the Assistant Deputy Secretary awards the State its allotment. For Native Hawaiians program, peer reviewers recommend grantees based on the quality of applications submitted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove a State's application is approximately sixty days. For Native Hawaiians Program, approximately sixty days are needed to review and award grants after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

State applications are amended as needed. Awards are generally made effective July 1 of each calendar year. For Native Hawaiians Program, continuation grants are negotiated at the time of initial award.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The statutory formula used to determine each State's allotment is authorized by Title IV, Part A, Subpart 1, Section 4111, Elementary and Secondary Education Act, as amended (ESEA). This program has maintenance-of-effort requirements; see funding agency for further details. From the total appropriation, 1 percent or \$4.75 million (whichever is greater) is reserved for the Outlying Areas, 1 percent or \$4.75 million (whichever is greater) is reserved for the DOI Bureau of Indian Education for programs for Indian youth, and 0.2 percent is reserved for programs for Native Hawaiians. The Department allocates the remaining funds by formula to States, half on the basis of school-aged population and half on the basis of State shares of ESEA Title I Concentration Grants funding for the previous year, provided that no State receives less than the greater of: (1) one-half of 1 percent of the total, or (2) the amount it received under the program in fiscal year 2001. Of each State's allocation, the Governor may elect to administer up to 20 percent of the funds; the remainder is administered by the State educational agency. The SEA must subgrant at least 93 percent to LEAs. LEA allocations are based 60 percent on ESEA Title I Concentration Grant funding for the preceding year and 40 percent on enrollment.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, State awards are made from July 1 of one year to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. Grantees draw down funds electronically as needed. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A report on the programs funded by the State, is required by Section 4117 of the Act. Financial and performance reports are required in accordance with 34 CFR 76.720, 80.40, and 80.41. For Native Hawaiians programs, financial and performance reports are required in accordance with 34 CFR 74.51, 74.52, and 75.720. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with 34 CFR 76.730, grantees must maintain appropriate records related to grant funds, compliance, and project performance for three years after the completion of activity for which the grant or subgrant funds were used that are sufficient to establish fiscal accountability and to facilitate an effective audit. For Native Hawaiians program, records retention and access requirements are in accordance with 34 CFR 74.53 and 75.730-732.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$294,759,000; FY 09 est \$294,759,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

In 2009 formula allocations to States ranged for \$1,423,000 to \$35,162,000 and averaged \$5,473,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards have been made for programs that help create safe and drug-free learning environments for children to all 50 States, the outlying areas, and the BIA, and to Native Hawaiian organizations. Fiscal Year 2009: Awards are scheduled to be made on July 1, 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grants program is governed by the Statute, EDGAR (34 CFR 76, 77, 79, 80, 81, 82, and 85) and non-regulatory guidance. In addition, 34 CFR 98 and 99 apply to this program. The administration of the Native Hawaiians program is governed by the Statute and EDGAR (34 CFR 74, 75, and 77).

**Regional or Local Office:**

None.

**Headquarters Office:**

Paul Kesner, Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, S.W., Room 3E314, Washington, District of Columbia 20202 Email: paul.kesner@ed.gov Phone: (202) 245-7889.

**Website Address:**

<http://www.ed.gov/about/offices/list/osdfs/programs.html#state>.

**RELATED PROGRAMS:**

84.184 Safe and Drug-Free Schools and Communities\_National Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Drug and violence prevention activities such as developing instructional materials; professional development programs for school personnel; community service projects; conflict resolution, peer mediation, mentoring, and character education; establishing safe zones of passage for students to and from school; acquiring and installing metal detectors; hiring security personnel; student instruction; parent education and involvement; student assistance programs, including counseling, identification, and referral services; and strengthening readiness and emergency management planning efforts. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States receive formula grants based upon the submission of an approvable application. For Native Hawaiians program direct grant awards are made through a peer review process where applications are selected based on quality.

**84.187 SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH SIGNIFICANT DISABILITIES**

(Supported Employment State Grants)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VI, Part B.

**OBJECTIVES:**

To provide grants for time limited services leading to supported employment for individuals with the most severe disabilities to enable such individuals to achieve the employment outcome of supported employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used to: (1) complement services under Title I of this Act; (2) provide skilled job trainers who accompany the worker for intensive on-the-job training; (3) provide systematic training; (4) provide job development; (5) provide follow-up services; (6) provide regular observation or supervision at training sites; and (7) provide other services needed to support an individual in employment. Funds may not be used to provide the required extended services once an individual transitions from the time limited services provided under VI-C.

**Applicant Eligibility:**

State vocational rehabilitation agencies (including territories and possessions) designated in the State plan to administer the Vocational Rehabilitation Program.

**Beneficiary Eligibility:**

Individuals with the most severe disabilities whose ability or potential to engage in a training program leading to supported employment has been determined by evaluating rehabilitation potential. In addition, individuals must need extended services in order to perform competitive work and have the ability to work in a supported employment setting.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State agency must submit a State plan supplement as part of the State plan under Title I of the Rehabilitation Act. Vocational rehabilitation agencies submit the State Plan and supplement to RSA.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

State plans must be approved within 90 days of being submitted to RSA.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Rehabilitation Act of 1973, as amended, Title VI, Part B.

Matching Requirements: Federal funds are distributed based on the U.S. total populations and State population and the source is the Population Estimates

Annual, Bureau of the Census. No State shall receive less than \$300,000 or one-third of one percent of the sums made available for the fiscal year, whichever is greater. The minimum allotment for Territories is 1/8 of 1 percent of the amount appropriated. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for an additional year if the matching requirement is met in the year of the appropriation. Grant funds are withdrawn under the Electronic Transfer System. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual and quarterly progress reports and annual budget (Standard Form 425) are required. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records on individual consumers, fiscal records for a prescribed period for audit purposes and retention of records for three years are required.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$29,181,000; FY 09 est \$29,181,000; FY 10 est \$29,181,000

**Range and Average of Financial Assistance:**

In FY 2009, range of awards is \$36,476 to \$2,982,743. The average State award, excluding territories is \$552,756.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Supported Employment Services for Individuals with the most Significant Disabilities (34 CFR 363).

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.ed.gov/programs/rsasupemp/index.html>.

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**



Not applicable (Catalog users should contact the State Vocational Rehabilitation agency for criteria).

#### **84.191 ADULT EDUCATION\_NATIONAL LEADERSHIP ACTIVITIES**

##### **FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

##### **AUTHORIZATION:**

Adult Education and Family Literacy Act, as amended, Executive Order Title II, Section 243, of the Workforce Investment Act.

##### **OBJECTIVES:**

To support applied research, development, demonstration, dissemination, evaluation, and related activities that contribute to the improvement of adult education and literacy activities nationally.

##### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

To support projects for the improvement of adult education and literacy activities nationwide. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

##### **Applicant Eligibility:**

Postsecondary education institutions, public or private agencies or organizations, or consortia of these institutions, agencies, or organizations are eligible.

##### **Beneficiary Eligibility:**

Basic education and literacy programs for adults seeking to obtain an education at the primary or secondary levels will benefit through national evaluation, leadership and/or technical assistance efforts.

##### **Credentials/Documentation:**

Legal signature by a designated official on the application or proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed when applying for a competitive grant. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines which are published in the Federal Register.

##### **Award Procedure:**

Proposals or applications are reviewed in accordance with regulations for the Adult Education Act. After negotiation, a notification for award is sent to the successful recipient.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Funding will usually cover a 12 to 18-month period. See the following for information on how assistance is awarded/released: electronic transfer.

##### **Reports:**

Financial status and performance reports required by the Education Department General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are contained in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

##### **Account Identification:**

91-0400-0-1-501.

##### **Obligations:**

(Project Grants (Contracts)) FY 08 \$6,878,000; FY 09 est \$6,878,000; FY 10 est \$13,346,000

##### **Range and Average of Financial Assistance:**

to be determined.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects supported by this program will generate reports of use to practitioners, researchers, and policy makers and will provide technical assistance to adult education programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are found in 34 CFR 460 and 34 CFR 75.730-75.734.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Christopher Coro, Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: christopher.coro@ed.gov Phone: (202) 245-7717.

##### **Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>.

##### **RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds have been provided for activities designed to support States in developing policies for ABE to Postsecondary transitions, developing performance-based funding programs; and, improving the skills of the teaching force in mathematics and reading. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

##### **CRITERIA FOR SELECTING PROPOSALS:**

Applications should address each criterion: (1) Plan of operation; (2) quality of key personnel; (3) budget and cost-effectiveness; (4) evaluation plan; (5) adequacy of resources; (6) national need; and (7) adequacy of resources. Contact the program office for additional information.

## **84.196 EDUCATION FOR HOMELESS CHILDREN AND YOUTH**

### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

### **AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Executive Order Title VII, Subtitle B.

### **OBJECTIVES:**

To ensure that all homeless children and youth have equal access to the same free, appropriate public education available to other children, the Education for Homeless Children and Youth program provides assistance to States, Outlying Areas, and the Bureau of Indian Education (BIE) to: (1) establish or designate an Office of Coordinator of Education of Homeless Children and Youths; (2) develop and carry out a State plan for the education of homeless children; and (3) make subgrants to local educational agencies to support the education of those children.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

SEAs and LEAs may use funds for a wide variety of activities that facilitate the educational success of homeless children and youth. Such activities include: tutoring summer enrichment programs, the provision of school supplies, and professional development designed to heighten educators' understanding of and sensitivity to the needs of homeless children and youth. Services provided with these funds cannot replace the regular academic program and must expand upon or improve services provided as part of the regular academic program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

### **Applicant Eligibility:**

Departments of Education in the 50 States, the District of Columbia, Puerto Rico, the Outlying Areas, and schools serving Indian students that are funded by the Secretary of the Interior may apply. Only LEAs are eligible for State subgrants.

### **Beneficiary Eligibility:**

Homeless children and youth in elementary and secondary schools (and homeless preschool children and the parents of homeless children) of the applicant agency will benefit.

### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State that desires to receive a grant under this program may submit to the Department either an individual State plan or an ESEA consolidated State plan.

### **Award Procedure:**

Grant awards to the State educational agencies will be issued when applications are approved.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Biennial updates of State plans are required.

### **Formula and Matching Requirements:**

Statutory Formula: Title VII, Subpart B.

Matching Requirements: Each State educational agency receives an amount that bears the same ratio to the amount appropriated for this program as the amount allocated under Section 1122 of the Elementary and Secondary Education Act bears to the total allocations made under Section 1122. States shall not receive less than \$150,000, 0.25 percent of the total, or the amount of the State's fiscal year 2001 award.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Assistance is provided for one fiscal year. Sums appropriated in each fiscal year shall remain available for the succeeding fiscal year. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

States must report an estimate of the number of homeless children and youth in the State and the number being served by this program. They must also report on the nature and extent of problems relative to access of homeless children and youth to public preschool, elementary, and secondary schools and the difficulties in identifying the special needs of such children. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

### **Account Identification:**

91-1000-0-1-501.

### **Obligations:**

(Formula Grants) FY 08 \$64,067,000; FY 09 est \$65,427,000; FY 10 est \$65,427,000

### **Range and Average of Financial Assistance:**

FY 2009 - \$6,032-\$12,751,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants have been awarded to 50 States, Puerto Rico, the District of Columbia, the Virgin Islands, American Samoa, Guam, Palau, the Northern Marianas, and the DOI Bureau of Indian Education. The Department continues to monitor States and the outlying areas. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for The Education for Homeless Children and Youth program may be obtained through the office of Elementary and Secondary Education.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

### **Website Address:**

<http://www.ed.gov/programs/homeless/index.html>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: McKinney-Vento subgrants are made available by SEAs to LEAs on a competitive basis. LEAs must provide an application that describes the needs of homeless students in the school district, including the number of homeless students, the types of services available, and how the LEA will use subgrant funds to serve these students. Typically, subgrants are used for after-school tutoring, purchasing necessary supplies like backpacks, hygiene packs, etc., as well as offsetting the costs of transportation for homeless students wishing to remain in the school last attended prior to becoming homeless. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. LEA grants are awarded by States on the basis of need, and the quality of the application.

**84.200 GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To provide fellowships through graduate academic departments, programs, and units of institutions of higher education to graduate students of superior ability who demonstrate financial need for the purpose of sustaining and enhancing the capacity for teaching and research in academic areas of national need, as designated by the Secretary.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards made to institutions under this part shall be used exclusively to provide direct fellowship aid that will include need-based stipends, based on the support level of National Science Foundation fellowships and an institutional allowance for each individual awarded a fellowship to be adjusted annually in accordance with the Department of Labor's Consumer Price Index. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Accredited institutions of higher education may apply or submit joint proposals involving a nondegree granting institution having formal arrangements for support of doctoral dissertation research.

**Beneficiary Eligibility:**

Graduate students receiving fellowships must demonstrate financial need, have excellent academic records, plan to pursue the highest degree in the field, and be a U.S. citizen or a National, or a permanent resident of the U.S., or intend to become a U.S. citizen, be a permanent resident of the Trust Territory of the Pacific Islands, or a citizen of any one of the Freely Associated States.

**Credentials/Documentation:**

A properly formatted application must be filed with the Secretary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Instructions and forms concerning application procedures will be mailed to eligible institutions of higher education following publication of the Notice Inviting Application funding criteria in the Federal Register.

**Award Procedure:**

Panels of experts from outside the Government will appraise all applications. The program office will recommend funding to the Secretary, who will make the final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Noncompeting continuation applications must be given funding preference subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. A grantee must match the award by 25 percent. Federal funds and matching funds must be used for stipends, tuition fees, and other educational costs of students. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of the award is three years, subject to yearly appropriations. However students may receive support for up to five years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual fiscal and performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are performed as required by regulations.

**Records:**

None.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$29,541,730; FY 09 est \$31,030,000; FY 10 est \$31,030,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 178 grants were awarded; 702 fellowships were provided. Fiscal Year 2009: 162 grants will be awarded; 713 fellowships will be provided. Fiscal Year 2010: 142 grants will be awarded; 700 fellowships will be provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations were published in the Federal Register on December 16, 1993. The application package including forms and regulations will be mailed to eligible institutions and other interested parties. Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary Thomas, Teacher & Student Development Programs Service, Graduate

Assistance in Areas of National Need Program, Office of Postsecondary Education, Department of Education, 1900 K St, NW, 6th Floor, Washington, District of Columbia 20006 Email: ope\_gaann\_program@ed.gov Phone: (202) 502-7767.

**Website Address:**

<http://www.ed.gov/programs/gaann/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Awards are made to institutions of higher education to be used exclusively to provide fellowship aid to assist graduate students in designated academic areas of national need. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program will use the selection criteria contained in program regulations made available in the application package. Contact the program office for additional information.

**84.206 JAVITS GIFTED AND TALENTED STUDENTS EDUCATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title V, Part D, Subpart 6.

**OBJECTIVES:**

To provide financial assistance to State and local educational agencies, institutions of higher education, and other public and private agencies and organizations, to stimulate research, development, training, and similar activities designed to build a nationwide capability in elementary and secondary schools to meet the special educational needs of gifted and talented students. To supplement the use of State and local funds for the education of gifted and talented students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for: (1) the professional development of personnel involved in the education of gifted and talented students, including training in equitable teaching methods; (2) the establishment or identification of exemplary programs serving gifted and talented students, including those for identifying and educating students who might not be served by a traditional program; (3) implementing innovative learning strategies; (4) encouraging the adaptation of model gifted and talented programs for use by all students; (5) strengthening the capability of State educational agencies to provide leadership and assistance to local entities in the planning, operation, and improvement of programs; and (6) research, technical assistance, and information dissemination.

**Applicant Eligibility:**

State and local education agencies, institutions of higher education, other public and private agencies and organizations (including Indian tribes and organizations as defined by the Indian Self-Determination and Education Assistance Act and Native Hawaiian organizations) may apply.

**Beneficiary Eligibility:**

State and local education agencies, institutions of higher education, other public and private agencies, organizations, teachers and students benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for private nonprofit organizations are applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Described in an application notice published in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and other forms.

**Award Procedure:**

The selection is competitive, based on staff and nonfederal review according to the selection criteria contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately two to four months from the closing date.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made most years. Following an initial, competitively selected award of up to 12 months, 2-4 additional 1-year non-competing continuation awards may be made, for a total maximum term of 3-5 years; subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made most years. Following an initial, competitively selected award of up to 12 months, two to four additional 1-year non-competing continuation awards may be made for a total of 3 - 5 years, subject to the availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Annual progress and financial reports as required by the Education Department General Administrative Regulations (EDGAR) 34 CFR 75 unless otherwise required in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, for direct grant program. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-1000-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$7,463,000; FY 09 est \$7,463,000; FY 10 est \$7,463,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The National Center for Research and Development in the Education of Gifted and Talented Children and Youth continued to receive funding. In addition, in FY 2008, 6 new grants and 6 continuation grants were awarded. Fiscal Year 2009: In 2009, 8 new grants and 7 continuation grants are expected to be awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education's General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 78, 79, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Johnson, Department of Education, OESE, Jacob K. Javits Gifted and Talented Students Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: patricia.johnson@ed.gov Phone: (202) 260-7813.

**Website Address:**

<http://www.ed.gov/programs/javits/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In 2008, the program began funding a joint effort of the Iowa Department of Education and the University of Iowa's Belin-Blank Center for Gifted Education to address gifted and talented students who have learning difficulties. Also in 2008, the program began funding the Fremont County School District, in Arapaho, WY, in collaboration with the Arapaho Native American tribe to assist students in developing achievement methods and provide interventions that specifically target self-regulatory processes and artistic creative expression. Fiscal Year 2009: In 2009, the program is funding the Clustering Learners Unlocks Equity (CLUE), a model that has effectively increased the number of students from underrepresented groups who were identified and served through gifted and talented programs and increased mathematics achievement for these students in a large urban school (Indianapolis Public School). This project will take this model to scale and implement it in 45 schools throughout Indiana, working with 135 teachers and 10,000 students. Schools will have high incidences of low income students, and will be randomly assigned to one of three treatments. The goals of the project are to: 1) ensure the number of participants in gifted programs closely match the demographics of the school; 2) identified gifted students perform at higher levels than their counterparts thus validating the identification process; and, 3) classrooms with the curriculum, regardless of whether there are cluster groups of identified students, show regular gains over time, regardless of gifted status. Evidence of whether the project is contributing to closing the achievement gap at the highest levels of achievement will be measured. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for the approval of proposals under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application notice published in the Federal Register.

**84.213 EVEN START\_STATE EDUCATIONAL AGENCIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title I, Part B, Subpart 3.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families, by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Subgrants are used for activities such as recruitment and screening of children and parents, design of programs, instruction of children and parents, support services, staff training, evaluation, and coordination with other programs. Funds may not be used for indirect costs.

**Applicant Eligibility:**

State educational agencies (SEAs). The subgrantees are partnerships of a local educational agency (LEA) and a nonprofit community-based organization, a public agency other than an LEA, an institution of higher education or other public or private nonprofit organizations. Any of the latter, with demonstrated quality, may apply in collaboration with a LEA.

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act and their children aged birth through seven. Families must be in need of Even Start services, as indicated by a low income level and low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State educational agencies submit State plans to the Department of Education in accordance with requirements in the Elementary and Secondary Education Act and guidance by the Department.

**Award Procedure:**

The Department of Education awards grants to SEAs based on their relative shares of ESEA Title I, Part A funds. SEAs award subgrants giving priority to proposals that target areas designated as empowerment zones or enterprise communities or that propose to serve families in other high-poverty areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

Other - Not Specified.

**Renewals:**

Federal formula funds are awarded to SEAs annually. Subgrants are for up to four years with annual renewals subject to approval of the SEA and the availability of funds. After the subgrant ends, an applicant may reapply for a new subgrant, but may not receive funds for longer than eight years.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A.

Matching Requirements: The Department awards grants to SEAs based on their relative shares of ESEA Title I, Part A funds. The Federal share of the cost of a subgrant project may not be more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year. Federal funds are distributed to SEAs based on their relative shares of Title I, Part A of ESEA. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula grants to SEAs are awarded on July 1. Funds are available for obligation and expenditure for a total of 27 months. Subgrants may not exceed 4 years in duration. See the following for information on how assistance is awarded/released: by electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain project records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$66,454,399; FY 09 est \$66,454,399; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range (FY09): \$305,688-\$6,728,142; Average: \$1,175,725.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 460 projects will be funded by States with 2008 funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: As the Administration is not requesting funds for this program in FY 2010, the Department estimates that no project will be funded with FY 2010 funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76 (except for 76.600-76.677), 77, 80-82, and 85; Education Department General Administrative Regulations (EDGAR). For more information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Melvin Graham Department of Education, OESE Academic Improvement and Teacher Quality, 400 Maryland Ave., SW, , Washington, District of Columbia 20202 Email: melvin.graham@ed.gov Phone: (202) 260-8268

**Website Address:**

<http://www.ed.gov/programs/evensstartformula/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have included Project Even Start SPARK Plus in Accomack County, Virginia, jointly operated by the Accomack County Public Schools and Eastern Shore Community College. This project is designed to improve the literacy levels of disadvantaged families through the provision of adult education, parenting education, interactive literacy activities, and early childhood education for children ages 4-8. Time is provided for separate early childhood and adult instruction, as well as joint family learning experiences. While the adults are working toward career and education goals, the children are engaged in uses a research-based curriculum. Parent-Child activities are hands-on activities delivered through Eastern Shore College's acclaimed "Shore People Advancing Readiness for Knowledge," also known as SPARKS. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SEAs apply their own criteria to select subgrantees most likely to succeed in meeting the purpose of Even Start and in effectively implementing the program elements in Section 1205 and the requirements in Section 1208(a)(1) and (2), Part B, Title I of ESEA. SEAs must give priority to projects that target services to the neediest families or to projects that are located in areas designated as Empowerment Zones or Enterprise Communities under Public Law 103.66.

**84.214 EVEN START\_MIGRANT EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, , Title I, Part B.

**OBJECTIVES:**

To improve the educational opportunities of migrant families through family literacy programs that integrate early childhood education, adult literacy or adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used for activities such as recruitment and screening of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs.

**Applicant Eligibility:**

Any entity may apply. The Secretary specifically invites application from State educational agencies (SEAs) that administer migrant programs; local educational agencies (LEAs) that have a high percentage of migrant students; and nonprofit community-based organizations that work with migrant families.

**Beneficiary Eligibility:**

Parents who are migratory agricultural workers or fishers and their children, from birth through age 7. Parents must also be eligible for participation under the Adult Education Act or be within the State's compulsory school attendance age range.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms are available from the Department of Education, Office of Migrant Education. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the application package. The applications are reviewed and evaluated by a panel.

**Award Procedure:**

A panel appointed by the Secretary reviews each State educational agency's application for the financial information required and evaluates the application on the basis of selection criteria published in the Federal Register. The Secretary makes awards based on applicant scores and migrant streams.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range: \$185,000-\$464,000; Average: \$332,270.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for four years, with annual renewals subject to satisfactory performance reports and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the cost of a project is not more than 90 percent in the first year, 80 percent in the second, 70 percent in the third, and 60 percent in the fourth and final year.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be made for up to 48 months. Funds are awarded for a 12-month period from October 1 to September 30 of the following year. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance report is required. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provision Act and the Education Department General Administration Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$2,050,631; FY 09 est \$1,993,620; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 6 projects are currently operating. Fiscal Year 2009: The Department expects 6 programs to be operating. Fiscal Year 2010: The Department does not expect to fund any grants in fiscal year 2010 because the Administration did not request funds for this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

DonnaMarie Fekete Department of Education, OESE Office of Migrant Education, 400 Maryland Ave., SW, Rom 3E313,, Washington, District of Columbia 20202 Email: donnamarie.fekete@ed.gov Phone: (202) 205-9533

**Website Address:**

<http://www.ed.gov/programs/mep/index.html>

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.141 Migrant Education\_High School Equivalency Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.213 Even Start\_State Educational Agencies; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Illinois Migrant Council, Chicago, IL implements the

Harvesting Opportunities for Literacy and Achievement (HOLA) Migrant Education Even Start (MEES) Project. HOLA MEES provides year-round services for families whose homes are located in the Rio Grande Valley of Texas and Guanajuato, Mexico as well as in Illinois, where they travel to perform seasonal agricultural work. Collaborating partners include four Illinois LEAs (Cobden, Kankakee, Rantoul, and Mendota), the Illinois Migrant Education Program, Illinois Department of Human Services, Illinois Migrant and Seasonal Head Start Program, Illinois State Board of Education, Community Health Partnership of Illinois, LEA partners across project sites in Illinois and Texas, as well as cooperating with the Ministry of Education in Mexico and its community education sites. The project works with 55 - 65 families that participate in all Even Start educational components (ESL/ABE-GED, ECE, Interactive Literacy Activities, and Parenting Education) throughout the cycle of their migratory agricultural work. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Likelihood of success in meeting the purpose of the authorizing statute; extent of need for the project; plan of operation; quality of key personnel; budget and cost-effectiveness; evaluation plan; and adequacy of resources.

**84.215 FUND FOR THE IMPROVEMENT OF EDUCATION**

(FIE)

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Executive Order Subpart I, Title V, Part D, as amended by ESEA, Title II, Part C; American History and Civics Education Act of 2004.

**OBJECTIVES:**

To conduct nationally significant programs to improve the quality of education, assist all students to meet challenging State content standards, and contribute to the achievement of elementary and secondary students.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used to support a wide range of projects under the FIE general authority for programs, and additional specific program authorities. Competitions are announced in the Federal Register. Specific limitations and restrictions for each competition are provided in the Federal Register notice.

**Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions may apply.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions will benefit.

**Credentials/Documentation:**

OMB Circular No. A-21; OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Described in application notices published annually in the Federal Register. Contact the headquarters offices listed below for application packages containing the announcement, application, and assurance forms and for further information about the specific programs.

**Award Procedure:**

Awards are competitively selected following review by nonfederal experts in accordance with Subpart D of Part 75 of the Education Department General Administrative Regulations (EDGAR).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in the meeting of the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Following an initial, competitively selected award, additional non-competing continuation awards may be made. The possible length of the project is announced in the application notice in the Federal Register. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED524B. Staff also monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$486,065,000; FY 09 est \$383,908,000; FY 10 est \$421,142,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Varies by program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. OMB Circulars A-21, A-87, A-110, A-122, and A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

Margo Anderson, Office of Innovation and Improvement (OII), 400 Maryland Avenue S.W. , Washington, District of Columbia 20202 Email: margo.anderson@ed.gov Phone: (202) 205-3010.

**Website Address:**

<http://www.ed.gov/programs/find/cfda/index.html?src=In>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The program funded in FY 2008 were: FIE Programs of National Significance (OII, CFDA 84.215K and U), Elementary and Secondary School Counseling (OSDFS, CFDA 84.215E), Character Education (OSDFS, CFDA 84.215S and V), Smaller Learning Communities (OESE, CFDA 84.215L), Physical Education Program (OSDFS, CFDA 84.215F), Education Through Cultural and Historical Organizations (OII, CFDA 84.215Y), Excellence in Economic Education (OII CFDA 84.215B), Foundations for Learning Grants (OSDFS, CFDA 84.215H), Mental Health Integration in Schools (OSDFS, CFDA 84.215M), Academies for American History and Civics (OII, CFDA 84.215A and D), Teaching American History (OII, CFDA 84.215X), and Full Service Community Schools (OII, CFDA 84.215J). Fiscal Year 2009: The programs funded in FY 2009 were: FIE Programs of National Significance (OII, CFDA 84.215K and U), Elementary and Secondary Counseling (OSDFS, CFDA 84.215E), Character Education (OSDFS, CFDA 84.215S and V), Smaller Learning Communities (OESE, CFDA 84.215L), Physical Education Program (OSDFS, CFDA 84.215F), Education Through Cultural and Historical Organizations (OII, CFDA 84.215Y), Excellence in Economic Education (OII, CFDA 84.215B), Foundations for Learning Grants (OSDFS, CFDA 84.215H), Mental Health Integration in Schools, (OSDFS, CFDA 84.215M), Academies for American History and Civics (OII< CFDA 84.215A and D) and Teaching American History (OII, CFDA 84.215X), and Full Service Community Schools (OII, CFDA 84.215J). Fiscal Year 2010: The programs for which funded was requested in FY 2010 were: FIE Programs of National Significance (OII, CFDA 84.215U), Elementary and Secondary School Counseling (OSDFS, CFDA 84.215E), Smaller Learning Communities (OESE, CFDA 84.215L), Physical Education Program (OSDFS, CFDA 84.215F), Education Through Cultural and Historical Organizations (OII, CFDA 84.215Y), Excellence in Economic Education (OII, CFDA 84.215B), Mental Health Integration in Schools (OSDFS, CFDA 84.215M), Teaching American History (OII, CFDA 84.215X), and Full Service Community Schools (OII, CFDA 84.215J).

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for these programs are contained in Section 75.210 of the Education Department General Administrative Regulations (EDGAR). The specific criteria to be used for particular grant competitions are announced in the application package or application notice in the Federal Register.

**84.217 TRIO\_MCN AIR POST-BACCALAUREATE ACHIEVEMENT FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 2, Chapter 1 Section 402E.

**OBJECTIVES:**

To provide grants for institutions of higher education to prepare participants for doctoral studies through involvement in research and other scholarly activities. Participants are from disadvantaged backgrounds and have demonstrated strong academic potential. Institutions work closely with participants as they complete their undergraduate requirements. Institutions encourage participants to enroll in graduate programs and then track their progress through to the successful



completion of advanced degrees. The goal is to increase the attainment of Ph.D. degrees by students from underrepresented segments of society.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used by the participating institution to provide eligible participants with opportunities for research and other scholarly activities; summer internships; seminars; tutoring; academic counseling; and activities designed to help students secure admission and financial assistance for graduate study. Funds may be used for : services to improve students' financial and economic literacy, mentoring and exposure to cultural events. At least two-thirds of the project participants must be low-income individuals who are first-generation college students. The remaining participants may be from a group that is underrepresented in graduate education.

**Applicant Eligibility:**

Institutions of higher education or combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income first generation college students or students from groups underrepresented in graduate education that are enrolled in a degree program at an eligible institution of higher education will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations and the program regulations, Section 647 of the Code of Federal Regulations. OMB Circular A-21 applies to this program. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with legislation, regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for applications should be made to the Federal TRIO Program. This program is subject to the provisions of the Education Department General Administrative Regulations.

**Award Procedure:**

Nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in the program regulations, 647.21. Grants are awarded by the Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence for the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five year project periods. Continuation awards are made annually. Generally, continuation awards are made if sufficient funds have been appropriated and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports (ED 524B) are required for a project in its first year of funding. Staff monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States, local governments, and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

In accordance with Education Department General Administrative Regulations, 34 CFR 61, 74, 75, and 702.

**Records:**

In accordance with the Education Department General Administrative Regulations, 34 CFR 75, 730, 75.731, and 75.732 and 647.32 of the program regulations.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$44,778,000; FY 09 est \$47,172,000; FY 10 est \$47,172,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 2008, the average award was approximately \$240,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 the program supported 185 projects serving approximately 5,000 students. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 647 and Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Pinkney, Department of Education, Federal TRIO Programs, Office of Postsecondary Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: trio@ed.gov Phone: (202) 502-7735.

**Website Address:**

<http://www.ed.gov/programs/triomenair/>

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects ensuring that eligible students are provided opportunities for research or other scholarly activities which effectively prepare them for doctoral study, including summer internships and seminars, have been developed. Also, projects which provide tutoring, academic counseling, and activities designed to assist eligible participants in the project in securing admission to and financial assistance for enrollment in graduate programs have

been established. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria that were set forth in 647.21 of the program regulations. New regulations are under development. Contact the program office for additional information.

**84.220 CENTERS FOR INTERNATIONAL BUSINESS EDUCATION  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VI, Part B, Section 612.

**OBJECTIVES:**

To provide a comprehensive university approach to improve the teaching of international business by bringing together faculty from numerous disciplines and to engage in research to promote the international competitiveness of U.S. business.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The centers funded will: be national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as regional resources to local businesses by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education located within their respective regions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-377-3838.

**Applicant Eligibility:**

Accredited public and nonprofit private institutions of higher education, or combinations of such institutions, that establish a center advisory council before the date Federal assistance is received may apply. This council will conduct extensive planning concerning the scope of the center's activities and the design of its program prior to establishing the center.

**Beneficiary Eligibility:**

Students and faculty of accredited institutions of higher education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the International Education Programs Service.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants developed according to procedures defined by the Education Department General Administrative Regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 48 months. Applicants submit performance reports for continuation funding according to instructions published by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the cost of centers is: (a) Not more than 90 percent for the first year in which Federal funds are furnished; (b) not more than 70 percent for the second year; and (c) not more than 50 percent for the third year and succeeding years. The nonfederal share for planning, establishing and operating the center may be provided by in-cash or in-kind assistance.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a up to 48 month period, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirement will be included in the grant award documents.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request for three years after close of the fiscal year in which the grant was closed out or until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$10,960,000; FY 09 est \$11,115,000; FY 10 est \$11,115,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Thirty-one continuation grants were awarded in FY 2008.

Fiscal Year 2009: Thirty-one continuation grants are expected to be awarded in FY 2009. Fiscal Year 2010: Thirty-one new awards are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 82, 84,85,86,97,98, and 99 (Education Department General Administrative Regulations).

**Regional or Local Office:**

None.

**Headquarters Office:**

Susanna C. Easton, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Susanna.easton@ed.gov Phone: (202) 502-7628.

**Website Address:**

<http://www.ed.gov/programs/iegpsscibe/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.153 Business and International Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects that support linkages among international business education, foreign language, and area studies programs at institutions of higher education perform research on issues to improve U.S. competitiveness and provide assistance to the business community on matters of international commerce. San Diego State University (SDSU) developed a very successful interdisciplinary international business undergraduate degree program. The SDSU CIBER enhanced this program through implementing the following activities: dual, transnational undergraduate degrees with Mexico, France, and Canada, developed internships, both abroad and domestic, developed business courses taught in target languages, enhanced study abroad programs, and developed courses in area studies. The CIBER also provides business training for liberal arts faculty as well as language training for the business community. The breadth and depth of the SDSU CIBER collaborative activities guarantee timely and wide dissemination of its programs and research. The University of Texas at Austin (UT-Austin) CIBER initiated several activities to globalize business education and research. UT-Austin CIBER developed comprehensive exchange academic programs in Latin America, created double degree programs, within UT- Austin and with a foreign university, created an MBA/MA degree in collaboration with the National Resource Centers on the UT-Austin campus. The Export Video Series for the business community created an International Trade Analysis Program and conducted several academic outreach programs for other institutions of higher education. UT-Austin CIBER collaborative activities demonstrates how the CIBER acts as a national and regional resource. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part B, Section 612 of the Higher Education Act of 1965, as amended.

**84.224 ASSISTIVE TECHNOLOGY****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Assistive Technology Act of 1998, as amended.

**OBJECTIVES:**

To provide States with financial assistance that supports programs designed to maximize the ability of individuals of all ages with disabilities and their family members, guardians, advocates, and authorized representatives to obtain assistive technology devices and assistive technology services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to carry out the functions authorized under the Act. States may provide assistance to Statewide community-based organizations or directly to individuals with disabilities of all ages. Technical assistance contracts support States and other entities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

States, including the District of Columbia, Puerto Rico, and outlying areas may apply. Applicants are designated by Governors.

**Beneficiary Eligibility:**

Individuals with disabilities, States, and community-based organizations providing services to individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions also applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Unless otherwise directed in the Federal Register Announcement, applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, SW., Washington, DC 20202.

**Award Procedure:**

State plans are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States and territories are allocated a base amount that is not less than the amount they received in FY 2004. Funds appropriated in excess of the base are divided in half and distributed equally to each State, and by a State population-based formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping requirements and regulations are included in the statute.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$24,620,000; FY 09 est \$25,660,000; FY 10 est \$25,660,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All States and outlying areas participate in the program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rob Groenendaal, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: rob.groenendaal@ed.gov Phone: (202) 245-7393.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Assistive Technology State grants supports State efforts to improve the provision of assistive technology to individuals with disabilities of all ages through comprehensive, statewide programs that are consumer responsive. The purpose of these programs is to make assistive technology devices and services more available and accessible to individuals with disabilities and their families. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the regulations. Contact the Program Office for more information.

**84.229 LANGUAGE RESOURCE CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 603.

**OBJECTIVES:**

To improve the Nation's capacity to teach and learn foreign languages effectively by supporting the establishment, strengthening, and operation of language resource centers at institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to carry out activities to improve the teaching and learning of foreign languages. These activities may include: (a) The conduct and dissemination of research on new and improved methods for teaching foreign languages, including the use of advanced educational technology; (b) the development and dissemination of new materials for teaching foreign languages to reflect the results of research on effective teaching strategies; (c) the development, application and dissemination of performance testing that is appropriate for use in an educational setting to be used as a standard measurement of skill levels in foreign language; (d) the training of teachers in the administration and interpretation of foreign language performance tests, the use of effective teaching strategies and the use of new technologies; (e) the publication of instructional materials in the less commonly taught foreign languages; (f) the widespread dissemination of research results, teaching materials, and improved pedagogical strategies to the postsecondary education community; and the operation of intensive summer language institutes to train advanced foreign language students, to provide professional development, and to improve language instruction through preservice and inservice language training for teachers. Equipment costs may not exceed 15 percent of the grant total.

**Applicant Eligibility:**

Accredited American institutions of higher education or combinations of such

institutions may apply.

**Beneficiary Eligibility:**

Institutions of higher education or combinations of such institutions and individuals will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit applications for funding when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of applications are available from the Advanced Training and Research Team of the International Education Programs Service

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Higher education institutions selected to receive funds for the four year phased program may submit annual performance reports for the continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to a 48-month period. Continuation awards are subject to the submission of satisfactory progress reports and are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded centers must provide final reports upon completion of the 48 month program. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records will be subject to audit by the Department of Education at any time within three years after expiration of the grants.

**Records:**

All records supporting claims under grants or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of the completion of the Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$4,949,670; FY 09 est \$5,025,000; FY 10 est \$5,025,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fifteen continuation grants are awarded in FY 2008.  
Fiscal Year 2009: Fifteen continuation grants are expected to be awarded in FY 2009. Fiscal Year 2010: Fifteen new awards are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 669, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Dudzinski International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: [cynthia.dudzinski@ed.gov](mailto:cynthia.dudzinski@ed.gov) Phone: (202) 502-7589

**Website Address:**

<http://www.ed.gov/programs/iegpslrc/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) The Georgetown University/Center for Applied Linguistics, George Washington University National Capital Foreign Language Resource Center, is continuing its research and training activities, building upon achievements made during the last funding cycle. The School of Languages and Linguistics at Georgetown serves as a field site for some research activities, as do local school systems in Maryland and Virginia. The Center is training teachers in the administration and interpretation of foreign language performance tests; training teachers in foreign language teaching and learning strategies; training teachers in the use of technology in foreign language teaching; conducting foreign language learning strategy research; and developing foreign language tests. (2) San Diego State University's Language Acquisition Resource Center (LARC) is building upon the foundation laid in the first cycle of Federal funding by continuing research and development in the areas of language testing, strategies for teaching and learning languages, and advanced uses of technology. LARC has shifted its focus during the second funding cycle to the development and implementation of a national training model that incorporates previous research and development. The training is designed to impact language instruction in K-12 and postsecondary institutions. During this cycle, LARC is: Developing a national model of language teacher training; conducting research, development and training in alternative language testing; developing and training educators in effective strategies for teaching and learning languages; and training educators in strategies for integrating technology into language curricula. (3) The University of Hawaii is also building on the existing structure and accomplishments of the currently funded Center. Although the Center focuses particularly on languages of Asia and the Pacific in its training, curriculum, and research activities, it also includes German, Russian, and other European languages in its efforts. The Center is organized around six component areas: pedagogy and psycholinguistics; sociolinguistics and cross-cultural pragmatics; materials and methods development; language testing; technology and telecommunications; and resource provision for foreign language researchers. Projects at the Center are carried out by a project team and generally cut across areas of emphasis, including several of the components listed above. The following types of programs are currently underway: National Foreign Language Fellows; A program of National Foreign Language Interns; Dissemination of materials and research results, including print, video/audio, and electronic media; A series of

summer institutes in teacher training and materials preparation; and Research and materials development projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 655.31, 669.21, and 669.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.234 PROJECTS WITH INDUSTRY**

(PWI)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, , Title VI, Part A.

**OBJECTIVES:**

To create and expand job and career opportunities for individuals with disabilities in the competitive labor market by partnering with private industry to provide job training and placement, and career advancement services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support projects to prepare persons with disabilities for employment in the competitive labor market.

**Applicant Eligibility:**

Projects with Industry grants are awarded to employers, labor unions, profit making and nonprofit organizations, institutions, and State vocational rehabilitation agencies. Grants cannot be made directly to individuals. Only applicants that propose to serve a geographic area that is currently unserved or underserved by the PWI program can receive new awards under this program.

**Beneficiary Eligibility:**

An individual is eligible for services under this program if the individual to be served is an individual with a disability or an individual with a significant disability, as defined in Sections 7 (20)(A) and 7(21)(A), respectively, of the Rehabilitation Act of 1973, as amended. In making this determination, the State vocational rehabilitation unit shall rely on the determination made by the recipient of the grant under which the services are provided, to the extent that the determination is appropriate, available, and consistent with the requirements of the Act.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. Cost will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Department of Education No. 80-0013 must also be submitted.

**Award Procedure:**

Awards are made on approval of the Commissioner, RSA, and the Assistant Secretary, OSERS, for new projects, and the Commissioner, RSA, for

continuation projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year project periods may be continued based on making substantial progress toward meeting project objectives as documented in the annual performance report in accordance with 34 CFR 75.253, meeting the review of compliance indicators, as described in 34 CFR 3.79 Subpart F, and availability of adequate funds. Renewals are available only through the continuation application process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20.%. The Federal share may not exceed 80 percent of total project cost.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project support may be available up to 60 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 76). Annual financial reports, compliance indicator data and reports of progress must be submitted as required by the grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant fund, compliance, and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$19,197,000; FY 09 est \$19,197,000; FY 10 est \$19,197,000

**Range and Average of Financial Assistance:**

Range: \$118,095-\$500,000  
Average: \$295,139.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, an estimated 66 projects were funded.  
Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR 369 and 379 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kerrie Clark, Department of Education, OSERS 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: kerrie.clark@ed.gov Phone: (202) 245-7281.

**Website Address:**

<http://www.ed.gov/programs/rsapwi/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.235 Rehabilitation Services Demonstration and Training Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded in the past include: projects focusing on the training and placement of older individuals with disabilities; projects to train and place individuals with disabilities in specific industries (e.g., the electronics industry); projects to promote the school-to-work transition of youth with disabilities. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and Department regulations at 34 CFR 379.

**84.235 REHABILITATION SERVICES DEMONSTRATION AND TRAINING PROGRAMS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 303(b)-(d).

**OBJECTIVES:**

To provide financial assistance to projects and demonstrations for expanding and improving the provision of rehabilitation and other services authorized under the Act or that further the purposes of the Act, including related research and evaluation activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Authorized activities under this program include carrying out special demonstrations for expanding and improving the provision of rehabilitation and other services authorized under this Act and that further the purposes of the Act. Projects may include demonstrations to increase client choice; technical assistance; systems change; special studies and evaluations; demonstrations of service delivery; model demonstrations; transition services; supportive employment; services to underserved populations and/or unserved or underserved areas; services to low-incidence disabilities; transportation; and other projects designated by the Secretary. Other authorized programs include Parent Information and Training and Braille training projects.

**Applicant Eligibility:**

Eligible applicants are States and public or nonprofit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local Governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications should be submitted to the Department of Education, Application Control Center. Attention: (CFDA 84-235), 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. ED No. 80-0013 must also be submitted.

**Award Procedure:**

Awards are made on approval of the Commissioner, RSA and the Assistant Secretary, OSERS, for new projects and the Commissioner, RSA, for continuation projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year periods may be continued based on annual review of accomplishments and availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (34 CFR 75). Annual performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local government are subject to the requirements in the Single Audit Act and the ED regulations.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$10,151,000; FY 09 est \$9,594,000; FY 10 est \$6,506,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 25 projects were funded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) The Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR 373 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA/Programs/Discretionary/demotrain.html>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.128 Rehabilitation Services\_Service Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects have included: projects to increase client choice; projects providing services to people with severe mental illness; projects servicing low-functioning adults that are deaf or hard of hearing disorders; projects to provide services to individuals with disabilities, and projects to provide services to youths with disabilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are published in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and department regulations (34 CFR 369).

**84.240 PROGRAM OF PROTECTION AND ADVOCACY OF INDIVIDUAL RIGHTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title V, Part 509.

**OBJECTIVES:**

To provide grants for States to support systems for protection and advocacy for the rights of individuals with disabilities who are ineligible for advocacy services from the other protection and advocacy programs or whose problems fall outside the scope of services available from the Client Assistance Program (CAP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used to support a system in each State to protect the legal and human rights of individuals with disabilities who need services that are beyond the scope of the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act of 1973 (the Act) and are ineligible for the protection and advocacy programs under Part C of the Developmental Disabilities Assistance and Bill of Rights Act (DDA) and the Protection and Advocacy for Individuals with Mental Illness Act of 1986 (PAIMI) or who need services that are not available from CAP, DDA, or PAIMI.

**Applicant Eligibility:**

Only designated protection and advocacy agencies in each State and Territory may apply. The Governor designates the protection and advocacy agency.

**Beneficiary Eligibility:**

Individuals with disabilities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Any application for a grant must contain assurances that the eligible protection and advocacy system will: (1) have in effect a system to protect and advocate for the rights of eligible individuals with disabilities; (2) have the same general authorities as outlined in Part C of the DDA Act; (3) have the authority to pursue legal, administrative, and other appropriate remedies to ensure the protection of the rights of individuals with disabilities; (4) provide information and referral services to individuals with disabilities in the State; (5) develop a priorities and objectives statement each year; (6) seek public comment about their proposed priorities and objectives statement; (7) establish a grievance procedure for clients and prospective clients of the eligible protection and advocacy system; (8) use the funds available for this program to supplement nonfederal funds that would otherwise be available for this purpose; and (9) utilize, to the maximum extent possible, mediation and other alternative dispute resolution procedures before resorting to formal administrative or legal remedies.

**Award Procedure:**

Once the applications have been approved, awards are made on the basis of the relative population of each State. The minimum allotment is \$100,000 for States and \$50,000 for Territories.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the Act Federal funds are distributed on the basis of the relative population in each State, except no State shall receive less than \$100,000, Territories \$50,000.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. A report describing the types of services and activities being undertaken by programs funded under the program, the total number of individuals served, the types of disabilities represented by such individuals, and the types of issues being addressed on behalf of such individuals. Required quarterly. No progress reports are required. No expenditure reports are required. Performance reports are required annually.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in

Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Final records must be maintained for 3 years after the grant ends or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$16,201,000; FY 09 est \$16,201,000; FY 10 est \$17,101,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: About 71,300 individuals were served. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations were published at 34 CFR 381.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Billy, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: james.billy@ed.gov Phone: (202) 245-7273.

**Website Address:**

<http://www.ed.gov/programs/rsapair/index.html>.

**RELATED PROGRAMS:**

84.161 Rehabilitation Services\_Client Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Eligible systems have pursued legal, administrative, and other appropriate remedies or approaches to protect and advocate for the rights of individuals with disabilities. Protection and advocacy systems may be housed in public or private entities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.243 TECH-PREP EDUCATION****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title II.

**OBJECTIVES:**

This program provides assistance to states to award grants to consortia of local agencies and postsecondary education institutions for the development and operation of programs consisting of the last two years of secondary education and at least two years of postsecondary education, designed to provide Tech Prep education to the student leading to an associate degree or a two-year certificate. The program also is designed to strengthen links between secondary and postsecondary schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must award program funds to consortia of local agencies and postsecondary education institutions. Consortia must implement tech-prep programs that have seven elements: (1) an articulation agreement between secondary and postsecondary consortium participants; (2) a two-plus-two or a four-plus-two design with a common core of proficiency in math, science, communication, and technology; (3) a specifically developed Tech Prep



curriculum; (4) joint in-service training of secondary and postsecondary teachers to implement the Tech Prep curriculum effectively; (5) training of counselors to recruit students and to ensure program completion and appropriate employment; (6) equal access for special populations to the full range of Tech Prep programs; and (7) preparatory services. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Costs Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to State agencies. Eligible recipients for subgrants are consortia of local educational agencies, intermediate education agencies or area vocational education schools serving secondary school students, or secondary schools funded by the Bureau of Indian Affairs; and nonprofit and proprietary institutions of higher education which offer a 2-year associate degree program, and which are qualified as institutions of higher education pursuant to Section 481(a) of the Higher Education Act of 1965, including institutions receiving assistance under the Tribally Controlled Community College Assistance Act of 1978, or a two-year apprenticeship program that follows secondary instruction, if such institutions are not subject to a default management plan required by the Secretary of Education.

**Beneficiary Eligibility:**

Individuals desiring to participate in a combined secondary/postsecondary program leading to a postsecondary degree or 2-year certificate with technical preparation in at least one field of engineering, applied science, mechanical, industrial, or practical art or trade, or agriculture, health, or business.

**Credentials/Documentation:**

The establishment of a State Board for career and technical education. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A 5-year State plan for career and technical education must be prepared. Annual revisions may be submitted as necessary. State plans are subject to public hearings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State board submits its application along with a 5-year State plan for career and technical education to the Secretary of Education.

**Award Procedure:**

The Department of Education approve the 5-year State plan and make allocations to the States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 30 to 120 days.

**Appeals:**

A State board that is dissatisfied with the final action of the Assistant Secretary in disapproving a State plan is afforded reasonable notice and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title II, Section 201, Public Law 109-270.  
Matching Requirements: The funding formula is based on State per-capita income and population in three age cohorts (15-19, 20-24, and 25-65). The formula provides for a minimum State allocation of at least 0.5 percent of the total, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998

appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder flows to the other States. The Bureau of the Census supplies the population data; the Department of Labor supplies the per capita income data. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds must be expended within 27 months after the first date of availability. States draw funds as needed under the electronic transfer system. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required and Office for Civil Rights Annual Compliance Report must be submitted. A quarterly Federal Cash Transaction Report is required under the electronic transfer system. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements may be included in grant documents.

**Records:**

In accordance with Section 443 of the General Education Provisions Act grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$102,923,000; FY 09 est \$102,923,000; FY 10 est \$102,923,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There are Tech Prep Consortia in all 50 States, DC, Puerto Rico and the Virgin Islands. In school year 2008-2009, approximately 2.3 million students were enrolled in Tech Prep programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and regulations, Title 34 CFR 400 and 406; EDGAR, Parts 74, 76, 77, 79, 80, 81, 82, 85, and 86; OCR guidelines for vocational education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lee Miller Department of Education, OVAE Division of High School, Postsecondary and Career Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: sharon.miller@ed.gov Phone: (202) 245-7846

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/tphome.html>.

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States; 84.051 Career and Technical Education -- National Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects promote a rigorous high school curriculum in order

to prepare participants for the postsecondary portion of the program and postsecondary technical education. Fiscal Year 2009: See FY 2008. Fiscal Year 2010: See FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.245 TRIBALLY CONTROLLED POSTSECONDARY CAREER AND TECHNICAL INSTITUTIONS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 117.

**OBJECTIVES:**

To make grants to tribally controlled postsecondary vocational and technical institutions to provide career and technical education services and basic support for the education and training of Indian students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to train teachers, purchase equipment, provide instructional services, and provide institutional support. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under CFD 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group 202-708-7770.

**Applicant Eligibility:**

A tribally controlled postsecondary career and technical institution that: (1) Is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or Indian tribes; (2) offers a technical degree or certificate granting program; (3) is governed by a board of directors or trustees, a majority of whom are Indians; (4) demonstrates adherence to stated goals, a philosophy, or a plan of operation, that fosters individual Indian economic and self-sufficient opportunity, including programs that are appropriate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations; (5) has been in operation for at least 3 years; (6) holds accreditation with or is a candidate for accreditation by a nationally recognized accrediting authority for postsecondary vocational and technical education; (7) enrolls the full-time equivalent of not less than 100 students, of whom a majority are Indians; and (8) receives no funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act.

**Beneficiary Eligibility:**

American Indians and Native Alaskans will benefit.

**Credentials/Documentation:**

Legal signature by a designated official on the application is required. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines as published in the Federal Register.

**Award Procedure:**

Applications are reviewed in accordance with regulations in 34 CFR Part 75.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The total project period may not exceed five years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Financial status and performance reports as required by the Department of Education General Administrative Regulations, 34 CFR 75.720 must be maintained. Specific reporting requirements are contained in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0201-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$7,546,000; FY 09 est \$7,773,000; FY 10 est \$7,773,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Two awards were made in FY 08. The recipients served the full time equivalent of 2,300 Indian students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lois Davis Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Lois.davis@ed.gov Phone: (202) 245-7784

**Website Address:**

<http://www.ed.gov/programs/tcpvi/index.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Navajo Technical College, Crownpoint, New Mexico, and United Tribes Technical College, Bismarck, North Dakota, have received grants. Funds have been used by grantees to train teachers; to purchase equipment; to provide instructional services, child care, and other family support services; to provide student stipends; and to provide institutional support. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: Same as FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are published in the Federal Register.

## **84.246 REHABILITATION SHORT-TERM TRAINING**

### **FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

### **AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302.

### **OBJECTIVES:**

To support special seminars, institutes, workshops, and other short-term courses in technical matters relating to the delivery of vocational, medical, social, and psychological services.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation disciplines and program areas supported under the Rehabilitation Training program. Conferences and meetings where training is not the primary focus may not be supported under this program.

### **Applicant Eligibility:**

State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

### **Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit. Projects under this program are designed to provide short-term training and technical instruction in areas of special significance to the delivery of vocational, medical, social, and psychological rehabilitation services.

### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.246.

### **Award Procedure:**

Applications are reviewed by panels of field readers. Each panel includes two or more nonfederal members with experience and training in the proposed area of training.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

The range is from 120 to 160 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine adequate performance.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Projects are generally supported for one to five years. Funds are granted on a twelve month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

Annual financial and progress reports must be submitted as required by the grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

### **Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

### **Account Identification:**

91-0301-0-1-506.

### **Obligations:**

(Project Grants) FY 08 \$750,000; FY 09 est \$750,000; FY 10 est \$750,000

### **Range and Average of Financial Assistance:**

to be determined.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funds have been used to conduct training activities for personnel of Client Assistance programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 34 CFR 390.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

### **Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

### **RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects have provided curriculum materials and training for Client Assistance programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

Quality of key personnel, plan of operation, budget and cost-effectiveness, adequacy of resources, evidence of need, relevance to the State/Federal

rehabilitation service program, and nature and scope of training program content are included in the selection criteria.

## **84.250 REHABILITATION SERVICES\_AMERICAN INDIANS WITH DISABILITIES**

### **FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

### **AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part C.

### **OBJECTIVES:**

To provide vocational rehabilitation services to American Indians with disabilities that reside on Federal or State reservations in order to prepare them for suitable employment.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Projects provide financial assistance for the establishment and operation of tribal vocational rehabilitation service projects for American Indians with disabilities residing on reservations.

### **Applicant Eligibility:**

Governing bodies of Indian tribes or consortia of those governing bodies on Federal and State reservations may apply.

### **Beneficiary Eligibility:**

American Indians with disabilities residing on or near a Federal or State reservation (including Native Alaskans) and meet the definition of an individual with a disability in Section 7 (8) (A) of the Rehabilitation Act.

### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted to the Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202.

### **Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS, for new projects and the Commissioner of Rehabilitation Services for continuation projects.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Projects with multi-year project periods may be continued based on review of the annual performance in accordance with 34 CFR Part 75-253 and availability of adequate funds.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 10.%. Projects generally require ten percent matching in cash or in-kind.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Project support is available for up to 5 years. See the following for information

on how assistance is awarded/released: Electronic transfer.

### **Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. Cash reports are not applicable. Progress reports: Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR Part 74.50. Expenditure reports are not applicable.

Performance monitoring: Program performance is monitored through the APR.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Case records are for individual program participants. Fiscal records are prescribed for audit purposes. Retention of records are required for three years.

### **Account Identification:**

91-0301-0-1-506.

### **Obligations:**

(Project Grants) FY 08 \$34,892,000; FY 09 est \$36,113,000; FY 10 est \$37,449,000

### **Range and Average of Financial Assistance:**

Range of awards in FY 2009 is \$286,000 to \$2,000,000; Average award: \$463,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: About 1,500 American Indians with disabilities achieved an employment outcome. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR 75, 77, 80, 81, 82, and 85. Vocational Rehabilitation Services Service Projects for American Indians with Disabilities regulations 34 CFR 371.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Alfreda Reeves, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: [alfreda.reeves@ed.gov](mailto:alfreda.reeves@ed.gov) Phone: (202) 245-7485.

### **Website Address:**

<http://www.ed.gov/about/offices/list/osers/ras/index.html>

### **RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects provide a range of vocational rehabilitation service comparable to those provided by the State Vocational Rehabilitation Services program, such as counseling, vocational training, mental and physical restoration and job placement. Projects have demonstrated improvements in the provision of services by implementing management and data collection systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

The availability of funds is published in the Federal Register. Applications for discretionary grants are subject to peer review procedures by Federal and nonfederal experts that lead to recommendations for approval or disapproval. Criteria for evaluating applications include plan of operation, quality of key personnel, budget and cost- effectiveness, evaluation plan, adequacy of resources, and evidence of need. These criteria are published in the program regulations at 34 CFR 371.

## **84.256 FREELY ASSOCIATED STATES\_EDUCATION GRANT**

**PROGRAM****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title I, Part A, Section 1121 (a), (b) and (c).

**OBJECTIVES:**

To support activities consistent with the purposes of the Elementary and Secondary Education Act, including teacher training, curriculum development, instructional materials or general school improvement and school reform, and direct educational services..

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for activities consistent with the purposes of the Elementary and Secondary Education Act.

**Applicant Eligibility:**

Local educational agencies (LEA) in the Republic of Palau and in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Beneficiary Eligibility:**

Local educational agencies in the Republic of Palau and in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Provided by the Pacific Resources for Education and Learning (PREL). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Section 1121 of Title I requires that the Department reserve up to \$5 million from Title I Grants to LEA funds each fiscal year for competitive grants to local educational agencies in the outlying areas (American Samoa, Guam, the commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands), and the Republic of Palau. Of this amount, the Secretary may reserve 5 percent to pay the administrative costs of the Pacific Resources for Education and Learning (PREL) regarding activities assisted under this program. PREL conducts the award competition and makes recommendations to the Secretary regarding the award of grants.

**Award Procedure:**

Applications for continuations are submitted to the Department of Education, Office of Elementary and Secondary Education, School Support and Technology Programs, Washington, DC. PREL conducts the competition for grants and submits recommendations of applications for funding to the Secretary of Education. The Secretary awards grants taking into consideration the recommendations of PREL.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation awards of 12 months each may be made for a total of 36 months. Continuances are contingent upon evidence of satisfactory progress toward goals and objectives and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months with annual continuations. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Single Audit Act applies.

**Records:**

Records must be maintained as necessary for audit and for three years after the program ends.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$3,811,000; FY 09 est \$5,000,000; FY 10 est \$5,000,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Five awards are made annually. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact the PREL office.

**Headquarters Office:**

Valerie Rogers School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg, Room 3W241, Washington, District of Columbia 20202 Email: Valerie.rogers@ed.gov Phone: (202) 260-2543

**Website Address:**

<http://www.ed.gov/programs/phasegp/index.html> .

**RELATED PROGRAMS:**

84.402 Consolidated Grants to the Outlying Areas, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Overall school improvements and reform, and other activities such as preschool programs, staff development academics, and programs to improve teaching and learning in core academic subjects, including mathematics, science, foreign languages, and other subjects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed in accordance with criteria in the application package.

**84.257 NATIONAL INSTITUTE FOR LITERACY**

(NIL)

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act, Section 242.

**OBJECTIVES:**

To provide national leadership regarding literacy; to coordinate literacy services and policy; and to serve as a national resource for adult education and literacy

programs through dissemination.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects cannot duplicate activities being performed by the Secretary of Education. This program is governed by an interagency group made up of the Secretaries of Education, Health and Human Services, and Labor.

**Applicant Eligibility:**

Public and private nonprofit institutions may apply.

**Beneficiary Eligibility:**

State literacy resource centers, individuals, universities, and education organizations benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures are set forth in the announcements in the Federal Register or FebBizops.

**Award Procedure:**

Announcements are made in the Federal Register or the Commerce Business Daily. Contact the headquarters office for details.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Appeals can be made directly to the Director of the National Institute for Literacy.

**Renewals:**

If funding is available, renewals are possible for multi-year grants. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of grants vary depending upon the type of project. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Reporting requirements are included in grant documents. Contact the program office for additional information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits as required by EDGAR.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$3,906,000; FY 09 est \$3,906,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Institute has created the Literacy Information and Communications System (LINCS), an information and communication network on the Internet that provides information on effective literacy practices. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Acquisition Regulations and EDGAR apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director National Institute for Literacy, 1775 I Street, N.W., Ste. 730, Washington, District of Columbia 20006-2401 Phone: (202) 233-2025

**Website Address:**

<http://www.nifl.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Institute has funded development of research-based publications on adult reading instruction: Applying Research in Reading Instruction for Adults: First Steps for Teachers and Teaching Adults to Read: A Summary of Scientifically Based Research Principles. It has contributed \$10 million to a national research program to build understanding of how adults learn to read and how to teach reading to adults effectively. Through a national survey, the Institute is exploring the relationships between adult literacy policies and student outcomes to learn more about the contributions policy can make. It also has convened regional summits on health literacy and a national summit on strengthening instruction and improving performance management in community literacy initiatives. The Institute is working with nationally recognized experts and stakeholders to plan new initiatives to fill gaps in knowledge and services in the areas of adult English language acquisition, adult literacy, workforce basic skills development, and education and employment outcomes for youth with learning disabilities. Fiscal Year 2009: The Institute continues to support LINCS as well as a variety of projects intended to support the field of literacy. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For specific criteria on individual grants, the Institute should be contacted.

**84.258 EVEN START\_INDIAN TRIBES AND TRIBAL ORGANIZATIONS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title I, Part B, Subpart 3.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families through family literacy programs that integrate early childhood education, adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used for activities such as recruitment and screening of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs. Indirect costs are not an allowable project cost unless a waiver is obtained from the Secretary of Education.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations as defined in the Indian Self-Determination and Education Assistance Act, Section 4, may apply.

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act, and their children from birth to seven years old will benefit. Families must be in need of Even Start Services, as indicated by a low income level and a low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications from Federally recognized Indian tribes and tribal organizations must be submitted in accordance with the regulations, instructions, and forms included in the grant application package.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department's Grant and Contracts Service in cooperation with program staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are for up to 4 years with annual renewals subject to the approval of the Department of Education and the availability of funds. Applicants may reapply at the end of the grant period, but may not receive funds for more than 8 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Federal share of the cost of a subgrant project is not more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may not exceed four years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations in 34 CFR 80, State and local Governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80. For this purpose, the term "State" includes any Indian tribe.

**Records:**

In accordance with the Education Department General Administrative Regulations (EDGAR), certain project records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$954,067; FY 09 est \$996,810; FY 10 est \$0

**Range and Average of Financial Assistance:**

Average: \$332,270; Range: #485,000-\$464,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 5 grants will be funded in fiscal year 2008. Fiscal Year 2009: Same as Fy 2008. Fiscal Year 2010: The Department does not expect to fund any grants in fiscal year 2010, because the Administration did not request funds for this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 75, 77, 80, 82, and 85. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amber Sheker Department of Education, OESE Student Achievement and School Accountability, 400 Maryland Ave., SW, , Washington, District of Columbia 20202 Email: amber.sheker@ed.gov Phone: (202) 205-0653

**Website Address:**

<http://www.ed.gov/programs/evenstartindian/index.html> .

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.213 Even Start\_State Educational Agencies; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Tribal Projects include the grant to San Pasqual of Mission Indians in Valley Center, California. This project is based on economic self-sufficiency and promoting healthy families including scientifically based resources and parent support. The comprehensive program integrates literacy, academics, culture, parenting and self-sufficiency through the four Even Start components. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria in the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.209 and 75.210 are used to evaluate applications.

**84.259 NATIVE HAWAIIAN CAREER AND TECHNICAL EDUCATION FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Executive Order Title I, Section 116b(h).

**OBJECTIVES:**

To make grants to organizations primarily serving and representing Native Hawaiians for programs or portions of programs authorized by, and consistent with, the Carl D. Perkins Career and Technical Education Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Hawaiians. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Any organization primarily serving and representing Native Hawaiians and recognized by the Governor of Hawaii may apply.

**Beneficiary Eligibility:**

Native Hawaiians will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 applies in the case of university grantees and OMB Circular No. A-122 applies to nonprofit grantees. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with program announcements which are published in the Federal Register.

**Award Procedure:**

The Secretary of Education approves the application using the selection criteria in 34 CFR Part 75 and in the Federal Register notice, and after negotiation is completed, the Department of Education Grants Officer sends the Notification of Grant Award to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for 1 year and may be renewed for one additional year, subject to acceptable performance reports and the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The total project period may not exceed 2 years. Renewals are subject to the availability of funds and grantee performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific reporting requirements are contained in the grant award documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$2,902,000; FY 09 est \$2,902,000; FY 10 est \$2,902,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Native Hawaiian access to high-quality, state-of-the-art

career education has improved with the initiation of several entrepreneurship projects (forestry trade, mushroom growing, aquaculture, small business management) related to the changing Hawaiian economy, environmentally-focused projects, and assistance with guidance, counseling and education supplies for collegiate Native Hawaiians. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 75.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy Essey Department of Education, OVAE Division of High School, Postsecondary and Career Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: nancy.essey@ed.gov Phone: 202-245-7789

**Website Address:**

<http://www.ed.gov/programs/ctenhvvp/index.html>.

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program funds have supported a forestry and wood trades project on the island of Hawaii, an aquaculture (fish growing in ancient, reclaimed ponds) project on the Island of Molokai, a small business ownership project for adults and a mushroom growing project in a high school on the Island of Oahu, community college guidance and counseling throughout the Islands, and an entrepreneurship project for learning disabled and emotionally challenged teenagers have been funded with one grant awarded to ALU LIKE, Inc. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria are used in reviewing applications. A segment or segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (A) Program design; (B) management plan; (C) key personnel; (D) evaluation plan; and (E) budget and cost-effectiveness.

**84.263 REHABILITATION TRAINING\_EXPERIMENTAL AND INNOVATIVE TRAINING****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302.

**OBJECTIVES:**

This program is designed to: (a) Develop new types of training programs for rehabilitation personnel and to demonstrate the effectiveness of these new types of training programs for rehabilitation personnel in providing rehabilitation services to individuals with disabilities; and (b) develop new and improved methods of training rehabilitation personnel so that there may be a more effective delivery of rehabilitation services by State and other rehabilitation agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational and independent living rehabilitation of individuals with disabilities.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including Territories and other public or nonprofit agencies and organizations (including institutions of higher education) may apply.

**Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit.



**Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.263.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the costs of projects with the proportion subject to individual negotiation. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

Proper records must be maintained as required by the Education Department

General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$500,000; FY 09 est \$500,000; FY 10 est \$500,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A wide variety of strategies to develop new and improved methods of training rehabilitation personnel to support the effective delivery of rehabilitation services are being funded. Curriculum development efforts address adaptive technology training, computer-based learning, use of natural supports at the work site, and interdisciplinary instruction for dentistry professionals on rehabilitation and the needs of individuals with disabilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 387.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) An innovative model for rehabilitation engineering technology training; (2) a competency-based individualized training project using interactive videodisc technology training; and (3) a computer-based training program for rehabilitation professionals in the areas of head injury rehabilitation and supported employment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects are in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 387.

**84.264 REHABILITATION TRAINING\_CONTINUING EDUCATION****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302.

**OBJECTIVES:**

To support training centers that serve either a Federal region or another geographical area and provide for a broad integrated sequence of training activities that focus on meeting recurrent and common training needs of employed rehabilitation personnel throughout a multi-State geographical area.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of continuing education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

Institutions of higher education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attn: 84.264.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with the proportion subject to individual negotiation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$8,090,000; FY 09 est \$8,090,000; FY 10 est \$8,090,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Training by the projects addressed rehabilitation staff training needs in human resource development, independent living rehabilitation, management of rehabilitation facilities, and supported employment. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 389.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training Experimental and Innovative Training; 84.265 Rehabilitation Training State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: RCEPs provide training for State agency staff and for the staffs of related public and private nonprofit rehabilitation agencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects in the application notice are considered. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 389.

**84.265 REHABILITATION TRAINING STATE VOCATIONAL REHABILITATION UNIT IN-SERVICE TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302(g)(3).

**OBJECTIVES:**

This program is designed to support special projects for training State vocational rehabilitation unit personnel in program areas essential to the effective management of the unit's program of vocational rehabilitation services or in skill areas that enable personnel to improve their abilities to provide vocational rehabilitation services to individuals with disabilities. Projects are designed to: (1) address recruitment and retention of qualified rehabilitation professionals; (2) provide for succession planning; (3) provide for leadership development and capacity building; and (4) provide training on the Rehabilitation Act of 1973, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants may only be made to agencies designated to administer the State vocational rehabilitation program. Fifteen percent of the funds appropriated for the Rehabilitation Services Administration Training program must be allocated for In-Service Training.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including territories, may apply.

**Beneficiary Eligibility:**

Individuals employed by designated State rehabilitation agencies will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New applications are made to the Department of Education, Application Control center, 400 Maryland Avenue, S.W., Washington, DC 20200-4725. Attn: 84.265.

**Award Procedure:**

Grants are awarded by the Rehabilitation Services Administration. All new applications are reviewed by a panel of at least three individuals. Each panel will include nonfederal consultants with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. Grantees are required to share ten percent of the cost of projects. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years, with 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$5,664,900; FY 09 est \$5,664,900; FY 10 est \$5,664,900

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: State vocational rehabilitation agencies employ more than 25,000 individuals. It is estimated that more than 13,000 individuals participated in one or more activities sponsored under the State VR Unit In-Service Training Program in FY 07. Agencies reported that special emphasis was given to training staff on human resource development and on providing rehabilitation services to underserved populations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385 and 388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program is considered. Priorities for certain projects are stated in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR 385 and 388.

**84.268 FEDERAL DIRECT STUDENT LOANS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part D.

**OBJECTIVES:**

To provide loan capital directly from the Federal government (rather than through private lenders) to vocational, undergraduate, and graduate postsecondary school students and their parents.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS loans generally begins within 60 days of disbursement of the last installment; repayment of a Consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

The applicant must be a U.S. citizen, national, or person in the United States for other than a temporary purpose. A student borrower must be enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school. An otherwise eligible student is eligible for loans during a single twelve-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Direct PLUS program, parents may borrow for dependent students. Also, graduate and professional students are eligible to borrow PLUS Loans. Direct Unsubsidized and PLUS loans are non-need based programs. In order to receive a Direct Subsidized Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest. A student that is presently enrolled at a participating institution must be maintaining satisfactory academic progress in the course of study that they are pursuing. The borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a Statement of Registration compliance (Selective Service). Borrowers that are unable to obtain consolidation loans from lenders under FFEL or who are unable to obtain a consolidation loan with income sensitive repayment terms acceptable to the borrower from a lender, shall be eligible for a Direct Consolidation Loan. Married couples may consolidate eligible loans.

**Beneficiary Eligibility:**

Vocational, undergraduate, and graduate postsecondary school students and their parents.

**Credentials/Documentation:**

The borrower will need certification of eligibility from the school and may be required to supply documentation to verify the accuracy of data used in the Direct Subsidized loan need analysis. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Direct Subsidized and Unsubsidized loans are obtained from the school. Direct consolidation loan applications are obtained from the Department of Education. To obtain a Direct Subsidized or Unsubsidized loan, a student shall complete and submit a Free Application for Federal Student Aid (FAFSA). All applications (with the exception of PLUS) for Direct Loans are processed by the Central Processor System (CPS) in the initial step to determine a student's Title IV eligibility. Schools will receive official output from the CPS, and then will be able to assemble a financial aid award package. A school

participating in the Direct Loan program may award Direct Loans as part of the financial aid package. If a Direct Loan is not included in the aid package, a student may contact the school to request loan information.

**Award Procedure:**

Schools participate in the Direct Loan program either by originating loans or by using an alternative originator to originate loans. The school must certify the borrower's eligibility to receive the funds. To obtain a Direct PLUS Loan, the parent completes an application and authorizes a credit check. If the parent does not have an adverse credit history the loan maybe disbursed. Schools may disburse funds by crediting them directly to the student's account at the school, issuing a check or cash, or by initiating an electronic fund transfer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The interest rate on new Stafford and Unsubsidized Stafford Loans starting July 1, 2006 is fixed at 6.8 percent. The College Cost Reduction and Access Act (CCRAA) of 2007 authorized phased reductions to the interest rates for Subsidized Stafford loans borrowed by undergraduates with the rate cut in half to 3.4 percent on July 1, 2011. There are four repayment plans that are available for Direct Loan borrowers: (1) A standard repayment plan with a fixed monthly payment amount over a period of up to 10 years; (2) an extended repayment plan with a fixed monthly payment amount paid over a period of 12 to 30 years, depending on the amount owed; (3) a graduated repayment plan with a monthly payment that will increase generally every 2 years. The repayment period varies from 12 to 30 years, depending on the amount owed; and (4) except for Direct PLUS Loan borrowers, an income contingent repayment (ICR) plan with a monthly payment that is adjusted annually based on the income of the borrower and paid over a extended period of time not to exceed 25 years. Any unpaid balance remaining after 25 years in the ICR plan is forgiven by the Secretary of Education. However, under current IRS rules, the amount written off is considered taxable income to the borrower in the year it is written off. A legislative change removing this taxable treatment has been sought. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. CCRAA also created a new loan forgiveness program for Direct Loan borrowers who work in public service during a 10-year period while they are repaying their loans. If these borrowers during repayment have an outstanding loan balance after 10 years of working in public service, the Federal Government will forgive the remaining balance on behalf of the borrower. Public service may include a variety of public disciplines such as education, health, law, military service and public safety. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The Department will produce a variety of management information system accounting, and financial management reports. Schools must submit all reports required by 34 CFR 685 and 34 CFR 668. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Schools are subject to examination and program review by the Department of Education. Program reviews are performed on a fiscal year basis.

**Records:**

Schools must maintain proper administrative and fiscal procedures and all necessary records as set forth in the regulations in 34 CFR 685 and 34 CFR 668. Schools must keep all records involved in any loan, claim, or expenditure questioned by a Federal audit until resolution of any audit questions. In addition to records required by 34 CFR 668, for each Direct Loan received under 34 CFR 685 by or on behalf of this student, a school shall maintain a copy of the loan application and data electronically submitted to the Secretary.

**Account Identification:**

91-0243-0-1-502.

**Obligations:**

(Direct Loans) FY 08 \$24,895,000,000; FY 09 est \$24,619,000,000; FY 10 est \$61,776,000,000 - (Figures represent Gross Loan volume, without Consolidations). (Direct Loans) FY 08 \$8,280,000,000; FY 09 est \$16,556,000,000; FY 10 est \$19,715,000,000 - Figures represent DL Gross Consolidation volume.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Almost 4 million loans have been made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Student Loan Reform Act of 1993, Public Law 103-66, 34 CFR 685.

**Regional or Local Office:**

See Regional Agency Offices. See the list of Regional Offices listed in Appendix 5 of the FFEL Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: 800-433-3243

**Website Address:**

<http://www.ifap.ed.gov/>.

**RELATED PROGRAMS:**

84.032 Federal Family Education Loans; 84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.269 INSTITUTE FOR INTERNATIONAL PUBLIC POLICY**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VI, Part C.

**OBJECTIVES:**

To establish an institute for International Public Policy. This Institute shall conduct a program to enhance the international competitiveness of the United States by increasing the participation of underrepresented populations in the international service, including private international voluntary organizations and the foreign service of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) an advanced degree program in international affairs; and

(7) institutional grants to strengthen undergraduate international affairs programs at selected campuses.

**Applicant Eligibility:**

A consortium consisting of one or more of the following entities: An institution eligible for assistance under Part B of Title III of the Higher Education Act of 1965, as amended; an institution of higher education that serves substantial numbers of African Americans or other underrepresented minority students and an institution of higher education with programs in training foreign service professionals.

**Beneficiary Eligibility:**

Institutions of higher education and minority students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Technical assistance in preparing applications is available from the agency information contact listed below. An informal preapplication conference with the agency information contact is recommended.

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible consortia may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the International Studies Team of the International Education Programs Service (IEPS).

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

The project period may last up to 60 months. Applicants must receive annual approval for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Federal share for each fiscal year shall not exceed 50 percent of the cost of each project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A grant is awarded for a 60 month period; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The Institute shall prepare a report once every two years on the activities of the Institute and shall submit it to the Secretary of Education and the Secretary of State. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not

applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records will be subject to audit by the Department of Education at any time within 3 years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For 3 years after the close of the fiscal year that the grant expired; or (2) until grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$1,670,301; FY 09 est \$1,837,000; FY 10 est \$1,837,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: tanyelle.richardson@ed.gov Phone: (202) 502-7626

**Website Address:**

<http://www.ed.gov/programs/iegpsiipp/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Included among the activities implemented by the grantee are: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) a master's degree program in international affairs; and (7) institutional grants to strengthen undergraduate international affairs programs at selected campuses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part C of the Higher Education Act of 1965, as amended.

**84.274 AMERICAN OVERSEAS RESEARCH CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 609.

**OBJECTIVES:**

To enable American overseas research centers, that are consortia of higher education institutions, to promote postgraduate research, exchanges, and area studies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including the cost of faculty and staff stipends and salaries; faculty, staff, and student travel; the operation and maintenance of overseas facilities; the cost of teaching and research materials; the cost of bringing visiting scholars and faculty to a center to teach or to conduct research; the cost of organizing and managing conferences; and the cost of publishing and disseminating materials for the scholarly and general public.

**Applicant Eligibility:**

The Secretary shall only award grants to centers that: (1) Receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Beneficiary Eligibility:**

Consortia of institutions of higher education that (1) Receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible centers may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the program.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Centers selected to receive funds for the four year program must submit performance reports for continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods for a total project period of up to 48 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded projects must provide reports within 90 days of termination of each of the three twelve month grant periods and a final report within 90 days of termination of the last twelve month grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal records will be subject to audit by the Department of Education any time within three years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after the close of the fiscal year that the grant expired; or (2) until the grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$1,187,122; FY 09 est \$1,200,000; FY 10 est \$1,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Eleven continuation grants were awarded in FY 2008. Fiscal Year 2009: Eleven continuation awards are expected to be awarded in FY 2009. Fiscal Year 2010: Eleven continuation awards are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing legislation and the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79 through 82, 85, 86, 97, 98, and 99. Application guidelines will be announced in the Federal Register. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cheryl Gibbs International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: Cheryl.Gibbs@ed.gov Phone: (202) 502-7634

**Website Address:**

<http://www.ed.gov/programs/iegpsaorc/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.019 Overseas Programs - Faculty Research Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: American Institute of Indian Studies (AIIS), founded in 1961, serves American scholars overseas, as a base for research and a liaison with scholars and research targets in India. Specific activities funded include library expansion, overseas director and staff salaries as well as operations and communications. American Research Institute in Turkey (ARIT) directly

supports programs of fellowship for research and for language study in Turkey for American researchers and graduate students. Its programs, services, and facilities are available to all U.S. scholars at its Centers in Istanbul and Ankara. Specific activities funded include administrator and librarian salaries and overseas operations. American Center of Oriental Research ACOR serves American scholars of archaeology providing fellowship and publication programs, coordinating American archaeological work and interest in Jordan, and undertaking cooperative efforts on behalf of the Jordanian and American scholarly communities. Specific activities funded include administrative salaries, library acquisitions, and overseas operations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part A, Section 609 of the Higher Education Act of 1965, as amended.

**84.275 REHABILITATION TRAINING\_GENERAL TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302.

**OBJECTIVES:**

To ensure that skilled personnel are available to provide rehabilitation services to individuals with disabilities through: (1) Vocational, medical, social, and psychological rehabilitation programs; (2) supported employment programs; and (3) independent living client assistance programs. To support projects that: (1) Maintain and upgrade basic skills and knowledge of personnel employed; and (2) increase the numbers of qualified personnel trained in providing rehabilitation services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

State vocational rehabilitation agencies, and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted in accordance with the notice published in the Federal

Register. Contact the program office for more information. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are reviewed by panels of field readers. Each panel will generally include two or more nonfederal members with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 160 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years; with 12-month budget period. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$300,000; FY 09 est \$300,000; FY 10 est \$300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funding supported a clearinghouse of rehabilitation training materials. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR 385.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in application notices. Contact the Program Office for this information.

**84.282 CHARTER SCHOOLS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title V Part B, Subpart 1.

**OBJECTIVES:**

The program supports the planning, development, and initial implementation of charter schools and the dissemination of information on charter schools. Charter schools provide enhanced parental choice and are exempt from many statutory and regulatory requirements. In exchange for this increased flexibility, charter schools establish plans to improve student academic achievement and to stimulate the creativity and commitment of teachers, parents, and the public.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Each State educational agency (SEA) receiving a grant should award subgrants to one or more eligible applicants in their State, enabling them to plan and implement a charter school. Each eligible applicant, other than an SEA, receiving funds from the Secretary or an SEA shall use the funds to plan and implement a charter school. Grantees receive up to 3 years of assistance, of which they may not use more than 18 months for planning and program design and not more than 2 years for the initial implementation of a charter school. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202)708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) with specific statutes authorizing charter schools are eligible. If an eligible SEA elects not to participate in this program or does not have an approved application, authorized public chartering agencies participating in partnerships with charter school developers may apply, directly to the Secretary.

**Beneficiary Eligibility:**

School administrators, teachers, and students and their parents are beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**



Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the program office for application information. Application notices are published in the Federal Register.

**Award Procedure:**

Contact the program office for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 3 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. The programs office will establish a due date. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$211,031,000; FY 09 est \$236,031,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Range of awards: \$500,000 - \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants will support approximately 1,200 schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dean Kern, Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: dean.kern@ed.gov Phone: (202) 260-1882.

**Website Address:**

<http://www.ed.gov/programs/charter/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects focus on: increasing the number of high-quality charter schools; improving student achievement in math and reading; strengthening the fiscal management and operations of charter schools; and promoting awareness of charter schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in program statute. Contact the program office for more information.

**84.283 COMPREHENSIVE CENTERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Education Technical Assistance Act of 2002, Section 203.

**OBJECTIVES:**

This program supports 21 comprehensive centers that provide training and technical assistance, and professional development in reading, mathematics, and technology, primarily to State educational agencies. By statute, the Department is required to establish at least one center in each of the 10 geographic regions served by the Department's regional education laboratories.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Comprehensive Centers consist of 21 centers, including 16 regional centers and 5 content centers. Grantees are required to develop five-year plans for carrying out authorized activities that address state and regional needs. The 16 regional centers provide services primarily to State educational agencies to enable them to assist school districts, regional education agencies, and schools, especially low-performing schools. Each regional center provides training and technical assistance in the implementation and administration of programs authorized under the Elementary and Secondary Education Act and the use of scientifically valid teaching methods and assessment tools in mathematics, science, reading and language arts. The 5 content centers focus on specific areas, with one center in each of five areas: accountability, instruction, teacher quality, innovation and improvement, and high schools. These centers supply much of the research-based information and products in the specific area that regional centers use when working with states.

**Applicant Eligibility:**

Research organizations, institutions, agencies, institutions of higher education (IHEs), or partnerships among such entities, or individuals that have the expertise to provide training to States, school districts, and schools may apply.

**Beneficiary Eligibility:**

Agencies supporting or providing elementary and secondary education will benefit, including state and local educational agencies, schools, Indian tribes, community-based organizations, and other recipients of funds under ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for up to five years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be awarded for up to five years subject to the availability of funds and performance by the grantee. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant or cooperative agreement document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by EDGAR, 34 CFR 74.

**Records:**

Records must be kept for three years after the completion of the activity that grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$57,113,000; FY 09 est \$57,113,000; FY 10 est \$57,113,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Year 4 awards were made to 21 centers. Fiscal Year 2009: Year 5 continuations. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in The Department of Education's General Administrative Regulations (34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86).

**Regional or Local Office:**

None.

**Headquarters Office:**

Fran Walter Department of Education, OESE, School Support and Technology Programs, 400 Maryland Ave. S.W., Washington, District of Columbia 20202  
Email: fran.walter@ed.gov Phone: (202) 205-9198

**Website Address:**

<http://www.ed.gov/programs/newccp/index.html>.

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Beginning FY 05-09. One comprehensive regional assistance center has set as its goal the implementation of a system of sustained and comprehensive support that improves teaching and learning in schools in the region, resulting in high academic achievement for all students, particularly those at risk of educational failure. The center provides support and professional development and assistance to schools; operates a coordinated system of technical assistance with partners at the local, State and national levels; and provides technical assistance and research-based information supported by technology. In working with client educational agencies, the center uses awareness of the need for change, greater responsibility for student achievement, requirements of recent legislation and the promise of technology as openings to help move clients from token or tentative reform measures to more comprehensive ones. Consistent with statutory priorities, the center concentrates on assisting school-wide programs and those who serve children from high-poverty schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Meeting the purpose of the authorizing statute; (2) extent of need for the center; (3) plan of operation; (4) quality of key personnel; (5) budget and cost-effectiveness; (6) evaluation plan; and (7) adequacy of resources.

**84.286 READY TO TEACH**

**FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, Executive Order Title V, Part D, Subpart 8, 20 U.S.C. 7257-7257d.

**OBJECTIVES:**

To carry out a national telecommunications-based program to improve teaching, and prepare students to achieve challenging academic standards, in core curriculum areas. The Ready to Teach program also supports digital educational programming grants that enable eligible entities to develop, produce, and distribute educational and instructional video programming.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not more than five percent of the amount received under the grant may be used for administrative costs.

**Applicant Eligibility:**

A local public telecommunications entity or partnership of such entities, as defined in section 397(12) of the Communications Act of 1934, that is able to demonstrate a capacity for the development and distribution of educational instructional television programming of high quality.

**Beneficiary Eligibility:**

Elementary and secondary students, and school teachers who provide instruction in core curriculum areas (in the United States).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms and instructions are available from the program office. Application deadlines and other information for applicants are published in the Federal Register.

**Award Procedure:**

Applicants are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Digital educational programming grants awarded under ESEA Sec. 5484, require a match of not less than 100 percent from federal applicants. Grants awarded under ESEA Sec. 5481, to carry out a national telecommunications-based program, have no formula or matching requirements. Such matching funds may include funds provided for the transition to digital broadcasting, as well as in-kind contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Following a competitively selected 12-month award, up to two additional years may be awarded. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Educational Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75) the grantee shall maintain records and other evidence pertaining to all costs incurred, revenues, or other applicable credits acquired under its award as stated in grant or contract

terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$10,700,000; FY 09 est \$10,700,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, two continuation awards were made. Fiscal Year 2009: In FY 2009, two continuation awards were made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Harris, Department of Education, OII Technology in Education Programs, 400 Maryland Ave. S.W., Washington, District of Columbia 20202  
Email: sharon.harris@ed.gov Phone: (202) 205-5880.

**Website Address:**

<http://www.ed.gov/programs/readyteach/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Department funded a grant to Alabama Public Television and the Alabama State Department of Education to lead a multi-state collaborative effort to provide online staff development programs for educators. Eight state departments of education and their public broadcast station partners have joined together in this partnership to address the need for accessible professional development opportunities. Partners in the Alabama Public Television e-Learning for Educators project include the following States: Alabama, Delaware, Kentucky, Mississippi, Missouri, New Hampshire, Pennsylvania, and West Virginia. Boston College, Education Development Corporation (EDC) and Southern Regional Education Board (SREB) are providing technical assistance, consultation, and evaluation. Alabama Public Television is administering the grant. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education Department General Administrative Regulations (EDGAR) to evaluate applications to this program. The specific criteria to be used for a particular grant competition are selected from among these on 34 CFR 75, Section 75.210, and announced in the application package or the application notice in the Federal Register.

**84.287 TWENTY-FIRST CENTURY COMMUNITY LEARNING CENTERS**

**FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title IV, Part B.

**OBJECTIVES:**

To create community learning centers that provide academic enrichment opportunities for children, particularly students who attend high-poverty and low-performing schools. The program is intended to help students meet state and local student standards in core academic subjects, such as reading and math; offers students a broad array of enrichment activities that should complement their regular academic programs; and offers literacy and other educational services to the families of participating children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program must be for the purpose of meeting the needs of the residents of rural and inner city communities, through the creation or expansion of community learning centers. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State Departments of Education are eligible for funds under this program.

**Beneficiary Eligibility:**

Residents of all ages within the communities served by the learning centers will benefit, with a focus on school-aged children.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or the official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must apply for funds either through a program-specific application or by including the program in a consolidated State plan authorized under Title IX of the ESEA. Contact the headquarters office listed below for more information.

**Award Procedure:**

Contact the program office for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval time is approximately two to four months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part B.

Matching Requirements: Funds are allocated to States in proportion to each state's share of funds in the previous fiscal year under Part A of Title I of the ESEA, except that no state may receive less than 0.5 of 1 percent of the amount available to states.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress and financial reports as required by EDGAR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the EDGAR, Appendix to 34 CFR 80, State and local

governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

As required by the provisions in EDGAR for direct grant programs. Records related to grant funds, compliance, and performance must be maintained for a period of five years after completion, subject to the exceptions listed in EDGAR 34 CFR 74.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$1,081,166,187; FY 09 est \$1,081,166,000; FY 10 est \$1,081,166,000

**Range and Average of Financial Assistance:**

Range (FY 09): \$5,542,713-\$130,889,513; Average (FY 09): \$21,318,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 831,430 students attended 21st CCLC programs for 30 days or more. Fiscal Year 2009: Approximately 869,880 students will attend 21st CCLC programs for 30 days or more. Fiscal Year 2010: Approximately 869,850 students will attend 21st CCLC programs for 30 days or more.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter Eldridge Department of Education, OESE 21st-Century Community Learning Centers 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: peter.eldridge@ed.gov Phone: (202) 260-2514

**Website Address:**

<http://www.ed.gov/programs/21stcclc/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The program aims to support local communities in providing students, particularly students who attend schools that have been identified as in need of improvement, under Title I, with after-school care and academic enrichment that reinforces classroom learning. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: Same as 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals under this program include the extent of need for the project, quality of project design, management plan, project and evaluation plan, and adequacy of the resources. (See 34 CFR 75.210 for details.)

**84.293 FOREIGN LANGUAGE ASSISTANCE****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title V, Part D, Subpart 9.

**OBJECTIVES:**

To support innovative model programs of foreign language study in public elementary and secondary schools.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must be designed to support innovative model programs of foreign language study in elementary and secondary schools. Projects must show the promise of being continued beyond the grant period. Not less than three-fourths of the appropriation must be used for elementary-level projects. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on 202-708-7770. In FY08, the Department also made awards to partnerships of institutions of higher education (IHEs) along with local educational agencies (LEAs) to establish articulated programs of study in languages critical to the U.S. national security.

**Applicant Eligibility:**

State and local educational agencies may apply.

**Beneficiary Eligibility:**

Elementary and secondary school children benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To participate, an organization must have on file with the Secretary of Education, by the designated deadline, an application that complies with the statutory requirements. Contact the program office for specific application information.

**Award Procedure:**

Applications are approved for awards by the Director, Office of English Language Acquisition, Language Enhancement, and Academic Achievement For Limited English Proficient Students, based on evaluations and recommendations of outside experts and an administrative review of the applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on an annual review of the performance data and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. Subject to wavier.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for 3 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain appropriate records related to grant funds, as required by EDGAR.

**Account Identification:**

18-1000-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$25,655,000; FY 09 est \$26,328,000; FY 10 est \$26,328,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program made 8 new awards to partnerships of IHEs and LEAs. Fiscal Year 2009: Estimated 73. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No specific regulations have been developed. EDGAR, 34 CFR 75, 77, 80, 81, 85, 86, 97, 98, 99, and 299.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Richey, Department of Education, OELA 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Rebecca.richey@ed.gov Phone: (202) 245-7133.

**Website Address:**

<http://www.ed.gov/programs/flap/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The program supports foreign language instruction in elementary schools, immersion programs, curriculum development, professional development, and distance learning. Awards made in FY 08 provided support to partnerships of IHEs and LEAs in order to create or expand articulated programs of study in the languages critical to the U.S. national security. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include: need for the project, significance, and quality of project design. The FY 08 competition includes an absolute priority for projects to establish or expand articulated programs of study in foreign language learning that exclusively teach one or more critical languages. Critical languages are defined as languages critical to United States national security and include Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

**84.295 READY-TO-LEARN TELEVISION****FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended. , Executive Order Title II, Part D, Subpart3, 20 U.S.C. 6775 A.

**OBJECTIVES:**

To facilitate student academic achievement by developing educational programming, with accompanying educational support materials, for preschool and early elementary school children and their families.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The program makes awards to support the development and distribution of educational video programming and related outreach materials. Administrative costs are limited by the authorizing statute. Entities receiving a grant, contract, or cooperative agreement from the Secretary may not use more than five percent of the amounts received for the normal and customary expenses of administering the grant.

### Applicant Eligibility:

To be eligible to receive a grant, contract, or cooperative agreement under Subsection (a) an entity shall be a public telecommunications entity that can demonstrate a capacity to: (1) develop and disseminate educational and instructional television programming nationwide; (2) contract with the producers of children's television programming; (3) negotiate such contracts in a manner that returns an appropriate share of ancillary income from sales of program-related products; and (4) localize programming and materials to meet specific State and local needs.

### Beneficiary Eligibility:

Programming is to be made widely available, with support materials as appropriate, to young children, their parents, child care workers, and Head Start providers.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This procedure is described in the application notice published annually in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and forms.

### Award Procedure:

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the administrative regulations governing the Evaluation of Applications for Grants and Cooperative Agreements (34 CFR 75, Subpart D).

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 60 days following the application deadline.

### Appeals:

Not Applicable.

### Renewals:

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtaining approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Following an initial award of 12 months, four additional 1-year, non-competing

continuation awards may be made, for a total term of 5 years. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

### Reports:

The recipient must submit an annual report. At a minimum, the report must describe the program activities including: (1) Programming that has been developed directly or indirectly and the target population of the programs developed; (2) supporting materials that have been developed to accompany the programming and the method by which materials are distributed to consumers and users of the programming; (3) the means by which programming developed under this Section has been distributed, including the distinct learning technologies that have been utilized to make programming available and the geographic distribution achieved through such technologies; and (4) the initiatives undertaken to develop public or private partnerships to secure nonfederal support to develop and distribute the broadcasting of educational and instructional programming. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and ED regulations implementing OMB Circular No. A-133 (see 34 CFR 80).

### Records:

As required by EDGAR for direct grant programs (34 CFR 75). The grantee shall maintain records and other evidence pertaining to all costs incurred, revenues, or other applicable credits acquired under its award as stated or contract terms and conditions. (34 CFR 75.721). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

### Account Identification:

91-0204-0-1-501.

### Obligations:

(Project Grants) FY 08 \$23,831,000; FY 09 est \$25,416,000; FY 10 est \$25,416,000

### Range and Average of Financial Assistance:

No Data Available.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: Three continuation awards were made. Fiscal Year 2009: Three continuation awards were made. Fiscal Year 2010: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

The regulations applicable to this program are in the Education Department General Administrative Regulations (EDGAR) 34 CFR, 74, 75, 77, 79, 80, 81, 82, 85, and 86.

### Regional or Local Office:

None.

### Headquarters Office:

Joe Caliguro, Department of Education, OII Technology in Education Programs 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: joseph.caliguro@ed.gov Phone: (202) 205-5449.

### Website Address:

<http://www.ed.gov/programs/rtltv/index.html>

### RELATED PROGRAMS:

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Under the current Ready to Learn 5-year awards, which began in fiscal year 2005, WTTW-Channel 11 (Chicago public television) and the Corporation for Public Broadcasting (CPB) received awards to develop, produce, and distribute age-appropriate educational programming and curricula that utilize scientifically based reading research for children ages 2 through 8 years old, along with their parents and caregivers. WTTW-Channel 11 will develop four new literacy-based children's series, including Word World, Everyday Alphabet, and R U There. CPB is also developing several new literacy-based children's programs, including Super Why, the New Electric Company, and Martha Speaks. In addition to these new series, CPB will also support additional episodes of current series, such as Sesame Street and Between the Lions. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education General Administrative Regulations (EDGAR) to evaluate applications to this program. The specific criteria to be used for a particular grant competition are selected from among these in 34 CFR 75, Section 75.210, and announced in the application package or the application notice in the Federal Register.

**84.299 INDIAN EDUCATION -- SPECIAL PROGRAMS FOR INDIAN CHILDREN****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To support project to develop, test, and demonstrate the effectiveness of services and programs to improve educational opportunities and achievement of Indian children; to increase the number of qualified Indian individuals in teaching or other education professions that serve Indian people, to provide training to qualified Indian individuals to enable such individuals to become teachers, administrators, teacher aides, social workers, and ancillary educational personnel, and to improve the skills of qualified Indian individuals who serve in education professions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the absolute priorities for this program, grants support early childhood and kindergarten projects, high school projects that aim to aid students in the transition from secondary to postsecondary education, and professional development projects that increase the number and skills of qualified Indian teachers and principals who serve Indian people.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Successful applicants are subject to the requirement of applicable OMB Circulars on grant award agreements.

**Award Procedure:**

The Department awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60-120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to 4 years, continuations awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annual shall submit to the Secretary a report of its operations and activities. Each annual report shall include: (1) An executive summary; (2) a project status; (3) budget information; and (4) supplemental information. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted by the Department's Office of Inspector General and by site visits of staff. Audits are periodic with no set schedule.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$19,060,000; FY 09 est \$19,060,000; FY 10 est \$19,060,000

**Range and Average of Financial Assistance:**

In FY 2008 the range of awards was \$82,477 - \$397,554; the average award was \$280,259.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 17 new awards and 56 continuation awards. Fiscal Year 2009: The Department expects to make approximately 19 new awards and 51 continuation awards. Fiscal Year 2010: The Department expects to make approximately 14 new awards and 50 continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 34 CFR 263

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathie Carothers Office of Indian Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: Cathie.Carothers@ed.gov Phone: 202-260-1683

**Website Address:**

<http://www.ed.gov/programs/indiandemo/index.html>;  
<http://www.ed.gov/programs/indianprofdev/index.html>

**RELATED PROGRAMS:**

84.060 Indian Education\_Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Early childhood education curricula and school readiness; activities to enable Indian students to enter and complete postsecondary education programs; professional development to support Indian individuals receive teacher certification and placement in schools with concentrations of Indian students. Fiscal Year 2009: Not currently available. Fiscal Year 2010: Not currently available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR and 34 CFR 263; contact the program office for additional information.

**84.304 CIVIC EDUCATION - COOPERATIVE EDUCATION EXCHANGE PROGRAM****FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended., Executive Order Title II, Part C, Subpart 3.

**OBJECTIVES:**

(1) To make available to educators from eligible countries exemplary curricula and teacher training programs in civics, government, and economics education, developed in the United States; (2) to assist eligible countries in the adaptation, implementation, and institutionalization of such programs; (3) to create and implement civics, government, and economic education programs for students that draw upon the experiences of participating eligible countries; (4) to provide a means for the exchange of ideas and experiences in civics, government, and economic education among political, educational, governmental, and private sector leaders of participating eligible countries; and (5) to provide support for--(a) independent research and evaluation to determine the effects of educational programs on students' development of the knowledge, skills, and traits of character essential for the preservation and improvement of constitutional democracy; and (b) effective participation in, and the preservation and improvement of, an efficient market economy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Of the funds available for this program, by statute, 37.5 percent must be used for a grant or contract with the Center for Civic Education and 37.5 percent must be used for a grant or contract for the National Council on Economic Education. The remaining 25 percent of the funds are for one to three competitive grants to eligible entities described below. Countries eligible to participate, in addition to the United States, include Central European countries, Eastern European countries, Lithuania, Latvia, Estonia, the independent states of the former Soviet Union as defined in Section 3 of the FREEDOM Support Act (22 U.S.C. 5801), the Republic of Ireland, the province of Northern Ireland in the United Kingdom, and any developing country (as such term is defined in section 209(d) of the Education for the Deaf Act) if the Secretary of Education, with the concurrence of the Secretary of State, determines that such developing country has a democratic form of government.

**Applicant Eligibility:**

By statute, the Center for Civic Education and the National Council on Economic Education each receive program funds through a grant or contract. In addition, a competition is held for organizations experienced in the development of curricula and programs in civics and government education and economic education for students in elementary schools and secondary schools

in countries other than the United States.

**Beneficiary Eligibility:**

Educational leaders in the areas of civics and government education, and economic education, including teachers, curriculum and teacher training specialists, and scholars in relevant disciplines.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the Headquarters Office listed below for application packages containing the announcement, application, and assurance forms.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff annually, in accordance with EDGAR and 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The Assistant Secretary for Educational Research and Improvement approves the selection of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for twelve months. One award is made to the Center for Civic Education and one award to the National Council on Economic Education. One to three awards are competitively selected. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations for direct grants (34 CFR 75). A final performance report is due ninety days after termination of the grant. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-128 (see 34 CFR 80).



**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

18-0203-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$11,861,000; FY 09 est \$13,383,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, five continuation awards were made. Fiscal Year 2009: Four continuation awards and one new award will be made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, 86, and 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rita Foy Moss, Department of Education, OSDFS, 400 Maryland Ave, S.W., Washington, District of Columbia 20202 Email: rita.foy.moss@ed.gov Phone: (202) 205-8061.

**Website Address:**

<http://www.ed.gov/programs/coopedexchange/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Sage Colleges received an award to administer the Civic Mosaic, and exchange program that will help prepare young people in the United States and Russia to be more responsible citizens. Through this program 12 American regions will be paired with 12 Russian regions, and each region will exchange 2 teachers (exchange fellows) annually. Exchange fellows will engage in joint research projects, seminars, present research at international conferences, and develop lesson plans and classroom resources. The Center for Civic Education will administer Civitas Latin America, an exchange program that will: (1) assist Latin American educators in creating, adapting, implementing, and institutionalizing civic education programs in their own countries; (2) create and implement civic education programs for students in the United States that will help them better understand the history and experiences of emerging and advanced democracies in Latin America; and (3) facilitate the exchange of ideas related to civic education between educational, governmental, and private sector leaders in the United States and Latin America. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

**84.305 EDUCATION RESEARCH, DEVELOPMENT AND DISSEMINATION****FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Executive Order Title I, Parts A, B and D, Secs. 133 and 172.

**OBJECTIVES:**

To support the development and distribution of scientifically valid research,

evaluation, and data collection that support learning and improve academic achievement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will support basic and applied research, development, dissemination, evaluations, and demonstrations in education.

**Applicant Eligibility:**

State education agencies, local education agencies, institutions of higher education, public and private agencies and organizations, institutions, and individuals or a consortium thereof may apply.

**Beneficiary Eligibility:**

Institutions and individuals involved with education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certifications must be submitted by the deadline specified in the Federal Register.

**Award Procedure:**

Applications are reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements."

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years. Funds are granted on a 12 month basis. All grantee obligations shall be liquidated within 90 days following the end of the award period. Payments may be made according to a predetermined schedule or by way of reimbursement. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, financial reports and program reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor part drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$159,696,000; FY 09 est \$167,196,000; FY 10 est \$224,196,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Institute collaborates with other universities and research organizations and works with public schools. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Katrina Stapleton Institute of Education Sciences, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: Katrina.Stapleton@ed.gov Phone: (202) 219-2154

**Website Address:**

<http://ies.ed.gov/ncer>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

**84.310 PARENTAL INFORMATION AND RESOURCE CENTERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended., Executive Order Title V, Part D, Subpart 16.

**OBJECTIVES:**

To provide grants to nonprofit organizations and nonprofit organizations in consortia with local educational agencies (LEAs) to assist them in establishing parental information and resource centers. These centers strive to: (1) assist parents in helping their children to meet State and local standards; (2) obtain information about the range of programs, services, and resources available nationally and locally for parents and school personnel who work with parents; (3) help parents use the technology applied in their children's education; (4) plan, implement, and fund activities for parents that coordinate the education of their children with other programs that serve their children and families; and (5) coordinate and integrate early childhood programs with school-age programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each grantee receiving funds under this program must use at least 50 percent of the funds provided to serve areas with high concentrations of low-income families in order to serve parents that are severely educationally or economically disadvantaged. At least 30 percent of the funds must also be used to establish, expand, or operate a Parents As Teachers Program or a Home Instruction Program for Preschool youngsters. Other requirements include the establishment of a special advisory committee and design requirements. Grantees must serve both urban and rural areas. For funding in subsequent years, grantees must demonstrate that a portion of the services provided under this project is supported through nonfederal contributions.

**Applicant Eligibility:**

Nonprofit organizations and nonprofit organizations in consortia with LEAs may apply.

**Beneficiary Eligibility:**

Preschool and school-aged children and their parents will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information.

**Award Procedure:**

Applications are reviewed by panels of field readers. Points are awarded according to the selection criteria for discretionary grants contained in the Education Department General Administrative Regulations (EDGAR). Applications are ranked based on the number of points awarded and are selected for funding based on their rank order and geographic location in order to satisfy statutory provisions. Grants are distributed, to the greatest extent possible, to all geographic regions of the country.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grantees are required to contribute, from nonfederal sources, a portion of the services provided under the project after the first year. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 4 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released:

Electronic transfer.

**Reports:**

Annual progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administration Regulations (EDGAR), 34 CFR 74, nonprofit organizations are subject to the audit requirements in OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations."

**Records:**

As required by the Education Department General Administrative Regulations.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$38,908,188; FY 09 est \$39,254,000; FY 10 est \$39,254,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 62 continuation awards in FY 2008. Fiscal Year 2009: The Department expects to make 62 continuation awards. Fiscal Year 2010: The Department expects to make 62 continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR). For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anna Hinton, Department of Education, OII Parental Options and Information, 400 Maryland Ave., SW, Room 4W229, Washington, District of Columbia 20202 Email: [anna.hinton@ed.gov](mailto:anna.hinton@ed.gov) Phone: (202) 260-1816.

**Website Address:**

<http://www.ed.gov/programs/pirc/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Centers typically use funds to: (1) coordinate with existing programs that support parents in understanding state and local standards and measures of student and school academic achievement; (2) develop resource materials and provide information about high-quality family involvement programs to families, schools, school districts, and others through conferences, workshops, and dissemination of materials; and (3) support a variety of promising models of family involvement programs such as the Parents as Teachers (PAT), the Home Instruction Program for Preschool Youngsters (HIPHY), and other early childhood parenting programs. Projects generally include a focus on serving parents of low-income, minority, and limited English proficient children enrolled in elementary and secondary schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program. For more information contact the Program Office.

**84.315 CAPACITY BUILDING FOR TRADITIONALLY UNDERSERVED POPULATIONS**

(Capacity Building)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Section 21.

**OBJECTIVES:**

To enhance the capacity and increase the participation of historically Black colleges and universities, Hispanic serving institutions of higher education, and other institutions of higher education where minority enrollment is at least 50 percent, in competitions for grants, contracts, and cooperative agreements under the Rehabilitation Act, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are limited to: awards to minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act; awards to minority entities and Indian tribes to conduct research, training, technical assistance, or related activities, to improve services provided under the Rehabilitation Act, especially services provided to individuals from minority backgrounds; and awards to eligible entities to provide outreach and technical assistance to minority entities and Indian tribes to promote their participation in activities funded under the Rehabilitation Act.

**Applicant Eligibility:**

States and public and nonprofit agencies and organizations may apply.

**Beneficiary Eligibility:**

Historically Black colleges and universities; (2) Hispanics serving institutions of higher education; (3) Indian tribal colleges and universities (4) other institutions of higher education whose minority student enrollment is at least 50 percent; and (5) Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will generally include two or more nonfederal consultants with experience and training in the proposed area of training. Each panel will include a person with a disability and an individual from a minority background.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 150 days following the application deadline.

**Appeals:**

Other - Not Specified.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years, with budget periods of 12-months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award's terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by EDGAR.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$2,288,558; FY 09 est \$2,353,180; FY 10 est \$2,353,180

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Some program accomplishments include the following: (1) Extensive training on the Rehabilitation Act of 1973, as amended, the Americans With Disabilities Act, and other key disability legislation; (2) the establishment of State-wide consortia of public agencies and organizations to better coordinate the delivery of vocational rehabilitation and other related services to persons with disabilities from minority backgrounds; (3) sponsoring and co-sponsoring of national and regional conferences of rehabilitation providers such as the Consortia of Administrators for Native American Rehabilitation (CANAR) and others; (4) establishment of rehabilitation training programs at colleges and universities; (5) increase in the number of applications and funding of projects from minority institutions of higher education; (6) implementation of national satellite broadcasts to discuss rehabilitation with participants from institutions of higher education, rehabilitation State agencies, independent living centers, supported employment programs and other agencies and organizations involved in the administration of rehabilitation programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen Chesley, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202-2649 Email: ellen.chesley@ed.gov Phone: (202) 245-7300.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have supported training, technical assistance, and related activities provided by minority institutions of higher education and Indian tribes and to improve services provided under the Rehabilitation Act, especially services provided to individuals with disabilities from minority backgrounds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program.

**84.318 EDUCATION TECHNOLOGY STATE GRANTS**

(Enhancing Education through Technology Program)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title II, Part D, Subparts 1 and 2.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs) on a formula basis to (a) improve student academic achievement through the use of technology in schools; (b) assist all students in becoming technologically literate by the end of eighth grade; and (c) encourage the effective integration of technology with teacher training and curriculum development to establish successful research-based instructional methods.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

At least 95 percent of awards to SEAs must be used to make subgrants to LEAs. Half of the subgrant funds (the 95 percent) must be used for formula awards to eligible local educational agencies (LEAs) that receive funds under Title I, Part A. The remaining one-half provides competitive awards to eligible local entities (see beneficiary eligibility). In the fiscal year (FY) 2006 Appropriations Act, Congress also included language overriding this statutory provision and included language that provides SEAs with the flexibility to reserve up to 100 percent of their allocations for competitive awards to eligible entities. The Congress has continued to provide this flexibility in FY 2009 under the FY 2009 Omnibus Appropriations Act. Each LEA and eligible entity receiving funds under this program must use at least 25 percent of its funds to provide professional development; the remaining funds must be used carry out other activities consistent with the purposes of the program and the district's local technology plan. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEA).

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications are distributed to the Chief State School Officer for all eligible SEAs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States have two options for applying for funds under this program. Option 1: An SEA may submit an individual program application that includes a new or updated statewide long-range strategic educational technology plan that considers the educational technology needs of LEAs in the State, and an application that addresses the following topics: (1) strategies for improving academic achievement; (2) goals using advanced technology to improve student academic achievement, aligned with challenging State standards; (3) steps to increase accessibility to technology; (4) accountability measures; (5) innovative instruction delivery strategies; (6) an assurance that financial resources provided under the Educational Technology program will supplement, and not supplant, State and local funds; (7) professional and curricular development; (8) a description of how the SEA will provide technical assistance to applicants seeking Ed Tech funds; (9) a description of technology resources and systems that the State will provide; (10) strategies for financing technology; (11) strategies for parental involvement; (12) competitive grant process description; (13) integration of technology with curricula and instruction; (14) teacher incentives; and (15) a description of how public and private entities will participate in the implementation and support of the plan. Option 2: States may apply for funds through a consolidated application, as provided for in ESEA Sec. 9301. Through a consolidated application, a State will not submit all of the information required for individual Educational Technology applications, but will submit only "descriptions, information, assurances, and other materials that are absolutely necessary for the consideration of the consolidated State plan or consolidated State application" (ESEA Section 9302(b)(3)). The specific information that an SEA must include in a consolidated application that incorporates the Educational Technology program was detailed in the consolidated State application documents the Department published in the Federal Register.

**Award Procedure:**

The Department reviews all State applications and plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 days from receipt of application.

**Appeals:**

The Secretary shall not disapprove a State technology plan or State application, before offering the State an opportunity to revise the plan and a hearing. (See 34 CFR 76.202.).

**Renewals:**

SEAs shall report annually to the Secretary regarding progress in meeting State goals and plans. Items such as: (1) a proposal of State activities for the succeeding year; (2) a summary of the progress of LEAs in meeting local goals; and (3) a plan to increase student learning are required. Renewals are subject to the availability of resources.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are generally made for 1 year, continuation awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR part 76). Financial and performance reports are required annually. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-Administered programs (34 CFR part 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$267,494,000; FY 09 est \$269,872,000; FY 10 est \$100,000

**Range and Average of Financial Assistance:**

State awards range: \$1,305,843-\$28,741,327.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program is designed to improve student academic achievement through the use of technology in elementary and secondary schools. It is also designed to assist every student - regardless of race, ethnicity, income, geographical location, or disability - in becoming technologically literate by the end of eighth grade. The program will facilitate the effective integration of technology resources and systems with professional development and curriculum development, resulting in research-based instructional methods that can be widely replicated. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Enid Marshall, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: enid.marshall@ed.gov Phone: (202) 708-9499.

**Website Address:**

<http://www.ed.gov/programs/edtech/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Local activities supported by these grants include continuing professional development programs and public-private partnerships focused on the integration of technology in schools. Activities also include: the use of new or existing technologies to improve academic achievement; the acquisition of curricula that integrate technology and are designed to meet challenging State academic standards; the use of technology to increase parental involvement in schools and the use of technology to collect, manage, and analyze data to enhance teaching and school improvement efforts. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.323 SPECIAL EDUCATION - STATE PERSONNEL DEVELOPMENT****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), Executive Order Part D, Subpart 1.

**OBJECTIVES:**

To assist State educational agencies in reforming and improving their systems for personnel preparation and professional development of individuals providing early intervention, educational and transition services, to improve results for children with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The use of funds is described in section 654 of the IDEA. At least 90 percent of the funds must be spent on professional development activities, including the recruitment and retention of highly qualified special education teachers. No more than 10 percent can be spent on State activities, such as reforming special education and regular education teacher certification (including recertification) or licensing requirements and carrying out programs that establish, expand, or improve alternative routes for State certification of special education teachers.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Office of Special Education and Rehabilitative Services and required by OMB Circular No. A-102 must be used for this program.

**Award Procedure:**

Applications are peer reviewed and made on approval of the Assistant Secretary, OSERS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to 5 years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports: Grantees must submit an annual performance report as

required and or EDGAR (34 CFR Par 74.50). Final reports are made at the end of the project period. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Program performance is monitored through APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its grant, as stated in award terms and conditions.

**Account Identification:**

91-0300-0-1-500.

**Obligations:**

(Project Grants) FY 08 \$22,598,000; FY 09 est \$48,000,000; FY 10 est \$48,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 41 projects received funding under this program in FY 2008. Fiscal Year 2009: An estimated 46 projects will receive funding FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Dolittle, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: jennifer.dolittle@ed.gov Phone: (202) 245-6673.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Department awarded grants to applicants that proposed projects to prepare teachers, para-professionals, administrators, related services personnel, and principals to deliver scientifically based instruction or evidence-based instructional practices; and to recruit and retain highly qualified teachers who are prepared to deliver scientifically based instruction or evidence-based instruction in order to improve results for children with disabilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

## **84.324 RESEARCH IN SPECIAL EDUCATION**

### **FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

### **AUTHORIZATION:**

Education Sciences Reform Act of 2002, Part E.

### **OBJECTIVES:**

To support scientifically rigorous research contributing to the solution of specific early intervention and education problems associated with children with disabilities.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds may be used for the production of new knowledge, integration of research and practice, and improving professional knowledge related to the objectives of the program.

### **Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Department finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities. The Republic of the Marshall Islands and the Federated States of Micronesia are also eligible through September 30, 2023. The Republic of Palau is eligible through September 30, 2007.

### **Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and other individuals with disabilities, and their families benefit from this program.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certificates must be submitted by the date specified in the Federal Register.

### **Award Procedure:**

Applications will be reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor part drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

### **Account Identification:**

91-1100-0-1-500.

### **Obligations:**

(Project Grants) FY 08 \$70,585,000; FY 09 est \$70,585,000; FY 10 est \$70,585,000

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR 74, 77, 80, 81, 82, 84, 85, 86 (Part 86 applies only to IHEs), 97, 98, and 99. In addition 34 CFR 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Kristen Lauer, Department of Education  
Institute of Education Sciences  
National Center for Special Education Research, Office of the Commissioner  
400 Maryland Ave, S.W., Washington, District of Columbia 20202 Email:  
Kristen.Lauer@ed.gov Phone: (202) 219-0377.

### **Website Address:**

<http://ies.ed.gov/ncser>.

### **RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects address such topics as providing access to the general curriculum for children with severe cognitive disabilities, pre-literacy skills for young children with visual impairments and early childhood mental health. Additionally several research institutes and centers receive support as do field-initiated research. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.325 SPECIAL EDUCATION - PERSONNEL DEVELOPMENT TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act, Executive Order Part D, Subpart 2, Section 662, 20 U.S.C. 1461-1462.

**OBJECTIVES:**

(1) To help address State-identified needs for qualified personnel in special education, related services, early intervention, and regular education, to work with children with disabilities; and (2) ensure that those personnel have the skills and knowledge that are needed to serve children with disabilities and that such skills and knowledge are derived from practices determined to be successful through research and experience.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to prepare personnel to serve children with both low and high-incidence disabilities, leadership personnel, and for special projects. Awards are made only to eligible applicants that meet State and professionally recognized standards for the preparation of special education and related services personnel, if the purpose of the project is to assist personnel in obtaining degrees.

**Applicant Eligibility:**

State educational agencies, local education agencies, public charter schools that are LEAs under State law, institutions of higher education, other public agencies, private nonprofit organizations, outlying areas, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities are the primary beneficiaries under this program.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, subject to the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Performance reports are monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$88,153,000; FY 09 est \$90,653,000; FY 10 est \$90,653,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, approximately 400 awards were made. Fiscal Year 2009: In FY 2009, approximately 400 awards were made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304, Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77,79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonnie Jones, Department of Education, OSERS Office of Special Education



Programs, Potomac Center Plaza, 550 12th Street, SW, , Washington, District of Columbia 20202 Email: bonnie.jones@ed.gov Phone: (202) 245-7395.

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Program funds support projects in a variety of areas, including training grants for: leadership personnel; personnel to serve infants, toddlers, and pre-school age children with disabilities; personnel to serve school age children with low incidence disabilities; personnel to serve school age children with high incidence disabilities; and personnel to provide related services, speech/language services, and adapted physical education to infants, toddlers, children, and youth with disabilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.326 SPECIAL EDUCATION\_TECHNICAL ASSISTANCE AND DISSEMINATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Executive Order Part D, Subpart 2, Section 663, 20 U.S.C 1463.

**OBJECTIVES:**

To promote academic achievement and improve results for children with disabilities by supporting technical assistance, supporting model demonstration projects, dissemination useful information, and implementing activities that are supported by scientifically based research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APr) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants (Capacity Building and Complaint Processing, Training)) FY 08 \$48,049,000; FY 09 est \$48,549,000; FY 10 est \$48,549,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 91 new and continuation awards are expected to be made for 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304; Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debra Price-Ellingstad, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: debra.price-ellingstad@ed.gov Phone: (202) 245-7481.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The National Dissemination Center for Children with Disabilities, the National Clearinghouse on Deaf-Blindness, the Federal Resource Center for Special Education, Regional Resource Centers, the Center for Positive Behavioral Interventions and Supports, and Center on Achieving Results in Education for Children with Disabilities have been supported by this program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.327 SPECIAL EDUCATION TECHNOLOGY AND MEDIA SERVICES FOR INDIVIDUALS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Executive Order Part D, Subpart 3, Section 674.

**OBJECTIVES:**

To (1) improve results for children with disabilities by promoting the development, demonstration and use of technology; (2) support educational media service activities designed to be of educational value in the classroom setting to children with disabilities; and (3) provide support for captioning and video description that is appropriate for use in the classroom setting.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed by a panel of experts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$39,301,200; FY 09 est \$38,615,000; FY 10 est \$38,615,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 84 new awards were made in 2008. Fiscal Year 2009: Est. 67 new awards. Fiscal Year 2010: Est. 69 new awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane Hauser, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: jane.hauser@ed.gov Phone: (202) 245-7373.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: This program supports technology research, development, and dissemination. Media activities, such as providing closed-captioning for television and accessible textbooks for students with disabilities, are also supported. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from the selection criteria in the Education Department General Administrative Regulations (EDGAR), 24 CFR Part 75.210.

**84.328 SPECIAL EDUCATION\_PARENT INFORMATION CENTERS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended., Executive Order Part D, Subpart 3, Sections 671-673, 20 U.S.C 1471-1473.

**OBJECTIVES:**

To ensure that parents of children with disabilities receive training and information to help improve results for their children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Parent organizations, as defined in Section 671(a)(2) of the Individuals with Disabilities Education Act are eligible for parent center awards under IDEA sections 671 and 672. For section 672 funding, these parent centers must meet additional conditions set forth in section 672. For IDEA section 673 State educational agencies (SEAs) local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$26,528,000; FY 09 est \$27,028,000; FY 10 est \$27,028,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 110 new and continuation awards are expected to be made for 2008. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304; Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lisa Gorove, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: lisa.gorove@ed.gov Phone: (202) 245-7357.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Parent information centers covering large States or large areas in States, and community resource centers. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.329 SPECIAL EDUCATION\_STUDIES AND EVALUATIONS  
FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Section 664, 20 U.S.C 1464.

**OBJECTIVES:**

To assess the progress in implementing the Individuals with Disabilities Education Act, including State and local efforts to provide (1) Free appropriate public education to children with disabilities; and (2) early intervention services to infants and toddlers with disabilities who would be at risk of having substantial developmental delays if early intervention services were not provided.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher

education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Secretary finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be reviewed by a panel of experts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash balance reports will be required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Project Grants) FY 08 \$9,460,000; FY 09 est \$9,460,000; FY 10 est \$11,460,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

David Malouf, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: david.malouf@ed.gov Phone: (202) 219-1309.

**Website Address:**

<http://ies.ed.gov/ncee>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.184 Safe and Drug-Free Schools and Communities\_National Programs; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The studies supported by this program include the National Study of Alternate Achievement Standards and the National Assessment of Special Education. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.330 ADVANCED PLACEMENT PROGRAM (ADVANCED PLACEMENT TEST FEE; ADVANCED PLACEMENT INCENTIVE PROGRAM GRANTS)**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part G.

**OBJECTIVES:**

To award grants to State educational agencies, local educational agencies, and national non profit organizations to support State and local efforts to increase access to advanced placement classes and tests for low-income students and to award grants for State educational agencies to cover part or all of the cost of test fees for low-income students enrolled in advanced placement courses.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Advanced Placement Incentive Grants program provides grants to eligible entities to enable them to increase the participation of low-income students in both pre-advanced placement and advanced placement courses and tests. The Advanced Placement Test Fee program provides awards to enable States to cover all or part of the cost of test fees for low-income students who are enrolled in advanced placement classes. The ESEA requires the Secretary to give priority to funding the Advanced Placement Test Fee program, with

remaining funds allocated to Advanced Placement Incentive Grants.

**Applicant Eligibility:**

Local educational agencies, nonprofit organizations, and State educational agencies may apply for AP Incentive grants. State educational agencies may apply for the AP Test Fee program.

**Beneficiary Eligibility:**

Low-income high school students who (1) are enrolled in an advanced placement class; and (2) plan to take an advanced placement test.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Secure grant application forms and instructions from the Federal Register. Prepare and address submission according to published directions.

**Award Procedure:**

Applications are reviewed by Education Department staff. Final decisions on grants are made by the Secretary on the basis of statutory considerations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 120 days of receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made annually based on an applicant's eligibility and contingent on the availability of funds and project performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for one year for the AP Test Fee program, and for up to 3 years for the AP Incentive Grant program. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A final report must be submitted. Reporting requirements are included in the final grant documents. Grantees also may be subject to national evaluation performed by the Department of Education. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be specified in the grant award documents.

**Records:**

Records are to be maintained as indicated in the grant or contract award

document.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$43,540,000; FY 09 est \$43,540,000; FY 10 est \$43,540,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 47 States participated in the AP Test Fee program; and 46 AP Incentive grants were awarded. Fiscal Year 2009: 41 new awards were made by the Test Fee program; 21 new awards and 20 continuation grants were made by the Incentive program. Fiscal Year 2010: 42 new awards are expected to be made by the Test Fee program; 38 continuation grants are expected to be made by the Incentive program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 75, 77, 79, 80, 81, 82, 85, 86, and 99. Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivonne Jaime, Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: ivonne.jaime@ed.gov Phone: (202) 260-1519.

**Website Address:**

<http://www.ed.gov/programs/apfee/index.html>,  
<http://www.ed.gov/programs/apincent/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Awards support activities to increase the participation of low-income students in both pre-advanced placement and advanced placement courses. Grants support teacher training, distance learning, and training for "vertical teams" or teachers from different grade levels in a given subject. Grants also help procure books and supplies and support other activities directly related to expanding access to, and participation in, advanced placement courses and tests for low-income students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To receive funds under the AP Test Fee program, an SEA must submit information to the Department describing the Advanced Placement test fees the State will pay on behalf of individual students along with assurances that (1) the requested funds will supplement and not supplant existing fee payment efforts; (2) there will be a method by which low-income individuals will be identified and that funds will be used to serve this population; and (3) there will be a description of the applicant's plan to disseminate information on the availability of test fee payments to eligible individuals through secondary school teachers and guidance counselors. To receive an AP Incentive grant, eligible entities must expand access for low-income individuals to advanced placement programs. Eligible activities include teacher training, development of pre-advanced placement courses, coordination and articulation between grade levels to prepare students for academic achievement in AP or IB courses, books and supplies, and participation in online AP or IB course. In awarding grants, the Secretary gives priority to applications that: (1) demonstrate a pervasive need for access to AP incentive programs; (2) provide for the involvement of business and community organizations in the activities to be assisted; (3) assure the availability of matching funds from State, local, or other sources; (4) demonstrate a focus on developing or expanding AP programs and participation in the core academic areas of English, mathematics, and science; (5) demonstrate an intent to carry out activities that target LEAs serving schools with a high concentration of low-income students, or schools with a high concentration of low-income students; and (6) in the case of applications submitted by LEAs, assure that the LEA serves schools with a high

concentration of low-income students; or (7) demonstrates an intent to carry out activities to increase the availability of, and participation in, on-line AP courses.

**84.331 GRANTS TO STATES FOR WORKPLACE AND COMMUNITY TRANSITION TRAINING FOR INCARCERATED INDIVIDUALS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Higher Education Act Amendments of 1998, as amended, Executive Order Title VIII, Part D; Higher Education Amendments of 1998.

**OBJECTIVES:**

To assist and encourage incarcerated individuals to acquire functional literacy, life, and job skills through the pursuit of postsecondary education certificates, associate in arts degrees, and bachelor of arts degrees.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to provide grants to designated State Correctional Education Agencies to: (1) Assist and encourage incarcerated individuals to acquire functional literacy, life and job skills, through the pursuit of a postsecondary education certificate, or an associates or bachelors degree; and (2) provide employment counseling and other related services that start during the period of incarceration and continue through pre-release and while on parole or during release.

**Applicant Eligibility:**

The State Correctional Education Agency, as designated by the Governor of any of the 50 States, the Commonwealth of Puerto Rico, District of Columbia, Guam, American Samoa, the Virgin Islands, and the Northern Mariana Islands, may apply.

**Beneficiary Eligibility:**

Individuals who are: (1) incarcerated in a State prison, including a pre-release facility or an alternative program such as boot camp; (2) eligible to be released or paroled within 5 years; (4) 25 years of age or younger; and who (5) have obtained a secondary school diploma or its equivalent.

**Credentials/Documentation:**

A State plan is required. The State plan must include a certification for a State official that all provisions and amendments thereto are consistent with the Act. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Department of Education will provide guidance on specific issues and technical assistance in the preparation of State Plans. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each designated State Correctional Education Agency must submit to the Secretary of Education a State plan, which sets forth the procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Secretary approves the State Plan and any amendment thereto and makes allocations to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range is approximately 4 weeks from the date of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Part D.

Matching Requirements: From the amount appropriated, the Secretary allots to each State an amount that bears the same relationship to the amount appropriated as the total number of eligible students in each State bears to the total number of eligible students in all States. There is no matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a 12-month period. Funds must be expended within 24 months of their date of availability. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, as amended by the Improving America's Schools Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$22,372,208; FY 09 est \$17,186,000; FY 10 est \$17,186,000

**Range and Average of Financial Assistance:**

To be provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department awarded 50 grants. Fiscal Year 2009: The Department expects to award approximately 50 grants. Fiscal Year 2010: The Department expects to award approximately 50 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The provisions of Title VIII, Part D of the Higher Education Amendments of 1998, the requirements of the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR), Parts 67, 77, 79, 80, 81, 82, 85, and, 86 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Linton, Department of Education, OVAE 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: john.linton@ed.gov Phone: (202) 245-6592.

**Website Address:**

<http://www.ed.gov/programs/transitiontraining/index.html> .

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Maryland Department of Education received a grant to develop a postsecondary liberal arts and vocational training program. The educational programming offered is a mix of various postsecondary

occupational training programs, non-traditional careers training for women, and a standard liberal arts curriculum. Services will be provided in the boot camp, the women's institution and two medium security prisons. Fiscal Year 2009: Have not made FY09 awards, so new new examples. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.332 COMPREHENSIVE SCHOOL REFORM DEMONSTRATION (CSR)**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part F.

**OBJECTIVES:**

The Comprehensive School Reform (CSR) program support for a clearinghouse of school reform projects.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The programs supports a clearinghouse of school reform information.

**Applicant Eligibility:**

State educational agencies (SEAs). The subgrantees are local education agencies (LEAs) applying to their SEAs in collaboration with eligible schools within the LEAs.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, and public schools.

**Credentials/Documentation:**

Applications should demonstrate the existence of a State-wide plan for supporting research-based comprehensive school reform that describes the process and selection criteria by which competitive subgrants will be made; how the SEA will ensure that only high-quality comprehensive school reform programs are funded; how the SEA will provide information and assistance to school districts and schools; and how the SEA will evaluate results achieved in schools districts receiving assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department allocates funds to any State with an approved application.

**Award Procedure:**

The Department awards a continuation grant to projects that first received funding in a previous fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded to SEAs annually. Subgrants are for up to three years with annual renewals subject to the approval of the SEA and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds awarded to SEAs must be obligated not later than September 30, 2001. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for 5 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$1,605,000; FY 09 est \$0; FY 10 est \$0 - FY08 funds supported only the final years of the program's Clearinghouse contract.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2008 funds support the final year of the contract for the CSR Clearinghouse. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 76, regarding the program application package for SEAs. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Braden Goetz, Comprehensive School Reform Demonstration Program, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: braden.goetz@ed.gov Phone: (202) 260-0982.

**Website Address:**

<http://www.ed.gov/programs/compreform/index.html>.

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.215 Fund for the Improvement of Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: FY 2008 funds support the final year of the CSR Clearinghouse contract. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are contained in EDGAR. Contact the program office for additional information.

**84.333 DEMONSTRATION PROJECTS TO SUPPORT POSTSECONDARY FACULTY, STAFF, AND ADMINISTRATIONS IN EDUCATING STUDENTS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended., Executive Order Title VII, Part D, Subpart

1.

**OBJECTIVES:**

To support model demonstration projects to provide technical assistance or professional development for faculty in higher education, to provide students with disabilities a quality postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects receiving funds must carry out one or more of the following activities: developing innovative, effective and efficient teaching methods and strategies; developing means to ensure the successful transition of students with disabilities from secondary to postsecondary education; synthesizing research and information; developing the ability to provide accessible distance programs or classes; provide for information, training, and technical assistance related to disability-related fields; conducting professional development and training sessions for faculty and administrators from other institutions of higher education; and improving accessibility through curriculum development. Projects funded under the program must be distributed equitably across geographic regions and ensure that the activities supported are developed for a range of types and sizes of institutions of higher education.

**Applicant Eligibility:**

Institutions of higher education.

**Beneficiary Eligibility:**

Faculty and administration in postsecondary education and students with disabilities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and individuals having expertise in effective training strategies, knowledge of the needs of postsecondary students with disability and learning characteristics of students with disabilities and programs for students with disabilities in postsecondary education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may last for up to 3 years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.



**Length and Time Phasing of Assistance:**

Grants are to be made for 3 years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A final performance report is required. Reporting requirements are specified in the grant award documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$674,894; FY 09 est \$6,755,000; FY 10 est \$6,755,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, twenty-three grants were awarded. Fiscal Year 2009: 23 non-competing continuation grants were awarded. Fiscal Year 2010: 23 non-competing continuation awards are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 75, published in the Federal Register on March 6, 1997.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shedita Alston, Department of Education, Office of Postsecondary Education, 1990 K St NW, 7th Floor, Washington, District of Columbia 20006 Email: shedita.alston@ed.gov Phone: (202) 502-7676.

**Website Address:**

<http://www.ed.gov/programs/disabilities/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information on criteria for individual competitors.

**84.334 GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS**

(GEAR-UP)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 2, Chapter 2, Title IV, Part A.

**OBJECTIVES:**

Provides 6-year grants to States and partnerships to provide support and maintain a commitment to eligible low-income students, including students with disabilities, to help the students obtain a secondary school diploma (or its

recognized equivalent) and to prepare for and succeed in postsecondary education. GEAR UP has two major service components. All projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, parental involvement, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Some projects provide college scholarships to participating students.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

(1) State Grants. States receiving funds are required (unless they receive a waiver) to provide both an early intervention and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for early intervention services. To meet the matching requirement, States must cover at least 50 percent of the project costs with cash or in-kind contributions from non-Federal sources. (2) Partnership Grants. Eligible partnerships consist of one or more local educational agencies and one or more degree granting institutions of higher education and not less than two other community organizations or entities such as businesses, professional organizations, State agencies, institutions, or other public or private agencies or organizations. Partnerships receiving funds are not required to provide a scholarship component. However, they are required to provide an early intervention component to at least one cohort or grade level of students beginning no later than the 7th grade, in a school that has a 7th grade and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch, or to an entire grade level of students, not later than the 7th grade, who reside in public housing.

This program is subject to nonsupplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

A State, or a partnership consisting of one or more local education agencies acting on behalf of one or more elementary schools or secondary schools; and the secondary schools that students from the schools (elementary/secondary) would normally attend; one or more degree granting institutions of higher education; and at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, parent groups, and/or nonprofit organizations. States are required to conduct both components.

**Beneficiary Eligibility:**

Low-income students and students in high-poverty schools.

**Credentials/Documentation:**

OMB Circular No. A-21 applies. OMB Circular No. A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies are available on the web page and will also be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, and State, and local education agencies having expertise in

elementary, secondary, and higher education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The statute requires a cash or in kind match from non-Federal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to 5 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditures reports are required as part of the submittal of form ED 524B. Staff also monitor grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance and performance must be maintained for a period of 3 years after completion of the grant.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$303,423,000; FY 09 est \$313,212,000; FY 10 est \$313,212,000

**Range and Average of Financial Assistance:**

State grants: Average award, \$2,897,236 per year. Partnership grants: Average award, \$1,184,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, EDGAR; 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 and 34 CFR Part 694; OMB Circulars A-21, A-87, A-110, A-122, and A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, 1900 K Street NW, Washington, District of Columbia 20006 Email:

james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

<http://www.ed.gov/programs/gearup/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.335 CHILD CARE ACCESS MEANS PARENTS IN SCHOOL**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Executive Order Title IV, Part A, Subpart 7.

**OBJECTIVES:**

To support the participation of low-income parents in postsecondary education through the provision of campus-based child care services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards shall be used to support or establish child care programs serving low-income students enrolled in college. Funds may be used to provide for before or after school services to the extent necessary to allow students to pursue a postsecondary career. No funds from grants can be used for construction other than minor renovations to meet State or local health or safety needs.

**Applicant Eligibility:**

An institution of higher education is eligible to apply if the total amount of all Federal Pell Grant Funds awarded to students enrolled at the institution of higher education for the preceding fiscal year equals or exceeds \$350,000.

**Beneficiary Eligibility:**

Benefiting are low-income students enrolled in postsecondary programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and child care providers having expertise in child care service are designated to review application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of

applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant amount awarded to an institution shall not exceed one percent of the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants shall be awarded for a period of 4 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions of higher administering these grants must submit an annual report of the completion of each 12-month cycle. IHEs are also required to submit final reports ninety (90) days after the end of the grant. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$15,533,799; FY 09 est \$16,034,000; FY 10 est \$16,034,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 170 awards were made in FY 2008. Fiscal Year 2009: Approximately 119 new awards and 55 continuation awards are expected to be made in FY 2009. Fiscal Year 2010: Approximately 55 new awards and 119 continuation awards are expected to be made in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josephine Hamilton, Department of Education, Office of Postsecondary Education, Higher Education Programs, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: jospehine.hamilton@ed.gov Phone: (202) 502-7583.

**Website Address:**

<http://www.ed.gov/programs/campisp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are used to support or establish campus-based child care programs primarily serving the needs of low-income students enrolled in institutions of higher education. Grants may be used for before- and after-school services. In addition, grants may be used to serve the child care needs of the community served by the institution. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will be selected from those in the Education Department General Administrative Regulations (EDGAR). Contact the Program Office for more information.

**84.336 TEACHER QUALITY PARTNERSHIP GRANTS**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title II, Part A.

**OBJECTIVES:**

To improve student achievement; improve the quality of new and prospective teachers by improving the preparation of prospective teachers and enhancing professional development activities for new teachers; hold teacher preparation programs at institutions of higher education (IHEs) accountable for preparing highly qualified teachers; and recruit highly qualified individuals, including minorities and individuals from other occupations, into the teaching force.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be used to reform teacher preparation programs through either the Pre-Baccalaureate Program and/or the Teaching Residency Program. Additionally, funded programs have the option of implementing a School Leadership Program as well as establishing a Partnership with a Digital Education Content Developer.

**Applicant Eligibility:**

States and partnerships that consist of at least one institution of higher education with a teacher preparation program, one school of arts and sciences, and one high-need local educational agency. A high-need local educational agency; is an agency that serves an elementary school or secondary school located in an area containing: (1) A high percentage of individuals or families with incomes below the poverty line, (2) a high percentage of secondary teachers not teaching in the content area that they were trained to teach, or (3) a high teacher turnover rate. An accredited institution of higher education, with a teacher training program must demonstrate the following: (A) A graduate from the teacher training program exhibits strong performance on State-determined qualifying assessments for new teachers through demonstrating that 80 percent or more of the graduates of the program intending to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers including an assessment of each prospective teacher's subject matter knowledge in the content area or areas in which the teacher intends to teach; (B) be ranked among the highest-performing teacher preparation programs in the State as determined by the State; (C) the teacher training program requires all the students of the program to participate in intensive clinical experience that meets high academic standards in the case of secondary candidates to successfully complete an academic major in the subject area in which the candidate intends to teach; (D) competence through a high level of performance in relevant content area; (F) successful completion of an academic major in the arts and sciences in the case of elementary school candidates, or (G) competence through a high level of performance in core academic subjects areas. (Note: Entities that may constitute a partnership are specifically listed in the Law.)

**Beneficiary Eligibility:**

Benefiting are students and school communities in high-need schools and school districts.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, State and local educational agencies with expertise in teacher education are designated to review applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applicants.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has statutory requirements as follows: eligible partnerships are required to match 100 percent of the grant. Eligible partnerships may submit a request to waive the 100 percent match requirement for the first two years of the grant. The Secretary has the authority to grant this waiver to eligible partnerships as authorized under section 203(c)(2) of the HEA, as amended. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a performance period of five years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual and final performance report are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Contact the program office.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the awards.

**Account Identification:**

91-0204-0-1-501; 91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$33,662,000; FY 09 est \$50,000,000; FY 10 est \$50,000,000

**Range and Average of Financial Assistance:**

Estimated average award is \$1.5 million per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 23 partnership grants and 9 recruitment grants supported under previous authority. Fiscal Year 2009: Approximately 46 grants are anticipated. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathy Price, Department of Education, Office of Postsecondary Education, Teacher Quality Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: kathy.price@ed.gov Phone: (202) 502-7878.

**Website Address:**

<http://www.ed.gov/programs/heatqp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are used to carry out reforms in the way teachers are recruited and prepared with a view toward developing improved clinical experiences; adopting reforms in licensing and certification requirements; developing improved recruitment and hiring procedures for new teachers; and conducting professional development in the use of technology to improve education. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for this information.

**84.337 INTERNATIONAL EDUCATION, TECHNOLOGICAL INNOVATION AND COOPERATION FOR FOREIGN INFORMATION ACCESS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 606.

**OBJECTIVES:**

Grants are awarded to institutions of higher education, public or nonprofit private libraries, or partnership between institutions and other such institutions, libraries, or non-profit educational organizations, to develop innovative techniques or programs using new technologies to collect, organize, and preserve, and widely disseminate information from foreign sources on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be used to support projects that facilitate access to, or preserve foreign information resources in print or electronic forms; develop new means of immediate, full-text document delivery for information and scholarship from abroad; develop new means of or standards for shared electronic access to international data; support collaborative projects of indexing, cataloging, and other means of bibliographic access for scholars to important research materials published or distributed outside the United States; develop methods for the wide dissemination of resources written in non-Roman language alphabets; assist teacher of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use; and promote collaborative technology based projects in foreign languages, area studies, and international studies among grant recipients under Title VI; and establish linkages to facilitate carrying out program activities between(1) the institutions of higher education, libraries, and partnerships receiving grants; and (2) institutions of higher education, nonprofit educational organizations, and libraries overseas; and to carry out other activities that the Secretary determines

are consistent with the purpose of the grants awarded under this program.

**Applicant Eligibility:**

Institutions of higher education, and public or nonprofit private libraries or consortia of such institutions or libraries.

**Beneficiary Eligibility:**

Institutions of higher education, and public or nonprofit private libraries or consortia of such institutions or libraries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and libraries having expertise in the utilization of technology for accessing and disseminating information on world regions other than the United States that address one nation's teaching and research needs in international education and foreign languages.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula to determine the amount of a grant. The grantee is required to contribute to the project of an amount from nonfederal sources equal to at least 33 1/3 percent the amount of the grants. The nonfederal contribution may be in cash or in-kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made on a multi-year basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A final performance report is required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for four years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$1,700,000; FY 09 est \$2,400,000; FY 10 est \$2,400,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Ten continuation grants were expected to be awarded in FY 2008. Fiscal Year 2009: Thirteen new awards are expected to be awarded in FY 2009. Fiscal Year 2010: Thirteen continuation awards are expected to be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing statute and the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, 98 and 99. Applicable guidelines will be announced in the Federal Register. Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susanna C. Easton, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Susanna.easton@ed.gov Phone: (202) 502-7628.

**Website Address:**

<http://www.ed.gov/programs/iegpsticfia/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part A, Section 606 of the Higher Education Act of 1965, as amended.

**84.343 ASSISTIVE TECHNOLOGY\_STATE GRANTS FOR PROTECTION AND ADVOCACY**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Assistive Technology Act of 1998, as amended,, Title I, Section 5.

**OBJECTIVES:**

To support protection and advocacy services through the systems established to provide protection and advocacy services under the Developmental Disabilities Assistance and Bill of Rights Act for the purpose of assisting in the acquisition, utilization, or maintenance of assistive technology or assistive technology services for individuals with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support protection and advocacy services related to assistive technology services and devices. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75-564-76.569. For assistance call the Office of the

Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Designated protection and advocacy agencies in States and outlying areas only.

**Beneficiary Eligibility:**

Persons with disabilities who may benefit from assistive technology services and devices.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Office of Special Education and Rehabilitative Services, Rehabilitation Services Administration and required by OMB Circular No. A-102. Contact the Program Office for more information.

**Award Procedure:**

Applications are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law/Judges (34 CFR 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Funds are distributed on a State population basis, with a minimum annual grant of \$50,000. Territories receive a minimum of \$30,000.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall mail accounts, records, and other evidence pertaining to all costs incurred, review other applicable credits acquired under this grant.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$4,265,000; FY 09 est \$4,300,000; FY 10 est \$4,300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 56 grant awards in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Fred Isbister, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: fred.isbister@ed.gov Phone: (202) 245-7385.

**Website Address:**

<http://www.ed.gov/programs/rsapair/awards.html>.

**RELATED PROGRAMS:**

84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects support information, advocacy and representation, training, technical assistance, and general guidance for protection and advocacy entities to increase access to and provision of assistive technology devices and services. The emphasis is on consumer advocacy and capacity building through protection and advocacy agencies in the States. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.345 UNDERGROUND RAILROAD EDUCATIONAL AND CULTURAL PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Amendments of 1998; Executive Order Title VIII, Part H.

**OBJECTIVES:**

To provide grants to nonprofit education organizations that are established to research, display, interpret and collect artifacts relating to the history of the underground railroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In accordance with eligibility requirements. Organizations receiving funds must: demonstrate substantial private support through a public-private partnership; create an endowment that provides for the operations of the facility; and establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad.

**Applicant Eligibility:**

An application submitted for funding under this program must include: (1) The name, address, and web site address, if any, of the nonprofit educational institution seeking to participate, and the name, title, mailing and e-mail address, and telephone number of a contact person for the institution. (2) A description of the facility that will be used to house the artifacts related to the history of the Underground Railroad and to make the interpretive efforts available to institutions of higher education that award a baccalaureate or graduate degree. (3) A description of the substantial private support for the facility through the implementation of a public private partnership between a State or local public entity and a private entity. for the support of the facility as required in section 841 (b) (2) of the Higher Education Amendments of 1998. An agreement documenting the commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the

amount of the contribution of the State or local public entity. (4) An explanation of the proposed contribution of the State or local public entity and documentation showing that not more than 20 percent of the matching funds will be provided by the Federal government. (5) A description of how the endowment will be created to fund any and all shortfalls in the costs of the on-going operations of the facility and expected sources of these funds. (6) A statement as to whether the applicant institution intends to establish a network of satellite centers throughout the United States to help disseminate information regarding the underground railroad. If the applicants institution does intend to establish a network, documentation showing how the satellite centers will raise 80 percent of the funds required from nonfederal public and private sources. (7) A detailed description of how the applicant intends to electronically link the facility with other local and regional facilities that have collections and programs which interpret the history of the underground railroad, including a listing of the facilities the applicant intends to include.

**Beneficiary Eligibility:**

Nonprofit educational organizations that are established to research, display, interpret and collect artifacts relating to the history of the underground railroad.

**Credentials/Documentation:**

Nonprofit certification including a description of the purpose for which the organization was established. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applications should clearly designate a contact person, telephone number, and the e-mail address of the contact person. Applicants should submit the original application. Copies are not necessary. Applications must be postmarked on or before June 30.

**Award Procedure:**

Awards are reviewed by outside reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

One month.

**Appeals:**

Not Applicable.

**Renewals:**

Dependent upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: An agreement documenting the commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity is required. An explanation of the proposed contribution of the State or local public entity and documentation showing that not more than 20 percent of the matching funds will be provided by the Federal government is also required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

For each fiscal year for which the organization receives funding under this section, a report must be submitted to the Secretary of Education that contains a description of the programs and activities supported by the funding, the audited

financial statement of the organization for the preceding fiscal year, and a plan for the programs and activities to be supported. The Secretary may require an evaluation of the programs and activities supported by the funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$1,945,410; FY 09 est \$1,945,000; FY 10 est \$1,945,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Two awards were made in FY 2008. Fiscal Year 2009: Two awards are expected to be made in FY 2009. Fiscal Year 2010: Two awards are expected to be made in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claire Cornell, Department of Education, Office of Postsecondary Education, 400 Maryland Avenue, S.W, Washington, District of Columbia 20202 Email: [claire.cornell@ed.gov](mailto:claire.cornell@ed.gov) Phone: (202) 502-7609.

**Website Address:**

<http://www.ed.gov/programs/ugroundrr/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: National Underground Railroad Freedom Center (FC) (XE 'NATIONAL UNDERGROUND RAILROAD FREEDOM CENTER"Pi")(Cincinnati, Ohio) - The 2007 grant award will be used to further and support the FC's mission to reveal stories about the Underground Railroad and freedom's heroes, past and present, challenging and inspiring everyone to take courageous steps for freedom today. The grant will implement a robust schedule of special speakers, events, programs, community forums, and changing exhibits. FC exhibits consist of six permanent experiences and two changing galleries. Grant funds will also be used to manage the Center's highly-visited Web site, which serves an important role in itself to inform and educate our virtual visitors. Grant funds will also be used toward services specifically for FC's annual base of 50,000 visiting school children coming from cities all across the country. entitled "Revolution!" which continues the efforts of our landmark exhibitions "Slavery in New York" (2005) and "New York Divided: Slavery and the Civil War" (2006) to examine the "contagion of freedom" that buttressed the Underground Railroad. The project shows how revolutions in America, France, and Haiti uniquely defined notions of freedom, equality, and human rights, and in fact played a key role in the abolition of slavery in the United States by serving as a foundation for the rhetoric and activism of abolitionists such as Frederick Douglass, William Lloyd Garrison, David Walker, David Ruggles, Henry Highland Garnet, James McCune Smith, and many other key figures in the Underground Railroad. A comprehensive exhibition Web site with links to likened institutions, as well as a traveling version of the show, will extend the life of the exhibition and reach an

enormous and diverse local, national, and international audience. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.350 TRANSITION TO TEACHING**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title II, Part C, Subpart I, Chapter B.

**OBJECTIVES:**

To recruit and retrain highly qualified midcareer professionals (including highly qualified paraprofessionals) and recent graduates of institutions of higher education, as teachers in high-need schools, including recruiting teachers through alternative routes to teacher certification; and to encourage the development and expansion of alternative routes to certification under state-approved programs that enable individuals to be eligible for teacher certification within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual or other factors in lieu of traditional course work in the field of education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To develop a program to recruit, select, screen, train and place individuals (mid-career individuals and qualified recent college graduates) to become licensed and successful teachers in high-need areas to help reduce the teacher shortage in local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies; high-need local educational agencies; for profit and nonprofit organizations with proven records of effectively recruiting and retaining highly qualified teachers, in partnerships with high-need local educational agencies or State educational agencies; institutions of higher education, in partnerships with high-need local educational agencies or State educational agencies; regional consortia of State educational agencies; and consortia of high-need local educational agencies.

**Beneficiary Eligibility:**

Mid-career professionals from various fields who possess strong subject-matter skills to become teachers; recent college graduates with baccalaureate degrees in the academic subjects that the individuals will teach; LEA's with critical teacher shortages, particularly in the fields of mathematics, science, foreign languages, bilingual education, reading, and special education.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit the following by the designated deadline: (1) The applicant must provide a written narrative which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. This Section must be limited to no more than 50 double-spaced pages. (2) Required forms to be submitted with the application include SF-424; Sections

A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness. Applications are reviewed and scored by a panel of experts. Applications are ranked according to score by funding category; i.e., national, State, or local applicant. A funding slate is prepared and the highest funded applications are recommended for funding. Successful and unsuccessful applicants are notified of outcome. Grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Part 86 - Subpart E of the Education Department General Administrative Regulations (EDGAR) outlines procedures governing appeals of decisions by a designated Department official to demand the repayment of Federal financial assistance or terminate the eligibility of an institution of higher education, State educational agency or local educational agency.

**Renewals:**

Applicants may apply for a project period of up to 3 years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of 36 months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$43,706,865; FY 09 est \$43,707,000; FY 10 est \$43,707,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 102 continuation awards in FY 2008. Fiscal Year 2009: The Department expects to make approximately 14 new awards and 73 continuation awards in FY 2009. Fiscal Year 2010: The



Department expects to make approximately 91 continuation awards in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines were published in the Federal Register in April 2001. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thelma Leenhouts, Department of Education, OII Teacher Quality Programs  
400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email:  
thelma.leenhouts@ed.gov Phone: (202) 260-0223.

**Website Address:**

http://www.ed.gov/programs/transitionteach/index.html.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Florida Department of Education has received grants under this program in 2002 and 2006, to recruit, train, and place mid-career professionals, including highly-qualified paraprofessionals, and recent college graduates in teaching positions through partnerships with several high-need school districts. The 2002 cohort has placed 487 out of 679 participants, and the 2006 cohort has placed all of its 37 participants, as teachers at record in high-need schools in high-need districts. Fiscal Year 2009: California State University, Dominguez Hills, received a grant to recruit, prepare, place, and retain 120 highly qualified new math, science, and English teachers in 13 high-need middle schools and 5 high-need high schools in the high-need Compton and Inglewood Unified School districts in Los Angeles County. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210. Contact the program office for more information.

**84.351 ARTS IN EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Executive Order Title V, Part D, Subpart 15.

**OBJECTIVES:**

To provide competitive grants that support the integration of the arts into the elementary and secondary school curriculum, with particular focus on improving the academic achievement of low-income students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants are awarded on a competitive basis to support the following types of activities: (1) research on arts education; (2) development and dissemination of model school-based arts education programs; (3) development of model State arts education assessments based on State academic achievement standards; (4) development of curriculum frameworks in the arts; (5) development of model professional development programs in the arts for teachers and administrators; (6) support collaborative activities with Federal agencies or institutions involved in arts education, arts educators, and organizations representing the arts; and (7) support of model programs to integrate arts education into the regular elementary and secondary school curriculum. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State educational agencies; local educational agencies; institutions of higher education; museums and other cultural institutions; and any other public or private agencies, institutions, or organizations.

**Beneficiary Eligibility:**

Arts educators and administrators, preservice and inservice programs for teachers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following by the designated deadline: Written narrative addressing the selection criteria and application content; all required forms: SF 424; A,B,C,D of Form 525; Assurances Non-Construction programs; Certification Regarding Lobbying, Debarment and Suspension; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tiered Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness; applications are reviewed and scored by a panel of experts; and applications are ranked according to raw scores. A funding slate is prepared and the highest ranked applications are recommended for funding. Successful and unsuccessful applicants are notified of the outcome, and grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Part 86, Subpart E, of the Education Department General Administrative Regulations (EDGAR) outlines procedures governing appeals of decisions by a designated Department official to demand the repayment of Federal financial assistance or terminate the eligibility of an Institution of Higher Education, State educational agency or local educational agency.

**Renewals:**

Applicants may apply for a project period of up to three years. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under Subpart A may be awarded for up to 36 months; grants under Subpart B may be awarded for up to 60 months. Continuation awards are subject to the availability of funds and substantial progress by the grantee. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance Reports are due within six to ten months of the initial award date; these reports are used to determine whether the grantee has made substantial progress toward meeting the project objectives and should or should not receive continuation funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$37,533,000; FY 09 est \$38,166,000; FY 10 est \$38,166,000

**Range and Average of Financial Assistance:**

Range of new awards: \$100,000 to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 85 new and continuation awards were made in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education General Administrative Regulations (EDGAR). Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Diane Austin, Model Development and Dissemination Grants, Department of Education, Office of Innovation and Improvement, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: diane.austin@ed.gov Phone: (202) 260-1280.

**Website Address:**

<http://www.ed.gov/programs/artsted/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Model Development and Dissemination Grants Program, supports the development, documentation, evaluation and dissemination of innovative models that seek to integrate and strengthen arts instruction in elementary and middle schools and improve students; academic in the arts. The Professional Development for Arts Educators grants achievement, support the development of model professional development programs for music, dance, drama, and visual arts educators. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210.

**84.354 CREDIT ENHANCEMENT FOR CHARTER SCHOOL FACILITIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title V, Part B, Subpart 2.

**OBJECTIVES:**

To provide grants to eligible entities to leverage funds through credit enhancement initiatives in order to assist charter schools in using private-sector capital to acquire, construct, renovate, or lease academic facilities.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Grant recipients must deposit the funds received under this program (other than funds used for administrative costs) in a reserve account established and maintained by the entity for this purpose. Amounts deposited in such an account must be used by the entity to help charter schools access private-sector capital for acquiring, renovating, or constructing facilities. Reserve accounts must be used for one or more of the following purposes: (1)Guaranteeing, insuring, and reinsuring bonds, notes, evidences of debt, loans, and interests therein; (2)Guaranteeing and insuring leases of personal and real property; (3)Facilitating financing by identifying potential lending sources and encouraging private lending and other similar activities that directly promote lending to, or are conducted for the benefit of, charter schools; and (4)Facilitating the issuance of bonds by charter schools or by public entities for the benefit of charter schools. This may be accomplished by providing technical, administrative, and other appropriate assistance, including the recruitment of bond counsel, underwriters, and potential investors and the consolidation of multiple charter school projects within a single bond issue.

**Applicant Eligibility:**

A public entity, such as a State or local government entity, a private nonprofit entity, or a consortium of such entities may apply.

**Beneficiary Eligibility:**

Public charter schools as defined in Section 10310, ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures. "Intergovernmental Review of Federal Programs."

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30. Once these funds are obligated, they must be expended from the Federal account in five years. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually must submit to the Secretary a report of its operations and activities. Each such annual report must include-- (1) a copy of the most recent financial statements, and any accompanying opinion on such statements, prepared by the independent public accountant reviewing the financial records of the eligible entity; (2) a copy of any report made on an audit of the financial records of the eligible entity that was conducted during the reporting period; (3) an evaluation by the eligible entity of the effectiveness of its use of the Federal funds in leveraging private funds; (4) a listing and description of the charter schools served during the reporting period; (5) a description of the activities carried out by the eligible entity to assist charter schools; and (6) a description of the characteristics of lenders and other financial institutions participating in the activities undertaken by the eligible entity during the reporting period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$8,300,000; FY 09 est \$8,300,000; FY 10 est \$8,300,000

**Range and Average of Financial Assistance:**

\$8,262,977 (one award in FY 2009).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, one new award was made. Fiscal Year 2009: One award will be made. Fiscal Year 2010: Approximately one award will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ann Margaret Galitsos Department of Education, OII Parental Options and Information, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: ann.galitsos@ed.gov Phone: (202) 205-9765

**Website Address:**

<http://www.ed.gov/programs/charterfacilities/index.html> .

**RELATED PROGRAMS:**

84.282 Charter Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: With a focus on leveraging funds for charter school facilities, projects guarantee and insure debt to finance charter school facilities; guarantee

and insure leases for property; facilitate charter schools facilities financing by identifying potential lending services; and establish temporary charter school facilities that new charter schools can use until they are able to acquire their own facility. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. For additional information contact the program office.

**84.356 ALASKA NATIVE EDUCATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Executive Order Title VII, Part C.

**OBJECTIVES:**

To support projects that recognize and address the unique educational needs of Alaska Native students and to support supplemental education programs to benefit Alaska Natives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include, but are not limited to: the development of curricula and education programs that address the educational needs of Alaska Native students; the development and operation of student enrichment programs in science and mathematics; professional development activities for educators; family literacy services; and dropout prevention programs. An eligible entity may use not more than 5 percent of the funds received under this program for the administrative costs of carrying out its responsibilities under this Subpart.

**Applicant Eligibility:**

Alaska Native organizations, education entities with experience in developing or operating Alaska Native programs or programs of instruction conducted in Alaska Native languages, cultural and community-based organizations with experience in developing or operating programs to benefit Alaska Natives, and consortia of organizations may apply. A State educational agency (SEA) or local educational agency (LEA) may apply as part of a consortium involving an Alaska Native organization. The consortia may include other eligible applicants.

**Beneficiary Eligibility:**

Alaska Natives as defined in Public Law 103-382.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The Program Office notifies successful applicants of awards and negotiates and awards grants. Contact the Program Office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30, of the fiscal year for which they are appropriated. Once these funds are obligated, they must be expended from the Federal account by September 30, of the subsequent fiscal year. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. Continuation awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Secretary a report of its operations and activities. Each annual report shall include: (1) An executive summary; (2) a project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$33,314,645; FY 09 est \$33,313,000; FY 10 est \$33,315,000

**Range and Average of Financial Assistance:**

Range of new awards: \$300,000-\$700,000; Average new award: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 15 new awards and 38 continuation awards were made. Fiscal Year 2009: Approximately 30 new awards and 22 continuation awards will be made. Fiscal Year 2010: Approximately 19 new awards and 45 continuation awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alexis Fisher, Department of Education, OESE School Improvement Programs  
400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email:  
alexis.fisher@ed.gov Phone: (202) 401-0281.

**Website Address:**

<http://www.ed.gov/programs/alaskanative/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Early childhood and family programs emphasizing school readiness; enrichment programs in reading, math, and science; native language and cultural education instruction; and school-to-work transition programs.  
Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.357 READING FIRST STATE GRANTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Subpart 1, , Title I, Part B.

**OBJECTIVES:**

To ensure that every student can read at grade level or above by the end of third grade. The Reading First program provides assistance to States and districts in establishing reading programs for students in kindergarten through third grade that are based on scientifically based reading research. Reading First also focuses on teacher development and ensuring that all teachers, including special education teachers, have the tools they need to effectively help their students learn to read.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Each State educational agency (SEA) receiving a grant shall use the funds to establish reading programs that are based on scientifically based reading research. This program is subject to non-supplanting requirements and grantees must use a restricted indirect cost rate that is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**Applicant Eligibility:**

State Education Agencies from the 50 States, Puerto Rico, the District of Columbia, the DOI Bureau of Indian Education, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Kindergarten through third-grade students, their teachers, and their parents are benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In their

Reading First State grant applications, States describe their plans to provide competitive subgrants to targeted schools and districts and to use significant State leadership funds in order to improve reading instruction and student achievement. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Office of Elementary and Secondary Education, a complete application that addresses the purposes of the program and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF-422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA), and Section 9306 of the Elementary and Secondary Education Act (Other General Assurances). Applications should also include a Cover Page (SF-424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

Grant applications are reviewed by outside, expert panels. The expert panels recommend to the Secretary of Education those applications that meet the standards of the review criteria. Based on the panels' recommendations, the Department makes the grant awards. The Department of Education will notify successful applicants of their awards. Contact the Program Office for more information.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation funding depends upon future program appropriations and demonstrated substantial progress toward meeting the grant's goals and objectives.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part B, Subpart 1.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Reading First grant to a State educational agency is awarded for up to 6 years, subject to sufficient appropriations and submission and review of progress reports. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit performance reports annually. The program office establishes a due date. Final performance reports must be submitted within 90 days after the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$393,000,000; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants support Reading First programs in all 50 States, the District of Columbia, Puerto Rico, Bureau of Indian Education schools, and the outlying areas. Fiscal Year 2009: No awards are expected. Fiscal Year 2010: No awards are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 82, 85, 97, 98, 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Butler, Reading First Program, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave. SW, Washington, District of Columbia 20202 Email: James.Butler@ed.gov Phone: (202) 401-9737.

**Website Address:**

<http://www.ed.gov/programs/readingfirst/index.html>

**RELATED PROGRAMS:**

84.359 Early Reading First

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds support increased professional development to ensure that all teachers have the skills they need to teach reading effectively. The program also supports the use of screening and diagnostic tools and classroom-based instructional reading assessments to measure how well students are reading and to monitor their progress. Fiscal Year 2009: No awards are expected. Fiscal Year 2010: No awards are expected.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the Program Office for more information.

**84.358 RURAL EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title VI, Part B.

**OBJECTIVES:**

To provide financial assistance to rural districts to carry out activities to help improve the quality of teaching and learning in their schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grantees under the Small, Rural School Achievement Program component may use program funds to carry out activities authorized under: Title I-Part A (Grants to LEAs); Title II- Part A (Improving Teacher Quality State Grants); Title II-Part D (Educational Technology State Grants); Title III (Language Instruction for Limited English Proficient and Immigrant Students); Title IV-Part A (Safe and Drug-Free Schools and Communities State Grants); Title IV-Part B (21st Century Community Learning Centers); and Title V-Part A (State Grants for Innovative Programs). Grantees under the Rural and Low-Income School Program component may use program funds for: teacher recruitment and retention; teacher professional development; educational technology; parental involvement activities; activities authorized under ESEA Title IV-Part A (Safe and Drug-Free Schools and Communities); activities authorized under ESEA Title I-Part A (Grants to LEAs); and activities authorized under ESEA Title III (Language Instruction for Limited English

Proficient and Immigrant Students). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

For the Small, Rural School Achievement Program eligible recipients are local educational agencies (LEAs) in which (1) the total number of students in average daily attendance at all of the schools served by the LEA is less than 600 or where each school in the LEA is located in a county with a total population density of less than 10 persons per square mile; and (2) all of the schools served by the LEA are designated as rural under the U.S. Department of Education's National Center for Education Statistics (NCES) using the NCES school locale methodology in place at the time of NCLB's enactment or the LEA is located in an area of the State defined as a rural by a State governmental agency. For the Rural and Low-Income School Program eligible recipients are State educational agencies. States then must distribute funds to local educational agencies (LEAs) through a formula or competitive basis. An LEA is eligible to receive a grant under this program only if (1) it is not eligible for funds under the Small, Rural School Achievement Program; (2) at least 20% of the school children ages 5-17 in the LEA come from families with incomes below the poverty line; and (3) all of the schools served by the LEA are designated with a School Locale Code of 6, 7 or 8 under the Department of Education's National Center for Education Statistics (NCES) locator system using the NCES school locale methodology in place at the time of NCLB's enactment. If an SEA chooses not to participate in the program, the Secretary uses the State's allocation to make direct grants to eligible LEAs in the State.

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers in rural schools will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For the Small, Rural School Achievement Program component, the Department considers the application requirement to be met though, if the LEA submitted an application in any prior year and has drawn down funds from the third preceeding fiscal year award if the LEA received an award that year (eg. FY 2006 grantees that drew down none of those funds are required to reapply in FY 2009 to receive such an award). LEAs annually submit applications to the Department of Education. The Department considers the application requirement to be met through, if the LEA submitted an application in any prior year and has drawn down payments from the Department's Grant Administration and Payment System in subsequent years. Application forms are available from the headquarters office. For the program component, an SEA must submit an application that includes specific, measurable goals and objectives for the activities to be carried out through the grant. If an SEA does not participate in the program, eligible LEAs in the State may submit an application directly to the Department.

**Award Procedure:**

For the Small, Rural School Achievement program component, awards are issued annually directly to eligible LEAs on a formula basis. Awards are made to all that apply and meet the applicable requirements of the Act. Contact the program office for more information. For the Rural and Low-Income School Program component, awards are issued annually to SEAs, which make subgrants to LEAs. Awards are made to all SEAs that apply and meet the applicable requirements of the Act. If an SEA does not participate, awards are issued to eligible LEAs in the State either competitively or by formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VI, Part B.

Matching Requirements: For the Small, Rural School Achievement program, the Department calculates the amount of a grant that an eligible LEA receives by multiplying the number of students in average daily attendance in excess of 50 by \$100, adding this product to \$20,000, and subtracting the amounts the LEA received the previous year for Parts A and D of Title II, Part A of Title IV, and Part A of Title V of the Elementary and Secondary Education Act of 1965, as amended. The maximum award is limited to \$60,000. To make the total award amounts sum to the appropriation, a ratable increase or decrease is applied to each award. For the Rural and Low-Income School program, the Department reserves one-half of one percent of the half of the appropriation for this subprogram for each of the Outlying Areas and the Bureau of Indian Education at the Department of the Interior. The Department of the Education allocates the remaining funds to State proportionally to the sum of the average daily attendance of the eligible LEAs within the respective States. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for one year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and performance reports are due within 90 days of the termination of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained three years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$171,854,322; FY 09 est \$173,382,000; FY 10 est \$173,382,000

**Range and Average of Financial Assistance:**

Range of new awards for SRSA: \$2 - \$60,000; Average new award for SRSA: \$21,000

Range of new subgrants for RLIS: \$2,000 - \$633,000; Average new subgrants for RLIS: \$58,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, approximately 4,084 LEAs received Small, Rural School Achievement grants and 1,486 LEAs received Rural and Low-Income Schools grants. Fiscal Year 2009: Approximately 4,084 LEAs are expected to receive Small, Rural School Achievement grants and 1,486 LEAs are expected to receive Rural and Low-Income Schools grants. Fiscal Year 2010: Approximately 4,084 LEAs are expected to receive Small, Rural School Achievement grants and 1,486 LEAs are expected to receive Rural and Low-Income Schools grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eric Schulz, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: reap@ed.gov Phone: (202) 260-7349.

**Website Address:**

<http://www.ed.gov/programs/reapsrsa/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Rural districts receive grants, either directly or through State educational agencies, to assist them in meeting their State's definition of adequate yearly progress. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information.

**84.359 EARLY READING FIRST**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 as amended, Executive Order Title I, Part B, Subpart 2.

**OBJECTIVES:**

To support local efforts to enhance the early language, literacy, and prereading development of preschool-aged children, particularly those from low-income families, through instructional strategies and professional development based on scientifically based reading research. Early Reading First programs must have a high-quality oral language and print-rich environment, and must monitor children's progress toward language, literacy, and cognitive goals using screening reading assessments and other appropriate measures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds support projects designed to help early childhood centers improve their programs by creating centers of excellence that provide preschool-age children with language and cognitive skills, and an early reading foundation. Funds must be used to: enhance children's language, cognitive, and early reading skills through professional development for teachers; provide early language and reading development and instructional materials as developed from scientifically based reading research; provide preschool-age children with cognitive learning opportunities in high-quality language and literature-rich environments; use screening assessments to effectively identify preschool children who may be at risk for reading failure; and improve existing early childhood programs by integrating scientifically based reading research into all aspects of the program (including instructional materials, teaching strategies, curricula, parent engagement, and professional development).

**Applicant Eligibility:**

The following are eligible to apply for an Early Reading First grant: (1) One or more local educational agencies that are eligible to receive a Reading First State grant subgrant; (2) One or more public or private organizations of agencies, acting on behalf of one or more programs that serve preschool age children (such as a Head Start program, a child care program, an Even Start Family literacy program, a lab school at a university), located in a community that is eligible for a Reading First grant; (3) One or more local educational agencies described in (1), in collaboration with one or more organizations or agencies described in (2).

**Beneficiary Eligibility:**

Early childhood staff and children in early childhood programs will benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Those applicants who are invited to submit a full application must prepare and submit them in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF-424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiations and awarding of grants is done by the Department's Grants and Contracts Service, in cooperation with the program staff. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

The Department may award grants with a project period of up to six years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of up to six years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports must be submitted at the end of each budget period. Performance reports must be submitted at the end of the grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$112,549,000; FY 09 est \$112,549,000; FY 10 est \$162,549,000

**Range and Average of Financial Assistance:**

Average: \$3,589,425.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An estimated 32,652 children and 3,338 educators were served by this program in 2008. Fiscal Year 2009: An estimated 33,278 children and 3,402 educators will be served in 2009. Fiscal Year 2010: An estimated 37,713 children and 3,856 educators will be served in 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Marek, Department of Education, OESE Early Reading First Program 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: rebecca.marek@ed.gov Phone: (202) 260-0968.

**Website Address:**

<http://www.ed.gov/programs/earlyreading/index.html>.

**RELATED PROGRAMS:**

84.213 Even Start\_State Educational Agencies; 84.357 Reading First State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants are designed to help early childhood centers improve their programs by creating centers of excellence that provide young children with language and cognitive skills, and an early reading foundation. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the Federal Register notice. For further information, contact the program office.

**84.360 SCHOOL DROPOUT PREVENTION PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part H.

**OBJECTIVES:**

To support effective, sustainable and coordinated dropout prevention and reentry programs in high schools with annual dropout rates that exceed their state average annual dropout rate. Middle schools that have students who continue on to these high schools are also supported.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant recipients must implement proven strategies for reducing the number of students who drop out before completing secondary school and for assisting

youth to reenter school after they have dropped out. These strategies may include: (1) identify students at risk of dropping out; (2) providing at-risk students with services designed to prevent them from dropping out; (3) identifying and encouraging youth who already have dropped out to reenter school; and (4) implementing other comprehensive approach. Specifically authorized activities may include: professional development; reduction in pupil-teacher ratios; counseling and mentoring for at-risk students; and implementing comprehensive school reform models.

**Applicant Eligibility:**

State educational agencies (SEAs) and local educational agencies (LEAs) serving communities with dropout rates above the State's average annual dropout rate are eligible to apply for funding.

**Beneficiary Eligibility:**

School administrators, teachers, students, and parents are beneficiaries.

**Credentials/Documentation:**

Information to support annual dropout rate calculations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to the selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiations and awarding of grants is done by the Department's Grants and Contracts Service, in cooperation with the program staff. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 8-12 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation funding is dependent upon future program appropriations, and demonstrated substantial progress toward meeting their goals and objectives.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than three years. Continuation



awards are dependent on the availability of funding. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit performance reports annually. The program office will establish a due date. Final performance reports must be submitted within 90 days after the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$50,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No new grants were made with fiscal year 2008 funds. Fiscal Year 2009: No new grants were made with fiscal year 2009 funds. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theda Zawaiza, Department of Education, OESE, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: [theda.zawaiza@ed.gov](mailto:theda.zawaiza@ed.gov) Phone: (202) 205-3783.

**Website Address:**

<http://www.ed.gov/programs/dropout/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No projects were funded in fiscal year 2008. Fiscal Year 2009: No projects were funded in fiscal year 2009. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the program office for more information.

**84.361 VOLUNTARY PUBLIC SCHOOL CHOICE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title V, Part B, Subpart 3.

**OBJECTIVES:**

To support efforts to establish or expand intra-district, inter-district, and open enrollment public school choice programs to provide parents, particularly parents whose children attend low-performing public schools, with expanded education options and with greater choice for their children's education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

An eligible entity that receives a grant under this subpart may use the grant funds for: (1) planning or designing a program (for not more than 1 year); (2) the cost of making tuition transfer payments to public elementary schools or secondary schools to which students transfer under the program; (3) the cost of capacity-enhancing activities that enable high-demand public elementary schools or secondary schools to accommodate transfer requests under the program; (4) the cost of carrying out public education campaigns to inform students and parents about the program; and (5) other costs reasonably necessary to implement the program. An eligible entity that receives a grant under this subpart may not use the grant funds for school construction. The eligible entity may use not more than 5 percent of the funds made available through the grant for any fiscal year for administrative expenses.

**Applicant Eligibility:**

State educational agencies (SEAs); local educational agencies (LEAs); or a partnership of either 1(a) one or more SEAs; (b) one or more LEAs or other public, for-profit, or nonprofit entities; and 2(a) one or more LEAs and (b) one or more public, for-profit, or nonprofit entities may apply.

**Beneficiary Eligibility:**

Public school students.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards, negotiates final budgets, and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards may be made for up to 5 years. Continuation awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 190 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$25,819,000; FY 09 est \$25,819,000; FY 10 est \$25,819,000

**Range and Average of Financial Assistance:**

Range of awards: \$720,000-\$2,640,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fourteen awards were made in fiscal year 2007. The next grant competition will be held in fiscal year 2012, subject to the availability of funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Iris Lane Department of Education, Office of Innovation and Improvement Parental Options and Information 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: iris.lane@ed.gov Phone: (202) 260-1999

**Website Address:**

<http://www.ed.gov/programs/choice/index.html>

**RELATED PROGRAMS:**

84.282 Charter Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grant funds support: planning and implementation costs associated with new programs; tuition transfer payments to public schools that students choose to attend; and efforts to strengthen the capacity and quality of schools to meet the demand for choice and provide equitable access to such programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications.

**84.362 NATIVE HAWAIIAN EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title VII, Part B.

**OBJECTIVES:**

To develop innovative educational programs to assist Native Hawaiians and to supplement and expand programs and authorities in the area of education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds may be used to carry a variety of authorized activities including, but not limited to: early education and care programs, family-based education centers, beginning reading and literacy programs, activities to address the needs of gifted and talented Native Hawaiian students, professional development for educators, and activities to enable Native Hawaiian students to enter and complete postsecondary education programs.

**Applicant Eligibility:**

Eligible applicants include: Native Hawaiian educational organizations and community-based organizations; public and private nonprofit organizations, agencies, and institutions with experience in developing or operating Native Hawaiian programs or programs of instruction in the Native Hawaiian language; or consortia of the organizations, agencies, and institutions described above.

**Beneficiary Eligibility:**

Native Hawaiian children and adults.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to three years, continuation awards are based on the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Department a report of its operations and activities. Each such annual report shall include: (1) executive summary; (2) project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$33,314,645; FY 09 est \$33,315,000; FY 10 est \$33,315,000

**Range and Average of Financial Assistance:**

Range of New Awards: \$250,000-\$950,000; Average New Award: \$425,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 23 new awards and 32 continuation awards were made in FY 2008. Fiscal Year 2009: Approximately 21 new awards and 32 continuation awards will be made. Fiscal Year 2010: Approximately 33 new awards and 44 continuation awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joanne Osborne Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Rm. 3W215,, Washington, District of Columbia 20202 Email: joanne.osborne@ed.gov Phone: (202) 260-1265

**Website Address:**

<http://www.ed.gov/programs/nathawaiian/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Early education programs; family-based education centers; beginning reading and literacy programs; activities to address the education and cultural needs of Native Hawaiian students; special education programs; professional development for Native Hawaiian educators; and activities to enable Native Hawaiian students to enter and complete postsecondary education programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.363 SCHOOL LEADERSHIP****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended., Executive Order Title

II, Part B, Subpart 5, Section 2151(b).

**OBJECTIVES:**

To provide support to eligible entities in the development of innovative programs that recruit, train, and mentor principals and assistant principals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantees under this program may use funds for the following purposes: (1) providing financial incentives to aspiring new principals; (2) providing stipends to principals who mentor new principals; (3) carrying out professional development programs in instructional leadership and management; and (4) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

**Applicant Eligibility:**

Eligible entities include: (1) high-need local educational agencies; (2) consortia of high-need local educational agencies; and (3) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

**Beneficiary Eligibility:**

Local education agencies, school administrators, teachers, students and their parents are beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, forms and deadlines published in the Federal Register.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Negotiation and awarding of grants will be completed by the Department of Education's Office of Innovation and Improvement staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for a 12-month period. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress and financial reports are required in accordance with the Education Department General Administrative Regulations. Final performance

reports must be submitted within 90 days following the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$14,473,650; FY 09 est \$19,220,000; FY 10 est \$29,220,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department made 22 new awards in FY 2008. Fiscal Year 2009: The Department expects to make approximately 4 new awards and 22 continuation awards. Fiscal Year 2010: The Department expects to make approximately 15 new awards and 26 continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beatriz Ceja, Department of Education, OII Teacher Quality Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: beatriz.ceja@ed.gov Phone: (202) 205-5009.

**Website Address:**

<http://www.ed.gov/programs/leadership/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Hawaii Department of Education, in partnership with the University of Hawaii, received a grant to review and revise screening criteria, core curricula, performance assessments, develop an early leadership training program for teacher leaders, and redesign a training program for entry-level school administrators that emphasis practical, technical knowledge, and skills. Fiscal Year 2009: Have not yet made 2009 awards. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.364 LITERACY THROUGH SCHOOL LIBRARIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Executive Order Title I, Part B, Subpart 4.

**OBJECTIVES:**

To provide students with increased access to up-to-date school library materials, a well-equipped, technologically advanced school library media center, and well-trained, professionally certified school library media specialists to improve literacy skills and achievement of students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A recipient local educational agency (LEA) receiving a grant may use program funds to: acquire school library media resources; acquire and use technology that can help to develop the information retrieval and critical thinking skills of students; facilitate Internet links and other resource-sharing networks; provide professional development and collaborative activities for school library media specialists; and provide students with access to school libraries during non-school hours. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) with a child poverty rate of at least 20 percent are eligible.

**Beneficiary Eligibility:**

School library media center specialists, teachers, students, parents and the community are beneficiaries.

**Credentials/Documentation:**

Information to document the need for and impact of school library improvement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the absolute priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80- 0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

Applications are reviewed and ranked by a panel of outside readers. The Department of Education notifies successful applicants of awards and negotiates the final award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally 60 to 120 days after the deadline for applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit a final performance reports within 90 days after the end of the grant award period documenting how the funds were used and the how school library media centers were improved. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$19,144,597; FY 09 est \$19,145,000; FY 10 est \$19,145,000

**Range and Average of Financial Assistance:**

Range of New Awards: \$30,000-\$500,000; Average New Award: \$231,849.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 60 awards were made. Fiscal Year 2009: Approximately 55-65 awards will be made. Fiscal Year 2010: Approximately 55-65 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Irene B. Harwarth, Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland, Ave. S.W., Washington, District of Columbia 20202 Email: irene.harwarth@ed.gov Phone: (202) 401-3751.

**Website Address:**

<http://www.ed.gov/programs/ls/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Enhancing Libraries in Rural South Dakota, administered by the Mid Central Educational Cooperative, serves ten rural schools in South Dakota. All ten schools are adding high-quality contemporary titles to their library collections for grades K-12. Three of the most rural schools purchased research and content-oriented software, and six of the schools are using the

funds to develop the literacy skills in children grades K-3. Seven of the schools are requesting to use up to one-third of the grant for expanding library hours to be open before and after school and on Saturdays. Consistent with the competitive priority, all grant activities have been tied to district school improvement plans. The Chicago Public School District's "Improving Literacy through School Libraries: The ABC's of Library Literacy Programming" demonstration project is seeking to improve student literacy in ten urban elementary schools. Serving 4,729 students, the program targets 1,099 first and second graders. The program's objectives are as follows: expanding intellectual access to the library by adding up-to-date library media resources including technologically advanced, networked resources, as well as expanding physical access to the library by increasing the amount of time students in lower grades can spend in the library. The program also focuses on providing professional development designed to assist librarians in learning how to more effectively enhance student reading achievement, and furthering collaboration among the librarians, Lead Literacy Teachers, and classroom teachers through the use of a successful collaboration model. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the program office for more information.

**84.365 ENGLISH LANGUAGE ACQUISITION GRANTS****FEDERAL AGENCY:**

Office of English Language Acquisition, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title III, Part A, Sections 3101-3129.

**OBJECTIVES:**

To ensure that limited English proficient children (LEP) and youth, including immigrant children and youth, attain English proficiency and meet the same challenging State academic content and student academic achievement standards as all children and youth are expected to meet; to provide assistance to Native American, Native Hawaiian, Native American Pacific Islander, and Alaska Native children with certain modifications relative to the unique status of native American language under Federal Law; to award competitive grants in order to provide professional development activities to improve classroom instruction for LEP children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Department makes awards to States using a formula based on their share of limited English proficient (LEP) children and immigrant children. States must use at least 95 percent of their allocations to award local educational agencies subgrants to assist limited English proficient students to learn English and meet challenging State academic content and student academic achievement standards and to provide immigrant students enhanced instructional opportunities. States may reserve up to 5 percent of their allocations for administrative costs and technical assistance to subgrantees. Subgrantees must provide high-quality professional development training for teachers and support personnel. Training must improve teacher instruction and assessment capabilities, and enhance their ability to understand and use curricula, assessment measures, and instructional strategies for LEP students. Training must also be based upon scientifically based research and be of sufficient intensity and duration to have a positive and lasting impact. Funds may also be used for identifying, acquiring, and upgrading curricula, instructional materials, educational software, and assessment procedures. Under the Native American and Alaska Native children in school program, the Department also makes grants to entities to carry out programs for Native American (including Alaska Native) children. National Professional Development projects are intended to improve instruction for students with limited English proficiency and assist education personnel working with such children to meet high professional standards. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

States and outlying areas with approved State plans are eligible to receive funds. For the project grant component, eligibility is limited to a tribally sanctioned educational authority, or an elementary or secondary school that is operated or funded by the Bureau of Indian Affairs or a nonprofit, Native Hawaiian or Native American Pacific Islander language organization.

**Beneficiary Eligibility:**

Children with limited English proficiency benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States apply for grants by submitting a plan to the Department that describes the process they will use in making sub-grants, holding sub-grantees accountable for making adequate yearly progress for LEP students, and establishing standards and objectives for raising the level of English proficiency in alignment with State academic content and student academic achievement standards. Outlying area applicants must decide if they will apply under the Consolidated Application Process for outlying areas through which they may combine various funds. An application must be developed in which the proposal addresses the purpose of the grant, priorities, goals and objectives, activities, evaluation, needs, and a budget indicating how the funds will be used. Eligible entities applying for funding under the Native American and Alaska Native Children in School Program submit a competitive discretionary grant that describes: the programs and activities that will be developed, implemented and administered; how the funds will be used to meet all the annual measurable achievement objectives; and other criteria included in the application notice and program statute. Institutions of higher education may apply for National Professional Development project awards in consortia with SEAs or LEAs.

**Award Procedure:**

The Department allocates funds to any State or outlying area with an approved plan. States must expend at least 95 percent of their Title III allotments to award subgrants to local educational agencies and other eligible entities to meet the educational needs of LEP and immigrant children and youth. The project grant applications for Native American institutions are approved for awards by the Director, Office of English Language Acquisition, Language Enhancement, and Academic Achievement based on evaluations and recommendations from outside experts and an administrative review of the applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

In programs administered by the Department, Section 432 of the General Education Provisions Act provides local educational agencies with a right of appeal in disagreements between State and local educational agencies, including disagreements over funding decisions. Where a local educational agency alleges that the denial of funding is "a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program," it may, within 30 days, request a hearing from the State educational agency. Once the hearing is held and the State educational agency issues its written ruling, the local educational agency may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance Funds under the State Formula Grant and the Outlying Area Grant programs are 1-year grants; the discretionary grants under the Native American program are for up to 5 years, subject to the availability of appropriations. National Professional Development projects are awarded for no more than 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Specific for formula grants: States prepare and submit reports every year on the programs and activities carried out by the SEA and the effectiveness of such programs and activities in improving the education of children who are limited English proficient. Local educational agencies that receive sub-grants from SEAs must provide States with an evaluation every second year. The evaluation must include: A description of the programs and activities conducted; a description of the progress made by children in learning English and meeting challenging State academic content and achievement standards; the number and percentage of children in the programs attaining English proficiency by the end of each year; and a description of the progress made by children in meeting State academic content and student achievement standards for each of the 2 years after such children are no longer receiving services. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-1300-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$649,869,000; FY 09 est \$673,900,000; FY 10 est \$673,900,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants are made to all State education agencies annually, including the District of Columbia, Puerto Rico, American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 76. For more information contact the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Supreet Anand Office of English Language Acquisition, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [supreet.anand@ed.gov](mailto:supreet.anand@ed.gov) Phone: (202) 401-9795.

**Website Address:**

<http://www.ed.gov/programs/sfgp/nrgcomp.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Schools use the funds to implement language instruction educational programs designed to help LEP students achieve these standards. Approaches and methodologies used must be based on scientifically based research. LEAs may develop and implement new language instruction programs and expand or enhance existing programs. LEAs also may implement schoolwide programs within individual schools or implement systemwide

programs to restructure, reform, or upgrade all programs, activities, or operations related to the education of their LEP students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.366 MATHEMATICS AND SCIENCE PARTNERSHIPS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part B.

**OBJECTIVES:**

To improve the academic achievement of students in mathematics and science by encouraging States, IHEs, LEAs, and elementary and secondary schools to participate in programs that: improve and upgrade the status and stature of mathematics and science teaching by encouraging IHEs to improve mathematics and science teacher education; focus on the education of mathematics and science teachers as a career-long process; bring mathematics and science teachers together with scientists, mathematicians, and engineers to improve their teaching skills; and develop more rigorous mathematics and science curricula that are aligned with state and local academic achievement standards that reflect expectations for postsecondary study in engineering, mathematics, and science.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program supports State and local efforts to improve students' academic achievement in mathematics and science by promoting strong teaching skills for elementary and secondary school teachers, including by integrating teaching methods based on scientifically based research and technology into the curriculum. Grantees may also use program funds to develop more rigorous mathematics and science curricula that are aligned with challenging State and local content standards; establish distance learning programs for mathematics and science teachers; and recruit individuals with mathematics, science, and engineering majors into the teaching profession through the use of signing and performance incentives, stipends, and scholarships. Professional development can include summer workshops, or institutes and programs that bring mathematics and science teachers into contact with working scientists, mathematicians, and engineers in order to expand teachers' subject-matter knowledge.

**Applicant Eligibility:**

The Department awards 3-year grants directly to partnerships on a competitive basis when the appropriation for the program is less than \$100 million. If the appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula based on the number of children aged 5 to 17 who are from families with incomes below the poverty line; States then award the funds competitively to partnerships. Eligible partnerships must include the State educational agency (if the Department is awarding the grants directly to partnerships); an engineering, mathematics, or science department of an institution of higher education (IHE); and a high-need local educational agency (LEA). In addition, partnerships may include another engineering, mathematics, science, or teacher training department of an IHE; additional LEAs, public charter schools, public or private elementary or secondary schools; a business; or a nonprofit or for-profit organization of demonstrated effectiveness in improving the quality of mathematics and science teachers.

**Beneficiary Eligibility:**

University staff, school administrators, teachers, students, parents and the community.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible partnerships submit an application directly to the Department when the program's appropriation is less than \$100 million. Partnerships submit an application to the State if the appropriation is \$100 million or greater.

**Award Procedure:**

The Department awards grants to States by formula. States then award grants to eligible partnerships.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than three years. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) of State-administered programs (34 CFR Part 76). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The State will correct deficiencies in program operations that are identified through audits, monitoring, or evaluation. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$300,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

Records must be maintained for three years. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$178,978,000; FY 09 est \$178,978,000; FY 10 est \$178,978,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants supported programs in all States. Fiscal Year 2009: Grants supported programs in all States. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other

information, contact the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pat O'Connell Johnson Academic Improvement and Teacher Quality Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: patricia.johnson@ed.gov Phone: (202) 260-7813

**Website Address:**

<http://www.ed.gov/programs/mathsci/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Vermont Mathematics Partnership is a partnership of the University of Vermont, numerous school districts, and the Vermont Mathematics Initiative--a state organization that supports improvements in mathematics learning. MSP funds support an 80-hour (6 graduate credit) course of content-rich professional development for elementary and middle school teachers taught by math professors over the summer. This professional development is followed up with mentoring and intensive support by highly trained practitioners who have received a masters degree in mathematics. These mentors assist the teachers transfer their knowledge into their classroom practice. In 2006-07 67 teachers were enrolled. Fiscal Year 2009: In 2009, the program is helping the Northern Wisconsin Rural Partnership for Mathematics Education to provide intensive professional development to 57 grade 3-9 teachers to bolster their mathematics content knowledge and to provide support for improving their classroom instruction. Mathematics faculty from the University of Wisconsin-Eau Claire provide intensive content-rich professional development in the summer. In addition, the faculty and project staff are in each teachers classroom for at least two days each school year. The project established an on-going, facilitated, electronic communication system, both synchronous and asynchronous, to encourage reflective dialogue among the rural, isolated teachers. Teachers are pre- and post-tested to determine their knowledge gains, in addition to the recovery classroom observations. The project is designed to reduce isolation of teachers by establishing networks of teachers from similar schools. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the Program Office for more information.

**84.367 IMPROVING TEACHER QUALITY STATE GRANTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part A.

**OBJECTIVES:**

To provide grants to State Educational Agencies (SEAs) on a formula basis to increase student academic achievement through strategies such as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom and highly qualified principals and assistant principals in schools and hold local educational agencies and schools accountable for improvements in student academic achievement.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

95 percent of awards to SEAs must be used to make subgrants to LEAs for the following purposes: to assist schools in effectively recruiting and retaining highly qualified teachers; to afford to LEAs the means of recruiting, hiring, and retaining teachers; to make available professional development activities that address subject matter knowledge; and other activities as set forth in Section 2123. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group

on (202) 708-7770.

25 percent of awards to States must be used for projects carried out by partnerships of institutions of higher education (IHEs) and high-need LEAs.

**Applicant Eligibility:**

States with approved ESEA Consolidated State Plans.

**Beneficiary Eligibility:**

Elementary and secondary schools, principals, students, parents, pupil services personnel and teachers will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An SEA is eligible for funding if it submits an application that includes Statewide activities based on scientifically based research and an explanation of why the activities will improve student academic achievement. The plan must: (1) assure compliance by LEAs; (2) assure that the activities are aligned with challenging State academic content, student academic achievement standards, State assessments, and State and local curricula; and (3) describe the use of the funds to improve the quality of the State's teachers and principals. The State Education Agency for Higher Education makes grants, on a competitive basis, to eligible partnerships to carry out as activities with the 25 percent of funding that is reserved for IHE-LEA partnerships.

**Award Procedure:**

The Department allocates funds to any State whose application the Secretary has "deemed approved" under conditions set forth in Section 2112 (c).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The procedure of an appeal is described in ESEA section: 2112 (c), (d), and (e). Contact the program office for more information.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title II, Part A.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) of State-administered programs (34 CFR part 76). Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA, Consolidated State Performance Report Section 9303 (b). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The State will correct deficiencies in program operations that are identified through audits, monitoring, or evaluation. In accordance with the Education



Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$300,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

The State will maintain such records, provide such information to the Secretary, and afford such access to the records as the Secretary may find necessary to carry out the Secretary's duties. In accordance with the General Education Provisions Act, and the Education Department General Administrative Regulations, States must maintain certain program records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$2,935,248,441; FY 09 est \$2,947,749,000; FY 10 est \$2,947,749,000

**Range and Average of Financial Assistance:**

2008: Range: \$13,987,000 - \$332,854,904; Average: \$55,603,201  
2009: Range: \$13,986,101 - \$327,274,089; Average: \$55,599,618  
2010: Range: \$14,048,601 - \$328,738,570; Average: \$55,840,003.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards are made to the State educational agency in every State, and the Department is currently conducting the second round of monitoring in every State. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Witt Office of Elementary and Secondary Education, Academic Improvement and Teacher Quality Programs, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: elizabeth.witt@ed.gov Phone: (202) 260-5585

**Website Address:**

<http://www.ed.gov/programs/teacherqual/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Philadelphia public schools received about \$21 million in Title II, Part A funds in FY 2006. They spent about \$12.5 million on salaries for 126 teachers paid for the purpose of class-size reduction and about \$7 million on various professional development projects to improve the skills of teachers and principals in the district; a portion of these professional development funds went to providing equitable services to teachers in private schools located in the LEA. The district spent the remaining program funds for administrative purposes and on indirect costs. Fiscal Year 2009: Haven't made FY 09 awards yet, so there are no new examples to report. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

After consultation with the governor, an SEA submits a consolidated application and is not required to submit separate applications. The Secretary shall require only descriptions, information, assurances (including assurances of compliance with applicable provisions regarding participation by private school children and teachers), and other materials that are necessary for the consideration of a consolidated State application. Contact the Program Office for additional information.

**84.369 GRANTS FOR STATE ASSESSMENTS AND RELATED ACTIVITIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended., Executive Order Title VI, Part A, Subpart I.

**OBJECTIVES:**

(1) To support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act, as amended (ESEA); (2) if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State educational agencies must use these funds to carry out the responsibilities described in Section 6111 of the ESEA. Funds may be used to support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act, as amended (ESEA); or if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**Applicant Eligibility:**

State educational agencies with either: (1) An approved consolidated application that includes application for funds under Section 6111 or (2) an approved Title I Part A application that includes application for funds under Section 6111.

**Beneficiary Eligibility:**

States and local educational agencies.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States applying for Title I, Part A, funds under the consolidated application procedure must initiate Section 6111 on their list of "ESEA Programs included in the consolidated application" and must respond adequately to the single question asking them to identify how they will use Section 6111 funds. States applying for Title I, Part A, funds under an individual program application procedure must initiate Section 6111 on their cover sheet for this application and must respond adequately to the single question asking them to identify how they will use Section 6111 funds.

**Award Procedure:**

The Department will allocate funds to any State whose State application submission demonstrates that funds will be used for covered activities and that costs associated with those activities are reasonable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

If the Department disapproves a State's application for funds authorized by Section 6111, the State has the right to a hearing in accordance with Section 76.202 of the Education Department General Administrative Regulations (EDGAR).

**Renewals:**

States with approved applications will automatically receive grant awards for any year for which there is an appropriation for the program.

**Formula and Matching Requirements:**

Statutory Formula: Title VI, Part A, Subpart 1.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards of funds are available for obligation for a maximum of 27 months. They become available to the Department on July 1, and are awarded to States on or about that date. They remain available for obligation under the initial period of availability for 15 months (until September 30, of the following fiscal year). Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. Funds for succeeding fiscal years, if appropriated, will follow a similar timeline. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

All grantees must maintain and complete records in accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$408,732,000; FY 09 est \$408,732,000; FY 10 est \$410,732,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 51 out of 52 State educational agencies had implemented reading/language arts and mathematics assessments that align with the State's academic content standards for all students in grades three through eight and in high school, and 5 had implemented science assessments that align with the State's academic content standards for all students in each grade span (grades 3 through 5, 6 through 8, and high school). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. 34 CFR Parts 200 and 300.

Nonregulatory guidance is available at <http://www.ed.gov/admins/lead/account/saa.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Zollie Stevenson Office of Elementary and Secondary Education, Student Achievement and School Accountability Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: [zollie.stevenson@ed.gov](mailto:zollie.stevenson@ed.gov) Phone: (202)260-1824

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects include development or subsequent implementation of standards-based state academic assessments in reading or language arts, mathematics, and science as required by the authorizing statute. Fiscal Year 2009: Same as 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.370 DC SCHOOL CHOICE INCENTIVE PROGRAM****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

DC School Choice Incentive Act of 2003, (Title III of Division C of the Consolidated Appropriations Act, 2004).

**OBJECTIVES:**

To provide low-income parents residing in the District of Columbia (District) with expanded options for the education of their children. This program is part of a broader school improvement effort in the District.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Department will award one grant on a competitive basis to continue operation of the scholarship program for current student participants. These scholarships of up to \$7,500 per student per school year will enable students who are enrolled currently in the program to attend a participating nonpublic District elementary and secondary school of their choice and may be used to pay tuition and fees and transportation.

**Applicant Eligibility:**

An educational entity of the District of Columbia Government; a nonprofit organization; or a consortium of nonprofit organizations.

**Beneficiary Eligibility:**

To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia. The Secretary gives priority to applications from eligible entities that will most effectively provide students and families with the widest range of educational options; to applications from eligible entities that will most effectively target resources to students and families who lack the financial resources to take advantage of available educational options; and to applications from eligible entities that will most effectively give priority to eligible students who, in the school year preceding the school year in which the student would use the scholarship, attend an elementary or secondary school identified for improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6316).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the regulations in 34 CFR Part 79. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit the following by the designated deadline: (1) The applicant must

provide a written narrative, which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications.

This Section must be limited to no more than 50 double-spaced pages. (2) Required forms to be submitted with the application include SF424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions. (3) Applicants for grants under this program are required to submit applications electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. Specific instructions for submitting applications electronically are included in the application notice.

**Award Procedure:**

Applications are reviewed by the Department for eligibility and completeness. Applications are reviewed and scored by a panel of experts. A funding slate is prepared and the highest ranked application is recommended for funding. Successful and unsuccessful applicants are notified of outcome. A grant awards is prepared and mailed to the successful grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 12 months. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 12 months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance are required for each budget period. Specific due dates are determined by the Department and forwarded to applicants accordingly. Final performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of three years.

**Account Identification:**

20-1817-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$14,800,000; FY 09 est \$14,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Average new awards: \$12,661,016.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: One continuation award was made in FY 2008. Fiscal Year 2009: A new competition is being held to award one grant to continue operation of the program for current student participants during the 2009-2010 school year. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Closing Date Notice will be published in the Federal Register. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Armstrong, Department of Education, Office of Innovation and Improvement, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: michelle.armstrong@ed.gov Phone: (202) 205-1729.

**Website Address:**

<http://www.ed.gov/programs/dcchoice/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Washington Scholarship Fund, the grantee under the program, has established the Opportunity Scholarship Programs (OSP) to provide eligible students with expanded school choice options. These scholarships of up to \$7,500 per student per school year enable students from low-income families to attend a participating nonpublic District elementary or secondary school of their choice. Fiscal Year 2009: A new grant will be awarded to provide continuation scholarships for current student participants during the 2009-2010 school years. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the closing date notice.

**84.371 STRIVING READERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part E, Section 1502.

**OBJECTIVES:**

To raise student achievement by improving the reading skills of middle and high school students who are reading below grade level. Striving Readers supports the implementation and evaluation of research-based reading interventions for struggling middle and high school readers in Title I-eligible schools at risk of not meeting or not meeting annual yearly progress requirements under the ESEA and/or that have significant percentages or numbers of students reading below grade level.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Striving Reader programs include supplemental literacy intervention strategies targeted to students who are reading significantly below grade level; cross-disciplinary strategies for improving student literacy that may include professional development for subject matter teachers and use of research-based reading strategies in classrooms across subject areas; and a strong experimental evaluation component. Grant recipients, must, for example, use funds for reasonable costs needed to implement a supplemental literacy intervention, which may include additional staff time for extra periods of instruction, age-appropriate reading materials for struggling adolescent readers, assessment instruments, professional development opportunities for staff focused on literacy, and evaluation. Funds must be used in Title I-eligible public schools serving grades 6-12 with significant numbers of students reading

below grade level.

**Applicant Eligibility:**

The following are eligible to apply for a Striving Readers grant: (1) One or more local educational agencies (LEAs) that receive Title I funds and have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I annual yearly progress requirements; (2) Intermediate service agencies on behalf of one or more local educational agencies that receive Title I funds and have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I annual yearly progress requirements; or (3) Partnerships that may include public or private institutions of higher education, eligible nonprofit or for-profit organizations (or consortia of such institutions or organizations), and LEAs that have one or more high schools or middle schools with significant numbers of students reading below grade level and are at risk of not meeting or are not meeting Title I adequate yearly progress requirements.

**Beneficiary Eligibility:**

Adolescent students (in grades 6-12) who are reading below grade level. LEAs that have one or more high schools or middle schools with significant numbers of students reading below grade level or that are at risk of not meeting or are not meeting Title I adequate yearly progress requirements.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Those applicants that are invited to submit a full application must prepare and submit one in accordance with the notice that will be published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application. Required assurances and certifications include: Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Contact the Office of Elementary and Secondary Education at [StrivingReaders@ed.gov](mailto:StrivingReaders@ed.gov) for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of appropriations and satisfactory progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are funded for a period of up to five years. Renewals are subject to the availability of appropriations and satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports must be submitted during each budget period in order to receive continuation awards. Final performance reports and a final evaluation report must be submitted after the end of the grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is included in the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80. State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$35,371,080; FY 09 est \$35,371,000; FY 10 est \$370,371,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program served 73,556 secondary school students. Fiscal Year 2009: The program will serve an estimated 84,871 students. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marcia J. Kingman Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Room 3C118, Washington, District of Columbia 20202 Email: [marcia.kingman@ed.gov](mailto:marcia.kingman@ed.gov) Phone: (202) 401-0003

**Website Address:**

<http://www.ed.gov/programs/strivingreaders/index.html>.

**RELATED PROGRAMS:**

84.357 Reading First State Grants; 84.359 Early Reading First

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The program provides funds mainly to local school districts to implement and evaluate reading intervention programs for secondary school students who currently read below grade level. Fiscal Year 2009: Same as FY 2008. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the federal register notice. For additional information e-mail [StrivingReaders@ed.gov](mailto:StrivingReaders@ed.gov).

**84.372 STATEWIDE DATA SYSTEMS****FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Educational Technical Assistance Act of 2002, Title II, Section 208, Public Law 107-79.

**OBJECTIVES:**

These grants are intended to enable State educational agencies to design, develop, and implement statewide, longitudinal data systems to efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with the Elementary and Secondary Education Act of 1965 and to facilitate analyses and research to improve student academic achievement and close achievement gaps.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, travel, equipment, and supplies as required to carry out the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the development of data systems. Grant funds shall be used to supplement and not supplant other State or local funds used for developing State data systems.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit and for-profit organizations, and individuals involved with education will benefit.

**Credentials/Documentation:**

Applicants for these data systems projects must present a plan and furnish evidence that the scientific competence, facilities, equipment, and supplies are appropriate to carry out the project. Applicants must ensure technical quality; provide for the generation of accurate data, and provide for the timely use of such data needed by State and local educational agencies both to comply with the Elementary and Secondary Education Act of 1965 and to facilitate research to improve student academic achievement and close achievement gaps; and, meet voluntary standards and guidelines for linking individual student data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must include: ED Form 424, "Application for Federal Assistance" and ED 524, "Budget Information Non-Construction Programs." Specific application and submission procedures, as well as additional information about the specific contents, page limits, and page formatting of applications, are provided in the individual Request for Applications found under "Funding Opportunities" at the Institute of Education Sciences web site:

<http://www.ed.gov/programs/edresearch/applicant.html>.

**Award Procedure:**

All accepted applications competing for grants are reviewed for technical merit by panels of peer reviewers. Official notice of an approved application is made through issuance of a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately four to six months following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients of multi-year grants must submit an annual performance report for each year funding has been approved. A review of the annual performance report is used to determine whether substantial progress has been made toward meeting the project objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for one to three years. All grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75. Generally, financial reports and program reports must be submitted as required by grant terms and conditions. Cash reports are not applicable. Progress reports are required. Annual performance reports are required as part of the submittal of form ED 524B. Expenditure reports are required. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor part drawdowns using agency financial reports. Performance monitoring is required. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All expenditures by state governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every two years. The Secretary of Education, the Director of the Institute, and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for three years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, three years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$42,890,000; FY 09 est \$60,000,000; FY 10 est \$60,000,000

**Range and Average of Financial Assistance:**

Estimated range of grants awarded in 2009: \$3,000,000 to \$9,000,000 for the entire grant period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 80, 81, 82, 84, 85, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230. For more information, see specific Request for Applications available on Institute website <http://www.ed.gov/programs/edresearch/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tate Gould Department of Education, IES, National Center for Education Statistics, 1990 K Street NW, Room 9023, Washington, District of Columbia 20006 Email: [tate.gould@ed.gov](mailto:tate.gould@ed.gov) Phone: (202)219-7080

**Website Address:**

<http://www.ed.gov/programs/slds/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.373 SPECIAL EDUCATION TECHNICAL ASSISTANCE ON STATE DATA COLLECTION**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Improvement Act, as amended, Executive Order Part B, Sections 611(c) and 616(i), 20 U.S.C 1411.

**OBJECTIVES:**

To provide technical assistance, where needed, to improve the capacity of States to meet the data collection requirements of the IDEA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Public and private agencies and organizations, including for profit and non-profit agencies and organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as a single point of contact in his or her State to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$15,000,000; FY 09 est \$15,000,000; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: About 25 new and continuation awards are expected to be made from 2008 funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 3045; 34 CFR Parts 74, 75, 76, 77, 79, 80, 81, 82, 85, and 86. (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Larry Wexler, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: larry.wexler@ed.gov Phone: (202) 245-7571.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects to help States develop modified achievement standards for children with disabilities and projects to help States develop alternate assessments for children with disabilities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.374 TEACHER INCENTIVE FUND**

( TIF)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title V, Part D, Subpart 1, as amended by Department of Education Appropriations Acts for Fiscal Years 2006-2009.

**OBJECTIVES:**

To support programs that develop and implement performance-based teacher and principal compensation systems in high-need schools that include gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors. The compensation systems may also provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use the funds to develop and implement performance based compensation systems, including incentives to take on individual responsibilities and leadership roles.

**Applicant Eligibility:**

Eligible applicants are local educational agencies (LEAs), including charter schools that are LEAs in their State, State educational agencies (SEAs), or partnerships of (1) an LEA, an SEA, or both, and (2) at least one non-profit organization. The fiscal agent must be the SEA or LEA.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit organizations, and students, teachers and/or principals benefit from the program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must prepare and submit applications in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority (if applicable) included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non- Construction programs (SF 422B); Certification regarding Lobbying, Disbarment; Suspension and other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-00013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF 424); the required Budget Form (ED Form 524); an itemized budget and other budget information; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit (1) original and (2) copies of the application.

**Award Procedure:**

If an applicant is successful, the Department of Education notifies the applicant's U.S. Representative and U.S. Senators and will send the successful applicant a Grant Award Notification (GAN). The Department of Education may also notify the successful applicant informally.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Each applicant must demonstrate a significant investment in, and ensure the sustainability of, its project by committing to pay for an increasing share of the project, for each year of the grant, with State, local, or other non- Federal funds. The applicant will annually increase its share of the project. In the final year of the grant, the grantee must ensure that at least 75 percent of the compensation costs are not paid by the grant. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted during each yearly budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80 and OMB Circular A-133, Nonfederal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

**Records:**

In accordance with the General Education Provisions Act and The Education Department General Administrative Regulations (EDGAR), certain records

must be retained for three years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$97,270,470; FY 09 est \$97,270,000; FY 10 est \$517,270,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department oversees 34 grants awarded in 2006, provides technical assistance to grantees, and has begun an evaluation of the program. Fiscal Year 2009: The Department expects to make approximately 34 continuation awards. Fiscal Year 2010: The Department expects to make approximately 94 continuation awards and 100 new awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 81, 82, 84, 85, 97, 98, and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

April Lee, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: april.lee@ed.gov Phone: (202) 401-2266.

**Website Address:**

<http://www.ed.gov/programs/teacherincentive>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Among the grants awarded were the following: \$34 million over 5 years to the South Carolina Department of Education, which has been working with the Teacher Advancement Program (TAP) to implement a performance-based compensation system to address problems with recruitment and retention in 23 high-need schools in 6 districts. The project has the potential to affect more than 60,000 children and 5,000 teachers and principals. Strategies include higher and varied teacher bonuses, the introduction of principal and assistant principal bonuses, raising the value-added percentage in performance pay from 50 percent to 60 percent, and using tests to give K-3 teachers an individual value-added score. \$6.8 million to the Eagle County (CO) School District, which, in the 5 years before receiving the grant, had already invested over \$4.5 million (not including performance awards) to implement a performance-based compensation system for teachers and principals. The TIF grant is allowing the district to expand the program and improve the quality of Master and Mentor teachers through increased salary augmentations and training. The project affects 13 high-need schools. \$1.1 million over 5 years to the Edward W. Brooke Charter School, a charter school for students in kindergarten through grade 8 in Boston, Massachusetts. The school is using its grant to offer teachers and principals annual bonuses tied to student performance during the previous academic school year. The compensation plan also offers differentiated base salaries for teachers who have proven expertise in high-need subject areas, such as mathematics and science. In addition, the school also will use TIF funds as a retention tool by awarding incentives only to teachers who commit to returning to the school the following year. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the Federal Register notice. Contact the program office for more information.

**84.375 ACADEMIC COMPETITIVENESS GRANTS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 1, Section 401A.

**OBJECTIVES:**

To provide eligible first and second-year full-time undergraduates who have completed a rigorous course of study in high school with need-based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in, and is making satisfactory progress at an eligible institution of higher education.

Eligible schools may be public or private non-profit institutions of higher education (such as colleges, universities, vocational technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance. Recipients must demonstrate need according to Part F of the Higher Education Act of 1965, as amended, and must be eligible for a Federal Pell Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Applicants must be U.S. citizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program of study offered.

**Beneficiary Eligibility:**

First- and second- year undergraduate students who are U.S. citizens and are eligible to receive a Federal Pell Grant. Students must be full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. A first-year undergraduate must also be a first-time undergraduate, enrolled or accepted for enrollment in a 2- or 4-year degree-granting institution, and have completed, after January 1, 2006, a rigorous secondary school program. A second-year undergraduate at such an institution must have completed such a rigorous program after January 1, 2005, and have obtained a cumulative grade-point-average (GPA) of at least 3.0 in the first academic year as an undergraduate. In addition, students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1950, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Academic Competitiveness Grants, using a payment schedule developed by the Department of Education that determines the amount of the award based on the amount of available funding and the estimated number of recipients.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application that contains preprinted student data and requires students only to update certain information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one Academic Competitiveness Grant during any award year (July 1 through June 30). Funds for these grants are usually disbursed at least twice during an award year. Students may only receive an Academic Competitiveness Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Secretary requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each Academic Competitiveness Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$372,000,000; FY 09 est \$554,000,000; FY 10 est \$608,000,000

**Range and Average of Financial Assistance:**

Grants are up to \$750 for first-year students and up to \$1,300 for second-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education. FY 08 the estimated average grant is \$762.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department of Education estimates that awards will support 458,000 students. Fiscal Year 2009: Estimated 783,000. Fiscal Year 2010: Estimated 865,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Student Aid Information Center, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.376 NATIONAL SCIENCE AND MATHEMATICS ACCESS TO RETAIN TALENT (SMART) GRANTS**

(SMART Grants)

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Executive Order Title IV, Part A, Subpart 1, Section 401A.

**OBJECTIVES:**

To provide eligible third- and fourth-year full-time undergraduates who major in certain designated technical fields or foreign languages with need-based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in, and is making satisfactory progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education (such as colleges, universities, vocational technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance. Recipients must demonstrate need according to Part F of the Higher Education Act of 1965, as amended, and must be eligible for a Federal Pell Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Applicants must be U.S. citizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program of study offered.

**Beneficiary Eligibility:**

Third- and fourth-year undergraduate students who are U.S. citizens and are eligible to receive a Federal Pell Grant. Students must be full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Students are required to pursue a major in physical, life, or computer sciences, mathematics, technology, engineering or a critical foreign language, and obtain a cumulative GPA of at least 3.0 in the coursework required for the major being pursued. In addition, students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the SMART Grants, using a payment schedule developed by the Department of Education that determines the amount of the award based on the amount of available funding and the estimated number of recipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application that contains preprinted student data and requires students only to update certain information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one SMART Grant during any award year (July 1 through June 30). Funds for these grants are usually disbursed at least twice during an award year. Students may only receive a SMART Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Department requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each SMART Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$221,000,000; FY 09 est \$331,000,000; FY 10 est \$337,000,000

**Range and Average of Financial Assistance:**

Grants are up to \$4,000 for third- and fourth-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education. For FY 08 the estimated average grant is \$2,833.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Department of Education estimates that awards will support 78,000 students. Fiscal Year 2009: Estimated \$127,000. Fiscal Year 2010: Estimated \$131,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the program office for more information.

**Regional or Local Office:**

None. Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.375 Academic Competitiveness Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.377 SCHOOL IMPROVEMENT GRANTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Executive Order Section 1003(g), Title I, Public Law 107-110, 115 Stat. 1442, 20 U.S.C 6303(g).

**OBJECTIVES:**

To strengthen the capacity of States to carry out their program improvement responsibilities required under Sections 1116 and 1117 of Title I of the ESEA by (1) building State capacity to provide leadership in implementing effective school improvement strategies for local educational agencies (LEAs) and schools that have been identified for improvement, are in corrective action, and are in the restructuring process and (2) providing resources to LEAs to support school improvement activities, including the development and implementation of effective restructuring plans.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

A State educational agency (SEA) must allocate at least 95 percent of the amount of the funds it receives directly to LEAs for schools that have been identified for improvement, corrective action, or restructuring to carry out

activities under Section 1116(b). An SEA may retain up to 5 percent of the grant amount received for administration, evaluation, and technical assistance expenses. At the LEA level, these funds may be used for any reasonable costs associated with carrying out school improvement, corrective action, or restructuring activities described in Section 1116(b).

**Applicant Eligibility:**

SEAs with approved State plan amendments are eligible to receive funds.

**Beneficiary Eligibility:**

To be eligible to receive Title I School Improvement funds, an LEA must have one or more schools identified for school improvement, corrective action, or restructuring under Section 1116(b) of Title I.

**Credentials/Documentation:**

OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Pursuant to Section 76.140 of the Education Department General Administrative Regulations, the U.S. Department of Education (ED) is requiring States to amend their State plans in order to receive Title I accountability funds. The amendment may be brief (less than 10 pages) and must describe: (1) the criteria the State will use to determine which LEAs, among those eligible, will receive funds; (2) the criteria the State will use to determine how much each LEA will receive; and (3) the criteria the State will use to ensure that the funds awarded to LEAs will be used to address one or more short-term outcome measures to improve student academic achievement.

**Award Procedure:**

The Department will allocate funds to any State whose submission meets the Department's application requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

In programs administered by ED, Section 432 of the General Education Provisions Act provides LEAs with a right of appeal when there are disagreements between State and local educational agencies, including disagreements over funding decisions. Where an LEA alleges that the denial of funding is a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, it may, within 30 days, request a hearing from the SEA. Once the hearing is held and the SEA issues its written ruling, the LEA may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Under ESEA, ED allocates section 1003(g) School Improvement funds to States through a formula that is based on each State's proportionate share of funds received under ESEA Title I, Part A (Grants to LEAs), Part C (Migrant Education program), and Part D, Subpart 1 (State Agency Neglected and Delinquent program).

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Title I School Improvement funds are available for obligation by local educational agencies for a maximum of 27 months after funds become available on July 1. Funds become available to the Department on July 1, and will be allocated to States on or after that date. They remain available for obligation by LEA under the initial period of availability for 15 months. Under section 421(b) of the General Education Provisions Act, any funds that remain

unobligated may be carried over for obligation for an additional 12 months. See the following for information on how assistance is awarded/released:

Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with EDGAR in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$491,265,000; FY 09 est \$545,633,000; FY 10 est \$1,545,633,000

**Range and Average of Financial Assistance:**

Fiscal Year 2008: Range: \$1,110,155 - \$61,808,215. Average: \$9,358,891.

Fiscal Year 2009 (est): Range: \$1,323,400 - \$62,985,358. Average: \$10,391,906.

Fiscal Year 2010 (est): Range: \$3,771,972 - \$178,949,620. Average: \$28,875,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: to be provided. Fiscal Year 2009: No Current Data Available

Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED is in the process of issuing guidance and instructions for States to use in applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlas McCauley, 400 Maryland Avenue, SW, 3C116, Washington, District of Columbia 20202 Email: carlas.mccauley@ed.gov Phone: (202) 260-0829.

**Website Address:**

<http://www.ed.gov/oese> .

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.388 School Improvement Grants, Recovery Act; 84.389 Title I Grants to Local Educational Agencies, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.378 COLLEGE ACCESS CHALLENGE GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title VII, Part E, 20 U.S.C 1141.

**OBJECTIVES:**

To foster partnerships among federal, State and local government entities and philanthropic organizations through matching challenge grants aimed at increasing the number of underrepresented students who enter and remain in postsecondary education.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States or philanthropic organizations (if a State does not meet program requirements) use funds to implement services and activities needed to achieve the goals and objectives of the program. The services and activities authorized in the statute include: providing information to students and families on postsecondary education planning, benefits, opportunities, financing options and career preparation; assisting students in completing FAFSA; engaging outreach activities; offering professional development for middle and secondary guidance counselors and college SFA and admissions administrators; providing need based grant aid; repaying student loans or lower interest rates; and offering tutoring/mentoring services, and other support services. A grantee may use not more than 6 percent of the total amount of the sum of the federal share provided and nonfederal share required for administrative purposes.

**Applicant Eligibility:**

An eligible applicant is the State agency with jurisdiction over higher education, or another agency designated by the Governor of the State. The Secretary may award funds to philanthropic organizations in cases where the State fails to meet program requirements.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented students and families.

**Credentials/Documentation:**

States or philanthropic organizations (if a State does not meet program requirements) must submit an application containing a description of the capacity to administer grant activities and services, a plan for using grant funds to meet the requirements and special efforts to benefit underrepresented students, and how the nonfederal share will be provided, and the structure the state has in place to administer the activities and services. The governor of a state must designate in writing which State agency is authorized to administer the grant. A letter from the governor (on letterhead, signed and dated) must be included in the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult with the office or official designated as the single point of contact in his/her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State must submit an application covering a 2-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. An allotment is awarded to States or philanthropic organizations if the Assistant Secretary determines the application meets necessary requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated range of time need to approve/disapprove an application is usually three months after the deadline for submission.

**Appeals:**

Not Applicable.

**Renewals:**

State applications are amended as needed. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds are awarded on a formula basis to States (or philanthropic organizations if a State does not meet program requirements). Allotments are based on the relative number of persons between the ages of 5 and 17 and 15 and 44 living below the poverty line with no State receiving less than a half of one percent of the funds appropriated for a fiscal year. Poverty status data for participating States will be obtained from the Census Bureau. The minimum allotment for each State for a fiscal year cannot be an amount that is less than 0.5 percent of the total amount appropriated for the program. The statute requires a nonfederal matching contribution of not less than 1/3 of the costs of the project activities and services. This may be provided through in-kind and/or cash contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to two years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

States or philanthropic organizations (if a State does not meet program requirements) administering the grant must submit an annual performance report. The report must include: each activity or service that was provided to students and families over the course of the year; the cost of providing each activity or service; and the total contributions from private organizations included as nonfederal share for the fiscal year. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Formula Grants) FY 08 \$66,000,000; FY 09 est \$66,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 56 grants were awarded. Fiscal Year 2009: 57 grants are expected to be awarded. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grant program is governed by the statute and EDGAR (34 CFR 76, 77, 79, 80, 81, 82 and 85).

**Regional or Local Office:**

None.

**Headquarters Office:**

Karmon Simms-Coates, Department of Education, Office of Postsecondary Education, College Access Challenge Grant Program, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (202) 502-7807.

**Website Address:**

<http://www.ed.gov/programs/cacg/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

State will receive funding based on the submission of an approvable application. The application must present a viable plan to achieve goals and objectives and also comply with statutory and regulatory requirements.

**84.379 TEACHER EDUCATION ASSISTANCE FOR COLLEGE AND HIGHER EDUCATION GRANTS (TEACH GRANTS)**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 9, Title VI, Part A.

**OBJECTIVES:**

To provide annual grants of up to \$4,000 to eligible undergraduate and graduate students who agree to teach specified high-need subjects at schools serving primarily disadvantaged populations for four years within eight years of graduation. For students who do not fulfill their service requirements, grants convert to Direct Unsubsidized Stafford Loans with interest accrued from the date of award.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Applicant Eligibility:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Beneficiary Eligibility:**

This program was created by the College Cost Reduction and Access Act of 2007, Public Law 110-84; it will begin operation on July 1, 2008. Students must have a grade-point-average (GPA) comparable to a 3.25 on a scale of zero to 4.0, except that, if the student is in the first year of undergraduate education, the grade point average is determined based on the student's cumulative secondary school grade point average. A student applying for a grant to obtain a graduate degree must be a teacher or a retiree from another occupation with expertise in a field in which there is a shortage of teachers; grants for graduate education may also be obtained by a student who is or was a teacher who is pursuing high-quality alternative certification. In addition, students must sign an agreement to serve under which they agree to serve as a full-time teacher for not less than four years within eight years of completing the course of study for which they received a TEACH Grant. Service must be performed at a school serving a primarily disadvantaged population and must be in one of the following fields: mathematics, science, a foreign language, bilingual education, special education, as a reading specialist, or in another field documented as high-need. Students must also agree to provide evidence of qualifying

employment upon completion of each year of service. Failure to complete these service requirements results in the student's TEACH Grants being treated as Federal Direct Unsubsidized Stafford Loans, with interest accrued from the date of award. Students must also sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students must complete a FAFSA, complete an agreement to serve and submit it to the Department of Education.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends disburses the TEACH Grants based on the enrollment status of the student.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

To be determined in regulation.

**Renewals:**

Students who have applied in the previous award year must continue to meet all eligibility requirements and reaffirm their intention to fulfill the service requirements before obtaining subsequent grants.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one TEACH Grant during an academic year. Funds for these grants will likely be disbursed at least twice during an academic year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports, periodically, on the disbursement of funds, as well as furnish any other reports the Secretary requires. Students must affirm each year that they intend to fulfill their service requirements and submit a certification for each year of required service. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each TEACH Grant recipient and all fiscal management records must be maintained by the institution for a period of three years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0206-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$12,942,226; FY 09 est \$41,550,652; FY 10 est \$66,551,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funding supports awards to 8,000 students. Fiscal Year 2009: Funding will support awards to 17,000 students. Fiscal Year 2010: Funding will support awards to 25,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.375 Academic Competitiveness Grants; 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.380 SPECIAL EDUCATION -- OLYMPIC EDUCATION PROGRAMS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Special Olympic Sports and Empowerment Act, Section 3(a), 42 U.S.C 15001.

**OBJECTIVES:**

This program promotes the expansion of Special Olympics and the design and implementation of Special Olympics education programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Special Olympics is the only eligible recipients of funds.

**Beneficiary Eligibility:**

Individuals with intellectual disabilities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Special Olympics shall submit an application at such time, in such manner, and containing such information as the Department may require.

**Award Procedure:**

Applications will be reviewed by the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award depending on the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years subject to availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports must be submitted on an annual basis. Final reports must be submitted at the end of the award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in the grant or contract terms and conditions.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$11,790,000; FY 09 est \$8,095,000; FY 10 est \$8,095,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ingrid Oxaal, Department of Education, OSERS, Office of Special Education Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: [ingrid.oxaal@ed.gov](mailto:ingrid.oxaal@ed.gov) Phone: (202) 245-7471.

**Website Address:**

[www.ed.gov/about/overview/budget/budget08/08action.pdf](http://www.ed.gov/about/overview/budget/budget08/08action.pdf).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.381 BACCALAUREATE DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES AND MASTER'S DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Act, 2007, Executive Order Sections 6113 and 6114.

**OBJECTIVES:**

To award grants to develop and implement programs that provide courses of study in science, technology, engineering, mathematics or critical foreign languages that are integrated with teacher education and lead to a baccalaureate or master's degree with concurrent teacher certification in one of the specified fields.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To plan, develop, and carry out allowable activities that will increase the number of teachers receiving baccalaureate or master's degrees and being certified in the areas of science, technology, engineering, mathematics and critical foreign languages.

**Applicant Eligibility:**

An institution of higher education that receives a grant on behalf of a department of science, technology, engineering, mathematics, or a critical foreign language, or on behalf of a department or school with a competency-based degree program (in science, technology, engineering, mathematics, or a critical foreign language) that includes teacher certification.

**Beneficiary Eligibility:**

An institution of higher education that receives a grant on behalf of a department of science, technology, engineering, mathematics, or a critical foreign language, or on behalf of a department or school with a competency-based degree program (in science, technology, engineering, mathematics, or a critical foreign language) that includes teacher certification.

**Credentials/Documentation:**

Potential grantees must electronically submit an application responding to the selection criteria for the program adhering to specific formatting requirements. Applicants must describe in detail how the grant will be administered as well as how the grant activities will produce highly qualified teachers in the specified content areas. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each institution must submit an application covering up to five years of program implementation.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. Awards will be made in rank order to those institutions scored highest by a panel of reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 60 days of the competition.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50.%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made for up to 5 years subject to the availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Grantees are required to submit an annual performance report on or about May 15 of each fiscal year so that the Department may determine whether substantial progress was made and a continuation award is warranted. A final report is required upon termination of funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$978,000; FY 09 est \$1,092,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: These are new programs; data on program accomplishments are not yet available. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Title VI of the America COMPETES Act governs the administration of the discretionary grant program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathy Price, Department of Education, Office of Postsecondary Education, Teacher Quality Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: kathy.price@ed.gov Phone: (202) 502-7878.

**Website Address:**

www.ed.gov/programs/tct .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.382 STRENGTHENING MINORITY-SERVING INSTITUTIONS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title III, Part F, Section 371; Executive Order Title III, Part A, Section 320.

**OBJECTIVES:**

To strengthen Predominantly Black Institutions (PBI); Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI); and Native American-Serving Non-tribal Institutions (NASNTI) that propose to carry out activities to improve and expand such institution's capacity to serve minority students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 371: Applicants under the PBI program (Section 371) may use funds to carry out programs in science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males. Applicants under the AANAPISI (Section 371) and NASNTI (Section 371) programs may use funds to assist such institutions with planning, developing, undertaking and carrying out activities to improve and expand the institution's capacity to serve Asian American and Native American Pacific Islanders and Native Americans. More specifically, AANAPISI grantees may use funds to carry out activities described in section 311(c). NASNTI grantees may use funds for the purchase, rental, or lease of scientific laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials, funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; and academic tutoring and counseling programs and student support services. Uses of funds under each program are restricted to the allowable activities described in Section 371 of the HEA. Section 320: Applicants under the AANAPISI program (Section 320) may use funds to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. More specifically, grantees may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services. Uses of funds are restricted to the allowable activities described in Section 320 of the HEA.

**Applicant Eligibility:**

At the time of application, PBIs must have an enrollment of undergraduate students that is at least 40 percent Black American students. AANAPISI and

NASNTI applicants must have, at the time of application, an enrollment of undergraduate students not less than 10 percent Asian American and Native American Pacific Islanders and Native Americans, respectively.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented; low-income; first-generation; minority; undergraduate students.

**Credentials/Documentation:**

Institutions of Higher Education must submit an application responding to the established selection criteria. Applicants must describe in detail, the need for the project and how the proposed activities will address the goals and objectives of the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the requirements of the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must submit an application covering a period not to exceed 24-months to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. A discretionary grant is awarded to institutions of higher education if they score within funding range and contingent upon funds being available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 30 days of the end of the competition.

**Appeals:**

Not Applicable.

**Renewals:**

Dependent upon the availability of appropriations. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under Section 371 are made for up to 24 months, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions of higher education administering these grants must submit an annual performance report at the completion of the each 12-month cycle. IHEs are also required to submit final reports ninety (90) days after the end of the grant. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$2,500,000; FY 10 est \$2,625,000 - For Section 320. (Project Grants) FY 08 \$25,000,000; FY 09 est \$25,000,000; FY 10 est \$0 - For Section 371.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of discretionary grant programs is governed by Section 320 and 371 of the HEA and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Laws, Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, 1990 K St., N.W., Washington, District of Columbia 20202 Email: james.laws@ed.gov Phone: (202) 502-7719.

**Website Address:**

<http://www.ed.gov/programs/pbi/> for the Predominantly Black Institutions Program <http://www.ed.gov/programs/aanapicraa/> for the Asian American and Native American Pacific Islander-Serving Institutions Program <http://www.ed.gov/programs/nasnticraa/> for t

**RELATED PROGRAMS:**

84.031 Higher Education Institutional Aid

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria can be found in EDGAR 34 CFR Part 75.210.

**84.383 HOMELESS EDUCATION DISASTER ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Div. B, Title I, Chapter 7, Public Law 110-329.

**OBJECTIVES:**

To provide assistance to local educational agencies (LEAs) whose enrollment of homeless students has increased as a result of a natural disaster that occurred in calendar year 2008.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Activities supported with program funds must be allowable under section 723(d) of the McKinney-Vento Homeless Assistance Act. Funds may be used to assist any homeless student in the schools of the LEA, including homeless preschool students, and is not limited to those students who became homeless

as a result of a natural disaster. The LEA may use the funds to support future activities, as well as to reimburse itself for costs incurred in carrying out activities during 2008, designed to help homeless students enroll in, attend, or succeed in school.

**Applicant Eligibility:**

LEAs that have at least 50 students enrolled in one or more grades kindergarten through grade 12 who became homeless in 2008 as a result of a natural disaster that the President has declared under Title IV of the Robert T. Stafford Disaster Assistance and Emergency Assistance Act of 1974. Those disasters are listed on the web site of the Federal Emergency Management Agency (FEMA) at: <http://www.fema.gov/news/disasters.fema?year=2008>.

**Beneficiary Eligibility:**

Students identified as homeless as provided in section 725 of the McKinney-Vento Homeless Education Assistance Act, as amended. Such students include homeless preschool students, and are not limited to those students who became homeless as a result of a natural disaster.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible LEAs seeking funds under the Homeless Education Disaster Assistance Program funds must submit an electronic application to the Department. The application must include, among other things, data indicating the number of students in kindergarten through grade twelve who became homeless as a result of a natural disaster that occurred in 2008 and required assurances.

**Award Procedure:**

The Department made one-time grant awards directly to eligible LEAs based on a formula outlined in the notice inviting applications published in the Federal Register.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Division B, Chapter 7, Public Law 110-329. Matching Requirements: The Department awarded Homeless Education Disaster Assistance program funds directly to eligible LEAs that applied using a formula based on the number of students enrolled in one or more grades kindergarten through grade 12 who became homeless as a result of a natural disaster that occurred in 2008. Specifically, the Department calculated each LEAs award amount based on the quotient obtained by dividing the number of its enrolled students in kindergarten through grade twelve who became homeless as a result of a natural disaster that occurred in 2008 by the total number of such students for all LEAs submitting an application. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Homeless Education Disaster Assistance Program funds became available for obligation upon receipt of those funds by an LEA. Funds remain available for obligation by an LEA for an initial period of availability that expires on September 30, 2009. Under section 421(b) of the General Education Provisions Act, an LEA may carry over any funds that remain unobligated after September 30, 2009 and has an additional 12 months to obligate such funds. See the following for information on how assistance is awarded/released: Electronic

transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$15,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98, and 99. The Department will publish in the Federal Register a notice inviting invitation, which provides instructions and criteria for LEAs to use in applying for these funds. The Department is also in the process of developing additional guidance and instructions for States to use in applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: John.Mclaughlin@ed.gov Phone: (202) 401-0962

**Website Address:**

<http://www.ed.gov/programs/heda/index.html>

**RELATED PROGRAMS:**

84.196 Education for Homeless Children and Youth

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department will only awarded funds to individual LEAs or a consortium of LEAs that had a minimum of 50 students enrolled in kindergarten through grade 12 who became homeless because of a natural disaster that occurred during 2008 are eligible that apply for a grant award. The Department will make grant awards to all eligible LEAs that apply using a formula that is based on the number of students enrolled in kindergarten through grade 12 who became homeless as a result of a natural disaster that occurred in 2008.

**84.384 STATEWIDE DATA SYSTEMS, RECOVERY ACT**

**FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Educational Technical Assistance Act of 2002, Title II, Public Law 107-79, 20 U.S.C 9607; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

These grants are intended to enable all States to create comprehensive P-20 systems that permit the generation and use of accurate and timely data, support analysis and informed decision-making at all levels of the education system, increase the efficiency with which data may be analyzed to support the continuous improvement of education services and outcomes, facilitate research to improve student academic achievement and close achievement gaps, support

education accountability systems, and simplify the processes used by State educational agencies to make education data transparent through Federal and public reporting.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants may support salaries, travel, equipment, and supplies as required to carry out design and implementation efforts. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the development of data systems. Grant funds shall be used to supplement and not supplant other State or local funds used for developing State data systems.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants for these data systems projects must present a plan and furnish evidence that the scientific competence, facilities, equipment, and supplies are appropriate to carry out the project. Applicants must ensure technical quality; provide for the generation of accurate data and provide for the timely use of such data both to comply with the Elementary and Secondary Education Act of 1965 and to facilitate research to improve student academic achievement and close achievement gaps; and ensure privacy protections. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must include: ED Form 424, "Application for Federal Assistance" and ED 524, "Budget Information Non-Construction Programs." Specific application and submission procedures, as well as additional information about the specific contents, page limits, and page formatting of applications, are provided in the individual Request for Applications found under "Funding Opportunities" at the Institute of Education Sciences web site: <http://ies.ed.gov/funding/>.

**Award Procedure:**

All accepted applications competing for grants are reviewed for technical merit by panels of peer reviewers. Official notice of an approved application is made through issuance of a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days. Recipients of multi-year grants must submit an annual performance report for each year funding has been approved. A review of the annual performance report is used to determine whether substantial progress has been made toward meeting the project objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The application package will specify the length of the project period. All

grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement. See the following for information on how assistance is awarded/released: Assistance is awarded/released through electronic transfer. The application package will specify the length of the project period. All grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement.

**Reports:**

As required by Section 1512 of the American Recovery and Reinvestment Act of 2009. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009. Financial reports and program reports must be submitted as required by grant award terms and conditions. Grantees under this competition should anticipate having to report, at a minimum, at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All expenditures by state governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every two years. The Secretary of Education, the Director of the Institute, and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for three years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-0197-0-1-503.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$245,000,000; FY 10 est \$0 -

**Range and Average of Financial Assistance:**

Estimated range of new 2009 awards: \$2,000,000 to \$20,000,000 for the entire project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 80, 81, 82, 84, 85, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230. For more information, see specific Request for Applications available on Institute website <http://www.ed.gov/programs/edresearch/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tate Gould Department of Education, IES, National Center for Education

Statistics, Room 9023, 1900 K Street, N.W., , Washington, District of Columbia 20006 Email: [Tate.Gould@ed.gov](mailto:Tate.Gould@ed.gov) Phone: (202) 219-7080

**Website Address:**

<http://ies.ed.gov/funding/>

**RELATED PROGRAMS:**

84.372 Statewide Data Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site:<http://ies.ed.gov/funding/>.

**84.385 TEACHER INCENTIVE FUND, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title V, Part D, Subpart I and the American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To support projects that develop and implement performance-based teacher and principal compensation systems in high-need schools that must include gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors. The compensation systems may also provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use the funds to develop and implement performance-based compensation systems, including incentives to take on individual responsibilities and leadership roles.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must prepare and submit applications in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, and the competitive priority (if applicable) included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction programs (SF 424B); Certifications regarding Lobbying, Disbarment; Suspension and other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-00013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF 424); the required Budget Form (ED Form 524); an itemized budget and other budget information; a project abstract; and a program narrative that includes responses to selection criteria. Applicants

are encouraged to submit one original and two copies of the application.

**Award Procedure:**

If an applicant is successful, the Department of Education notifies the applicants U.S. Representative and U.S. Senators and will send the successful applicant a Grant Award Notification (GAN). The Department of Education may also notify the successful applicant informally.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations and a grantee's satisfactory progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Each applicant must demonstrate a significant investment in, and ensure the sustainability of, its project by committing to pay for an increasing share of the project, for each year of the grant, with State, local, or other non-Federal funds. The applicant will annually increase its share of the project. In the final year of the grant, the grantee must ensure that at least 75 percent of the compensation costs are not paid by the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The application notice will specify the length of the project period. Renewals are subject to the availability of funds and a grantees satisfactory progress. See the following for information on how assistance is awarded/released: Electronic Transfer.

**Reports:**

No program reports are required. No cash reports are required. Annual performance reports must be submitted for each project year. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Grantees under this competition should anticipate having to report, at a minimum, at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and The Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years.

**Account Identification:**

91-0197-0-1-501.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$200,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Estimated range of awards: \$239,000 to \$10,366,000.

Estimated average award: \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The Department expects to make approximately 60 new awards in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. Contact program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

April Lee, Headquarters Office: Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W. , Washington, District of Columbia 20202 Email: april.lee@ed.gov Phone: (202) 401-2266.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

84.374 Teacher Incentive Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the full application package and published in the Federal Register notice. Contact the program office for more information.

**84.386 EDUCATION TECHNOLOGY STATE GRANTS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part D, Subpart 1 and American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs) on a formula basis to (a) improve student academic achievement through the use of technology in schools; (b) assist all students in becoming technologically literate by the end of eighth grade; and (c) encourage the effective integration of technology with teacher training and curriculum development to establish successful research-based instructional methods.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

At least 95 percent of awards to SEAs must be used to make subgrants to LEAs. Half of the subgrant funds (the 95 percent) must be used for formula awards to eligible local educational agencies (LEAs) that receive funds under Title I, Part A. The remaining one-half provides competitive awards to eligible local entities (see beneficiary eligibility). In the fiscal year 2006, Appropriations Act, the Congress included language allowing States to award up to 100 percent of funds competitively. The Congress has continued to provide this flexibility in FY 2009 in the FY 2009 Omnibus Appropriations Act. This flexibility also applies to the \$650 million provided under the ARRA. Each LEA and eligible entity receiving funds under this program must use at least 25 percent of its funds to provide professional development; the remaining funds must be used carry out other activities consistent with the purposes of the program and the district's local technology plan. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State applications for funding under Title II, D, Subpart I submitted to and approved by the Department as part of the FY 2002 State Consolidated Applications are applicable.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The Secretary shall not disapprove a State technology plan or State application, before offering the State an opportunity to revise the plan and a hearing. (See 34 CFR 76.202.).

**Renewals:**

> 180 Days. SEAs shall annually report to the Secretary. Renewals are subject to the availability of resources.

**Formula and Matching Requirements:**

Statutory Formula: Title II, Part D, Subpart 1.

Matching Requirements: Percent: 50%. Funds are allocated to States proportionate to their share under Part A of Title I of ESEA but with a minimum allocation to any State of one-half of one percent of the amount appropriated.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards generally are made for 1 year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR part 76), financial and performance reports are required annually. Grantees under this competition may anticipate having to report at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. As required by EDGAR. As required by EDGAR. As required by EDGAR. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements will be included in award documents.

**Records:**

As required by EDGAR for State-Administered programs (34 CFR part 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-1001-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$650,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

State awards range from \$3,209,375 to \$70,610,145.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: This program is designed to improve student academic achievement through the use of technology in elementary and secondary schools. It is also designed to assist every student -- regardless of race, ethnicity, income, geographical location, or disability -- in becoming technologically literate by the end of eighth grade. The program will facilitate the effective integration of technology resources and systems with professional development and curriculum development, resulting in research-based instructional methods that can be widely replicated. Fiscal Year 2010: Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Enid Marshall, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., FB6, Room 3E307, Washington, District of Columbia 20202  
Email: enid.marshall@ed.gov Phone: (202) 708-9499.

**Website Address:**

<http://www.ed.gov/programs/edtech/index.html>

**RELATED PROGRAMS:**

84.318 Education Technology State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Local activities supported by these grants include continuing professional development programs and public-private partnerships focused on the integration of technology in schools. Activities also include: the acquisition of new technology hardware, software applications or the use of existing technologies and curricula that integrate technology and are designed to meet challenging State academic standards, improve student achievement; the use of technology to increase parental involvement in schools; and the use of technology to collect, manage, and analyze data to enhance teaching and school improvement efforts. Fiscal Year 2010: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.387 EDUCATION FOR HOMELESS CHILDREN AND YOUTH, RECOVERY ACT****FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B ; American Recovery and Reinvestment Act of 2009 (ARRA) , Public Law 111-5.

**OBJECTIVES:**

To ensure that all homeless children and youth have equal access to the same free, appropriate public education available to other children, the Education for Homeless Children and Youth program provides assistance to States, Outlying Areas, and the Bureau of Indian Education (BIE) to: (1) establish or designate an Office of Coordinator of Education of Homeless Children and Youths; (2) develop and carry out a State plan for the education of homeless children; and (3) make subgrants to local educational agencies to support the education of those children.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

SEAs and LEAs may use funds for a wide variety of activities that facilitate the educational success of homeless children and youth. Such activities include: tutoring summer enrichment programs, the provision of school supplies, and professional development designed to heighten educators' understanding of and sensitivity to the needs of homeless children and youth. Services provided with these funds cannot replace the regular academic program and must expand upon or improve services provided as part of the regular academic program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A State that desires to receive a grant under this program may submit to the Department either an individual State plan or an ESEA consolidated State plan.

**Award Procedure:**

Grant awards to the State educational agencies were issued in April 2009.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Biennial updates of State plans are required. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Title VII, Subtitle B.

Matching Requirements: Each State educational agency receives an amount that is proportional to the number of homeless students identified by the State during the 2007-2008 school year relative to the number of such children identified nationally during that school year. SEAs will make subgrants to LEAs on a competitive basis or according to a formula based on the number of homeless students identified by the local educational agencies in the State. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each State will subgrant the funds to local educational agencies no later than 120 days after receiving its grant from the Department. LEAs will have until September 30, 2011, to obligate these funds as provided in section 421(b) of the General Education Provisions Act. See the following for information on how assistance is awarded/released: Funds will be released through electronic transfer.

**Reports:**

The Department of Education will notify the States of any program reporting requirements. Cash reports are not applicable. Progress reports are not applicable. The Department of Education will notify the States of any expenditure reporting requirements. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be included in the grant award documents.

**Records:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Account Identification:**

91-1001-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$70,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The estimated average State award for funds made available under ARRA is \$1.3 million; individual State awards would range from \$175,000 to \$19 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not applicable. Fiscal Year 2009: Grants were awarded to 50 States, Puerto Rico, the District of Columbia, the Virgin Islands, American Samoa, Guam, Palau, the Northern Marianas, and the DOI Bureau of Indian Education. The Department continues to monitor States and the Outlying areas. Fiscal Year 2010: Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for The Education for Homeless Children and Youth program may be obtained through the Office of Elementary and Secondary Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/homeless/index.html>

**RELATED PROGRAMS:**

84.196 Education for Homeless Children and Youth; 84.383 Homeless Education Disaster Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Typically, subgrants are used for after-school tutoring, purchasing necessary supplies like backpacks, hygiene packs, etc., as well as offsetting the costs of transportation for homeless students wishing to remain in the school last attended prior to becoming homeless. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. Under ARRA each SEA was required to award subgrants to LEAs on a competitive basis, through a formula based on the number of homeless children in the LEA, or through a combination of both, within 120 days after receiving its grant from ED.

**84.388 SCHOOL IMPROVEMENT GRANTS, RECOVERY ACT****FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Section 1003(g) of the Elementary and Secondary Education Act (ESEA), as amended (Public Law 107-110 )(115 Stat. 1442, 20 USC 6303(g)) and the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To strengthen the capacity of States to carry out their program improvement responsibilities required under Sections 1116 and 1117 of Title I of the ESEA by (1) building State capacity to provide leadership in implementing effective school improvement strategies for local educational agencies (LEAs) and schools that have been identified for improvement, are in corrective action, and are in the restructuring process and (2) providing resources to LEAs to support school improvement activities, including the development and implementation of effective restructuring plans.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

A State educational agency (SEA) must allocate at least 95 percent of the amount of the funds it receives directly to LEAs for schools that have been identified for improvement, corrective action, or restructuring to carry out activities under Section 1116(b). An SEA may retain up to 5 percent of the grant amount received for administration, evaluation, and technical assistance expenses. LEAs may use these funds for any reasonable costs associated with carrying out school improvement, corrective action, or restructuring activities described in Section 1116(b).

**Applicant Eligibility:**

SEAs with approved State plan amendments are eligible to receive funds.

**Beneficiary Eligibility:**

LEA will benefit from these funds.

**Credentials/Documentation:**

OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Pursuant to Section 76.140 of the Education Department General Administrative Regulations, The Department of Education (ED) is requiring that States submit an application. ED will issue further guidance soon on the information States are required to include in their application for these funds.

**Award Procedure:**

ED will allocate funds to any State whose submission meets the Department's application requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

In programs administered by ED, Section 432 of the General Education Provisions Act provides LEAs with a right of appeal when there are disagreements between State and local educational agencies, including disagreements over funding decisions. Where an LEA alleges that the denial of funding is a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, it may, within 30 days, request a hearing from the SEA. Once the hearing is held and the SEA issues its written ruling, the LEA may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Under ESEA, ED allocates section 1003(g) School Improvement funds to States through a formula that is based on each State's proportionate share of funds received under ESEA Title I, Part A, (Grants to LEAs), Part C (Migrant Education program), and Part D, Subpart 1 (State Agency Neglected and Delinquent program).

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Title I School Improvement funds made available under the ARRA are available for obligation by LEAs through September 30, 2011, as provided under section 421(b) of the General Education Provisions Act. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Grantees under this program may be required to report at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Specific requirements will be included in the grants award documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with EDGAR in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal Laws and regulations governing the program in which they participate.

**Records:**

All grantees must maintain and complete records as provided for in EDGAR.

**Account Identification:**

91-0901-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$3,000,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

For fiscal year 2009, the range of award is \$7,276,591-\$346,347,890, and the average award is \$57,136,893.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department is in the process of issuing guidance and instructions for States to use in applying for these funds. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlas McCauley, 400 Maryland Avenue, SW, 3C116, Washington, District of Columbia 20202 Email: carlas.mccauley@ed.gov Phone: (202) 260-0829.

**Website Address:**

<http://www.ed.gov/oese>

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.377 School Improvement Grants; 84.389 Title I Grants to Local Educational Agencies, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.389 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), Title I, Part A, 20 U.S.C. 6301 et seq. and the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To help local educational agencies (LEAs) and schools improve the teaching and learning of children failing, or most at-risk of failing, to meet challenging State academic achievement standards.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Use of funds varies, depending on whether a school is operating a schoolwide program under Title I, section 1114 of ESEA or a targeted assistance program under Section 1115 of the ESEA. A school with at least a 40 percent poverty rate may choose to operate a schoolwide program under Section 1114 that allows Title I funds to be combined with other Federal, State, and local funds to upgrade the school's overall instructional program. Schoolwide program schools must receive the amount of non-Federal resources they would have received in the absence of Title I funds. All other participating schools must operate targeted assistance programs that provide extra instruction to those children failing, or most at risk of failing, to meet State academic achievement standards. Targeted assistance programs must ensure that Title I services supplement, and do not supplant the regular education programs normally provided with non-Federal funds by local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

OMB Circular A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. SEAs apply for funds as part of Title I, Part A, State plans submitted to the Department of Education in accordance with Section 1111 of ESEA or as part of a consolidated State plan submitted under Section 9302 of ESEA. The plan remains in effect for the duration of the State's participation in Title I, Part A, but must be updated to reflect substantive changes. Participating LEA's must file an approved plan with their SEAs. No new applications are needed for ARRA funds, although SEAs may require LEAS to submit them.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using two statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The Department obligated 50 percent of funds to SEAs on April 1, 2009, and

expects to obligate the remainder by the end of fiscal year 2009.

**Appeals:**

If an LEA's plan is disapproved by the SEA it may appeal to the SEA and then to the Department of Education under Section 432 of the General Education Provision Act (GEPA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: ED allocates Title I, Part A funds made available under the ARRA through the Targeted and Education Finance Incentive Grant formulas authorized in sections 1125 and 1125A of the ESEA. Targeted Grant funds are allocated to LEAs based on each State's per-pupil expenditure for education and the number of school-aged children from low-income families. As required in section 1125 of the ESEA, ED applies weights to the count of children included in the formula so that LEAs with higher numbers or percentages of low-income children receive a higher allocation. To be eligible for a Targeted Grant an LEA (without application of the formula weights) must have at least 10 children in its Title I formula count, and the number of those children must be at least 5 percent of the LEAs school-age population. The Education Finance Incentive Grant (EFIG) formula, in addition to using the number of children from low-income families and the States per-pupil expenditure, factors in (1) the States effort to provide financial support for education compared to its relative wealth as measured by its per-capita income (fiscal effort factor) and (2) the degree to which education expenditures among school districts within a State are equalized (equity factor). To qualify for funds under the EFIG formula, an LEA must also meet the 10 formula child and 5 percent eligibility thresholds established for Targeted Grants.

This program has MOE requirements, see funding agency for further details. The maintenance of effort requirement in sections 1125A(e) and 9521 of the ESEA apply to Title I, Part A.

**Length and Time Phasing of Assistance:**

Title I, Part A ARRA funds are available for obligation from February 17, 2009, to September 30, 2010. Subject to the carryover limitations in section 1127 of ESEA, LEAs will have until September 30, 2011, to obligate these funds as provided in section 421(b) of the General Education Provisions Act. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. In addition, each SEA and LEA must submit quarterly reports as to their use of Title I, Part A ARRA funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States and local governments that receive financial assistance between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to 34 CFR, Part 80, or in accordance with the Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act, States and LEAS must maintain certain program records for 3 years.

**Account Identification:**

91-0901-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$10,000,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

For FY 2009, the awards made from funds available under the ARRA range from \$25.8 million to \$1.1 billion; the average award is \$190.4 million.



**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For Title I guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Wilhelm, 400 Maryland Avenue, SW. , Washington, District of Columbia 20202-6132 Email: susan.wilhelm@ed.gov Phone: (202) 260-0826.

**Website Address:**

<http://www.ed.gov/programs/titleiparta/index.html>; or  
<http://www.ed.gov/policy/gen/leg/recovery/programs.html>

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.390 REHABILITATION SERVICES-VOCATIONAL REHABILITATION GRANTS TO STATES, RECOVERY ACT FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Parts A and B, Sections 100-111; and the American Recovery and Reinvestment Act of 2009 (ARRA).

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, and capabilities so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided vocational rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community programs.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no separate application required for States to be eligible to receive funds under the ARRA. State Vocational Rehabilitation (VR) agencies do not need to submit a new or amended State Plan. However, State VR agencies will be required to submit information for review and approval by the Department that addresses the record-keeping and reporting requirements that are specified in the ARRA.

**Award Procedure:**

ARRA grant awards will be made to State VR agencies with an approved FY 2009 State Plan. States are notified of their allotment under the funding formula. Grant awards are issued to State VR agencies and funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

There is no deadline associated with the first 50 percent of each States ARRA grant allocation for the State Vocational Rehabilitation Services program. Funds will be made available to each State agency based on the States eligibility determination for FY 2009 Vocational Rehabilitation State Grant funds. Changes to the State Plan and annual updates related to the regular appropriation must be submitted to the Rehabilitation Services Administration (RSA) by July 1 of each year. In order to receive the remaining 50 percent of the States allocation for the State VR Services program under the ARRA, States must submit information for review and approval by the Department that addresses the record-keeping and reporting requirements that are specified in the ARRA.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A, Subpart 110.

Matching Requirements: Funds are distributed based on population weighted by per capita income. The statistical factors for fund allocation are: per capita income 3-year average by State (Bureau of Economic Analysis estimates) and U.S. total and State population (Annual Population Estimates, Bureau of the Census).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010.

State VR agencies have an additional 12-month period to obligate the funds they receive. See the following for information on how assistance is awarded/released: Funds are distributed by electronic transfer.

**Reports:**

Annual and quarterly reports are required. Grantees must report on how ARRA funds under this program are spent. ARRA reporting requirements will be included in grant award documents. Annual and quarterly progress reports; annual budget and case service reports; quarterly financial reports. Grantees must report on how ARRA funds under this program are spent. Information on ARRA reporting requirements will be included in grant award documents. Additional information on ARRA record keeping and reporting requirements will be provided later. The Rehabilitation Act requires the conduct of annual reviews of periodic on-site monitoring of whether a State VR agency is complying substantially with the provisions of its State plan and with the program's performance indicators established under section 106 of the Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule.

**Records:**

Case service records for individual consumers. Financial and programmatic records must be kept for a prescribed period of 3 years (34 CFR 80.42).

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$540,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The range of ARRA grant awards is expected to be \$204,598 to \$56,470,213.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR 361). Vocational Rehabilitation Manual. Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Bethel, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: william.bethel@ed.gov Phone: (202) 245-6775.

**Website Address:**

<http://www.ed.gov/programs/rsabvrs/index.html>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.391 SPECIAL EDUCATION GRANTS TO STATES, RECOVERY ACT**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education (IDEA), as amended, Part B, Section 611-618, 20 U.S.C 1411-1418; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide grants to States to assist them in providing a free appropriate public education to all children with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are used by State and local educational agencies, in accordance with the IDEA, to help provide the special education and related services needed to make a free appropriate public education available to all eligible children and, in some cases, early intervening services.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The designated plan review agencies must be given an opportunity to review the State's policies and procedures. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no separate application required for States to be eligible to receive funds under the Recovery Act. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The standard application forms as furnished by the Federal agency must be used for this program. States do not need to submit new applications to receive the first 50 percent of the Recovery Act funds for Part B grants to States and Preschool grants because these funds will be made available to each State based on the States eligibility determination for FY 2008 Part B funds. In order to receive the remaining 50 percent of funds of Part B funds under the Recovery Act, States must submit an amendment to the FY 2009 application for review and approval by the Department. This amendment will be required to address the record-keeping and reporting requirement that are specified in the Recovery Act. States are eligible to receive funds under this program if the State establishes eligibility for funds under Section 612 of Part B of the IDEA. Local education agencies establish eligibility by meeting local application eligibility requirements of Section 613 of Part B of the IDEA.

**Award Procedure:**

Grants awards representing 50 percent of the total Part B grant amount under the Recovery Act will be forwarded to the States department of education. Notification of the award is made to the Chief State School Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Part B.

Matching Requirements: funds are awarded based on a statutory formula. In general, subject to minimum and maximum funding requirements, if the funds available to States increase from one year to the next, each of the states first received what it received in 1999. Eighty-five percent of the remaining funds are distributed based on the relative number of children with disabilities in the age range for which States mandate services; 15 percent of the remaining funds are distributed based on the relative numbers of those children living in poverty. If the amount available to these entities decreases from one year to the next, each entity receives what it did in 1999. Remaining funds are distributed in proportion to the increased these entities received between 1999 and the present year. Most of the funds must be distributed to local education agencies directly serving children. States may retain the remaining funds for state-level activities including administration of, support of, and direct services to children with disabilities. There are non-supplanting and excess cost requirements. The MOE requirements for this program applies to both State Educational Agencies and local educational agencies and is based on the amount of State and local expenditures for the previous fiscal year. Contact the program office for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010. State and local education agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

For Recovery Act-funded programs, States will be required to report on how funds are spent. Additional information on record keeping and reporting requirements will be included in application instructions or program guidance to be provided later.

Grantees receiving Recovery Act funds should anticipate having to report, at a minimum, at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Financial and program reports must be submitted as required by grant award terms and conditions. Financial and program reports must be submitted as required by grant award terms and conditions. Financial and program reports must be submitted as required by grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0299-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$11,300,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The range of awards to States, the District of Columbia, and Puerto Rico is \$16.4 million to \$1.2 billion, with an average award of \$148 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Approximately 6.8 million children with disabilities are expected to be served. Fiscal Year 2010: Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR 300.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: RuthRyder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding based upon applications

approved under IDEA, Section 612.

**84.392 SPECIAL EDUCATION - PRESCHOOL GRANTS, RECOVERY ACT****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, , Part B, Section 619, 20 U.S.C 1419; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide grants to States to assist them to make available special education and related services for children with disabilities ages 3 through 5 years, and at a State's discretion, to 2-year-old children with disabilities who will reach age three during the school year.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are used by State education agencies: (1) to provide a free appropriate public education (FAPE) to preschool children with disabilities ages 3 through 5, and at the State's discretion, to 2-year-old children with disabilities who will reach age 3 during the next school year; (2) to administer section 619; and (3) for support services, direct services, activities to meet the State's performance goals, to supplement other funds used for a Statewide coordinated service system designed to improve results for children and families, to provide early intervention services in accordance with Part C to children ages 3 through 5 who would otherwise be eligible under the Preschool Grants program, and to continue service coordination or case management for families who receive services under Part C.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No State may receive a grant unless the Secretary has approved the application and statement of assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Department of Education awarded 50 percent of the Preschool Grant ARRA funds on April 1, 2009. The other 50 percent will be awarded by September 30, 2009. A separate application is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State does not need to submit a new application to receive the first 50 percent of the Recovery Act funds for Preschool Grants because these funds will be made available to each State based on the States eligibility established for FY 2008 Part B funds. States must follow the procedures that will be required for funds under the regular Part B appropriation, which will become available July 1, 2009. In order to receive the remaining 50 percent of Part B recovery funds for Part B Grants to States and Preschool Grants, a State must submit, for review and approval by the Department, an amendment to its FY 2009 application to address the record keeping and reporting requirements under the ARRA. States are eligible to receive funds under this program if the Secretary approved the application and statement of assurances for that State, as provided under Section 612 of Part B of the IDEA, and the State makes a free appropriate public education available to all children ages 3 through 5 year with disabilities residing in the State. Local education agencies are eligible for Preschool Grant

funds under the Recovery Act if they met local application requirements in Section 613 of Part B of the IDEA in FY 2008 and the State is distributing the Recovery Act funds prior to July 1, 2009 or the LEAs meet these requirements in FY 2009, if the State is distributing the Recovery Act funds after July 1, 2009.

**Award Procedure:**

A grant award representing 50 percent of the total preschool grant amount under the Recovery Act is forwarded to the State's department of education. A State must serve all 3 through 5- year old children with disabilities if the State wants to continue participating in this program, as well as to receive funds for children ages 3 through 5 served under the Grants to States program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The Department shall not take any final action until a State is provided reasonable notice and an opportunity to submit written objections and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Part B, Section 619.

Matching Requirements: This program is awarded based on a statutory formula. Under the formula, 85 percent of funds are awarded to States based on their relative populations of children aged 3 through 5, and 15 percent is based on their relative population of all children aged 3 through 5 living in poverty. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010. State and local education agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Reporting requirements will be included in grant award documents. Annual State Performance Plans (SPPs) and Annual Performance Reports (APRs) are submitted to the Department of Education from the State department of education, including information required by section 618 of the IDEA. For the ARRA program funds, States will report on how funds under this program are spent. Additional information on record keeping and reporting requirements will be included in application instructions or program guidance to be provided later.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its contractors must retain records related to grant funds and compliance for a period of 5 years. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0299-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$400,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range of awards to States, District of Columbia and Puerto Rico -- \$260,486 to \$41,028,219; average award \$7,692,308.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: All State educational agencies, Puerto Rico, and the District of Columbia received funding under this program. Approximately 724,600 children with disabilities ages 3 through 5 are expected to be served. Fiscal Year 2010: Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 300

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: RuthRyder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://leg/recovery/programs.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.391 Special Education Grants to States, Recovery Act; 84.393 84.393 Special Education - Grants for Infants and Families, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Federal funds are combined with State and local funds to provide a free appropriate public education to children with disabilities. This includes special education and related services. Funds are used for salaries of teachers and other personnel, educational materials, related services -- such as speech or occupational therapy -- and other education-related needs. Fiscal Year 2010: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify for funding based upon an approved application under section 612 of the Individuals with Disabilities Education Act and that they provide a free appropriate public education to all children with disabilities ages 3 through 5. The criteria for approving an application appear in the regulations implementing Part B of the Individuals with Disabilities Education Act.

**84.393 SPECIAL EDUCATION - GRANTS FOR INFANTS AND FAMILIES, RECOVERY ACT**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part C, 20 U.S.C 1431-1444; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide grants to States to assist them to implement and maintain a statewide, comprehensive, coordinated, multidisciplinary, interagency systems to make available early intervention services to infants and toddlers with disabilities and their families.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are used to assist States in implementing and maintaining their statewide systems of early intervention services. Funding may also be used to provide direct services for eligible infants and toddlers with disabilities aged birth through 2 and their families that are not otherwise provided by other public or private sources, to expand and improve services for infants and toddlers with disabilities that are otherwise available, and to provide a free appropriate public education, in accordance with Part B of IDEA, to children with disabilities from their third birthday to the beginning of the following school year. States also

have the discretion to provide services to infants and toddlers who are at risk of having substantial developmental delays if they do not receive appropriate early intervention services. The Individuals with Disabilities Education Improvement Act of 2004 amended IDEA to allow states, at their discretion, to continue to serve children with disabilities under this program beyond age 2 until the children enter or are eligible to enter kindergarten or elementary school, if the children are otherwise eligible for services under the Preschool Grants Program (84.173), and previously received services under the Part C program.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, and local governments. No State or jurisdiction may receive a grant unless the Secretary has approved the application and statement of assurances for that State. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no separate application required for States to be eligible to receive funds under the Recovery Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State did not need to submit a new application to receive the first 50 percent of the Recovery Act funds because these funds were made available to each State based on the States eligibility determination for FY 2008 Part C funds. States must follow the procedures that will be required for funds under the regular Part B appropriation, which will become available July 1, 2009. In order to receive the remaining 50 percent of funds under the Recovery Act, a State must submit, for review and approval by the Department, an amendment to its application for FY 2009 funds to address the record keeping and reporting requirements under the ARRA. Specific application procedures are provided in the application form for the program. The State lead agency, the applicants for this program, are designated by the Governor.

**Award Procedure:**

Grant awards representing 50 percent of the total State allocation under the Recovery Act will be forwarded to the State lead agency by September 30, 2009.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The Department shall not take any final action until a State is provided reasonable notice and an opportunity to submit written objections and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Part C.  
Matching Requirements: Funds available under the Recovery Act are distributed based on the regular Part C statutory formula. Awards are based on each applicants proportionate share of children, aged birth through two years, in the general population, based on the most recent satisfactory data available from the United States Bureau of the Census. No State receive less than 0.5 percent of the funds available for all States. The Outlying Areas receive up to 1 percent of the funds appropriated.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010. State agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

An annual report to the Governor and to the Secretary by the State Interagency Coordinating Council on the status of early intervention programs operated within the State as required under Section 641(e)(1)(D) of the Act, and other information that the Secretary may require, including information required under Section 618 of the Act. Annual State Performance Plans and Annual Performance Reports are submitted to the Department of Education by the lead agency on an annual basis. For the ARRA program funds, States will report on how funds under this program are spent. Additional information on record keeping and reporting requirements will be included in application instructions or program guidance to be provided later. Cash reports are not applicable. Progress reports are not applicable. Reporting requirements will be included in the grant award document. Performance monitoring requirements will be included in the grant award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its contractors must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-0299-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$500,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

The range of awards for States, the District of Columbia and Puerto Rico: \$2,139,843 to \$53,233,307; average award to States is \$8,230,164.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: Approximately 338,000 infants and toddlers with disabilities are expected to be served. Fiscal Year 2010: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 303.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of the Assistant Secretary for Special Education Programs, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: RuthRyder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.392 Special Education - Preschool Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds are used to implement and maintain statewide systems of early intervention services, provide direct services that are not otherwise provided by other public or private sources, and to expand or improve services that are otherwise available. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants eligible to participate in the program qualify based on an approved application under Part C of the IDEA.

**84.394 STATE FISCAL STABILIZATION FUND (SFSF) - EDUCATION STATE GRANTS, RECOVERY ACT****FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Division A, Title XIV, Public Law 111-5.

**OBJECTIVES:**

To support and restore funding for elementary, secondary, and postsecondary education and, as applicable, early child hood education programs and services in States and local educational agencies.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

States must first use this grant to provide any funds needed: (a) to restore State elementary and secondary education support for fiscal years 2009, 2010, and 2011 to the greater of the fiscal year 2008 or 2009 level; (b) to allow existing State formula increases to support elementary and secondary education for fiscal years 2010 and 2011 to be implemented and allow funding for phasing in State equity and adequacy adjustments, if such increases were enacted prior to October 1, 2008; and (c) to restore support for public institutions of higher education (IHEs) for fiscal years 2009, 2010, and 2011 to the greater of fiscal year 2008 or 2009, excluding tuition and fees paid by students. If there is insufficient funding to carry out this activity for each fiscal year, the Governor must allocate funds in proportion to the relative shortfall in State support for each education sector. States must use any remaining funds to provide local educational agencies (LEAs) with subgrants based on their relative shares of funding under Title I, Part A of the Elementary and Secondary Education Act of 1965 (ESEA).

LEAs that receive funds may use funds for activities authorized under the ESEA, the Individuals with Disabilities Education Act (IDEA), the Adult and Family Literacy Act, and the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins).

LEAs are prohibited from using funds for: payment of maintenance costs; stadiums or other facilities primarily used for athletic contests or exhibitions or other events for which admission is charged to the general public; purchase or upgrade of vehicles; or improvement of stand-alone facilities whose purpose is not the education of children including central office administration or operations or logistical support facilities.

IHEs are prohibited from using the funds: to increase endowments; for the maintenance of systems, equipment, or facilities; for the modernization, renovation, or repair of stadiums or other facilities primarily used for athletic contests or exhibitions or other events for which admission is charged to the general public; or the modernization, renovation, or repair of facilities used for sectarian instruction or religious worship or in which a substantial portion of the functions of the facilities are subsumed in a religious mission.

Public IHEs receiving funds must use these funds for educational and general expenditures, and in such a way as to mitigate the need to raise tuition and fees, or for modernization, renovation, or repairs of facilities that are primarily used for instruction, research, or student housing.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Governor must submit an application to the Department of Education (ED) containing assurances that the State will: (a) maintain support for elementary, secondary, and postsecondary education for FY 2009, 2010, and 2011 at the FY 2006 level; (b) take actions to address inequities in the distribution of highly qualified teachers; (c) improve the collection and use of educator data; (d) enhance the quality of the States academic standards and assessments; (e) include limited English proficient students and students with disabilities in State assessments; and (f) take actions to turn around schools identified for corrective action, and restructuring under Title I, Part A of the ESEA, 20 U.S.C. 6301 et seq. Each State must also provide baseline data that demonstrates its current status in each of the areas described in the assurances referenced above, a description of how it intends to use its allocation, and other information as the Secretary may require.

**Award Procedure:**

The Department will make awards to States on a formula basis upon approval of the State application.

**Deadlines:**

Jul 01, 2009

**Range of Approval/Disapproval Time:**

Approval time will vary by State.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title XIV, Section 14001.

Matching Requirements: 61 percent of State allocations is based on relative shares of individuals aged 5 to 24, and 39 percent is based on relative shares of total population. The Department awards up to one-half of 1 percent of the appropriated funds to the outlying areas.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Any funds that the Governor does not subgrant or otherwise commit within 2 years will be reobligated. Funds are available for obligation until September 30, 2011. The Department will reallocate any returned funds to the remaining States. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

For each year of the program, a State receiving funds under this title must submit a report to the Department that describes the uses of funds provided under this title within the State; the distribution of funds received; the number of jobs saved or created; tax increases averted; the States progress in reducing inequities in the distribution of highly qualified teachers, developing a longitudinal data system, and implementing valid assessment; actions taken to limit tuition and fee increases at public IHEs; the extent to which public IHEs maintained, increased, or decreased enrollments of in-State students; and a description of each modernization, renovation and repair project funded. Specific reporting requirements are detailed in Division A, Title XV of ARRA. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are required in accordance with guidance from OMB and the Department. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB Circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, the share of the cost provided from other sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient must maintain such records for 3 years after the completion of the activity for which funds are used.

**Account Identification:**

91-1909-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$39,743,348,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Awards to States will vary in size from approximately \$67.6 million to \$4.9 billion. The average grant award will be approximately \$760 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program can be found at <http://www.ed.gov/programs/statestabilization/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Butler, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: [James.Butler@ed.gov](mailto:James.Butler@ed.gov) Phone: (202) 260-9737.

**Website Address:**

<http://www.ed.gov/programs/statestabilization>

**RELATED PROGRAMS:**

84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act; 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act; 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.395 STATE FISCAL STABILIZATION FUND (SFSF) - RACE-TO-THE-TOP INCENTIVE GRANTS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Title XIV (Public Law 111-5).

**OBJECTIVES:**

To reward States that have made significant progress in achieving equity in teacher distribution; establishing a longitudinal data system; enhancing the quality of assessments; including English language learners and students with disabilities in State assessments; improving academic content and achievement standards; and providing effective support to schools identified for corrective action and restructuring.

**TYPES OF ASSISTANCE:**

Project Grants (Special)

**USES AND USE RESTRICTIONS:**

The Race-to-the-Top Incentive grants will reward States that have made significant progress in improving the equitable distribution of qualified teachers; establishing longitudinal data systems; enhancing the quality of assessments; including English language learners and students with disabilities

in State assessments; improving academic content and achievement standards; and providing effective support to schools identified for corrective action and restructuring. Each State receiving an incentive grant shall use at least 50 percent of its grant to provide subgrants to school districts based on their relative shares of funding under Title I for the most recent year.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The States must submit an application describing the status of the States progress in improving the equitable distribution of qualified teachers; establishing longitudinal data systems; enhancing the quality of assessments; including English language learners and students with disabilities in State assessments; improving academic content and achievement standards; and providing effective support to schools identified for corrective action and restructuring. In addition, the application must include a description of the strategies the State is employing to help ensure that students in subgroups that have not met the States proficiency targets continue to make progress toward meeting the States student academic achievement standards; the achievement and graduation rates of public elementary and secondary students and strategies the State is employing to help ensure that all subgroups of students continue making progress toward meeting the States student academic achievement standards; how the State would use its grant funding to improve student academic achievement in the State, including how it will allocate the funds to give priority to high-need local educational agencies; and a plan for evaluating the States progress in closing achievement gaps.

**Award Procedure:**

The Department of Education will determine which States receive State Incentive grants and the amount of those grants, on the basis of the States applications under section 14005 and other criteria the Department determines appropriate. The Department will make Race-to-the-Top awards in FY 2010.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made in FY 2010. See the following for information on how assistance is awarded/released: Assistance will be awarded by electronic transfer.

**Reports:**

Program reports may be required, details will be included in grant award documents. Cash reports may be required, details will be included in grant award documents. Progress reports may be required, details will be included in

grant award documents. Expenditure reports may be required, details will be included in grant award documents. Performance monitoring reports may be required, details will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, the share of the cost provided from other sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient shall maintain such records for 3 years after the completion of the activity for which funds are used.

**Account Identification:**

91-1909-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$4,350,000,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED will issue guidance for this program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joe Conaty, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: Joseph.Conaty@ed.gov Phone: (202) 401-0113.

**Website Address:**

<http://www.ed.gov/policy/gen/leg/recovery/programs.html>

**RELATED PROGRAMS:**

84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act; 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act; 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be determined.

**84.396 STATE FISCAL STABILIZATION FUND (SFSF) - WHAT WORKS AND INNOVATION FUND, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Title XIV (Public Law 111-5).

**OBJECTIVES:**

To recognize (a) local educational agencies (LEAs), or (b) partnerships between a nonprofit organization and one or more LEAs or a consortium of schools that have made significant gains in closing achievement gaps and enable them to expand their work in partnership with private organizations and the philanthropic community to identify and document best practices that can be shared and taken to scale and to serve as models for best practices.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to allow such eligible entities to expand their work and serve as models for best practices; to allow such eligible entities to work in partnership with the private sector and the philanthropic community; and to identify and document best practices that can be shared, and taken to scale based on demonstrated success.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department of Education will develop an application, procedures, and criteria to award grants on a competitive basis. Contact the program office for information.

**Award Procedure:**

The Department will make awards to eligible entities that have made significant gains in closing the achievement gap to allow such eligible entities to expand their work and serve as models for best practices; to allow such eligible entities to work in partnership with the private sector and the philanthropic community; and to identify and document best practices that can be shared, and taken to scale based on demonstrated success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval time will be determined when the application is developed.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made in FY 2010. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

The Comptroller General of the United States shall conduct evaluations of the What Works and Innovation Fund including criteria used for awards made, States selected for awards, award amounts, how awards were used, and impact of this funding on the progress made toward closing achievement gaps. Additional reporting requirements will be included in the grant award documents. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, the share of the cost provided from other sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient shall maintain such records for three years after the completion of the activity for which funds are used.

**Account Identification:**

91-1909-0-1-501.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$650,000,000; FY 10 est \$100,000,000 - Funds are expected to be obligated in FY 2010.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED will issue guidance for this program. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Margo Anderson, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: margo.anderson@ed.gov Phone: (202) 205-3010.

**Website Address:**

<http://www.State.Fiscal.Fund@ed.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be contained in the program guidance.

**84.397 STATE FISCAL STABILIZATION FUND (SFSF) - GOVERNMENT SERVICES, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Division A, Title XIV, Public Law 111-5.

**OBJECTIVES:**

To support public safety and other government services, which may include assistance for elementary, secondary education and public institutions of higher education (IHEs), and for modernization, renovation or repair of public school facilities and IHE facilities.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

States must use 18.2 percent of the State Fiscal Stabilization funds for education, public safety, and other government services, which may include assistance for elementary and secondary education and public IHEs, and for modernization, renovation, or repair of public school facilities and IHE facilities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Governor must submit an application to the Department of Education (ED) containing assurances that the State will: (a) maintain support for elementary, secondary, and postsecondary education for FY 2009, 2010, and 2011 at the FY 2006 level; (b) take actions to address inequities in the distribution of highly qualified teachers; (c) improve the collection and use of education data; (d) enhance the quality of the States academic standards and assessments; (e) include limited English proficient students and students with disabilities in State assessments; and (f) take actions to turn around schools identified for corrective action or restructuring under Title I, Part A of the ESEA, 20 U.S.C. 6301 et seq.

Each State must also provide baseline data that demonstrates its current status in each of the areas described in the assurances referenced above, and a description of how it intends to use its allocation, and other information as the Secretary may require.

**Award Procedure:**

The Department of Education will make awards to States on a formula basis upon approval of the State application.

**Deadlines:**

Jul 01, 2009

**Range of Approval/Disapproval Time:**

Approval time will vary by State.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title XIV, Division A, Public Law 111-5.

Matching Requirements: Sixty-one percent of State allocations are based on relative shares of individuals aged 5 to 24, and 39 percent are based on relative shares of total population.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Any funds that the Governor does not subgrant or otherwise commit within 2 years will be reobligated. Funds are available for obligation until September 30, 2011. The Secretary of Education will reallocate any returned funds to the remaining States. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

For each year of the program, a State receiving funds under this title shall submit a report to the Secretary, that describes the uses of funds provided under this title within the State; the distribution of funds received; the number of jobs saved or created; tax increases averted; the States progress in reducing inequities in the distribution of highly-qualified teachers, developing a longitudinal data system, and implementing valid assessments; actions taken to limit tuition and fee increases at public IHEs; and the extent to which public IHEs maintained, increased, or decreased enrollments of in-State students. Specific reporting requirements are detailed in Division A, Title XV of ARRA. Cash reports are not applicable. No progress reports are required. Expenditure reports are required in accordance with guidance from OMB and the Department. Contact the program office for additional information. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, the share of the cost provided from other sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient shall maintain such records for three years after the completion of the activity for which funds are used.

**Account Identification:**

91-1909-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$8,842,652,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Awards to States will vary in size from approximately \$15 million to \$1 billion. The average grant award will be approximately \$169 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program can be found at <http://www.ed.gov/programs/statestabilization/applicant.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

James Butler, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: James.Butler@ed.gov Phone: (202) 260-9737.

**Website Address:**

<http://www.ed.gov/programs/statestabilization>

**RELATED PROGRAMS:**

84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act; 84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act; 84.396 State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.398 INDEPENDENT LIVING STATE GRANTS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part B ; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To assist States in maximizing the leadership, empowerment, independence, and productivity of individuals with disabilities, and the integration and full inclusion of individuals with disabilities into the mainstream American society, by providing financial assistance for providing, expanding, and improving the provision of independent living services.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds received under this Part may be used to support the operation of the

Statewide Independent Living Councils (SILC), States may also use funds received under this Part for one or more of the following purposes: to provide independent living services to individuals with significant disabilities; to demonstrate ways to expand and improve independent living services; to support the operations of centers for independent living; to increase the capacities of public or nonprofit agencies and organizations and other entities to develop comprehensive approaches or systems for providing independent living services; to conduct studies and analyses, gather information, develop model policies and procedures, and present information, approaches, strategies, findings, conclusions, and recommendations to Federal, State, and local policymakers in order to enhance independent living services for individuals with disabilities; to train individuals with disabilities and individuals providing services to individuals with disabilities and other persons regarding the independent living philosophy; and to provide outreach to populations that are unserved or underserved by programs under this title, including minority groups and urban and rural populations.

**Applicant Eligibility:**

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**Beneficiary Eligibility:**

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**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. The match for this program may be in-kind. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no separate application required for this program. Agencies are eligible to receive funds for this program under the Recovery Act if they have an approved State Plan for Independent Living. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible agencies in a State with an approved State Plan for Independent Living do not need to submit an application to receive funds for this program under the Recovery Act. In some States, the approved State Plan for Independent Living may need to be revised or amended to account for the increased funding available under the Recovery Act. The Department will provide additional guidance on this issue and expenditures of funds in these instances will be conditioned on the submission of a revised or amended State Plan for Independent Living.

**Award Procedure:**

All agencies eligible for funding under an approved State Plan for Independent Living for the Independent Living State Grants program (CFDA 84.169) are eligible to receive funds provided under the Recovery Act for this program. A grant award based on each agency's share of the formula allocation for a State of the funds provided by the Recovery Act for this program was issued on April 1, 2009. In some States, the approved State Plan for Independent Living may need to be revised or amended before the Recovery Act funds may be expended. In these instances, grant awards will be subject to a grant condition.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VII, Chapter 1, Part B.

Matching Requirements: Recovery Act funds will be allocated among States according to the formula in section 711 of the Rehabilitation Act using annual population estimates from the U.S. Census Bureau. The Federal share for any fiscal year is one State dollar for every Federal dollar. The State contribution may be cash or in-kind.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010.

State agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs. Annual and quarterly progress reports; annual budget and case service reports; annual financial reports. Grantees will report on how funds under this program are spent and the results of those expenditures. Grantees receiving funding under the Recovery Act may be required to report at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Specific reporting requirements will be included in grant award documents. Contact the program office for more information. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Education Department periodically conducts audits and site visits of designated State unit programs funded under Part B.

**Records:**

As required by EDGAR for State-administered programs. Generally, States and sub-grantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$18,200,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

In FY 2009, the range of awards is expected to be \$22,523 to \$1,623,087.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: Funds were awarded to 78 designated State units. Fiscal Year 2010: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Independent Living Regulations 34 CFR 364 and 365.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Bethel, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: william.bethel@ed.gov Phone: (202) 245-6775.

**Website Address:**

<http://www.ed.gov/programs/rsailstate/index.html>.

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living\_State

Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act ; 84.400 Centers for Independent Living, Recovery Act.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An approved State plan is a condition for receipt of funds under Title VII, Part B of the Rehabilitation Act.

**84.399 INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 2. ; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide independent living services to individuals aged 55 or older who are blind, whose severe visual impairments make competitive employment extremely difficult to obtain, but for whom independent living goals are feasible.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal funds are used to improve or expand independent living services. Among the services provided are those to help correct or modify visual disabilities, provide eyeglasses and other visual aids, provide services and equipment to enhance mobility and self-care, provide training in Braille and other services to help older individuals who are blind adjust to blindness, provide teaching services in daily living activities, and other supportive services that enable individuals to live more independently. Funds can also be used to improve public understanding of the problems faced by visual older individuals who are blind.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no separate application required for this program. Agencies are eligible to receive funds for this program under the Recovery Act if they have a current approved application under Independent Living Services for the Older Individuals Who Are Blind program (CFDA 84.177). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Agencies with a current approved application under CFDA 84.177 do not need to submit an application to receive funds under the Recovery Act because these funds will be made available to each Agency based on the Agencies established eligibility for FY 2009 funds under CFDA 84.177.

**Award Procedure:**

The Recovery Act funds will be awarded based on the formula allocations for States authorized under section 752(j) of the Rehabilitation Act. A grant in the

amount of this allocation will be forwarded to all eligible Agencies by the end of March 2009.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Chapter 2.

Matching Requirements: Cost-sharing of \$1 for each \$9 of Federal grant funding is required.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010.

Grantees have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Funds will be released by electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs. Annual and quarterly progress reports; annual budget and case service reports; annual financial reports are required. Grantees will report on how funds under this program are spent and the results of those expenditures. Grantees receiving funding under the Recovery Act may be required to report at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Specific reporting requirements will be included in grant award documents. Contact the program office for more information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements will be included in grant award documents.

**Records:**

As required by EDGAR for direct grant programs. Generally, records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$34,300,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

In FY 09, the range of awards is expected to be \$3,170 to \$3,707,077.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: Funds were awarded to 56 designated State units. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 752 of the Rehabilitation Act, as amended, and 34 CFR 367, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Bethel, Department of Education, OSERS 400 Maryland Ave., S.W., Rm. 5057, PCP, Washington, District of Columbia 20202 Email: william.bethel@ed.gov Phone: (202) 245-6775.

**Website Address:**

<http://www.ed.gov/programs/rsailob/index.html>

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.398 Independent Living State Grants, Recovery Act ; 84.400 Centers for Independent Living, Recovery Act.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects awarded under CFDA 84.177 have extended services to subgroups of the older blind population that are vulnerable to premature or unnecessary institutionalization as well as to older deaf-blind persons. These projects provide services in both rural and urban areas and about half of the grantees make sub-grants to community nonprofit agencies to deliver services. In addition to in-home and/or facility- based service provisions, mobile units and community mini-centers are available near the residences of persons being served. All projects provide comprehensive independent living services. Fiscal Year 2009: N/A. Fiscal Year 2010: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for the current, approved applications under this program were based on the extent of need for the project, the plan of operation, the quality of key personnel, the budget and cost-effectiveness, the evaluation plan, the adequacy of resources, the service comprehensiveness, and the likelihood of sustaining program. Criteria for selecting projects are published in program regulation at 34 CFR 367.

**84.400 CENTERS FOR INDEPENDENT LIVING, RECOVERY ACT.**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide independent living services to individuals with significant disabilities to assist them to function more independently in family and community settings, by developing and supporting a statewide network of centers for independent living.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Federal funds are used for the establishment and operation of centers for independent living which offer a combination of services. Services must include independent living core services, which include information and referral services, training in independent living skills, peer counseling, individual and systems advocacy, and as appropriate, a combination of any other independent living services specified in Title II of the Rehabilitation Act. Each center must have a governing board composed of a majority of persons with significant disabilities. The majority of the staff and individuals in decision making positions must be individuals with disabilities. Not less than 1.8 percent and not more than 2 percent of Federal funds appropriated for the program must be reserved to provide training and technical assistance through entities experienced in the operation of centers for independent living.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs for States that administer these grants through the authorization in section

723 will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for all other grantees will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for new awards from eligible agencies should be submitted to the Department of Education, 400 Maryland Ave., SW., Washington, DC 20202-4725, unless otherwise directed in the Federal Register Announcement.

**Award Procedure:**

New awards are made on approval of the Commissioner of Rehabilitation Services Administration, and the Assistant Secretary of OSERS, based on the findings of Federal and nonfederal reviews of applications to ensure the applicants satisfactorily demonstrate that they will meet the standards and assurances described in Section 725 (b) and (c) the Rehabilitation Act.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

These projects may be continued under CFDA 84.132 based on a self-evaluation report, and accomplishments as described in the Center's self-evaluation and annual report requirements under Section 725 (c)(8) of the Act, submittal of a continuation application, and the availability of funds. Renewals are available through the regular continuation application process and are subject to the availability of funds under the regular program appropriation (see CFDA program 84.132).

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Section 721 of the Rehabilitation Act provides a population-based formula for the allocation of program funds among States. These funds are then awarded through competitive grants to non-profit organizations in the State.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010.

Grantees have an additional 12-month period to obligate their funds. New projects are typically funded for five years with funding approved on a 12-month basis. Continuation awards will be subject to the availability of funds under the regular program (see CFDA program 84.132). See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Grantees receiving funding under the Recovery Act will be required to report at the end of each quarter on the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Specific reporting requirements will be included in grant award documents. Contact the program office for more information. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit reports may be included grant documents.

**Records:**

Fiscal records must be maintained for 3 years after the grant ends and the final financial report is submitted or until all audit questions are resolved.

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$87,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Regulations at 34 CFR 364 and 366.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Bethel, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: [william.bethel@ed.gov](mailto:william.bethel@ed.gov) Phone: (202) 245-6775.

**Website Address:**

<http://www.ed.gov/programs/cil/index.html>.

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.398 Independent Living State Grants, Recovery Act ; 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program include extent of need for the project, past performance, satisfaction of the standards and assurances set forth in Section 725, quality of key personnel, budget and cost-effectiveness, evaluation plan, plan of operation, and involvement of individuals with significant disabilities. Criteria for evaluating applications are published in program regulations at 34 CFR 366.

**84.401 IMPACT AID SCHOOL CONSTRUCTION, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Section 8007(b), Title VIII; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide school construction assistance to local educational agencies (LEAs) where the presence of certain children living on Federal property places a financial burden on the LEAs that educate them (Section 8003, ESEA).

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Awards must be used for construction activities, including the preparation of

drawings and specifications for school facilities; erecting, building, acquiring, altering, remodeling, repairing, or extending school facilities; and inspecting and supervising the construction of school facilities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to the Secretary of Education and a copy is sent to the State educational agency (SEA). The applications must contain a description of the proposed project, a budget table, project timeline, and an independent certification that the need for the project exists. The applications will be made available through the e-grants e-Application web page at <http://e-grants.ed.gov>.

**Award Procedure:**

Funds are awarded on a competitive basis. Applications are reviewed by program analysts to ensure preliminary eligibility and completeness. All eligible applications are peer-reviewed and ranked in order for selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included in the program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Performance periods will vary depending on the type of project funded. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The LEA will be required to submit financial documentation to verify the appropriate use of funds. In addition, the LEA will be required to provide a narrative on the outcome of the project and its impact on local employment. ARRA-funded programs may also be required to report on how funds under this program are spent and the results of those expenditures. Additional requirements will be included in application instructions or program guidance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Additional audit requirements may be included in grant award documents.

**Records:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Account Identification:**

91-0103-0-1-501.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$60,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

For 2009, the range of awards is expected to be \$15,000 - \$6,000,000; the average award is expected to be \$1,500,000. It takes between 90 and 120 business days from the time applications are received until grant awards are made.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: For 2009, the program expects to award approximately 40 grants to eligible LEAs. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Schagh, Department of Education, OESE, Impact Aid Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202-6244 Email: [impact.aid@ed.gov](mailto:impact.aid@ed.gov) Phone: (202) 260-3858.

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/impactaid/index.html>.

**RELATED PROGRAMS:**

84.041 Impact Aid; 84.404 Impact Aid -- School Construction Formula Grants, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Funds were used by LEAs to replace failing alarm systems, install waste water treatment facilities, repair lighting, electrical and air exchange systems, repair roofs, floors, and windows, and other emergency repairs. Fiscal Year 2010: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Selection criteria that the Department will consider are: the current health and safety risk to school students and personnel; the LEA's ability to support the needs of the current enrollment; the LEA's ability to provide a comprehensive educational program that meets current State standards; the extent to which projects would use energy-efficient and recyclable materials; the use of non-traditional or alternative building methods to expedite construction and maximize cost efficiency; the feasibility of completing the project within 24 months; and the availability of other resources for the project.

**84.402 CONSOLIDATED GRANTS TO THE OUTLYING AREAS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, 48 U.S.C 1469a; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To make an annual consolidated grant to an Insular Area in an amount that is the sum of its allocations under two or more of the four programs for which it is eligible under the American Recovery and Reinvestment Act of 2009 (ESEA, Title I, Part A-Grants to LEAs; ESEA, Title I, Section 1003(g)-School Improvement Grants; Title II, Part D-Educational Technology State Grants; McKinney-Vento Homeless Assistance Act-Title VII-B Grants) to assist it in carrying out one or more of State-administered formula grant programs of the Department.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

An Insular Area shall use the funds it receives under a consolidated grant to carry out, in its jurisdiction, one or more of the programs included in the grant. (See above programs.) An Insular Area may only use and administer funds under the eligible programs to be consolidated described in section 76.125 (c) of EDGAR during a fiscal year for which the Insular Areas is entitled to receive funds under an appropriation for that program.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An Insular Area applies annually for a grant consolidating two or more of the programs eligible to be consolidated in accordance with the application requirements of EDGAR 76.131.

**Award Procedure:**

The Secretary awards a single consolidated grant annually to each Insular Area that meets the requirements of EDGAR 76.125 through 76.137 and each program under which the grant funds are to be used and administered. If the Secretary may decide that one or more programs cannot be included in the consolidated grant if it is determined that the Insular failed to meet the program objectives stated in its plan for the previous fiscal year in which it carried out the programs. The eligibility of a particular Insular Area to receive grant funds under a Federal education program is determined under the statute and regulations for that program (EDGAR 76.130 (a), (b), (d)).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Applications will be reviewed within approximately 30 days.

**Appeals:**

The Secretary shall not disapprove a consolidated grant application before offering the Insular Area an opportunity to revise the plan and a hearing. (See 34 CFR 76.202.).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally last for 1 year. See the following for information on how

assistance is awarded/released: Electronic transfer.

**Reports:**

As required by EDGAR76.132 (5), an annual report is required to be submitted to the Secretary containing information covering the program or programs for which the grant is used and administered, including the financial and program performance information as required under 34 CFR 74.51-74.52 and 34 CFR 80.40-80.41. ARRA-funded programs may be required to report on how funds under this program are spent and the results of those expenditures. Additional requirements will be included in application instructions or program guidance. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional auditing requirements will be included in grant award documents.

**Records:**

As required by EDGAR 76.132(7), the grantee keeps records, including a copy of the application document under which funds are to be spent, which show how the funds received under the consolidated grant have been spent.

**Account Identification:**

91-0901-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$39,006,082; FY 10 est \$0

**Range and Average of Financial Assistance:**

No information provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The consolidated grant funds are designed to further the purposes authorized for any of the grants that have been consolidated and has increased the flexibility of Insular Areas to direct funds to their greatest educational needs and priorities. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 80, 81,82, and 85.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie Rogers, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg, Room 3W241, Washington, District of Columbia 20202 Email: Valerie.rogers@ed.gov Phone: (202) 260-2543.

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/sst/index.html>

**RELATED PROGRAMS:**

84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not Applicable. Fiscal Year 2009: Funded projects may include activities to improve teacher quality; reduce class size; use technology effectively in classrooms; improve the development and use of the student data systems; and generate, maintain, and strengthen parental and community involvement; programs for the recruitment and hiring of teachers for class size reduction; professional development activities for teachers and school administrators; technology for classroom use; a reading and mathematics reform program; alternative educational programs for at-risk students; gifted and talented education; and participation of children enrolled in private schools. Fiscal Year 2010: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **84.403 CONSOLIDATED GRANT TO THE OUTLYING AREAS**

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

##### **AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, 48 U.S.C 1469a.

##### **OBJECTIVES:**

To make an annual consolidated grant to assist an Insular Area in carrying out one or more State-administered formula grant programs of the Department. (i.e., -ESEA, Title I, Part A-Grants to LEAs; ESEA, Title I, Section 1003(g)-School Improvement Grants; ESEA, Title I, Part B- Reading First State Grants; ESEA, Title I, Part B, subpart 3-Even Start Grants; ESEA, Title II, Part A-Teacher Quality Grants; ESEA, Title II, Part D-Educational Technology State Grants; ESEA, Title III, English Language Acquisition Grants; ESEA, Title IV, Part B-21st Century Community Learning Centers Grants; ESEA, Title V, Part A-State Grants for Innovative Programs; ESEA, Title IV, Part A-Safe and Drug-Free Schools and Communities-SEA Funds; ESEA, Title IV, Part A-Safe and Drug-Free Schools and Communities-Governors Funds; AEFLA-Section 243-Adult Education State Administered Program grants; Perkins Act, Title I-Career and Technical Education Basic State Grants, Perkins Act, Title I ,Career and Technical Education-Tech Prep Education Grants; ESEA, Title VI, Part A-State Assessments; Mckenney-Vento Homeless Assistance Act-Title VII-B Grants; ESEA, Title II, Part, B-Mathematics and Science Partnerships grants; HEA, Title IV, Part A, Subpart 4- Leveraging Educational Assistance Partnership grants.

##### **TYPES OF ASSISTANCE:**

Formula Grants

##### **USES AND USE RESTRICTIONS:**

An Insular Area shall use the funds it receives under a consolidated grant to carry out, in its jurisdiction, one or more of the programs included in the grant. (See above programs.). An Insular Area may only use and administer funds under the eligible programs to be consolidated described in section 76.125 (c) of EDGAR during a fiscal year for which the Insular Areas is entitled to receive funds under an appropriation for that program.

##### **Applicant Eligibility:**

None

##### **Beneficiary Eligibility:**

None

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An Insular Area applies annually for a grant consolidating two or more of the programs eligible to be consolidated in accordance with the application requirements of EDGAR 76.131.

##### **Award Procedure:**

The Department awards a single consolidated grant annually to each Insular Area that meets the requirements of EDGAR 76.125 through 76.137 and each program under which the grant funds are to be used and administered. The Department may decide that one or more programs cannot be included in the consolidated grant if it is determined that the Insular failed to meet the program objectives stated in its plan for the previous fiscal year in which it carried out the programs. The eligibility of a particular Insular Area to receive grant funds under a Federal education program is determined under the statute and regulations for that program (EDGAR 76.130 (a), (b), (d)).

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

##### **Appeals:**

The Department shall not disapprove a consolidated grant, before offering the Insular Area an opportunity to revise the application and a hearing. (See 34 CFR 76.202.).

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Department waives all requirements for matching funds for those programs that are consolidated by an Insular Area in a consolidated grant application (EDGAR 76.135).

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Awards generally run for one fiscal year. See the following for information on how assistance is awarded/released: Contact the program office for the information.

##### **Reports:**

As required by EDGAR 76.132(5), an annual report is required to be submitted to the Secretary containing information covering the program or programs for which the grant is used and administered, including the financial and program performance information as required under 34 CFR 74.51-74.52 and 34 CFR 80.40-80.41. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

As required by EDGAR 76.132(7), the grantee keeps records, including a copy of the application document under which funds are to be spent, which show how the funds received under the consolidated grant have been spent.

##### **Account Identification:**

91-0203-0-1-501; 91-0400-0-1-501; 91-1000-0-1-501; 91-1300-0-1-501; 91-0900-0-1-501.

##### **Obligations:**

(Formula Grants) FY 08 \$72,685,490; FY 09 est \$77,611,900; FY 10 est not reported. - Information for FYs 2009 and 2010 are not yet available. Contact the program office for more information.

##### **Range and Average of Financial Assistance:**

Awards range from approximately \$9 million to \$23 million.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program has furthered the purposes authorized for any of the grants which have been consolidated and has increased the flexibility of Insular Areas to direct funds to their greatest educational needs and priorities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 80, 81,82, and 85

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Valerie Rogers, School Support and Technology Programs, Office of



Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg, Room 3W241, Washington, District of Columbia 20202 Email: Valerie.rogers@ed.gov Phone: (202) 260-2543.

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/sst/index.html>

**RELATED PROGRAMS:**

84.402 Consolidated Grants to the Outlying Areas, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects include activities to improve teacher quality; reduce class size; use technology effectively in classrooms; improve the development and use of the student data systems; and generate, maintain, and strengthen parental and community involvement; programs for the recruitment and hiring of teachers for class size reduction; professional development activities for teachers and school administrators; technology for classroom use; a reading and mathematics reform program; alternative educational programs for at-risk students; gifted and talented education; and participation of children enrolled in private schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.404 IMPACT AID -- SCHOOL CONSTRUCTION FORMULA GRANTS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Section 8007(a), Title VIII ; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide school construction assistance to local educational agencies (LEAs) where the presence of children living on Federal property places a financial burden on the LEAs that educate them (Section 8003, ESEA).

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Awards must be used for construction activities, including the preparation of drawings and specifications for school facilities; erecting, building, acquiring, altering, remodeling, repairing, or extending school facilities; and inspecting and supervising the construction of school facilities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications are required. Awards will be determined based on information from Impact Aid Section 8003 applications submitted for FY 2008.

**Award Procedure:**

Funds are awarded according to a statutory formula, based on the number of eligible federally connected children in average daily attendance who are dependents of members of the uniformed services and children living on Indian lands.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Department expects to obligate funds to SEAs within approximately one month after passage of ARRA.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included in the program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Section 8007(a).

Matching Requirements: Payments are determined according to a statutory formula, based on the number of eligible federally connected children in average daily attendance living on Indian lands or whose parents are in the uniformed services.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This is a one-time appropriation. Performance periods will vary depending on the type of project funded. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The LEA will be required to submit financial documentation to verify the appropriate use of funds. In addition, the LEA will be required to provide a narrative on the outcome of the project and its impact on local employment. ARRA-funded programs will report on how funds under this program are spent and the results of those expenditures. Additional requirements may be included in grant award documents. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provision Act and program regulations, an LEA generally must retain records supporting its payment amount for 3 years after the last payment.

**Account Identification:**

91-0103-0-1-501.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$40,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

For 2009, the range of awards is expected to be \$2,000 - \$5,125,000; the average award is expected to be \$221,229.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: For 2009, the program expects to award approximately 179 grants to eligible LEAs. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Schagh, Department of Education, OESE, Impact Aid Programs, Rm

3E105, 400 Maryland Ave., S.W., Washington, District of Columbia  
20202-6244 Email: impact.aid@ed.gov Phone: (202) 260-3858.

**Website Address:**

<http://www.ed.gov/about/offices/list/oes/impactaid/index.html>.

**RELATED PROGRAMS:**

84.041 Impact Aid; 84.401 Impact Aid School Construction, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: Funds are used by LEAs to replace fire/safety systems, repair HVAC systems, install waste water treatment facilities, repair lighting, electrical and air exchange systems, repair roofs, floors, and windows, and make other emergency repairs. Fiscal Year 2010: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.405 TEACHER QUALITY PARTNERSHIPS, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, , Title II, Part A, 20` U.S.C 1021; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

The Teacher Quality Partnership Program seeks to improve student achievement, improve the quality of prospective and new teachers working in high need local educational agencies (LEAs) and high need schools, hold teacher preparation programs accountable for preparing highly qualified teachers, and recruit highly qualified individuals from other occupations into the teaching force by creating successful and high quality Pre-Baccalaureate Teacher Preparation programs and Teaching Residency programs. Projects may also include a school leadership component to train superintendents, principals, early childhood educators program directors, or other school leaders in high-need or rural LEA's. Initiatives to support development of digital education content, to improve the quality of pre-baccalaureate teacher preparation programs, and /or to enhance the quality of pre-service training of prospective teachers are also supported.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for one or both of the following purposes: (1) to strengthen pre-baccalaureate teacher education programs and/or (2) to develop one-year teaching residency programs, which enable participants (who are paid living stipends) to earn master's degrees and teacher certification. In addition, projects may also add a leadership component to train superintendents, principals, early childhood educator program directors, and other school leaders, and/or a component to develop digital education content for the purpose of improving the quality of pre-baccalaureate teacher preparation programs or to enhance the quality of pre-service training for prospective teachers.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. Each institutions must submit an application through Grant.gov covering the entire 5 years of program implementation.

**Award Procedure:**

Peer review panels, composed of representatives from public and private institutions of higher education, state and local educational agencies, and other entities with expertise in teacher or early childhood education, are designated to review applications. Applications are reviewed for quality and compliance with statutory and regulatory requirements. Awards will be made in rank order to those institutions scored highest by the review panels.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal for multi-year projects are processed and funded before those new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Each eligible partnership receiving a grant shall provide, from non-federal sources, an amount equal to 100 percent of the amount of the grant, which may be provided in cash or in-kind, to carry out the activities. Under no circumstances may matching contributions be made with federal funds, or for non federal funds used as match in another federal grant program. In addition, unrecovered indirect costs may not be used as match. Grantees whose approved application/budgets identify an amount of match that exceeds the statutory minimum for any project period must meet that higher amount. Grantees can request a waiver of the required match due to special circumstances.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 5 years, subject to the availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Grantees are required to submit an annual program and performance reports on or about May 15th of each fiscal year so the Department may determine whether substantial progress has been made and a continuation award is warranted. A final report is required upon termination of funding. Other reporting is required under the American Recovery and Reinvestment Act . Guidance will be provided on these requirements at a later date, but will include, at a minimum, at the end of each quarter, the amount of grant funds obligated and expended; all activities for which those funds were obligated and expended; the completion status of those activities; the estimated number of jobs created or retained by the project and those activities; and detailed information on any contracts awarded with grant funds. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional auditing

requirements may be included in grant award documents.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the awards.

**Account Identification:**

91-0196-0-1-502.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$100,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

For FY 2009, the estimated range of awards is \$1,000,000 to \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: In FY 2009, approximately 75 awards will be made. Fiscal Year 2010: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peggi Zelinko, Department of Education, Office of Innovation and Improvement, Teacher Quality Partnerships, 400 Maryland Ave. SW, Washington, District of Columbia 20202 Email: Peggi.Zelinko@ed.gov Phone: (202) 260-2614.

**Website Address:**

<http://www.ed.gov/programs/heatqp/>

**RELATED PROGRAMS:**

84.336 Teacher Quality Enhancement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for this information.

**84.406 CAPACITY BUILDING FOR TRADITIONALLY UNDERSERVED POPULATIONS, RECOVERY ACT.**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, , Section 21, 29 U.S.C 718b; American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide technical assistance to enhance the capacity of minority entities and American Indian Tribes to conduct research, training, technical assistance, or related activities to improve services provided under the Rehabilitation Act, as amended.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are limited to: awards to minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act; awards to minority entities and Indian tribes to conduct research, training, technical assistance, or related activities, to improve services provided under the Rehabilitation Act, especially services provided to individuals from minority backgrounds; and awards to eligible entities to provide outreach and technical assistance to minority entities and Indian tribes to promote their participation in activities funded under the Rehabilitation Act.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Department of Education and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will generally include consultants with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of adequate funds (under the regular (non ARRA) appropriation) and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level until September 30, 2010. Grantees have an additional 12-month period to obligate their funds. New projects are typically funded for 5 years with funding approved on a 12-month basis. Continuation awards will be subject to the availability of funds under the regular program. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Grantees will report on how funds under this program are spent and the results of those expenditures. Additional information on record keeping and reporting requirements for these ARRA funds will be included in application instructions or program guidance to be provided later. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a

continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

Fiscal records must be maintained for 3 years after the grant ends and the final financial report is submitted or until all audit questions are resolved. Additional reporting requirement may be found in EDGAR. Contact the program office for additional guidance.

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$1,400,000 - Grantees will have an additional fiscal year in which to obligate ARRA funds.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: N/A. Fiscal Year 2010: Some program accomplishments are expected to include the following: (1) Extensive training on the Rehabilitation Act of 1973, as amended, the Americans With Disabilities Act, and other key disability legislation; (2) the establishment of State-wide consortia of public agencies and organizations to better coordinate the delivery of vocational rehabilitation and other related services to persons with disabilities from minority backgrounds; (3) sponsoring and co-sponsoring of national and regional conferences of rehabilitation providers such as the Consortia of Administrators for Native American Rehabilitation (CANAR) and others; (4) establishment of rehabilitation training programs at colleges and universities; (5) increase in the number of applications and funding of projects from minority institutions of higher education; (6) implementation of national satellite broadcasts to discuss rehabilitation with participants from institutions of higher education, rehabilitation State agencies, independent living centers, supported employment programs and other agencies and organizations involved in the administration of rehabilitation programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen Chesley, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202-2649 Email: ellen.chesley@ed.gov Phone: (202) 245-7300.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

84.315 Capacity Building for Traditionally Underserved Populations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have supported training, technical assistance, and related activities provided by minority institutions of higher education and Indian tribes and to improve services provided under the Rehabilitation Act, especially services provided to individuals with disabilities from minority backgrounds. Fiscal Year 2009: N/A. Fiscal Year 2010: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program.

**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**

**85.101 HOMELAND SECURITY AWARD**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title

IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To promote and encourage "cutting edge" innovation in the vast arena of homeland security.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The assistance can be used to further research or as the recipient chooses.

**Applicant Eligibility:**

In public/private partnership with AgustaWestland North America, the Christopher Columbus Fellowship Foundation will present one \$25,000 Homeland Security Award to advance research and honor a company or an individual pursuing new discoveries in the field of homeland security. Nominations are limited to American individuals/companies who are making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security, including but not limited to preventing, detecting, or responding to threats from biological, radiological, nuclear, chemical and explosive attacks; border and transportation security; emergency responses to natural and man-made disasters; and cyber security and information sharing, which will result in a significant and positive benefit to society.

**Beneficiary Eligibility:**

U.S. citizen/company permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. The individual/company will be honored for making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All Nominations are received online at: [www.columbusfoundationawards.org](http://www.columbusfoundationawards.org). Only Nominations that meet the eligibility requirements are accepted. Nominations are accepted from all 50 States, territories and possessions. The deadline for Nominations is May 29, 2009.

**Award Procedure:**

The Award is sponsored by a public-private partnership between the Christopher Columbus Fellowship Foundation and AgustaWestland North America, a global leader in designing, manufacturing and supporting the world's most technologically advanced helicopters. All Nominations are read by the Foundation Board of Trustees to select the Semifinalists. Nominators are notified of the Nominee's selection as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews and comments on the Semifinalist's background material. The Foundation Board of Trustees and AgustaWestland select the Award winner. The Award will be presented in Washington, D.C. in October 2009.

**Deadlines:**

May 29, 2009

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

76-0100-0-7-502; 76-8187-0-7-502.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$25,000; FY 09 est \$25,000; FY 10 est \$125,000 - In 2008 and 2009 there was one \$25,000 award per year. In 2010, there will be five \$25,000 awards.

**Range and Average of Financial Assistance:**

\$25,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of fiscal year 2008, 15 Homeland Security Awards have been presented. In 2008, the \$25,000 Homeland Security Award was presented to James Jones, Ph.D., Senior Research Scientist at the Idaho National Laboratory, Idaho Falls, ID, for the development of a long-range, nonintrusive nuclear materials detection technology called the Photonuclear Inspection and Threat Assessment Systems (PITAS). PITAS represents a breakthrough homeland security technology capable of detecting hidden nuclear materials at several hundred feet. This technology utilizes a high-energy linear electron accelerator to produce a controlled photon inspection beam. If nuclear materials are present, the inspection beam produces fission reactions within the nuclear material, resulting in the emission of prompt and delayed neutron and gamma-rays. These rays are analyzed by a series of detectors, which alert operators to the presence of illicit nuclear materials. The technology performs this process within minutes, while leaving no residual environmental impact. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093

**Website Address:**

<http://www.columbusfdn.org> or <http://www.ccolumbusfoundationawards.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.102 CHRISTOPHER COLUMBUS AWARDS****FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C

5701-5708.

**OBJECTIVES:**

The Christopher Columbus Awards is a national, community-based science and technology program for middle school students. The program challenges the students to work in teams of three to four with an adult coach, to identify an issue in their community and apply the scientific method to create an innovative solution to that problem.

**TYPES OF ASSISTANCE:**

Project Grants (Special)

**USES AND USE RESTRICTIONS:**

All members of two Gold Medal winning teams are presented with U.S. Savings Bonds.

The grant must be used to further develop the team's solution to the community issue they addressed in the competition. The grant team will work with a community partner on the project throughout the next year.

**Applicant Eligibility:**

Applicants are teams of three to four students in sixth through eighth grade with a coach, who identify a problem in their community and solve it using the scientific method.

**Beneficiary Eligibility:**

U.S. citizens, middle school students.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application materials may be requested by individuals who meet the eligibility requirements stated above. Entry forms and all competition information are available for download at: [www.christophercolumbusawards.com](http://www.christophercolumbusawards.com) or may be requested by calling (800) 291-6020 ext. 3154. Completed entries must be received by February 9, 2009. The program is sponsored by the Christopher Columbus Fellowship Foundation and managed by MMS Education, 105 Terry Drive, Newtown, PA 18940, Attn: Stephanie Hallman. Entries are accepted from teams of three to four students in grades six to eight from all 50 states, territories and possessions only. All team entries must include: a Christopher Columbus Awards Entry form (signed by team members and the coach), a team-written section and the visual component. To enter, mail the original and two copies of the team's community solution to: Christopher Columbus Awards, 105 Terry Drive, Suite 120, Newtown, PA 18940.

**Award Procedure:**

The Christopher Columbus Awards have three judging phases. The teams' entries are reviewed by a regional panel of judges who select 30 semifinalist teams. Another judging panel selects eight finalist teams and their coaches. The finalist teams receive an all-expense-paid trip to Walt Disney World to attend National Championship Week and compete for U.S. Savings Bonds and the \$25,000 Columbus Foundation Community Grant. The finals and the Christopher Columbus Academy are held at Walt Disney Resorts, Orlando, FL, from June 14-18, 2009.

**Deadlines:**

Feb 09, 2009 The deadline is in early February each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

12-18 months. See the following for information on how assistance is awarded/released: U.S. Savings Bonds are presented following the awards ceremony. The grant is paid in installments upon the approval and under the direction of the Program Manager.

**Reports:**

Program reports are not applicable. No cash reports are required. Interim progress reports regarding the grant project. Final report on project. Receipts of all expenses and travel incurred regarding the grant project. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-0100-0-7-502.

**Obligations:**

(Project Grants (Special)) FY 08 \$215,000; FY 09 est \$250,000; FY 10 est \$265,000

**Range and Average of Financial Assistance:**

\$2,000 U.S. Savings bonds  
\$25,000 Grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, the \$25,000 Columbus Foundation Community grant went to the Trash to Treasure team of students from Bexley City Schools, Bexley, OH. Their project highlighted the problem caused by the depletion of fossil fuels. The team developed a Public Awareness campaign to educate the community about the benefits of using methane gas produced at landfills as an alternative energy source. The team from Solana Pacific Elementary School, San Diego, CA, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Portable Multi-Sensory Unit, a portable and adjustable sensory stimulation device for children with severe multiple disabilities who often do not receive adequate sensory stimulation. The team from Science Rocks U, Whiteface, TX, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Sunbusters: Safe-Tea Sunscreen entry to inform others in their community about "sun safety" and creation of a fragrance- and chemical-free sunscreen formulated from green tea to help protect against skin cancer. Fiscal Year 2009: In 2009, the \$25,000 Stephen J. Moses Community Grant, went to the Ergo-PAD (Ergonomic Posture Alignment Device) team from Carmel Valley Middle School, San Diego, CA, which highlighted the problems of poor body posture when using computers. The team developed the Ergo-PAD, a specialized seat cushion that uses sensory feedback to train people to develop healthy posture while sitting at a computer. The team from St. Philip the Apostle School, Addison, IL, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Recycle Because You Care project to improve local participation in recycling using a community awareness outreach regarding the importance of recycling and supplying free recycling bins to every household. The team from All Saints Catholic School, Manahawkin, NJ, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Call of the Wild entry highlighting the plight of natural habitats being lost to suburban sprawl through a four-pronged plan employing action, outreach, education and political initiatives to preserve the many endangered species identified in the community. Fiscal Year 2010: Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger 110 Genesee Street, Suite 390, Auburn, New York 13021

Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093

**Website Address:**

<http://www.christophercolumbusawards.com> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.103 FREIDA J. RILEY TEACHER AWARD**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To identify and reward an American teacher (grades K-12) who has overcome tremendous personal adversity, or made an enormous sacrifice in order to positively impact students.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

As the recipient chooses.

**Applicant Eligibility:**

Applicant must be an American teacher (grades K-12) who works with a personal physical disability, teaches in an especially challenging educational environment or has performed a heroic act by making an exceptional, personal or physical sacrifice on behalf of students.

**Beneficiary Eligibility:**

U.S. citizen, teacher (grades K-12).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In public/private partnership with the West Virginia Freida J. Riley Teacher Award Committee, the Foundation will present the Freida J. Riley Teacher Award to a current full-time U.S. teacher (grades K-12). Applications are limited to certified classroom teachers who presently teach full-time (grades K-12), in an accredited U.S. public, private, or charter school, with a physical disability, dealing with an especially challenging educational environment, or who has performed a heroic act on behalf of his/her students." The award will not be given posthumously. Applications (Nomination forms) may be downloaded to nominate individuals who meet the eligibility requirements stated above. Completed Nomination forms must be received by March 2, 2009. Only Nominations that meet the eligibility requirements stated above are accepted. Nominations will be accepted from all 50 States, territories and possessions. Individuals that wish to nominate a teacher for the Award must download the Nomination form from <http://www.columbusfdn.org/freidajriley/default.asp>. Information may be requested from the West Virginia Freida J. Riley Teacher Award Committee, Post Office Box 4157, Clarksburg, WV 26302, or the Christopher Columbus Fellowship Foundation, 110 Genesee Street, Suite 390, Auburn, NY 13021. The Nomination packet must include: a Nomination Letter: Typed

double-space, not to exceed three pages; completed and signed Basic Data Sheet; a completed and signed Nominee Consent Signature form; a typed Biographical or Nominee Autobiographical Sketch not to exceed five (5) pages, preferably narrative; and Letter(s) of Support - at least one letter, and no more than three letters, from colleagues, administrators, students or parents.

**Award Procedure:**

Nomination packets are reviewed by the West Virginia Freida J. Riley Teacher Award Committee. The packets are then reviewed and evaluated by a panel of national judges. The West Virginia Freida J. Riley Teacher Award Committee selects the winner. The Award will be presented by the Christopher Columbus Fellowship Foundation, in partnership with the West Virginia Freida J. Riley Teacher Award Committee on May 5, 2009 in Bridgeport, WV.

**Deadlines:**

Mar 02, 2009

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-0100-0-7-502.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$10,000; FY 09 est \$10,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of fiscal year 2008, nine Freida J. Riley Teacher Award Awards have been presented. The 2008 Freida J. Riley Teacher Award was presented to Teresa E. Loving, Special Education Teacher and Founder of S.O.A.R. Academy in Spartanburg, South Carolina. Through great determination and perseverance, Teresa overcame her own disadvantaged childhood and severe learning disability to achieve her dream of becoming a Special Education teacher. When funding cuts threatened early intervention services to local children with special needs, Teresa began a grassroots campaign to try to save these services. When community efforts to reinstate these much needed services failed, Teresa resigned her teaching position to fulfill her new dream of opening a school where children with special needs would be able to learn and thrive in a place tailored to their needs a place where their individual education and therapy needs are met under one roof. Thus, the S.O.A.R. (Success, Opportunity, Achievement and Rewards) Academy was born, with the help of her friends, teachers, parents, nurses, therapists, and other community members to provide services to children with special needs in a three-county area in South Carolina. Fiscal Year 2009: As of fiscal year 2009, ten Freida J. Riley Teacher Award Awards have been presented. The 2009 Freida J. Riley Teacher Award was presented to Alan Bronstein, Chemistry teacher at Central High School, Philadelphia, Pennsylvania. Paralyzed from the chest down due to an auto accident, Alan has overcome many challenges. Selling his business and choosing to relocate to

Philadelphia after his rehabilitation, Alan then focused on a new career choice. He chose to return to teaching, which he had done briefly after college. Upon presentation of his Masters degree, he was surprised when his college gave him special recognition for overcoming adversity. Rather, Alan viewed it as doing what had to be done and doing what makes life worth living not overcoming adversity. Alan has the gift of making science come alive to his students and peers alike by incorporating real-life situations into his science classes, thus making the lessons both relevant and memorable. He loves to create the look of wonder on the faces of fellow teachers and students then I know Im doing what science is supposed to do for people: amaze them and make them wonder; arouse their curiosity - the wow factor!. Fiscal Year 2010: Program is now sponsored and administered by the National Museum of Education, Akron, OH, email: info@nmoe.org.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093

**Website Address:**

<http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.104 LIFE SCIENCES AWARDS**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To encourage and promote "cutting edge" innovation in the field of life sciences.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Nominees must be involved in the field of life sciences research or life sciences education as follows: an adult scientist or researcher; a current secondary school AP Biology or AP Chemistry educator; one current secondary school student in both AP Biology or AP Chemistry respectively.

**Beneficiary Eligibility:**

In public/private partnership with the U.S. Chamber of Commerce, the Foundation will present four Life Sciences Awards to U.S. citizens permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. Four monetary awards will be presented as follows: one \$25,000 award to an adult scientist or researcher; one \$10,000 award to a current secondary school AP Biology or AP Chemistry educator; and a \$5,000 award to a current secondary school student in biology and chemistry respectively who are judged to exemplify excellence in life sciences.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Only Nominations that meet the eligibility requirements are accepted. Nominations will be accepted from all 50 States, territories and possessions. All Nominations are received online at [www.columbusfoundationawards.org](http://www.columbusfoundationawards.org). The deadline is January 12, 2009.

**Award Procedure:**

All Nominations are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation to select the Semifinalists. Nominators are notified of the Nominees selection as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews and comments on the Semifinalists background material. The Foundation Board and the U.S. Chamber ultimately select the winners. The Awards will be presented in Washington, DC on April 30, 2009.

**Deadlines:**

Jan 12, 2009

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

76-0100-0-7-502.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$45,000; FY 09 est \$45,000; FY 10 est \$110,000 - In 2008 and 2009, Awards were presented as follows: one \$25,000 Award per year to a scientist/researcher; one \$10,000 Award per year for a high school AP Biology or AP Chemistry teacher; one \$5,000 Award per year for an AP Biology student and one \$5,000 Award per year for an AP Chemistry student. In 2010, two \$25,000 Awards will be presented to scientists/researchers; three \$10,000 Awards will be presented to high school science educators; one \$15,000 Award will be presented to a university student; and three \$5,000 Awards will be presented to high schools AP students.

**Range and Average of Financial Assistance:**

\$5,000-\$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008, the first annual Life Sciences Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the U.S. Chamber of Commerce were presented. Christine E. Schmidt, Ph.D., Laurence E. McMakin Professor of Biomedical Engineering and Chemical Engineering, at The University of Texas at Austin was awarded the \$25,000 Chairmens Distinguished Life

Sciences Award. Dr. Schmidt was honored for her research in neural cell and tissue engineering, a subfield within bioengineering. Dr. Schmidt has invented a chemical process to modify human nerve tissue so it may be utilized for patients with nerve damage. In particular, she works on engineering advanced biomaterials and therapeutic devices to stimulate damaged peripheral and spinal neurons to regenerate and promote healing of damaged nerve tissue due to traumatic injuries, cancer and other diseases. Paul Cammer, Ph.D., Director, Neurobiology Research Laboratory, Thomas Jefferson High School for Science and Technology (TJ) in Alexandria, VA, was awarded the \$10,000 Life Sciences Educator Award. Dr. Cammer was honored for his innovative and challenging teaching methods. In 2007, TJ, a science magnet school, was ranked as the number one high school in the Nation by U.S. News and World Report. Stori Jensen, a senior at Brighton High School, Salt Lake City, UT, was awarded the \$5,000 Life Sciences Biology Student Award. Stori was honored for her after-school research conducted under the supervision of Dr. Andres V. Maricq in the neurobiology laboratory at the University of Utah. During her research, Stori isolated and identified pharmacological agents found in the venom of cone snails which modulate the function of the brain. Her research has led to a major discovery in brain function and the treatment of neurological disorders, which has been patented with Stori as an equal partner in the patent. Peter Kamel, junior at Centennial High School in Ellicott City, MD, was awarded the \$5,000 Life Sciences Chemistry Student Award. Peter was honored for his after-school research at the Johns Hopkins Hospital on a patent-pending artificial tissue material that changes color in response to an internal temperature influence. The change is a result of a cascade of chemical reactions that take place when the tissue is heated. Peters research findings are important, as doctors will be able to accurately profile tissue damage when treating cancer through a procedure known as heat ablation. Fiscal Year 2009: In 2009, the second annual Life Sciences Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation and the U.S. Chamber of Commerce were presented. Bryon Petersen, Ph.D., at the University of Florida in Gainesville, FL, was awarded the \$25,000 Chairmens Distinguished Life Sciences Award. Dr. Petersen is recognized worldwide as a foremost authority in hepatic stem cells and their role in liver pathobiology. He is currently conducting research in stem cell biology and how it relates to the patho-physiology of the liver. This research shows that bone marrow derived cells could become functioning hepatocytes, and several clinical trials have been attempted based upon his discovery. Additionally, Dr. Petersen is investigating the usefulness of gene/stem cell therapy in the treatment of certain inherited metabolic diseases of the liver Crigler-Najjar Syndrome (C-NS) and Glycogen Storage Disease (GSD). Children with C-NS are unable to eliminate bilirubin from their bodies and, therefore, must undergo daily 12-hour exposure to special blue lights, just to survive. Without daily treatments, a child would suffer brain damage, muscle and nerve damage and death due to bilirubin toxicity. Children with GSD suffer in a different way, having to eat/drink a corn-starch meal every four hours to maintain their blood glucose levels. If they dont, they become hypoglycemic and will fall into a coma and die. His studies combine two high-profile fields stem cells and gene therapy that will hopefully cure these children of their disease, not just treat them. Beenu Gupta, Biology teacher at The Charter School of Wilmington, Wilmington, DE, was awarded the \$10,000 Life Sciences Educator Award. Beenus classroom is dubbed the Disneyland of Biology. Students have been known to sing and dance as they dive into Molecular Biology. Mrs. Gupta said: I have always been passionate about learning and teaching, so I decided to become a high school teacher, where I could provide a solid foundation for college-bound students. My goal has always been to make learning fun, and a life-long experience. The Charter School of Wilmington is a college preparatory high school with a focus on mathematics and science and was ranked 41st in U.S. News and World Reports America's Best High Schools 2008. Henry Zheng, a senior at Centennial High School in Ellicott City, MD, was awarded the \$5,000 Life Sciences Biology Student Award. Henry has been conducting research at The Johns Hopkins University Applied Physics Laboratory since his sophomore year of high school. Under the supervision of Dr. Jeffery Lesho, Biomedical Engineering Group, Henry has worked on his computational neuroscience project that improves the performance of an arm prosthesis. He has received many awards and recognition for this research including the international 2008 FUSION conference in Kn, Germany and in 2009 from coast to coast Seattle, Washington to Washington, D.C. Justin Grzyb, a senior at Westchester Country Day School, High Point, NC, was



awarded the \$5,000 Life Sciences Chemistry Student Award. Since his freshman year in high school, Justin has spent his summers at The Johns Hopkins University. Working for two years under the supervision of Professor Tim Weihs, Department of Materials Science and Engineering, Justin researched and learned about technology surrounding NanoFoil, a reactive thin film composed of alternating, nano-scaled layers of Nickel and Aluminum. He then successfully completed his own project to find a way to create uniform, curved particles of NanoFoil, and then measure the reaction velocity of these particles inside a vacuum. His work was acknowledged in two different research papers, and he is the co-inventor on a provisional patent for creating microscopic particles of NanoFoil. Fiscal Year 2010: Number of Awards will increase from four to nine Awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093

**Website Address:**

<http://www.columbusfoundationawards.org> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION**

**85.500 JAMES MADISON MEMORIAL FELLOWSHIP PROGRAM**

(James Madison Foundation)

**FEDERAL AGENCY:**

James Madison Memorial Fellowship Foundation

**AUTHORIZATION:**

Public Law 99-591, Public Law 099-591.

**OBJECTIVES:**

To strengthen secondary school teaching of the principles, framing, and development of the U.S. Constitution; to contribute to a deeper understanding of American government and to foster in both teachers and students the spirit of civic participation that inspired the Nation's founders.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships)

**USES AND USE RESTRICTIONS:**

For future and current secondary school teachers of American history, American government, or social studies of grades seven through twelve.

**Applicant Eligibility:**

College seniors and college graduates without teaching experience (Junior Fellow) and experienced secondary school teachers of grades seven through twelve (Senior Fellows) may apply.

**Beneficiary Eligibility:**

U.S. Citizens or U.S. Nationals will benefit.

**Credentials/Documentation:**

A Senior Fellow must be a full-time teacher of American history, American government, or social studies in grades seven through twelve and be under contract or prospective contract to teach full time as a secondary school teacher of the same subjects. A Junior Fellow must possess a bachelor's degree or plan to receive a bachelor's degree no later than August 31 of the year in which he or she is applying. An applicant must have a demonstrated record of commitment to civic responsibilities and to professional and collegial activities; qualify for admission with graduate standing at an accredited university that offers a

qualifying Master's degree program (a Master of Arts in history or political science, a Master of Arts in teaching, in history, or in social studies, a related Master's degree in education that permits a concentration in history, government, social studies or political science) which allows at least twelve semester hours or their equivalent of study of the origins, principles, and development of the U.S. Constitution and its comparison with the histories of other forms of government (six of these required twelve semester hours of constitutional study may be earned at the Foundation's required four-week Summer Institute on the Constitution); and be committed to teaching American history, American government, or social studies full time in grades seven through twelve after the receipt of a Master's degree for a period of not less than one year for each full academic year of study for which assistance is received under a fellowship, preferably in the State of the Fellow's legal residence at the time of the fellowship award. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Individuals wishing to apply for fellowships must request application materials from the Foundation. Applications must include: (a) Supporting information which affirms an applicant's wish to be considered for a fellowship; information about the applicant's background, interests, goals, academic record, and an explanation of the applicant's educational plans and how those plans will lead to or enhance a career as a teacher; (b) an essay of up to 600 words that explains the importance of study of the Constitution: 1) To young students; 2) to the applicant's career aspirations and his or her contribution to public service; and 3) to citizenship generally in a constitutional republic; (c) the applicant's proposed course of graduate study including the specific degree sought and the courses to be taken that leads to a Master's degree; and (d) three evaluations that attest to the applicant's academic achievements and intellectual strengths and to his or her potential or proven ability as a secondary school teacher.

**Award Procedure:**

An independent Fellow Selection Committee will evaluate all valid applications and recommend the most outstanding applicant or applicants from each State for James Madison Fellowships. Applicants compete only against other applicants from the State of their legal residence. Applicants are evaluated on their: (a) Demonstrated commitment to a career in teaching American history, American government, or social studies at the secondary level; (b) demonstrated intent to pursue a program of graduate study that emphasizes the Constitution and offers classroom instruction in that subject; (c) demonstrated devotion to civic responsibility; (d) demonstrated capacity for graduate study, as well as proven potential performance as classroom teachers (for Junior Fellowship applicants) or proven outstanding performance as classroom teachers (for Senior Fellowship applicants); and (e) proposed courses of graduate study, especially the nature and extent of their subject content components and their relationship to the enhancement of the applicants' teaching and professional activity. In this regard, a content degree such as one in history or political science may enhance an application versus a MED or a MAT. Candidates recommended for fellowships by the Fellow Selection Committee will be named James Madison Fellows. The selection procedure will ensure that at least one James Madison Fellow (junior or senior) is selected from each State in which there are at least two resident applicants who meet the minimum criteria of eligibility and are judged to merit an award.

**Deadlines:**

Mar 01, 2009 February 15, each year for request of application materials; March 1, each year for receipt of applications for the James Madison Fellowship competition.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. April, each year the Fellow Selection Committee meets to recommend to the Foundation the appointment of Fellows; April, each year the James Madison Fellows are named by the James Madison Memorial Fellowship Foundation (applicants are notified of selection results); May, each year the

names of new James Madison Fellows are publicly announced.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Top contenders and applicants who were not awarded a fellowship are encouraged to submit a fresh application for the current year's competition. Top contenders may elect to sign a Resubmission Agreement authorizing their original application to be placed before the current year's Fellow Selection Committee for consideration for a fellowship award. A Fellowship Application Update Form is also provided if an applicant chooses to include such information.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

It is the intent of the Foundation to renew Junior Fellowships annually for a period not to exceed 2 calendar years and to renew Senior Fellowships annually for a period not to exceed five calendar years, or until a Fellow has completed the minimum number of credits required for the Master's degree, whichever comes first. Renewal will be in accordance with regulations established by the Foundation, subject to an annual review and certification by authorized officials of the university at which a Fellow is registered that the Fellow (if a Junior Fellow) is not engaged in gainful employment that interferes with the Fellow's studies and that the Fellow is making satisfactory progress toward the degree and is in good academic standing. In some cases, Junior Fellows may be permitted to study part-time and Senior Fellows to study full-time. The Foundation may suspend or terminate a fellowship when it obtains evidence that a Fellow is not making satisfactory progress toward the degree or is not in compliance with fellowship requirements. See the following for information on how assistance is awarded/released: Certification by authorized officials of the University at which the Fellow is registered..

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual financial records are audited.

**Records:**

Not applicable.

**Account Identification:**

95-8282-0-7-502.

**Obligations:**

(Salaries) FY 08 \$2,100,000; FY 09 est \$1,816,000; FY 10 est \$2,250,000

**Range and Average of Financial Assistance:**

Payments are made only for the actual costs and tuition, required fees, books, shared rooms and board for the pursuit of qualifying degrees. The maximum amount of each award is \$24,000, prorated over the period of study. In no case shall the award exceed \$12,000 for one academic year of study. Normally, Fellows receive less than the maximum amounts. Payments are made only for the minimum number of credits required for the award of the degree for which a Fellow is registered and for no more.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 1992, the year of the Madison Foundations inaugural national competition, more than 1000 Fellowship Awards have been made to prospective and existing secondary school teachers. Fiscal Year 2009: Raise total awarded to 1060 Fellows. Fiscal Year 2010: Raise total awarded to 1120 Fellows.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 2400.

**Regional or Local Office:**

None.

**Headquarters Office:**

Steve Weiss, 2000 K Street, NW Suite # 303 , Washington, District of Columbia 20006 Email: sweiss@jamesmadison.com Phone: (202) 653-6109 Fax: (202) 653-6045.

**Website Address:**

http://www.jamesmadison.com.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**MILLENNIUM CHALLENGE CORPORATION**

**85.111 RURAL WATER INVESTMENT EVALUATIONS (MOZMBIQUE)**

**FEDERAL AGENCY:**

Millennium Challenge Corporation

**AUTHORIZATION:**

Millennium Challenge Act of 2003 , Executive Order Section 614. Powers of the Corporation Related Provisions(a) The Corporation may make and perform such contracts, grants, and other agreements with any person or government however designated and wherever situated, as may be necessary for carrying out the functions of the Corporation; Section 614(d) of the Millennium Challenge Act of 2003 (Public Law 108-199, Division D), the Millennium Challenge Corporation (MCC), the Foreign Assistance Act of 1961, as amended and the Federal Grant and Cooperative Agreement Act.

MCC Grants and Cooperative Agreement Manual, paragraph 6.3 (c) , Title VI, Section 614.

**OBJECTIVES:**

The proposed joint MCC-Stanford research study will investigate the extent to which, and the conditions under which, productive uses of domestic water can enhance the financial sustainability of water supply systems, reduce poverty, and advance important social goals such as enhancing gender equality. The study will rigorously assess the potential for enhanced domestic water supply systems i.e., systems that provide water for both domestic and productive uses. Currently, the principal benefits from improved rural water supply are thought to be 1) improved health through the reduction of water borne diseases such as diarrhea; and 2) reduction of opportunity cost through shorter travel times to water sources. Both are positive benefits but their link to poverty reduction through economic growth and improved system sustainability are ambiguous. This study will help answer these important questions in the rural water sector to advance progress toward the Millennium Development Goals and improve the quality of life for Mozambique's rural poor.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This Cooperative Agreement is to design and implement a rigorous impact evaluation for the Rural Water Supply Activity (RWSA) of the Mozambique Compact.

**Applicant Eligibility:**

Public nonprofit Institution/Organization; Education Institution.

**Beneficiary Eligibility:**

Federal Government; Non-Profit Institution; Specialized Group.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Sole Source award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Base Year: Date of award through September 5, 2009 Option Year 1: September 5, 2009 September 4, 2010; Option Year 2: September 5, 2010 September 4, 2011; Option Year 3: September 5, 2011 September 4, 2012; Option Year 4: September 5, 2012 September 4, 2013.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Phase I Outreach and Evaluation Planning  
Task 1: Background Review and MCC Outreach Preliminary Assessment and Phase I Work Plan; September 29, 2008; Task 2: Mozambique Outreach/Coordination Presentation to MCA; September 29, 2008; Summary of Mozambique Trip; October 15, 2008;  
Task 3: Evaluation Design and Planning Phase I Final Report; January 30, 2009;  
Phase II  
Task 4: Oversee/Supervise Evaluation Implementation Detailed Work Plan; January 30, 2009; Baseline Data Set; September 28, 2009;  
Task 5: Analysis and Communication Semi-Annual Update Report; December 31, 2009; Mid-Term Evaluation Report; August 31, 2011; Final Impact Evaluation Data Set; April 30, 2013; Final Impact Evaluation Report; June 28, 2013. Method of awarding/releasing assistance: lump sum.

**Reports:**

Phase I Outreach and Evaluation Planning  
Task 1: Background Review and MCC Outreach Preliminary Assessment and Phase I Work Plan; September 29, 2008; Task 2: Mozambique Outreach/Coordination Presentation to MCA; September 29, 2008; Summary of Mozambique Trip; October 15, 2008; Task 3: Evaluation Design and Planning Phase I Final Report; January 30, 2009; Phase II Task 4: Oversee/Supervise Evaluation Implementation Detailed Work Plan; January 30, 2009; Baseline Data Set; September 28, 2009; Task 5: Analysis and Communication Semi-Annual Update Report; December 31, 2009; Mid-Term Evaluation Report; August 31, 2011; Final Impact Evaluation Data Set; April 30, 2013; Final Impact Evaluation Report; June 28, 2013. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain complete records of all costs charged to the cooperative agreement for a period of three years after the expiration of the cooperative agreement and make such records available to MCC or its representatives for review at any time.

**Account Identification:**

95-2750-0-1-151.

**Obligations:**

(Salaries) FY 08 \$150,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$685K.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Design and implement a rigorous impact evaluation for the Rural Water Supply Activity (RWSA) in Mozambique. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shiranthi M. Gnanselvam Millennium Challenge Corporation  
875 15th Street, NW , Washington, District of Columbia 20005 Email: gnanslvamsm@mcc.gov Phone: 202.521.3600

**Website Address:**

<http://www.mcc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**MORRIS K. UDALL FOUNDATION**

**85.400 MORRIS K. UDALL SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

Morris K. Udall Foundation

**AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C 5601-5609.

**OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship, and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy. Assistance is intended for the use of scholars only.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of scholars only. Scholarships may be used for tuition, fees, books, room and board, or other specifically approved expenses. Payments may supplement, but not duplicate, benefits from other foundations, institutions, or organizations. Combined benefits from all sources may not exceed the costs of tuition, fees, books, and room and board as prescribed by the institution.

**Applicant Eligibility:**

(1) College sophomores or juniors in the current academic year having outstanding potential and intending to pursue careers in the environment; and (2) Native American and Alaska Native students who are college sophomores or juniors in the current academic year and have outstanding potential and intend to pursue careers in health care or tribal public policy may apply. Students must be properly nominated by accredited colleges or universities recognized by the Department of Education.

**Beneficiary Eligibility:**

U.S. citizens or nationals, college sophomores or juniors.

**Credentials/Documentation:**

Applicants must be a matriculated sophomore or junior pursuing a degree at an accredited institution of higher education at the time of nomination. "Sophomore" is defined as a student planning two more years of full-time undergraduate study beginning the next academic year. Students in two-year colleges planning to transfer to a baccalaureate program at another institution may be nominated. "Junior" is defined as a student who plans one more year of full-time under-graduate study beginning the next academic year. Student must have a college grade-point average of at least "B" (or the equivalent). Students must be a United States citizen or national. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each September the chief executive officers of accredited U.S. colleges and universities are invited to appoint a Udall Scholarship faculty representative to manage the selection and nomination of up to six students for the upcoming year's Udall Scholarships. The nomination forms are available on the Foundation's website (<http://www.udall.gov>) in September. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The faculty representative of an institution is the key person in the Udall Scholarship selection process and serves as liaison between his/her institution and the Foundation. The faculty representative is responsible for publicizing the Udall Scholarships on campus, soliciting recommendations of students with significant commitment to the environment and outstanding Native American and Alaska Native students that demonstrate a commitment to pursue a career related to health care or tribal public policy from members of the faculty; establishing the process to select the best qualified candidates to be nominated; helping nominees prepare for the competition; and ensuring that the institutions nominations are complete and are forwarded to the Udall Scholarship Review Committee by the stated deadline. The following information on the official nominating materials, must be included with each scholarship nomination: (1) Institutional Nomination Form that verifies the nominee's eligibility and formally transmits the nomination to the Review Committee. This document must be completed and signed by the faculty representative or the nomination cannot be considered; (2) Nominee Information Form that affirms the nominee's wish to be considered for the scholarship; provides biographical information about the nominee's background, interests and plans, and provides a statement about the nominee's intent to enter an eligible career and specifies how the student's educational plans will provide preparation for that career; (3) nominee's essay of 800 words or less analyzing a speech or piece of legislation of Congressman Udall's and how it relates to the nominee's interests and career goals; (4) three Independent Evaluation of Nominee forms. The nominee must secure letters of recommendation from a current or recent faculty member that can discuss the nominee's potential for a career in the environment, health care, or tribal public policy; a current or recent faculty member in the nominee's field of study; and another individual that can attest to the nominee's potential; and (5) transcript of the nominee's college grades.

**Award Procedure:**

The Morris K. Udall Foundation will select individuals from the academic and professional community to serve as the Udall Review Committee. The Morris K. Udall Foundation staff will initially verify the contents of the nomination packets for completeness and then assemble the information for review by the Committee, that will meet at a designated location for one weekend to review and select 80 scholars and 50 honorable mention recipients. Students will be evaluated on the basis of: (a) Outstanding leadership capabilities, (b) academic excellence, (c) the appropriateness of student's plan of study to prepare for a career in the environment, health care, or tribal public policy, and (d) dedication to the values exemplified by Morris K. Udall during his career, i.e., civility, integrity, and consensus. The Review Committee has sole discretion in the selection of the 80 scholars.

**Deadlines:**

Mar 02, 2010 All materials must be received from the faculty representative by the first Tuesday in March of each year. Please visit [www.udall.gov](http://www.udall.gov) for the application procedure and the current year application deadline.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Early March of each year for receipt of nominations; March of each year for selection of scholars by Udall Review Committee; April of each year for announcement of Udall scholars.

**Appeals:**

Not Applicable.

**Renewals:**

Sophomore recipients of Morris K. Udall Scholarships may apply for another scholarship by going through the application process described above.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Udall scholar must matriculate full-time and remain in good academic standing. The Scholar's institution must confirm in writing the cost of attendance and that the Scholar is enrolled full-time and in good academic standing. Scholars are required to submit a payment request form containing information regarding living expenses and additional costs that may be covered. To be eligible to receive payments, a Udall Scholar must submit: 1. An acceptance of the scholarship; 2. An agreement to attend the Scholar Orientation in Tucson, Arizona in August; 3. A statement of eligible expenses, certified by a financial officer of the college or university, including those of tuition, fees, books, and room and board; 4. A completed Direct Deposit/EFT Enrollment form. See the following for information on how assistance is awarded/released: Scholars may receive up to \$5,000 at the beginning of the fall semester or may receive a partial payment in the fall semester and another at the beginning of the spring semester. The number of payments to be made via direct deposit during the academic year will correspond to the number of semesters, trimesters or quarters in the institution's academic year and the amount of funds to be provided, not to exceed \$5,000 in total.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$390,042; FY 09 est \$417,500; FY 10 est \$417,500

**Range and Average of Financial Assistance:**

\$2,000 to \$5,000; average \$4800. Honorable Mentions receive a one-time award of \$350.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact: Mia Ibarra, Program Manager, 130 S. Scott Avenue, Tucson, AZ 85701. Telephone: (520) 901-8500. FAX (520) 670-5530.

**Headquarters Office:**

Jane Curlin 130 S. Scott Avenue, Tucson, Arizona 85701 Email: [curlin@udall.gov](mailto:curlin@udall.gov) Phone: 520-901-8565 Fax: 520-901-8567

**Website Address:**

<http://www.udall.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.401 MORRIS K. UDALL FELLOWSHIP PROGRAM**

Dissertation Fellowship Program

**FEDERAL AGENCY:**

Morris K. Udall Foundation

**AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C 5601-5609.

**OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship, and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of Fellows only. Fellowships fund living and educational expenses for a period of twelve months while a fellow pursues full-time writing of the dissertation. Fellows are required to pursue their projects full time during the fellowship year, July 1 - June 30.

**Applicant Eligibility:**

Applicants must be full-time candidates about to enter the final year of writing their dissertation in the area of U.S. environmental public policy and U.S. environmental conflict resolution and anticipate receiving their doctoral degree at the end of the fellowship year. The competition is open to United States citizens and permanent residents of the United States.

**Beneficiary Eligibility:**

United States citizens and permanent residents of the United States.

**Credentials/Documentation:**

Applicants must have completed all course work, passed all preliminary exams and had the dissertation research proposal or plan approved. Dissertation fellowships are open to scholars in the area of environmental public policy and environmental conflict resolution. Applicants must be full-time candidates in the final year of writing their dissertation and anticipate receiving their degree at the end of the fellowship year. Applicants attending any accredited institution of higher education in the United States will be eligible to apply. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A complete application package consists of: 1) application form 2) personal statement 3) project statement 4) essay analyzing a public policy act or speech of Morris K. Udall number 5) official graduate transcripts 6) three letters of recommendations and 7) Institutional Certification Form certifying the completion of all required course work and qualifying examinations for the doctorate and approval of dissertation research prospectus signed by an appropriate graduate school official.

**Award Procedure:**

The Morris K. Udall Foundation will select three individuals from the academic and professional community to serve as the Fellowship Review Committee. The Foundation will initially verify the contents of the nomination packets for completeness and then assemble the information for review by the selection committee. The selection criteria includes (1) Quality of project design, (2)

originality of project, (3) scholarly significance of project to the discipline, (4) feasibility of project and proposed schedule, (5) qualifications of applicant, (6) potential of applicant to make a significant contribution to the field, and (7) applicant's commitment to environmental public policy and conflict resolution. The Selection Committee will recommend two Fellows and two Alternates.

**Deadlines:**

Feb 24, 2010 All applications must be received at the Foundation by February 24.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Late February of each year for receipt of applications; April of each year for selection of Fellows by Fellowship Selection Committee; May of each year for announcement of Udall Fellows.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Udall Dissertation Fellow is expected to pursue his/her project full-time during the fellowship year, July 1 - June 30. No partial fellowships are awarded. Acceptance of any concurrent funds must have prior approval from the Foundation. Any major changes in plans for the fellowship year must have prior written approval from the Foundation. The Foundation must be notified promptly of any change in the status of an application resulting from acceptance of another award. Stipend checks are made payable to fellows, not to institutions. Dissertation Fellowships fund living and educational expenses for a period of twelve months while a fellow pursues full-time writing of the dissertation. Fellowships do not fund; research assistants, laboratory supplies and equipment, purchase of computer equipment, publication costs, travel to professional meetings, conferences or seminars, tuition for additional course work, repayment of loans or other personal obligations (fellowships are not retroactive), tuition for a dependent's education. See the following for information on how assistance is awarded/released: The first stipend payment will be deposited by July 1 and the second January 15 on receipt and approval of a Fellow's mid-year progress and financial report.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$48,000; FY 09 est \$48,000; FY 10 est \$48,000

**Range and Average of Financial Assistance:**

Each Fellow is eligible to receive \$24,000 to cover living expenses during the fellowship year. Range and average are both \$24,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane Curlin 130 S. Scott Avenue, Tucson, Arizona 85701 Email: curlin@udall.gov Phone: 520-901-8565

**Website Address:**

http://www.udall.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.402 MORRIS K. UDALL NATIVE AMERICAN CONGRESSIONAL INTERNSHIP PROGRAM**

Udall Internship Program

**FEDERAL AGENCY:**

Morris K. Udall Foundation

**AUTHORIZATION:**

Morris K. Udall Scholarship and Excellence in National Environmental and Native American Public Policy Act of 1992, Public Law 102-259, 106 Stat. 78, 20 U.S.C 5601-5609.

**OBJECTIVES:**

To honor former Arizona Congressman Morris K. Udall through the operation of internship, scholarship and fellowship programs, financed by a permanent trust fund endowment, to develop increased opportunities for young Americans to prepare for and pursue careers related to the environment and to Native Americans and Alaska Natives who intend to pursue careers in health care and tribal public policy.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Assistance is intended for the use of interns only. Interns will be provided with airfare to and from Washington, DC; lodging in central DC; per diem to cover meals, transportation and incidentals. A \$1,200 stipend at the conclusion of the internship is awarded.

**Applicant Eligibility:**

Applicants must be Native American or Alaska Native and provide enrollment documentation; be a junior or senior in college, a recent graduate from a tribal or four-year college, or a graduate or law student; have a college grade-point average of at least a "B" or the equivalent; and be a U.S. citizen or U.S. permanent resident. Applicants should also demonstrate commitment to tribal public policy or tribal communities.

**Beneficiary Eligibility:**

U.S. citizens, U.S. permanent residents, Alaska Natives, and enrolled members of a U.S. recognized tribe or First Nations.

**Credentials/Documentation:**

Applicants must be a matriculated junior or senior at an accredited institution of higher education, a recent graduate from a tribal or four-year college, or a graduate or law student at the time of application. Applicants must submit copies of relevant enrollment forms. Applicants who are members of the First Nations of Canada must submit proof of U.S. permanent residency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must include a completed Internship Application Form, an 800 word essay analyzing a piece of legislation sponsored by Congressman Udall that relates to the applicant's interests and career goals, and provide three references, one from a leader in his/her tribe, one from a faculty member in the applicant's field of study, and another individual that can attest to the applicant's potential, and a resume.

**Award Procedure:**

The Morris K. Udall Foundation will select four or five Native Americans from the academic and professional community to serve as the Internship Review Committee. The Udall Foundation will initially verify the contents of the application packets for completeness and then assemble the information for review by the committee. Applicants will be evaluated on the basis of: 1) Interest in and commitment to learning about the federal government; 2) Demonstrated commitment to tribal communities and/or tribal public policy, through contributions to or participation in one or more of the following: campus activities, community or public service, tribal government and cultural activities, research; 3) Desire to use the knowledge gained to support their tribal community and/or Indian Country; 4) Demonstrated leadership, character and integrity. The Review Committee has sole discretion in the selection of the interns.

**Deadlines:**

Jan 29, 2010 Applications must be received by the last Friday in January of each year.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Late January of each year for receipt of applications; February of each year for selection of interns by Internship Review Committee; and April of each year for announcement of Udall interns.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available during the internship program, from late May to early August. See the following for information on how assistance is awarded/released: Native American interns will be provided with airline tickets and an advance of funds prior to their arrival in Washington. Interns will receive per diem by direct deposit every other week for living expenses. Airline tickets and lodging will be prepaid by the Udall Foundation. A \$1,200 stipend will be awarded to each intern at the end of the internship program.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

95-0900-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$93,780; FY 09 est \$97,680; FY 10 est \$98,000

**Range and Average of Financial Assistance:**

Each intern receives approximately \$8200 in housing, airfare, per diem and the educational stipend.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. 130 S. Scott Avenue, Tucson, AZ 85701. Contact: Jane Curlin, Senior Program Manager, Telephone: (520) 901-8565. FAX (520) 670-5530.

**Headquarters Office:**

Jane Curlin 130 S. Scott Avenue, Tucson, Arizona 85701 Email: curlin@udall.gov Phone: 520-901-8565

**Website Address:**

http://www.udall.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### 89.001 NATIONAL ARCHIVES REFERENCE SERVICES\_HISTORICAL RESEARCH

**FEDERAL AGENCY:**

National Archives and Records Administration

**AUTHORIZATION:**

National Archives and Records Administration Act of 1984, Public Law 98-497, 98 Stat. 2280.

**OBJECTIVES:**

Objectives: To provide professional reference service to members of the general public and employees of the Federal government who are conducting research in Federal records or in historical materials in Presidential Libraries; provide the general public with research assistance in gaining access to and use of the records of the Federal government; provide advice and information to the public through conferences, workshops and other outreach activities on the availability and use of Federal records in the NARA's custody and, preparing for publication and dissemination articles of a scholarly nature for historical journals and technical publications.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The assistance provided by NARA is designed to assist the public in obtaining access to information contained in records which are in the custody of the National Archives. Restrictions on the use of accessioned records in the National Archives of the United States are divided into two categories: general restrictions and specific restrictions. General restrictions apply to all records regardless of origin and apply to types of information or classes of records exempt from disclosure under the Freedom of Information Act, for example, national security information. Specific restrictions are specified by the transferring agency or donor and apply only to records in a particular record group or a portion of that record group. All restrictions are included in 36 CFR 1256. Access to records in the records center operations within NARA's regional records services facilities; in the National Personnel Records Center; and in the Washington National Records Center is controlled by the agency which created the records. General restrictions apply to all records regardless of origin, and apply to types of information or classes of records exempt from disclosure under the Freedom of Information Act. Specific restrictions are specified by the transferring agency or donor, and apply only to records in a particular record group or a portion of that group. All restrictions are included in 36 CFR 1256.

**Applicant Eligibility:**

Anyone (general public).

**Beneficiary Eligibility:**

Anyone (general public).

**Credentials/Documentation:**

Photographic identification. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To see records in person, NARA Form 14003, Researcher Application, is required. To obtain information or copies by mail, contact the depository; if a form is required, applicant will be notified. The use of publications, such as microfilm publications of the U.S. Census, does not require the completion of a Researcher Application. Microfilm publications are available in regional facilities in self-service reference rooms. Request for civilian and military personnel records should be addressed to the National Personnel Records Center. Requests for court records should be addressed to the appropriate regional records services facility. Requests for records held in records center operations of the NARA regional records services facility and in the Washington National Records Center should be addressed directly to the agency having legal custody.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:****Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

88-0300-0-1-804.

**Obligations:**

(Salaries) FY 08 \$49,456,721; FY 09 est \$49,974,217; FY 10 est \$50,307,550

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During fiscal year 2008, the National Archives provided a total of 1,418,911 reference responses from the following sources: Records Services-Washington, DC, provided 87,712; Regional Records Services provided 1,292,449; and Presidential Libraries provided 38,750. National Archives provided 576,337 reference items to researchers for fiscal year 2008: Records Services-Washington, DC, provided 427,091; Regional Records Services provided 72,570; and Presidential Libraries provided 76,676. Fiscal Year 2009: It is estimated that for fiscal year 2009, the National Archives will provide 1,461,068 reference responses (Records Services-Washington, DC, 77,918; Regional Records Services 1,346,091; and Presidential Libraries 37,059); and 485,240 items to researchers (Records Services-Washington, DC, 367,183; Regional Records Services 52,959; and Presidential Libraries 65,098). Fiscal Year 2010: It is estimated that for fiscal year 2010, the National Archives will provide 1,461,068 reference responses (Records Services-Washington, DC, 77,918; Regional Records Services 1,346,091; and Presidential Libraries 37,059); and 485,240 items to researchers (Records Services-Washington, DC, 367,183; Regional Records Services 52,959; and Presidential Libraries 65,098).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Chapter XII, Subchapter C. Over 200 printed publications are available as listed in General Information Leaflet No. 3, "Select List of Publications of the National Archives and Records Administration," available without charge from the Publication Services (NEPS), National Archives and Records Administration, Washington, DC 20408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses.

**Headquarters Office:**

Jacquelyn A. Gerard 8601 Adelphi Road, College Park, Maryland 20740 Email: jacquelyn.gerard@nara.gov Phone: 301-837-1742 Fax: 301-837-3224

**Website Address:**

<http://www.archives.gov>.

**RELATED PROGRAMS:**

89.003 National Historical Publications and Records Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**89.003 NATIONAL HISTORICAL PUBLICATIONS AND RECORDS GRANTS****FEDERAL AGENCY:**

National Archives and Records Administration

**AUTHORIZATION:**

National Archives and Administration Act of 1984, Public Law 108-383, 118 Stat. 2218.

**OBJECTIVES:**

To undertake a wide-range of activities related to the preservation, publication, and use of documentary sources relating to the history of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for projects to strengthen the nation's archival infrastructure through collaboration with the States; to provide leadership in preserving and making accessible important documentary sources in electronic form; to improve the knowledge, performance, and professional skills of those who work with historical records; for the preservation, arrangement and description of records of historical interest; and for the publication in book, microform or electronic editions of papers and documents of national historical significance, especially in completing editions of papers on America's founding era.

**Applicant Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes (see 44 U.S.C. 2504), educational and other nonprofit institutions (e.g., universities, colleges, libraries, historical societies, museums, university presses, archives, etc.) and individuals.

**Beneficiary Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes, educational and other nonprofit institutions, and individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Go to [www.grants.gov](http://www.grants.gov) or [www.archives.gov/grants](http://www.archives.gov/grants) to request information from headquarters office. Applications from State and local governments are subject to the provisions of the common rule for State and local grant administration, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," dated (36 CFR 1207).

**Award Procedure:**

Applications are reviewed by state historical records advisory boards, subject area specialists and other appropriate individuals. Grant awards are recommended by the National Historical Publications and Records Commission at biennial meetings. Grants are formally made by the Archivist of the United States to the applicant institution or individual by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 4 to 6 months.

**Appeals:**

Applications may be revised and resubmitted in accordance with established procedures.

**Renewals:**

Procedures for the renewal of applications are the same as the original application procedure process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies depending on scope of project. See the following for information on how assistance is awarded/released: Varies depending on scope of project.

**Reports:**

No program reports are required. No cash reports are required. Narrative Progress reports are required for all grants. These reports are due 30 days after the end of each 6-month period, with the final report due within 90 days after the expiration of the grant period. Grants with a duration of 6 months or less require a final report only. Financial status reports are required for all grants. SF-269, Financial Status Report, shall be used for all financial reports, which are due 30 days after the end of each 12-month period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

**Records:**

The grantee institution maintains records which fully disclose the amount and disposition of granted funds, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**Account Identification:**

88-0301-0-1-804.

**Obligations:**

(Salaries) FY 08 \$7,962,000; FY 09 est \$9,250,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

\$5,000.00 to \$750,000.00 with average of \$85,000.00.



**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY2008, 166 grant applications were reviewed and 113 grants were awarded. The average amount of grant awarded was \$68,367. Fiscal Year 2009: In FY2009, it is estimated that 126 grant applications will be reviewed and 106 grants will be awarded. The average amount of grant awarded is estimated to be \$78,132. Fiscal Year 2010: In FY2010, it is estimated that 130 grant applications will be reviewed and 105 grants will be awarded. The average amount of grant awarded is estimated to be \$70,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant application announcements. 36 CFR 1206-1212.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy T. Copp National Archives Building, Washington, District of Columbia 20408 Email: nhprc@NARA.gov Phone: 202-357-5257

**Website Address:**

<http://www.archives.gov/grants>

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities \_Division of Preservation and Access

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines at [www.archives.gov/grants](http://www.archives.gov/grants).

**89.005 COOPERATIVE AGREEMENTS TO SUPPORT THE PROGRAMS OF THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)****FEDERAL AGENCY:**

National Archives and Records Administration

**AUTHORIZATION:**

n/a, Public Law 108-383, 118 Stat. 2218, 44 U.S.C 2119.

**OBJECTIVES:**

To undertake a wide-range of activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into to support various activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**Applicant Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Beneficiary Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit

proposal for a cooperative agreement to the Policy and Planning Staff, National Archives and Records Administration, 8601 Adelphi Road, Room 4100, College Park, MD 20740; Telephone: (301) 837-1850.

**Award Procedure:**

The Policy and Planning Staff review and consider all proposals consistent with the statutory authority and NARA policy. Proposals are then presented to the Senior Staff with a recommendation by the Policy and Planning Staff. The Archivist and the Senior Staff make the final decision with respect to all proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Proposals are typically reviewed and decided upon within a few weeks, although actual time frames may vary.

**Appeals:**

Not Applicable.

**Renewals:**

Procedures for renewals are the same as the original proposal process.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are entered into on an annual basis. The phasing of assistance depends upon the particular project. See the following for information on how assistance is awarded/released: Depends upon the particular project.

**Reports:**

Depends on the particular project. Cash reports are not applicable. Depends on the particular project. Expenditure reports are not applicable. Depends on the particular project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The nonfederal entity maintains records which fully disclose the amount and disposition of funds transferred pursuant to a cooperative agreement, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**Account Identification:**

88-0300-0-1-804.

**Obligations:**

(Project Grants) FY 08 \$20,000; FY 09 est \$25,000; FY 10 est \$30,000

**Range and Average of Financial Assistance:**

Up to \$25,000 per cooperative agreement, with a cap of \$75,000 per year: \$20,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1 cooperative agreement was entered into in FY2008. Fiscal Year 2009: 1 cooperative agreement has been entered into in FY 2009. Fiscal Year 2010: It is estimated that 1 cooperative agreement will be entered into in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Policy & Planning Staff, National Archives & Records Administration 8601 Adelphi Road, Room 4100, College Park, Maryland 20740 Phone: 301-837-1850

**Website Address:**

<http://www.archives.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must support the public purpose of carrying out programs of the National Archives and Records Administration.

**DENALI COMMISSION****90.100 DENALI COMMISSION PROGRAM**

Denali Commission

**FEDERAL AGENCY:**

Denali Commission

**AUTHORIZATION:**

Denali Commission Act of 1998, Public Law 150-277, 42 U.S.C 3121.

**OBJECTIVES:**

The Denali Commission is an Innovative Federal and State partnership designed to provide critical utilities and infrastructure throughout Alaska, particularly in distressed communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Infrastructure or utility needs benefiting Alaskans. HRSA funds for clinics, DOL training funds, Solid Waste funds, TAPL energy funds and RUS, high energy cost funds. Base funds.

**Applicant Eligibility:**

Awards are available to State and local governments, private, public, profit, nonprofit organizations and institutions or individuals eligible in Alaska.

**Beneficiary Eligibility:**

General public, particularly distressed communities.

**Credentials/Documentation:**

Locally prepared comprehensive development plans that are regionally supported. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Letter request coupled with comprehensive community based and approved development plans.

**Award Procedure:**

Annual Work Plan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Negotiated on a case by case basis.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Determined during project evaluation. See the following for information on how assistance is awarded/released: Determined during project evaluation.

**Reports:**

No program reports are required. SF270s. Project progress reports due quarterly. Recipient audit confirmations request expenditure reports and SF270s. Project progress reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Determined at the time of award, consistent with Federal and State of Alaska guidelines.

**Account Identification:**

95-6501-1-2-452 - State Funds; 95-8056-0-7-452 - TAPL Funds;

95-1200-0-1-452 - Base Funds.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$21,000,000; FY 09 est \$36,000,000; FY 10 est \$50,000,000

**Range and Average of Financial Assistance:**

2009 Range: \$3,000- \$7,965,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Programs include Government Coordination, Energy (Renewable, bulk fuel, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral health, Domestic Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), Training, Economic Development, Solid Waste, Teacher Housing, and Other Community Facilities (Multi-Use Facilities and Washeterias). Fiscal Year 2009: Programs include Government Coordination, Energy (Renewable, bulk fuel, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral health, Domestic Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), Training, Economic Development, Solid Waste, Teacher Housing, and Other Community Facilities (Multi-Use Facilities and Washeterias). Fiscal Year 2010: Programs include Government Coordination, Energy (Renewable, Bulk Fuel Tanks, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral Health, Domestic Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), and Training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available on the website of <http://www.denali.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Robinson, 510 L Street Suite 410, Anchorage, Alaska 99501 Email: [jrobinson@denali.gov](mailto:jrobinson@denali.gov) Phone: (907) 271-1414 Fax: (904) 271-1415.

**Website Address:**

<http://www.denali.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All funded projects can be found in the Project Database at [www.denali.gov](http://www.denali.gov). Fiscal Year 2009: All funded projects can be found in the Project Database at [www.denali.gov](http://www.denali.gov). Fiscal Year 2010: All funded projects can be found in the Project Database at [www.denali.gov](http://www.denali.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are judged based on consistency with locally developed and regionally supported infrastructure development plans, long term sustainability, relative impacts on reducing unemployment, raising the standards of living, reducing the cost of utilities, and cost-sharing by others.

### JAPAN U.S. FRIENDSHIP COMMISSION

**90.300 JAPAN-U.S. FRIENDSHIP COMMISSION GRANTS****FEDERAL AGENCY:**

Japan U.S. Friendship Commission

**AUTHORIZATION:**

Public Law 94-118.

**OBJECTIVES:**

to promote educational, intellectual, artistic and cultural exchange and research between Japan and the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not applicable. 501(c)3, or other non-profit organization.

**Applicant Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Beneficiary Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Credentials/Documentation:**

Copy of 501(c)(3) or other non-profit status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of proposal conforming to JUSFC guidelines.

**Award Procedure:**

Grants typically made before beginning of project activity.

**Deadlines:**

Oct 01, 2009: Programs for FY 2010. August 1 (or next business day when this fall on a weekend) annually.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately six weeks between submission of proposal and decision.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: High expectation of matching funds from outside sources.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically six months to eighteen months. Method of awarding/releasing assistance: lump sum.

**Reports:**

A narrative report describing project undertaken with grant funds. No cash reports are required. No progress reports are required. Final financial report required detailing how grant funds were spent. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Must be kept by grantee for a three-year period.

**Account Identification:**

89-1191-0-1-300.

**Obligations:**

(Project Grants) FY 08 \$1,569,383; FY 09 est \$1,600,000; FY 10 est \$1,600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

see [www.jusfc.gov](http://www.jusfc.gov) for JUSFC guidelines and literature

**Regional or Local Office:**

None.

**Headquarters Office:**

Margaret Mihori 1201 15th Street, NW  
Suite 330, Washington, District of Columbia 20005 Email: [mmihori@jusfc.gov](mailto:mmihori@jusfc.gov)  
Phone: 202-653-9800 Fax: 202-653-9802

**Website Address:**

[www.jusfc.gov](http://www.jusfc.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See [www.jusfc.gov](http://www.jusfc.gov).

### UNITED STATES INSTITUTE OF PEACE

**91.001 ANNUAL GRANT COMPETITION****FEDERAL AGENCY:**

United States Institute of Peace

**AUTHORIZATION:**

United States Institute of Peace ACT; Department of Defense Act, Executive Order Authorization Act of 1985, Title XVII, Section 1701, Public Law 98-525, 98 Stat. 2492,2649, 22 U.S.C 1701.

**OBJECTIVES:**

The Institute supports research, education, training and dialogue programs in the United States and abroad on international peace and conflict resolution.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is available for any project that falls within the Institute's broad mandate of international conflict resolution. Unsolicited grants are offered across a broad range of relevant disciplines, skills, and approaches. Topic areas of interest to the Institute include, but are not restricted to, the origins of conflict, the role played by religious, ethnic, economic, political, social, and environmental factors in generating or accelerating conflict within, between, or among states; international conflict management; diplomacy; negotiation theory; Track Two (unofficial) diplomacy; methods of third-party dispute settlement; international law; international organizations and collective security; deterrence and balance of power; arms control; psychological theories about international conflict; the role of nonviolence and nonviolent sanctions;

moral and ethical thought about conflict and conflict management; the role of peacekeeping, humanitarian intervention, and postconflict peace building; and theories about relationships among political institutions, human rights, and conflict. Priority is accorded to projects that have practical applications and that may be useful for policymakers.

**Applicant Eligibility:**

The Institute may provide grant support to nonprofit organizations, public institutions, and individuals both U.S. and foreign including the following: civil society organizations; institutions of secondary, postsecondary, and community education; public and private education, training, or research institutions; libraries; and public departments and agencies (including U.S. state and territorial departments of education and commerce). Government officials, whether U.S. or foreign, are not eligible to receive Institute funds. Other U.S. government employees should contact the Grant Program staff prior to submission of an application to determine their eligibility.

**Beneficiary Eligibility:**

Nonprofit organizations, official public institutions, and individuals. Grantees may be U.S. citizens, nonprofit organizations and official public institutions, or foreign nationals and foreign nonprofit institutions.

**Credentials/Documentation:**

Resume/curriculum vitae. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants must submit their project on an official application form (last revised February 2004, with accompanying documentation as described therein.

**Award Procedure:**

Most grant proposals are vetted through a rigorous, multi-stage process of review, which may include consideration by independent experts and professional staff at the Institute. Proposals are grouped by theme or regional focus and sent to relevant external experts for their evaluation. The final authority for decisions about grants rests with the Board of Directors. Outside review of an application may also be sought as part of the review process.

**Deadlines:**

Jan 01, 2009 to Oct 01, 2009 The Unsolicited application deadline is October 1 (or the next business day if the date falls on a weekend or a U.S. holiday). This is a receipt deadline not postmark deadline.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grantee may submit an application for renewed funding after all requirements on the previous grant are fulfilled. Renewed funding request will be submitted to the Board of Directors for review. Grantees may request an extension of an ongoing project by submitting a letter to the Director of the Grant Program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically one year in duration, however, short and long-undertakings are also appropriate. Funds are released according to the schedule negotiated between USIP and the grantee. All funds must be spent or obligated within the established grant period. See the following for information on how assistance is awarded/released: The initial disbursement is remitted upon receipt of signed award document. Subsequent payments are scheduled throughout the grant period.

**Reports:**

No program reports are required. No cash reports are required. Award recipients are required to submit interim progress reports and a final report at the end of the grant period. Award recipients are required to submit interim financial reports and a final financial report at the end of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation, statistical records, and all other records pertinent to the grant shall be retained by the grantee for 3 years following the submission of the final report of project expenditures.

**Account Identification:**

95-1300-0-1-153.

**Obligations:**

(Project Grants) FY 08 \$3,361,805; FY 09 est \$2,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register No. 3155-01.

**Regional or Local Office:**

See Regional Agency Offices. Annual Grant Competition, Grant Program, United States Institute of Peace, 1200 17th Street NW., Suite 200, Washington, DC 20036-3006. Telephone: (202) 429-3842. E-mail: grants@usip.org.

**Headquarters Office:**

Annual Grant Competition 1200 17th Street, NW, Suite 200, , Washington, District of Columbia 20036 Email: grants@usip.org Phone: 202 429 3842

**Website Address:**

<http://www.usip.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**91.002 PRIORITY GRANT COMPETITION**

**FEDERAL AGENCY:**

United States Institute of Peace

**AUTHORIZATION:**

United States Institute of Peace Act; Department of Defense Act , Executive Order Authorization Act of 1985, Title XVII, Section 1701, Public Law 98-525, 98 Stat. 2492,2649, 22 U.S.C 1701.

**OBJECTIVES:**

To provide support for education and training, research, and public information on international peace and conflict resolution and on themes and topics identified by the institute.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Starting in October 2006, the Grant program launches its new Solicited Grant

Initiative with the following elements: Funding for conflict prevention, conflict management, and post-conflict peacebuilding in Colombia, Iraq, Nigeria, Pakistan, and Sudan. Funding for projects relating to Iran. Priority will be given to initiatives focusing on Iranian relations with the West and with its neighbors in the region, and on Iran's role in regional and international affairs.

**Applicant Eligibility:**

For, Colombia, Iraq, Nigeria, Pakistan and Sudan, preference will be given to applications submitted by non-profit organizations based in those countries or to groups that partner with them. For Iran and the countries above, applications may be submitted by nonprofit organizations, public institutions, and individuals. Grantees may be U.S. citizens and U.S. nonprofit or public institution or foreign nationals and foreign nonprofit institutions.

**Beneficiary Eligibility:**

Nonprofit organizations, public institutions, and individuals. Grantees may be U.S. citizens, nonprofit organizations and public institutions, or foreign nationals and foreign nonprofit institutions.

**Credentials/Documentation:**

Resume/curriculum vitae. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants must submit their project on an official application form (last revised February 2004), with accompanying documentation as described therein.

**Award Procedure:**

Proposals submitted to the Solicited Grant Initiative will first be discussed with, and reviewed by, Grant program staff. In the event of a successful review, applications will be forwarded for further review to experts outside of USIP. During the review process, staff may contact applicants to request further information. Final approval of funded projects will be contingent upon further review and approval by USIP's executive officers and Board of Directors. For previous grantees, evaluations of their earlier grants will be conducted before final decisions will be made.

**Deadlines:**

Jan 01, 2009 to Dec 31, 2009: Open all year long. The countries listed under no. 70 are expected to be the focus of this solicited initiative for at least one year from October 1, 2009. Applicants may apply at any time throughout the year. Awards will be announced throughout the year.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees may submit an application for renewed funding after all requirements on the previous grant are fulfilled. Renewed funding requests will be submitted to the Board of Directors for review. Grantees may request an extension of an ongoing project by submitting a letter to the Director of the Grant Program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically one year in duration, however, short and long-term undertakings are also appropriate. Funds are released according to the schedule negotiated between USIP and the grantee. All funds must be spent or obligated within the established grant period. See the following for information on how assistance is awarded/released: Initial Payment is remitted upon receipt of signed award documents. Subsequent payments are made throughout the grant period.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Award recipients are required to submit interim narrative reports periodically and a final report at the end of the grant period. Award recipients are required to submit interim financial reports periodically and a final financial report and the of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation, statistical records, and all other records pertinent to the grant shall be retained by the grantee for 3 years following the submission of the final report of project expenditures.

**Account Identification:**

95-1300-0-1-153.

**Obligations:**

(Project Grants) FY 08 \$2,543,755; FY 09 est \$1,500,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register No. 3155-01.

**Regional or Local Office:**

See Regional Agency Offices. Priority Grant Competition, Grant Program, United States Institute of Peace, 1200 17th Street, NW., Suite 200, Washington, DC 20036-3006. Telephone: (202) 429-3842. E-mail: grants@usip.org.Solicited Grant.

**Headquarters Office:**

Priority Grant Competition 1200 17th Street NW., Suite 200, Washington , District of Columbia 20036-3006 Email: grants@usip.org Phone: 2024293842

**Website Address:**

<http://www.usip.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**93.001 CIVIL RIGHTS AND PRIVACY RULE COMPLIANCE ACTIVITIES**

Office for Civil Rights

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VI, as amended; Rehabilitation Act of 1973, Sections 504 and 508, as amended; Education Amendments of 1972, Title IX, as amended; Age Discrimination Act of 1975, as amended; Nondiscrimination Provisions of the Public Health Service Act, Titles VI, VII, VIII, and XVI, as amended; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Drug Abuse Offense and Treatment Act of 1972, Section 407; Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and

Rehabilitation Act of 1970, Section 321, as amended; Low-Income Home Energy Assistance Act of 1981, 42 U.S.C. 8625; Community Services Block Grant Act, 42 U.S.C. 398; Family Violence Prevention and Services Act, as amended, Section 307 (a)(1) and (2), Public Law 98-457; Americans with Disabilities Act of 1990, Title II, Subtitle A, Public Law 101-336; Small Business Job Protection Act of 1996, Section 1808, Public Law 104-188; Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1320d-2, 45 CFR Part 160 and Subparts A and E of Part 164--Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule"); Public Health Service Act, Title IX, 42 U.S.C. 299b-22, as amended by the Patient Safety and Quality Improvement Act of 2005, Public Law 109-41; Part C of title XI of the Social Security Act, 42 U.S.C. 1320d-d-8, as amended by Section 105 of the Genetic Information Nondiscrimination Act of 2008 (GINA), Public Law 110233; Subtitle D of the HITECH Act, Public Law 111-5, 123 Stat. 115 (2009).

**OBJECTIVES:**

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) promotes and ensures that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, and that the privacy of their health information is protected. OCR protects the civil rights of all individuals who are subject to discrimination in health and human services programs and protect the health information privacy rights of consumers through investigations, voluntary dispute resolution, enforcement, technical assistance, policy development and information services.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) is responsible for promoting and ensuring that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, and that the privacy of their health information is protected. These HHS funded programs are provided through state agencies, nursing homes, skilled nursing facilities, medical laboratories, hospitals, day care centers, social service agencies and other providers. Any person who believes that an individual has been discriminated against in the provision of these services because of race, color, national origin, disability, age, sex or religion, may file a complaint with OCR. An individual who believes that discrimination on the basis of disability has occurred in a health or social services program of a state or local government entity may file a complaint with OCR under Title II of the Americans with Disabilities Act of 1990, regardless of whether the entity receives Federal funds. Individuals may also file complaints of denials of health care for reasons other than the need and availability of services, by recipients of Hill-Burton grants and loans. In addition, a person may file a complaint under the Multiethnic Placement Act of 1994, as amended by Section 1808 of the Small Business Job Protection Act of 1996, alleging that an adoption or foster care agency or entity funded by HHS discriminatorily relied on a parents or child's race, color, or national origin in making a placement decision. OCR will investigate complaints and take steps to ensure compliance with applicable civil rights laws.

OCR also enforces the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule as well as the Patient Safety and Quality Improvement Act (PSQIA) of 2005. OCR's activities under the Privacy Rule include enforcement actions, including conducting investigations, taking compliance actions, and making penalty determinations, and conducting public education, technical assistance and other outreach activities: to health care providers, health care clearinghouses and health plans, to ensure that they understand their responsibilities under the Rule; to other entities that may be impacted by the Rule, including Federal, State and local government agencies, researchers, and business associates of covered entities; and to consumers to inform them of their rights under the Privacy Rule. Anyone who believes that a person, agency or organization covered under the HIPAA Privacy Rule ("a covered entity") has violated the Privacy Rule may file a complaint with OCR. OCR's activities under PSQIA include administering an enforcement program regarding the

confidentiality protections, including conducting investigations, taking compliance actions, and making penalty determinations and interpreting standards for confidentiality protections and the enforcement program for guidance and technical assistance to Patient Safety Organizations (PSOs) and providers and public information.

**Applicant Eligibility:**

Anyone who believes he or she has been discriminated against in the manner outlined above or seeks information concerning civil rights, and recipients of Federal financial assistance who desire technical assistance and information for the purpose of assuring their compliance with nondiscrimination laws. Regarding the HIPAA Privacy Rule, anyone who believes that the Privacy Rule has been violated in the manner outlined above, or who seeks information about the Rule; consumers that need to know their rights under the Rule; and entities that need technical assistance and information for the purpose of assuring compliance with the Privacy Rule.

**Beneficiary Eligibility:**

Individuals subject to discrimination and recipients who require technical assistance and information. Regarding the HIPAA Privacy Rule, individuals subject to violation of their health information privacy, covered entities, and others needing or seeking technical assistance and information concerning the Rule.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complaints of discrimination and alleged violations of the HIPAA Privacy Rule may be filed, and technical assistance information and public education may be requested, at the Headquarters and Regional Office locations of the Office for Civil Rights.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A complaint must be filed not later than 180 days of the alleged discrimination, unless the time for filing is waived for good cause. Complaints under the Privacy Rule must be filed within 180 days of the date when the complainant knew, or should have known, that the act or omission complained of occurred, unless the time limit is waived for good cause.

**Appeals:**

Individuals can appeal a civil rights discrimination complaint determination in some instances by submitting, in writing, a request for reconsideration to the Director, Office for Civil Rights. OCR imposes civil money penalties (CMPs) on a covered entity found to be in violation of the HIPAA Privacy Rule. If CMPs are imposed by OCR, the covered entity may request a hearing in which an HHS administrative law judge (ALJ) decides if the CMPs are supported by the evidence in the case. OCR is required to present the evidence to support the imposition of CMPs to the ALJ. The covered entity may also then appeal the ALJ's decision to the HHS Departmental Appeals Board (DAB) and ultimately to the U.S. Courts of Appeal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:****Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

75-0135-0-1-751.

**Obligations:**

(Salaries) FY 08 \$34,299,000; FY 09 est \$40,099,000; FY 10 est \$41,099,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 11,981 individual complaints were filed with OCR (3,037 civil rights discrimination cases and 8,944 Privacy Rule cases); OCR completed action on 12,418 complaint cases (3,497 discrimination and 8,921 Privacy Rule); OCR completed 2,499 compliance reviews (including 2,432 pre-grant and 67 post-grant reviews) on its traditional civil rights authorities; and OCR provided information and training to 92,603 individuals. LIMITED ENGLISH PROFICIENCY -- OCR continues to work with health care and social service providers, state and local agencies, and other HHS components to ensure that limited English proficient (LEP) persons are not discriminated against on the basis of national origin in HHS-funded programs (e.g., emergency room care, welfare to work, child protective services, senior centers, and in-home services). In FY 2008, the State of Hawaii Department of Human Services, serving a state population of more than 1.2 million, signed a statewide Settlement Agreement with OCR to ensure LEP persons receive equal access to the Departments programs and services, including health insurance and medical programs for low-income persons. OCR also continued its technical assistance, public education and outreach activities in connection with the revised Limited English Proficiency guidance issued in August 2003. Through FY 2008, in collaboration with the American Hospital Association (AHA), OCR established partnerships with one regional and 16 state-wide hospital associations to provide technical assistance tailored to the unique needs and demographics of the member hospitals to assist them in meeting their legal obligations to effectively communicate with limited English proficient and deaf or hard of hearing patients and companions, thereby promoting patient safety and quality health care. OCR developed and provided to the hospital associations tools that have been extensively used, including surveys for data collection and a training program on how hospitals can communicate effectively with these populations, consistent with their responsibilities under the civil rights laws. In addition, OCR partnered with The Joint Commission in the development of a web-based training video that addresses legal requirements under the Federal civil rights laws pertaining to communication with deaf and hard of hearing and LEP persons in hospitals. The video has been disseminated to 300 Joint Commission surveyors to assist them in their assessment of hospitals and other types of health care providers that they evaluate for accreditation. HEALTH DISPARITIES -- In partnership with the National Consortium on Multicultural Education, OCR created and deployed a first of its kind, scenario-based curriculum on health disparities and cultural competency in medicine to educate health care providers, medical educators, and student physicians on their civil rights obligations. This curriculum ensures that medical students and other health care professionals understand that some aspects of culturally competent care are not only tools for effective medical practice, but also may be legally required. In May 2008, the curriculum was submitted to the Association of American Medical Colleges Med Ed Portal. MULTI-ETHNIC PLACEMENT ACT (MEPA)/SECTION 1808 - FOSTER CARE AND ADOPTION SERVICES -- OCR continues to strengthen families and create better conditions for children to live in permanent, safe environments through its work to remedy race, color, and national origin discrimination in foster care and adoption. For example, in FY 2008, OCR, in collaboration with the Administration on Children and Families, developed a comprehensive

training program on the consideration of race and ethnicity in adoptions and foster care placements, which is being rolled out for training of adoptions and foster care staff nationwide. NEW FREEDOM INITIATIVE -- OCR is involved in a variety of efforts to increase the independence and quality of life of persons with disabilities, including those with long-term needs, and to promote access to home and community-based services for these individuals. Most notably, OCR has played a critical role in implementation of the Olmstead Supreme Court decision and full enforcement of Title II of the Americans with Disabilities Act through investigations, complaint resolution, and the use of alternative dispute resolution. Today, more than 1,000 individuals with disabilities institutionalized in Georgias seven public psychiatric and developmental disabilities facilities now have the opportunity to live in their home communities, with appropriate supports tailored to meet their individualized needs, as a result of a statewide agreement entered between the State of Georgia and OCR in July 2008. Through its website, OCR will continue to expand the information available to consumers and providers about the civil rights of persons with disabilities in order to further facilitate the community integration of individuals with disabilities. SECTION 504 PROGRAM ACCESSIBILITY -- New Yorks Schenectady County Department of Social Services, serving a county population of over 150,000 signed a voluntary resolution agreement to ensure that individuals with physical disabilities receive equal access to its services and office buildings. CIVIL RIGHTS CORPORATE AGREEMENTS OCR negotiated and signed 8 Civil Rights Corporate Agreements in 2008, bringing to 14 the number of such Agreements. The Agreements between OCR and health care corporations promote compliance with civil rights laws in all Medicare Part A facilities owned by the corporations by ensuring that all the facilities implement policies and procedures consistent with the laws. All together, the 14 corporations own over 1,775 facilities nationwide, serving over 5.5 million patients annually. In this way, OCR maximizes its impact and voluntary civil rights compliance efforts within the Medicare provider community. EMERGENCY PREPAREDNESS -- OCR has been actively involved in many government-wide activities related to emergency planning, response, and recovery, ensuring that the needs of at-risk individuals, including persons with disabilities, LEP persons, and persons from diverse cultural origins, are addressed in all emergency preparedness activities. HIPAA PRIVACY RULE -- A major responsibility given to OCR in December 2000 is protecting the privacy of health information under the Privacy Rule, which was enacted under the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The Rule protects the privacy of individually identifiable health information held by health plans, covered health care providers, and health care clearinghouses. OCR promotes compliance with the Privacy Rule by investigating and resolving complaints, developing policy guidance and public education materials, and providing technical assistance directly to covered entities and members of the public. Pursuant to the recommendations in the 2007 Report to the President on Issues Raised by the Virginia Tech Tragedy, OCR in FY 2008, developed, in coordination with the Department of Education, guidance to clarify the intersection of the HIPAA Privacy Rule and the Family Educational Rights and Privacy Act, as well as the circumstances under which information may be shared under both laws in emergency circumstances. Other guidance in FY 2008 included HIPAA Privacy Guides to Communications with Family, Friends, and Others Involved in a Patient's Care: companion guidance directed at health care providers and consumers. These guides explain when a health care provider is allowed to share a patients health information with the patients family members, friends, or others identified by the patient as involved in the patients care. Significant enforcement actions in FY 2008 include a settlement agreement: in July 2008, OCR entered in to a resolution agreement with Seattle-based Providence Health & Services to settle potential violations of the HIPAA Privacy and Security Rules for a resolution amount of \$100,000 and a 3-year corrective action plan to ensure the appropriate safeguarding of identifiable electronic patient information against theft or loss. Fiscal Year 2009: OCR projects that approximately 9,600 individual complaints will be filed in FY 2009 (2,600 civil rights discrimination cases and 7,000 Privacy Rule cases); OCR is projected to complete action on approximately 10,400 complaint cases (2,550 discrimination and 7,850 Privacy Rule). OCR is also on target to complete 2,225 compliance reviews (including 2,200 pre-grant and 25 post-grant reviews) in FY 2009 and to provide information and training to more than 95,400 individuals. HIPAA PRIVACY RULE -- In FY 2009 OCR published guidance on the limited circumstances when the Secretary of HHS

may waive sanctions and penalties against a covered hospital that does not comply with certain provisions of the HIPAA Privacy Rule following a Presidential emergency or disaster declaration or a Secretarial declaration of a public health emergency. To promote the adoption of health information technology, OCR published in December 2009 a series of fact sheets that clarify how the HIPAA Privacy Rule applies to, and can be used to help structure the privacy policies behind, electronic health information exchange in a networked environment. This guidance was developed in conjunction with the Office of the National Coordinator for the Privacy and Security Toolkit, which implements the principles in The Nationwide Privacy and Security Framework for Electronic Exchange of Individually Identifiable Health Information. In January 2009, OCR and CVS pharmacy chain entered in to a resolution agreement to settle allegations of unsecure disposal of protected health information in dumpsters accessible to the public, for a resolution amount of \$2.25 million and a 3-year corrective action plan settlement and take corrective action to ensure the safe and proper disposal of patient information. In a coordinated action, CVS also signed a consent decree with the Federal Trade Commission, (FTC) to settle potential violations of FTC law. OCR and the FTC conducted their investigations jointly. This is the first instance in which OCR has coordinated investigation and resolution of a case with the FTC. Fiscal Year 2010: OCR projects that approximately 11,400 individual complaints will be filed in FY 2010 (3,100 civil rights discrimination cases and 8,300 Privacy Rule cases); OCR is projected to complete action on approximately 13,725 complaint cases (3,600 discrimination and 10,125 Privacy Rule). OCR is also projected to complete 2,425 compliance reviews (including 2,400 pre-grant and 25 post-grant reviews) in FY 2010 and to provide information and training to more than 98,200 individuals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title VI of the Civil Rights Act of 1964--the implementing regulation (45 CFR 80), "Your Rights Under Title VI of the Civil Rights Act of 1964 fact sheet, "Know Your Rights" brochure regarding national origin discrimination and limited English proficiency, a video in VHS and DVD formats entitled "Title VI Limited English Proficiency"; Section 504 of the Rehabilitation Act of 1973--the implementing regulation for HHS funded programs and activities (45 CFR 84), and fact sheets "Your Rights Under Section 504," "Your Rights as a Person with HIV Infection, AIDS, or Related Conditions," "Your Rights Under Section 504 and the Americans with Disabilities Act," and the HHS Section 504 federally conducted regulation (45 CFR 85); Age Discrimination Act of 1975--implementing regulations, HHS (45 CFR 91) and government-wide (45 CFR 90), and fact sheet "Your Rights Under the Age Discrimination Act"; Community Service Assurance of the Hill-Burton regulation (42 CFR 124) and fact sheet "Community Service Assurance Under the Hill-Burton Act"; Sex Discrimination in Health-Related Training Programs regulation (45 CFR 83); fact sheets on: Section 1808/Multiethnic Placement Act (MEPA); the Americans with Disabilities Act (ADA); "How to File a Discrimination Complaint with OCR"; "Know Your Civil Rights"; Civil Rights Frequently Asked Questions; a video presentation: OCR guidance on Temporary Assistance for Needy Families (TANF) and Disability; OCR guidance documents and questions and answers on MEPA; various technical assistance materials for Medicare providers and applicants, including a sample nondiscrimination policy, LEP policy, auxiliary aids policy, accessibility policy, and grievance procedure, and various other civil rights publications.

HIPAA regulations and standards, including the Privacy Rule, 45 CFR Part 160 and Subparts A and E of Part 164; "Your Health Information Privacy Rights"; "Privacy and Your Health Information"; fact sheets and guidance on specific aspects of the Privacy Rule, and additional compliance tools such as "Am I a Covered Entity" and Frequently Asked Questions (FAQs). A complete list of Privacy Rule publications is available. There is also a brochure titled "Protecting Your Civil Rights in Health and Social Services and Your Health Information Privacy Rights," which provides general information about the Office for Civil Rights and its services. All literature is available at no charge; however, because of budgetary constraints and availability of stock, quantities may be limited. Most publications can be downloaded from OCR's website and are available in languages other than English. All publications are available in alternative formats for individuals with disabilities.

**Regional or Local Office:**

See Regional Agency Offices. Region I - Boston (Connecticut, Maine,

Massachusetts, New Hampshire, Rhode Island, Vermont)  
 Peter Chan, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 Government Center  
 J.F. Kennedy Federal Building - Room 1875  
 Boston, MA 02203  
 Voice phone(617)565-1340  
 FAX (617)565-3809  
 TDD (617)565-1343

Region II - New York (New Jersey, New York, Puerto Rico, Virgin Islands)  
 Michael Carter, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 Jacob Javits Federal Building  
 26 Federal Plaza - Suite 3312  
 New York, NY 10278  
 Voice Phone (212)264-3313  
 FAX (212)264-3039  
 TDD (212)264-2355

Region III - Philadelphia (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
 Paul Cushing, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 150 S. Independence Mall West  
 Suite 372, Public Ledger Building  
 Philadelphia, PA 19106-9111  
 Main Line (215)861-4441  
 Hotline (800) 368-1019  
 FAX (215)861-4431  
 TDD (215)861-4440

Region IV - Atlanta (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
 Roosevelt Freeman, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 Atlanta Federal Center, Suite 3B70  
 61 Forsyth Street, S.W.  
 Atlanta, GA 30303-8909  
 Voice Phone (404)562-7886  
 FAX (404)562-7881  
 TDD (404)331-2867

Region V - Chicago (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
 Valerie Morgan-Alston, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 233 N. Michigan Ave., Suite 240  
 Chicago, IL 60601  
 Voice Phone (312)886-2359  
 FAX (312)886-1807  
 TDD (312)353-5693

Region VI - Dallas (Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
 Ralph Rouse, Regional Manager  
 Office for Civil Rights  
 U.S. Department of Health and Human Services  
 1301 Young Street, Suite 1169  
 Dallas, TX 75202  
 Voice Phone (214)767-4056  
 FAX (214)767-0432  
 TDD (214)767-8940

Region VII - Kansas City (Iowa, Kansas, Missouri, Nebraska)  
 Frank Campbell, Regional Manager



Office for Civil Rights  
U.S. Department of Health and Human Services  
601 East 12th Street - Room 248  
Kansas City, MO 64106  
Voice Phone (816)426-7277  
FAX (816)426-3686  
TDD (816)426-7065

Region VIII - Denver (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Velveta Howell, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
1961 Stout Street -- Room 1426 FOB  
Denver, CO 80294-3538  
Voice Phone (303)844-2024  
FAX (303)844-2025  
TDD (303)844-3439

Region IX - San Francisco (American Samoa, Arizona, California, Guam, Hawaii, Nevada)  
Michael Kruley, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
90 7th Street, Suite 4-100  
San Francisco, CA 94103  
Voice Phone (415)437-8310  
FAX (415)437-8329  
TDD (415)437-8311

Region X - Seattle (Alaska, Idaho, Oregon, Washington)  
Linda Yuu Connor, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
2201 Sixth Avenue - M/S: RX-11  
Seattle, WA 98121-1831  
Voice Phone (206)615-2290  
FAX (206)615-2297  
TDD (206)615-2296.

**Headquarters Office:**

Director, Office for Civil Rights Hubert H. Humphrey Building - Mail Stop  
Room 509-F6  
200 Independence Ave. S.W.  
, Washington, District of Columbia 20201 Email: OCRMail@hhs.gov Phone:  
202-619-0403

**Website Address:**

<http://www.hhs.gov/ocr>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.009 COMPASSION CAPITAL FUND**

CCF Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004., Public Law 107-116, as amended by Title II, and the Consolidated Appropriations Act, 2008., Public Law 110-161, as amended by Omnibus

Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

To provide grants to charitable organizations to emulate model social service programs and to encourage research on the best practices of social service organizations. This is accomplished through the goal of assisting faith-based and community organizations to increase their effectiveness, enhance their ability to provide social services, expand their organizations, diversify their funding sources, and create collaborations to better serve those most in need. This is accomplished by funding experienced intermediary organizations in well-defined geographic locations with a proven track record of providing technical assistance to smaller faith-based and community organizations in their communities, providing one-time \$50,000 grants to smaller faith-based and community organizations to build their capacity, and providing grants to strengthen broad-based collaborative community that are working to reduce gang involvement, youth violence, and child abuse and neglect and to foster positive youth development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Intermediary organizations use the CCF funds to provide two services within their communities: 1) Training assistance to faith-based and community organizations; and 2) Financial support through sub-awards to some subset of the faith-based and community organizations in their communities. Technical assistance activities funded under CCF are to be conducted at no cost to interested faith-based and community organizations. Applicants must have demonstrated experience in the delivery of capacity-building assistance to smaller organizations in several of the following areas: strategic planning, financial management, board development, fund development, and outcome measurement. Technical assistance should be provided on a long-term, on-going basis to smaller organizations. The program goals are further accomplished through the issuance of sub-awards by the funded intermediary organizations to a diverse set of small faith-based and community organizations that seek to increase program and organizational effectiveness for a 12-month period. Sub-award recipients must adhere to the following: sub-award recipients must be chosen from fair and open competitive process; sub-award recipients must not be pre-selected; the awarding process must be fair and open competition and include outreach to both faith-based and community organizations; intermediary organizations must provide on-going technical assistance and capacity-building support to the organizations to which they issue sub-awards; and the criteria for selection must not include consideration of the religious nature of the program it offers. Priority for sub-awards is given to organizations that historically have not received grants from the Federal government. Intermediaries must not require sub-award applicants to provide matching funds even if the applicants offer matching funds in their applications. Intermediaries must not require sub-award applicants to have 501 (c) (3) status or to identify a sponsoring organization with 501 (c) (3) status; Organizations that partner with an intermediary to deliver technical assistance or provide a cost-sharing fund for the proposed project are not to be eligible for sub-awards, unless approved by the Administration for Children and Families; Sub-awards should not be used to assist organizations in differing stages of development. Sub-awards may also be provided to promising organizations to expand the reach of existing programs; Sub-awards must not be used to provide direct services, but rather improve the sub-awardee's efficiency and capacity. The Office of Community Services (OCS) will not fund any project, where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested. This prohibition does not bar the making of sub-grants or sub-contracting for specific services or activities needed to conduct the project. CCF monies shall not be used to support inherently religious practices such as religious instruction, worship, or proselytization. Grant or sub-award recipients, therefore, may not and will not be selected based on religious criteria. Neutral, non-religious criteria that neither favor nor disfavor religion must be employed in a selection of a grantee and sub-award recipients.

**Applicant Eligibility:**

(Intermediaries): State governments, county governments, city or township governments, public and State-controlled institutions of higher education,

Indian/Native American Tribal governments (Federally recognized), non-profits with 501(c)(3) IRS status (other than institutions of higher education), non-profits without 501(c)(3) IRS status (other than institutions of higher education), private institution of higher education, for profit organizations (other than small businesses), small businesses, special district government, and faith-based and community organizations that meet the statutory eligibility requirements. Application Eligibility (Minigrants): Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), non-profits with 501(c)(3) IRS status (other than institution of higher education), non-profits without 501(c)(3) IRS status (other than institutions of higher education), and faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Application Eligibility (CEY); public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), non-profits with 501(c)(3) IRS status (other than institutions of higher education), non-profits without 501(c)(3) IRS status (other than institution of higher education), private institutions of higher education, for non-profit organizations (other than small businesses), small business, and faith-based and community organizations that meet the statutory eligibility requirements.

**Beneficiary Eligibility:**

Believed to be in the public's interest to broaden Federal efforts to work with faith-based and community organizations, the Compassion Capital Fund will assist in the effort to enhance and expand the participation of faith-based and community groups serving those in need. Intermediary organizations awarded under this program will serve as partners to both the Federal government and the faith-based and community organizations that they assist. The intermediaries will represent a diverse set of affiliations, and will assist community-level organizations that have a range of service goals, target populations, affiliations, and beliefs. The Targeted Capacity Building program will benefit faith-based and community organizations that provide services in one of the social service priority areas. The Communities Empowering Youth program will benefit collaborations of faith-based and/or community partners in order to enable them to better meet the needs of America's disadvantaged youth.

**Credentials/Documentation:**

Any nonprofit agency must provide proof of its nonprofit status through one of the following: a) A reference to the applicant organization's listing in the Internal revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. b) A copy of a currently valid IRS tax exemption certificate c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that he applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. d) A certified copy of the organization's certificate of incorporation or similar document that clearly establishes nonprofit status. e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is its local nonprofit affiliate. Applicants for CCF programs must also provide the following forms: SF 424, SF 424A, SF 424B, certification regarding lobbying and associated disclosure of lobbying activities (SF LLL), and environmental tobacco smoke certification. Private nonprofit organizations are encouraged to submit with their applications the additional survey located under Grant Related Documents and Forms titled Survey for Private, Nonprofit Grant Applicants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application must be double-spaced and single-spaced on 8-1/2 x 11 plain white paper, with 1 inch margins on all sides. The application must use Times New

Roman 12 point font or Arial 12 point font. All pages of the application (including appendices, resumes, charts, references/footnotes, tables, maps and exhibits) must be sequentially numbered. Each application may include only one proposed project. For the intermediary applications, the Table of Contents must not exceed one page. The Project Abstract must not exceed one page. The project Narrative must not exceed 25 pages. Pages submitted beyond the first 25 in the application's Project Narrative section will not be considered during the panel review. The Appendix must not exceed 20 pages. The Appendix includes the sample assessment tool(s) to be used to assist organizations served in identifying organizational needs in the five critical capacity building areas, and any other additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, Disclosures, and cost-share letters are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applicants. These materials, if submitted, will no be considered in the review process. In addition, applicants should not submit any additional letters of endorsement beyond any that may be required. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, non-profit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants. For the minigrant applications, the Table of Contents must not exceed one page. The Project Narrative must not exceed nine pages. Pages submitted beyond the first nine pages in the Project Narrative section will be removed prior to panel review. The Appendix must not exceed five pages. Pages submitted beyond the first five in the Appendix section will not be considered during the panel review. The Appendix includes any additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, and Disclosures are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applications. These materials, if submitted, will not be considered during the review process. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for wards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, nonprofit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants. For the CEY applications, the Project Abstract must not exceed one page. The Table of Contents must not exceed one page. The Project Narrative must not exceed 25 pages. Pages submitted beyond the first 25 in the application's Project Narrative section will be removed prior to panel review. The Appendix must not exceed 50 pages. The Appendix includes the sample assessment tool(s) the applicant will use to assist organizations in identifying organizational needs in the four critical areas of capacity building, support and commitment letters, and any other additional supporting documentation. The Budget, Narrative Budget Justification, Standard Forms for Assurances, Certifications, and Disclosures are not included in the Project Narrative and Appendix page limitations. Applicants should not send pamphlets, brochures, or other printed material along with their applications. These materials, if submitted, will be included in the review process. In addition, applicants

should not submit any additional letters of endorsement beyond any that may be required. The project description should include all the information requirements described in the specific evaluation criteria outlined in the program announcement. In addition, the applicant needs to complete all the standard forms required for making applications for awards under this announcement. Applicants requesting financial assistance for non-construction projects must file the Standard Form 424B, Assurances: Non-Construction Programs. Applicants must sign and return the Standard Form 424B with their applications. Applicants must disclose lobbying activities on the Standard Form LLL when applying for an award in excess of \$100,000. Applicants must sign and return the certification with their applications. They must also fill out Standard Forms 424 and 424A and the associated certifications and assurances based on the instructions on the forms. Private, nonprofit organizations are encouraged to submit with their applications the survey located under Grant Related Documents and Firms titled Survey for Private, Nonprofit Grant Applicants.

**Award Procedure:**

Applications received by the due date will be reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, will use the evaluation criteria listed in Part V of the Program Announcement to review and score the applications. The results of the review will be a primary factor in making funding decisions. ACF may also solicit comments from Regional Office staff and other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. Furthermore, ACF may limit the number of awards made to the same or affiliated organizations although they would service different geographic areas. The successful applicants will be notified through issuance of a Financial Assistance Award document which sets forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support will be given, the nonfederal share to be provided, and the total project period for which support is contemplated. The Financial Assistance Award will be signed by the Grants Officer.

**Deadlines:**

Jun 22, 2009 Deadlines for grants are announced in [www.grants.gov](http://www.grants.gov), as part of the solicitation of applicants.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruption of mail service. Determinations to extend or waive deadline requirements rest with the Chief Grants Management Officer.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Demonstration program award grants for one project period for 12 months. Awards, however, are made on a competitive basis. No continuation grants will be offered beyond the one-year budget period. See the following for information on how assistance is awarded/released: The Demonstration program award grants for one project period for 12 months. Awards, however, are made on a competitive basis. No continuation grants will be offered beyond the one-year budget period.

**Reports:**

CCF recipients are required to submit semi-annual program progress reports. grantees are required to submit semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. CCF recipients are required to submit semi-annual program progress reports. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

CCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of the Code of Federal Regulations.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$52,688,000; FY 09 est \$47,688,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: OCS awarded 168 continuation grants. Fiscal Year 2009: It is estimated that OCS will award approximately 129 grants in FY 2009. Fiscal Year 2010: No funds are being requested for FY 2010 instead funds the Strengthening Communities Fund program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Thom Campbell, Telephone: (202) 401-5483 (office); (202) 401-4694 (fax); [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov).

**Headquarters Office:**

Thom Campbell Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447 Email: [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov) Phone: (202) 401-5483 Fax: (202) 401-4694

**Website Address:**

<http://www.acf.hhs.gov/programs/ccf>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of projects:

- o Grantee delivers six group trainings, smaller experiential trainings, and opportunities to work with a pool of mentors. The program also offers training on becoming a nonprofit to any interested agencies. Faith-based and community organizations participate in networking lunches. Grantee distributes \$200,000 each year in subawards.
- o Grantee provides training, technical assistance, and subawards to 20 faith-based and community organizations. Five additional organizations that show promise but lack the infrastructure to manage subawards receive technical-assistance-only awards. Grantee conducts organizational and financial assessments in all five critical areas of capacity building to develop technical assistance workplans and prioritize group training topics. Grantee provides \$200,000 in subawards annually.
- o Grantee meets the capacity building needs of rural organizations by

offering training to faith-based and community organizations statewide. The project also offers day-long workshops open to all interested organizations. Organizations selected for subawards are assigned a direct technical assistance provider who develops a customized work plan to meet the organizations specific capacity building needs.

o Grantee provides training workshops open to FBCOs that serve high-need populations. In addition, grantees Leadership and Practice Committee provides complimentary capacity building resources to all eligible organizations. Through a competitive process, the grantee selects 18 organizations each year to receive subawards and guide-by-the-side technical assistance from mentors. The Leadership and Practice Committee also facilitates peer-to-peer learning and networking for FBCOs. Grantee distributes \$252,000 in subawards annually. Fiscal Year 2009: No Current Data Available. Fiscal Year 2010: No Current Data Available.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting Intermediary Organizations: Intermediary organizations are evaluated on the following criteria: approach, objectives and need for assistance, organizational profiles, and budget and budget justification.

The technical assistance strategy, sub-award strategy, and geographic location are all factors in evaluating the approach of the applicant. The needs of faith-based and community organizations to be served and the needs of communities served are factors for evaluating the objectives and need for assistance of the applicant. The staff and position data and past experience are factors used to evaluate the organizational profile of the applicant. Applicants will be evaluated under the budget and budget justification criteria on the extent to which they include a budget that is clear, easy to understand, and provides a detailed justification for the amount requested.

#### **93.010 COMMUNITY-BASED ABSTINENCE EDUCATION (CBAE) (CBAE)**

##### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

##### **AUTHORIZATION:**

Title XI, Section 1110 of the Social Security Act.

##### **OBJECTIVES:**

The CBAE program supports programs that are designed to promote abstinence education, as defined by Section 510(b)(2) in Title V of the Social Security Act, for adolescents aged 12 through 18. The entire focus of these programs is to educate young people and create an environment within communities that supports teen decisions to postpone sexual activity until marriage.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education," for purposes of this program means an educational or motivational program that:

- (A) Has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity;
- (B) Teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;
- (C) Teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;
- (D) Teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;
- (E) Teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;
- (F) Teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;
- (G) Teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and
- (H) Teaches the importance of attaining self-sufficiency before engaging in sexual activity.

##### **Applicant Eligibility:**

Public and private agencies responsible for the administration (or supervision of the administration) of projects under Section 1110 of the Social Security Act that teach abstinence, using the definitions contained in Section 510(b)(2) of the Act, to adolescents ages 12 through 18. Eligible applicants include: State governments; County governments; City or Township governments; independent school districts; private institutions of higher education; special district governments; public and State-controlled institutions of higher education; Native American Tribal governments (Federally recognized); public housing authorities/Indian housing authorities; Native American Tribal organizations (other than Federally recognized Tribal governments); non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; non-profits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education; for-profit organizations other than small businesses; and, small businesses. Faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Sex education programs that promote the use of contraceptives are not eligible for funding under this program.

##### **Beneficiary Eligibility:**

Adolescents ages 12 through 18.

##### **Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specific instructions are published in a program announcement made available through [www.grants.gov](http://www.grants.gov).

##### **Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

##### **Appeals:**

Other - Not Specified.

##### **Renewals:**

From 60 to 90 days. Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination

that continued funding would be in the best interest of the Federal Government. Grants will be awarded for 12-month budget periods with a five-year project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are required to submit cash transaction reports, progress reports, and expenditure reports. Grantees must submit Federal Cash Transaction Reports (SF-272) quarterly throughout the project period through the payment management system. Grantees are required to submit program progress reports semi-annually throughout the project period. Program progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Grantees are required to submit financial reports (SF-269) semi-annually throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 08 \$113,197,000; FY 09 est \$99,114,000; FY 10 est \$0 - Fiscal Year 2008: In FY 2008, 171 grants were awarded and \$5,085,000 was awarded for contracts.

Fiscal Year 2009: In FY 2009, the program office estimates that 171 grants will be continued and \$7,575,000 will be awarded for contracts.

Fiscal Year 2010: The proposed budget for FY 2010 makes not provision for the CBAE program.

**Range and Average of Financial Assistance:**

\$250,000 to \$600,000; \$425,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Data has been aggregated for grants that were originally awarded funding in FY 2006 and FY 2007 and were in operation between September 30, 2007 - September 29, 2008. The 103 grantees that reported data combined to serve 551,478 youth aged 12 - 18. The average number of hours of service provided to youth was 5.6 hours. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address:  
<http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, SW, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202-205-8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.111 Adolescent Family Life Research Grants; 93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, 171 grants were awarded. Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, assemblies, community retreats, conferences and other activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address:  
[http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.061 INNOVATIONS IN APPLIED PUBLIC HEALTH RESEARCH**

CDC Health Protection Research Initiative (HPRI)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Part 247b, Section 317(k)(2).

**OBJECTIVES:**

To foster the new knowledge necessary to develop, enhance, and disseminate effective public health services, programs, and policies that improve health and quality of life for the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applied public health research provides the critical new knowledge to address the CDC Health Protection Goals and identified priority research needs. Research is focused on improving public health practices to maximize positive health outcomes and impacts.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

Beneficiary will be to public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Federally Recognized Indian Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide located at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) or applications must be prepared using the most current PHS 398 research grant application instructions and forms. The PHS 398 application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a grant from the Federal Government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1(866) 705-5711.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to 3 years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Cash reports are not applicable. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Financial status report is due no more than 90 days after the end of the budget period. A final financial report is due no more than 90 days after the end of the project period. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$8,684,155; FY 09 est \$26,241,527; FY 10 est \$27,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Juliana Cyril 1600 Clifton Rd., Atlanta, Georgia 30333 Email: [jcyril@cdc.gov](mailto:jcyril@cdc.gov) Phone: (404) 639-4639.

**Website Address:**

<http://www.cdc.gov> or <http://www.cdc.gov/od/science/PHResearch>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to the FOA will be evaluated for scientific and technical merit by an appropriate peer review group convened by the Office of Public Health Research, CDC in accordance with the review criteria. As part of the initial merit review, all applications may: Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score and receive a written critique.

**93.062 BIOMONITORING PROGRAMS FOR STATE PUBLIC HEALTH LABORATORIES**

CENTERS FOR DISEASE CONTROL AND PREVENTION (CDC)

DEPARTMENT OF HEALTH AND HUMAN SERVICES

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended., 42 U.S.C 247b.

**OBJECTIVES:**

The objectives of this federal assistance is to support the development or expansion of state-based biomonitoring programs, including necessary infrastructure, that will increase the capability and capacity of state public health laboratories (1) to assess human exposure to environmental chemicals

within their jurisdictions; (2) to determine which chemicals people are exposed to and the levels of those chemicals in peoples bodies; (3) to determine the prevalence of people with levels of chemicals that are above a known toxicity threshold; (4) to determine whether levels of selected chemicals are higher among minorities, children, women of childbearing age, or other potentially vulnerable groups; (5) to assess the effectiveness of state public health actions to reduce the exposure of their residents to specific chemicals of concern; (6) to compare state-generated biomonitoring data with CDC national biomonitoring data; and (7) to track trends in levels of chemicals in a states population or subgroups of that population over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements may be made to eligible entities for the support of projects to develop or expand state-based biomonitoring programs. Funding may be used for personnel salaries (for full-time, part-time, or contractor positions), laboratory instruments and supplies, training, travel, and indirect costs. Funds may not be used for research, clinical care, furniture or office equipment, pre-award costs, or the construction of new laboratory space. In addition, the direct and primary recipient in the cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications that must be submitted with the application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications and required forms for this program can be obtained from Grants.gov or from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to find and apply for all Federal grant/cooperative agreement opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Support is recommended for a specified project period, not to exceed 5 years, with each project period having a 12-month budget period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Annual progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$15,000,000; FY 10 est \$15,000,000 - Range: \$1 million to \$ 3 million per award  
Approximate average award: \$2.14 million.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Throughout the world, biomonitoring is the standard for assessing peoples exposure to chemicals in the environment as well as for responding to public health problems that can result from exposure to environmental chemicals. Biomonitoring is the direct measurement of environmental chemicals in peoples blood, urine, or other body tissues. Predicting levels of chemicals in peoples bodies after exposure is often based on estimates or measurements of the chemicals in air, soil, water, food, or commercial products. Using such information to estimate body burden also involves making assumptions about the influences of such factors as peoples personal habits and lifestyles; the toxicokinetics of the chemical (i.e., absorption, distribution in the body, metabolism, and elimination); and the contribution of genetic factors that can differ in individuals. In contrast, biomonitoring provides a definitive measure of which specific chemicals and how much get into people after they have been exposed. The value of biomonitoring lies in decreasing the uncertainty in assessing levels of human exposure, thus vastly improving the ability of public health officials to make timely and appropriate public health decisions. The Centers for Disease Control and Prevention (CDC) has used this important public health tool for at least three decades to determine peoples exposure to chemicals and has provided critical national data about human exposure to hundreds of environmental chemicals. These findings have been published in the peer-reviewed literature and in CDCs highly influential National Report on Human Exposure to

Environmental Chemicals (see <http://www.cdc.gov/exposurereport/>). State public health officials have recognized the value of this report but also recognize that the data contained in the report are not state specific. Consequently, health departments are interested in conducting biomonitoring assessments of chemical exposures among residents within their jurisdictions. Providing funding to state public health laboratories to develop or expand biomonitoring programs will give states the help they need to assess exposure to chemicals of concern and to be able to assess the effectiveness of public health efforts to reduce exposure to these chemicals. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. HHS Grants Policy Statement at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.063 CENTERS FOR GENOMICS AND PUBLIC HEALTH**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act.

**OBJECTIVES:**

To provide technical assistance to community, State and regional organizations by responding to identified needs and requests for information assistance and training in genomics and population health for the health workforce, with a particular focus on enhancing knowledge and awareness of genomics applications among public health workers, and support the integration of genomics into population health research, policy and practice; provide competency based training, identify opportunities to serve as a credible and impartial provider of current information about genomics, participate in collaborative processes with other Centers, CDC and external partners and evaluate the achievements and impact of the Centers' activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may not be used to support the provision of direct patient care, for facility or capital outlay, or to conduct research involving human subjects.

**Applicant Eligibility:**

Universities, colleges, and research institutions.

**Beneficiary Eligibility:**

Targeted State and community program capacity in genomics and population health will benefit.

**Credentials/Documentation:**

1)access to, and well-defined availability of, staff or collaborators with multidisciplinary expertise (epidemiology, public health practice, genomics,

clinical genetics and medicine, policy, health communications and education); 2)demonstrated ability to develop educational and practice collaborations among public, private, and academic partners, with emphasis on public health and health science institutions, State health departments and other agencies, health care organizations and community groups; 3)experience relevant to the specific objectives and activities of the program, particularly direct involvement with public health practice, improving population health, and integrating genomics into practice; and 4) expertise in needs assessment and planning and delivering technical assistance and training to public health workers or other health professionals. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

Other - Not Specified.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. See the following for information on how assistance is awarded/released: Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. No cash reports are required. Current budget period activities objectives, current budget period financial progress, new budget period program proposed activity objectives, budget, additional requested information, measure of effectiveness, financial status report by 90 days after the end of the budget and semi-annual progress report. Current budget period activities objectives, current budget period financial progress,



and new budget period program proposed activity objectives... Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$849,238; FY 09 est \$0; FY 10 est \$0 - Funds for fiscal year 2009 are not available. However, a no-cost extension is in place. Funds may be available in future fiscal years.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The Centers for Disease Control and Prevention (CDC) is the Federal Agency responsible for disease and injury prevention. The agency also focuses on prevention of disability and secondary conditions. As the Nation's prevention agency CDC's vision for the 21st century is "Healthy People in a Healthy World" reflecting the agency's concern that people's health is important both nationally and internationally and that the environment is critical to health in the future. The National Office of Public Health Genomics in collaboration with the Association of Schools of Public Health funded cooperative agreements with three schools of Public Health to establish the first Centers for Genomics and Public Health. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92. For information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.accessgpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Shirlene Elkins 1600 Clifton Road NE  
mailstop E-61  
, Atlanta, Georgia 30329 Email: [SElkins@cdc.gov](mailto:SElkins@cdc.gov) Phone: 4044980082

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.064 LABORATORY TRAINING, EVALUATION, AND QUALITY ASSURANCE PROGRAMS**

(Quality Assurance in Pathology and Laboratory Medicine)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(k)(2), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To improve the quality of laboratory testing practices relevant to clinical and public health settings and to determine standardized approaches to quality assurance in pathology and laboratory medicine that can be applied in multiple, diverse settings (e.g. community hospitals, academic medical centers, and independent laboratories) that demonstrate measurable and sustainable improvements over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to evaluate quality assurance methods for addressing the pre-analytic, analytic, and post-analytic components of laboratory testing in clinical and public health laboratory settings; and to provide technical assistance and training to public health laboratory scientists and leaders on laboratory standards and quality improvement models applicable to laboratory management services.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit organizations and by governments and their agencies, such as: Public nonprofit organizations, private nonprofit organizations, universities, colleges, research institutions, hospitals, community and faith based organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau).

**Beneficiary Eligibility:**

Applicants must have experience in the administration and evaluation of standardized quality assurance programs in multiple, diverse laboratory sites (including community hospitals and academic medical centers). This experience is required for an applicant to be able to assess the effectiveness of these quality assurance programs and to determine best practices.

**Credentials/Documentation:**

Title 2 of the United States Code section 1611 states that an organization described in section 501(c)(4) of the Internal Revenue Code that engages in lobbying activities is not eligible to receive Federal funds constituting an award, grant, or loan. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm) If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: Telephone: (770) 488-2700. Applications must be submitted through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications will be evaluated for completeness and responsiveness by the agency program and CDC Procurement and Grants Office (PGO). CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) will be prepared and processed, along with appropriate notification to the public. Initial award provides funds for the first budget period (usually 12 months) and the NoA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are one to five years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period. Cash reports are not applicable. Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal governments officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine HHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,943,759; FY 09 est \$1,976,308; FY 10 est \$2,500,000

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None. For general questions about this announcement, contact: Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: 770-488-2700. For program technical assistance, contact: Charlene Beach, Centers for Disease Control and

Prevention, NCPDCID, DLS, 1600 Clifton Road, MS G25. Telephone: (404) 498-2282, Fax: (404) 498-2210, E-mail: cho1@cdc.gov. For financial, grants management, or budget assistance, contact: Sharron Orum, Grants Management Specialist, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2716, E-mail: spo2@cdc.gov.

**Headquarters Office:**

Charlene H. Beach CDC/NCPDCID/DLS  
1600 Clifton Road, NE  
mailstop G25, Atlanta, Georgia 30333 Email: cho1@cdc.gov Phone:  
4044982282 Fax: 4044982210

**Website Address:**

http://www.cdc.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific and technical merit by objective or peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.065 LABORATORY LEADERSHIP, WORKFORCE TRAINING AND MANAGEMENT DEVELOPMENT, IMPROVING PUBLIC HEALTH LABORATORY INFRASTRUCTURE**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 317(k)(3) of the Public Health Service Act, [42 U.S.C. 247b (k)(3), as amended., Executive Order N/A, Title 42, Part 247b(k)(3), Section 317(k)(3).

**OBJECTIVES:**

To promote and maintain a collaborative relationship with the Association of Public Health Laboratories (APHL) that includes the National Laboratory Training Network (NLTN) and the National Laboratory Partnership (NLP) for the purpose of improving public health laboratory infrastructure, maintaining a competent and trained laboratory workforce, promoting laboratory leadership activities to ensure future laboratory leaders, ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and to enhance communication linkages between state and local public health laboratories, and the clinical laboratory testing community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Improvement of public health laboratory infrastructure, state-of-the-art training for the nation's laboratorians to be prepared in dealing with public health threats, improving laboratory leadership capabilities, enhancing inter-laboratory communications. There are no restrictions.

**Applicant Eligibility:**

State governments, specifically State public health laboratories, particularly any organization representing state public health laboratories and having an established training network.

**Beneficiary Eligibility:**

This project represents the front line defense against health threats to the nation's public. The nation's public is the ultimate recipient of benefits from this program.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments. For all other nonprofit grantees, cost will be determined in accordance with HHS Regulations 45 CFR 74 Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: 770-488-2700. Application forms can be mailed to you.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From two to three months.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash reports are not applicable. Interim progress report, no less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new budget period program proposed activity Objectives, budget, additional requested information, and measures of effectiveness;. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and personnel records including financial awards, financial status reports, interim reports, and final reports must be maintained for a period of seven years.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$15,275,629; FY 09 est \$13,011,869; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Samuel Taveras 1600 Clifton Road  
Mailstop E-73  
, Atlanta,, Georgia 30333 Email: [STaveras@cdc.gov](mailto:STaveras@cdc.gov) Phone: 404-498-1126

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed program, Methods, Proposal Adequacy, Evaluation, Program Personnel and Budget (not scored).

**93.066 STATE VITAL STATISTICS IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 304 and 306.

**OBJECTIVES:**

The purpose of this Program is to improve the timeliness, quality and sustainability of the de-centralized vital statistics system by adopting nationally-developed, consensus standards and guidelines; by actively working with states to re-engineer their state-owned and operated systems using these standards/guidelines; and by improving the efficiency of business operations of state vital statistics programs. Working collaboratively between State and Federal agencies, the goal is to facilitate the development and implementation of re-engineered systems in all 57 registration areas. These will be systems that can: (1) provide quality and timely data for public health surveillance and medical research; (2) meet citizen needs for legal copies of their birth and death records, including providing paper copies of records to citizens for their immediate legal or personal use, and at citizens' request, transferring records electronically to local, State or Federal agencies to satisfy an agency's need for a record; meet Federal agencies' needs for record verification and authentication; (3) result in comparable vital registration/statistics systems in each state; (4) use national standards and guidelines, including the 2003 revision of the U.S. Standard Certificates of Birth and Death and the Report of Fetal Death, the ICD-10 classification system, the FIPS geographic coding scheme, and the standard HL-7 vital events messaging; (5) support national security and privacy requirements; (6) integrate or harmonize easily with other public health systems such as Public Health Information Network (PHIN), immunization

registries, and newborn screening, and (7) use Internet technology.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions, which must be taken into account while writing your budget, are as follows: Approved project plan required prior to expenditure of funds; all travel will need to be identified in the approved project plan; and purchase of computer hardware and software will require prior approval before expenditure.

**Applicant Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Beneficiary Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Credentials/Documentation:**

Applicant are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the cooperative agreement. Measures must be objective and quantitative, and must measure the intended outcome. These measures of effectiveness must be submitted with the application and will be an element of evaluation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm).

**Award Procedure:**

Successful applicant will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

May 15, 2009: The program has been established for 5 years, with each option depending on the availability of funding and performance of the awardee. 4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of this award will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports about the objectives accomplished. Written reports are required at mid-term of the project year and at the end of the project year. At least quarterly meetings are required of the awardee. Financial status reports are required at the end of the project year. Updates on financial status is provided at mid-term of the project year. At mid-term of the project year, reports are required on the objectives achieved and the objectives to be achieved in the remainder of the project year. At the end of the project year, a progress report is required on the objectives achieved. Reports are provided on the amount spent within the approved budget categories. Performance monitoring is handled in four ways: 1) required quarterly meetings; 2) regular conference calls on specific issues; 3) joint projects with DVS staff; and 4) emails/telephone conversations with the staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$571,500; FY 09 est \$500,000; FY 10 est \$571,500

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

- Fiscal Year 2008:
1. Plan, design and begin the development of a data transfer system for the electronic exchange of birth and death records between states.
  2. Begin the development of a security manual for state vital records offices.
  3. Provided technical assistance to states on developing and implementing electronic birth and death systems.
  4. Provided in-depth reviews of the business practices of 5 states and assisted them in improving their operations.
  5. Conduct and analyze a national survey of the training needs of state vital records offices.
  6. Developed and maintained a database on state electronic systems and their status.
- Fiscal Year 2009:
1. Design and conduct national workshop on Security and Field Staff Operations for a Vital Records Office.
  2. Complete the development and testing of a new data transfer system in each of the 57 jurisdictions (target 20 states in this fiscal year).
  3. Develop the performance assessment measures for vital records offices.
  4. Conduct business process reviews of 5 states in this fiscal year
  5. Provide technical assistance to states to assist them in planning and implementing electronic birth and death systems.
  7. Develop 2 additional chapters for the security manual and participate on the national security panel.
  8. Update the national database on the status of state re-engineering efforts.
- Fiscal Year 2010:
1. Design and conduct national workshop on Managing a Vital Records Office.
  2. Implement the new data transfer system in each of the 57 jurisdictions (target 20 states in this fiscal year).
  3. Assess the performance of the vital records offices.
  4. Conduct business process reviews of 3 states in this fiscal year and assess the status of the states that received reviews in the prior fiscal year.
  5. Conduct survey of states on the capture of veteran status information.
  6. Provide technical assistance to states to assist them in planning and

implementing electronic birth and death systems.

7. Develop 2 additional chapters for the security manual and participate on the national security panel.

8. Update the national database on the status of state re-engineering activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Delton Atkinson Centers for Disease Control and Prevention  
National Center for Health Statistics/Division of Vital Statistics  
3311 Toledo Road, Room 7313  
, Hyattsville, Maryland 20782 Email: dxa9@cdc.gov Phone: 3014584467

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.067 GLOBAL AIDS**

(FEDERAL AGENCY)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and 247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601.

**OBJECTIVES:**

By 2010, work with other countries, international organizations, the U.S. Department of State, USAID and other partners to achieve the United Nations General Assembly Special Session on HIV/AIDS goal of reducing prevalence among 15 to 24 years of age.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Reimbursement of pre-award costs is not allowed. No funds shall be used to distribute sterile needles or syringes for the hypodermic use of any illegal drug. Funds may be spent for reasonable program purposes, including personnel, travel, operating costs including supplies, fuel for transportation, utilities, staff training costs including registration fees and purchase and rental of training related equipment, renovation of clinical or lab facilities; and purchase of HIV testing reagents, test kits and laboratory equipment for HIV testing and services. Equipment may be purchased if deemed necessary to accomplish program objectives; however, prior approval by CDC officials must be requested in writing. All requests for funds contained in the budget shall be stated in U.S. dollars. Once an award is made, CDC will not compensate foreign grantees for currency exchange fluctuations through the issuance of supplemental awards. The costs that are generally allowable in grants to domestic organizations are allowable to foreign institutions and international organizations, with the following exception: With the exception of the American University, Beirut, and the World Health Organization (WHO), Indirect Costs will not be paid (either directly or through sub-award) to organizations located outside the territorial limits of the United States or to international organizations regardless of their location. The applicant may contract with other organizations under this program; however the applicant

must perform a substantial portion of the activities (including program management and operations, and delivery of prevention services for which funds are required). You must obtain an annual audit of these CDC funds (program-specific audit) by a U.S. - based audit firm with international branches and current licensure/authority in-country, and in accordance with International Accounting Standards or equivalent standard(s) approved in writing by CDC. A fiscal Recipient Capability Assessment may be required, prior to or post award, in order to review the applicant's business management and fiscal capabilities regarding the handling of U.S. Federal funds. Prostitution and Related Activities The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. Any entity that receives, directly or indirectly, U.S. Government funds in connection with this document (recipient) cannot use such U.S. Government funds to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides. A recipient that is otherwise eligible to receive funds in connection with this document to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the recipient has a religious or moral objection. Any information provided by recipients about the use of condoms as part of projects or activities that are funded in connection with this document shall be medically accurate and shall include the public health benefits and failure rates of such use. In addition, any foreign recipient must have a policy explicitly opposing, in its activities outside the United States, prostitution and sex trafficking, except that this requirement shall not apply to the Global Fund to Fight AIDS, Tuberculosis and Malaria, the World Health Organization, the International AIDS Vaccine Initiative or to any United Nations agency, if such entity is a recipient of U.S. government funds in connection with this document.

**Applicant Eligibility:**

Competition is limited, or single eligibility by authorizing legislation.

**Beneficiary Eligibility:**

This is only for non-research and research activities supported by CDC/ATSDR. For the definition of research, please see the CDC web site at the following Internet address: <http://www.cdc.gov/od/ads/opspoll1.htm>.

**Credentials/Documentation:**

Your narrative should address activities to be conducted over the entire project period, and must include the following items in the order listed: 1) Organizational Experience; 2) Goals and Objectives; 3) Plan of Action; 4) Management plan, staffing, and infrastructure; and 5) Budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for funding opportunities should be submitted via the website [www.grants.gov](http://www.grants.gov). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at; Telephone: (770) 488-2700. Application forms can be mailed to you. Submit the original and two hard copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Applications may not be submitted electronically at this time.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal

officer identified in the application.

**Deadlines:**

Oct 01, 2009 Applications must be received in the CDC Procurement and Grants Office by 5:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Renewals are made by competitive applications and Reviews.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. As specified in the Founding Opportunity Announcement. No expenditure reports are required. As specified in the Founding Opportunity Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Foreign recipients are subject to audit requirements specified in 45 CFR 74.26(d). A non-Federal audit is required, if during the recipients fiscal year, the recipient expended a total of \$500,000.00 or more under one or more HHS awards (as a direct recipient and/or as a subrecipient) . The recipient either may have (1) A financial related audit (as defined in the Government Auditing Standards, GPO stock #020-000-00-265-4) of a particular award in accordance with Government Auditing Standards, in those case where the recipient receives awards under only one HHS program; or, if awards are received under multiple HHS programs, a financial related audit of all HHS awards in accordance with Government Auditing Standards; or (2) An audit that meets the requirements contained in OMB Circular A-133. Please forward a copy of the completed audit to the following address: Procurement and Grants Office, Centers for Disease Control and Prevention, Attn: Grants Management Officer, 2920 Brandywine Road, MS-K75, Atlanta, GA 30341. If your audit was completed in accordance with number two (2) above, in addition to the address listed above, you are required to send a copy of the audit report to: Department of Health & Human Services, National External Audit Review Center Lucas Place, Room 514, 323 West 8th Street, Kansas City, MO 64105.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08- \$1,139,887,898; FY09- est \$1,310,871,083; FY10- est \$1,376,414,637.

**Range and Average of Financial Assistance:**

\$25,000 to \$134,000,000. Average \$3,650,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Progress achieved through the first phase of the President's Emergency Plan for AIDS Relief (through September 30, 2008) includes: prevention of mother-to-child HIV transmission during nearly 16 million pregnancies, antiretroviral prophylaxis for nearly 1.2 million pregnant women found to be HIV-positive, allowing nearly 240,000 infants to be born HIV-free; life-saving treatment for more than 2.1 million men, women and children worldwide, including more than 2 million in the 15 focus countries--treatment support is estimated to save nearly 3.28 million adult years of life; and care for more than 10.1 million people affected by HIV/AIDS worldwide, including more than 4 million orphans and vulnerable children. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Sherry Smallwood, Branch Chief, International Branch, (770)488-2632, 2920 Brandywine Road, Atlanta, GA 30341.

**Headquarters Office:**

Reginald Carsonn 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: 4046390022

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: GAP has almost 500 funded projects primarily supporting Prevention, Care, and Treatment of HIV/AIDS internationally. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for HIV/AIDS, Viral Hepatitis, STD and TB Prevention (NCHHSTP). Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements. An objective review panel will evaluate complete and responsive applications.

**93.068 CHRONIC DISEASES: RESEARCH, CONTROL, AND PREVENTION**

(Research, Control, and Prevention)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Title 42, Part 247b(k)(2), Section 301(a), Public Law USC-2421(a) and (b).

**OBJECTIVES:**

To assist State and local health agencies, health related organizations, and other public and private organizations in their efforts to prevent and control chronic diseases and disorders through research, development, capacity building, and intervention. To utilize research data to improve detection, diagnosis, treatment, and care of chronic diseases and their complications. To generate new knowledge related to chronic diseases that will improve health and quality of life and eliminate health disparities among segments of the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with conducting research and surveillance of chronic diseases and their complications. Funds may also be used for program planning and development, to support capacity building, and for evaluation of chronic disease prevention and control programs. CDC will have substantial involvement with the award recipient during performance of the funded activity.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Foreign institutions may be eligible for some specific programs.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organization.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12-month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Cash reports are not applicable. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$3,227,030; FY 09 est \$3,227,030; FY 10 est \$3,227,030

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda Colley Gilbert, 1600 Clifton Rd, Atlanta, Georgia 30333 Email: bjc4@cdc.gov Phone: (770) 488-8390.

**Website Address:**

<http://www.cdc.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance. All applications will be peer reviewed.

**93.069 PUBLIC HEALTH EMERGENCY PREPAREDNESS**

PHEP

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 319; Public Health Service Act, Section 317; Public Health Service Act, Section 301, Public Law 108-111, 42 U.S.C 247d-3; Public Health Service Act, Section 311; Public Health Service Act, Section 307, Public Law 109-111.

**OBJECTIVES:**

To develop emergency-ready public health departments by upgrading, integrating and evaluating State and local public health jurisdictions preparedness for and response to terrorism, pandemic influenza, and other public health emergencies with Federal, State, local, and tribal governments, the private sector, and non-governmental organizations (NGOs). These emergency preparedness and response efforts are intended to support the National Response Plan (NRP) and the National Incident Management System (NIMS).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State and Local Health Departments.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. CDC provides an Internet-based system for submitting applications, including narrative and budget, electronically. This system will also enable applicants to complete most required forms electronically, which can then be signed and uploaded into the system. Applicants are required to use this system in lieu of paper-based applications. Under separate cover, CDC will provide detailed instructions on obtaining a digital certificate to access the CDC web portal <https://sdn.cdc.gov> and use the electronic application system. This program is subject to the provisions of 45 CFR Parts 74 and 92, as appropriate.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Also, appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 5 years with 12-month budget periods. Applications must be submitted in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 5%. Matching Requirements will move to 10% in FY 2010.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually and assistance is available for a 12-month budget period. There are five separate budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semiannual and year end progress reports are required. No cash reports are required. Semiannual and year end progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$704,867,418; FY 09 est \$688,914,546; FY 10 est \$678,906,622

**Range and Average of Financial Assistance:**

FY08 Range - \$330,743 to \$50,161,370

FY08 Average - \$11,368,829.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All states have public health emergency response plans in place (few states had such plans in 2001).

All states, directly funded localities, and territories received three-year supplemental funding beginning in March 2006 to initiate activities in support of their pandemic influenza plans.

All states have plans in place for receiving and distributing assets from the Strategic National Stockpile and are exercising those plans.

All states have crisis and emergency risk communication plans.

All states have individuals assigned to evaluate urgent disease reports 24 hours, 7 days a week, 365 days a year.

All states have protocols in place to activate the public health emergency response system 24 hours, 7 days a week, 365 days a year.

Participation in the Cities Readiness Initiative (CRI) has increased from 21 cities in 2004 to 72 cities today. CRI aids state and local officials in developing plans that support mass dispensing of needed drugs and medical supplies to 100



percent of the identified population within 48 hours to avert mass casualties during a large scale public health emergency, such as a bioterrorism attack. The programs overall funding also has grown annually from \$27 million in 2004 to \$64 million in 2008.

Currently, 20 U.S. states participate in the Early Warning Infectious Disease Surveillance (EWIDS) program, providing rapid and effective laboratory confirmation of urgent infectious disease case reports in the border regions of the United States, Canada, and Mexico.

Local access to CDC preparedness subject matter experts has been increased through additional field assignments and other customized technical assistance approaches.

A technical assistance workshop held in the Pacific Islands has strengthened preparedness in the region through the provision of guidance on emerging issues and initiatives and the sharing of lessons learned and promising practices. There are more than 160 Laboratory Response Network (LRNs) bioterrorism laboratories, with 90 percent of the U.S. population living within 100 miles of an LRN lab (up from 91 labs in 2001).

More than \$75 million has been awarded to state and local health departments to increase chemical laboratory capacity. Level 1 chemical laboratory capacity has doubled, with 10 Level 1 chemical laboratories now available to provide surge capacity to CDC in the event of a national emergency. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Van A. King 1600 Clifton Road  
MS-D29, Atlanta, Georgia 30329-4018 Email: vbk5@cdc.gov Phone:  
404-639-5276

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The applicants must submit their application in accordance with appropriate program guidance. Applications will be reviewed for completeness by the Procurement and Grants Office staff and for technical acceptability by the Coordinating Office of Terrorism Preparedness and Emergency Response and CDC subject matter experts. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements.

### **93.070 ENVIRONMENTAL PUBLIC HEALTH AND EMERGENCY RESPONSE**

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act Sections 301, 307, 311, 317, and 319C (42 U.S.C. Sections 241, 242l, 243, 247b and 247d-3), as amended; Public Law 109-417, Public Law 109-147, U.S.C 241-242l-243.

#### **OBJECTIVES:**

To bring public health and epidemiologic principles together to identify, clarify, and reduce the impact of complex environmental threats, including terrorist threats and natural disasters, on populations, domestic and foreign. These programs and activities focus on safeguarding the health of people from environmental threats; providing leadership in the use of environmental health sciences-including environmental epidemiology, environmental sanitation, and

laboratory sciences-to protect public health; and responding to issues and sharing solutions to environmental health problems worldwide. To accomplish the above, the CDC: (1) conducts surveillance and investigations that increase the knowledge about the relation between human health and environmental threats; (2) uses this knowledge to develop national public health programs and policies to prevent or control public health problems; (3) plans, prepares, and responds to emergencies, including terrorist threats, technologic accidents, and natural disasters; (4) provides direct service delivery to partners engaged in environmental health services such as food, safety, rodent control, water quality, and sanitation; (5) develops and applies laboratory science to prevent disease and death caused by exposure to environmental chemicals and to improve the diagnosis, treatment, and prevention of selected chronic diseases; (6) conducts Biomonitoring to assess individual human exposure to environmental chemicals by measuring them in human specimens (e.g. blood and urine); and, (7) conducts activities on emerging environmental threats such as climate change and the built environment.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

NONE.

#### **Applicant Eligibility:**

None

#### **Beneficiary Eligibility:**

None

#### **Credentials/Documentation:**

Applicants should review the individual CDC Funding Opportunity Announcement document issued under this CFDA program for any required proof or certifications that must be submitted prior to, or simultaneous with, submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity use application form HHS-5161-1. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff at: (770) 488-2700. Application forms can be mailed to you.

#### **Award Procedure:**

Award Procedure: Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail. Appropriate notification is also made to the public.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for one to five years with 12-month renewals. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

Applications must be obtained from Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2800.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Length and Time Phasing of Assistance

Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance

Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$25,815,327; FY 09 est \$25,086,581; FY 10 est \$25,086,581

**Range and Average of Financial Assistance:**

\$10,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Established in 1980, CDCs environmental health activities focus on safeguarding peoples health from environmental hazards. The program aims to protect peoples health by preventing disability, disease, and death from environmental causes. Through a combination of science, service,

and partnerships, CDCs environmental health work encompasses a broad range of activities, including: Investigating the effects of the environment on health through laboratory and field research; Tracking and evaluating environment-related health problems through surveillance systems; Developing and implementing interventions and prevention actions; Building local, state, and tribal public health environmental health capacity; and, Assisting domestic and international agencies and organizations to prepare for and respond to environmental emergencies.

While CDCs Environmental Health Programs engage in a broad range of activities, four activities Environmental Public Health Laboratory (which conducts the National Biomonitoring Program), Environmental Public Health Tracking (one of many projects under CDCs Environmental Health Activities budget activity), Asthma, and Childhood Lead Program account for approximately 80 percent of the total programs budget. In addition to these activities, CDC has identified Climate Change, Safe Water and the Built Environment as priority issues. CDC is working with partners to address the health effects of climate change, as well as environmental issues related to physical activity, nutrition, injury and prevention, community planning, and air pollution prevention. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. In addition, grants will be available under the authority of and administered in accordance with the HHS Grants Policy Statement available at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardnerm 4770 Buford Hwy, NE, MS F61 , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure; 93.197 Childhood Lead Poisoning Prevention Projects\_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: CFDA 93.065; 93.197; 93.269; 93.283. Fiscal Year 2009: CFDA 93.065; 93.197; 93.269; 93.283. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.072 LIFESPAN RESPITE CARE PROGRAM**

Lifespan Respite Care Program

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

The Lifespan Respite Care Act of 2006, Public Law 109-716, 42 U.S.C 201.

**OBJECTIVES:**

Under the Lifespan Respite Care Act, the purpose is to expand and enhance respite care services to family caregivers; improve the statewide dissemination and coordination of respite care; and to provide, supplement, or improve access and quality of respite care services to family caregivers, thereby reducing family caregiver strain. The Act also creates a National Lifespan Respite Resource Center designed to maintain a national database on lifespan respite care; provide training and technical assistance to State, community and nonprofit respite care programs; and provide information, referral, and educational programs to the public on lifespan respite care.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used for the development and enhancement of lifespan respite care at the State and local levels; the provision of respite care services for family caregivers caring for children or adults; training and recruiting of respite care workers and volunteers; the provision of information to caregivers about available respite and support services; and assistance to caregivers in gaining access to such services. Funds may also be used for training programs for family caregivers to assist family caregivers in making informed decisions about respite care services; other services essential to the provision of respite care as may be specified by AoA; or training and education for new caregivers. Funds may also be used to establish a National Resource Center on Lifespan Respite Care. Matching funds are required. Funds may not be used to supplant other Federal, State, or local funds available for respite care services.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The beneficiaries of the Lifespan Respite Care Program are family caregivers defined as unpaid family members, foster parents, or another unpaid adult who provides in-home monitoring, management, supervision, or treatment of a child or adult with a special need.

Each governor desiring the eligible State agency of his or her State to receive a grant or cooperative agreement under this section shall submit an application on behalf of such agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications for federal assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA) and will be simultaneously published on Grants.gov ([www.grants.gov](http://www.grants.gov)) and on the AoA web site at <http://www.aoa.gov/AoARoot/Grants/index.aspx> when funding is available. As specified in the program announcement, application forms and instructions may be obtained by writing to the U.S. Department of Health and Human Services, Administration on Aging, Grants Management Office, Washington, D.C., 20201.

**Award Procedure:**

Notification of Award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As specified in each program announcement posted on [www.grants.gov](http://www.grants.gov) and <http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>.

**Appeals:**

Not Applicable.

**Renewals:**

As outlined in the program announcement.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Eligible State agencies must provide a non-Federal cash or in-kind contribution of not less than 25% of the total award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be made for a period not to exceed 5 years. Method of

awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual program progress reports are required. Annual financial reports (SF269) are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$2,500,000; FY 10 est \$2,500,000

**Range and Average of Financial Assistance:**

Lifespan Respite Care Program est. \$200,000 - \$600,000: avg. \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: none. Fiscal Year 2009: We anticipate up to six awards in FY 2009. Lifespan Respite Care Program services will improve quality of respite care services to family caregivers, thereby reducing family caregiver strain. Fiscal Year 2010: unknown.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92; Lifespan Respite Care Act of 2006 (P.L. 109-716); HHS Grants Policy Statement (<http://www.aoa.gov/AoARoot/Grants/Terms/index.aspx>).

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Robert Hornyak Administration on Aging, DHHS, Washington, District of Columbia 20201 Email: [robert.hornyak@aoa.hhs.gov](mailto:robert.hornyak@aoa.hhs.gov) Phone: (202) 357-0150

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.051 Alzheimer's Disease Demonstration Grants to States; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive. Details for evaluating applications are published as part of the program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) involvement of community-based organizations in planning and implementation activities; and (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.086 HEALTHY MARRIAGE PROMOTION AND RESPONSIBLE FATHERHOOD GRANTS**

(Healthy Marriage Promotion and Responsible Fatherhood Grants)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 403; The Deficit Reduction Act of

2005 (DRA), Public Law 109-171.

**OBJECTIVES:**

Included four objectives: (1) To fund Healthy Marriage Promotion activities that will help couples, who have chosen marriage for themselves, gain greater access to marriage education services on a voluntary basis. These services will help couples acquire the skills and knowledge necessary to form and sustain a healthy marriage; (2) To fund Responsible Fatherhood promotion activities specifically designed to promote responsible fatherhood to reverse the rise in father absence and its subsequent impact on our nation's children. ACF will award these funds on a competitive basis to States, territories, Indian tribes and tribal organizations, and public and nonprofit community entities, including faith-based organizations; (3) To award competitive based demonstration projects designed to test the effectiveness of tribal governments or tribal consortia in coordinating the provision to tribal families at risk of child abuse or neglect of child welfare services and services under tribal programs funded under this part; and, (4) To provide technical assistance by the Federal government to States, Indian tribes and tribal organizations, receiving a grant for any program funded under this part.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Secretary may not award funds on a noncompetitive basis, and may not provide any such funds to an entity for the purpose of carrying out healthy marriage promotion activities or for the purpose of carrying out activities promoting responsible fatherhood unless the entity has submitted to the Secretary an application which describes how the programs or activities proposed in the application will address, as appropriate, issues of domestic violence; and what the applicant will do, to the extent relevant, to ensure that participation in the programs or activities is voluntary, and to inform potential participants that their participation is voluntary; and contains a commitment by the entity to not use the funds for any other purpose; and to consult with experts in domestic violence or relevant community domestic violence coalitions in developing the programs and activities.

**Applicant Eligibility:**

The Healthy Marriage and Responsible Fatherhood grants were awarded one time for a five-year (5) project period. The awards were made final in September 2006 and will run for five consecutive years up through September 2011. There are no subsequent competitive awards for this program. Eligible organizations for Healthy Marriage Grants in general were public and private entities. This included, but was not limited to: States; County governments; City or township governments; Special district governments; State controlled institutions of higher education; Native American tribes and tribal organizations; Nonprofit organizations; Private organizations of higher education; For-profit organizations; and faith-based and community organizations. Application Eligibility for Responsible Fatherhood Grants included: States; territories; Indian tribes and tribal organizations; and public and non-profit community entities, including Faith-based organizations. Application Eligibility for Tribal TANF Child Welfare TA Grants includes Native American Tribal governments.

**Beneficiary Eligibility:**

Families, couples, individuals in need of assistance with marriage enhancement and relationship education, parenting education, economic stability services. In general these funds will assist in the efforts to enhance and expand the ability of States, Native American governments, local governments, for-profit organizations, non-profit community organizations and other public entities to provide family formation services to those in need.

**Credentials/Documentation:**

Any nonprofit agency was required to provide proof of its nonprofit status through one of the following: (a) A reference to the applicant organization's listing in the Internal revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. (b) A copy of a currently valid IRS tax exemption certificate (c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. (d) A certified copy of the organization's certificate of incorporation or similar document that clearly

establishes nonprofit status. (e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization if it's local nonprofit affiliate. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Funding for this program was awarded in September 2006 and no additional funds are available. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants needed to complete all the standard forms required for making application for awards under this announcement. Applicants that requested financial assistance submitted Standard Forms 424, 424A, 424B and the associated certifications and assurances. Specific instructions were published in the official program announcement.

**Award Procedure:**

Applications received by the due date were reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, used the evaluation criteria listed in Part V of the Program Announcement to review and score the applications. The results of the review were a primary factor in making funding decisions. ACF may also solicit comments from Regional Office staff and other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. The successful applicants were notified through issuance of a Financial Assistance Award document which set forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support will be given, the nonfederal share to be provided, and the total project period for which support is contemplated.

**Deadlines:**

Jun 01, 2006 to Jul 17, 2006: HHS-2006-ACF-OFA-FR-0144. The Healthy Marriage and Responsible Fatherhood grant deadlines have closed. All awards for these programs were made in fiscal year 2005. The grants were one time for a five-year (5) period through fiscal year 2010. No other applications are being accepted and no future funding is anticipated.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: All grants were approved/disapproved within the 60-90 day period. This program was funded in September 2006 no additional funds are available.

**Appeals:**

Not Applicable.

**Renewals:**

Awards were made for five-year project periods, funding for years 2 thru 5 are not competitive and will depend upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants were awarded for project periods of up to five years. Awards, however, were made on a competitive basis, for a one-year budget period. Applications for continuation grants funded under these awards beyond the one-year budget period but within the five-year project period will be entertained in subsequent years on a noncompetitive basis, subject to availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the government. Method

of awarding/releasing assistance: lump sum.

**Reports:**

Semi -Annual progress reports. No cash reports are required. Semi -Annual progress reports. SF-269 and SF-272. Semi -Annual progress reports, site visits and annual conferences.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92. These provisions are also outlined in OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Nonprofit Organizations, non-federal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1552-1-0-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$149,949,000; FY 09 est \$150,000,000; FY 10 est \$150,000,000

**Range and Average of Financial Assistance:**

Healthy Marriage Grants range from \$250,000 to \$3,250,000 depending on the scope of the project. Average award: \$1,000,000. Responsible Fatherhood Grants will range from \$200,000 to \$1,000,000 depending on the scope of the project. Average award: \$700,000. Tribal TANF Child Welfare Grants will range from \$25,000 to \$100,000. Average Award: \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Healthy Marriage and Responsible Fatherhood grantees continue to provide skill-based healthy marriage education and responsible fatherhood activities, which include marriage education, parenting skills, and economic stability. Additionally, OFA funds the National Healthy Marriage Resource Center (NHMRC) and the National Responsible Fatherhood Clearinghouse (NRFC). The NHMRC serves as a clearinghouse and national repository for information, research, technical assistance, and as a catalyst of the healthy marriage field. The National Responsible Fatherhood Clearinghouse assists organizations, states and communities by providing valuable information designed to promote and support Responsible Fatherhood. Primarily a tool for professionals operating Responsible Fatherhood programs, the NRFC provides access to print and electronic publications, timely information on fatherhood issues, and targeted resources that support OFA-funded Responsible Fatherhood grantees. Both the NHMRC and the NRFC are successfully conducting national media campaigns in traditional, social media, and web-based outlets. Fiscal Year 2009: We estimate that each organization will remain active grantees, providing skill-based healthy marriage education and responsible fatherhood activities, which include marriage education, parenting skills, and economic stability. Additionally, OFA funds the National Healthy Marriage Resource Center (NHMRC) and the National Responsible Fatherhood Clearinghouse (NRFC). The NHMRC serves as a clearinghouse and national repository for information, research, technical assistance, and as a catalyst of the healthy marriage field. The National Responsible Fatherhood Clearinghouse assists organizations, states and communities by providing valuable information designed to promote and support Responsible Fatherhood. Primarily a tool for professionals operating Responsible Fatherhood programs, the NRFC provides access to print and electronic publications, timely information on fatherhood issues, and targeted resources that support OFA-funded Responsible Fatherhood grantees. Both the NHMRC and the NRFC are successfully conducting national media campaigns in traditional, social media, and web-based outlets. Fiscal Year 2010: We estimate that each organization will remain active grantees, providing skill-based healthy marriage education and responsible fatherhood activities, which include marriage education, parenting skills, and economic stability. Additionally, OFA funds the National Healthy Marriage Resource Center

(NHMRC) and the National Responsible Fatherhood Clearinghouse (NRFC). The NHMRC serves as a clearinghouse and national repository for information, research, technical assistance, and as a catalyst of the healthy marriage field. The National Responsible Fatherhood Clearinghouse assists organizations, states and communities by providing valuable information designed to promote and support Responsible Fatherhood. Primarily a tool for professionals operating Responsible Fatherhood programs, the NRFC provides access to print and electronic publications, timely information on fatherhood issues, and targeted resources that support OFA-funded Responsible Fatherhood grantees. Both the NHMRC and the NRFC are successfully conducting national media campaigns in traditional, social media, and web-based outlets.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin McDonald Office of Family Assistance (OFA)  
370 L'Enfant Promenade, S.W.  
5th Floor East, Washington, District of Columbia 20447 Email:  
Robin.McDonald@acf.hhs.gov Phone: 202-401-5587

**Website Address:**

[www.acf.hhs.gov/healthymarriage/index.html](http://www.acf.hhs.gov/healthymarriage/index.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.087 ENHANCE THE SAFETY OF CHILDREN AFFECTED BY PARENTAL METHAMPHETAMINE OR OTHER SUBSTANCE ABUSE**

Targeted Grants to Increase the Well-Being of, to Improve the Permanency Outcomes for, and Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child and Family Services Improvement Act of 2006, Public Law 109-288.

**OBJECTIVES:**

To provide, through interagency collaboration and integration of programs activities and services that are designed to increase the well-being of, improve permanency outcomes for, and enhance the safety of children who are in an out-of-home placement or are at risk of being placed in an out-of-home placement as a result of a parent's or caretaker's methamphetamine or other substance abuse.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 437(f) of Title IV-B of the Social Security Act and may include the following: (1) family-based comprehensive long-term substance abuse treatment services; (2) early intervention and preventative services; (3) children and family counseling; (4) mental health services; (5) parenting skills training; (6) replication of successful models for providing family-based comprehensive long-term substance abuse treatment services. Other suggested activities and services are listed in the program announcement. 100% of funds are set-aside for discretionary activities.

**Applicant Eligibility:**

State governments, County governments, Local Governments, City or township governments, Regional Organizations, U.S. Territory or Possession, Independent school districts, Public and State-controlled institutions of higher

education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), Indian/Native American Tribally Designated Organizations, Public/Indian Housing Authorities, Non-profits with 501(c)(3) IRS status (other than institutions of higher education), Non-profits without 501(c)(3) IRS status (other than institutions of higher education), Private institutions of higher education, For-profit organizations (other than small businesses), Small businesses, Hispanic-Serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian Serving Institutions, and Special district governments. Foreign entities are not eligible under this announcement. Applications must represent regional partnerships formed by a collaborative agreement. Applications must identify a primary applicant responsible for administering the grant. The primary applicant must be one of the regional partnership organizations listed below. The primary applicant cannot be an individual. The regional partnership must include either the State child welfare agency that is responsible for the administration of the State plan under title IV-B or title IV-E of the Social Security Act or an Indian tribe or tribal consortium but the regional partnership may not consist of only State entities.

**Beneficiary Eligibility:**

Agencies or organizations serving children and families who have experienced or are at risk of experiencing an out of home placement as a result of a parent's or caregivers methamphetamine or other substance abuse.

**Credentials/Documentation:**

Non-profit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to grants.gov. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the fields of child welfare and substance abuse treatment. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

This program was announced and grants awarded in FY 2007 for 3 and 5 years. There is no additional announcement anticipated for this program in FY 2009 or FY 2010.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the selected award period (3 or 5 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 15 percent of the costs of grant-funded services and activities in FY 2007 and FY 2008, 20 percent of such costs in FY 2009 and FY 2010, and 25 percent of such costs in FY 2011. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants were available for a 36- or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency, and well-being of children and their families. PSC 272. Program progress reports are required semiannually with a final report at completion of the project. Financial expenditure reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$35,000,000; FY 09 est \$30,000,000; FY 10 est \$20,000,000

**Range and Average of Financial Assistance:**

FY 08: \$489,937 to \$825,000 with an average of \$575,012.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A data dictionary of performance indicators was created, an automated data collection system was launched and grantees began first data submission 12/2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elaine Stedt Office on Child Abuse and Neglect, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Phone: 202-205-7941

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) demonstration of regional impact of methamphetamine or other substance abuse; (2) organizational capacity to collaborate with other service providers; and (3) relevance of proposed services and activities in enhancing the well-being of children in foster care or at risk of foster care due to a parent's or caretaker's substance abuse.

**93.089 EMERGENCY SYSTEM FOR ADVANCE REGISTRATION OF VOLUNTEER HEALTH PROFESSIONALS**

ESAR-VHP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 319I, as amended, 42 U.S.C 247d-7b.

**OBJECTIVES:**

Establish and maintain a national interoperable network of state systems. Each system is maintained by a State or group of States for the purpose of verifying the credentials, certifications, licenses, relevant training, and hospital privileges of health care professionals who volunteer to provide health services during a public health emergency.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for ESAR-VHP related activities only. Grants funds may not be used for construction and/or major rehabilitation of buildings. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned; all funds available will be used for discretionary grant awards.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual ASPR funding opportunity announcement issued under this CFDA program for any proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov - FIND. Applicants should visit Grants.gov - FIND for the funding opportunity announcement and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the funding opportunity announcement (FOA).

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 25, 2009: Applicable deadlines and due dates are specified in the funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 60 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Grantees are required to submit program reports, also know as Program Progress Reports. No cash reports are required. Grantees are required to submit semi-annual Program Progress Reports as well as final Program Progress Reports. Grantees are required to submit an annual and final Financial Status Report (SF-269). Report formats and submission requirements are outlined in the funding opportunity announcement. Performance monitoring is done in reviewing the program progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$3,442,000; FY 10 est \$3,522,000

**Range and Average of Financial Assistance:**

\$50,000 to \$60,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Hannah, Team Lead, ESAR-VHP, National Healthcare Preparedness Programs, Office of Preparedness and Emergency Operations, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, 395 E Street, S.W., Suite 1075, Washington, DC, 20024; Phone (202) 245-0722.

**Headquarters Office:**

Stephen L. Daniels 395 E Street, S.W.  
Room 1075.43, Washington, District of Columbia 20024 Email:  
Stephen.Daniels@hhs.gov Phone: (202) 245-0961

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Purpose and Need; (2) Approach, Work Plan and Activities; (3) Project Outcomes, Evaluation/Dissemination; and (4) Level of Effort.

**93.090 GUARDIANSHIP ASSISTANCE**

## GUARDIANSHIP ASSISTANCE

### FEDERAL AGENCY:

Administration for Children and Families, Department of Health and Human Services

### AUTHORIZATION:

as amended, Public Law 110-351; Social Security Act, Title IV, Part E, Section 473, Public Law 111-8.

### OBJECTIVES:

To provide Federal Financial Participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) who opt to provide guardianship assistance payments for the care of children by relatives who have assumed legal guardianship of eligible children for whom they previously cared as foster parents.

### TYPES OF ASSISTANCE:

Formula Grants

### USES AND USE RESTRICTIONS:

Federal assistance may be used only in support of the care of children who meet the eligibility requirements and their siblings under certain situations as specified in the statute. All relatives assuming guardianship of such children are eligible for the nonrecurring expenses associated with obtaining legal guardianship up to \$2000. States and Tribes may receive Federal Financial Participation (FFP) only if title IV-E plans have been approved by the Secretary.

### Applicant Eligibility:

Funds are available to States, the District of Columbia, Puerto Rico, and to Tribes with approved title IV-E plans.

### Beneficiary Eligibility:

Beneficiaries are children who meet the following requirements: (1) the child has been eligible for title IV-E foster care maintenance payments while residing for at least six consecutive months in the home of the prospective relative guardian; and (2) the State or Tribe has determined that the permanency options of being returned home or adoption are not appropriate for the child; and (3) the child demonstrates a strong attachment to the prospective relative guardian and the prospective guardian is committed to caring permanently for the child; and (4) for children who have attained the age of 14, the child has been consulted regarding the kinship guardianship arrangement. Beneficiaries may also be siblings of eligible children placed in the same kinship guardianship arrangement. FFP is available to States and Tribes that negotiate and enter into a written, binding kinship guardianship agreement.

### Credentials/Documentation:

See OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

### Award Procedure:

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable expenditures. Final decisions and awards are made by the Headquarters Office.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

HHS will approve/disapprove applications (title IV-E plans or amendments to them) within 45 days of receipt by HHS.

### Appeals:

Refer to 45 CFR Part 16.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory Formula: Federal Financial Participation (FFP) for kinship guardianship is equal to the FMAP (as defined by sec. 1905(b) of the Social Security Act) for the total expended for kinship guardianship assistance payments; 75% of staff training costs; and 50% of other administrative costs. Short term training provided to kinship guardians is subject to a special FFP rate that varies by fiscal year (55% FFP in FY 2009; 60% for FY 2010). Matching Requirements: Federal Financial Participation (FFP) for kinship guardianship is equal to the FMAP (as defined by sec. 1905(b) of the Social Security Act) for the total expended for kinship guardianship assistance payments; 75% of staff training costs; and 50% of other administrative costs. Short term training provided to kinship guardians is subject to a special FFP rate that varies by fiscal year (55% FFP in FY 2009; 60% for FY 2010). This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Federal financial participation is available to a State operating under an approved State plan. Beginning in FY 2010, FFP will be available to Indian Tribes, Indian Tribal organizations and Tribal consortia with approved plans to operate a title IV-E program, including a guardianship assistance program. The title IV-E agency may implement and claim allowable guardianship assistance program costs beginning on the first day of the quarter in which an approvable title IV-E plan amendment is submitted to ACF to implement the guardianship assistance program. Method of awarding/releasing assistance: quarterly.

### Reports:

Other reports as may be required by the Secretary. PSC-272. No progress reports are required. Expenditure reports are required 30 days after the end of the quarter; other reports as required by the Secretary. No performance monitoring is required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

### Records:

States and Tribes must maintain records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, allocated and direct administrative and training costs, and the provision of financial assistance. See also 45 CFR 92.42.

### Account Identification:

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

### Obligations:

(Formula Grants) FY 08 \$0; FY 09 est \$14,000,000; FY 10 est \$49,000,000 - In FY 2009, ARRA grants are estimated to be \$1 million and in FY 2010, ARRA grants are estimated to be \$5 million.

### Range and Average of Financial Assistance:

The program is available as an option for States as of October 7, 2008, therefore estimates on the range and average of financial assistance are not yet available.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Kinship guardianship assistance payments are made to eligible children who are cared for by relative guardians. The program is available the first day of the quarter in which an approvable title IV-E plan is submitted. In FY 2009, funds will be available to States with approved title IV-E plans to operate a guardianship assistance program. Two States had plans approved in FY 2009. Fiscal Year 2010: Beginning in FY 2010, funds will be available to Indian Tribes, Indian Tribal organizations and Tribal consortia with approved title IV-E plans to operate a guardianship assistance program.

### REGULATIONS, GUIDELINES, AND LITERATURE:

See program guidance in ACYF-CB-PI-08-07 which can found at [http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/pi/2008/pi0807.htm](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2008/pi0807.htm).



See also the HHS Grants Policy Statement found online at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Child Welfare Program Manager, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

**Headquarters Office:**

Gail Collins 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [gail.collins@acf.hhs.gov](mailto:gail.collins@acf.hhs.gov) Phone: 202-205-8552

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.103 FOOD AND DRUG ADMINISTRATION\_RESEARCH**

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act as amended, Title III, Section 301(c), Public Law 78-410, 42 U.S.C 241 and 263; Small Business Innovation Research Program Reauthorization Act of 1992 as amended, Public Law 102-564; Radiation Control for health Safety Act of 1968, Title XVII, Public Law 90-602, 42 U.S.C 300u.

**OBJECTIVES:**

To assist institutions and organizations, to establish, expand, and improve research, demonstration, education and information dissemination activities; acquired immunodeficiency syndrome (AIDS), biologics, blood and blood products, therapeutics, vaccines and allergenic projects; drug hazards, human and veterinary drugs, clinical trials on drugs and devices for orphan products development; nutrition, sanitation and microbiological hazards; medical devices and diagnostic products, radiation emitting devices and materials; food safety and food additives. These programs are supported directly or indirectly by the following Centers and Offices: Center for Biologics Evaluation and Research (CBER); Center for Drug Evaluation and Research (CDER); Center for Devices and Radiological Health (CDRH); Center for Veterinary Medicine (CVM), Center for Food Safety and Applied Nutrition (CFSAN), National Center for Toxicological Research (NCTR), the Office of Orphan Products Development (OPD) and Office of Regulatory Affairs (ORA), and the Office of the Commissioner (OC). Small Business Innovation Research (SBIR) Programs: to stimulate technological innovation; to encourage the role of small business to meet Federal research and development needs; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation by minority and disadvantaged persons in technological innovation. Funding support for scientific conferences that are relevant to the FDA scientific mission and public health are available. Funds are also provided to assist with State Food Safety Task Force and Protection meetings, Innovative Food Defense Projects, and Food Protection Rapid Response Team and Program Infrastructure Improvement Prototype Projects (RRT).

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

Research grants are awarded to an eligible institution in the name of a principal investigator for a discrete project representing the investigator's interest and competence and are responsive to programmatic requirements as stated in the Funding Opportunity Announcement (FOA). Funds are to be used for costs as identified in the FOA and as directly allocable, necessary and reasonable to

carry out the proposed research aims and objectives. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants for this program are for the competitive continuation of the research initiated in Phase I, and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Conference grants provide partial support for domestic scientific conferences related to the FDA mission. Food Safety Task Force and Protection, Innovative Food Defense Projects and Rapid Response Team and Program Infrastructure Improvement Prototype project grant funds are to be used as stated in the FOA. As stated in the FOA and terms and conditions of award.

**Applicant Eligibility:**

The grants are available to any domestic or foreign, public or private, for-profit or non-profit entity (including State and local units of government). Federal agencies that are not part of HHS may apply. Organizations that engage in lobbying activities, as described in section 501 (c) (4) of the Internal Revenue Code of 1968, are not eligible. Other eligible institutions include Private/Public and State Controlled institutions of higher education including Hispanic serving Institutions; Historically Black Colleges and Universities (HBCUs); Tribally Controlled Colleges and Universities (TCCUs); Alaska Native and Native Hawaiian Serving Institutions; Nonprofit with 501(c)(3) IRS Status (other than Institution of Higher Education); Non-domestic (non-U.S.) entity; Small Business; For-Profit Organization (other than Small Business); State Government; Regional Organization; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organization; Faith-based or community based organizations.

**Beneficiary Eligibility:**

Domestic or foreign entities, public or private Colleges, universities, profit-making organizations, nonprofit institutions, hospitals, and State and local governments; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organizations and faith-based organizations.

**Credentials/Documentation:**

All grant applications must present a research plan and provide evidence of scientific competence, experimental methods and programmatic relevance, and the available facility and resources to accomplish the proposed aims and objectives. Phase I Small Business Innovation Research applications should be an idea or concept with commercial potential; and Phase II applications should provide evidence that commercialization of the research results are plausible; for-profit organizations' with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations (FAR); OMB Circular No. A-21 for educational institutions, 45 CFR 74 Appendix E for Hospitals; OMB Circular No. A-122 for nonprofit organizations and large non-profit organizations listed in Attachment C of OMB circular A-122 are subject to Federal Acquisition Regulation (FAR) 48 CFR Subpart 31.2 (A subawardee would be subject to the cost principles applicable to its type of organization). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as provided by the FDA through Grants.gov and required by 45 CFR 74 and 92 must be used for this program. All research applicants must complete the SF-424 R&R application for new, competing continuations or competing supplemental research grants. Solicited applications in response to Funding Opportunity Announcements (FOA) must be submitted through Grants.gov unless otherwise stated in the FOA. Consultation with Program Staff is available by contacting the Headquarters Office listed below.

**Award Procedure:**

All accepted research grant applications receive a dual scientific review for

technical merit by an appropriate initial Ad Hoc Review group and a second level review by a National Advisory Council or Board, as appropriate. All approved applications compete for available funds on the basis of scientific merit and programmatic relevance. All applications accepted under the Radiation Control for Health Safety Act of 1968, Public Law 90-602 and Small Scientific Conference grants, and the ORA programs are evaluated under objective review procedures.

**Deadlines:**

Dec 05, 2009: SBIR. Research grant applications due dates are stated in the Funding Opportunity Announcement as published in the Federal Register and/or in the NIH Guide. SBIR applications are received and processed by the Center for Scientific Review at the National Institutes of Health (NIH) on April 5, August 5 and December 5; Conference grant applications are received via Grants.gov on October 15, January 15, April 15, and July 15. Unsolicited grants should be sent to the Headquarters Office listed below.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 6 to 9 months for research grant applications. SBIR applications: Approximately 6 months. Conference applications: Approximately 3 months.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 90 to 120 days. Renewals (competing continuation applications) are available. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Routinely grants are awarded from 1 to up to 5 years years as requested and/or recommended by reviewing groups, successful annual performance and the availability of funds. Small Business Innovation Research Phase I awards are generally for 6 months; Phase II awards are generally for 2 years. See the following for information on how assistance is awarded/released: Domestic payments are made available through the DHHS Payment Management System (PMS).

**Reports:**

As noted in the terms and conditions of award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are as noted in the FOA and in the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions in the most recently revised Circular A133.

**Records:**

All grant and Cooperative agreement documentation must be retained for 3 years from the day on which the grantee submits the final financial status reports for the project period. Financial and Programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant, or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the report period. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts and grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Project Grants) FY 08 \$36,823,882; FY 09 est \$38,665,076; FY 10 est \$40,598,329

**Range and Average of Financial Assistance:**

Varies by grant mechanism and program specific requirements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52 - Grants for Research Project; 45 CFR Part 46 - Protection of Human Subjects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement, (Most recent revision) available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>; and the Public Health Omnibus Solicitation for Small Business Innovation Research Grant applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michelle Hawley Division of Acquisition Support and Grants, Office of Acquisition and Grant Services, Food and Drug Administration, Department of Health and Human Services, HFA-500, Room 2107, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [Michelle.Hawley@fda.hhs.gov](mailto:Michelle.Hawley@fda.hhs.gov) Phone: 3018271991 Fax: 3018277101

**Website Address:**

<http://www.fda.gov>.

**RELATED PROGRAMS:**

93.448 Food Safety and Security Monitoring Project; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy and suitability of the available facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance to programmatic objectives as noted in the FOAs For Small Business Innovation Research applications, the major elements in evaluating Phase I grant applications include the assessment of: (1) The technical merit of the proposed research; (2) the soundness of the proposed design and methods; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the potential of the proposed research for technological innovation and commercial application; (5) the appropriateness of the budget requested; and (6) the adequacy and suitability of the facilities and research environment. In review of Phase II applications, criteria include those listed above, in addition to the following: (1) the degree in which Phase I objectives were met and the feasibility demonstrated; and (2) the adequacy of the Phase II objectives and methodology for addressing the proposed research. For conference programs, the support of scientific meetings is contingent on the programmatic interests and priorities of the individual centers and programs.

**93.104 COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)**

(CMHS Child Mental Health Service Initiative)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Services Act, Title V, Part E, Section 561, Public Law 102-321, 42 U.S.C.

**OBJECTIVES:**

To provide community-based systems of care for children and adolescents with a serious emotional disturbance and their families. The program will ensure that services are provided collaboratively across child-serving systems; that each child or adolescent served through the program receives an individualized service plan developed with the participation of the family (and, where appropriate, the child); that each individualized plan designates a case manager to assist the child and family; and that funding is provided for mental health services required to meet the needs of youngsters in these systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries, wages and fringe benefits of professional and support staff; travel directly related to carrying out service activities; supplies, communications, and rental of equipment and space; training specifically aimed at one of the following: the development of individualized service plans; the provision of therapeutic foster care, group home care; intensive home-based services, or intensive day treatment services; administration of the system; and appropriate continuing education of two days or less; contracts for performance of activities under the approved project; and other such items necessary to support project activities. Grant funds and required matching funds may not be used for: other required services; to purchase or improve real estate property; provide residential care and/or services in residential treatment centers serving more than 10 children in inpatient hospital settings; any training activities with the exception of those mentioned above; and non-mental health services including mental health medical services, educational services, vocational counseling and rehabilitation, and protection and advocacy. 100% of funds are set aside for discretionary activities.

**Applicant Eligibility:**

States, political subdivisions of a State, such as county or local governments, and Federally Recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Children under age 22 with a diagnosed serious emotional disturbance, serious behavioral disorder, or serious mental disorder.

**Credentials/Documentation:**

In order for an entity to be eligible it must provide the following credentials or documentation along with an application for assistance: (1) Documentation that the State mental health agency of the applicant receives funds from the Center for Mental Health Services Community Mental Health Services Block Grant; (2) documentation that the applicant entity is qualified to deliver services under the State Medicaid Plan and has an agreement to do so, either directly or through a service provider organization; (3) documentation that the State has an approved plan for the development of a system of care for community-based services for children with a serious emotional disturbance approved by the Secretary of the U.S. Department of Health and Human Services. For the purpose of this program, an approved State Mental Health Plan for children and adolescents with serious emotional disturbance submitted in accordance with the requirements of Section 1912 of the Public Health Service Act, will be accepted as such a plan; and (4) matching requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as furnished by the Public Health Service (PHS 5161-1, Rev. July, 2000) and required by 45 CFR Part 92 for State and local governments, must be used by applicants. Grant application kits may be obtained from: Knowledge Exchange Network (KEN) at 1 (800) 789-2647.

**Award Procedure:**

Applications submitted are reviewed in a two-tired peer review process. Grants in support of projects recommended for approval by the initial review group and the Center for Mental Health Services Advisory Council are awarded directly to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 120 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100.%.

This program has MOE requirements, see funding agency for further details. A requirement contained in certain legislation, regulations, or administrative policies that a recipient must maintain a specified level of financial effort in the health area for which Federal funds will be provided in order to receive Federal grant funds. This requirement is usually given in terms of a previous base-year dollar amount.

**Length and Time Phasing of Assistance:**

Project will be funded for up to 6 years. Payments will be made under an Electronic Transfer System. See the following for information on how assistance is awarded/released: SAMHSA, awards grants projects for the twelve months budget period release and release at the time award is issued.

**Reports:**

CMHI and CH requires quarterly program reports. No cash reports are required. CMHI and CH requires quarterly program reports. The 269 Financial Status Report is required by SAMHSA, Grants Management Office 90 days after the end of the budget period. SAMHSA, monitors the grants programs through monthly conference calls, site visits, continuation application and quarterly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year record retention requirement: records shall be retained beyond the 3-year period if the final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$78,922,182; FY 09 est \$84,229,718; FY 10 est \$91,414,782

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 59 awards were made. Fiscal Year 2009: In fiscal year 2009, 71 awards were made. Fiscal Year 2010: In fiscal year

2010, it is estimated to fund 67 award.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92. Guidelines are provided along with instructions in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Revised April 1, 1994).

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following review criteria will be used in evaluating proposals: (1) Potential significance of the proposed project; (2) appropriateness of goals and objectives; (3) adequacy and appropriateness of the proposed approach and activities; (4) evidence of the State's readiness and commitment to the proposed project; (5) commitment to family participation in system development and care of their children and adolescents; (6) degree of cultural competence demonstrated; (7) capability and experience of project director, consultants, and other key staff; (8) adequacy of available resources; (9) reasonableness of the proposed budget; (10) cooperation in the evaluation activities; and (11) evidence of activities directed at developing continues funding support. Award criteria include: (1) quality of proposed project as determined by the review process; (2) geographical distribution; and (3) availability of funds.

**93.107 MODEL STATE-SUPPORTED AREA HEALTH EDUCATION CENTERS**

(MODEL AHEC)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 751(a)(2), as amended; Public Health Professions Education Partnership Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The Model State-Supported Area Health Education Centers (MAHEC) Program and the Basic/Core Area Health Education Centers (BAHEC) Program goals are to assist schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health personnel in underserved areas. The AHEC Program awardees link the academic resources of medical schools and participating health professions schools with local educational and clinical sites, and thereby establish a network of community-based training sites to provide educational services to health professions students, faculty-preceptors and health care providers in underserved areas, and ultimately, to improve the delivery of health care in an underserved region or in an entire state. Emphasis is placed on community-based training of health professions students, primary care-oriented medical residents, local providers, and also 9-12 grade students. The BAHEC Program assists schools in the initial planning, development and implementation of community-based Area Health Education Centers (AHECs) which assist schools and organize the training of at least three health professions disciplines at training-service delivery sites in rural and underserved areas, of a region or an entire state. Schools which complete Basic AHEC Program development, then compete for Model AHEC Program awards in partnership with affiliated (contracted) AHEC Centers to maintain and enhance/expand training programs and training sites responsive to local, State and Federal needs. The MAHEC programs are an established training infrastructure of local, State and Federal partners which address current health

workforce priorities within a region of a State or in an entire State. The MAHEC and BAHEC programs embrace the goal of increasing the number of health professions graduates who ultimately practice in underserved areas. Both AHEC programs carry out health careers recruitment and enhancement activities to attract high school students from underserved areas into health careers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

With respect to the costs of operating the model area health education center program of the school, the school must make available (directly or through donations from public or private entities) nonfederal contributions in cash toward such costs of at least 50 percent of such costs. Amounts provided by the Federal Government may not be included in determining the amount of nonfederal contributions in cash. With respect to the costs of operating the area health education center program of the school, the school will maintain expenditures of nonfederal amounts for such costs at a level of such expenditures maintained by the school for the fiscal year preceding the first fiscal year for which the school receives an award under this program. Schools may expend not more than 10 percent of amounts received for demonstration projects cited under Section 746(a)(3)(E). The aggregate amount of awards to schools in a State for the fiscal year under this new Model AHEC authority shall not exceed the lesser of (i) \$2 million; and (ii) and amount equal to \$250,000 times the aggregate number of AHEC centers operated in the State by the schools.

**Applicant Eligibility:**

The types of entities eligible to apply for this program include public or private nonprofit accredited schools of medicine and osteopathic medicine and incorporated consortia made up of schools, or the parent institutions of schools. Applicants must also have previously received funds, but are no longer receiving funds under Section 751(a)(1) of the Public Health Service Act, and are operating an AHEC program.

**Beneficiary Eligibility:**

Accredited schools of medicine or osteopathic medicine, or the parent institution on behalf of such schools, and also, accredited schools of nursing in States in which no AHEC program is in operation.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months after the review of the application.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Awardees shall make available (directly or through contributions from State, county or municipal governments, or the private sector) recurring non-Federal contributions in cash in an amount not less than 50 percent of the operating costs of the Model State-Supported AHEC Program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during appropriate budget period. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Uniform Progress Report (UPR) must be submitted annually. No cash reports are required. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$14,781,903; FY 09 est \$17,500,000; FY 10 est \$19,000,000

**Range and Average of Financial Assistance:**

For FY 08, \$82,112 - \$985,323; \$365,828.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 40 Model AHEC Program awards were made.

Fiscal Year 2009: In FY 09, 42 awards were made. Fiscal Year 2010: It is expected that 46 Model AHEC Program awards will be made in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Lou Coccodrilli, M.P.H., Branch Chief, or CAPT Norma Hatot, Program Officer, AHEC Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-6950.

**Headquarters Office:**

Norma Hatot 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-6950

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All projects are funded to meet the objectives as stated above. Community-based primary care training is provided at three levels: (1) Undergraduate medical students plus at least two associated health professions, e.g., nursing dentistry, mental health, pharmacy, allied health; (2) graduate-primary care residents, e.g., family medicine, general internal medicine or general pediatrics; (3) continuing education- to full range of local providers, including NHSC personnel. Health career training experiences to be provided to elementary or secondary students from medically underserved areas. Funded programs are listed at <http://bhpr.hrsa.gov/ahec/basic.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In determining the funding of applications, consideration is given to: (1) NEED Demonstrates an understanding of the purpose of the AHEC program, and demonstrates an understanding of the identified need(s) as evidenced by the applicant's description of target population(s) and geographic areas validated with supporting data, demographics, health status of the target population(s), and associated contributing factors which the proposed AHEC project intends to address in the area(s) to be served by the area health education center(s); (2) RESPONSE The degree to which the proposed project responds to the program requirements as set forth in Sections 751(a)(1) and 751(a)(2) of the PHS Act, as amended; degree to which project activities address the AHEC Project and Center requirements; clarity of the project objectives and their relationship to the identified need(s); extent to which project objectives are measurable and attainable within the stated timeframe; clarity of the proposed work plan and mechanisms to assure that satisfactory progress is attained; extent to which the project fulfills the cost sharing/matching requirements; degree to which project challenges and plans to overcome barriers are addressed; and degree to which the project meets the Medical School 10 Percent Requirement; (3) EVALUATIVE MEASURES The adequacy of the evaluation strategy to monitor and evaluate project results: potential of evaluative measures to assess the extent to which project objectives are met and to what extent these can be attributed to the project; clarity of methods and techniques that will be used to measure, analyze, and report the outcomes of each objective; and the extent to which the proposed project adequately responds to AHEC Program performance measures and outcome indicators; the points will be allocated across the performance measures of Distribution, Diversity, and Quality; (4) IMPACT The potential of the proposed AHEC program and participating center(s) to continue on a self-sustaining basis; identification of plans for effective, efficient dissemination of project results; potential of project results to be of national significance; and potential for replication of project activities; (5) RESOURCES/CAPABILITIES Evidence of qualifications in key personnel bio-sketches; evidence of adequate staffing plan for proposed project; evidence of ability to implement complex programs with similar requirements; evidence of institutional support, e.g., resources and letters of support; and evidence of successful partnerships and linkages with academic and community-based organizations; (6) SUPPORT REQUESTED Evidence of a reasonable detailed budget and budget rationale to accomplish the project objectives; evidence of fiscal capability to successfully manage cooperative agreements and contracts; and evidence of efforts to become self-sufficient, e.g., other sources of income, income generation plans, and future funding strategies.

**93.110 MATERNAL AND CHILD HEALTH FEDERAL CONSOLIDATED PROGRAMS**

Special Projects of Regional and National Significance (SPRANS), including Family to Family Health Information Centers, and Community Integrated Service Systems (CISS); and Public Health Service Act - Section 399BB Programs under the Combating Autism Act of 2006.

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 502(a)(1) and (b)(1) and 501(c)(1), as amended; 42 U.S.C. 702.; Section 399BB of the Public Health Service Act; Section 1109, 1111 and 1112 of the Public Health Service Act and Section 399R of the Public Health Service Act.

**OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and dissemination programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders. and to support comprehensive hemophilia diagnostic and treatment centers. These grants are funded with a set-aside from the MCH Block grant program. SPRANS grants are funded with 15 percent of the Block Grant appropriation of up to \$600 million. When the appropriation exceeds \$600 million, 12.75 percent of the amount over \$600 million is set aside for the Community Integrated Service Systems grants. 15 percent of the balance remaining over \$600 million is also for SPRANS. The CISS program is to develop and expand the following: (1) Home visitation; (2) increased participation of obstetricians and pediatricians; (3) integrated service delivery systems; (4) maternal and child health centers for women and infants, under the direction of a not-for-profit hospital; (5) services for rural populations; and (6) community-based services for children with special health care needs in order to enhance or develop an integrated services system. Funds are appropriated for the development of family to family health information centers as such: \$3,000,000 for FY 07; \$4,000,000 for FY 08; and \$5,000,000 for FY 09. Family to Family health information centers assist families with children with disabilities or special health care needs to make informed choices about health care in order to promote good treatment decisions, cost effectiveness, and improved health outcomes for such families. In FY 2008 Congress first funded the Combating Autism Act program, which is for early detection, education and intervention activities on autism and other developmental disorders. To fund the Heritable Disorder program to improve newborn and child screening for heritable disorders. To fund the Congenital condition program to provide information and support services to women and their families that have received a diagnosis for Down Syndrome, Spina Bifida, Dwarfism and other penatally or postnatally diagnosed conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

**Applicant Eligibility:**

Training grants may be made to public or private nonprofit institutions of higher learning. Research grants may be made to public or private nonprofit institutions of higher learning and public or private nonprofit private agencies and organizations engaged in research or in Maternal and Child Health (MCH) or Children with Special Health Care Needs (CSHCN) programs. Any public or private entity is eligible for hemophilia and genetics grants and other special project grants, including CISS. Family to Family Health Information Centers are to be developed in the 50 States and the District of Columbia.

**Beneficiary Eligibility:**

For training grants: (1) Trainees in the health professions related to MCH; and (2) mothers and children who receive services through training programs. For

research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs. For hemophilia, genetics, and special projects: (1) Public or private agencies, organizations and institutions; and (2) mothers and children, and persons with hemophilia (any age), who receive services through the programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 35%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special reports as required. No cash reports are required. Annual financial reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the

date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$131,649,370; FY 09 est \$141,084,124; FY 10 est \$141,984,124

**Range and Average of Financial Assistance:**

\$14,000 to \$3,999,342; \$227,767.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 578 projects were funded, including new projects for the Combating Autism Act. Fiscal Year 2009: In FY 09, it is estimated that 589 projects will be funded for all the activities supported under this CFDA. Fiscal Year 2010: In FY 2010, 566 projects will be funded for all the activities supported under this CFDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Associate Administrator for Maternal and Child Health, Health Resources and Services Administration, Department of Health and Human Services, Room 18-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2170.

**Headquarters Office:**

Associate Administrator for Maternal and Child Health 5600 Fishers Lane, Room 18-05, Rockville, Maryland 20857 Phone: (301) 443-2170

**Website Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.251 Universal Newborn Hearing Screening; 93.365 Sickle Cell Treatment Demonstration Program; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Health Professional Training Projects; (2) Schools of Public Health; (3) Maternal and Child Health Research; (4) Genetic Screening, Testing and Counseling; (5) Hemophilia Diagnosis and Treatment Centers; (6) Child and Adolescent Health Services Demonstration Projects; (7) Healthy Tomorrows Community Based Partnerships; (8) Community Integrated Service Systems (CISS) to develop comprehensive community based systems to services; and (9) Family to Family Health Information Centers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.113 ENVIRONMENTAL HEALTH**

National Institute of Environmental Health Sciences

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Part A, Section 301 and Title IV, Part A, Section 401, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241, as amended, 42 U.S.C. 288, Public Law 99-500, Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster understanding of human health effects of exposure to environmental agents in the hope that these studies will lead to: the identification of agents that pose a hazard and threat of disease, disorders and defects in humans; the development of effective disease prevention strategies; the overall improvement of human health effects due to environmental agents; the development of products and technologies designed to better study or ameliorate the effects of environmental agents; and the successful training of research scientists in all areas of environmental health research. Supported grant programs focus on the following areas: (1) Understanding biological responses to environmental agents by determining how chemical and physical agents cause pathological changes in molecules, cells, tissues, and organs, and become manifested as respiratory disease, neurological, behavioral and developmental abnormalities, cancer, and other disorders; (2) Determining the mechanisms of toxicity of ubiquitous agents like metals, natural and synthetic chemicals, pesticides, and materials such as asbestos and silica, and natural toxic substances, and their effects of on various human organ systems, on metabolism, on the endocrine and immune systems, and on other biological functions; (3) Developing scientific information about potentially toxic and hazardous chemicals by concentrating on toxicological research, testing, test development, and validation efforts; (4) Conducting broad-scale efforts in biometry and risk estimation for determining, monitoring and predicting the probable health risks of cancer, organ system toxicities, and diseases and disorders resulting from human exposures to various environmental hazards, including the development of new statistical analytic tools and methods; (5) Expanding and improving the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (6) Expanding and improving the STTR program to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Providing long-term stable support for broadly based multi-disciplinary research and training on environmental health problems in Environmental Health Sciences Core Centers. These Centers serve as national focal points and resources for research and manpower development. The DISCOVER centers intend to advance our understanding of the role of environmental factors in influencing human disease through an interdisciplinary effort where basic mechanistic and clinical research inform each other. Through these Center programs, NIEHS expects to achieve the long range goal of developing new clinical and public health applications to improve disease prevention, diagnosis, and therapy. Additional Centers programs developed in recent years, include the Centers for Oceans and Human Health (P50)(co-funded with NSF), Children's Environmental Health Centers (P01)(co-funded with USEPA) and the Autism Centers of Excellence (co-funded with NIMH) (U54); (8) Supporting research training programs which serve to increase the pool of trained research manpower with needed expertise in the Environmental Health Sciences through support of Individual and Institutional National Research Service Awards (NRSAs); (9) The Outstanding New Environmental Scientist Program which provides first time research grant funding to outstanding junior scientists in the formative stages of their career who are proposing to make a long term commitment to environmental health sciences research and to address the adverse effects on environmental exposures on human biology, human pathophysiology and human disease.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grants and Cooperative Agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Environmental health sciences education grants (R25) are limited to \$100,000 direct costs plus indirect costs calculated at 8 percent of appropriate direct cost base and they should promote the development of

instructional material. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I, scientific and technical merit, and commercial potential of the Phase II application. Independent Scientist Awards (Supersedes former Research Career Development Award): These awards are in amounts up to \$75,000 (plus fringe benefits, eight percent indirect costs, and \$25,000 for research support) and are made to institutions to provide salary and research support for research scientists who need an additional period of sponsored research as a way to gain experience in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. Supplementation from nonfederal funds is allowed. Mentored Clinical Scientist Development Awards and Mentored Patient-Oriented Research Career Development Awards (encompass the previous Physician Scientist Awards and Clinical Investigator Awards): Awards up to \$75,000 (salary), \$25,000 for research support plus eight percent indirect costs and fringe benefits, to provide for specialized study for clinically trained professionals who are committed to a career in research and have the potential to develop into independent investigators. Supplementation from nonfederal funds is allowed. Midcareer Investigator Award in Patient Oriented Research: These awards provide salary for levels of effort between 3-6 person months per year (plus fringe benefits) and \$25,000 of career development support to provide support for mid-career health professional doctorates at the mid-career level protected time to devote to patient oriented research and to act as mentors, primarily for clinical residents. The Mentored Quantitative Research Development Award: Awards up to \$75,000 salary (plus fringe) and up to \$40,000 in Career Development Expenses to junior faculty with quantitative and engineering backgrounds to allow them to refocus their research on NIH-relevant topics. Supplementation from non-federal funds is allowed. The Pathways to Independence Award provides up to five years of support consisting of two phases. The initial phase provides 1-2 years of mentored support for highly promising postdoctoral research scientists. Phase 2 consists of up to 3 years of independent research support contingent on securing an independent tenure track or equivalent research position. The total costs per year for the mentored phase should not exceed \$90,000 per year, and the total costs for the independent phase may not exceed \$249,000 per year. NIEHS Center grants are primarily intended to provide infrastructure support and the support of core research facilities. In addition, an appropriate indirect cost is provided as determined by negotiated agreement with the grantee's cognizant government organization. National Research Service Awards (NRSAs): Individual predoctoral and postdoctoral training awards are made for the support of fellows who engage in research training in environmental toxicology, environmental pathology, environmental mutagenesis, or environmental epidemiology/biostatistics. These training grants enable institutions to make awards to individuals selected by them, for both predoctoral and postdoctoral research training in the aforementioned areas. Each individual who receives a postdoctoral NRSA is obligated upon termination of the award to comply with certain service and payback provisions.

#### **Applicant Eligibility:**

Research Grants, Cooperative Agreements, Science Education Grants, SBIR Grants, Independent Scientist Awards, Mentored Research Scientist Development Award, Mentored Clinical Scientist Development Award, and the Academic Career Awards: A university, college, hospital, State, local or tribal governments, nonprofit research institution, or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Academic Career Awards and Midcareer Investigator Awards in Patient Oriented Research must have a doctoral degree and peer-reviewed, independent, research support at the time the award is made. Candidates for Mentored Clinical Scientist Development Awards and Mentored Patient Oriented Research Career Development Awards must have a clinical degree or its equivalent and must have initiated post graduate clinical training. Candidates holding a Ph.D. degree are ineligible.

Candidates who have served as principal investigators on PHS-supported research projects are ineligible. A candidate for Academic Career Awards must have a clinical or research doctorate degree. Those eligible for the Development Award must be able to devote at least 75 percent effort. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Centers: A university-based, nonprofit research institution, or for-profit organization proposing an integrated research program established to accomplish a stated mission, covering activities ranging from very basic research to the actual application of research results in the prevention and control of environmental health problems, may submit an application under the direction of a named Center Director. National Research Service Awards: (1) Nonprofit domestic organizations may apply for the Institutional NRSA; (2) Individual NRSA awardees must be nominated and sponsored by a public for-profit or nonprofit private institution having staff and facilities appropriate to the proposed research training program; (3) all awardees must be citizens or have been admitted to the United States for permanent residence; (4) to be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

#### **Beneficiary Eligibility:**

For Research Grants: Any nonprofit or for-profit organization, company, or institution engaged in biomedical research. For Centers and Training Grants: University-based nonprofit institutions; for-profit organizations conducting research; and individuals nominated by a private institution conducting research.

#### **Credentials/Documentation:**

Research Grants, Science Education Grants, Cooperative Agreements, Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Awards, and Academic Career Awards: Applications must be signed by appropriate officials of the submitting institution. For educational institutions and Indian Tribal governments, Costs will be determined in accordance with OMB Circular No. A-21. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For non-profit grantees, costs will be determined by OMB Circular A-122. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-2 and PHS 6426-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Centers: Application must be signed by appropriate officials of the submitting institution. National Research Service Awards: (1) Individual NRSA Awards - The applicant's academic record, research experience, citizenship, institutional sponsorship, proposed area and plan of training must be included in the application; (2) Institutional NRSA - The applicant institution must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 45 CFR, Subpart 31.2 of the Federal Acquisition



Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research Grants, Science Education Grants, Cooperative Agreements, SBIR Grants and Awards: Application forms and instructions for their submission are available from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants which are State and local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://grants.nih.gov/grants/funding/sbir.htm> on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to [grants.gov](http://grants.gov) at <http://grants.gov>. For Center grants and NRSA Training grants the standard application forms, as furnished by PHS and required by 45 CFR 92, must be used for this program by those applicants that are State or local units of government. Centers: Consultation with National Institute of Environmental Health Sciences staff is essential prior to submission of an application. National Research Service Awards (Individual): Prior to formal application, an applicant must arrange for acceptance at sponsoring institution by a sponsor who will supervise the training. Application Kits and instructions for submission are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, Room 6207, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892-7910. Specific information concerning Centers may be obtained by contacting the office indicated under Information Contacts. This program is subject to the provisions of 45 CFR, 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Made on the basis of dual review by peer groups of all applications. The first level of reviews is by a study section for scientific merit. In addition, a national advisory council provides a secondary level of review for all applications. As required by P.L. 109-482, the NIH Health Reform Act of 2006, all research grant and cooperative agreements must undergo Advisory Council/Board review and approval prior to funding, including those \$50,000 and under in direct costs. Review of Individual NRSA applications by an Advisory Council/Board is not required. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS. All accepted applications are evaluated first for technical merit by an appropriate scientific review group and then by a national advisory council. All accepted SBIR and STTR applications are first evaluated for scientific and technical merit by an appropriate scientific peer review panel, then by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds based on scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 9 months. SBIR and STTR: About 7-1/2 months. Centers and Institutional National Research Service Awards: From 6 to 9 months. Individual National Research Service Awards: From 6 to 8 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is

available on the NIH home page  
<http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Research Grants, Cooperative Agreements, Center Grants, and Institutional Training Grants: Renewal applications are subject to same criteria as new applications. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Award, Academic Career Awards, and Individual Training grants are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grants, Cooperative Agreements, Center Grants, and NRSA Institutional grants may be awarded for up to 5 years, generally in 12-month budget periods and may be extended through a competitive renewal. Science Education Grants may be awarded for up to 5 years, in 12-month budget periods, and are not renewable. Independent Scientist Awards are awarded for 5 years in 12-month budget periods, and are non-renewable. Mentored Research Scientist Awards are for up to 5 years, 12-month budget periods, and are non-renewable. Mentored Clinical Scientist Development Awards and Academic Career Awards are for up to 5 years and are renewable. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. National Research Service Awards: Individual awards are non-renewable and may be for 1, 2, or 3 years, but no individual may receive NRSA support at the predoctoral level for more than 5 years and at the postdoctoral level for more than 3 years. Funds are released primarily on basis of an Electronic Transfer System. See the following for information on how assistance is awarded/released: Funds are released primarily on basis of an Electronic Transfer System.

**Reports:**

Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Cash reports are not applicable. Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submit the last expenditure report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$311,536,000; FY 09 est \$312,764,000; FY 10 est \$328,903,000

**Range and Average of Financial Assistance:**

Range: \$2,000 to \$2,474,168

Average: \$333,589.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 546 research project grant (RPG) awards were made, of which 134 were competitive RPG applications. Six STTR and 35 SBIR awards were also made, of which 26 were competing. In addition, 29 Center grant awards were made in fiscal year 2008 including: one MFB Center Grant award (P30); 19 EHS Center grant awards (P30); seven Specialized Centers (P50); two Specialized Center Cooperative Grants (U54). Six competing Center P30 grant applications were considered and three were funded. Also in fiscal year 2008, 56 Individual and 56 Institutional NRSA's were made. 40 competing Individual NRSA applications were considered and 11 funded, while 26 competing Institutional NRSA applications were considered and 12 were funded. During FY 2008, NIEHS awarded three Centers for Neurodegeneration Science (CNS) programs which focus on how environmental factors contribute to the cause, prevention and treatment of Parkinsons disease and other related disorders. Each center has assembled an interdisciplinary team of clinical and basic scientists to clarify the causes of Parkinsons Disease and research will focus on mechanistic studies that could lead to new therapeutic targets; development of biomarkers to identify key biochemical processes for intervention as well as to identify people at risk of developing Parkinsons disease; identification of pathological processes effected by exposure to environmental stressors such as pesticides. NIEHS is one of the lead agencies at NIH involved in the Genes Environment and Health Initiative responsible for the Exposure Biology Program. The NIEHS program focuses on the development of biomarkers, biosensors and to improve our understanding of exposure assessment of environmental agents.

Within the field of the health effects of endocrine disrupting chemicals, NIEHS supported research looking at exposures to these agents during development and early life and their health effects during childhood, adolescence and adulthood. Organochlorine pesticides were shown to affect birth outcomes such as birth weight and head circumference and motor development. A pilot project in our Breast Cancer research centers, phthalates and other EDCs were found in detectable levels in urine of girls ages 6-8 and researchers are studying whether these levels effect the timing of puberty. Animal experiments also link these types of chemicals, especially Bis-Phenol-A to prostate and breast cancer susceptibility. Researchers supported by NIEHS are also involved in research on the cardiopulmonary effects of air pollution. NIEHS researchers have reported on the relationship between pesticides and Parkinsons Disease and other neurodegenerative diseases.

Scientists are also engaged in basic research in the areas of oxidative stress, DNA repair and cellular signaling in response to exposures to a wide variety of toxicants.

The National Institute of Environmental Health Sciences and the National Human Genome Research Institute jointly launched a new Ruth L Kirschstein National Research Service Award Institutional Training Program in Human Genes and the Environment. The new Genes and Environment Training Program seeks to build upon the established foundations in exposure biology an high throughput genomics to produce a new generation of scientists who are equally at home in genomics and environmental health sciences and can seamlessly interact with both groups of scientists. Fiscal Year 2009: During fiscal year 2009, 573 RPG awards are expected to be made (including SBIR and STTR awards), while 24 Center grants, 54 Individual and 59 Institutional NRSA awards are expected to be funded. Fiscal Year 2010: In fiscal year 2010, it is anticipated that 611 RPG awards (including SBIR and STTR awards), 26 Center grants, 48 Individual and 53 Institutional NRSA's will be made.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; various other publications and application kits, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, NIH, Room 6207, 6701 Rockledge Drive, Bethesda, MD 20892. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business

Technology Transfer (STTR) Grant Applications.

#### **Regional or Local Office:**

None. Program Contacts: Research Grants: Dr. William A Suk, Director, Center for Risk & Integrated Sciences, DERT, NIEHS, E-mail: suk@niehs.nih.gov. Telephone: (919) 541-0797; or Dr. J. Patrick Mastin, Chief, Cellular, Organ and Systems Pathobiology Branch, E-mail: mastin@niehs.nih.gov. Telephone: (919) 541-3289; or Dr. Claudia Thompson, Acting Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919)541-4638. Partnerships in Environmental Public Health Grants: Dr. Claudia Thompson, Acting Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919) 541-4638. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Research Scientist Development Awards, Academic Career Awards: Dr. Carol Shreffler, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: shreffll1@niehs.nih.gov. Telephone:(919)541-1445. AREA, SBIR and STTR Grant Programs: Dr. Jerrold Heindel, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: heindelj@niehs.nih.gov. Telephone: (919)541-0781. For each program contact, the rest of the mailing address is: Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709. P30 Core Centers Program Contact: Dr. Leslie Reinlib, Susceptibility and Population Health, Division of Extramural Research and Training, NIEHS, National Institutes of Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail: reinlib@niehs.nih.gov; Telephone: (919)541-4998; NRSA Program Administrator: Dr. Carol Shreffler, Cellular, Organ and Systems Pathobiology Branch, Division of Extramural Research and Training, NIEHS, National Institutes of Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-1445. E-mail: shreffll1@niehs.nih.gov. Grants Management Contact: Ms. Dorothy Duke, Chief, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-2749. E-mail: duke3@niehs.nih.gov.

#### **Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarnal@niehs.nih.gov Phone: (919) 541-5147.

#### **Website Address:**

<http://www.niehs.nih.gov> .

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The following Research Projects have been supported: (1) the effects of manganese on inhibiting dopamine transmission leading to motor activity impairments; (2) a multi-state epidemiologic study that suggests that the plasticizing agent di-(2-ethylhexyl) phthalate (DEPH) may interfere with hormonally controlled signaling that initiates birth; (3) a study of heart patients that suggest that particulate air pollution and black carbon can adversely affect the hearts ability to conduct electrical signals; (4) the development of a transgenic fruit fly model to study the motor neuron disease amyotrophic lateral sclerosis (ALS); (5) discovery of a new role for the aryl hydrocarbon receptor in treating inflammatory or immunologic disorders; (6) the development of a single wall carbon nanotube/cis-platin/epidermal growth factor drug delivery system that selectively kills head and neck squamous carcinoma cells in mice; (7) findings in long-tailed macaque monkeys indicating that early life exposure to lead results in Alzheimers-like symptoms in adult monkeys; (8) studies in human populations that demonstrate that epigenetic marks change over a lifetime; (9) studies in mice on role of mitochondria point mutations on aging; (10) studies on gut microbial populations in humans indicate that microbial flora is unique to each individual and that there are substantial differences between lean and obese people. Examples of funded STTRs are as follows: (1) Self-Assembled Crystals in Cyanide Detection; (2) Polarized Xenon Production: Powerful Narrowed Laser; (3) LiverTox: Advanced QSAR and Toxicogenomic Software for Hepatotoxicity Prediction. Center Grants provide

core support for studies on: (1) the use of model organisms for understanding the mechanisms of toxicity of environmental chemicals; (2) trace contaminants as environmental health hazards to humans; (3) subtropical and tropical oceans and human health; (4) the response of the respiratory system to environmental chemicals; (5) gene-brain-behavior relationships in Autism; (6) the environmental, genetic and cellular determinants of Parkinsons Disease; (7) The impact of particulate matter and a high-fat diet on Atherosclerosis. NRSAs provide support for: (1) Postdoctoral training in experimental environmental pathology and human comparative pathology of diseases and lesions produced by chemical and physical contaminants; (2) predoctoral and postdoctoral training in the field of environmental toxicology on the molecular interactions of toxic materials; (3) predoctoral and postdoctoral training in the evaluation and prediction of the effects of environmental pollutants on biological systems; (4) predoctoral and postdoctoral training in the principles and perspectives of epidemiology and biostatistics to develop a capability to initiate epidemiological inquiries to test hypotheses on the biological effects of environmental agents. Fiscal Year 2009: The following programs will be supported in FY 2009: (1) The Childrens Environmental Health and Disease Prevention Centers (P01s) grant program will be continued. Grants awarded under this program will support interdisciplinary research that includes basic, applied, and community-based participatory research to understand the interaction between environmental exposures and child health outcomes. Examples of research topics of interest include: the effects of early exposure to compounds such as endocrine disruptors and the role they play in early biological changes associated with various prevalent childhood health outcomes such as obesity, diabetes, and metabolic syndrome; identification and understanding of mechanisms, including exposure and activity factors, that may confer vulnerability to populations of children exposed to specific environmental agents and the development of appropriate biomarkers to facilitate targeted prevention and intervention efforts; studies that focus on diseases or disorders where an environmental exposure is suspected but less well established such as autoimmune disorders, childhood cancers, birth defects, and mental health disorders such as autism and schizophrenia; and Studies that focus on issues related to communication of genetic and environmental risk factor information to affected communities. (2) Partnerships in Environmental Public Health's first new funding opportunity is Research to Action: Assessing and Addressing Community Exposures to Environmental Contaminants (R21). Awards made in FY 2009 in response to this announcement will focus on the two main objectives which are to: 1) conduct research to collect information about exposure levels, sources of exposure, or potential health effects of environmental agents or occupational agents of significance to a community and 2) develop a strategy to translate and disseminate research findings to community members, public health professionals and/or policymakers to support an action that will ultimately promote the reduction of exposure or reduce the health impact from environmental/occupational stressors. Fiscal Year 2010: The following programs will be supported in FY 2010: (1) The Childrens Environmental Health and Disease Prevention Research Centers: Formative Centers (P20) which is designed to foster and stimulate the creation of new collaborative teams to conduct research in childrens environmental health where preliminary data or support may be limited. Examples of activities that may be supported include: developing proof of principle experiments to demonstrate the role of environmental exposures in disease etiology; testing the feasibility of new research tools to assess novel traits or markers related to health outcomes in children; developing new methodologies to enhance the interplay between the basic and social sciences for addressing child health concerns; building new interdisciplinary teams of scientists to develop a novel program in childrens environmental health research and translation not represented in the pre-existing program; defining and understanding populations at greatest risk; creating or improving the relationship between multiple partners including but not limited to communities and academic institutions. (2) The continuation of the Breast Cancer and the Environment Research Program (BCERP). The BCERP will continue to support transdisciplinary research on the interaction of chemical, physical, biological, and social environmental factors with genetic factors using puberty as a window of susceptibility to: compare the molecular changes that occur in normal breast development across the life span to changes that occur when environmental exposures are introduced; conduct an epidemiologic study of the timing of female pubertal events, including the onset of breast development, age at menarche, and environmental and genetic factors

that may affect pubertal maturation; and integrate scientific information on the development of the mammary gland and exposure-induced changes in order to construct public health messages for young girls and women who are at risk for breast cancer.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

#### **93.116 PROJECT GRANTS AND COOPERATIVE AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS**

Tuberculosis Prevention and Control and Laboratory Program

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 317(a)317E, 42 U.S.C. 247b-b(a), as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Omnibus Health Amendments of 1984, Public Law 98-555; Public Health Service Act of 1987, as amended, Public Law 100-177; TB Prevention Amendments Act of 1990, as amended, Public Law 101-368.

#### **OBJECTIVES:**

To assist State and local health agencies in carrying out tuberculosis (TB) control activities designed to prevent transmission of infection and disease. Financial assistance is provided to TB programs to ensure that the program needs for the core TB prevention and control activities are met: finding all cases of active tuberculosis and ensuring completion of therapy; finding and screening persons who have had contact with TB patients, evaluating them for TB infection and disease, and ensuring completion of appropriate treatment, and conducting TB surveillance and TB public health laboratory activities that are essential to addressing these priorities. Each of these core activities (completion of therapy, contact investigation, TB surveillance, and TB laboratory activities) is essential to effective TB prevention and control, and they are mutually reinforcing. Thus, they constitute a "package" of core activities. These are the highest priority TB prevention and control activities and should be carried out by all State and local TB prevention and control programs.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used to support both local personnel and individuals in direct assistance (i.e., "in lieu of cash") positions under Section 317 of the Public Health Service Act and to purchase equipment, supplies and services directly related to project activities, particularly directly observed therapy, patient outreach, morbidity surveillance, outreach and program assessment. Project funds may not be used to supplant State or local funds available for tuberculosis control, or to support construction costs or inpatient care.

**Applicant Eligibility:**

Under Section 317 of the Public Health Service Act, official public health agencies or their bona fide agents of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

Official public health agencies of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operations, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Award Procedure:**

After officials review and approve applications, a Notice of Award is prepared and processed, and appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

From 60 to 90 days. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Although there are no matching

requirements, applicants must assume part of the project costs and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(b)(2)317E. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: One year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly or semiannual narrative and performance statistical reports are required of the recipient. Semiannual reports should address the recipients progress of achievement of the stated objectives. Annual financial status reports are also required of the recipient no later than 90 days after the end of each budget period. Final financial status and are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$97,395,976; FY 09 est \$98,531,318; FY 10 est \$98,531,318

**Range and Average of Financial Assistance:**

\$73,390 to \$11,269,854 with an average of \$1,436,741.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Support was provided to 68 cooperative agreements in fiscal year 2008. Fiscal Year 2009: It is estimated that support will continue for 68 cooperative agreements in fiscal year 2009 with continued special emphasis on the Nation's inner cities where much of the tuberculosis morbidity occurs. Fiscal Year 2010: It is estimated that support will also continue for the 68 cooperative agreements in fiscal year 2010 with continued special emphasis on the Nation's inner cities where much of the tuberculosis morbidity occurs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subpart A of 42 CFR 51b is applicable, including all regulations incorporated by reference under Section 51b.105. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kashef Ijaz 1600Clifton Road, MS E10, Atlanta, Georgia 30333 Email: kil6@cdc.gov Phone: 404-639-5314 Fax: 404-639-8959

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cooperative agreements are provided to health departments to intensify tuberculosis prevention and control activities, primarily through the use of outreach workers. Fiscal Year 2009: Cooperative agreements are provided to health departments to intensify tuberculosis prevention and control activities, primarily through the use of outreach workers. Fiscal Year 2010: Cooperative agreements are provided to health departments to intensify tuberculosis prevention and control activities, primarily through the use of outreach workers.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in 2009 on the 2007 data including the total number of cases reported, the number of bacteriologically confirmed cases reported, the bacteriologically substantiated rate of disease, the number of tuberculosis cases among racial and ethnic minorities, significant tuberculosis problems among the homeless, cumulative number of TB/AIDS cases, and significant increases in tuberculosis morbidity. The number of tuberculosis cases under current supervision which have organisms resistant to one or more anti-tuberculosis drugs will also be considered in evaluating and prioritizing projects for funding. In addition, the overall potential effectiveness of the applicant's plan of operation in meeting the objectives of proposed projects will be considered in evaluating and prioritizing projects.

**93.117 GRANTS FOR PREVENTIVE MEDICINE**

(Preventive Medicine)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 768, 42 U.S.C. 295(c), as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To promote the post-graduate education of physicians in preventive medicine and public health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services.

**Applicant Eligibility:**

Eligible applicants are schools of medicine, osteopathic medicine and public health. An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project period. Applications must be submitted in accordance with instructions and deadlines for competitive applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Uniform Summary Progress Report must be submitted for a second or subsequent budget period within the approved project period. No cash reports are required. Annual Financial status reports are required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,198,894; FY 09 est \$1,198,894; FY 10 est \$1,365,212

**Range and Average of Financial Assistance:**

(FY 09 est.) Range data unavailable; \$239,879 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 5 competing awards were made. Fiscal Year 2009: It is expected that an estimated 5 continuation awards will be made in FY 09.

Fiscal Year 2010: A new competition is planned for FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-5244 and E-mail: [quinones@hrsa.gov](mailto:quinones@hrsa.gov).

**Headquarters Office:**

Elsie Quinones 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-5244

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Programs which provide support for the initiation, expansion, or improvement of programs of preventive medicine. See Preventive Medicine Residency Program, Section of Bureau of Health Professions, web site for descriptions of programs, <http://bhpr.hrsa.gov/publichealth/preventive/index.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants for technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application will be based on an analysis of the following factors: PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities.

**93.118 ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) ACTIVITY**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(l).

**OBJECTIVES:**

To develop and implement HIV prevention programs of public information and education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support for cooperative agreements for HIV activities.

**Applicant Eligibility:**

Public and private organizations, both nonprofit and for-profit (universities, colleges, research institutions and other public and private organizations); State and local governments, U.S. Territories and possessions; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, small and minority businesses, and businesses owned by women.

**Beneficiary Eligibility:**

Official health and education agencies, as well as individuals subject to AIDS.

**Credentials/Documentation:**

Nonprofit institutions: Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q, for nonprofit organizations and in accordance with OMB Circular No. A-87 for State and local governments. For-profit institutions: Costs will be determined by Federal Acquisition Regulations 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are made in the form of an application, PHS-5161-1 or PHS 398, to the Centers for Disease Control and Prevention (CDC). The standard application forms, as furnished by CDC and required by 45 CFR, Parts 74 or 92, must be used for this program. This program is subject to the provisions of 45 CFR, Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See FOA for details.

**Appeals:**

Applicants may resubmit application for next announcement or review.

**Renewals:**

As stated in the Terms and Conditions.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From 1 to 5 years (renewable). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records and supporting documents must be maintained for 3 years after the end of each budget period. If questioned, records must be kept until matters are settled.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY 08 \$2,277,402; FY 09 est \$1,560,813; FY 10 est \$1,560,813.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS; 45 CFR, Part 74; Guidelines established by CDC for AIDS cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation, criteria as stated in the Program Announcements.

**93.121 ORAL DISEASES AND DISORDERS RESEARCH**

Dental and craniofacial research.

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301; Small Business Research and Development Enhancement Act of 1992.

**OBJECTIVES:**

To improve oral, dental and craniofacial health through research, research training, and the dissemination of health information. The research portfolio supports basic, clinical and transitional research from molecular biology to patient-oriented and community-based clinical investigations. The Developmental Biology and Genetics Program supports research on etiology, pathogenesis, epidemiology, prevention, diagnosis, and treatment of inherited craniofacial-oral-dental diseases and disorders (e.g., ectodermal dysplasia, cleft lip and palate, amelogenesis imperfecta, dentinogenesis imperfecta, osteogenesis imperfecta, and other inherited diseases that have craniofacial-oral-dental manifestations) as well as on normal craniofacial-oral-dental development, and genome-wide association studies. 2. The Microbiology Program supports basic and translational research on the role of oral microbes in health and disease including the etiology, pathogenesis, diagnosis, treatment, and prevention of oral infectious diseases. Areas of interest include biofilms and microbial ecology, microbial genomics and metagenomics, microbial virulence and disease pathogenesis, prevention and treatment. 3. The AIDS and Immunosuppression Program supports basic, translational and clinical research on HIV infection and AIDS to advance understanding of the underlying molecular, cellular, and genetic mechanisms that enable or prevent HIV infection and development of oral complications associated with AIDS and AIDS malignancies. 4. The Immunology and Immunotherapy Program supports basic and translational research on the immune aspects of oral diseases such as caries and periodontal diseases. The program includes host responses to microbes, immunology of biofilms, oral inflammation, systemic diseases, immunotherapy, immunopathologies, and host susceptibility to infection. 5. The Epithelial Cell Regulation and

Transformation Program supports supports basic and translational research on the molecular mechanisms of oral epithelial cell regulation as they relate to the development and progression of diseases of the oral mucosa, including head and neck cancer. The program also supports and encourages the application of genomic, proteomic, and imaging technologies through research on the early diagnosis, prevention, and treatment of head and neck cancers. 6. The Mineralized Tissue and Salivary Gland Physiology Program supports basic and translational research on craniofacial skeletal biology and pathobiology including the physiology of tooth, bone and cartilage, and associated disorders and diseases, saliva and salivary glands, and pharmacogenetics. The goal of the program is to promote interdisciplinary and multidisciplinary approaches to advance the understanding of normal and abnormal processes underlying oral, dental and craniofacial diseases and disorders. 7. The Molecular and Cellular Neuroscience Program supports supports basic and translational research on orofacial pain and neuropathies, temporomandibular joint and muscle disorders, development of biomarkers for diagnostics and prognostics and development of therapeutics. 8. The Tissue Engineering and Dental and Craniofacial Regenerative Medicine Program supports basic and translational research on the reconstruction, remodeling and repair of the oral and craniofacial tissues damaged as a result of disease or injury. The goal of this scientific program is to promote interdisciplinary and multidisciplinary approaches to engineering of biocompatible oral and craniofacial tissue constructs and their functional integration into the host tissue microenvironment. The program also supports efforts that employ bioengineering approaches for restoration, remodeling and regeneration of diseased and injured native host tissues. 9. The Dental and Biomaterials Program supports basic and translational extramural research on dental materials and devices, dental implants, biocompatibility of dental restorative materials, and biomaterials for craniofacial reconstruction. 10. The Behavioral and Social Sciences Research Program supports basic and applied BSS research to promote oral health, to prevent oral diseases and related disabilities, and to improve management of craniofacial conditions, disorders and injury. 11. The Center for Clinical Research supports clinical trials, dental practice based research networks, epidemiology research, and health disparities research. The Research Training and Career Development Program insures the future of dental and craniofacial research by developing an outstanding and diverse scientific work force through training and fellowship programs designed primarily for graduate, and post-doctoral stages of education, including dual degree (DDS, PhD) programs, as well as for continued career development of scientists and retraining of mid-career scientists. Diversity fellowships serve to expand the diversity of the scientific work force by supporting the training of predoctoral students from underrepresented groups. The Center for Clinical Research program recognizes the increasing need to establish a strong foundation for the support of meritorious clinical research. The Small Business Innovation Research (SBIR) program seeks to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR)STTR program seeks to stimulate and foster scientific and technological innovation and foster technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation in the oral health sciences. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for-profit institutions. Awards include investigator-initiated project grants, exploratory and developmental grants, small grants, program project grants, center grants, and career development awards. Individual and institutional Dentist Scientist Awards provide support for research career development in both clinical and basic

science areas. National Research Service Awards (NRSAs) provide support directly to individuals for research training in specified biomedical areas, and can be made to institutions to enable them to accept individuals for research training. Individuals who receive NRSAs may be obligated upon termination of the award to comply with service and payback provisions. SBIR Phase I grants (duration of approximately 6 months) provide support to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants support the continuation of the research initiated in Phase I to further develop the commercial products or process initiated in Phase I. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (duration of typically 1 year) support cooperative efforts between small businesses and research institutes to determine the scientific and technical merit, and commercial feasibility of a product or process with potential for commercial application. Phase II funding is based on the results of the research initiated in Phase I and the scientific and technical merit, and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project for SBIR awards. For STTR awards, the small business must "partner" with a research institution in a cooperative research and development project where at least 40 percent of the project is to be performed by the small business and at least 30 percent by the research institution. In both Phase I and Phase II for both SBIR and STTR, the research must be performed in the U.S. and its possessions. To be eligible for funding grant applications must be evaluated for scientific merit and program relevance by a peer scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Grants: Applications for research grants must include the objectives (specific aims), research strategy, significance, innovation, methodology, and resources for the specific project, and must present the relevant background and experience of the applicant. NRSA and career development awards: (1) Individual Candidates: the applicant's academic record, research experience, citizenship, institutional sponsorship, proposed research area, and plan for training, must be included in the application. (2) Institutional Candidates: the application must include the objectives, methodology, and resources for the research training program, the research qualifications and experience of participating faculty in training students and fellows, and the criteria to be used in selecting individuals for support. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments. Costs for for-profit organizations are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and Local Government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business) must present an idea in the research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be US citizens or non-citizen nationals of the United States or have been admitted to the United States for permanent residence. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project for SBIR awards. For STTR awards, the small business must "partner" with a research institution in a cooperative research and development project where at least 40 percent of the project is to be performed by the small business and at least 30 percent by the research institution. In both Phase I and Phase II for SBIR and STTR awards, the research must be performed in the U.S. or its possessions. To be eligible for funding, grant applications must be evaluated for scientific merit and program relevance by a peer scientific review group and approved by a national advisory council.

#### **Award Procedure:**

Grants: All accepted applications competing for research project grants, career development awards, and NSRA awards are reviewed by two advisory groups. Primary review is conducted by an initial review group composed of peer scientists, and secondary review by a national advisory council such as the National Advisory Dental and Craniofacial Research Council. Secondary review of NRSA fellowship applications is conducted by the institute staff rather than by the advisory council. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate initial review group and by an advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Oct 01, 2009: See Other Deadline Information. All new, renewal, resubmission, and revision program project applications and institutional NRSAs: January 25, May 25, and September 25. All new research project (R01) applications: February 5, June 5, and October 5. All renewal, resubmission and revision R01s: March 5, July 5, and November 5. All new career development applications: February 12, June 12, and October 12. All renewal, resubmission and revision career development applications: March 12, July 12, and November 12. New, renewal, resubmission and revision of other research grant applications (R03, R21, R34): March 16, July 16, and November 16. All renewal, resubmission and revision of small business SBIR and STTR applications: April 5, August 5, and December 5. All renewal, resubmission and revision of NSRA individual awards, fellowship series, except diversity fellowships: April 8, August 8, and December 8. All renewal, resubmission and revision of Diversity Fellowship applications: April 13, August 13, and December 13. All renewal, resubmission and revision of conference grant applications: April 12, August 12, and December 12. All renewal, resubmission and revision of Academic Research Enhancement Awards: February 25, June 25, and October 25. All renewal, resubmission and revision of AIDS and AIDS-related applications: May 7, September 7, and January 7. Deadlines for funding opportunity announcements as specified in the published announcement.



**Range of Approval/Disapproval Time:**

> 180 Days. Research Project Grants and NSRA: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 90 to 120 days. A Principal Investigator (P.I.) may question the technical or procedural aspects of the review of his/her application by communicating with the program staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH/NRSA support at the postdoctoral level for more than 3 years, unless a specific waiver is requested and approved.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants: Approval of a project includes a determination of support for the authorized project period (generally not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period, an application for renewal must be submitted in accordance with the deadline dates and instructions attached to the form. SBIR Phase I awards are generally for 6 months; Phase II awards normally are for 2 years. STTR Phase I awards are generally for 1 year; Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards are made annually.

**Reports:**

No program reports are required. No cash reports are required. Annually. Annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0873-0-1-550.

**Obligations:**

(Salaries) FY 08 \$285,942,000; FY 09 est \$295,748; FY 10 est \$298,611

**Range and Average of Financial Assistance:**

FY2008: research project grants: range \$9,000-\$3,221,000, average \$356,000; NRSA: range \$18,000-\$859,000, average \$44,000; SBIR/STTR: range \$18,000-\$1,861,000, average \$381,000. Career development: range \$84,000-\$181,000, average \$109,000.

FY2009: research project grants: range \$6,000-\$3,268,000, average \$396,000; NRSA: range \$10,000-\$1,041,000, average \$45,000; SBIR/STTR: range \$97,000-\$1,328,000, average \$301,000. Career development: range \$85,000-\$181,000, average \$122,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 171 competing research project grants at \$57,289,000. 468 non-competing research project grants at \$176,497,000. 22 SBIR/STTR awards at \$8,381,000. 8 research centers at \$18,010,000. 86 career development awards at \$9,390,000. 323 NRSA awards at \$14,193,000. 22 other research grants at \$2,182,000. Fiscal Year 2009: 149 competing research project grants at \$56,726,000. 458 non-competing research project grants at \$187,791,000. 29 SBIR/STTR awards at \$8,719,000. 7 research centers at \$16,379,000. 74 career development awards at \$9,019,000. 343 NRSA awards at \$15,388,000. 19 other research grants at \$1,726,000. Fiscal Year 2010: 158 competing research project grants at \$55,286,000. 457 non-competing research project grants at \$193,843,000. 23 SBIR/STTR awards at \$8,750,000. 6 research centers at \$16,235,000. 81 career development awards at \$9,831,000. 349 NRSA awards at \$15,770,000. 18 other research grants at \$1,866,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 66; 45 CFR 74; NIDCR Grants and Funding website (<http://www.nidcr.nih.gov/GrantsAndFunding/>), NIH Grants website (<http://grants.nih.gov/grants/oe.htm>). Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Alicia Dombroski, 6701 Democracy Blvd.; Room 660, MSC 4878, Bethesda, Maryland 20892 Email: [adombroski@nidcr.nih.gov](mailto:adombroski@nidcr.nih.gov) Phone: (301) 594-4805 Fax: (301) 480-8303.

**Website Address:**

<http://www.hhs.gov>; <http://www.nidcr.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: nmmn. Fiscal Year 2009: n,m,nb. Fiscal Year 2010: klhjk.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to the announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing proposed means for (a) safeguarding human and animal subjects, and/or (b) protecting against or minimizing any adverse effects on the

environment.

### **93.123 HEALTH PROFESSIONS PREGRADUATE SCHOLARSHIP PROGRAM FOR INDIANS**

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

#### **OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives for the purpose of completing pre-graduate education leading to a baccalaureate degree only in the following areas: (1) Pre-Medicine: priority as follows: senior, junior, sophomore, freshman; (2) Pre-dentistry: priority as follows: senior, junior, sophomore, freshman.

#### **TYPES OF ASSISTANCE:**

Training

#### **USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Support is limited to 4 years of full-time education, or part-time equivalent for a maximum of 8 years.

#### **Applicant Eligibility:**

Individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency, and have been accepted for enrollment or are enrolled in an accredited pre-graduate program in a pre-medicine or pre-dentistry curriculum.

#### **Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

#### **Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility in order to be considered. The applicant's advisor must also provide verification that the courses to be taken are required for an undergraduate curriculum leading to a bachelor's degree in pre-medicine or pre-dentistry curriculum and represents the number of credit hours which the school requires to be full-time or at least 6 hours of part-time study. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form OMB No. 0917-0006 and instructions are provided by the Indian Health Service and are usually available to interested individuals in February. An application form and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) are submitted to IHS Headquarters for review and approval/disapproval.

#### **Award Procedure:**

Grants are awarded on a competitive basis. Approved funding includes payments for stipends and books that are made directly to the individual recipient. Tuition and fee payments are made to the recipient's college or university.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operation.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Continuation applications must be submitted annually. Continued funding is subject to the availability of funds and satisfactory performance.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the academic period. An amount is provided to students for books and other necessary expenses. See the following for information on how assistance is awarded/released: Stipend payments are paid monthly for the academic period.

#### **Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. Initial progress reports are required for each quarter. Notification of Academic Problem/Change is required at any time a problem or change occurs. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

No audits are required for this program.

#### **Records:**

The Indian Health Service Scholarship Program maintains records on all students. Records must be maintained for 4 years after the final payment has been made.

#### **Account Identification:**

75-0390-0-1-551.

#### **Obligations:**

(Training) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported.  
- (Grants) FY 08 \$1,364,846; FY 09 \$1,364,846, FY 10 \$1,364,846.

#### **Range and Average of Financial Assistance:**

\$18,913 to \$27,217; \$20,049.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.370-36.374. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 96-537 (which amends Public Law 94-437, Section 103), published in the Federal Register on February 29, 1984.

#### **Regional or Local Office:**

None. Program Contact: Ms. Pat Lee-McCoy, IHS Scholarship Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

#### **Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

#### **Website Address:**

<http://www.ihs.gov>.

#### **RELATED PROGRAMS:**

93.971 Health Professions Preparatory Scholarship Program for Indians; 93.972 Health Professions Scholarship Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Scholarships may be awarded for any of the following career categories (or the equivalent): (1) Premedicine; (2) preoptometry; (3) pre-dentistry; or (4) preosteopathy. The priority categories are premedicine (priority as follows: senior, junior, sophomore, freshman) and pre-dentistry (priority as follows: senior, junior, sophomore, freshman). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### 93.124 NURSE ANESTHETIST TRAINEESHIPS

NAT

#### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

#### AUTHORIZATION:

Public Health Service Act, Title VIII, Section 811, 42 U.S.C. 296j, as amended, Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### OBJECTIVES:

Grants are awarded to eligible institutions to provide financial support through traineeships for licensed registered nurses enrolled as full-time students beyond the twelfth month of study in a master's nurse anesthesia program.

#### TYPES OF ASSISTANCE:

FORMULA GRANTS

#### USES AND USE RESTRICTIONS:

To meet the costs of traineeships that will pay all or part of the costs of tuition, books, fees, and reasonable living expenses for the program for registered nurses to become nurse anesthetists for up to a maximum of 18 months of full-time study. Award recipients must have completed 12 months of study in a nurse anesthesia master's program. Restricted uses: Indirect costs and trainee travel are not allowed.

#### Applicant Eligibility:

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education, which provide registered nurses with full-time anesthetist master's education and have evidence of earned accreditation status from the American Association of Nurse Anesthetists (AANA) Council on Accreditation of Nurse Anesthesia Education Programs.

#### Beneficiary Eligibility:

Traineeship recipients are selected by the participating institutions. A candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, be enrolled full-time beyond the 12th month of study in a participating nurse anesthetist master's education program.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### Award Procedure:

Notification is made in writing by a Notice of Grant Award.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Approximately 6 months after receipt of applications.

#### Appeals:

Not Applicable.

#### Renewals:

Applications may be submitted annually.

#### Formula and Matching Requirements:

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

Project periods are for (1) year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### Reports:

Annual Report. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

(Formula Grants) FY 08 \$1,250,000; FY 09 est \$1,250,000; FY 10 est \$1,250,000

#### Range and Average of Financial Assistance:

FY 09: Range is \$1,639 - \$43,840; Average is \$15,060.

#### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: 73 awards were made. Fiscal Year 2009: 83 awards were made. Fiscal Year 2010: 83 awards were made.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### Regional or Local Office:

See Regional Agency Offices. Ms. Karen Breeden, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 8-C26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5787.

#### Headquarters Office:

Karen Breeden 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857  
Phone: (301) 443-5787

#### Website Address:

www.hrsa.gov.

#### RELATED PROGRAMS:

Not Applicable.

#### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Funded projects provide financial support to students enrolled full-time beyond the first 12 months of study in a nurse anesthetist education program to cover the costs of tuition and fees, books and reasonable living allowance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.127 EMERGENCY MEDICAL SERVICES FOR CHILDREN**

(EMS for Children)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 1910.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

State Partnerships.

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made about 4 months after receipt of applications.

**Appeals:**

Applicants may reapply for support by submitting a revised application.

**Renewals:**

Renewal applications will be accepted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports. No cash reports are required. Annual Financial Reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the fGrantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$19,454,000; FY 09 est \$20,000,000; FY 10 est \$20,000,000

**Range and Average of Financial Assistance:**

\$115,000 to \$ 2,000,000; \$232,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 08, 75 grants were funded. Fiscal Year 2009: FY 09 it is estimated that 75 grants will be funded. Fiscal Year 2010: FY 10, it is estimated that 75 grants will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. EMSC Senior Program Manager, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

EMSC Senior Program Manager 5600 Fishers Lane, Room 18-A36, Rockville, Maryland 20857 Phone: (301) 443-2170

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

20.600 State and Community Highway Safety; 93.110 Maternal and Child Health Federal Consolidated Programs

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: State Partnership Grants

The State Partnership grants fund EMS state agencies to focus on the following performance measures:

1. Ensure operational capacity to provide pediatric emergency care by guaranteeing pre-hospital provider agencies have on-line and off-line pediatric medical direction; pre-hospital providers agencies have essential pediatric equipment and supplies; implement a state-wide, territorial, or regional facility recognition program for hospitals that are able to stabilize and/or manage pediatric emergencies; and hospitals have written inter-facility transfer guidelines and agreements that specify alternate sites that have the capabilities to meet the clinical needs of critically ill and injured pediatric patients.
2. Adopt requirements by states/territories for pediatric emergency education for the recertification of paramedics.
3. Establish permanence of EMSC in each state/territory

National EMSC Data Analysis Resource Center

NEDARC provides technical assistance, training workshops, and site visits in order to assist EMSC projects and state EMS offices develop their capabilities to collect, analyze, and utilize EMS data. NEDARC provided the foundation from which the NEMSIS Technical Assistance Center was created and is an example of collaboration between EMSC and the National Highway Traffic Safety Administration (NHTSA)

Targeted Issues Grants

Targeted Issues grants are intended to address specific needs or concerns in the field of pediatric emergency care that transcend state boundaries. Typically the projects result in a new product or resource or the demonstration of the effectiveness of a model system component or service of value to the nation. Types of projects that have been funded within this category include developing model pediatric components for state disaster plans, screening and secondary prevention for psychological sequelae of pediatric injury, basic emergency lifesaving skills in schools, and emergency preparedness for infants with significant heart disease.

Network Development Demonstration Project (NDDP)

Projects are cooperative agreements that demonstrate a system of regional applied pediatric emergency medical services centers designed to expand and improve emergency services for children who need treatment for trauma or critical care. Awardees are linked together in a network to demonstrate a capacity to conduct multi-site studies on issues relating to the management of pediatric events that occur in hospitals as well as in transport. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget. Recommendations of the review panel are presented to the Associate Administrator for MCH. Panel recommendations are advisory only, and the Associate Administrator for MCH will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

## 93.129 TECHNICAL AND NON-FINANCIAL ASSISTANCE TO HEALTH CENTERS

(State and Regional Primary Care Associations)

### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

### AUTHORIZATION:

Public Health Service Act, Section (I).

### OBJECTIVES:

To provide necessary technical and non-financial assistance to potential and existing health centers, including: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement); and 3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (program development/analysis).

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Recipients will be expected to provide certain technical and non-financial assistance to health centers and other qualified organizations.

### Applicant Eligibility:

State and Regional Primary Care Associations who currently work with BPHC-supported programs or other qualified community-based providers with similar missions throughout their State or region.

### Beneficiary Eligibility:

This program will benefit medically underserved populations.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

### Award Procedure:

Notification is made in writing by a Notice of Grant Award.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 90 to 120 days.

### Appeals:

Not Applicable.

### Renewals:

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Report. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$40,000,000; FY 09 est \$42,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$300,000 to \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: It is expected that 51 grantees will be funded in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Headquarters Program Office: Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: 301-594-4488; Central Mid-Atlantic Division; Telephone: (301) 594-4420; Western Division; Telephone: (301) 480-1130.

**Headquarters Office:**

Bureau of Primary Health Care 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 443-4300

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A grant to a State or regional primary care association is awarded to provide necessary technical and non-financial assistance to potential and existing health centers, including: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement); and 3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (program development/analysis). Fiscal Year 2009:

No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants for funding under Section 330 to provide technical and non-financial assistance to health centers will be evaluated on their ability to perform State or regional-specific assistance in the following areas: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement), and 3) program development/analysis. The application should outline specific activities under each core function. These activities must support and advance the HRSA/BPHC mission goals and focus on HRSA/BPHC supported health centers. The extent and type of activities under each core function should depend on demonstrated health centers needs and HRSA/BPHC/State/regional priorities.

**93.134 GRANTS TO INCREASE ORGAN DONATIONS****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Section 377 of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. State Donor Registry Support Program and Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1.

**OBJECTIVES:**

To support grants for the purpose of increasing public commitment to organ donation and the number of organs recovered and ultimately transplanted. To that end, the Division of Transplantation has a cooperative agreement and 4 grant programs with the following objectives:

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The purpose of this program is to establish and operate a national system to provide reimbursement of travel and subsistence expenses, and other non-medical expenses that may be authorized by the Secretary to individuals making living donations of their organs.

Clinical Interventions to Increase Organ Procurement (CIOP): This program provides support for the implementation and evaluation of model interventions for identifying appropriate heart beating and non-heart-beating donation candidates, evaluating donated organs, maintaining donor stability, and optimizing methods for organ procurement. In FY 2007, the sole focus of the CIOP was to provide support for model interventions for increasing organ donation from uncontrolled donors after cardiac death (UDCD). In FY 2008 the CIOP focus returned to Donation after Neurological Death (DND) and Donation after Cardiac Death (DCD) both controlled and uncontrolled. The FY 2009 focus will again be on DND and DCD. Support would also be likely for hypothesis driven testing of emerging technologies that may be useful for evaluating and improving organ function.

Social and Behavioral Interventions to Increase Solid Organ Donation: This program provides support for the implementation and rigorous evaluation of highly promising strategies and approaches for increasing public attitudes, practices and ultimately commitment to organ donation as well as family consent at a relative time of death.

State Donor Registry Support Program: This program provides support to units of State government to develop or improve a statewide electronic registry in which residents can indicate their intent to be a donor which can be accessed by procurement personnel on a 24/7 basis to determine donation wishes of residents at their time of death. The ultimate objective is to ensure that every American has the opportunity to designate his or her donation wishes in a

manner that is consistently available when needed.

**Public Education Efforts to Increase Solid Organ Donation:** The purpose of this program is to support the implementation of public education and outreach programs that show promise of increasing organ donation. Specifically, this program supports the replication of strategies demonstrated in the Divisions grant program Social and Behavioral Interventions to Increase Solid Organ Donation or through other research efforts to be effective in increasing organ donation. The program also supports the implementation of efforts to increase organ donation that adopt and replicate strategies demonstrated in the public health literature as being effective methods for modifying other health behaviors. The program also supports the implementation of public education and outreach efforts that are based on an established framework for successful public health outreach programs. This grant program is supportive of the Divisions mission to educate the public about deceased and/or living donation and to encourage individuals to document their decision to be a donor in their statewide donor registry or by some other mechanism where a registry is unavailable.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

**Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation:** Funds made available through this program may not be made available to donating individuals when payment for qualified reimbursement expenses has been made, or can reasonably be expected to be made: (1) under any State compensation program, under an insurance policy, or under any Federal or State health benefits program; (2) by an entity that provides health services on a prepaid basis; or (3) by the recipient of the organ.

**All Other Programs:** Funds may not be used for activities that are reimbursable under Medicare.

**Applicant Eligibility:**

**Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation:** As specified in Section 377 of the Public Health Service Act, as amended, eligible applicants include States, transplant centers, qualified organ procurement organizations under section 371, or other public or private entities. **Clinical Interventions to Increase Organ Procurement Grant Program (CIOP):** As specified in Section 377A (b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). **Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). **State Donor Registry Support Program:** As specified in Section 377A(c) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to States for activities pertaining to the State donor registry. If the applicant is working with a consortium, any consortium members that are OPTN members are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). **Public Education Efforts to Increase Solid Organ Donation:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to be in compliance with the final rule governing the operation of the OPTN Section 121.11(b2). **Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations:** As

specified under section 377B of the Public Health Service Act, the Secretary may award grants to qualified organ procurement organizations and hospitals under section 371 to establish programs coordinating organ donation activities of eligible hospitals and qualified organ procurement organizations under section 371. For purposes of this section, eligible hospital means a hospital that performs significant trauma care, or a hospital or consortium of hospitals that serves a population base of not fewer than 200,000 individuals.

**Beneficiary Eligibility:**

**Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation:** Primary beneficiaries are low/moderate income living organ donors and recipients. All other Programs: Beneficiaries are all organ transplant recipients.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a four-year period. Both Clinical Interventions Research grants and Social and Behavioral Research grants are awarded for a 12-month budget period over a three-year period. State Donor Registry Support Program grants are awarded for a 12-month budget period over a one-year period. Public Education Efforts to Increase Solid Organ Donation are awarded for a 12-month budget period over a two year period. Grants to Establish Programs Coordinating Organ Donation Activities of Hospitals and Organ Procurement Organizations are awarded for a 12-month budget period over a two-year period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Two progress reports are required in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. The grantee also submits monthly updates to HRSA on applications received and funded by the Program.

Clinical Interventions to Increase Organ Procurement Grant Program: Quarterly progress reports are required for all awardees in addition annual financial reports. Final progress reports and final financial status reports are due 90 days from the end of the project period.

Social and Behavioral Interventions to Increase Organ Donation Grant Program: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period.

State Donor Registry Support Program: One progress report is required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period.

Public Education Efforts to Increase Solid Organ Donation: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 08 \$2,065,745; FY 09 est \$2,441,829; FY 10 est \$1,392,776 - These figures are for the Clinical Interventions to Increase Organ Procurement Grant Program. (Cooperative Agreements) FY 08 \$5,000; FY 09 est \$2,000,000; FY 10 est \$2,000,000 - These figures are for the Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program. (Project Grants) FY 08 \$3,834,198; FY 09 est \$3,583,649; FY 10 est \$3,458,610 - These figures are for the Social and Behavioral Interventions to Increase Organ Donation Grant Program. (Project Grants) FY 08 \$263,027; FY 09 est \$122,409; FY 10 est not reported. - These figures are for the State Donor Registry Support Program. (Project Grants) FY 08 \$1,964,053; FY 09 est \$1,662,830; FY 10 est \$1,838,489 - These figures are for the Public Education Efforts to Increase Organ Donation Program.

**Range and Average of Financial Assistance:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: \$2,000,000

Social and Behavioral Interventions to Increase Organ Donation Grant Program: \$65,000 to \$585,761; \$226,789.

State Donor Registry Support Program: \$97,872 to \$175,725; \$145,352

Public Education Efforts to Increase Organ Donation: \$206,362 to \$413,360;

\$328,294.75.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Clinical Interventions to Increase Organ Procurement Grant Program: The CIOP Grant Program has led to the publication of cutting edge publications dealing with important end of life issues. In FY 2007 the CIOP grant program guidance was released with a new focus on uncontrolled donation after cardiac death (UDCD), and two compete grants were awarded. In FY 2008 the focus of the program returned to donation after brain or circulatory death, both controlled and uncontrolled. Four compete and two non-compete grants were awarded.

Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program: Studies funded through the grant program have resulted in the identification of several successful approaches to increasing organ donation through either increased organ donor designation or increased family consent for donation at time of death. Many of the current organ donation best practices evolved from grants funded through this grant program, including the use of in-house organ donation coordinators in large trauma centers, the use of like-requestors, the presumptive approach to consent and various educational interventions involving both the general public and medical and other professionals that demonstrated effective approaches to increase the intent and consent to become an organ donor. Many of these best practices have been widely disseminated through a series of HHS-sponsored Breakthrough Collaboratives that began in 2003. As a result of these efforts and other efforts of HHS and the donation community, the number of deceased organ donors increased 24% from the end of 2003 to the end of 2008. In contrast the rate of increase for the previous 5-year period was 12%. In addition to direct transfer of best practices through the Breakthrough Collaboratives, findings from grants funded through this program have been widely disseminated through presentations and publications, including more than 50 journal articles.

State Donor Registry Support Program: States have been able to establish or improve their registry as a way of to increase the number of people who signed up to be donors. For example, the State of North Carolina was able to add an additional web-based registry that would complement the DVM sponsored registry.

Public Education Efforts to Increase Solid Organ Donation: This two year grant program began in FY 2007 with four funded grants. Two grants were funded in FY 2008. While the final reports for the first cohort of grant programs are not yet due, some preliminary findings show positive outcomes. Several of these projects have focused on increasing enrollment in State organ donor registries. Fiscal Year 2009: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The Regents of the University in collaboration with the American Society of Transplant Surgeons established the National Living Donor Assistance Center (NLDAC) to operate the Program. The NLDAC, [www.livingdonorassistance.org](http://www.livingdonorassistance.org), was officially launched on October 17, 2007. Through May 2009, The NLDAC has facilitated 257 living donor transplants. An additional 197 prospective living donors have been approved for reimbursement pending the organ donation procedures. Overall, more than 600 prospective living donors have applied for assistance from NLDAC.

Clinical Interventions to Increase Organ Procurement Grant Program: The CIOP Grant Program has led to the publication of cutting edge publications dealing with important end of life issues. In FY 2009 six compete applications were submitted and it is anticipated that two will be funded in addition to 4 non-compete applications.

State Donor Registry Support Program: States have been able to establish or improve their registry as a way of to increase the number of people who signed up to be donors. For example, the State of North Carolina was able to add an additional web-based registry that would complement the DVM sponsored registry.

Public Education Efforts to Increase Solid Organ Donation: This two year grant program began in FY 2007 with four funded grants. Four awards will be made in FY 2009. While the final reports for the first cohort of grant programs



are not yet due, some preliminary findings show positive outcomes. Several of these projects have focused on increasing enrollment in State organ donor registries. Fiscal Year 2010: Clinical Interventions to Increase Organ Procurement Grant Program: No new competing grants will be funded in FY 2010.

Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program: The State Donor Registry Support Grant will not be funded in FY 2010.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

See Regional Agency Offices. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Mesmin Germain, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0053.

Clinical Interventions to Increase Organ Procurement Grant Program: Bernard Kozlovsky, MD, MS, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0565.

Social and Behavioral Interventions to Increase Organ Donation Grant Program and Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-3622.

State Donor Registry Support Program: Venus Walker, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301.443.7578.

Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-3622.

#### **Headquarters Office:**

Division of Transplantation 5600 Fishers Lane, Room 12-105, Rockville, Maryland 20857 Phone: (301) 443-3300

#### **Website Address:**

www.hrsa.gov.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The grantee established a national center to provide reimbursement of travel and subsistence expenses to individuals making living donations of their organs.

Clinical Interventions to Increase Organ Procurement Grant Program: Funded projects include such interventions such as pulsatile perfusion of kidneys, pulsatile perfusion in the expanded kidney donor, chest wall oscillation to improve quantity and quality of brain dead heart beating donor lungs and validation of identification criteria for DCD donors. FY 2007 funded awards are focused on uncontrolled donation after cardiac death (UDCD) both in hospital and in the community. FY 2008 funded awards included protocols for liver preservation by pulsatile perfusion, as well as strict insulin control and nutritional supplementation in brain dead donors.

Social and Behavioral Interventions to Increase Organ Donation Grant Program: Funded projects include social and behavioral interventions to

promote awareness of the need for donors and commitment to organ donation through the workplace, in schools, on Native American Indian reservations, in departments of motor vehicles, and in other community settings and projects to increase the knowledge of living donation among patients waiting for an organ, family members and the public. Interventions evaluated include mass media and grass roots campaigns

State Donor Registry Support Program: Grantees developed or improved statewide registry so residents can indicate their intent to be organ, tissue, and eye donors.

Public Education Efforts to Increase Solid Organ Donation: Funded projects include public education interventions to increase organ donation in churches, colleges/universities and departments of motor vehicles. Specific outreach methods include combined mass media and grassroots efforts, internet-based viral marketing campaigns and peer counseling. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Please refer to the Program Guidance.

### **93.135 CENTERS FOR RESEARCH AND DEMONSTRATION FOR HEALTH PROMOTION AND DISEASE PREVENTION**

(Prevention Research Centers)

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title 42, Part 330u-5, Section 1706.

#### **OBJECTIVES:**

To: (1) To establish, maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; and (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application. (6) to involve the community in the development, conduct, and implementation of prevention research.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstration projects pertaining to health promotion and disease prevention plus certain indirect costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into consortia agreements or contracts as necessary to achieve the aims of the program.

#### **Applicant Eligibility:**

Eligible applicants are accredited schools of medicine, schools of osteopathy, and schools of public health as defined in Section 701 (4) of Public Health Service Act.

#### **Beneficiary Eligibility:**

Academic health centers, scientist/researchers, operational public health programs, targeted high risk groups, selected demonstration areas, and the general public.

#### **Credentials/Documentation:**

Costs will be determined in accordance with HHS Regulations, 45 CFR 74, Subpart Q for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 9/2004, Interim revised 4/2006). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Approved grants are funded based on priority score ranking from a scientific review, as well as availability of funds, secondary review and such other significant factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From six to nine months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Applications for renewal will be reviewed in the same manner as new applications and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years (renewable, based on competitive applications and availability of funds). See the following for information on how assistance is awarded/released: Lump sum unless there are funding restrictions due to pending issues (e.g., IRB concerns.).

**Reports:**

Interim progress (annually); terminal progress report (three months after end of project); and reprints and copies of resulting publications. No cash reports are required. Interim progress (annually); terminal progress report (three months after end of project); and reprints and copies of resulting publications. Financial status reports (annual). Interim progress (annually).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, including documents to support entries on accounting records and substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$43,204,801; FY 09 est \$43,204,801; FY 10 est \$43,204,801

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eduardo Simoes, M.D. 1600 Clifton Rd, Atlanta, Georgia 30333 Email: [esimoes@cdc.gov](mailto:esimoes@cdc.gov) Phone: (770) 488-5586

**Website Address:**

<http://www.cdc.gov/prc>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Each Center dedicates core resources to support a particular research project with a particular emphasis on addressing health disparities. For example, the causes of excess mortality in Harlem, promoting healthy lifestyles in American Indians and focusing on the health of older adults. Many of the research projects are also in specific areas of importance addressing the Healthy People 2010 Objectives. The Prevention Research Centers focus on solutions for underserved communities and promote disease prevention and health promotion strategies among the following population groups: children and youth, older adults and disabled persons; African Americans, Asians, Hispanics, American Indians, and rural populations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Prevention Research Center applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.136 INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY BASED PROGRAMS**

National Center for Injury Prevention and Control

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301 and 394, as amended, 42 U.S.C. 241.

**OBJECTIVES:**

RESEARCH GRANTS: (1) To support injury control research on priority issues; (2) to integrate aspects of engineering, public health, behavioral sciences, medicine, engineering, health policy, economics and other disciplines in order to prevent and control injuries more effectively; (3) to rigorously apply and evaluate current and new interventions, methods, and strategies that focus on the prevention and control of injuries; (4) to stimulate and support Injury Control Research Centers (ICRCs) in academic institutions which will develop a comprehensive and integrated approach to injury control research and

training; and (5) to bring the knowledge and expertise of ICRCs to bear on the development of effective public health programs for injury control. STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: (1) To develop and evaluate new methods or to evaluate existing methods and techniques used in injury surveillance by public health agencies; and (2) to develop, expand, or improve injury control programs to reduce morbidity, mortality, severity, disability, and cost from injuries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstrations surveillance or interventions/evaluations programs pertaining to injury prevention and control plus certain direct costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

For INJURY PREVENTION AND CONTROL RESEARCH PROGRAMS, AND INJURY CONTROL RESEARCH CENTERS: Eligible applicants may include any nonprofit or for-profit organization; for STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) and political subdivisions of States (in consultation with States), Federally recognized or state-recognized American Indian/Alaska Native tribal governments, American Indian/Alaska native tribally designated organizations, Alaska Native health corporations, Urban Indian health organizations, Tribal epidemiology centers; for COMMUNITY-BASED PROGRAMS: public, private, nonprofit and for-profit organizations may be eligible.

**Beneficiary Eligibility:**

FOR RESEARCH GRANTS: Academic health centers, scientist/researchers, operational public health programs, State and local governments, and public and private organizations involved in injury research. FOR STATE AND COMMUNITY-BASED GRANTS AND COOPERATIVE AGREEMENTS: State and local health departments, and community-based organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. Funding Opportunity Announcements for this program are posted on [www.Grants.gov](http://www.Grants.gov), the official federal agency wide e-grant Web site. Application forms and instructions specific to each announcement are posted at that site. Electronic Submission: CDC strongly encourages the applicant to submit applications electronically by utilizing the forms and instructions posted on [www.Grants.gov](http://www.Grants.gov). Registering your organization through [www.Grants.gov](http://www.Grants.gov) is the first step in submitting applications online. Registration information is located in the "Get Started" screen of [www.Grants.gov](http://www.Grants.gov) and the one-time registration process will take three to five days to complete. While application submission through [www.Grants.gov](http://www.Grants.gov) may be optional for various announcements, we strongly encourage you to use this online tool. Please visit [www.Grants.gov](http://www.Grants.gov) at

least 30 days prior to filing your application to familiarize yourself with the registration and submission processes. We suggest submitting electronic applications prior to the closing date so if difficulties are encountered, you can resolve them prior to the deadline. For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). For the hearing impaired: TTY (770) 488-2783. If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: (770) 488-2700. DUNS Number: Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System number as the universal identifier when applying for Federal grants or cooperative agreements. The D&B number can be obtained by calling (866) 705-5711 or through the web site at <http://www.dnb.com/us/>.

**Award Procedure:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for Injury Prevention and Control and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. FOR RESEARCH GRANTS: Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by NCIPC in accordance with the review criteria stated below. All applications will undergo a selection process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed and assigned a priority score; receive a written critique; receive a second level of review by the Board of Scientific Counselors. FOR NON-RESEARCH GRANTS/COOPERATIVE AGREEMENTS: Applicants are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the grant or cooperative agreement. Measures of effectiveness must relate to the performance goals stated in the "Purpose" section of the announcement. Measures must be objective and quantitative and must measure the intended outcome. The measures of effectiveness must be submitted with the application and will be an element of evaluation. An objective review panel will evaluate complete and responsive applications according to the criteria listed. The objective review process will follow the policy requirements as stated in the GPD 2.04, <http://198.102.218.46/doc/gpd204.doc>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Renewals are made by competitive applications and reviews.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From one to five years (noncompeting renewals based on availability of funds). Method of awarding/releasing assistance: lump sum.

**Reports:**

Equipment inventory (three months after end of project); invention statement (annual) and reprints and copies of resulting publications. No cash reports are required. Interim progress report (annual) and final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State

and Community-Based Injury Control Programs, semi-annual progress reports are also required. Financial status reports (annual). Final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required. Site visits performed as needed/required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$97,198,286; FY 09 est \$101,000,000; FY 10 est \$101,000,000

**Range and Average of Financial Assistance:**

Injury Control Research Centers: \$905,500. Injury Control Research Projects: \$200,000 to \$300,000; \$250,000. State and Community Based Injury Control Programs: \$40,000 to \$300,000; \$170,000. Youth Violence Prevention Programs: \$150,000 to \$425,000; \$275,000. Violence Against Women Community-based Demonstration Programs: \$85,000 to \$800,000; \$600,000. Applied Research for Traumatic Brain Injury: \$100,000 to \$150,000; \$125,000. Surveillance and Traumatic Brain Injury Follow-up Registry: \$16,000 to \$500,000; \$258,000. Other Unintentional Injuries: \$50,000 to \$1,050,000; \$550,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, CDC continued to provide technical assistance and grant funds to 13 ICRCs, one Research Program Project Grant (RPPG) and 38 individual investigators (RO-1) to conduct applied research in injury prevention and control. State and Community-Based Grant Programs - In fiscal year 2008, CDC continued to fund such projects as: a training and demonstration project; youth violence; applied research for traumatic brain injury, and a surveillance and traumatic brain injury follow-up registry; a national violence data reporting system; violence against women; playground safety; prevention of violence against women electronic networking program; trauma care system development; development and enhancement of emergency departments injury surveillance programs, basic injury program development; residential fire-related injuries and poison control centers. Fiscal Year 2009: In fiscal year 2009, CDC will again provide technical assistance and grant funds to numerous Injury Control Research Centers (ICRCs) and RO-1 Grantees. All Injury Prevention and Control Research Projects are investigator-initiated. Fiscal year 2009 awards are expected to support the same injury-related areas as in fiscal year 2008. Fiscal Year 2010: In fiscal year 2010, CDC will again provide technical assistance and grant funds to numerous Injury Control Research Centers (ICRCs) and RO-1 Grantees. All Injury Prevention and Control Research Projects are investigator-initiated. Fiscal years 2010 awards are expected to support the same injury-related areas as in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None. RO-1 Adele Childress, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F62), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 ahc0@cdc.gov. Telephone: (770) 488-4233 FAX: (770) 488-1670. Injury Control Research Centers Paul Smutz, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F62), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 pos1@cdc.gov. Telephone: (770) 488-1508 FAX: (770) 488-1670. Community- Based Grant Programs Robin Forbes, Public Health Advisor, Resource Management Team, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 rjf0@cdc.gov. Telephone: (770) 488-1324 Fax: (770) 488-1662.

**Headquarters Office:**

Robin J. Forbes, 4770 Buford Hwy NE, MS-F63  
. Atlanta, Georgia 30341-3724 Email: rjf0@cdc.gov Phone: (770) 488-1324

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Injury Control Research Centers (ICRC) have undertaken a broad range of work. For example, the Johns Hopkins University ICRC has sponsored Summer Training Institutes for injury control researchers and practitioners. Harvard has been a key planning, training, and program resource for injury control programs in the New England States. Work at the University of North Carolina ICRC has led to the creation of an injury control unit in the North Carolina State Health Department. Harborview ICRC serves as a State and regional resource in trauma and burn care and is a leader of efforts to reduce pedestrian injuries and injuries associated with motorcycles and bicycles. (2) Funded Injury Prevention and Control Projects address priority research concerns encompassing acute care, biomechanics, prevention, epidemiology, and rehabilitation. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries. Fiscal Year 2009: (1) Injury Control Research Centers (ICRC) have undertaken a broad range of work. For example, the Johns Hopkins University ICRC has sponsored Summer Training Institutes for injury control researchers and practitioners. Harvard has been a key planning, training, and program resource for injury control programs in the New England States. Work at the University of North Carolina ICRC has led to the creation of an injury control unit in the North Carolina State Health Department. (2) Funded Injury Prevention and Control Projects address priority research concerns encompassing acute care, biomechanics, prevention, epidemiology, and rehabilitation. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries. Fiscal Year 2010: (1) Injury Control Research Centers (ICRC) will continue to undertake a broad range of work to address injury-related topics. (2) Funded Injury Prevention and Control Projects address priority research concerns with a focus on older adult falls, child maltreatment and residential fire injuries. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention being given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as richness, breadth, and scientific merit of the overall application relative

to the types of research, demonstrations, and special projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed activities; (3) feasibility and likelihood of producing meaningful results based on the significance of the proposed activities and relevant evaluation procedures; (4) overall match between the proposed programs and the nation's health priorities and needs; and (5) reasonableness of the proposed budget in relation to the work proposed.

### **93.138 PROTECTION AND ADVOCACY FOR INDIVIDUALS WITH MENTAL ILLNESS**

PAIMI

#### **FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Protection and Advocacy for Individuals with Mental Illness Act of 1986, 42 U.S.C 10801, et seq., as amended by Public Health Services Act, Title V, 42 U.S.C 290aa, et seq.; Developmental Disabilities Assistance and Bill of Rights Act, as amended October 30, 2000, 42 U.S.C 6041 et seq.

#### **OBJECTIVES:**

To enable the expansion of the Protection and Advocacy system established in each State to: (1) Protect and advocate the rights of individuals with mental illness; (2) investigate incidents of abuse and neglect of individuals with mental illness if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred; (3) investigate incidents of serious injury and deaths in public and private care and treatment facilities and non-medical community-based facilities for children and youth; and (4) to receive reports of all serious injuries and deaths related to incidents of seclusion and restraint in public and private care and treatment facilities in the States and Territories.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used to assist in meeting the costs of planning, developing, expanding, and implementing activities to support attainment of the protection and advocacy goals. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established. Not more than 10 percent of an allotment can be used for providing technical assistance and training for staff, and a system which is a public entity cannot be required by the State to obligate more than 5 percent of the allotment for administrative expenses.

#### **Applicant Eligibility:**

State and local government agencies, public or private organizations designated by the Governor under Part C of the Developmental Disabilities Assistance and Bill of Rights Acts as systems to protect and advocate the rights of persons with developmental disabilities in that State.

#### **Beneficiary Eligibility:**

Individuals with significant mental illness or severe emotional impairment (children) who are at risk for abuse, neglect, or civil rights violations while residing in care or treatment facilities have service priority. Persons with significant mental illness and severe emotional impairment living in the community, including their own home, may be served as determined by their state protection and advocacy systems PAIMI program funded priorities and objectives and available resources includes persons who are in the process of being admitted to a facility rendering care or treatment, persons being transported to such a facility, or persons who are involuntarily confined in a municipal detention facility, jails, or prisons.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and A-110 for non-profit organization. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual application is required in accordance with 42 CFR Part 51.

#### **Award Procedure:**

Grants are directly awarded by the Center for Mental Health Services to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000", as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.) .

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: Title 42, Part 51, Public Law 106-420. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Records must be retained for at least 3 years after the date of submission of required financial status reports.

#### **Account Identification:**

75-1362-0-1-550.

#### **Obligations:**

(Formula Grants) FY 08 \$34,182,219; FY 09 est \$35,162,400; FY 10 est \$35,162,400

#### **Range and Average of Financial Assistance:**

\$227,600 - \$3,138,129; \$616,884.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 57 awards were made. Fiscal Year 2009: 57 awards were made. Fiscal Year 2010: It is estimated 57 awards will be made in fiscal year 2010.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

HHS Grants Policy Statement, 45 CFR 1386 Subpart B (DD regulations) and 42 CFR 51 (PAIMI regulations), Notice of Proposed Rulemaking FR 59739: 64367ff, Dec. 14, 1994, 45 CFR 92 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 45 CFR 74 Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations.

#### **Regional or Local Office:**

None.

**Headquarters Office:**

Barbara J. Orlando 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland  
20857 Email: barbara.orlando@samhsa.hhs.gov Phone: 2402761422 Fax:  
2402761430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.142 NIEHS HAZARDOUS WASTE WORKER HEALTH AND SAFETY TRAINING**

Superfund Worker Training Program

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.

**OBJECTIVES:**

To provide cooperative agreements and project grant support for the development and administration of model worker health and safety training programs consisting of classroom and practical health and safety training of workers and their supervisors, who are engaged in activities related to hazardous materials, hazardous waste generation, treatment, storage, disposal, removal, containment, transportation, or emergency response. To assist organizations in the development of institutional competency to provide appropriate training and education to hazardous waste workers.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Cooperative agreements and project grants are intended to support the direct costs of a project, in accordance with an approved budget, plus indirect costs at a pre-established rate. Both the award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Sciences (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

A public or private nonprofit entity, including tribal governments, that provide worker health and safety education and training, may submit an application and receive a cooperative agreement or project grant for support of waste worker education and training by a named principal investigator. Recipients/grantees may use services, as appropriate, of other public or private organizations necessary to develop, administer, or evaluate proposed worker training programs, as long as the requirement for awards to nonprofit organizations is not violated. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants.

**Beneficiary Eligibility:**

Any public or private entity providing worker safety and health education and training will benefit from this program.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For other recipient/grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions for their submission are available from the Office of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714; e-mail: ASKNIH@odrockml.od.nih.gov and the National Institute of Environmental Health Sciences (MD 3-01), P.O. Box 12233, 104 Alexander Drive, Research Triangle Park, NC 27709. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants that are State and local units of government. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

As required in HHS Regulations, 42 CFR Part 65, applications will be reviewed administratively by NIEHS staff for completeness and responsiveness to the program announcement. Applications then will be reviewed on a competitive basis for technical merit by an ad hoc review committee composed primarily of non-government members with expertise in occupational safety and health training and hazardous waste operations convened by the NIEHS. A second level of review will be conducted by the National Advisory Environmental Health Sciences Council. This second level of review will be for program relevance. The final approval of these recommendations and decisions concerning funding is made by the Director, National Institute of Environmental Health Sciences (NIEHS) or, if in conflict, by appropriate NIH staff. Formal award notices are sent to successful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 8 to 9 months.

**Appeals:**

> 180 Days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal awards are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Full program cooperative agreements may be awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. The Request for Application announcement is expected to be release in the summer of 2009. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Cash reports are not applicable. A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial and program records must be retained for 3 years from the day on which the awardee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Cooperative Agreements) FY 08 \$26,906,032; FY 09 est \$26,288,517; FY 10 est \$27,171,000

**Range and Average of Financial Assistance:**

\$2,152 to \$3,380,279; \$1,095,361.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NIEHS WTP (Worker Training Program) has continued to support training to protect the men and women who handle hazardous waste and materials and who respond to emergencies involving these materials: 140,125 workers received training in over 8000 classes - an increase from the previous year resulting from the recruitment efforts of the awardees and an increase in demand for initial and refresher Superfund site worker training. The NIEHS WETP continued to provide training in all 50 states, Puerto Rico, Virgin Islands, and the Pacific territories. A new five year Request for Applications (RFA) is expected for re-competition of the program in July 2009, with applications due in November, and new awards issued in July, 2010.

Throughout the WETP programs but particularly through the Minority Worker Training Program (MWTP), the NIEHS WETP reached out to serve those workers most in need - young working men and women, people of color, who live in polluted brownfields communities and are struggling to better their own lives and their own communities; Spanish-speaking men and women, native born and recent immigrants, who face unacceptably high rates of occupational injury, illness, and even death; and Native American people such as the Navaho railroad crews who, unknown to the general public, are key in preventing and responding to chemical railcar accidents. These are not handout programs; these are bootstrap programs where workers get safety and health training that empowers them, that they take back to their communities, and that, in the case of the inner city youth they train, produce proud taxpaying citizens - frontline environmental workers. During 2007-2008, the Brownfields Minority Worker Training Program lost its EPA funding and was ended. The strongest segments of this program were transferred into the MWTP.

WETP is a national program and as such recognizes its duty to serve during national emergencies. From the World Trade Center to Katrina to the California Wildfires to the Midwest floods of 2008, the WETP activates, sometimes under the National Response Framework and sometimes through utilizing its existing resources - helping to identify the hazardous wastes and materials released during these disasters while developing and delivering safety and health training keyed to these hazards. Many thousands of responders have benefitted from this training, and the WETP has received praise for its work from the U.S. Army Corp of Engineers, FEMA, and OSHA.

In the twenty one years since Congress created this program, nearly 2,000,000 workers have benefitted. In addition, the WETP will continue its Small Business Innovation Research (SBIR) Program to create products that will support high quality health and safety training for hazardous waste workers and emergency responders utilizing on-line learning and other advanced training technologies. Many of these products have been very successful becoming profit centers for their developers while providing important safety and health training for workers. Since issuing its first awards in 2002, the WETP has

awarded over \$6,000,000 through this program. During 2009-2010, WETP expects to make an additional 1 to 3 awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement March 1, 2001. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

None. Headquarters Office: Program Contact: Mr. Joseph T. Hughes, Jr., Program Director, Worker Education and Training Program, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0217, E-mail: Hughes3@niehs.nih.gov. Grants Management Contact: Carolyn Mason, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-1373, E-mail: Mason6@niehs.nih.gov.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarnal@niehs.nih.gov Phone: (919) 541-5147

**Website Address:**

<http://www.niehs.nih.gov/careers/hazmat/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Programs provide health and safety training and education for occupational populations involved in waste handling and processing at active and inactive hazardous substance treatment, storage and disposal facilities; cleanup, removal, containment, or remedial action at waste sites; hazardous substance emergency response; chemical emergency response; Resource Conservation and Recovery Act corrective actions; hazardous substance disposal site risk assessment and investigation, remedial actions or clean-up by State and local personnel; urban communities surrounding brownfields sites; and transportation of hazardous wastes. Fiscal Year 2009: During the upcoming year (2009-2010), WETP will build upon this record. WETP will continue to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. Fiscal Year 2010: During the upcoming year (2009-2010), WETP will build upon this record. WETP will continue to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury.

**CRITERIA FOR SELECTING PROPOSALS:**

The following factors considered for applications for full program cooperative agreements include: (1) Methods and techniques to be used for identifying, describing, and accessing target worker populations and anticipated impact of the proposed program; (2) evidence of the organization's performance and effectiveness in planning, implementing and operating appropriate worker health and safety training and education programs; (3) adequacy of the detailed program plan for curricula development, training of instructors, distribution of course materials, and direct student training; (4) technical and professional expertise of the proposed program director, present or proposed staff, and

consultants; (5) methods proposed for evaluating appropriateness, quality, and effectiveness of training; (6) availability of appropriate facilities and equipment to support the described educational and training activities including hands-on instruction and demonstration; (7) evidence of the organization's past performance and effectiveness in planning, implementing, and operating training and education programs for workers; (8) the likelihood that the program will continue beyond the grant period; and (9) reasonableness of the proposed program activities.

### **93.143 NIEHS SUPERFUND HAZARDOUS SUBSTANCES\_BASIC RESEARCH AND EDUCATION**

NIEHS Superfund Research Program

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Title I, Section III, and Title II, Section 209, Public Law 99-499, as amended; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 311(a), Public Law 96-510; Public Health Service Act, Section 301, Public Law 78-410, as amended; Public Law 99-500.

#### **OBJECTIVES:**

To establish a unique program linking biomedical research with engineering, geoscience and ecological research. The goals of the program are to establish and support an innovative program of basic research and training consisting of multi-project, interdisciplinary efforts and individual investigator projects. Areas of research may include: (1) methods and technologies to detect hazardous substances in the environment; (2) advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; (3) methods to assess the risks to human health presented by hazardous substances; and (4) and basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. It is intended that advanced or graduate training be integrated into the multi-project research program to provide opportunities in biomedical and environmental health, environmental sciences, ecology, and geosciences. The Program encourages the integration of interdisciplinary training to ensure that its students are prepared to tackle the complex issues presented by hazardous waste sites.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Grants made under this program are for university-based programs, and the objective is to establish and maintain coordinated research efforts that link basic biomedical research with related engineering, hydrogeological and ecological studies. In addition, the Superfund Research Program supports small business research through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. The award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Science (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

#### **Applicant Eligibility:**

An accredited institution of higher education, as defined in the Higher Education Act, 20 U.S.C. (annotated) 3381, may submit an application and receive a grant for support of research by a named principal investigator. Subcontracts may be made with public and private organizations, including: generators of hazardous wastes; persons involved in the detection, assessment, evaluation, and treatment of hazardous substances; owners and operators of facilities at which hazardous substances are located; and State, local and Tribal governments. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants. Organizations applying for a grant under the SBIR/STTR programs must qualify as a U.S.-owned Small Business Concern (SBC).

#### **Beneficiary Eligibility:**

Any accredited institution of higher education engaged in biomedical research

and/or engineering and ecological research. SBIR and STTR awards are restricted to small business that meet NIH's criteria for SBC. Tribal entities that meet these requirements are eligible to apply.

#### **Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Letter of Intent Prospective applicants are asked to submit a letter of intent. Although it is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows IC staff to estimate the potential review workload and plan the review. It is due one month prior to the receipt of the applications. Applications for the Superfund Research Program are accepted in response to funding opportunity announcements (FOA) which are posted on National Institute of Environmental Health Sciences website ([www.niehs.nih.gov](http://www.niehs.nih.gov)) under the tab "funding opportunities". Applications submitted in response to a multi component FOA must use the PHS 398 (version dated 11/07) paper submission. Application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Applications submitted in response to an individual investigator FOA must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. SBIR/STTR grant applications are accepted in response to the NIH Omnibus solicitation using the SF424 electronic application process (<http://www.grants.gov>). The grant solicitation is released in early spring of each year and has 3 receipt dates: April 5, August 5 and December 5.

#### **Award Procedure:**

Grants are awarded on the basis of a dual review of the applications. The initial review for scientific merit is conducted by a Special Emphasis Panel of peers with appropriate scientific expertise; the second level of review is performed by the National Advisory Environmental Health Sciences Council for program relevance and recommendations. The final approval of these recommendations and decisions concerning funding is made by the Director of NIEHS or, if in conflict, by appropriate NIH staff.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. From 9 to 12 months.

#### **Appeals:**

> 180 Days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

> 180 Days. Renewal requests are subject to the same criteria as new applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Research Grants for the multi component and individual investigator may be



awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. Grants made under the SBIR/STTR grants are made generally made for six months to two years. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

No program reports are required. No cash reports are required. Annual and final progress reports and financial status reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditure and other financial and program records must be retained for 3 years from the day on which the grantee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$46,452,440; FY 09 est \$46,196,000; FY 10 est \$46,856,000

**Range and Average of Financial Assistance:**

\$7,949 to \$3,251,397; \$860,230.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The NIEHS Superfund Research Program utilizes three grant mechanisms to achieve its goals of advancing the understanding of human health effects of environmental exposures to hazardous substances and in developing innovative technologies for remediating these contaminants. One mechanism the Program uses is to support research through multi-project grant awards. In FY2008, 14 multi-project grants were supported, three of these awards were made through the competitive process. In addition, eleven grants, which had previously been competed, were renewed. In FY2009, based on a Request for Applications (RFA) released in September 2007, one new grantee received a four-year award and two existing grantees successfully re-competed and were awarded five-year awards. The pool of competing applications for these awards included eleven applicants. In addition, in FY2009, eleven grantees were renewed based on previous competitions. It is anticipated that in FY2010, three to four grants will be awarded out of a pool of 14 applicants. Ten grantees are scheduled to be renewed.

Under this program, recent research has led to the development of selenium-based adsorbents for cleaning mercury spills from compact fluorescent light bulbs; the discovery of a previously unidentified PCB in an urban air shed; a proposed strategy of using zero-valent iron as an effective treatment of acid rock drainage from the mining industry; and the recognition that a common anti-bacterial compound may be an endocrine disrupter, affecting a host of reproductive functions. Additional research advances can be accessed on the Programs webpage:

<http://tools.niehs.nih.gov/srp/researchbriefs/index.cfm>

The second grant mechanism the Superfund Research Program uses is individual investigator research project grants. Using this mechanism the Program released the RFA Innovative Approaches to Remediation of Recalcitrant Hazardous Substances in Sediments which resulted in the receipt of 43 applications. Of these, four new three-year awards were made in FY2007 and three three-year awards in FY2008. The RFA specifically focused on innovative in situ approaches for remediating sediments. In the fall of 2007, the Program released another RFA Development and Application of Nanotechnology-based Tools to Understand Mechanisms of Bioremediation.

As a result of this announcement, 24 applications were received and four new three-year awards were made FY2009. No additional RFAs have been released and no new awards are anticipated for FY2010; however, seven of the existing grants will continue and will receive funds in FY2010.

The third mechanism used by the Superfund Research Program is the Small Business Innovative Research SBIR/STTR grant programs. The Superfund Research Program uses the NIH Omnibus solicitation to announce its areas of interest, which, to date, includes remediation and monitoring of hazardous substances. In 2008, one phase I SBIR, one phase 2 SBIR and two phase 1 STTR awards were made. In 2009, the Program plans to fund three Phase 1 SBIR, one Phase 1 STTR and one Phase 2 STTR awards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement March 1, 2001. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

None. Program Contact: Dr. William Suk, Director, Superfund Hazardous Substance Basic Research and Training Program, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Public Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail [suk@niehs.nih.gov](mailto:suk@niehs.nih.gov), Telephone: (919) 541-0797. Grants Management Contact: Dorothy G. Duke, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-2749; E-mail: [duke3@niehs.nih.gov](mailto:duke3@niehs.nih.gov).

**Headquarters Office:**

Benigno Encarnacion 111 TW Alexander Drive, Research Triangle Park., North Carolina 27709 Email: [encarnal@niehs.nih.gov](mailto:encarnal@niehs.nih.gov) Phone: (919) 541-5147

**Website Address:**

<http://www-apps.niehs.nih.gov/sbrp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: EXAMPLES OF FUNDED PROJECTS: The Superfund Research Program is university-based basic research and training program consisting of coordinated, multi-component interdisciplinary programs that link basic biomedical research with related engineering, hydrogeological epidemiological, and ecological studies. This interdisciplinary program supports basic research in the following: (1) Development and use of methods and technologies to detect hazardous substances in the environment such as such as the development of a non-invasive method of testing for dermal exposures to PAHs and relating those exposures to systemic responses; (2) development of advanced techniques for the detection, assessment, and evaluation of the effects of human health of hazardous substances such as the development of a screening method to determine if classes of chemicals related to pesticides pose the same threats to neurological development in embryos that pesticides do; (3) development of methods to assess the risk to human health presented by hazardous substances such as the projects focused on the human health effects associated with exposure to PCBs and low dose exposures to arsenic in drinking water; and (4) the development and use of basic biological, chemical, and physical methods and technologies to reduce the amount of toxicity of hazardous substance such as the development of bioremediation strategies using microbes and other organisms to reduce organics and metals from environmental media. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Major factors considered in the evaluation of responsive applications include: (1) Scientific merit of each proposed project, including the novelty, originality,

and feasibility of the approach and the adequacy of the experimental design; (2) technical merit and justification of each core unit; (3) competence of the investigators to accomplish the proposed research goals, their commitments, and the amount of time they will devote to the program; (4) scope of the overall effort in relation to the objective of the program to create unique interdisciplinary programs to eventually include, not only biomedical components, but also engineering, ecological and/or hydrogenological components; (5) adequacy of the facilities to perform the proposed research; (6) integration of the various projects and core units into an effective program and plans for interactions among investigators; (7) adequacy and commitment of institutional resources to administer an integrated, collaborative program; (8) appropriateness of the budget for the proposed program; (9) relevance of proposed research to problems associated with hazardous waste substances; and (10) progress of program to date for completing renewal applications.

### **93.145 AIDS EDUCATION AND TRAINING CENTERS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, Subpart II, Public Law 106-345; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

#### **OBJECTIVES:**

(1) To train health personnel, including practitioners in programs under this title and other community providers, in the diagnosis, treatment, and prevention of HIV disease, including the prevention of the perinatal transmission of the disease, including measures for the prevention and treatment of opportunistic infections, and including (as applicable to the type of health professional involved), prenatal and other gynecological care for women with HIV/AIDS; (2) To train the faculty of schools of, and graduate departments or programs of, medicine, nursing, osteopathic medicine, dentistry, public health, allied health, and mental health practice to teach health professions students to provide for the health care needs of individuals with HIV/AIDS; (3) To develop and disseminate curricula and resource materials relating to the care and treatment of individuals with such disease and the prevention of the disease among individuals who are at risk of contracting the disease; and (4) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.; and (5) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants will be awarded for the establishment of AIDS Education and Training Centers.

#### **Applicant Eligibility:**

Eligible entities include public and nonprofit private entities and schools and academic health science centers. Eligible organizations are public and nonprofit private entities and schools and academic health sciences centers, including faith-based and community-based organizations. Applicants must have extensive experience in the field of health professional training and adult learning, HIV disease and disease management, and program administration and monitoring. Applicants that fail to show experience in all three areas will not be considered.

#### **Beneficiary Eligibility:**

Primary health care personnel.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Annual noncompetitive, competitive awards typically are for 5 years.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Grants are typically awarded for a 5-year project period with 12-month budget periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Annual program reports, OMB-approved data reports, and special reports (if any) are required. No cash reports are required. A Financial Status Report is to be submitted within 90 days after the close of each budget period and a final Financial Status Report is required 90 days following the end of the project period. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 08 \$32,528,024; FY 09 est \$32,933,388; FY 10 est \$38,397,000

**Range and Average of Financial Assistance:**

\$450,000 to \$4,742,893; \$2,195,550.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: 15 noncompetitive awards were made in FY 09.. AETCs are providing AIDS education and training to approximately 130,000 health care providers each year. For FY 07, FY 08 and FY 09 the emphasis of the AETCs is to provide hands on clinical training in the medical care of HIV infected patients and training on the use of highly active antiretroviral therapy. In FY 09, it is anticipated that 15 noncompetitive awards will be made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Steven R. Young, M.S.P.H., Director, Division of Training and Technical Assistance/AIDS ETCs, HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7-29, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5761 or Fax: (301) 594-2835.

**Headquarters Office:**

Division of Training and Technical Assistance/AIDS ETCs 5600 Fishers Lane, Room 7-29, Rockville, Maryland 20857 Phone: (301) 443-5761

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease; 93.978 Preventive Health Services Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: AIDS Education and Training Centers have been funded to provide national coverage of education and training for health care providers who care for HIV infected patients. The grant recipients have been universities and institutions of higher education and are primarily located in areas with a high incidence of HIV/AIDS and within medically underserved areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In making grants, the Secretary shall give preference to qualified projects which will -- (A) train, or result in the training of health professionals who will provide treatment for minority individuals with HIV/AIDS and other individuals who are at high risk of contracting such disease; (B) train, or result in the training of minority health professionals and minority allied health professions to provide treatment for individuals with such disease; and (C) train or result in the training of health professionals and allied health professionals to provide treatment for hepatitis B or C co-infected individuals. The acronym HIV stands for "human immunodeficiency virus", the etiologic agent for acquired immune deficiency syndrome (AIDS).

**93.150 PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)**

(PATH)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title V, Part C, Section 521, as amended, 42 U.S.C 290cc-21 et seq; Stewart B. McKinney Homeless Assistance Amendments Act of 1990, Public Law 101-645.

**OBJECTIVES:**

To provide financial assistance to States to support services for individuals who are suffering from serious mental illness or serious mental illness and substance abuse; and are homeless or at imminent risk of becoming homeless. Programs and activities include: (1) Outreach services; (2) screening and diagnostic treatment services; (3) habilitation and rehabilitation services; (4) community mental health services; (5) alcohol or drug treatment services; (6) staff training; (7) case management services; (8) supportive and supervisory services in residential settings; (9) referrals for primary health services, job training, educational services, and relevant housing services; and (10) prescribed set of housing services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except that funds cannot be used: (1) To support emergency shelters or construction of housing facilities; (2) for inpatient psychiatric or substance abuse treatment costs; or (3) to make cash payments to intended recipients of mental health or substance abuse services. Not more than 20 percent of the payment may be expended for housing services; not more than 4 percent of the total allocation may be expended for administrative expenses. The applicants must agree that the payments will be expended solely for making grants to political subdivisions of the State, and to nonprofit private entities (including community-based veterans organizations and other community organizations) for the purpose of providing the services.

**Applicant Eligibility:**

States, District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

Individuals who have a serious mental illness or serious mental illness and substance abuse; and are homeless or are at imminent risk of becoming homeless.

**Credentials/Documentation:**

This program is subject to 45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication requirement. This program is not subject to the intergovernmental review requirements of E.O. 12372, as implemented through DHHS regulations at 45 CFR 100. However, individual States may require, or an applicant State mental health agency may want to implement, coordination procedures similar to those specified in E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Chief Executive Officer of a State or Territory must apply annually for an allotment. Applications include a completed application form and a set of assurances.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Grant awards are issued directly by the Center for Mental Health Services (CMHS) to the designated State agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 8 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 92, Public Law 101-645.

**Matching Requirements:** The formula is cited in Section 524 of the Public Health Service Act, as amended by Public Law 101-645. The formula allots funds on the basis of the population living in urbanized areas of the State, compared to the population living in urbanized areas of the entire United States except that no State receives less than \$300,000 (\$50,000 for Territories). States must agree to make available, directly or through donations from public or private entities, nonfederal contributions equal to not less than \$1 (in cash or in kind) for each \$3 of Federal funds provided in such grant. Territories have no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation for the award period (1-year); payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each State shall prepare and submit to the Secretary of Health and Human Services annual reports on its activities necessary for securing a record and a description of the purposes for which funds received under Section 521 were spent and the recipients of such funds, and for determining whether such amounts were expended in accordance with the provisions of the legislation. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$50,968,000; FY 09 est \$57,059,000; FY 10 est \$57,059,000

**Range and Average of Financial Assistance:**

\$50,000 to \$8,261,000; \$1,018,910.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 56 awards were made. Fiscal Year 2009: 56 awards were made. Fiscal Year 2010: It is estimated 56 awards will be made in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. HHS Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara J. Orlando, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: barbara.orlando@samhsa.hhs.gov Phone: (240) 276-1422 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: States have supported from one to as many as 40 local nonprofit agencies to provide PATH-funded services to persons who are homeless and have a mental illness. Fiscal Year 2009: Unknown. Fiscal Year 2010: Unknown.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill all statutory and regulatory requirements.

**93.153 COORDINATED SERVICES AND ACCESS TO RESEARCH FOR WOMEN, INFANTS, CHILDREN, AND YOUTH**

(Ryan White Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part D, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

The purpose of this funding is providing family-centered care involving outpatient or ambulatory care (directly or through contracts) to women, infants, children, and youth with HIV/AIDS, and may be used to provide additional support services to patients and families through the provision of coordinated, comprehensive, culturally and linguistically competent, family-centered services. Funds will be used to support programs that provide primary medical care and : (1) Link established systems of care to coordinate service delivery and ensure that HIV-infected women, infants children, and youth have access to the existing and emerging HIV treatments that can make a difference; (2) Implement HIV prevention programs for the transmission of HIV from mother to child; (3) Educate clients about the opportunities for participation in clinical research and other research activities; and (4) Address the intensity of service needs, high costs, and other complex barriers to comprehensive care and research experienced by medically underserved and challenging populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds granted must be expended solely for carrying out the approved project in accordance with application guidelines, the conditions of award and the applicable cost principles.

**Applicant Eligibility:**

Public and nonprofit private entities that provide primary care services, either directly or by another entity that is linked with the grantee, either through a contract, written partnership, or other formal agreement. Proof of nonprofit status is required for nonprofit organizations. Primary care providers must show proof of Medicaid eligibility.

**Beneficiary Eligibility:**

Women, infants, children, and youth with HIV/AIDS and their affected family members.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be made for up to 5-year project periods, subject to availability of funds. After initial awards, projects may be renewed contingent upon submission and approval of a continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards, on a competitive basis will be for a one year budget period, although project periods may be approved for up to five years. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports and special reports must be submitted as required. No cash reports are required. Grantees must submit a Financial Status Report on SF 269 (long form) within 90 days after the end of the budget period. The grantee must also submit an annual program data report, due March 15 each year, covering the just ended Jan. 1 - Dec. 31 calendar year. Beginning in Fiscal Year 2009, grantees must submit an Allocations Report, 60 days after the notice of grant award, and an Expenditures Report within 90 days after the end of the budget period, (OMB 0915-0318). A final Financial Status Report and final progress report must be submitted 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$68,578,587; FY 09 est \$68,578,587; FY 10 est \$70,667,771

**Range and Average of Financial Assistance:**

\$230,384 to \$2,569,004; \$766,222.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, a total of 90 project grants were awarded, which included 17 Youth Services Initiative grants. Fiscal Year 2009: . It is estimated that a total of 90 projects will be funded in FY 09. Fiscal Year 2010: Approx. 98 projects will be funded in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Tola Life, Acting Branch Chief, Northeastern Region, Division of Community Based Programs/HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1019.

**Headquarters Office:**

Division of Community Based Programs 5600 Fishers Lane, Room 7-A30, Rockville, Maryland 20857 Phone: (301) 443-1019

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A variety of agencies are funded under this grant program, but they all represent the collaboration of local health and social services agencies, both public and private, including faith-based and community-based organizations. All provide health service delivery to infected women, infants, children, and youth and provide family-centered case management and education regarding opportunities to participate in HIV/AIDS-related clinical research. Projects directly provide or arrange for a range of medical social, psychosocial and family support services. Features unique to each project demonstrate collectively a variety of strategies to meet the critical needs of HIV infected women, infants, children, and youth. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the program guidance materials provided with application kits. Contact the HRSA Grant Application Center for details.

**93.155 RURAL HEALTH RESEARCH CENTERS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**OBJECTIVES:**

To support the operation of rural health research centers, research dissemination, rural policy analysis, rapid response to quick data turn around requests, and rural health best practices to provide an information base, research dissemination, and policy analysis capability on the full range of rural health services issues, including financing, recruitment and retention of health professionals, access to care, health disparities and rural delivery systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**Applicant Eligibility:**

All public and private entities, nonprofit and for-profit, including faith-based and community-based organizations, and Federally recognized tribes and/or tribal organizations, are eligible to apply. Please see individual grant guidances at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

**Beneficiary Eligibility:**

The entities that will benefit from this program are health care personnel, health research personnel, and the general public.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under these CFDA programs for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Research center awards may be made for up to 4-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance. One-year research grants are only available for one year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Awards are normally made in a lump sum for the entire budget period. Payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Notification is made in writing by a Notice of Grant Award.

**Reports:**

Annual Report. No cash reports are required. FSR. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$4,208,000; FY 09 est \$4,740,000; FY 10 est \$4,740,000

**Range and Average of Financial Assistance:**

For Research Centers: (FY 09 \$600,000 to \$700,000 range and average is \$650,000 and for FY10 \$600,000 to \$700,000 range and average is \$650,000. For Research Dissemination FY 09 \$100,000 to \$140,000 range and average is \$120,000 and for FY10 \$100,000 to \$140,000 range and average is \$120,000. For Rural Policy Analysis FY09 \$225,000 and for FY10 \$225,000. For rapid response to quick data turn around requests FY09 \$350,000 and for FY10 \$350,000.

For rural health best practices FY09 \$1,800,000 and for FY10 \$1,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In FY 09 seven non-competitive research center grants and one competitive Research Dissemination, Rural Policy Analysis, Rapid Response, and Rural Health Best Practices grant were each awarded. Fiscal Year 2010: It is anticipated that in FY 10 and FY 11 there will be seven Research Center awards and one Research Dissemination award Rural Policy Analysis, Rapid Response, and Rural Health Best Practices grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Joan Van Nostrand, D.P.A. for Rural Health Research Center grants and Research Dissemination grant, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Program Contact: Michelle Goodman for Rural Policy Analysis awards, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Program Contact: Carrie Cochran for Rapid Response awards, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Program Contact: Karen Beckham for Rural Health Best Practices, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 08 the research centers focused on rural health services as they relate to the following topic areas: Uninsured and Under-insured Populations, Health Workforce, Childrens Health Insurance, , Mental, Health, and Quality in Rural Hospitals. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria is listed in the application guidance.

**93.156 GERIATRIC TRAINING FOR PHYSICIANS, DENTISTS AND BEHAVIORAL/MENTAL HEALTH PROFESSIONALS**

(Geriatric Fellowships)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII of the Public Health Service (PHS) Act, as amended by the Health Professions Education Partnerships Act of 1998, P.L. 105-392, Section 753(b).

**OBJECTIVES:**

Grants are given for faculty training projects in geriatric medicine, dentistry, and behavioral or mental health. The purpose of this grant program is to provide support, including fellowships, for geriatric training projects to train physicians, dentists and behavioral or mental health professionals who plan to teach geriatric medicine, geriatric dentistry or geriatric behavioral or mental health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A grant may be made to meet the cost of a project which will propose: (1) a 1-year retraining program in geriatrics for: (a) physicians who are faculty in departments of internal medicine, family medicine (including osteopathic general practice), gynecology, geriatrics, and behavioral or mental health at schools of medicine and osteopathic medicine; (b) dentists who are faculty members at schools of dentistry or at hospital departments or dentistry; and (c) behavioral or mental health professionals who are faculty members in departments of behavioral or mental health; and/or (2) a 2-year internal medicine or family medicine fellowship program providing emphasis in geriatrics which shall be designed to provide training in clinical geriatrics and geriatrics research for: (a) physicians who have completed graduate medical education programs in internal medicine, family medicine (including osteopathic general practice), behavioral or mental health, neurology, gynecology, or rehabilitation medicine; (b) dentists who have demonstrated a commitment to an academic career and who have completed postdoctoral dental training, including postdoctoral dental education programs or who have relevant advanced training or experience; and (c) behavioral or mental health professionals who have completed graduate medical education programs in behavioral or mental health. Each project for which a grant is made must: (1) be staffed by full-time teaching physicians who have experience or training in geriatric medicine or geriatric behavioral or mental health; (2) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching dentists who have experience or training in geriatric dentistry; (3) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching behavioral or mental health professionals who have experience or training in geriatric behavioral or mental health; (4) be based in a graduate medical education program in internal medicine or family medicine or in a department of geriatrics or behavioral or mental health; (5) provide training in geriatrics and are exposed to the physical and mental disabilities of elderly individuals through a variety of service rotations, such as geriatric consultation services, acute care services, dental services, geriatric behavioral or mental health units, day and home care programs, rehabilitation services, extended care facilities, geriatric ambulatory care and comprehensive evaluation units, and community care programs for elderly mentally retarded individuals, and (6) provide training in geriatrics through one or both of the two training options.

**Applicant Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Beneficiary Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget year of the approved project.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 5 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Uniform Progress Report must be submitted annually. No cash reports are required. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date

they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$6,870,000; FY 09 est \$7,152,000; FY 10 est \$9,000,000

**Range and Average of Financial Assistance:**

\$400,000 to \$600,000 per year, depending on the number of fellows participating in the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08 a total of \$6.7 million was awarded to 11 grantees. Fiscal Year 2009: In FY 09 a total of 6.9 million was awarded to 11 total grants. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Senior Program Management Consultant or Marcia Starbecker, Chief, Geriatrics & Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-3353; 301-443-6867.

**Headquarters Office:**

Young Song 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-3353

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All projects are funded to meet the objectives as stated above. The Geriatric Training for Physicians, Dentists and Behavioral and Mental Health Professions Program was authorized in 1998 to address the health care needs of the aging population. The grants support fellowships and other training efforts that assist physicians, dentists, and behavioral and mental health professionals who teach or plan to teach geriatric medicine, geriatric dentistry, or geriatric behavioral and mental health. The program enables health professionals who plan to teach geriatrics to care for elderly people at different levels of wellness and functioning and from a range of socioeconomic and racial and ethnic backgrounds by offering service rotations, such as geriatric consultation, acute care, dental care, psychiatry, day and home care, rehabilitation, extended care, ambulatory care and community care for older people with mental retardation. Funded programs emphasize the principles of primary care as demonstrated through continuity, ambulatory, preventive, and psychosocial aspects of the practice of geriatric medicine, geriatric dentistry, and geriatric behavioral and mental health. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by peer reviewers to determine the extent to which the applicant documents the following criteria: 1. Need (Maximum Value = 5 points): Evaluation of the described need for the proposed project including: (a) the need for the project in the geographic area to be served; (b) the national and/or local need for the proposed project and the gaps the project is intended to fill; (c) the relationship of the specific objectives of the project to the potential of the project to meet the statutory purposes of the grant program;

(d) how the applicants plan for carrying out the project is consistent with at least one Federal, State or regional plan to assure a competent healthcare workforce; and (e) the degree to which the proposed project adequately addresses the purpose of the Geriatric Training for Physicians, Dentists and Behavioral and Mental Health Professions Program; 2. Response (Maximum Value = 20 points) Evaluation of both objectives for the overall program and objectives which specify what the fellows and trainees will be able to do when the training program is completed. Description of how the objectives for the proposed project support BHP's National Goals (see section on Administrative and National Policy Requirements for description). Description of how the objectives for the proposed project support HRSA's Cultural and Linguistic Competence Related Objectives. The extent to which the approaches and activities described are likely to meet the goals of the training program. Evaluation of the following:

- o how, when, where, and by whom project activities will be conducted
- o linkages with relevant educational and health care entities
- o how well the proposed project relates to the intent and focus of this program and program guidelines.
- o how the project improves the applicants present situation in terms of geriatric training; 3. Evaluative Measures (Maximum Value = 10 points): Evaluation of the potential effectiveness of the evaluation strategy to measure the project objectives and proposed performance standards. Description of the data to be collected, the methods of data collection, and the manner in which data will be analyzed and reported; 4. Impact (Maximum Value = 45 points): Curriculum/Proposed Training (Maximum Value = 30 points): Evaluation of the quality of the training components including clinical, research, administrative, and teaching skill components. The skills and competencies that trainees and/or fellows will gain by participating in this program; Recruitment Plan (Maximum Value = 15 points): The potential effectiveness of the plan to recruit fellows and trainees from the disciplines and in the numbers proposed in the project.; 5. Resources/Capabilities (Maximum Value = 15 points): Evaluation of the proposed administrative structure, governance, relationships of the participants, and resources available to conduct the proposed project, including:
- o the administrative and organizational relationships among the academic institution(s), the health care facility(ies), and providers.
- o documentation of relevant affiliation agreements and efforts to foster communication and commitment.
- o project faculty and staff and their qualifications and responsibilities; and
- o training sites to be used and patients served; 6. Support Requested (Maximum Value = 5 points): The fiscal plan (budget) for assuring effective use of grant funds including resources to carry out the project and a plan for self-sufficiency.

**93.157 CENTERS OF EXCELLENCE**

(COEs)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 736, 42 U.S.C. 293, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The goal of this program is to assist eligible schools in supporting programs of excellence in health professions education for under-represented minority individuals. The grantee is required to use the funds awarded: (1) to develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) to establish, strengthen, or expand programs to enhance the academic performance of under-represented minority students attending the school; (3) to improve the capacity of such school to train, recruit, and retain under-represented minority faculty including the payment of stipends and fellowships; (4) to carry out activities to improve the information resources, clinical education, curricula and cultural competence, to facilitate the entry of under-represented minority students into health or allied health professions schools; (5) to facilitate faculty and student research on health issues particularly affecting under-represented



minority groups, including research on issues relating to the delivery of health care; (6) to carry out a program to train students of the school in providing health services to a significant number of under-represented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) to provide stipends as appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used by health professions schools to: (1) Establish, strengthen, or expand programs to enhance the academic performance of minority students attending the school; (2) establish, strengthen or expand programs to increase the number and quality of minority applicants to the school; (3) improve the capacity of the school to train, recruit, and retain minority faculty; (4) with respect to minority health issues, to carry out activities to improve the information resources and curricula of the school and clinical education at the school; and (5) facilitate faculty and student research on health issues particularly affecting minority groups.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of allopathic medicine; osteopathic medicine; dentistry; pharmacy; graduate programs in behavioral or mental health; or other public and nonprofit health or educational entities. Historically Black Colleges and Universities (HBCUs), as described in Section 736(c)(2)(A) of the Public Service Act, and which received a contract under Section 788B of the Public Health Service Act (Advanced Financial Distress Assistance) for fiscal year 1987, may apply for Centers of Excellence (COE) grants under Section 736 of the Public Health Service Act. The four designated schools are: Meharry School of Dentistry; Meharry School of Medicine; Tuskegee School of Veterinary Medicine; and Xavier School of Pharmacy.

**Beneficiary Eligibility:**

Certain HBCUs and eligible health professions schools must train a significant number of under-represented minority students in medicine, dentistry, and pharmacy; faculty recruitment, training and retention; and faculty and student research activities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Notification is made in writing by a Notice of Grant Award.

**Reports:**

A uniform progress report will not be submitted with the competing application for FY 09. No cash reports are required. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$12,036,127; FY 09 est \$20,602,000; FY 10 est \$24,602,000

**Range and Average of Financial Assistance:**

\$2,188,610 to \$4,250,322; \$3,009,032.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 4 continuation awards were made. Fiscal Year 2009: In FY2009, an estimated 10 competing applications will receive COE program awards. Fiscal Year 2010: In FY 2010, an estimated 10 non-compete awards plus 1-4 new awards will be made, totaling 11 to 14 funded COE programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Sara Rue, Project Officer, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Program information and assistance may be obtained by calling (301) 443-3043.

**Headquarters Office:**

Sara Rue 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 443-3043

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded proposed a range of activities for under-represented targeted minority individuals, including high school students; undergraduate college pre-professional (medicine, dentistry and pharmacy) students; enrolled professional students and faculty. COEs support structured and unstructured summer and academic year activities to address the seven legislative purposes. Activities include summer academic enrichment programs for undergraduate college students; professional school admissions process preparation sessions (MCAT/DAT review, etc.); retention services for enrolled professional students (i.e., summer pre-matriculation programs, tutorials, personal and career counseling; clinical educational experiences; recruitment/retention of basic science and clinical faculty; student/faculty research experiences; medical school curriculum development; increased library holdings relative to minority health issues; and purchase of computer and other equipment (to retain faculty and improve professional student performance, etc.). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project proposals are evaluated on the basis of: (1) The degree to which the applicant arrange to continue the proposed project beyond the federally-funded project period; (2) the degree to which the proposed project meets all purposes stated in the legislative authorization; (3) the relationships of the objectives of the proposed project and the goals that are developed; (4) the administrative and managerial ability of the applicant to carry out the project in a cost-effective manner; (5) the adequacy of the staff and faculty to carry out the program; (6) the soundness of the budget for assuring effective utilization of grant funds and the proportion of total program funds which come from nonfederal sources and the degree to which they are projected to increase over the grant period; (7) the number of individuals who can be expected to benefit from the project; (8) the technical merit of the project; and (9) the overall impact the project will have on strengthening the schools' capacity to train the targeted minority health professionals and increase the supply of minority health professionals available to serve minority populations in underserved areas.

**93.161 HEALTH PROGRAM FOR TOXIC SUBSTANCES AND DISEASE REGISTRY****FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499, as amended; 42 U.S.C. 9604(i); Resource Conservation and Recovery Act, as amended; Public Law 98-616, 42 U.S.C. 6939a., 42 U.S.C 9604(i).

**OBJECTIVES:**

To work closely with State, local, and other Federal agencies to reduce or eliminate illness, disability, and death resulting from exposure of the public and workers to toxic substances at spill and waste disposal sites.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To strengthen State and local environmental health programs. Services may include: (1) Health assessments; (2) health effects studies; (3) exposure and disease registries; (4) technical assistance; (5) consultation; (6) dissemination of technical information; (7) provision of specialized services and assistance, including responses to public health emergencies; (8) training State and other health professionals in broad areas related to environmental health; and (9) research of chemical toxicity.

**Applicant Eligibility:**

States or political subdivisions thereof, to include the District of Columbia,

American Samoa, Guam, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Virgin Islands, the Federated States of Marshall Island, the Republic of Palau, National organizations, Federally-recognized Indian tribal governments, public and private non-profit universities and colleges.

**Beneficiary Eligibility:**

The general public and particularly individuals and families who reside around or near hazardous waste sites.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. For-profit organization's costs will be determined in accordance with the Federal Acquisition Regulation, 48 CFR, Chapter I, Subpart 31.2, "Cost Principles for Contracts and Commercial Organizations.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications may be obtained from the Grants Management Officer, Acquisition and Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the provisions of OMB Circular No. A-110. By formal agreement, the CDC Grants Management Branch acts on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget period. Renewals or continuation awards, with the project period are made on the basis of satisfactory progress and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

It is anticipated that awards will be for a 12-month budget period with a proposed project period ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for details. Cash reports are not applicable. See Funding Opportunity for details. See Funding Opportunity for details. See Funding Opportunity for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 08 \$7,482,096; FY 09 est \$8,045,550; FY 10 est \$6,715,550

**Range and Average of Financial Assistance:**

Average range: \$130,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Toxicological profiles, Federal regulations for interim procedures to petition for Public Health Assessments published in August 18, 1992 issue of the 42 CFR 90, Health Assessments and Health Effects Studies of Hazardous Substances Releases and Facilities; Final Rule; Published in February 13, 1990, issue of the Status of Health Research Report; Case studies in environmental medicine; and ATSDR Annual Report. PHS Policy Statement No. (OASH) 94- 50,000, (Rev.) April 1, 1994 is available. Section 106 and subsection 118(e) of the Great Lakes Critical Programs Act of 1990 33 U.S.C. 1268(e).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: 7704880572

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relevance of the proposal to the objective of this program. (2) Demonstrated experience in evaluating human health effects from exposures to hazardous substances in the environment through multimedia exposure pathways. (3) Training and experience of staff to be assigned to and/or hired for the project. (4) Suitability of facilities and equipment available or to be purchased for the project. (5) Appropriateness of the requested budget relative to the work proposed. (6) Capability of the applicant and its consultants to carry out the tasks involved in the project. (7) Soundness and innovation of the proposed approach to the range of activities presented in the project. (8) Capability of the applicant's administrative structure to foster successful scientific and administrative management of the program or study as described in the application. (9) Adequacy of the proposed time frame for completion of programs or studies.

**93.162 NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT PROGRAM**

(NHSC Loan Repayment Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 338B, 42 U.S.C. 2541-1), as amended; Health Care Safety Net Amendments of 2002,, Title II, Public Law 107-251.

**OBJECTIVES:**

The National Health Service Corp (NHSC) Loan Repayment Programs objective is to increase the supply of primary care physicians, dentists, dental hygienist, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located health professional shortage areas identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Awards provide payments of up to \$35,000 a year towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. For a 3rd and 4th subsequent year, payments of up to \$35,000 a year may be made available under a written agreement, for a 5th subsequent year payments of up to \$25,000 a year may be made available under a written agreement, for a 6th subsequent year payments of up to \$20,000 a year may be available under a written agreement, and for a 7th subsequent year and beyond, payments of up to \$15,000 may be available under a written agreement. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not defaulted on any Federal debt or do not have a court judgment against them; and (4) no existing service obligation.

**Beneficiary Eligibility:**

Primary care, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

**Award Procedure:**

NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will

be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Contract amendments will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Payments to recipients account through the PSC.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$59,647,676; FY 09 est \$72,878,669; FY 10 est \$110,329,200

**Range and Average of Financial Assistance:**

New awards range from \$5,000 to \$50,000, with an average award being \$45,761.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 08 1,535 were made. Fiscal Year 2009: In FY 09, approximately 1,600 awards are expected to be made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Chief, National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Division of Applications and Awards, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.303 Nursing Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing

Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: During FY 08, the program awarded a total of 1,535 contracts to eligible clinicians with health professions degrees or licenses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants who are individuals whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC.

**93.164 INDIAN HEALTH SERVICE EDUCATIONAL LOAN REPAYMENT**

(IHS Loan Repayment Program)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 108, Public Law 100-713.

**OBJECTIVES:**

To insure that the Indian Health Service (IHS) has an adequate supply of trained health professionals for Indian health program facilities by providing for the repayment of educational loans for participants who agree (by written contract) to serve an applicable period of time at a facility IHS has designated as a loan repayment priority site or in a designated specialty at a site with an appropriate position.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program will provide repayment of loans incurred for health professions educational expenses in exchange for service in a designated loan repayment priority site. Recipients must agree by written contract to serve an applicable period of time in such a site; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability.

**Applicant Eligibility:**

Eligible individuals must be enrolled: (1) In a course of study or program in an accredited institution, as determined by the Secretary, within any State and be scheduled to complete such course of study in the same year such as individual applies to participate in such program; (2) in an approved graduate training program in a health profession; (3) have a degree in health profession and a license to practice a health profession; (4) be eligible for, or hold, an appointment as a commissioned officer in the Regular or Reserve Corps of the Public Health Service (PHS); (5) be eligible for selection for civilian service in the Regular or Reserve Corps of the PHS; (6) meet the professional standards for civil service employment in the IHS; (7) be employed with an Indian health program funded under Public Law 93-638, Indian Self-Determination, Title V of Public Law 94-437 and its amendments or the Buy Indian Act (25 U.S.C. 47); (8) submit an application to participate in the IHS Loan Repayment Program; and (9) sign and submit to the Secretary for Health and Human Services at the time of such application, a written contract agreeing to accept loan repayment of health professions educational loans and to serve for an applicable period of service at loan repayment priority site as determined by the Secretary. The term "State" is defined in Section 331 (i)(4) of the PHS Act.

**Beneficiary Eligibility:**

Health professionals who have Government (Federal, State, local) and commercial unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) A transcript showing final year of study and full-time status; (2) a copy of a health professions degree; (3) a copy of health professions license; (4) a copy of

transcript showing completion of graduate education; and (5) a copy of all loan documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should request an application package, complete the required information, and return it to the Indian Health Service (IHS) Headquarters for review. (See Headquarters Office section below for address.) Once a completed application packet is received, it will be reviewed and the determination of award recipients will be made based upon merit. Award will be made on award dates published in the Federal Register.

**Award Procedure:**

Upon determination of who will receive an award, that individual will be notified in writing by the program. The individual will in turn notify the program in writing of his/her acceptance. Awards will be contingent upon the score that an eligible Loan Repayment Program site receives and score is applied to the individual matched to that site. Upon arriving at his/her duty station, participant must submit proof of employment to the IHS Loan Repayment Program Office. Individuals can be matched to an IHS tribal, urban, or buy Indian site by an IHS area recruiter or the equivalent. Applicants needing to match to an IHS priority site should work with an IHS recruiter in the service area of their choice. When an award occurs, the Secretary will sign the contract and the individual will receive final notification of their award and a copy of their signed contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

Not Applicable.

**Renewals:**

If a program recipient satisfactorily completes his/her initial service and continues to have remaining eligible debt, he/she may extend his/her contract on a single-year basis, provided that funds are available and the participant continues to meet the eligibility requirements of the program. A recipient wishing to extend his/her contract must submit a formal request for extension and sign a new 1-year contract.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments will be made to the individuals of the program on an annual basis. See the following for information on how assistance is awarded/released: Payments will be made to the individuals of the program on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. Program participants must be certified annually as performing at an eligible site in an eligible full-time position.

**Audits:**

No audits are required for this program.

**Records:**

The IHS will maintain records of applicants and participants for 3 years after information of expenditure reports are completed.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Grants) FY 08 \$16,923,500; FY 09 \$16,923,500; and FY 10 est \$16,923,500.

**Range and Average of Financial Assistance:**

\$3,000 to \$48,000 for a 2-year obligation; \$43,315.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorization is contained in Public Law 100-713, as amended by Public Law 102-573; Indian Health Service Educational Loan Repayment Program Information Bulletin; Notice of Availability of Funds.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for IHS Area Offices.

Program Contact: Ms. Jackie Sanitago, Chief, Loan Repayment Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-3396. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Physicians, nurses, mental health, and other health professionals who have agreed to provide full-time clinical services at an appropriate site for an applicable period of time (2 years) in return for repayment of their health profession education loans. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The IHS defined "Health Profession" to mean family medicine, internal medicine, pediatrics, geriatric medicine, obstetrics and gynecology, podiatric medicine, nursing, public health nursing, dentistry, psychiatry, osteopathy, optometry, pharmacy, psychology, public health, social work, marriage and family therapy, chiropractic medicine, environmental health and engineering, and allied professions. Other factors that will be employed to determine which applicant is selected for awards include: (a) An applicant's length of current employment in the IHS, tribal or urban program; (b) availability for service earlier than other applicants (first come, first served); and (c) date the completed application was received.

**93.165 GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM**

(State Loan Repayment Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 3381, 42 U.S.C. 254 q-1.

**OBJECTIVES:**

To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

State programs are to be similar to 93.162, the National Health Service Corps Loan Repayment Program. Similar provisions include: (1) Applicants for State programs must have completed a course of study required to practice as one of the following health care professionals: allopathic or osteopathic physician, dentist, nurse midwife, nurse practitioner, physician assistant, clinical psychologist, clinical social worker, psychiatric nurse specialist, marriage and family therapist, licensed professional counselor or dental hygienist; and (2) participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area. The Federal share of the support for State programs cannot exceed 50 percent of the contract costs. The State's 50 percent share must be spent for repayment of loans and the State must absorb program administrative costs.

### Applicant Eligibility:

The term "State" means each of the fifty States. Any State is eligible to apply for a grant.

### Beneficiary Eligibility:

State governments will benefit by securing the services of health professionals for health professional shortage areas in States. This program will also benefit health professions practitioners whose loans would be repaid for service in HPSAs under the State Loan Repayment Program.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

### Award Procedure:

Notification is made in writing by a Notice of Grant Award.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 120 days.

### Appeals:

Not Applicable.

### Renewals:

Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a competitive process each year.

### Formula and Matching Requirements:

This program has no statutory formula. Matching Requirements: Percent: 50%. The Federal share of any program may not exceed 50 percent of the cost of loan repayment contracts made to eligible providers. The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service

Act. Other Federal funds cannot be used for the non-federal cost participation. No portion of the Federal share shall be used to pay for administrative or management costs of any State Loan Repayment Program. The non-federal share is to be issued for the repayment of loans. States must assume administrative costs.

This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

A grant award is for 1 year. Applicants may propose a project period of up to 3 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

### Reports:

Recipient States must submit a biannual Uniform Progress Report. No cash reports are required. Recipient States must submit a final progress report along with an annual financial report in the format approved under OMB Circular No. 0915-0004. No expenditure reports are required. No performance monitoring is required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

### Account Identification:

75-0350-0-1-550.

### Obligations:

(Project Grants) FY 08 \$6,947,125; FY 09 est \$10,000,000; FY 10 est \$7,000,000

### Range and Average of Financial Assistance:

(FY 2009) \$38,986,000 to \$1,000,000; \$289,464 average.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: In FY 08, 24 competing awards were made. Fiscal Year 2009: It is expected that approximately 24 continuing awards will be made in FY09. Fiscal Year 2010: A new competition is planned for FY 2010.

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

See Regional Agency Offices. Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

### Headquarters Office:

Elsie Quinones 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-5244

### Website Address:

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number and type of providers the State proposes to support through this program; (d) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

**93.172 HUMAN GENOME RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 461 and 487, as amended; Public Laws 78-410 and 99-158, 42 U.S.C. 241, as amended; 42 U.S.C. 285k; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To obtain genetic maps, physical maps, and determine the deoxyribonucleic acid (DNA) sequences of the genomes of humans and model organisms to be used as resources in biomedical research, medicine, and biotechnology. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds may be used for salaries and wages, equipment, supplies, travel and other costs required to carry out the research project. National Research Service Awards are made directly to individuals for research training in disciplines supporting the research areas. In addition, grants may be made to institutions to enable them to select individuals for National Research Service Awards. Each individual who receives a National Research Service Award is responsible for certain service and payback provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health (NIH), 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax (301) 480-0525. E-mail: asknih.od.nih.gov. Small Business Innovation Research (SBIR) Program: SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Research Projects: Awards can be made to any public or private, for-profit or nonprofit university, college, hospital, laboratory, or other institution, including State and local units of government, qualifying small businesses (through the Small Business Innovation Research/STTR Programs, and to individuals. To be eligible for funding, a proposal must be approved for scientific merit and program relevance by a scientific review committee and a national advisory council. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its territories. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Nonfederal public and private domestic organizations may apply for an Institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Predoctoral awardees must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.O., D.V.M., Sc.D., E.Eng., or equivalent domestic or foreign degree). Applicants to the Small Business Innovation Research/STTR Programs must meet special requirements for small businesses, as defined by the Small Business Administration.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for a research project must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. Use grant application form PHS-398 (Rev. May 1995) provided by, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, Bethesda, MD 20892. For applicants for National Research Service Awards, the academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. The applicant institution must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for the award, and a detailed budget and justification for the grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR 74 Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and 6246-2 are used to apply for Phase I and Phase II awards, respectively, or SBIR and STTR programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and information concerning the area of science being supported may be obtained from the Division of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910, Telephone (301) 435-0714, e-mail: [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov). Complete the application and return it to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892 for assessment by a scientific review committee. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", as appropriate. The SBIR and STTR Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH "Small business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone (301) 206-9385; fax: (301) 206-9722; e-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. Completed SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by the National Advisory Council for Human Genome Research (NACHGR). (Individual NRSA applications are not reviewed by council.) All approved applications compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (100) to worst (500) compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit (which includes the potential of the proposed research for commercial application), program relevance, and

program balance among the areas of research.

**Deadlines:**

Feb 01, 2009: This is the first of three deadlines that occur annually for new research projects. The other two dates are June 1, 2009 and October 1, 2009. New Research Projects: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSA: April 5, August 5, and December 10. Institutional NRSA: January 10, May 10, and September 10. SBIR/STTR Applications: April 1, August 1, and December 1. SIP: Contact Headquarters Office.

**Range of Approval/Disapproval Time:**

Project Grants: About 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Renewal grants are competitively awarded.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All awards are made for at least 1 year. Additional support may be available for up to 4 more years depending upon the recommendations of the scientific review group, the National Advisory Council for Human Genome Research, successful annual performance, and availability of funds. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. Cash reports are not applicable. Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0891-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$367,716,000; FY 09 est \$360,005,000; FY 10 est \$365,042,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs



brochure and other miscellaneous program literature are available from Headquarters Office. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anna J. Rossoshek, 5635 Fishers Lane, Suite 4076  
, Bethesda, Maryland 20892 Email: rossosheka@mail.nih.gov Phone: (301) 451-8323

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Near Term Development of Reagents and Enzymes for Genome Sequencing, (2) Genomic Analysis of Network Perturbations in Human Disease, (3) Development of RIP-Chip methods and tiled arrays to identify functional elements, (4) Presenting Diagnostic Results from Large-Scale Clinical Mutation Testing, (5) Decoding Gene Expression Control Using Conditional Clustering by Dynamics, (6) Large Scale Sequencing and Analysis of Genomes. Fiscal Year 2009: (1) Structural Annotation of the human Genome, (2) High molecular weight DNA purification instrument for metagenomics, (3) Statistical Methods for the Analysis of ChIP-chip Data (4) Continuous Sequencing-By-Synthesis Based on a Digital Microfluidic Platform (5) Natural genetic variation in the human genome (6) Population Genetic Inferences from Dense Genotype Data. Fiscal Year 2010: (1) Comprehensive characterization of the Drosophila transcriptome, (2) Genomes and Genetics at the BCM-HGSC, (3) Statistical Software for Genetic Association Studies, (4) Genetic Epidemiology of Causal Variants Across the Life Course, (5) Hybrid Nanochannel Arrays for Single Molecule Linear Genome Analysis, (6) Developing Proteogenomic Mapping for Human Genome Annotation.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; and (5) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget request for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.173 RESEARCH RELATED TO DEAFNESS AND**

**COMMUNICATION DISORDERS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 464 A-F, and 487, as amended; 42 U.S.C. 241, 285m, 285m-3, and 288; Public Law 100-553; 102 Stat. 2769; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To investigate solutions to problems directly relevant to individuals with deafness or disorders of human communication in the areas of hearing, balance, smell, taste, voice, speech, and language. The National Institute on Deafness and Other Communication Disorders (NIDCD) supports research including investigation into the etiology, pathology, detection, treatment, and prevention of disorders of hearing and other communication processes, primarily through the support of basic and applied research in anatomy, audiology, biochemistry, bioengineering, epidemiology, genetics, immunology, microbiology, molecular biology, the neurosciences, otolaryngology, psychology, pharmacology, physiology, psychophysics, speech-language pathology, and other scientific disciplines. The NIDCD supports: (1) Research into the evaluation of techniques and devices used in diagnosis, treatment, rehabilitation, and prevention of disorders of hearing and other communication processes; (2) research into prevention and early detection and diagnosis of hearing loss and speech, voice, and language disturbances and research into preventing the effects of such disorders on language and learning by means of appropriate referral and rehabilitation; (3) research into the detection, treatment, and prevention of disorders of hearing and other communication processes in the elderly population and its rehabilitation to ensure continued effective communication skills; and (4) research to expand knowledge of the effects of environmental agents that influence hearing or other communication processes. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project Grants and Centers Grants may be used to provide salaries, equipment, supplies, travel, and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. Some National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical and behavioral research areas. Other training grants are made to institutions to enable them to make NRSAs to individuals selected by them. Each postdoctoral individual who receives an NRSA may be obligated, upon termination of the award, to comply with certain service and payback provisions. Mentored and unmentored career development awards are made to enhance the independent research capability of highly promising individuals during the formative stages of their careers. Small Business Innovation Research (SBIR) Program: Phase I grants (of approximately 6 months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research efforts initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grant (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility

of the proposed cooperative effort. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document.

#### **Applicant Eligibility:**

Project Grants and Centers Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for institutional National Research Service Awards. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research and/or research training environment and for significance of the problem. Approved proposals compete for available funds. Awardees of almost all Research Career Development Programs must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or Territories. To be eligible, postdoctoral NRSA trainees and fellows must have a professional or scientific doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, physicians, and other health and allied health professionals.

#### **Credentials/Documentation:**

Project Grants are awarded to an institution in the name of an individual investigator. Centers Grants are also awarded to an institution in the name of an investigator designated as the Program Director. Persons qualified to carry out research related to the NIDCD grant programs described above may apply for funds through their institution to support their investigations. Research career development must be conducted under the direction of a competent sponsor. A candidate for a Career Award must have an earned M.D., Ph.D. or equivalent degree and have had prior research experience. National Research Service Awards: (1) Individual NRSA Fellowship Awards for predoctoral and postdoctoral training: The candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, design and resources for the research training program; the qualifications and experience of directing staff and training preceptors; the criteria to be used in selecting individuals for stipend support; and a detailed, justified budget for the numbers and type of trainee positions requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF 424 (R&R) is used to apply for SBIR Phase I and Phase II. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number can be obtained by calling (866) 705-5711 or through the web site at: <http://www.dunandbradstreet.com>. The NIH is converting to SF424 (R&R) Research and Related forms and electronic submission through Grants.gov for the submission of all grant applications. Visit <http://era.nih.gov/ElectronicReceipt> for information and updates on this new process and [www.nidcd.nih.gov/funding/foa](http://www.nidcd.nih.gov/funding/foa) to identify funding opportunity announcements relevant to NIDCD. Research Fellowships: Prior to formal application, a candidate must be accepted at an institution as a doctoral student or postdoctoral fellow and have a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas being supported under the Research Fellowship Award Program should be obtained from the Office of Research Manpower, National Institutes of Health, Bethesda, MD 20892. Application forms for Individual or Institutional NRSA's and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, and should be submitted to the same address. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page <http://www.nih.gov/grants/funding/sbir.htm>. For further assistance in all above areas, contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

#### **Award Procedure:**

Research grant, career development, and research training program applications are reviewed initially by technical panels composed of scientific authorities, and by the National Deafness and Other Communication Disorders Advisory Council composed of 18 leaders in medicine, science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Centers Grants: Approximately 6 to 9 months. Career Program: From 6 to 9 months. SBIR/STTR applications: About 6 to 9 months. Institutional Training Grants: From 10 to 12 months. Individual Fellowships: From 4 to 6 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/not97-232.htm>. Final decisions on unresolved appeals are made with the advice of the National Deafness and Other Communication Disorders Advisory Council.

#### **Renewals:**

> 180 Days. By application and review in the same manner as new applications. Research career awards are not renewable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Center Grant awards support may be for a period not to exceed 5 years. Career development awards provide support for up to 5 years. NRSA fellowship and traineeship awards are usually for a 12-month period, with recommendation of additional support of no more than 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: After the progress report is evaluated and deemed satisfactory, a notice of grant award for each grant is issued annually.

**Reports:**

Program reports are not applicable. The grantee organization submits quarterly cash 272 reports. A progress report is required yearly for each grant. A financial status report is due either annually or at the end of the project period, depending upon the type of grant. Performance monitoring is covered in the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0890-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$395,515,000; FY 09 est \$407,259,000; FY 10 est \$413,026,000

**Range and Average of Financial Assistance:**

\$75,000 to \$1,790,000; \$328,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For fiscal year 2008, 1,722 applications were submitted and 1,103 were funded. Fiscal Year 2009: For fiscal year 2009, an estimated 1,750 applications are expected to be submitted and an estimated 1,078 are expected to be funded. Fiscal Year 2010: For fiscal year 2010, an estimated 1,785 applications are expected to be submitted and an estimated 1,063 are expected to be funded. The Institute now supports a wide variety of basic and applied research studies concerning balance control, hearing, the senses of smell and taste, as well as speech, voice, and language. Encouraging progress has been made in each of these areas and is expected to continue. Clinical topics under investigation include vertigo; mild, moderate and profound hearing impairment; the design and efficacy of hearing aids and cochlear implants; aphasia; specific language impairment; disorders of taste and smell; stuttering, and voice disorders.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants and Centers Grants: 42 CFR 52 or 52a; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement

Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debra S. Holmes 6120 Executive Boulevard  
EPS - Room 400C, Bethesda, Maryland 20892-7180 Email:  
holmesd@mail.nih.gov Phone: 3014968693 Fax: 3014026250

**Website Address:**

<http://www.nidcd.nih.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Spatial processing in auditory cortex; electrophysiology of olfactory discrimination; threshold determination with auditory brainstem response; molecular approaches for developmental and infectious aspects of hearing; outcomes in children with hearing loss; taste transduction; physiology of the vestibular system; objective assessment of vocal hyperfunction; developmental trends of early childhood stuttering; structure and acquisition of American Sign Language; treatment for adult aphasia; and characterization of Specific Language Impairment. Fiscal Year 2009: Spatial processing in auditory cortex; electrophysiology of olfactory discrimination; threshold determination with auditory brainstem response; molecular approaches for developmental and infectious aspects of hearing; outcomes in children with hearing loss; taste transduction; physiology of the vestibular system; objective assessment of vocal hyperfunction; developmental trends of early childhood stuttering; structure and acquisition of American Sign Language; treatment for adult aphasia; and characterization of Specific Language Impairment. Fiscal Year 2010: Spatial processing in auditory cortex; electrophysiology of olfactory discrimination; threshold determination with auditory brainstem response; molecular approaches for developmental and infectious aspects of hearing; outcomes in children with hearing loss; taste transduction; physiology of the vestibular system; objective assessment of vocal hyperfunction; developmental trends of early childhood stuttering; structure and acquisition of American Sign Language; treatment for adult aphasia; and characterization of Specific Language Impairment.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; (5) the necessity of budget components requested in relation to the proposed project; (6) the relevance and importance to announced program objectives; (7) innovation; (8) risk to human subjects, including inclusion of minorities and children, and animal protection. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or

minimizing any adverse effect on the environment.

### **93.178 NURSING WORKFORCE DIVERSITY**

(Disadvantaged Assistance)

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 821, 42 U.S.C. 296m, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

To increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, pre-entry preparation and retention activities. To support projects focused on creating registered nurses.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. Stipends are \$250 per month to eligible full-time project students. The maximum annual (12-month) amount for stipends is \$3000 per student. Scholarships are limited to a maximum of \$7,000 per student per year for upper division nursing students. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

#### **Applicant Eligibility:**

Eligible applicants are schools of nursing, health care facilities, or a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. Schools of nursing must be accredited by the National League for Nursing Accrediting Commission, Inc. (NLNAC), the Commission on Collegiate Nursing Education (CCNE) or one of the State Agencies deem appropriate by the U.S. Department of Education to be eligible applicants.

#### **Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the third year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

No program reports are required. No cash reports are required. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. A performance report must be submitted annually into the Bureau of Health Professions Performance Management System (BPMS).

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 08 \$15,210,512; FY 09 est \$15,189,108; FY 10 est \$14,689,000

#### **Range and Average of Financial Assistance:**

\$99,536 to \$564,103; \$337,536.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects have assisted nursing schools and other organizations to meet the costs of recruitment and retention of students from disadvantaged backgrounds and facilitated their completion of nursing education programs. In FY08, 41 non-competing continuations and 10 new awards were issued. Fiscal Year 2009: It is estimated that 33 non-competing continuations and 15 new awards will be issued in FY09. Fiscal Year 2010: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

See Regional Agency Offices. LCDR Aisha K. Mix, MPH, MSN, RN, CCM, Project Officer, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 8C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6193.

### Headquarters Office:

Aisha K. Mix 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857  
Phone: (301) 443-6193

### Website Address:

www.hrsa.gov .

## RELATED PROGRAMS:

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: The Nursing Workforce Diversity program supports projects focused on creating registered nurses. The program has three major purposes that applicants must address in their project: 1) retention activities (nursing students), 2) pre-entry preparation, and 3) student scholarships and/or stipends. Expected outcomes of these projects include increasing nursing education opportunities for individuals from disadvantaged backgrounds to improve the diversity of the nursing workforce, meet the increasing need for culturally sensitive and quality health care. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

## 93.184 DISABILITIES PREVENTION

(Disability and Health)

### FEDERAL AGENCY:

Centers for Disease Control and Prevention, Department of Health and Human Services

### AUTHORIZATION:

Public Health Service Act, Title 42, Part 241(a), Section Section 301(a) , Public Law USC-42 U.S.C. 247(b).

### OBJECTIVES:

To (1) Provide a national focus for the prevention of secondary conditions in persons within selected disability domains including mobility, personal care, communication, and learning; (2) build State capacity to coordinate program activities and assess the magnitude of disability in States; (3) employ epidemiological methods to set priorities and direct health promotion interventions for persons with disabilities; (4) conduct research projects to understand secondary conditions and measure the impact of the environment on the lives of persons with disabilities, and conduct studies on the effectiveness of interventions in targeted groups of persons with disabilities; (5) fund and support a national limb loss information center; (6) fund and support a national information center on physical activity for persons with disabilities; (7) fund and support a national paralysis and quality of life/health promotion information and resource center; (8) fund and support a national spina bifida information and resource center and (9) fund and support the Healthy Athletes screening program.

### TYPES OF ASSISTANCE:

Cooperative Agreements

## USES AND USE RESTRICTIONS:

CDC issued continuation awards in fiscal year 2009 for 16 State disability and health cooperative agreements. Continuation awards for research project grants were awarded in fiscal year 2009. CDC issued competitive awards to four information/resource centers to address the prevention of secondary conditions and health promotion for persons with disabilities. State capacity cooperative agreements: These awards are providing financial assistance to: 1) Establish and/or sustain State offices of disability and health to promote the visibility of preventing secondary conditions as a State public health priority, and serve as a technical assistance resource and statewide focus for the prevention of secondary conditions; 2) support an advisory function to coordinate and provide policy and program direction guidance in the State; 3) develop and/or implement a State strategic plan or policy instrument for health promotion for persons with disabilities; 4) establish and implement university partnerships to support and complement State project activities; 5) maintain and refine prescribed public health surveillance or survey activities for disability domains of mobility, personal care, communications, and learning in order to implement prevention efforts and program evaluation activities; 6) provide technical assistance to communities; and 7) promote education and health promotion programs for persons with disabilities, conduct training of health professionals, and facilitate access to services for persons with disabilities. Research project grants: Financial assistance under this program is being used to: 1) Implement and evaluate programs to identify and quantify preventable secondary conditions within disability domains which include physical, medical, cognitive, emotional, and/or psychosocial conditions and their prevention; 2) determine the risk and protective factors in specified populations of persons who have a disability; 3) measure the effectiveness and costs of preventive interventions; and 4) develop measurements of the environment that can facilitate or hinder access to participation for persons with a disability. National Limb Loss Information Center: Financial assistance has been awarded to operate a national clearinghouse to provide educational materials and self-help guidance to persons with limb loss and limb difference their families, and develop a peer visitation training initiative for the conduct of education and training sessions in hospitals, rehabilitation facilities, and support groups. The National Center on Physical Activity and Disability provides multiple sources of information and references on a vast array of inquiries on exercise, fitness and health promotion activities. Christopher and Dana Reeve Foundation: Financial assistance has been awarded to operate a national resource center for persons with paralysis, their families, and their caregivers. National Spina Bifida Information and Resource Center: Financial assistance has been awarded to expand local programs for those affected by spina bifida, seed research into spina bifida, and expand information resources. Special Olympics, Inc: Financial assistance has been awarded to conduct the Healthy Athletes program. In these cases, project funds may not be used to supplant State, local, or institutional funds available for these activities, or for construction costs, or to purchase facilities or space. Grantees may enter into contracts as necessary to help achieve the objectives of their respective programs.

### Applicant Eligibility:

Based on available funding for fiscal year 2008, CDC issued a continuation awards for 16 State projects. Eligibility for the programs in the future are State health departments or other official organizational authority (agency or instrumentality) of States, including the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States. Also, four national information centers on limb loss, physical activity, paralysis, and spina bifida were funded. Eligible applicants for competing applications in fiscal year 2008 included public and private nonprofit entities, including universities, university-affiliated systems, not-for-profit medical centers, research institutions and rehabilitation hospitals, disability service groups such as advocacy and voluntary organizations and independent living centers, and federally recognized Indian Tribal Governments. For the limb loss information center, the physical activity, paralysis and spina bifida resource center projects; new applications were solicited for these programs in FY 2008. New competitive applications were solicited from States in FY 2007.

### Beneficiary Eligibility:

In addition to the eligible applicants, other groups who will receive benefits from the program include persons with disabilities and family members of persons with disabilities, persons with limb loss, minority populations,

refugees, infants, children, youth, adults, senior citizens, women, all educational levels, all income levels, urban, suburban, and rural populations, health/rehabilitation professionals, scientists, educators, and researchers.

**Credentials/Documentation:**

State disability and health applicants documented in their fiscal year 2007 competitive applications the need for assistance, indicated the objectives of their projects, presented their approaches to meet set objectives, and outlined the method of operation. Current information centers requested continuation funding to meet original protocols and objectives. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized Indian Tribal Governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulation 45 CFR 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The guidelines will indicate whether or not an application is subject to Executive Order 12372. If the application is subject for review per State Executive Order 12372, please follow these instructions:

1. The SPOC should be contacted as early as possible to receive any necessary instructions on the State process. If the project serves more than one State, the department should contact the SPOC of each affected State.
2. The necessary information should be mailed to the SPOC.
3. Please provide a copy of the cover letter sent to the SPOC to Grants & Contracts along with the hard copy application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the Grants.gov web site, at the following Internet address: [www.grants.gov](http://www.grants.gov). Submit the final application using the [www.grants.gov](http://www.grants.gov) website. This program is subject to the provisions set forth in 45 CFR 92, for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

State disability and health cooperative agreement competitive awards are determined by an internal objective committee review process at CDC. Research project grant competitive awards are determined by an external peer review. At such times, awards will be based on evaluation criteria set forth in the respective Program Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC. Awards for State disability and health projects will be issued for expected project periods of 5 years. Future awards for Research project grants are not expected to be issued until fiscal year 2011 given the funding cycles for those projects. The Notices of Grant Award will indicate financial support for the first budget year, allocations of Federal funds by budget category, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Between 60 to 95 days from the deadline date for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

A new competition for State awards was conducted in February 2007. Competition for new or additional State projects will be based on future appropriations. The current research project grants will conclude their respective project periods during the period in September 2011. New Research

grants are expected to be announced in September 2011. The National Limb Loss Information Center, the National Center on Physical Activity and Disability, the National Paralysis Resource Center, and the National Spina Bifida Information and Resource Center received non-competing continuation funding in fiscal year 2008.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Sixteen State disability and health projects received financial assistance in fiscal year 2007 for five year project periods. The competitive research grants funded in fiscal year 2006 had three year project periods. Other future solicitations (when announced) will indicate the length of the project periods and program requirements for each of these programs. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Cash reports are not applicable. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$1,368,047; FY 09 est \$1,368,047; FY 10 est \$1,368,047 - State capacity projects: FY 07 \$4,606, 616; FY 08 \$5,209, 769; and FY 09 est \$5,029,769. Research Projects: FY 07 \$2,299, 620; FY 08 \$2, 2922, 260 and FY09 est \$2,922,620. National Limb Loss Information Center: FY 07 \$1,650,000, FY 08 \$1,650,000; and FY 09 est \$1,650,000. National Center on Physical Activity and Disability; FY 07 \$800,000; FY08, and FY 09 \$925,000; FY 07 \$5,500,00; FY 08 \$5,508,084 and FY 09 \$5,479, 271. National Spina Bifida Resource Center: FY 07 \$1,250,000; FY 08 \$1,250,000; and FY 09 \$1,250,000 and Special Olympics, FY 07 \$1,250,000; FY 08 \$1,250,000 and FY 09 \$1,250,000.

**Range and Average of Financial Assistance:**

The competitive awards using fiscal year 2008 funds for the 16 State capacity projects ranged from \$200,000 to \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2001, CDC supported 14 State projects, 12 research grants, and 3 national information centers as noted below. For fiscal

year 200, CDC is now funding 16 States under a 5 year project periods. These 16 States and the new research projects funded in fiscal year 2006 will emphasize the prevention of secondary conditions and health promotion for persons with disabilities and assessing environmental barriers and facilitators to access community programs and services for people with disabilities. The national limb loss information center, the national center on physical activity and disability, the national paralysis resource center, and the national spina bifida information and resource center are providing information and referral regarding these issues. The State projects are expanding program visibility and prominence by building their emphasis on disability and health. This is being accomplished through strategic plans addressing Healthy People 2010 objectives, advisory council and advocacy input, policy development, university and voluntary organization partnerships, data access and analysis, client preventive services and access to care, surveys for determining physical limitations among the population, professional and public education, and the inclusion of program evaluation measures. In fiscal year 2009, the currently funded National Limb Loss Information Center, National Center on Physical Activity and Disability, National Paralysis Resource Center, and the National Spina Bifida Information and Resource Center will continue expansion of their outreach and response capacity to directly support and refer identified needs of persons, providers, and organizations inquiring about these issues of concern. It is expected that all Research grants will be subject to re-competition in fiscal year 2011 based on the availability of funds. The number of such awards will be dependent on that appropriation process. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandee Coulberson 1600 Clifton Rd, Atlanta, Georgia 30333 Email: scoulberson@cdc.gov Phone: 404-498-3058

**Website Address:**

<http://www.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The majority of awards for State capacity projects in the past have been made to State health departments and universities with State collaboration to develop a statewide focus for the prevention of secondary disabilities and health promotion for persons with disabilities within a structured State office, to establish an advisory body to guide the development of planning and make recommendations to fill gaps in prevention, to establish and build partnerships with universities and advocacy/ voluntary organizations for public health surveillance and health promotion delivery programs for persons with disabilities, and to conduct surveillance and implement community projects in the targeted disability domains. Research grantees have accessed data and service programs to identify persons with disabilities, conducted surveillance, and implemented studies and interventions designed to prevent selected or a range of secondary conditions related to cost effectiveness, measurement of participation in the environment of persons with disabilities, women, minorities, and adolescents and older citizens with disabilities. Current Research grantees include universities and rehabilitation hospitals. The National Limb Loss Information Center has worked to build, expand, and utilize a national network for providing information, referral, and peer counseling programs for persons with limb loss. The National Center on Physical Activity and Disability is based at a major research university with key collaborating partners in rehabilitation, education, web site development and linkages, library capacity, and physical accessibility. The National Paralysis Resource Center is developing a comprehensive program to address a wide range of service and referral systems. The National Spina Bifida Information and Resource Center is developing and evaluating education materials and implementing a pilot program to support junior researchers with developing competitive research proposals. Special Olympics is conducting the Healthy Athletes program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

There was a recent competition for State awards in February 2007. New Research projects will be awarded in September 2011. In these cases, applications are reviewed based on evaluation criteria explicit in the respective Program Announcements. Applications must address demonstrated program need, the magnitude of the problem, the management work plan, collaborative associations, and the approach toward setting and meeting overall project objectives and time frames. These future competitive applications would also be evaluated on the capacity of the applicant to demonstrate effective collaborations with other agencies and data sources critical to preventing secondary conditions, identifying and addressing health promotion needs for persons with disabilities, denoting the capability of the project to address minority and low-income populations in the prevention of secondary conditions, promoting accessibility to all program services for persons with disabilities, and offering sound proposals toward development of surveys and surveillance for useful data bases within outlined targeted disability activities.

**93.185 IMMUNIZATION RESEARCH, DEMONSTRATION, PUBLIC INFORMATION AND EDUCATION\_TRAINING AND CLINICAL SKILLS IMPROVEMENT PROJECTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and private nonprofit entities to conduct research, demonstration projects, and provide public information on vaccine-preventable diseases and conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used for the costs associated with organizing and conducting these projects, and in certain circumstances, for purchasing vaccine. Requests for direct assistance (i.e., "in lieu of cash") for personnel, vaccines, and other forms of direct assistance will be considered. Funds may not be used to supplant existing immunization program activities.

**Applicant Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Beneficiary Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address:

www.cdc.gov/od/pgo/forminfo.htm. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria. As part of the initial merit review, all applications may: (1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; (2) receive a written critique; and (3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Oct 01, 2009 Contact Headquarters Office for application deadline.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Project periods are for one to five years with 12-month renewals. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: Variable. Budget period: For 12 months. See the following for information on how assistance is awarded/released: Various avenues.

**Reports:**

Subject to OMB clearance, quarterly narrative progress reports (including appropriate statistical data) are required 30 days after the end of each quarter. Narratives should address progress or lack of progress in achieving project objectives, including methods being used to resolve problems. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution.

In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$9,118,317; FY 09 est \$9,000,000; FY 10 est \$9,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anjella Vargas-Rosales 12 Corporate Blvd  
Mailstop E-05  
Room 5114, Atlanta, Georgia 30329 Email: acv6@cdc.gov Phone: 4042007465  
Fax: 4046398626

**Website Address:**

http://www.cdc.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.186 NATIONAL RESEARCH SERVICE AWARD IN PRIMARY CARE MEDICINE**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

National Institutes of Health Reform Act of 2006, Public Law 109-482, Title IV, Section 487 of the Public Health Service Act and Division G, Title II, Section 221 of the Consolidated Appropriations Act of 2008, P.L. 110-161.

**OBJECTIVES:**

To prepare qualified individuals for careers that significantly impact the Nations primary care research agenda. Within the framework of the programs longstanding commitment to excellence and projected need for investigators in particular areas of research, attention must be given to recruiting individuals with proven experience in biomedical and behavioral sciences.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

National Research Services Awards (NRSA) in Primary Care are made to approved institutions to enable them to provide up to three years of NRSA fellowship support to qualified postdoctoral individuals undertaking research training in primary care. Each NRSA trainee is obligated to comply with Federal service and payback provisions. Trainees in the first 12 months of postdoctoral support incur one month of service payback obligation for each month of support. Postdoctoral trainees in the 13th and subsequent months of NRSA support do not incur any further service obligation. Furthermore, the 13th and subsequent months of postdoctoral training serve to discharge the NRSA payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for



training grants. Applicant institution must be an entity that trains primary care providers in medicine or dentistry and has received federal support as evidenced by receipt of a grant under Title VII, section 747 grant of the Public Health Service Act, designed to prepare the primary care health workforce. State or local governments and U.S. Territories are eligible. For profit organizations are not eligible. All persons supported as fellows or trainees must be citizens or non-citizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, who have received grants or contracts under Sections 747, 748 or 749 of the Public Health Service Act, are the beneficiaries of this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 5 to 6 months from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No individual trainee may receive more than 3 years of aggregate National Research Service Award support at the post-doctoral level, including any combination of support from institutional and individual awards. Institutional training grants may be awarded for project periods up to 3 years. Awards are made on an annual basis and it is expected that expenditures will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with the Department of Health and Human Services (DHHS), which may be the Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Training) FY 08 \$7,820,000; FY 09 est \$7,506,900; FY 10 est \$7,506,900

**Range and Average of Financial Assistance:**

\$250,000 to \$340,000; \$295,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 24 awards were made through a competition.  
Fiscal Year 2009: In FY 09, 24 continuation awards are anticipated. Fiscal Year 2010: It is expected that 24 continuation awards will be made in FY10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Nawraz Shawir, Public Health Analyst, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2574; E-mail address nshawir@hrsa.gov.

**Headquarters Office:**

Nawraz Shawir 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-2574

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal consultant(s) for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application.

**93.191 ALLIED HEALTH SPECIAL PROJECTS  
FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 755, 42 U.S.C. 294e, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are awarded to meet the costs of projects to plan, develop, operate, or maintain graduate psychology education programs in behavioral and mental health to train graduate psychologists to work with underserved populations. These programs are expected to foster an integrated approach to health care services and address access for underserved populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for predoctoral and postdoctoral stipend support of students. Funds may not be used for student tuition or fees or for direct health care service delivery.

**Applicant Eligibility:**

Eligible entities are accredited health profession schools, university, and other public or private nonprofit entities, including faith-based organizations and community-based organizations. Only applicants whose training program is accredited by the American Psychological Association (APA) and who provide such documentation can be funded. The eligible entity must demonstrate that the training within an accredited psychology training program will occur in collaboration with one or more disciplines other than psychology. Disciplines include, but are not limited to, family medicine, general internal medicine, and pediatrics. Funding is available for accredited doctoral programs, internships, and post-doctoral training programs.

**Beneficiary Eligibility:**

Public or private nonprofit schools, universities, or other educational entities which provide for graduate psychology education and training or other public or private nonprofit entities capable, as determined by the Secretary, of carrying out the objectives of the project.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three years of support.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A uniform summary progress report must be submitted annually. Financial status reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,850,754; FY 09 est \$1,884,098; FY 10 est \$1,810,000

**Range and Average of Financial Assistance:**

\$70,000 to \$150,000; \$105,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 18 continuation awards were made. Fiscal Year 2009: In FY 2009, 18 continuation awards will be made. Fiscal Year 2010: It is anticipated that 18 new awards will be made in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Jerilyn K. Glass, M.D., Ph.D., Program Officer, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Room 9A-21, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-7271, and E-mail: jglass@hrsa.gov.

**Headquarters Office:**

Jerilyn K. Glass, M.D., Ph.D., 5600 Fishers Lane, Room 9A-21, Rockville, Maryland 20857 Phone: (301) 443-7271

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Funded projects include interdisciplinary training for graduate psychology students in settings where psychologists are part of a team of primary health care practitioners. Training opportunities are varied but focus on learning how to provide behavioral and mental health services to underserved populations. Some examples of at-risk populations have included individuals who are disadvantaged, elderly, abused, homeless, or disabled.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need: the extent to which application describes the problem and associated contributing factors to the problem; (2) Response: the extent to which the proposed project responds to the "Purpose" included in the program description; the clarity of the proposed goals and objectives and their relationship to the identified project; the extent to which the activities (scientific or other) described in the application are capable of addressing the problem and attaining the project objectives; (3) Evaluative Measures: the effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met and; to what extent these can be attributed to the project; (4) Impact: the extent and effectiveness of plans for dissemination of project results and/or; the extent to which project results may be national in scope and/or the degree to which a community is impacted by delivery of health services, and/or the degree to which the project activities are replicable and/or the sustainability of the program beyond Federal funding; (5) Resources/Capabilities: the extent to which project personnel are qualified by training and/or experience to implement and carry out the project; the capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project; and for competing continuations grant, past performance will be considered; (6) Support Requested: the reasonableness of the proposed budget in relation to the objectives, the complexity of the activities, and the anticipated results.

In making awards of grants under this section, preference will be given to any qualified applicant that (A) has a high rate for placing graduates in practice settings having the principal focus of serving residents of medically underserved communities; or (B) during the 2-year period preceding the fiscal year for which such an award is sought, has achieved a significant increase in the rate of placing graduates in such settings. Applicants should review the HRSA Guidance documents issued under this CFDA program for preference requirements.

## 93.193 URBAN INDIAN HEALTH SERVICES

The Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP)

### FEDERAL AGENCY:

Indian Health Service, Department of Health and Human Services

### AUTHORIZATION:

Indian Health Care Improvement Act, Executive Order Sections 503, Title V, Section 511, Public Law 94-437, as amended by Indian Health Care Improvement Act, Public Law 101-630, as amended by Public Health Service Act, Public Law 100-713; Indian Health Care Improvement Act, Title V, Public Law 102-572.

### OBJECTIVES:

To provide health-related services to Urban Indians including: (1) Alcohol and substance abuse prevention, treatment, rehabilitation, and education; (2) mental health needs assessment and services; (3) health promotion and disease prevention services; (4) immunization services.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

These grants are limited to established urban Indian health services. The recipient organization must be an urban Indian organization with whom the Secretary has entered into a contract or grant under Title V of the Indian Health

Care Improvement Act (25 U.S.C. 1651 et seq). 100% funds under the Urban Indian Health Program are discretionary activities.

### Applicant Eligibility:

Urban Indian organizations with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act.

### Beneficiary Eligibility:

Urban Indians residing in the urban centers in which the organization is located.

### Credentials/Documentation:

The applicant must provide documentation of: (1) Nonprofit status; and (2) that it has a current contract or grant with the Indian Health Service under Title V of the Indian Health Care Improvement Act. Costs will be determined in accordance with OMB Circular No. A-122, Nonprofit Institutions. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

### Award Procedure:

Grants are awarded to all eligible organizations based on a competitive grant process. Applications are processed and grants are awarded by Indian Health Service Headquarters. Funding level available to an organization is based on specific criteria in the Act to include size of urban Indian population, accessibility to, and utilization of, other health resources available to that population and identification of need for services.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

### Appeals:

Not Applicable.

### Renewals:

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

### Formula and Matching Requirements:

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Grants will be awarded for project periods of up to 3 years. Method of awarding/releasing assistance: quarterly.

### Reports:

No program reports are required. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division Of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Grants) FY 08 \$33,691,000; FY 09 \$33,631, 000 and FY 10 est \$33,631,000.

**Range and Average of Financial Assistance:**

\$114,578 to \$573,126; \$209,846.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program guidelines, including applicable sections of Public Law 94-437, as amended; 45 CFR 74 and 92; and the HHS Grants Policy Statement, dated 1/07.

**Regional or Local Office:**

None. Program Contact: Ms. Danielle Steward, Program Specialist, Urban Programs, Indian Health Service, 801 Thompson Avenue, Suite 200, Rockville, MD 20852. Telephone: (301) 443-4680. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Management Operations, Indian Health Service, 801 Thompson Avenue, Suite TMP360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Alcohol and Substance Abuse Prevention, Intervention, After-Care and Education for Youth and Families; (2) Therapeutic Counseling; (3) Comprehensive Chemical Dependency Project; (4) Mental Health Needs Assessment; (5) Mental Health Services; (6) Immunization Services; and (7) Diabetes Prevention/Education and Obesity Control. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by staff of the Indian Health Service to ensure compliance with the following: (1) Size of the urban Indian population; (2) accessibility to, and utilization of, other health resources available to such population; (3) duplication of existing Indian Health Service or other Federal grants or contracts; (4) capability of the organization to adequately perform the activities required under the grant; (5) satisfactory performance standards for the organization in meeting the goals; (6) identification of need for services; and (7) proposed methodology for accomplishing the stated goals of the program.

**93.197 CHILDHOOD LEAD POISONING PREVENTION**

**PROJECTS\_STATE AND LOCAL CHILDHOOD LEAD POISONING PREVENTION AND SURVEILLANCE OF BLOOD LEAD LEVELS IN CHILDREN**

(Childhood Lead Poisoning Prevention Program (CLPPP))

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Section 317 (k)(2) and 3171 of the Public Health Service Act, [42 U.S.C. Sections 247b and 247b-10], as amended. , Title 42, Part 247b, Section 247b-10.

**OBJECTIVES:**

To (1) Develop and/or enhance a surveillance system that monitors all blood lead levels; (2) assure that children who are potentially exposed to lead receive follow up care; (3) assure awareness and action among the general public and affected professionals in relation to preventing childhood lead poisoning in high risk areas in collaboration with other government and community based organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are to be used by State and local government agencies to develop, improve, and expand their capacity to address the problem of childhood lead poisoning in communities with demonstrated high-risk populations. Recipients of awards are expected to: (a) write, implement and evaluate a jurisdiction-wide childhood lead poisoning elimination plan; (b) write, implement and evaluate screening plans to target resources to children at the highest risk for lead poisoning; (c) maintain a jurisdiction-wide childhood lead surveillance program, with an analysis plan for collected data, (d) conduct primary prevention activities for pregnant women and/or families with children at high risk for lead poisoning, (e) develop an assurance plan for timely and appropriate case management of children with elevated blood lead levels, (f) demonstrate strategic partnering with community organizations and with other state/local agencies involved in environmental and child health activities, (g) coordinate with organizations and agencies involved in lead-based paint hazard reduction activities and development of protective policy; and (h) evaluate programmatic impact on childhood lead poisoning within the applicant's jurisdiction. Awards cannot supplant existing funding for childhood lead poisoning prevention programs or activities. Grant awards may not be expended for medical care and treatment, or for environmental remediation of lead sources, however, there must be an acceptable plan to ensure that these program activities are appropriately carried out. The surveillance component of this grant is intended to assist State health departments in implementing or enhancing a complete surveillance system to track all PbB levels in children. This is essential for grant recipients to target interventions to high-risk populations and to track progress toward eliminating childhood lead poisoning.

**Applicant Eligibility:**

Assistance will be provided to State health departments or their bonafide agents and the health departments of the following five local jurisdictions (or their bonafide agents)that have the highest estimated number of children with elevated blood lead levels : New York, NY; Chicago, IL; Detroit, MI; Los Angeles County, CA, and Philadelphia, PA, or their bona fide agents. Also eligible are health departments or other official organizational authorities of the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and federally recognized Indian tribal governments. Competition is limited by authorizing legislation.

**Beneficiary Eligibility:**

In addition to the eligible applicants, others who receive benefits from the program include infants and children from six months to six years of age who are screened for lead poisoning and family members who care for lead-poisoned children. Lead poisoning potentially affects all children, but disproportionately affects minority children and children of low-income families. Since the effects of lead poisoning can be long lasting, benefits of the

program can also affect youth and adults, persons at all educational and income levels, and urban, suburban, and rural populations.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms are both available from and submitted to the Grants Management Branch, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Standard application forms, as furnished by CDC and required by 45 CFR 92 must be used for this program. This program is subject to the provisions set forth in 45 CFR 92 for State and local governments.

**Award Procedure:**

Approved grants are funded based on a priority score ranking from an objective review process coordinated by the Centers for Disease Control and Prevention. CDC will give funding preference to state programs with significant estimated numbers of children with elevated blood lead levels that direct federal funds to localities with high concentrations of children at risk for childhood lead poisoning. CDC will also give funding preference to the five local jurisdictions with the highest estimated number of children with elevated blood lead levels. Awards are made based on availability of funds and other significant factors as deemed necessary and appropriate by the agency. Funds are awarded for a one-year (12 month period). A Notice of Grant Award (Form PHS 5161-1) is provided which indicates the current award as well as support recommendations for the remainder of the project period (up to three years). The Notice of Grant Award indicates allocations for Federal funds by budget categories and any special conditions, if applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From two to three months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Renewal requests cannot exceed a five year project period. Priority consideration will be given to noncompeting continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period (July 1 - June 30) with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports. Cash reports are not applicable. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement

for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$26,768,353; FY 09 est \$26,768,353; FY 10 est \$26,768,353

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. The basic grant administration policies of DHHS and PHS are also applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: 7704880572

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the applicant's ability to identify populations and communities at high risk and the overall balance of the program's design to address the childhood lead poisoning problem. This requires the development of specific and measurable objectives and a sound operational plan that includes screening of high risk populations, medical and environmental management, lead hazard remediation, and health education and risk reduction activities to appropriately address the problem. Applications also will be evaluated on the ability of the program to carry out childhood lead poisoning prevention program activities utilizing the core public health functions as well as establishing working relations or partnerships with other agencies, organizations or groups that have interest in the prevention of childhood lead poisoning.

**93.202 CAPACITY BUILDING AMONG AMERICAN INDIAN TRIBES  
FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Section 104(i)(14)(15) and (17) of the Comprehensive Environmental Response, Compensation and Liability Act; 42 U.S.C. 9604; Sections (i)(14)(15), and (17), as amended.

**OBJECTIVES:**

To address the Tribal public health issues that result from hazardous substances in the environment by: 1) building Tribal environmental health capacity 2) addressing health issues from releases of hazardous substances into the environment, and 3) develop culturally appropriate health education materials and/or vehicles to engage Tribal community members in public health activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To enhance the Tribes ability to collaborate with Agency for Toxic Substance and Disease Registry (ATSDR) in conducting public health activities related to potential human exposures from the Hanford Nuclear Reservation.

**Applicant Eligibility:**

Federally Recognized American Indian Tribal Governments: Coeur d'Alene Tribe; Coville Confederated Tribes; Confederated Tribes of the Umatilla Indian Reservation; Kalispel Tribe; Kootenai Tribe of Idaho; Nez Perce Tribe; Spokane Tribe; Confederated Tribes of the Warm Springs Reservation of Oregon; and Yakama Indian Nation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87, A-21, and A-122 as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application packages through [www.Grants.gov](http://www.Grants.gov) or contact CDC PGO TIMS 770-488-2700 with technical difficulties. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period

of 1 to 5 years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for Details. Cash reports are not applicable. See Funding Opportunity for Details. See Funding Opportunity for Details. See Funding Opportunity for Details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for 10 years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 08 \$100,000; FY 09 est \$100,000; FY 10 est \$100,000

**Range and Average of Financial Assistance:**

Estimate range per award \$50,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the program are set forth in 45 CFR Parts 74 and 92 and 40 CFR Part 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 90-50-000 (Revised).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: 7704880572

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed and evaluated based on the following criteria: 1) Develop and administered effective culturally competent measures to engage community members in environmental public health activities: 2) Describe how the environmental health needs assessment will be used for environmental health: 3) Outlined the activities to develop a 10-year Environmental Health Plan (EHP): 4) Described the Tribes capability (or inability) to carry out the proposed EHP: 5) Describe how the Tribe will resolve current problems of exposures: 6) and Budget justification.

**93.204 SURVEILLANCE OF HAZARDOUS SUBSTANCE EMERGENCY EVENTS****FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and

Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(1)(E), (9), and (15), Public Law 99-499, 42 U.S.C. 9604., 42 U.S.C 9604.

**OBJECTIVES:**

To assist State health departments in developing a State-based surveillance system for monitoring hazardous substance emergency events. This surveillance system will allow the State health department to better understand the public health impact of hazardous substance emergencies by developing, implementing, and evaluating a State-based surveillance system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The participant State health agencies will use the information collected to assess the burden of adverse health effects created by these unexpected, sudden releases of hazardous substances, describe the situations and persons most likely impacted, define the risk factors for adverse health effects, and work with other agencies to implement prevention activities. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies, and services. Equipment may be purchased with cooperative agreement funds; however, justification must be provided which should include a cost comparison of purchase versus lease options. All purchased equipment must be compatible with ATSDR's equipment and shall be returned to ATSDR at the completion of the project.

**Applicant Eligibility:**

Eligible applicants are the official public health departments of the States and the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, the Northern Mariana Islands, and American Samoa and federally-recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Beneficiaries include Federal, State, local, other public institutions/organizations, federally-recognized Indian tribal governments, U.S. Territories/possessions, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application on [www.Grants.gov](http://www.Grants.gov). By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 90 to 120 days. Awards are made for project periods of one to five years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of one to five years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for guidance. Cash reports are not applicable. See Funding Opportunity for guidance. See Funding Opportunity for guidance. See Funding Opportunity for guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Record keeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 08 \$989,871; FY 09 est \$1,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

Estimate average range per award will be \$60,000 to \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 94-50,000 (Revised), April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: 7704880572

**Website Address:**

<http://www.atsdr.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated according to the following criteria:

(1) Appropriateness and knowledge of surveillance systems; (2) Proposed methodology; (3) Capability and coordination efforts; (4) Quality of information collection; (5) Program personnel; and (6) Program budget (not scored).

### **93.209 CONTRACEPTION AND INFERTILITY RESEARCH LOAN REPAYMENT PROGRAM**

(CIR LRP)

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, 42 U.S.C. 288-2, Title IV (National Research Institutes), Part G (Awards and Training), Section 487B (Loan Repayment Program for Research with Respect to Contraception and Infertility), as amended by Public Law 105-392.

#### **OBJECTIVES:**

The CIR-LRP is designed to provide an incentive for health professionals to work in areas of reproductive research directly related to contraceptive development and/or infertility diagnosis and treatment by providing assistance in repaying educational loans for individuals. The CIR-LRP will pay up to \$35,000 of the principal and interest of a participant's educational loans for each year of commitment not to exceed one-half of the remaining loan balance. In addition to the loan repayments, the CIR-LRP may pay participants up to 39 percent of the amount paid to lenders as partial payments on the increased income tax liability caused by the Program's loan repayments. In return for these loan repayments, applicants must agree to commit to a period of obligated service of not less than 2 years conducting research with respect to contraception and/or infertility. The long-range objective of the CIR-LRP is to stimulate the commitment of researchers to sustaining a career focus on contraception and/or infertility research.

#### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

#### **USES AND USE RESTRICTIONS:**

The assistance provided by the CIR-LRP is entirely of a financial nature in the form of loan repayments. The monies provided by this program are restricted to the repayment of pre-existing, qualified loans procured by the participant for educational expenses incurred in the pursuit of undergraduate or graduate degrees.

#### **Applicant Eligibility:**

Applicants must be a U.S. citizen (or U.S. national or permanent resident) and a physician, Ph.D.-level scientist, nurse, physician's assistant, graduate student, or postgraduate research fellow training in the health professions. You must commit to conduct contraception and infertility research for 50% of your time (at least 20 hours weekly based on a 40 hour week) for two years and it must be funded by a domestic nonprofit or U.S. Government (Federal, state or local) entity. Also, the research must not be prohibited by Federal law or NIH policy. Complete eligibility information is available at <http://www.lrp.nih.gov/about/lrp-contra.htm>.

#### **Beneficiary Eligibility:**

Assistance in the form of loan repayments will be made to qualified health professionals (including graduate students) who are participants in the CIR-LRP.

#### **Credentials/Documentation:**

In order to be considered for selection into the CIR-LRP, eligible applicants must complete and submit the electronic application materials located at [www.lrp.nih.gov](http://www.lrp.nih.gov), which include: (1) a Loan Verification Form for each loan to be considered for repayment; (2) an institutional statement providing assurance that the applicant will be engaged in employment/training at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501), for not less than two years from the anticipated effective date of the NIH Loan Repayment Program Contract between the individual and NICHD (this assurance is conducted electronically); and (3) a signed NIH Loan Repayment Program Contract by which the applicant agrees to serve the obligated minimum period of two years conducting contraception and/or infertility research at an NICHD intramural

laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Information regarding the CIR-LRP and the preparation of forms for application to the CIR-LRP can be obtained by contacting the CIR-LRP headquarters office at the National Institute of Child Health and Human Development, NIH, or via the World Wide Web at [www.lrp.nih.gov](http://www.lrp.nih.gov). This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Qualified individuals interested in participating in the CIR-LRP should visit the NIH Loan Repayment Program Website at [www.lrp.nih.gov](http://www.lrp.nih.gov) for all application forms and requirements. The application will be evaluated by a Review Committee, convened for this purpose by the Division of Scientific Review, NICHD, NIH, HHS. In selecting applicants for participation in the CIR-LRP, the panel will consider eligibility status, quality of the applicant, and applicant's career plan focus. All selections are subject to final approval by the Director, NICHD. The NICHD will notify the sponsoring grantee institution and the applicant of the outcome of the review.

#### **Award Procedure:**

Once the applicant is selected to participate in the CIR-LRP, the applicant and the Director, NICHD, as a designate of the Secretary of Health and Human Services, will sign a written binding contract stating the terms and conditions for participating in the CIR-LRP. The effective date of the contract will be the date it is signed by the Director, NICHD, or the date employment/training begins at an NICHD-funded Specialized Contraception or Infertility Research Center, whichever is later.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. The selection process takes from 6 to 8 months following receipt of application.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

> 180 Days. A CIR-LRP participant completing the initial 2-year period of obligated service conducting research with respect to contraception and/or infertility has an option to extend the obligatory period of service on an annual basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The CIR-LRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

#### **Audits:**

No audits are required for this program.

#### **Records:**

None.

#### **Account Identification:**

75-0897-0-1-552.

#### **Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000



**Range and Average of Financial Assistance:**

In FY 06 the range of financial assistance was between \$4,461 and \$103,138. The average contract cost was \$45,619.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, the projected funding level for the Contraception and Infertility Research LRP is \$1,000,000, with a projected total of 22 contracts. The fiscal year 2008 Extramural LRP application period closed on December 15, 2007, and funding decisions were made by August 2008.

Fiscal Year 2009: In fiscal year 2009, the projected funding level for the Contraception and Infertility Research LRP is \$1,000,000, with a projected total of 22 contracts. The fiscal year 2009 Extramural LRP application period closed on December 15, 2008, and funding decisions were made by August 2009.

Fiscal Year 2010: In fiscal year 2010, the projected funding level for the Contraception and Infertility Research LRP is \$1,000,000, with a projected total of 22 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Proposed Rulemaking was approved by NIH on September 19, 2001, and by the Department of Health and Human Services on December 31, 2001.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene G. Hayunga, Ph.D. 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: ehayunga@mail.nih.gov Phone: 301-496-6856

**Website Address:**

<http://nichd.nih.gov/>.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers; 93.285 National Institutes of Health Pediatric Research Loan Repayment Program; 93.307 Minority Health and Health Disparities Research ; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review criteria for CIR-LRP applications include: (1) Appropriateness of the applicant's previous training and experience as preparation for a career in contraception and infertility research; (2) Suitability of the applicant's proposed clinical research activities in the two-year period to foster a career in contraception and infertility research; (3) Assessment of the applicant's commitment to a research career as reflected by the personal statement of long-term career goals and the plan outlined to achieve those goals; (4) Strength of recommendations attesting to the applicant's potential for a career in contraception and/or infertility research; (5) Availability of appropriate scientific colleagues to achieve and/or enhance the applicant's research independence; and (6) Quality and appropriateness of institutional resources and facilities.

**93.210 TRIBAL SELF-GOVERNANCE PROGRAM: IHS COMPACTS/FUNDING AGREEMENTS**

(OTSG Compacts )

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title 3, Section 302, Public Law 93-638.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) with respect to which

Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. Such assumptions will be by compact/funding agreements.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are to be spent in accordance with Public Law 93-638, as amended, applicable regulations and negotiated compact/funding agreement terms. Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 CFR 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 CFR 137.101, a Self-Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or funding agreement and Title V. This duty requires the exercise of reasonable care, skill, and caution, and is to be applied to investments not in isolation but in the context of the investment portfolio and as a part of an overall investment strategy, which should incorporate risk and return Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 CFR 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 CFR 137.101, a Self-Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or funding agreement and Title V. This duty requires the exercise of reasonable care, skill, and caution, and is to be applied to investments not in isolation but in the context of the investment portfolio and as a part of an overall investment strategy, which should incorporate risk and return objectives reasonably suitable to the Self-Governance Tribe. In making and implementing investment decisions, the Self-Governance Tribe has a duty to diversify the investments unless, under the circumstances, it is prudent not to do so. In addition, the Self-Governance Tribe must: (a) Conform to fundamental fiduciary duties of loyalty and impartiality; (b) Act with prudence in deciding whether and how to delegate authority and in the selection and supervision of agents; and (c) Incur only costs that are reasonable in amount and appropriate to the investment responsibilities of the Self-Governance Tribe. All IHS funds are discretionary funds.

**Applicant Eligibility:**

Per 42 CFR 137.18, to be eligible to participate in self-governance, an Indian tribe must have: (a) successfully completed the planning phase described in Sec. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 CFR 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance funding agreements with any Federal agency. Per 42 CFR 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(1)) will benefit.

**Credentials/Documentation:**

Per 42 CFR 137.167 and 137.168, a self-governance tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. None.

**Award Procedure:**

Compacts/funding agreements are awarded to those Indian tribes or organizations who have completed negotiations with IHS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

See 42 CFR 137.410 through 137.445, for regulations governing ompacts/funding agreement decisions.

**Renewals:**

Per 42 CFR 137.35, upon approval and execution of a self-governance compact, the compact remains in effect for so long as permitted by Federal law or until determined by mutual written agreement or retrocession or reassumption of all PSFAs. Per 42 CFR 137.55, a funding agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFAs identified in the funding agreement, the funding agreement shall remain in full force and effect until a subsequent funding agreement is executed. Per 42 CFR 137.35, upon approval and execution of a self-governance compact, the compact remains in effect for so long as permitted by Federal law or until determined by mutual written agreement or retrocession or reassumption of all PSFAs. Per 42 CFR 137.55, a funding agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFAs identified in the funding agreement, the funding agreement shall remain in full force and effect until a subsequent funding agreement is executed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Per 42 CFR 137.76, when a funding agreement requires an annual transfer of funding to be made at the beginning of a fiscal year, or requires semi-annual or other periodic transfers of funding to be made commencing at the beginning of a fiscal year, the first such transfer shall be made not later than 10 days after the apportionment of such funds by the OMB to the Department, unless the funding agreement provides otherwise. Per 42 CFR 137.77, the Secretary must transfer any funds that were not paid in the initial lump sum payment within 10 days after distribution methodologies and other decisions regarding payment of those funds have been made by the IHS. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division Of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project

period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Per 42 CFR 137.165, under the provisions of section 506(c) of the Act 25 U.S.C. 458aaa5(c), Self-Governance Tribes must undertake annual audits pursuant to the Single Audit Act, 31 U.S.C. 7501 et seq. Per 42 CFR 137.166, exceptions are described in 31 U.S.C. 7502 of the Single Audit Act.

**Records:**

In accordance with 42 CFR - 137.175, Tribes are required to maintain records and provide Federal agency access to those records as provided in 137.177 - 137.176, except to the extent that a Self-Governance Tribe specifies otherwise in its compact or funding agreement, the records of the Self-Governance Tribe shall not be considered Federal records for purposes of chapter 5 of title 5, U.S.C. - 137.177, after 30 days advance written notice from the Secretary, the Self-Governance Tribe must provide the Secretary with reasonable access to such records to enable the Department to meet its minimum legal recordkeeping system requirements under sections 3101 through 3106 of title 44 U.S.C. - 137.178, at the option of a Self-Governance Tribe, patient records may be stored at Federal Records Centers to the same extent and in the same manner as other Department patient records in accordance with section 105(o) of the Act 25 U.S.C. 450j(o). - 137.179, a Self-Governance Tribe may make agreements with the Federal Records Centers regarding disclosure and release of the patient records stored pursuant to 137.178. - 137.180, a Tribe must consider the potential application of Tribal, Federal and state law and regulations that may apply to requests for access to Tribal patient records, such as the provisions 42 CFR 2.1.2.67 pertaining to records regarding drug and/or alcohol treatment.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Compacts/Funding Agreements) FY 08 \$949,982,000; FY 09 \$980,000,000; and FY 10 est \$1,100,000,000.

**Range and Average of Financial Assistance:**

Range \$85,000 to \$64,200,000; Average \$11,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, there are 73 compact, 94 funding agreements covering tribally operated facilities which include 11 hospitals, 71 health centers, one school health centers, and 189 health stations/village clinics. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, authorizes compacts/funding agreements. According to section 515(c) of the Act 25 U.S.C. 458aaa-16(e), "unless expressly agreed to by the participating Indian tribe in the compact or funding agreement, the participating Indian tribe shall not be subject to any agency circular, policy, manual, guidance, or rule adopted by the Indian Health Service, except for the eligibility provisions of section 105(g) and regulations promulgated under section 517.42 CFR 137 applies to compacts/funding agreements.

**Regional or Local Office:**

None. Program Contact: Ms. Hankie Ortiz, Director, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue, Suite 240, Rockville, MD 20852. Telephone: (301) 443-7821. For Grants Management Contact: Ms. Kimberly Pendleton; Senior Grants Management Officer, Division of Grants Operations, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. Use the

same numbers for FTS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.211 TELEHEALTH NETWORK GRANTS**

Telehealth Network Grant Program (TNGP); Telehealth Resource Center Grant Program (TRCGP); and Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Telehealth Network Grant Program (TNGP) and the Telehealth Resource Center Grant Program (TRCGP) is authorized by Section 330I of the Public Health Service Act. (The Telehomecare provision of the TNGP is authorized by the Conference Report on Appropriations for the Departments of Labor, Health and Human Services, and Education and Related Agencies for the Fiscal Year ending September 30, 2006).

The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of the Public Health Service Act, 42 USC 254c-18.

**OBJECTIVES:**

The TNGP has two provisions: Telehealth Networks (TNGP-TH) grants demonstrate how telehealth networks improve healthcare services in rural communities. Telehomecare Networks (TNGP-THC) grants fund demonstration or pilot projects for telehomecare, services that may include, but are not limited to, case management by physicians, hospitals, medical clinics, home health agencies, or other health care providers who supervise the care of patients in their homes. The TRCGP supports the establishment and development of Telehealth Resource Centers (TRC). The Centers are to be an impartial, independent source of technical assistance to health care organizations, health care networks, and health care providers in the implementation of cost-effective telehealth programs to serve rural and medically underserved areas and populations. The program is designed for entities with a successful history of providing technical assistance in the field of telehealth/telemedicine, which enables them to give guidance to both new and existing programs in the development and implementation of an effective sustainable telehealth program. The TRCGP is designed to leverage the experience of mature programs that have a strong record of implementing telehealth services. The LPGP supports State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

TNGP - Funds support the use of telehealth (electronic information and telecommunications technologies to support and promote long-distance health care and ancillary services) in two ways: 1) Telehealth Networks, for improving access to health care services; provide a baseline of information for a systematic evaluation of telehealth systems; purchase or lease and install equipment; and to operate and evaluate the telehealth system. 2) Telehomecare Networks, for improving access to health services for patients in their homes and for evaluating the cost and effectiveness through provision of clinical care and remote monitoring of patients in their own homes using telehealth technologies. Primary expenses for telehomecare shall be for personnel costs

for provision of services and for evaluation. Overall, not more than 40 percent of grant funds may be expended for equipment. Not more than 15 percent of grant funds may be expended for indirect costs. Grant funds may not be used for purchasing and installing telecommunications transmission equipment (e.g., microwave towers, satellite dishes, amplifiers, digital switching equipment or laying cable or telephone lines) or to acquire real property. Construction costs are allowable only for minor renovations related to the installation of equipment.

Important: For both Telehealth and Telehomecare Networks, the TNGP seeks to fund non-profit or public organizations with a demonstrable successful track record in implementing telehealth technology and with a network of partners in place and committed to the project as of the date of application. TNGP funds are intended to fund network expansion and/or to increase the breadth of services of existing successful telehealth networks. Start-up projects with no demonstrable telehealth experience and/or with prospective network partners not committed to the project will not be competitive. Applicants failing to submit verifiable information with respect to the commitment of network partners will not be funded.

Important: Projects selected for funding must provide clinical services for which performance measures can be developed. In addition, an applicant must provide evidence to show that it will be ready to begin to implement the project upon grant award.

Applicants must provide an evaluation design to measure quantitative outcomes, which should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care. Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on : 1) improving access to health care services for residents of communities that did not have such services locally before the program; 2) hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services; 3) controlling blood glucose levels in diabetic patients; 4) improving the efficiency of health care; and, 4) reducing medical errors, and other clear outcome measures.

Note: For FY 2009, the Agency is conducting a competition for the 3-year FY 2009 through FY 2011 project period.

TRCGP - Funds support the development of regional Telehealth Resource Centers (TRCs), which serve as a regional focus for supporting telehealth activities throughout their respective regions; and, one national Telehealth Resource Center focuses on legal and regulatory telehealth issues. Grant funds are used for salaries, equipment, operating, travel expenses, or other costs for: providing technical assistance, training and support; disseminating information and research findings related to telehealth services; promoting effective collaboration among telehealth resource centers and HRSA; conducting evaluations to determine the best utilization of telehealth technologies to meet health care needs; promoting the integration of the technologies used in clinical information systems with other telehealth technologies; fostering the use of telehealth technologies to effectively provide healthcare information and education for health care providers and consumers; and, implementing special projects that involve collaboration among TRCs to advance the field of telehealth. Grant funds are not used for: acquiring real property, equipment costs of more than 40% of total grant funds, for equipment or transmission costs not directly related to the grant purposes, to purchase or install general purpose voice telephone systems, construction costs, indirect costs exceeding 15% of total grant funds.

LPGP - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

TNGP - A grantee must be a nonprofit or public entity that will provide services through a telehealth network (TNGP-TH) to rural communities or through a telehomecare network (TNGP-THC) to patients in their homes located in either urban underserved or rural communities. Telehomecare network grantees should have demonstrated experience in providing telehomecare services. For both telehealth networks and telehomecare networks, proof of non-profit status is required. Each entity participating in the network may be a nonprofit or for-profit entity. Faith-based and community based organizations are eligible under the TNGP. TRCGP - A grantee must be a public or private nonprofit organization. Faith-based and community based organizations are eligible to apply. Services may be provided to rural or urban communities. LPGP - A grantee must be a State professional licensing board, or a national organization of professional licensing boards that provide services to state licensing boards. Note: American Indian and/or Alaska Native Tribal Organizations are eligible provided those organizations meet the eligibility requirements above.

**Beneficiary Eligibility:**

TNGP - Health care providers in rural areas, in medically underserved areas, in frontier communities, and for medically underserved populations. TNGP-TH grantees include in the network at least two (2) of the following entities (at least one (1) of which shall be a community-based health care provider: (a) community or migrant health centers or other federally qualified health centers; (b) health care providers, including pharmacists, in private practice; (c) entities operating clinics, including rural health clinics; (d) local health departments; (e) nonprofit hospitals, including community (critical) access hospitals; (f) other publicly funded health or social service agencies; (g) long-term care providers; (h) providers of health care services in the home; (i) providers of outpatient mental health services and entities operating outpatient mental health facilities; (j) local or regional emergency health care providers; (k) institutions of higher education; or (l) entities operating dental clinics. TNGP-THC grantees are experienced in providing telehealth services, have a substantial caseload, are targeted to patients with chronic illnesses and senior citizens, have a history of doing evaluations and monitoring telehomecare network performance in terms of quality, cost, and effectiveness or services. TRCGP - Health care providers in rural areas, in medically underserved areas, in frontier communities, and medically underserved populations. The regional telehealth resource centers must support the activities of existing or developing telehealth networks in their regions to meet the health care needs of rural or other populations to be served, including the improvement of access to services and the quality of the services received by those populations. Regional TRCs have expertise in at least four (4) of the following areas: Clinical Outpatient Specialty Care; Critical or Emergency Care; Residential telehealth (home care)/chronic disease management; Nursing Home/Inpatient Care; Distance Education and Training; Store-and-Forward; Teleradiology. Regional TRCs collaborate with other organizations to address any of the seven areas where they are not expert. The National TRC exhibits expertise in the following areas: Reimbursement (Medicare, Medicaid, private insurance); Licensure (legislative and regulatory issues); Privacy, security, and confidentiality legislation at federal and state levels; Food and Drug Administration regulation; Telecommunications legal and regulatory issues; and, Private credentialing and accreditation organizations and issues (e.g., Joint Commission on Accreditation of Health Care Organizations). Note: American Indian and/or Alaska Native Tribal Organizations are eligible beneficiaries provided those organizations meet the beneficiary requirements above. LPGP - State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. NCC grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

2 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals have not been determined.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competitions are conducted every three years, with up to a 3-year project period. For projects awarded under a competition, grants are made annually each year for up to 3 years. For example, projects awarded in FY 2006 had a 3-year project period from FY 2006 through FY 2008. A new competition is being conducted in FY 2009 for a 3-year project period, FY 2009 through FY 2011 (subject to appropriations). Payments are made through an electronic transfer system or cash demand system. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period. Progress reports are to be submitted every 6 months. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and

resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$3,838,312; FY 09 est \$4,165,000; FY 10 est \$4,500,000 - These figures are for the TNGP. (Project Grants) FY 08 \$309,196; FY 09 est \$350,000; FY 10 est \$350,000. (Project Grants) FY 08 \$2,094,250; FY 09 est \$2,175,000; FY 10 est \$2,525,000 - These figures are for the TRCGP.

**Range and Average of Financial Assistance:**

TNGP - In FY 06, through FY 08, awards each year ranged from approximately \$226,000 to \$270,000, with an average award each year of approximately \$240,000. Awards in FY 09 and FY 10 will range from \$210,000 \$245,000.

TRCGP - In FY 06, the first year of the FY 2006-2008 award cycle, for the Regional TRCs, the financial assistance ranged from approximately \$250,000 to \$310,000. The average award was approximately \$310,000. The National TRC received \$160,000. In FY 07, the second year of the FY 2006-2008 award cycle, for the Regional TRCs, the financial assistance was \$325,000 for each of the five grantees. The National TRC received \$175,000. In FY 08, the third year the Regional TRCs on average received \$372,000. The National TRC received \$218,750. Estimated awards for the Regional TRCs in FY 09 and FY 10 are \$325,000 for each grantee. The National TRC will receive approximately \$200,000.

LPGP - In FY 06, the first year of the FY 2006-2008 award cycle, two grantees received \$342,500 each. In FY 07, the second year of the FY 2006-2008 award cycle, the two grantees received \$342,500 and \$344,814. In FY 08 one grantee was awarded \$309,196 and for FY 09 one grantee will receive an estimated award of \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 2006 FY 2008. TNGP grantees are developing evaluation designs to measure process and outcomes. Quantitative outcomes will measure the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care.

16 grants were awarded from FY 2006 FY 2008, with approximately \$4 million awarded each year, the TNGP improved access to specialty services for residents of underserved rural communities. With a population of 4.3 million individuals who lived in these underserved communities, access to specialty care was provided for less than \$1/person/year in TNGP program expenditures. Specialty services include mental health, diabetes, cardiology, dermatology, home health care and monitoring, pediatrics, radiology and many other specialties based on the needs of the particular community where the project is located. (For further information on services and activities, see the OAT Grantee Directory at <http://www.hrsa.gov/telehealth/publications.htm>)

OAT had a program assessment in 2006. The program was cited for its success in expanding access to services in underserved rural communities. OAT developed annual performance measures and is tracking performance against benchmarks. In several instances, grantees exceeded the benchmarks, but there is much variation in the data and until a full set of data is available for the first three years of this effort (March 2010), the targets will not be revised. The 2006-2008 cohort of TNGP grantees provided a total number of 96 clinical services, across 690 sites in underserved rural communities for a total of 786 sites and services. When added to the baseline of 489 services, the TNGP has supported 1,275 sites and services in these communities since FY 2005. In FY 2007, 191 communities had access to Pediatric services and 159 communities had access to adult mental health services for which they otherwise would not have had access in the absence of the TNGP grants.

The program began in FY 2006 to collect data on a long-term measure to assess the programs impact on clinical outcomes in diabetic patients served by the grantees of the TNGP program, targeting control of hemoglobin A1C levels in patients. In FY 2006, 34% achieved ideal glycemic control, while in FY 2007,

42% were able to achieve ideal glycemic control compared to a target of 21%.

Tele-homecare/monitoring. TNGP grantees have developed common metrics and data analysis strategies, based on data routinely collected through the OASIS system, which is a nationally recognized standardized data collection system of performance measures. The performance measures focus on the impact of these grants on the cost and effectiveness of the services provided. Data are being collected and aggregated from all programs, with a report of the findings available in FY 2010.

The TRCGP and LPGP are newly funded programs for FY 2006 through FY 2008. As such, these grantees are presently building organizational capacity. During the first three years of this program. The TRCGP grantees provided individualized technical assistance to groups developing Telehealth services, created five detailed toolkits and specialized training materials, and facilitated technical assistance through regional webinars and teleconferences in the 24 states that they cover, including US-Affiliated Pacific Islands. Standard performance measures are under development to evaluate the performance of these grantees beginning in 2010.

The LPGP grantees are developing programs under which licensing boards of various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. These grants will continue to focus on licensure issues for physicians and nurses. HRSA has been tracking performance of its Licensure Portability Grant Program (LPGP) grantees. In FY 2006, the Federation of State Medical Boards (FSMB) was awarded a three-year grant to reduce the legal and administrative barriers to states sharing licensure information. In its first year, FSMB established pilot projects in two regions of the country to develop and maintain a centralized interactive data management system. FSMB also compiled state profiles of the technical capabilities to electronically share licensure data for each of the 14 states in the pilot regions, and conducted a policy analysis of each to determine legislative and regulatory barriers to sharing data. A comprehensive policy review of the nine states that have specific telemedicine licenses/registration programs also has been completed.

In FY 2008, the FSMB expanded the focus of its activities, adopting two major objectives: (1) to increase the number of states adopting a common licensure application (a key step in reducing the barriers to licensure portability); and (2) to increase the number of states that participate in mutual recognition of each others licenses. Results from these activities will be available in January 2010.

The National Council of State Boards of Nursing (NCSBN) was also awarded an LPGP grant to identify and implement enhancements to its current program for cross-state recognition of licenses for nurses - the Nurse Licensure Compact (NLC) - and to support states that are in the process of or considering adoption of the NLC. In the first year, NCSBN developed a cost analysis tool as a reference for States to address misconceptions regarding the cost of adopting the NLC. To date, 23 states have implemented a NLC. The NCSBN focused the third year of its grant on a detailed evaluation of the existing NLC and assessing areas for streamlining the compact to facilitate the adoption of it by more states. The final report from this grant will be made available in December 2009. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Monica Cowan, Project Officer, Office for the Advancement of Telehealth, Office of Health Information Technology, 5600 Fishers Lane, Room 7C-26, Rockville, MD 20857. Telephone: (301) 443-0076.

**Headquarters Office:**

Monica Cowan 5600 Fishers Lane, Room 7-C26, Rockville, Maryland 20857 Phone: (301) 443-0076

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The TNGP - University of Arkansas for Medical Sciences, Telehealth for Kids in Delta Schools (Telehealth KIDS), Little Rock, AR: The projects purpose is to work with local healthcare providers, facilities, parents and school staff to develop services and protocols that will complement and support local providers, strengthen existing referral patterns, and emphasize services that are currently unavailable in Lee County. The project will focus on children who currently have no doctor or who are currently unable to access available health care services due to poverty, lack of transportation, or complicating family issues. Specific needs identified by Lee County will target Asthma, Diabetes, Behavioral, and General Pediatric Health issues. The project links Whitten Elementary School and Lee High School into the existing network. Telehealth KIDS will use telehealth technology and Telehomecare monitoring to improve access and clinical outcomes, and overall health of Lee County Students. Telehealth KIDS will install interactive video systems. Desktop cameras will be purchased for behavioral consulting by health professionals. Interactive education units will be used at Lee County Health Unit and Lee High School. Telehomecare monitoring will be used for students suffering from asthma and diabetes. Home Health Monitors will be distributed to students homes. Lee County Schools are currently connected by T1 lines. The University of Arkansas for Medical Sciences competed and received funding in FY 2006 and FY 2007, and has been operational since 1995.

Expected outcomes include reduction of hospitalization and emergency room visits, measuring the impact of telehealth program on controlling blood glucose levels in diabetic patients, collecting data to measure clear outcomes, including improving access for individuals that otherwise would not have such access, productivity, efficiency, dollars saved and quality of services. The project is developing a detailed evaluation and data plan that addresses the required performance measures.

The TRCGP - The Great Plains Telehealth Resource and Assistance Center (TRAC) began in October of 2006 and is a partnership of Avera Health, South Dakota; The Evangelical Lutheran Good Samaritan Society, South Dakota; North Dakota State University Telepharmacy Network, North Dakota; Saint Elizabeth Health System, Nebraska; and University of Minnesota Telehealth Network, Minnesota. The Great Plains TRAC serves the five states of South Dakota, North Dakota, Minnesota, Iowa and Nebraska. Assistance will also be provided to other entities in other locations as requested or needed.

This Regional TRC will increase telehealth utilization among rural and frontier health care providers by breaking down both geographic and experiential barriers. This center will serve telehealth programs in this region and nationally by focusing on individualized coaching services; providing information, assistance and direction as requested and needed; an on-line toolbox; and a regional telehealth conference. Services provided include: general one-to-one assistance and direction in topics such as telehealth policies/procedures, licensure, scheduling, evaluation, research, and others; on-line resource toolbox; annual regional conference; identify key regional issues; in general, help rural facilities acquire the skills/expertise to implement telehealth programs.

The project outcomes are as follows: 1) To increase the knowledge of applications, practices and research findings relating to telehealth; 2) To increase the quality and quantity of standards-based information regarding the best utilization of telehealth technologies; 3) To increase the number of contacts initiated by providers; 4) To improve the skill level of key staff members to conceptualize, plan, implement and evaluate telehealth programs; and, 5) To increase the number of providers that utilize telehealth technology.

The LPGP Two grantees are developing projects to support State professional licensing boards to carry out programs under which various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine across state boundaries. The grantees are focusing on projects that will reduce impediments to the practice of telemedicine across state lines by physicians and nurses, respectively. The

funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions. The grants are intended to result in an expansion of existing state agreements for cross-state recognition of professional licenses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For FY 2009, the Agency is conducting competitions for each of its programs for the FY 2009 through FY 2011 project period.

**TNGP**

Applications will be funded based on the extent which documentation is provided in the following areas:

Need, the documented need for the project and the likely demand for the proposed services;

Response, the extent to which project objectives, activities and benefits are consistent with the objectives of the grant program and the needs for the project;

Evaluative Measures, the extent to which the project measures success in meeting its goals and objectives;

Impact, the level of local involvement in planning and implementing the project, level of commitment as evidenced by cost participation of applicant, other network members and/or other organizations, and long-term plans for sustainability;

Resources/Capabilities, the ability of network members, including clinicians, to implement the project and the corresponding feasibility of the projects plan of activities;

Support Requested, the reasonableness of the budget to proposed activities and anticipated outcomes/results; and,

Technology/Integrating Administrative and Clinical Systems, the extent to which the applicant proposes to integrate administrative and clinical information systems and effectively deploy technology.

The TNGP will seek to select projects that have demonstrated skill in evaluation. In addition, applicants must evidence a successful track record in providing telehealth services and to demonstrate how the proposed funds will expand services to new communities and/or populations. Applicants must provide an evaluation design to measure process and outcomes. Quantitative outcomes should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care.

Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on : 1) improving access to health care services for residents of communities that did not have such services locally before the program; 2) reducing hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services; 3) controlling blood glucose levels in diabetic patients; 4) improving the efficiency of health care; and, 4) reducing medical errors, and other clear outcome measures. Also, of particular interest are networks that include Community Health Centers funded by the Health Resources and Services Administration (HRSA) in the network (i.e.,330 grantees).

**TRCGP**

TRC applicants will be assessed on their current activities and success in addressing the following areas:

Telecommunications, industry standards, and technology assessment;  
Extensive experience in providing technical assistance at the local, regional, and national levels  
Breadth of clinical services offered by their network and integration of

clinical information systems;

Ability to overcome reimbursement and other policy challenges to achieve sustainability of their networks;

Comprehensive evaluation strategy and implementation as evidenced by publications, especially ones that address effectiveness, costs, and productivity;

Experience in maintaining a strong and efficient operational/management structure; and

Experience in developing and implementing strategic/business plans.

#### LPGP

The LPGP seeks projects that can clearly serve as national models and have implications for overcoming State statutory and regulatory licensure barriers to cross-state practice of telemedicine for all the health professions, with an emphasis on projects proposed by boards or national organizations of professional licensing that have demonstrated success in pioneering creative programs to address these issues. As a result, grantees must display a clear understanding of the barriers to cross-state practice and a realistic, feasible approach to overcome legislative, regulatory, or administrative barriers to cross-state practice and the clarity of the proposed goals and objectives and their relationship to the identified project.

For FY 2010, non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first two years of performance, the third year program design, and expenditure justifications.

### 93.212 CHIROPRACTIC DEMONSTRATION PROJECT GRANTS

#### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

#### AUTHORIZATION:

Public Health Service Act, Title VII, Section 755(b)(3), 42 U.S.C. 294e(3) as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

#### OBJECTIVES:

Grants are awarded to carry out demonstration projects in which chiropractors and physicians collaborate to identify and provide effective treatment for spinal and lower-back conditions. The project requirements include: (1) The project must address the identification and treatment of spinal and/or lower-back conditions; (2) the project must be founded on collaborative efforts between chiropractors and allopathic or osteopathic physicians; (3) each project must include a strong research protocol which will result in a significant expansion of documented research in the area addressed and which is suitable for publication in referred health professions journals, including research oriented publications; (4) the project must include an explicit strategy for case-finding and a strategy for making direct comparisons to other forms of treatment. The results must be generalizable to patients cared for in a clinical practice addressing spinal and/or lower-back conditions; and (5) whenever feasible, minorities and women should be included in study populations so that research findings can be of benefit to all persons at risk of the disease, disorder, or condition under study.

#### TYPES OF ASSISTANCE:

PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

Grant and contract funds may be used for personnel, equipment, supplies, domestic travel, consultants and guest lecturers, rental of space, renovations, and other costs directly related to the project as described in the approved application. Program funds may not be used for construction of facilities, acquisition of land, foreign travel, or support of students, including fellowships, stipends, tuition, fees, or travel allowances. Program funds may not be used to support patient care costs.

#### Applicant Eligibility:

To be eligible for a Chiropractic Demonstration Project, the applicant shall be: a health professions school, an academic health center, or public or private nonprofit accredited schools of chiropractic.

#### Beneficiary Eligibility:

Health professionals will benefit.

#### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### Award Procedure:

Notification is made in writing by a Notice of Grant Award.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

From 5 to 6 months from receipt of application.

#### Appeals:

Not Applicable.

#### Renewals:

At the end of the initial project period, competing continuation applications may be submitted for up to five years of support.

#### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### Reports:

No program reports are required. No cash reports are required. The Uniform Progress Report (UPR) must be submitted annually. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,817,438; FY 09 est \$1,827,000; FY 10 est \$1,945,000

**Range and Average of Financial Assistance:**

\$280,000 to \$360,000; \$320,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, four continuation awards were made. Fiscal Year 2009: In FY 09, 4 new awards are anticipated. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Catherine Rupinta, Program Officer, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1070.

**Headquarters Office:**

Catherine Rupinta 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-1070

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects include research projects addressing interdisciplinary evaluation of elderly back pain treatment outcomes by medical doctors and chiropractors; chiropractic treatment and exercise for geriatric patients with low back pain; and chiropractic treatment and exercise for geriatric patients with neck pain. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; and (6) Support Requested.

**93.213 RESEARCH AND TRAINING IN COMPLEMENTARY AND ALTERNATIVE MEDICINE**

National Center for Complementary and Alternative Medicine

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 485D, Title VI, Section 601, Public Law 105-277, 112 Stat. 2681-387, 42 U.S.C 281 as amended.

**OBJECTIVES:**

To evaluate alternative, complementary, or unconventional medical treatments. The following objectives support this goal: (1) coordinate and facilitate the investigation of alternative medical practices through peer-reviewed grant solicitations; (2) interface with the Center's National Advisory Council; (3) conduct technology assessment conferences for the purpose of establishing areas of Clinical and Pre-clinical research that need to be further developed within Alternative Medicine; (4) maintain a comprehensive bibliographic data base in conjunction with the National Library of Medicine; (5) and (6) establish an intra- and extra-mural clinical research fellowship program focusing on broad areas of clinical, scientific, and administrative training in CAM.

The National Center for Complementary and Alternative Medicine (NCCAM)

regularly examines and redefines its research priorities. In setting research priorities, NCCAM considers its existing research portfolio, its 5-year strategic plan, the recommendations of the National Advisory Council for Complementary and Alternative Medicine, current scientific advances, the plans of other NIH institutes and centers, and input from expert panels and stakeholders. Research constituting a rigorous evidence base for CAM practices will be developed through a range of research strategies including basic and translational research, and clinical investigation.

Current research priorities are shaped by the following considerations regarding Research Approaches, Areas of Special Interest, and Areas of Lower Program Priority.

**Research Approaches****Basic and Translational Research**

NCCAM's support of basic research emphasizes and encourages in vitro and in vivo studies of the biological effects and mechanisms of action underlying complementary and alternative medicine (CAM) approaches, as well as studies characterizing the active elements of an intervention. Studies should use state-of-the-art techniques in areas such as imaging, pharmacogenosy, proteomics and epigenomics, and employ optimal animal models and methodology.

NCCAM's support of translational research addresses the need for valid, reliable, and relevant research tools, outcome measures, and innovative methodology to enhance the rigor of CAM clinical studies and to ensure that they are maximally informative. Studies intended to identify and validate objective endpoints or biomarkers, assess and measure adherence or treatment fidelity, and otherwise strengthen the design of subsequent CAM clinical trials are emphasized.

**Observational Studies and Clinical Investigations**

NCCAM's clinical research portfolio utilizes clinical trial, case-control, observational, qualitative, and other experimental methodologies to determine safety and estimate the efficacy of CAM approaches. The clinical research portfolio also includes studies of the contribution to improved health and wellness made by CAM interventions as they are practiced in "real-world" settings.

Studies should be designed to inform decision making about the design of and/or the need for subsequent investigations. Important areas of investigation include examination of pharmacology, bioavailability, and ADME (absorption, distribution, metabolism, and excretion) of biologically based interventions; optimizing dosing of all types of CAM interventions; refinement and validation of outcome measures (including patient-reported outcomes that are particularly relevant to CAM modalities); optimizing control groups, masking strategies, and other methodological enhancements; obtaining preliminary data on safety and efficacy; and conducting early phase clinical investigations to elucidate mechanisms of action and to test models.

In general phase III clinical trials will be supported under the cooperative agreement mechanism after careful consideration by NCCAM Staff. Investigators interested in proposing phase III studies are strongly encouraged to contact a relevant NCCAM Program Officer.

**Areas of Special Interest**

Although a wide range of research topics are of interest to NCCAM, studies focusing on CAM interventions used frequently by the American public, and on the conditions for which they are most frequently used are particularly encouraged. These would include, but not be limited to, investigations of the impact of CAM modalities in alleviating chronic pain syndromes and inflammatory processes, and improving health and wellness. Among all types of studies, attention to a range of endpoints meaningful to improved health, well-being, and quality of life is strongly encouraged.

Investigators are urged to discuss applications with a relevant NCCAM Program Officer.

**Areas of Lower Program Priority**



NCCAM is already investing substantial resources in the following areas of research. We will continue to fund novel and significant research on these topics. However, until results of the currently funded studies are available, applications in these areas are likely to be considered of lower program priority. Investigators are strongly urged to contact the relevant NCCAM Program Officer before submitting an application in any of the following areas:

Clinical trials of saw palmetto and African plum (*Pygeum*) for benign prostatic hypertrophy  
Clinical efficacy or effectiveness studies of low-carbohydrate diets for weight loss  
Clinical studies of silymarin for chronic liver diseases  
Clinical studies using probiotics

#### Early Stage and New Investigators

NCCAM is strongly committed to assisting new and early stage investigators in establishing a research career. Early stage investigators are those within 10 years of completing their terminal research degree, or their medical residency, or its equivalent. New investigators are those who have yet to compete successfully for a substantial (e.g., R01) NIH research grant. Each Advisory Council round, based on available funds, NCCAM: 1) will consider early stage or new investigator status as one of the criteria for designating grant applications as being of high program priority and 2) may make additional R01 grant awards to new and early stage investigators with percentiles or scores beyond the formal payline.

NCCAM continues to accept applications in areas not listed. All investigators are urged to discuss potential applications with the relevant NCCAM Program Officer.

#### TYPES OF ASSISTANCE:

PROJECT GRANTS; TRAINING

#### USES AND USE RESTRICTIONS:

Project grants and cooperative agreements may be made to eligible institutions for the support of various projects in CAM. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals miscellaneous items, and indirect costs. For the individual post-doctoral training grant, support is for salary of the trainee, tuition and fees, self-only health insurance, research supplies, equipment, travel to scientific meetings, and related items.

#### Applicant Eligibility:

The awardee will be either a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator.

#### Beneficiary Eligibility:

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### Credentials/Documentation:

For-profit organizations costs are determined by in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. Costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. NIH is in the process of converting to SF424 (Research and Related (R&R)) forms and electronic submission through Grants.gov. Information on this plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process are at <http://era.nih.gov/ElectronicReceipt/>.

#### Award Procedure:

Award Procedure: All accepted applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (10) to worst (90) compete for available funds based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Grants and Cooperation Agreement: Approximately 10 months. Training: For 9 months.

#### Appeals:

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Office. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### Renewals:

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

#### Formula and Matching Requirements:

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

#### Length and Time Phasing of Assistance:

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years with prior approval before submission. Renewals may be awarded for additional periods of up to 5 years (with prior approval before submission) based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

#### Reports:

No program reports are required. No cash reports are required. Type 5 progress reports are required. Expenditure reports on a quarterly basis are sent to the data warehouse. Performance monitoring is not applicable.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### Records:

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

#### Account Identification:

75-0896-0-1-552.

#### Obligations:

(Project Grants) FY 08 \$88,371,000; FY 09 est \$88,547,000; FY 10 est not reported.

#### Range and Average of Financial Assistance:

range from low to high: R21, \$200,000 to U19 1.955 million.

#### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: NCCAMs approach to research on meditation illustrates on

how the Center develops a comprehensive research agenda and identified promising research direction. Meditation, a generic term for a variety of mind/body practices, induces a set of integrated psychological and physiological changes purported to be beneficial in a number of health conditions. Using state of the art imaging, NCCAM funded investigators are characterizing functional activity in the brain during meditation. Other investigators have demonstrate that meditative practices are associated with augmented response to vaccination, suggesting important linkage between medication, positive emotional states, local brain response, and improved immune function.

NCCAM, in collaboration with the National Institute on Aging, sponsored a new initiative, New Interventions for Menopausal Symptoms, to study alternative to menopausal hormone therapy. NCCAM continues to work with the National Heart, Lung and Blood Institute on the Trial to Assess Chelation Therapy in heart attack patients, and with the National Institute of Diabetes, Digestive and Kidney Diseases to support multi-center clinical trials of milk thistle for liver disease.

To explore the biological basis for differences in individual response to CAM modalities, NCCAM launched the initiative, Omics and Variable Responses to CAM. NCCAM funded two new Centers of Excellence in CAM Research. Using animal models investigators at the Mount Sinai School of Medicine in New York, and the Center for CAM Research on Autoimmune and Inflammatory Disease the University of South Carolina Research Foundation conduct mechanistic studies of grape based compounds, such as resveratrol, for Alzheimers dices and multiple sclerosis. Fiscal Year 2009: Basic research clarifies fundamental biological effects that are central to the development of the evidence base in CAM and underpins the design of clinical research. To address these needs, NCCAM will continue investigator-initiated basic research and will increase, through targeted initiatives, its support for translational research on CAM.

NCCAM added two new basic research centers to its cornerstone Centers of Excellence for Research on Complementary and Alternative Medicine (CERC) program during FY 2008 ([nccam.nih.gov/training/centers](http://nccam.nih.gov/training/centers)). The University of Chicago's Center for Herbal Research on Colorectal Cancer is studying the biological effects of two forms of ginseng and their potential in preventing cancer. The CERC at Montana State University is exploring the potential for certain biologically based therapies to alter the inflammatory response to infections in the lung and intestines. Several basic research awards were funded under the FY 2007 initiative, Mechanisms of Immune Modulation, studies the ability of various interventions to affect inflammatory processes that underlie many conditions, for which Americans frequently use CAM, such as chronic pain and allergy.

The NCCAM extramural research program funds multidisciplinary clinical investigations at leading U.S. biomedical and CAM research institutions on various CAM modalities. Clinical CAM research ranges from small pilot studies to large-scale clinical trials and epidemiological studies supported through solicited research initiatives, collaboration between NIH Institutes and Centers, and investigator-initiated research.

In FY 2008, NCCAM added two new centers on mind-body research to its CERC program. The University of California, San Francisco center is studying the effects of mindfulness-based stress reduction on obesity and the metabolic syndrome. The University of Wisconsin CERC is examining how different forms of meditation affect the brain's regulation of emotion. NCCAM also funded two new projects on Outcomes and Cost Effectiveness studying use of naturopathic care to treat diabetes and CAM approaches to the treatment of chronic fatigue syndrome. NCCAM continued to work collaboratively with other Institutes to support research on pain management.

To define research needs, priorities, and future directions for CAM research, it is essential to characterize and understand the patterns and trends in use of CAM by Americans. NCCAM leads a trans-NIH initiative to obtain the most comprehensive and reliable information available about CAM use in the United States through the National Health Interview Survey (NHIS). The NHIS, carried out by the CDC, is a national survey that annually monitors the Nation's health through personal interviews of a representative sample of the civilian, non-institutionalized U.S. population. In 2007, CAM-related questions were

posed to about 30,000 randomly selected NHIS participants. Data from the survey, which became available late in FY 2008, provide insights into the types of CAM people use, the reasons for which they turn to CAM, and the patterns of use. The 2007 data included information on CAM use among children.

Important observations from the data include the following:

Almost 40 percent of adults surveyed reported using some form of CAM during the previous 30 days.

Back pain was, by far, the most frequently cited reason for CAM use. Pain and pain-related problems make up half of the top 20 reasons for using CAM.

Among specific CAM modalities, the largest increases in use compared to the 2002 NHIS data were reported for meditation, massage, and yoga.

CAM use in the previous 30 days was more common among Whites, Asians, and Native Americans (ranging from 40-50%) than among African American and Latino groups (approximately 25%).

The largest increases in CAM use were among Americans over 85 years of age.

CAM use remains more common among individuals with chronic or serious illness, those with higher educational levels, and those between the ages of 50-59.

Preliminary data indicate that CAM use by children was less than and different in type than adult use, and that children were more likely to use CAM approaches if their parents did also.

Herbal medicines, dietary supplements, and probiotics are the most frequently used and widely available CAM products in the United States. However, evidence from rigorous preclinical and clinical research and development to support their use is often lacking. Research on the safety, efficacy, and mechanisms of action of these products present many challenges. First, natural products are inherently variable and may consist of complex mixtures containing many individual components. For example, the time and location of plant growth or harvesting may affect significantly the composition of herbal medicines, which in turn may influence the ultimate biological effects of the product. Second, natural products can be contaminated by substances that alter metabolism or cause adverse effects. For these and other reasons, careful attention to documentation of the sources, composition, and integrity of these products are essential in ensuring that they are safe and that research with them yields valid and importantly reproducible results.

To address these challenges, NCCAM has established a quality control program for herbal medicines, dietary supplements, probiotics, and similar products used in NCCAM-supported research. Prior to funding of research grant awards, NCCAM requires that investigators submit information documenting the source, composition, and process of production of the product to be studied. These building blocks of information, critical to the integrity of the research, are reviewed by a panel of scientific experts, the NCCAM Product Integrity Working Group (PIWG). The PIWG's mission is to ensure that the particular product to be used in NCCAM-funded research meets specific criteria of analysis and quality before a grant is issued. Investigators are also required to present a plan to reserve samples for future verification or analyses, should it be needed.

From its establishment in 2006 through the end of FY 2008, NCCAM's product integrity initiative has evaluated product information for more than 220 research projects. The program is now widely recognized for its rigor, and for the standard of excellence that it sets for the field of natural product research. Most important, the program ensures that the ensuing research will be optimally designed, rigorously conducted, and maximally authoritative. Fiscal Year 2010: In FY 2010 NCCAM will make awards under a new initiative (to be released in FY 2009) entitled Program for Translational Tools for CAM Clinical Research, which will fund research on metrics, standard protocols, and outcome measures aimed at improving the quality, consistency, and comparability of clinical CAM research. The Center will also fund studies under its initiatives Dietary Supplements Research Centers: Botanicals; Exploratory/Developmental Grant for Complementary and Alternative Medicine Studies using Cells, Tissues, and Animal Models of Disease; and Biology of Manual Therapies.

In FY 2010, NCCAM will continue to fund a portfolio of investigator-initiated

clinical research, including new research projects under its initiatives Effectiveness Research CAM Interventions and Chronic Back Pain; Exploratory/Developmental Grant for Complementary and Alternative Medicine Studies of Humans; Outcomes, Cost-Effectiveness, and the Decision Making Process to Use Complementary and Alternative Medicine; and Omics and Variable Research Responses to CAM: Secondary Analysis for CAM Clinical Trials.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Goldrosen 6707 Democracy Blvd  
suite 401  
, Bethesda, Maryland 20817 Email: goldrosen@mail.nih.gov Phone:  
3015942014

**Website Address:**

<http://nccam.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; (6) the relevance and importance to the announced program objectives; and (7) the interfacing of conventional researchers and technology with unconventional/alternative clinicians for the purpose of providing clinical and scientific collaborations when and where appropriate.

**93.220 CLINICAL RESEARCH LOAN REPAYMENT PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Clinical Research Loan Repayment Program; CR LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 41631, Public Law 100-43, 288-5 U.S.C.

**OBJECTIVES:**

To recruit and retain health professionals from disadvantaged backgrounds to conduct clinical research at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in clinical research as employees of the NIH for a minimum two-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. One-year continuation contracts are available, dependent upon the level of debt and continued involvement in clinical research. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half

of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree; or hold the position of Physician Assistant; (3) come from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (5) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (6) are not eligible to participate in the CR-LRP if they have an existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (7) submit an application to participate in the CR-LRP; and (8) sign and submit to the Secretary of Health and Human Services, at the time of agreeing to accept repayment of educational loans, a contract agreeing to engage in clinical research as an employee of the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

Clinical researchers from disadvantaged backgrounds who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from governmental or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during period when debt was incurred; (3) copies of recommendations, special skills, certifications, or other copies of loan documentation; (4) certification from the school(s) attended that the applicant qualified for participation in an educational assistance program for individuals from disadvantaged backgrounds which are sponsored by the Secretary of Health and Human Services or self-certification describing circumstances which qualify him/her under the Secretary's definition of an individual from a disadvantaged background; and (5) other documentation as may be required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 2-year contract, participants may apply and be recommended for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 2 years and whose renewal ranking scores within the funding range. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program participants must be certified quarterly as to having satisfactorily performed their research assignments. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$309,000; FY 09 est \$77,000; FY 10 est \$361,000

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayments range from \$4,000 to \$70,000, Tax

reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$68,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Nine awards were made in fiscal year 2008. Fiscal Year 2009: Three awards were made in fiscal year 2009. Fiscal Year 2010: NIH projects that nine awards will be granted in 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487E of Public Health Service Act (42 U.S.C. 288-5); Public Law 105-392; Federal Register, Volume 59, No. 201, October 19, 1994; 42 CFR Part 68a Federal Register, Volume 63, No. 210, October 30, 1998.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Cephalic phase of insulin secretion is a well documented physiological response that is regulated by autonomic and endocrine responses to food-related sensory stimulation such as sight, smell and taste. Human taste perception comprises of at least five distinct qualities: bitterness, saltiness, sourness, sweetness, and umami. Umami is a sensation elicited by glutamate, commonly found in protein such as meat, fish, and legumes as well as flavor enhancers such as monosodium glutamate (MSG). Both the sweet and and umami taste stimuli had been shown to illicit cephalic-phase insulin release in rats. Oral sensory stimulation in human with modified sham feeding (MSF - where food is smelled, tasted, and chewed, but not swallowed) had been shown to elicit the same response. The loss of this cephalic phase in insulin response has been shown to impair glucose tolerance. Furthermore, patients with type 2 diabetes and their first degree relatives had been shown to have impairment of sweet taste. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Clinical Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified clinical research and qualifies as being from a disadvantaged background. LRC approval, in part, is based upon the scientific merit of the research and the credentials of the applicant as they relate to performing qualified clinical research.

**93.223 DEVELOPMENT AND COORDINATION OF RURAL HEALTH SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 711, as amended, (42 U.S.C. 912).

**OBJECTIVES:**

To (1) Build and sustain rural health infrastructure by providing technical assistance to rural communities , (2) provide guidance and best practices on

rural health networks (3) improve quality of rural health care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved activities in accordance with the intent of the cooperative agreement as stipulated in the notice of grant award.

**Applicant Eligibility:**

Nonprofit private organizations that represent national, State and local rural health constituencies. The applicant must represent National, State, and local constituency groups who are interested in and committed to improvements in rural health care.

**Beneficiary Eligibility:**

Underserved populations in rural areas and rural health care providers wishing to expand their services. Rural health care advocacy groups and their constituents.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually for a project period of 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Final Performance Report and a financial status report are due 90 days following the end of the project period. No cash reports are required. A

progress report and a financial status report are to be submitted within 90 days after the close of the budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$750,000; FY 09 est \$750,000; FY 10 est \$756,000

**Range and Average of Financial Assistance:**

Average award is \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: One non-competing continuation award was funded in FY 09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. The Office of Rural Health Policy, Health Resources and Services Administration, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

The Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.913 Grants to States for Operation of Offices of Rural Health

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Preparation of rural health funding and resource guides. Rural Health and Human Services information dissemination. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and rated on the applicant's ability to address the following areas: To (1) Build and sustain rural health infrastructure by providing technical assistance to rural communities, (2) provide guidance and best practices on rural health networks (3) improve quality of rural health care.

**93.224 CONSOLIDATED HEALTH CENTERS (COMMUNITY HEALTH CENTERS, MIGRANT HEALTH CENTERS, HEALTH CARE FOR THE HOMELESS, PUBLIC HOUSING PRIMARY CARE, AND SCHOOL BASED HEALTH CENTERS)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 330(e), (g), (h), and (i).

**OBJECTIVES:**

To improve the health of the Nation's underserved communities and vulnerable populations by assuring access to comprehensive, culturally competent, quality primary health care services. Individual health center grant mechanisms include: (1) Community Health Centers; (2) Migrant Health Centers; (3) Health Care for the Homeless; and (4) Public Housing Primary Care Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds may not be used for inpatient services, or to make cash payments to intended recipients of services.

**Applicant Eligibility:**

Eligible applicants are public and non-profit private entities, including tribal, faith-based and community-based organizations that have the capacity to effectively administer the grant.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. After Notices of Grant Award are issued, funds are

released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Uniform Data Reporting Annual reports. No cash reports are required. FSR. No expenditure reports are required. Performance Monitoring Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,819,000,000; FY 09 est \$1,915,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$200,000 to \$11,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, the Health Center program served over 17 million patients. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Headquarters Program Office: Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: (301) 594-4488; Central Mid-Atlantic Division: (301) 594-4420; Western Division: (301) 480-1130.

**Headquarters Office:**

Bureau of Primary Health Care 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 594-4110

**Website Address:**

<http://www.hrsa.gov> .

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are available in the funding opportunity guidance document. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those

programs.

### **93.225 NATIONAL RESEARCH SERVICE AWARDS\_HEALTH SERVICES RESEARCH TRAINING**

#### **FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 487.

#### **OBJECTIVES:**

To provide predoctoral and postdoctoral training opportunities in health services research. Individual fellowships will be awarded directly to applicants for postdoctoral research training. Domestic institutions will also be awarded grants to enhance predoctoral and postdoctoral training programs and provide support to trainees selected by them. The purpose of these awards is to provide fellows and trainees with both academic training and actual experience in the application of research methods to the systematic analysis and evaluation of the organization, financing, utilization, and delivery of health care services.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Fellowship support is available for full-time health services research training. An institutional allowance is provided to the sponsoring institution for each fellow. Also, research training grants are awarded to institutions to provide support to trainees selected by the training program director at the grantee institution. This support is available for predoctoral and postdoctoral trainees. Offsets for tuition and fees are allowable for trainees, and an amount for training related expenses will be provided. Facilities and administrative costs may be requested at 8 percent of allowable direct costs (less tuition and fees), or the negotiated facilities and administrative cost rate, whichever is less. Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The thirteenth and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation. Discretionary funds are available.

#### **Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applicant institutions must have or expand training programs designed to develop competent investigators in the methods and techniques of conducting health services research. State or local governments and U.S. Territories are eligible. Profit-making organizations are not eligible. Individual applicants for postdoctoral fellowships must have received a clinical or research doctoral degree. Individual applicants for predoctoral fellowships must be from ethnic/racial groups that have been determined to be underrepresented in biomedical or behavioral research. All persons supported as fellows or trainees must be citizens or noncitizen nationals of the United States, or have been lawfully admitted for permanent residence.

#### **Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, are the beneficiaries of this program.

#### **Credentials/Documentation:**

An individual applicant for a postdoctoral fellowship must document receipt of a doctoral degree and acceptance by an appropriate institutional sponsor. Institutional applicants for training grants must document their research and training experiences, staff, curriculum, facilities, and other resources available. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Information about health services research areas being supported is available from AHRQ. Individual fellowship applicants and institutions should submit Form SF 424 R&R. For State agencies, no State Plan is required. For State and local governments, the standard forms, as furnished by PHS and required by 45 CFR, Part 92, may be used. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

#### **Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued. Before receiving support, all individual fellows and institutional postdoctoral trainees must submit required forms, including a payback agreement.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Contact Headquarters Office for deadline dates for Institutional Training Grants. Individual applications for predoctoral and postdoctoral fellowships are due: April 8, August 8, and December 8.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

If additional support is desired to continue a grant beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Generally, no individual may receive more than 3 years of aggregate National Research Service Award support at the postdoctoral level, or 5 years at the predoctoral level, including any combination of support from institutional and individual awards.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Individual fellowship support at the postdoctoral level is generally limited to 3 years and at the predoctoral level to 5 years. Institutional training grants may be awarded for project periods up to 5 years. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request system. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Program reports are not applicable. Grantees must submit quarterly SF272 reports to PSC. Annual and final progress reports are required. For Institutional Training Grants, a final progress report is due at the close of the project period. Annual reports of activities for tracking payback provisions are required of all fellows and trainees upon termination of support. Annual Financial Status Reports are also required for Institutional National Research Service Awards. These Financial Status Reports must be submitted within 90 days after the close of each budget period. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants records are subject to audit and inspection by Federal auditors.

#### **Records:**

Records must be retained for at least three years; records shall be retained

beyond the three year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Training) FY 08 \$7,820,000; FY 09 est \$7,902,000; FY 10 est \$7,902,000

**Range and Average of Financial Assistance:**

(Individuals) \$35,000 to \$65,000; \$45,000 average. (Institutions) \$250,000 to \$500,000; \$350,000 average. These figures are total costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 4 new and 2 continuing individual fellowships were funded and 28 institutional training grants were funded. Fiscal Year 2009: It is estimated that 6 individual fellowships and 28 institutional training grants will be awarded in fiscal year 2009. Fiscal Year 2010: In fiscal year 2010, it is estimated that the same number of fellowship and training grants will be awarded as in fiscal year 2009.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 42 CFR Part 66; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shelley Benjamin 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1528

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Support is provided for training in the following areas: health services research, research methods (including qualitative research), epidemiology, biostatistics, geriatrics, health administration and public health, medical information sciences, health policy and management, organizational behavior, clinical outcomes and effectiveness, primary care, health care quality, health economics and financing, child health, and vulnerable populations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Individual fellowship applications, the following review criteria will be used: (1) The applicant's past academic and research accomplishments; (2) research goals; (3) research training proposed; (4) qualifications of the sponsor; (5) appropriateness of training environment; and (6) reference reports. For Institutional training grant applications, the following review criteria will be used: (1) goals of the proposed training and probability of achievement; (2) substantive content, including courses offered; (3) qualifications and responsibilities of program director and faculty; (4) ability to recruit trainees; (5) extent of institutional participation through provision of necessary space, curriculum time, financial support, and appropriate facilities; (6) documented cooperation of related agencies in providing research experience; (7) proposed number of students; (8) methods for monitoring and evaluating trainees; and (9) reasonableness of budget. In all cases, AHRQ will consider the recommendations of the review committee, the Council program interests, and availability of funds in making the final selection of grantees.

**93.226 RESEARCH ON HEALTHCARE COSTS, QUALITY AND OUTCOMES**

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IX, 42 U.S.C 299 ff.

**OBJECTIVES:**

To support research and evaluations, demonstration projects, research networks, and multidisciplinary centers and to disseminate information on health care and on systems for the delivery of such care involving: (1) The quality, effectiveness, efficiency, appropriateness and value of health care services; (2) quality measurement and improvement; (3) the outcomes, cost, cost-effectiveness, and use of health care services and access to such services; (4) clinical practice, including primary care and practice-oriented research; (5) health care technologies, facilities and equipment; (6) health care costs, productivity, organization, and market forces; (7) health promotion and disease prevention, including clinical preventive services; (8) health statistics, surveys, database development, and epidemiology; and (9) medical liability. In support of this research, the Agency has a special interest in health care and its delivery in the inner city, in rural areas, and for priority populations (low-income groups, minority groups, women, children, the elderly, and individuals with special health care needs).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The research should contribute to the health services knowledge base from which empirically based information can be derived by policymakers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs (as referred to as facilities and administrative costs). Unallowable costs are indicated in the HHS Grants Policy Statement. Discretionary funds are available.

**Applicant Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, U.S. Territories, sponsored organizations, non-government organizations, minority groups, specialized groups, public or private institutions of higher education, and other public or nonprofit private agencies, institutions, or organizations. Research project grants may also be awarded to individuals. For-profit organizations are eligible to apply for these grants only if "cooperative agreement" is the designated funding mechanism. Organizations described in section 501(c)4 of the Internal Revenue Code that engage in lobbying are not eligible.

**Beneficiary Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, public or private nonprofit institutions, U.S. territories, Native American organizations, sponsored organizations, consumers, students, minority groups, specialized groups, health or education professionals, individuals, scientist/researchers, and the general public.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with DHHS Regulations 45 CFR 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in response to a Funding Opportunity Announcement (FOA). All FOAs are posted on [www.Grants.gov](http://www.Grants.gov). Refer to the FOA of interest for specific requirements regarding the application procedure as AHRQ is in the process of transitioning to the new SF-424 Research and Related (R&R) grant application form and to electronic submission through [www.Grants.gov](http://www.Grants.gov) for competing awards. For FOAs that have not yet been transitioned to electronic submission through [Grants.gov](http://Grants.gov), nongovernmental applicants should submit using Form PHS-398 (Rev. November 2007); State and local governments may submit using the standard application forms, as furnished by PHS and required by 45 CFR Part 92. For State agencies, no State Plan is required. Applications are reviewed and



evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be approved for project periods of up to 5 years, depending on the grant program. Refer to the FOA of interest for information regarding the maximum duration of the project period. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Grantees must submit quarterly SF272 reports to PSC. Progress reports are required on an annual basis. A final progress report must be submitted within 90 days after the end of a project. Inventions are to be reported immediately. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. A final FSR must be submitted within 90 days after the end of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$72,531,331; FY 09 est \$91,710,000; FY 10 est \$89,232,000

**Range and Average of Financial Assistance:**

\$2,900 to \$2,327,805; \$272,805 average. These are total cost figures (direct costs plus associated facilities and administrative costs, if appropriate).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 308 grants were provided to universities, hospitals, nonprofit private organizations, and State and local government agencies to conduct health services research and demonstration projects. Fiscal Year 2009: it is estimated that approximately 378 grants will be provided to similar organizations for the support of extramural health services research and demonstration and dissemination projects. Fiscal Year 2010: it is estimated that approximately 369 grants will be provided to similar organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 67, Regulations for Grants for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

George Gardner 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1447

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Centers for Education and Research on Therapeutics (CERTs); (2) Improving Health Care Quality through Health Information Technology; (3) Ambulatory Care Patient Safety Proactive Risk Assessment; (4) Consumer Assessment of Healthcare Providers and Systems (CAHPS) III; (5) Risk Informed Intervention Development and Implementation of Safe Practices in Ambulatory Care. Fiscal Year 2009: It is anticipated that AHRQ will support projects such as the Centers for Education and Research on Therapeutics; Consumer Assessment of Healthcare Providers and Systems (CAHPS) III; Utilizing Health Information Technology; and Accelerating Development of Methods for the Study of Complex Patients, as well as other projects relevant to the identified program priority areas of AHRQ. Fiscal Year 2010: It is anticipated that AHRQ will continue to support projects such as the Centers for Education and Research on Therapeutics; Consumer Assessment of Healthcare Providers and Systems (CAHPS) III; and Utilizing Health Information Technology, as well as other projects relevant to the identified program priority areas of AHRQ.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups of peers and recommended for approval on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Those approved proposals which are most relevant to the identified program priority issues of the AHRQ are funded to the extent that funds are available.

**93.228 INDIAN HEALTH SERVICE\_HEALTH MANAGEMENT DEVELOPMENT PROGRAM**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Law 83-568, 42 U.S.C. 2001-2004a; Indian Self-Determination and Education Assistance Act, Section 104 (b), Public Law 93-638, 25 U.S.C. 450, Section 9, Public Law 98-250; Public Law 100 - 472.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by providing a full range of curative, preventive and rehabilitative health services; and to improve the management capability of American Indians and Alaska Natives to assume operation of all or part of an existing Indian Health

Service (IHS) direct-operated health care program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance is used for four types of management related projects: (1) Feasibility Studies; (2) Planning; (3) Tribal Health Management Structure Development; and (4) Evaluation. Tribal management grants may not be used to support operational programs, or to supplant existing public and private resources. This assistance is available to Federally-recognized Indian Tribes and Tribal-sanctioned Tribal organizations.

**Applicant Eligibility:**

Federally-recognized Tribes and Tribally-sanctioned Tribal organizations.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant Tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as Tribal membership, enrollment, residence on tax exempt land, ownership of restricted property, active participation in Tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of Native Indian or Alaskan descent is required for direct services. Provisions of grants under Public Law 93-638 and its amendments require Tribal endorsement in the form of a Resolution to sanction Tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments (and Circular No. A-122 for Nonprofit Organizations) as implemented through program regulations 42 CFR 36 and applicable grant administration regulations 45 CFR, Part 92, (45 CFR 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant package may be found in Grants.gov or at [http://www.ihs.gov/NonMedicalPrograms/gogp/gogp\\_funding.asp](http://www.ihs.gov/NonMedicalPrograms/gogp/gogp_funding.asp). Information regarding the electronic application process may be directed to Michelle G. Bulls, Grants Policy Officer at (301) 443-6528. Applications under Public Law 93-638 to staff and manage health services and facilities may be submitted to respective IHS Area Office. Tribal Management Program is processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR 92 for Indian Tribes and OMB Circular No. A-110, if applicant is a nonprofit Tribal organization.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Headquarters.

**Deadlines:**

Jun 22, 2009 For Public Law 93-638 grants applications must be submitted 90 days prior to the proposed project start date. Specific types of grant projects may have specific deadlines imposed. Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 90 days. Grants are approved/disapproved within ninety (90) days from receipt of application/proposal in IHS Headquarters.

**Appeals:**

From 30 to 60 days. Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

**Renewals:**

Renewal of grants is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 days after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 days after the end of each budget period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 days after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 08 \$600,000; FY 09 est \$600,000; FY 10 est \$600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008 12 Tribal management project grants were awarded. Fiscal Year 2009: In fiscal year 2009 approximately 8 Tribe awards will be funded under this announcement subject to availability of funds. Fiscal Year 2010: In fiscal year 2010 approximately 8 Tribe awards will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36; 45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement, (Rev.) January, 2007; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for Indian Health Service Area Offices.

**Headquarters Office:**

Kimberly M. Pendleton 12300 Twinbrook Parkway Suite 360, Rockville, Maryland 20852 Email: [kimberly.pendleton@ihs.gov](mailto:kimberly.pendleton@ihs.gov) Phone: 3014432214

**Website Address:**

<http://www.ihs.gov/nonmedicalprograms/tmg/index.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.231 EPIDEMIOLOGY COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437, 25 U.S.C 1621m.

**OBJECTIVES:**

To develop epidemiology centers and public health infrastructure through the augmentation of existing programs with expertise in epidemiology and a history of regional support. Activities should include, but not be limited to, development of surveillance for disease conditions, epidemiological analysis, interpretation, and dissemination of surveillance data, investigation of disease outbreaks, development and implementation of epidemiological studies, development and implementation of disease control and prevention programs, and coordination of activities with other public health authorities in the region. Proposed activities which cover large population and/or geographical areas that do not necessarily correspond with current Indian Health Service (IHS) administrative areas are encouraged.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to develop and conduct activities to achieve at least one epidemiology programs in each of the 12 Areas of Indian country. The recipient activities will coordinate and participate in projects, investigations, or studies of national scope; and share surveillance and other data collected. IHS activities will convene workshops/meetings; provide technical assistance and consultation; provide training; conduct site visits; and coordinate all epidemiological activities on a national basis. Funds will be used to support activities that are directly related to the grant project. All indirect costs will be issued based on the indirect cost rate agreement that is negotiated by the recipient, as appropriate. 100% are discretionary funds.

**Applicant Eligibility:**

Any federally recognized Indian tribe or tribal organization, as defined in Section 4(d) and 4(e) of the Indian Health Care Improvement Act, Public Law 94-437, as amended. An intertribal consortia or Indian organization, if it is incorporated for the primary purpose of improving Indian health, and it is representative of the tribes or urban Indian communities in which it is located. An urban Indian organization is defined as a nonprofit corporate body situated in an urban center eligible for services under Title V of the Indian Health Care Improvement Act, Public Law 94-437, as amended.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will benefit.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; (2) tribal resolution(s); and (3) letters of support and collaboration with regional IHS, State, or university organizations. Costs will be determined in accordance with OMB Circular No. A-87 (State, local, and Indian tribal governments). OMB Circular No. A-122 (nonprofit organizations), and applicable grant administration regulations 45 CFR 74 and 45 CFR 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for

receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Daylight Time). Waivers from the electronic process must be made at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

**Award Procedure:**

These awards are issued under a competitive grant process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be awarded for project periods of up to 3 years. Within the project period, a continuation application must be submitted via grants.gov annually on a non-competitive basis for each year of support. Additional support is subject to availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division Of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Grants) FY 08 \$5,816,700; FY 09 \$6,000,000; and FY 10 est \$6,000,000.

**Range and Average of Financial Assistance:**

\$399,500 to \$540,000; \$469,750.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 94-437, Section 214(a)(1), as amended by Public Law 102-573; 45 CFR 92 and 45 CFR 74; authorizes the cooperative agreement grant awards. HHS Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: Dr. James Cheek; Division of Epidemiology and Disease Prevention, Indian Health Service, Headquarters West, 5300 Homestead Road, NE; Albuquerque, New Mexico 87110; Telephone: (505) 248-4132. For Grants Management Contact: Ms. Kimberly Pendleton; Senior Grants Management Officer, Division of Grants Operations, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. (Telephone numbers are not toll-free).

**Headquarters Office:**

Grants Policy Staff/OMS 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) The Northwest Portland Area Indian Health Board has established a Northwest Tribal Epidemiology Center in Portland, Oregon to serve the 39 federally-recognized tribes who are its members plus the two urban Indian organizations in the Portland Area of the Indian Health Center; and (2) The Alaska Native Tribal Health Consortium is establishing a new Alaska Native Epidemiology Center in Anchorage, Alaska, which will enhance the ability of Alaska Native health provider agencies to assess long-term changes in the health status of Alaska's 100,000 native people. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are introduction, current capacity and project objectives, approach and results and benefits, project evaluation, organization capabilities and qualifications, and budget. Consideration will be given to applicants: (1) Proposing to provide services to large regions consisting of more than a single IHS administrative area; and (2) demonstrating evidence of past and current epidemiological activities.

**93.232 LOAN REPAYMENT PROGRAM FOR GENERAL RESEARCH**

(NIH General Research Loan Repayment Program; GR-LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part VI, Section 487C, Public Law 100-43, 42 U.S.C 288-3.

**OBJECTIVES:**

To recruit and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in laboratory or clinical research as employees of the NIH for a minimum 3-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in laboratory or clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 3 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts for 1-year terms are available, dependent upon the level of debt and continued involvement in research that supports the research and institutional needs and the mission of the NIH. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (4) be appointed to the NIH Intramural Research Program under any temporary or permanent employment mechanism, so long as the employment has the potential to last a minimum of three years; (5) not be under any existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (6) submit an application to participate in the Loan Repayment Program for General Research; and (7) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in research as an employee of the NIH for a minimum of 3 years.

**Beneficiary Eligibility:**

NIH researchers who possess substantial unpaid educational debt relative to income will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from government or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during the period in which the debt was incurred; and (3) other documentation as may be required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 3-year contract, participants may apply and be considered for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 3-year period. One-year continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 3 years. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year

retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$4,409,000; FY 09 est \$4,972,000; FY 10 est \$4,767,000

**Range and Average of Financial Assistance:**

(Loan Repayment) For initial 3-year contracts, loan repayments awards may range from \$6,000 to \$105,000; Tax reimbursements range from \$2,966 to \$51,896. The average contract cost which includes loan and tax reimbursement is \$102,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Seventy-four awards were made in fiscal year 2008. Fiscal Year 2009: Seventy-three awards were made in fiscal year 2009. Fiscal Year 2010: NIH projects that 80 awards will be made in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487C of the Public Health Service Act (42 U.S.C. 288-3); Public Law 105-392; and Federal Register, Volume 59, No. 201, October 19, 1994. Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH General Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified research and has qualifying educational debt. LRC approval, in part, is based upon the scientific merit of the research, its priority to the research institutes, and the credentials of the applicant.

### **93.233 NATIONAL CENTER ON SLEEP DISORDERS RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

NIH Reauthorization Act of 1993, Public Health Service Act, Section 503: Subpart 2, Part C, Title IV, Section 424, 42 U.S.C. 285b et seq.

#### **OBJECTIVES:**

The purpose of the Center is to support research, training, health information dissemination and other activities with respect to sleep and sleep disorders, including biological and circadian rhythm research, basic understanding of sleep, chronobiological and other sleep related research; and to coordinate the activities of the Center with related activities of other Federal agencies, public and nonprofit organizations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### **Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a

doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Effective for the December 1, 2005 submission date and beyond, all SBIR and STTR Phase I, Phase II, and Fast-Track grant applications must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 (R&R) forms and Application Instruction Guide. Complete SBIR and STTR application instructions, including requirements for electronic submission, can be found at <http://grants.nih.gov/grants/funding/sbir.htm>. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: [asknih@od.nih.gov](mailto:asknih@od.nih.gov). For some special grant programs, applicants may be advised to submit directly to the Office of Scientific Review, Division of Extramural Research Activities, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Dec 01, 2006 New Research Grants: February 5, June 5, and October 5 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplements: March 5, July 5, and November 5. Individual NRSAs: April 8, August 8, and December 8. Individual NRSA: January 25, May 25, and

September 25. SBIR/STTR Grants: April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH grants information page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the

terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$39,222,000; FY 09 est \$48,605,000; FY 10 est \$49,577,000 - In fiscal year 2009, 110 research grants and National Research Service Awards were made. The estimates of fiscal year 2010 are 104 research grants and 8 National Research Service awards. The estimates for fiscal year 2011 are 104 research grants and 8 National Research Service Awards. In fiscal year 2009, for new and competing renewal awards: 203 grant applications were received, and of these, 35 were awarded; 12 National Research Service Award applications were received, and of these, 1 was awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2009, 4 Phase I awards, and 1 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$22,020 to \$2,312,166; \$426,233. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Since Sleep Disorders Research Program is now intergrated into the Cardiovascular, Lung and Blood Diseases Research Programs, all fundings related to sleep research have already been reported under the respective programs.

**Headquarters Office:**

Roy L. White 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: [whiter@nhlbi.nih.gov](mailto:whiter@nhlbi.nih.gov) Phone: 3014350310

**Website Address:**

<http://www.nhlbi.nih.gov/sleep>.

**RELATED PROGRAMS:**

93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.234 TRAUMATIC BRAIN INJURY STATE DEMONSTRATION GRANT PROGRAM**

TBI

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 1252, as amended, Public Law 104-166, 42 U.S.C. 300d-52.

#### **OBJECTIVES:**

To improve access to health and other services for individuals with TBI and their families.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Project grants to States to improve access to health and other TBI-related services for people of all ages are established within HRSA. Any State seeking TBI grant funds is required to agree to establish or have an advisory board within the appropriate health department of the State or within another department as designated by the Chief Executive Officer of the State. The Board's composition as specified must include representatives of the involved State agencies; public and nonprofit private health related organizations; disability advisory or planning groups; members of an organization or foundation representing individuals with TBI; State and local injury control programs if they exist, and a substantial number of individuals with TBI and/or their family members. The grants are called "Implementation Partnership Grants." These grants are to be used in building a statewide system to assure access to comprehensive and coordinated TBI services. Grants can address a wide range of activities and should reflect gaps or needed system change identified through the statewide TBI needs assessment.

#### **Applicant Eligibility:**

Only State governments are eligible to apply for funding under the TBI grant program. The application for Implementation Partnership funds may only come from the State agency designated as the lead for TBI services. The State maternal and child health program is expected to be involved in the program. Only one application from each State may enter the review process and be considered for an award under this program.

#### **Beneficiary Eligibility:**

Individuals with TBI and their families, including those in high risk groups, such as children and youth, the elderly, Native Americans and Alaska natives, military service members and veterans.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Final decisions are made approximately 3 to 4 months after receipt of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

No renewals; grants are approved for up to three years for Implementation Grants.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 35.%. States must make available nonfederal cash or in-kind matching funds in an amount that is not less than \$1 for each \$2 of Federal funds provided under the grant.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Awards are made annually in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are for 1, 2, 3, or 4 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Annual Reports. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 08 \$5,313,161; FY 09 est \$5,042,519; FY 10 est \$5,042,519

#### **Range and Average of Financial Assistance:**

\$100,000-\$250,000 \$225,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

See Regional Agency Offices. Janie Martin-Heppel, Project Director, Division of Services for Children with Special Health Care Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of



Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2370, E-mail: [jmartin-heppel@hrsa.gov](mailto:jmartin-heppel@hrsa.gov).

**Headquarters Office:**

Janie Martin-Heppel 5600 Fishers Lane, Room 18-A18, Rockville, Maryland 20857 Phone: (301) 443-2370

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: New York State Traumatic Brain Injury (TBI) Program for Culturally Competent TBI Services in NY City, Arizona KIDS with TBI, Oregon TBI Link Improving Access to Services for Individuals with TBI and Alabama an Interactive Community Based Model for Children with TBI. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed by nonfederal consultants who make recommendations to the Secretary of the Department. The Secretary will approve projects which best promote the purposes of TBI grants. Review criteria: The following review criteria apply to the State implementation grant: (1) the adequacy of the State's proposed method for linking its Statewide TBI Action Plan to the findings of the statewide needs assessment; (2) the extent to which the proposal reflects the involvement of necessary public/private organizations and agencies to assure a comprehensive approach and the necessary support to aid sustainability (3) the qualifications, experience, and commitment to the program as indicated by time that will be devoted to the program, of the designated lead person for TBI within the State; (4) the extent to which the proposed plan addresses those groups within the State that are at highest risk of sustaining a TBI, including, these groups, identified by the CDC: Children from 0-4, Adolescents from 15-19, the elderly, Native Americans, and other underserved populations. In addition, there should be a plan to assist veterans and service members and their families who request assistance. (5) reasonableness of the proposed budget, and effectiveness of the proposed plan to accomplish the goals and objectives the State has for its TBI program.

**93.235 ABSTINENCE EDUCATION PROGRAM**

Title V

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Title V, Section 510 of the Social Security Act.

**OBJECTIVES:**

To enable States to provide abstinence education, and at the option of the State, where appropriate, mentoring, counseling, and adult supervision to promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education" means an educational or motivational program that: (A) has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity; (B) teaches abstinence from sexual activity outside marriage as the expected standard for all school age children; (C) teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems; (D) teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity; (E) teaches that sexual activity outside of the context of marriage is likely to

have harmful psychological and physical effects; (F) teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society; (G) teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and (H) teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

The Governor of each State shall determine which agency will administer the Section 510 Abstinence Education program in each State. A letter from the Governor, or a designee within the Governor's office, must accompany each application. The application may be developed in consultation with the State Maternal and Child Health Services (MCHS) Agency as outlined by (Sec 505 (a)(5)(F)) or solely by a social services agency within the State that is identified and designated by the Governor. No funding will be awarded unless the State "has transmitted an application for the fiscal year under section 505(a)" of the Social Security Act, as required by section 510(a).

**Beneficiary Eligibility:**

School-age girls and boys, adolescents, at-risk populations subject to out-of-wedlock births, parents, youth serving professionals and families.

**Credentials/Documentation:**

The authorized representative, established under State law, shall apply for and administer the Section 510 State Abstinence Education Program. A signed letter from the authorized representative must accompany each application; it should include documentation establishing the authorized representatives authority to apply for and administer State Abstinence Education Grant Program funds on behalf of the State.

The application may be developed solely by the authorized representative or in consultation with the State Maternal and Child Health Services Agency (as outlined by Sec. 505(a)(5)(F) of the Social Security Act) and/or other relevant State agencies such as the State Department of Education.

A total of 59 States and Territories are eligible. Eligible entities include all 50 States, the District of Columbia, American Samoa, Guam, the Republic of the Marshall Islands, the Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, the Republic of Palau, the Commonwealth of Puerto Rico, and the U.S. Virgin Islands [45 Code of Federal Regulations (CFR) Part 96.2]. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The most recent program announcement (Funding Opportunity Number HHS-2008-ACF-ACYF-AEGP-0125) instructs States in how to apply for funding for FY 2009; awards are contingent upon Congressional re-authorization or the continued extension of the authorization and funding of the program. The program announcement can be found here: <http://www.acf.hhs.gov/grants/open/HHS-2008-ACF-ACYF-AEGP-0125.html>

Under this program announcement, States are applying for funds for FY 2009 through FY 2013 and will not be required to submit applications for the years FY 2010 through FY 2013 unless there are material changes made to the program. The program announcement provides additional details.

**Award Procedure:**

ACF will recruit and train Federal staff and contractors to review State applications. Program administrators will review observations and comments of reviewers to assure they are in compliance with guidelines and Federal law.

Applications will be rated Approved, Approved with Conditions, or Approval Pending.

States that submit applications that are Approved will receive grant awards and will not need to send further information.

States that submit applications that are Approved with Conditions" will receive grant awards with descriptions of weaknesses and subsequent conditions that must be met in order to receive Approved status. The applicants will be given a set time period to send to ACF a response that addresses the conditions.

States that submit applications that are rated Approval Pending will receive a list of weaknesses cited by the reviewer and directions for submitting an amended application that addresses the weaknesses. The State will not receive a grant award until the State submits a satisfactory application. The applicants will be notified of a final due date for submission of a satisfactory application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 75.%. There is a required match of 3 nonfederal dollars for every 4 Federal dollars. For example, if a states federal award is \$100,000, the State must provide a match of \$75,000, which would represent 43% of the total project cost of \$175,000 (counting both federal grant and state match). The match can be reached by use of state dollars, local government dollars, private dollars including foundation dollars, in-kind support, or any combination thereof. This program does not have MOE requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Section 503 of the Social Security Act, Any amount payable to a State under this title from allotments for a fiscal year which remains unobligated at the end of such year shall remain available to such State for obligation during the next fiscal year. For example, funds appropriated and allocated to the States in FY 2009 (starting October 1, 2008) are available for obligation and expenditures through September 30, 2010. Two-year budget periods are contingent upon Congressional re-authorization or the continued extension of the authorization and funding of the program. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports and financial expenditure reports are required. The SF-272 is the Federal Cash Transactions Report. Progress reports are due annually. Specific guidance regarding data to be reported is given in the program announcement. Program guidelines allow States to expend abstinence education funds over a two-year period. For FY 2009, the budget period is October 1, 2008 through September 30, 2010. An interim Financial Status Report (SF-269A) is due December 30, 2009, and a final fiscal report is due December 30, 2010. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As described in Title V, Section

506(b)(1) of the Social Security Act, each state shall, not less often than once every two years, audit its expenditures from amounts received under this title.

**Records:**

Records of the recipient shall be made available to the Secretary to secure an accurate description of the activities for which funds were spent in achieving the purposes of this section. States shall make available copies of reports and audits for public inspection within the State. Within 30 days following the completion of each audit report, the State shall submit a copy of that audit report to the Secretary.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$27,820,000; FY 09 est \$37,500,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range: \$57,057 - \$4,777,916

Average: \$847,458 (\$50 Million divided by 59 eligible States, Territories and the District of Columbia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal Year 2008: In FY 2008, \$27,819,537 Title V grants were awarded to 28 States and two territories. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address: <http://www.acf.hhs.gov/programs/fysb>

**Regional or Local Office:**

None.

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, SW - 8th Floor, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202-205-8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.010 Community-Based Abstinence Education (CBAE) ; 93.111 Adolescent Family Life Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, assemblies, community retreats, conferences and other activities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed for addressing all criteria given in the program announcement.

**93.237 SPECIAL DIABETES PROGRAM FOR INDIANS\_DIABETES PREVENTION AND TREATMENT PROJECTS**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Consolidated Appropriation Act 2001, Public Law 106-554; SDPI Reauthorization of 2002 Public Law 107-360 (FY 2004 through FY 2008).

**OBJECTIVES:**

To promote improved health care among American Indians/Alaska Natives through special diabetes prevention and treatment services projects with objectives and priorities determined at the local level. SDPI Reauthorization of 2002 includes a new initiative. The funding mechanism is a competitive grant program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in two areas

- primary prevention of diabetes in people with prediabetes and prevention of cardiovascular disease in people with diabetes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Public Law 107-360 funds (FY 2004-2008) to fund: 1) non-competitive grant programs to implement primary, secondary, and tertiary diabetic prevention and treatment and related data collection and 2) competitive demonstration projects to implement and evaluate (a) primary prevention of diabetes in people with prediabetes and (b) prevention of cardiovascular disease in people with diabetes. The award amount will include both direct and indirect costs. Grant funds may not be used for any other purpose. Funding may not be used as matching funds for other Federal programs.

**Applicant Eligibility:**

The Public Health Service Act, as amended, states that the following groups are eligible to apply for grants: Indian Health Service (IHS) entities: Indian tribes or tribal organizations who operate an Indian Health program. This includes program under a contract, grant, cooperative agreement or compact with the IHS under the Indian Self-Determination Act; and Urban Indian organizations that operate an urban Indian Health program. This includes programs under a grant or contract with the IHS under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

American Indians/Alaskan Natives will be the ultimate beneficiaries of the funded projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, "State and Local Governments," or OMB Circular No. A-122, for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of either 45 CFR 92 or 45 CFR 74, depending upon the type of applicant organization. Applications will be reviewed by the Division of Grants Operations in Headquarters East, Indian Health Service, for eligibility and compliance with the announcement. Chief Medical Officers (CMOs) and Area Diabetes Consultants (ADCs) in IHS Area Offices will be responsible for programmatic review, addressing the soundness of the proposed services, compliance of proposed service with the legislation, and recommending the proposed costs. Applications will be rated not ranked. Grants will be awarded based on CMOs and ADCs acceptance of the applications.

**Award Procedure:**

After review and approval, a notice of this grant award is prepared and processed along with the appropriate notification to the public.

**Deadlines:**

Oct 01, 2008 Contact the Division of Grants Operations, Headquarters Office for information regarding application deadline dates. Deadline dates are also noted in the grant announcement.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Funds are expected to be awarded no later than 45 days after complete applications are received. Awards could be delayed for applications not meeting initial approval.

**Appeals:**

From 60 to 90 days.

**Renewals:**

The 1997 BBA Public Law 105-33 project period is currently up to 5 years with non-competitive renewals projected annually. The HR 4577 Public Law 106-554 project period is projected to be 3 years with non-competitive renewals projected annually. The SDPI Reauthorization of 2002 Public Law 107-360 project period is up to 5 years with non-competitive grants and competitive grants renewals projected annually.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The Public Law 105-33 project was limited to 5 years (total) with annual budget periods. The Public Law 106-554 project was limited to 3 years (total) with annual budget periods. The Public Law 107-360 project is limited to 5 years (total) with annual budget periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 days after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 days after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, reports, books, documents, papers, or other records of the grantee, contractor, or subcontractor, or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR 92 or 45 CFR 74, Subpart D, as applicable, grantees are required to maintain grant records for 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records have been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 08 \$112,300,000; FY 09 est \$150,000,000; FY 10 est \$150,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Of the Public Law 107-360 funds: In FY 2004 and FY 2005, 330 non-competitive grants and 66 competitive grants were awarded. It is estimated that a similar number of grant awards will be made in FY 2006, FY 2007, and FY 2008. Fiscal Year 2009: Of the Public Law 107-360 funds: FY 2009 330 non-competitive grants and 66 competitive grants will be awarded. Fiscal Year 2010: In fiscal year 2010 a new announcement will be issued for the Special Diabetes Program Indians.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74; HHS Grants Policy Statement (Rev.) January, 2007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise E. Clark 12300 Twinbrook Parkway Suite 360, Rockville, Maryland 20852 Email: Denise.Clark@ihs.gov Phone: 3014432215

**Website Address:**

IHS Division of Diabetes Treatment and Prevention:  
<http://www.ihs.gov/medicalprograms/diabetes>. IHS Division of Grants Operations and Grants Policy: <http://www.ihs.gov/NonMedicalPrograms/gogp>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Public Law 107-360 funds (from FY 2004 through 2008), all grant programs reapply for continuation funding only.

**93.240 STATE CAPACITY BUILDING**

(Site Specific Activities Cooperative Agreement Program)

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Sections 104(i)(1)(E), (4), (6), (7), (9), (14) and (15), as amended; Superfund Amendments and Reauthorization Act of 1986, 42 U.S.C. 9604; Resource Conservation and Recovery Act, Section 3109(b) and (c), as amended; Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. 6939 (b) and (c).  
, 42 U.S.C 6939 (b) and(c).

**OBJECTIVES:**

To fulfill the mandated objectives of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) and the Superfund Amendments and Reauthorization Act (SARA) of 1986, as amended, in coordination with Agency for Toxic Substances and Disease Registry (ATSDR), by assisting public health agencies to build capacity to conduct (1) Health consultations, (2) public health assessments, (3) exposure investigations, (4) community involvement, (5) health education, and (6) public health studies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The uses are to strengthen State health agency environmental health programs. Services include public health assessments, consultations, exposure investigations, health education, and follow-up health investigations/studies. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies and services. Funds for contractual services may be requested.

However, the awardee, as the direct and primary recipient of PHS grant funds, must perform a substantive role in carrying out project activities and not merely serve as a conduit for an award to another party or provide funds to an ineligible party. Equipment may be purchased with cooperative agreement funds; however, the equipment must meet applicable Federal requirements. These funds may not be used by the recipient to conduct activities at any Federal site where the State is a party to litigation at the site.

**Applicant Eligibility:**

Eligible applicants are the official public health agencies of States or their bona fide agents or instrumentalities, to include the District of Columbia, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Marina Islands, the Republic of the Marshall Islands, and the Republic of Palau, and the Federally- recognized Indian tribal governments.

**Beneficiary Eligibility:**

Beneficiaries are individuals and/or families living in communities near or in proximity of Superfund sites.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application Form PHS 5161-1. Application packets are available from: Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Mailstop K-75, Atlanta, GA 30341. By formal agreement, the CDC Procurement and Grants Office will act for and on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR, determines applications to be approved and the priorities for funding. When an application is approved for funding, the Grants Management Officer, CDC, acting as the agent for ATSDR, will prepare a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 90 to 120 days. Awards are made for project periods from one to five years. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The annual awards are for a 12 month budget period within a three to five year project period. Noncompetitive continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Refer to the Funding Opportunity for guidance. Cash reports are not applicable. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for at least 10 years in accordance with EPS's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies". Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon request of the office of Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 08 \$9,400,000; FY 09 est \$9,400,000; FY 10 est \$9,400,000

**Range and Average of Financial Assistance:**

\$150,000 to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: 7704880572

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for core activities only were reviewed and evaluated based on the following criteria: (1) Proposed Program: (a) Merit scientific and technical merit of the proposed project to perform public health assessments, consultations, exposure investigations, health education and public health studies consistent with ATSDR guidance and in a timely manner. Applicant's ability to evaluate the public health impact of hazardous waste sites using health, environmental, and demographic data, and health-related concerns from the local community. (b) Requirements Applicant's understanding of the requirements, objectives, and complexities of the interactions required for a successful program. (c) Collaboration Applicant's plan to collaborate with political and private subdivisions of Federal, State, and local health and environmental agencies and community groups to obtain information needed for evaluating the public health impact of hazardous waste sites, disseminate results of findings, and prevent exposure if identified. (2) Program Personnel: The principal investigator or project director and his/her ability to devote time and effort to provide effective leadership, and the qualifications of the support staff. (3) Applicant Capability: Adequacy and commitment of institutional resources, facilities, space, and equipment necessary for conducting the project are available and sufficient. (4) Program Budget: Extent to which the budget is reasonable, clearly justified, and consistent with intended use of funds. The priority order for funding cooperative agreements was as follows: (a) Number

of proposed and/or listed National Priority List (NPL) sites (Federal and nonfederal) based on the most current EPA list, (b) number of Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites (Federal and nonfederal) based on the most current EPA list; (c) applicants who applied for both Core Activities and optional Activities; and (d) geographic distribution across the United States. (5) Human Subjects: Applicant's plan for adequate protection of human subjects. Applications for conducting Core Plus Optional Activities were reviewed and evaluated based on the following criteria: Proposed Program: In addition to the criteria outlined above for Core Activities, the applicant had to indicate an understanding of and capability for conducting human health studies as contained in the proposed site-specific protocol which had to include: (a) The approach, feasibility, adequacy, and rationale for the proposed study design, (b) the technical merit of the proposed study, (c) the proposed timeline, including measurable objectives, (d) proposed method for disseminating the results of the study.

**93.241 STATE RURAL HOSPITAL FLEXIBILITY PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Section 4201, Public Law 105-33. Reauthorized in 2008 in Public Law 110-275.

**OBJECTIVES:**

The State Rural Hospital Flexibility Program helps States work with rural communities and hospitals to develop and implement a rural health plan, designate critical access hospitals (CAHs), develop integrated networks of care, improve emergency medical services, provide support for quality improvement, quality reporting, performance improvements and benchmarking, and improve service and organizational performance.

The Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement and Information Services to Rural Hospital Flexibility Program Grantees provide technical assistance, support, and evaluation to the State Rural Hospital Flexibility Program grantees and Critical Access Hospitals.

The Delta Health Initiative (DHI) Cooperative Agreement Program addresses longstanding unmet rural health needs (access to health care, health education, research, job training, and capital improvements) of the Delta Region in the State of Mississippi.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

**Applicant Eligibility:**

States that have submitted a State Rural Health Plan to the Centers for Medicare and Medicaid Services (CMS) can apply. All other States need to submit an application to the Regional Administrator of their CMS Regional Office that expresses the State's interest in developing a Medicare Rural Hospital Flexibility Program before they can apply for grant funds.

**Beneficiary Eligibility:**

States with at least one hospital located in a non-metropolitan statistical area or county and provides CMS with necessary assurances.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

The State Rural Hospital Flexibility Program awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Information Services to Rural Hospital Flexibility Program Grantees- awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Delta Health Initiative Cooperative Agreement Program- awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A performance progress report is submitted with each noncompeting continuation application. A financial status report is to be submitted within 90 days after the close of the budget period. An annual data report is due within 30 days of the end of the budget period. A final program report is to be submitted within 90 days after the close of the project period. In addition, grantees are required to participate in a national program evaluation. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$500,000; FY 09 est \$500,000; FY 10 est \$500,000 - These figures are for the Information Services to Rural Hospital Flexibility Program Grantees. (Project Grants) FY 08 \$24,000,000; FY 09 est \$24,000,000; FY 10 est \$24,000,000 - These figures are for the Delta Health Initiative Cooperative Agreement Program. (Project Grants) FY 08 \$21,600,000; FY 09 est \$22,000,000; FY 10 est \$22,000,000 - These figures are for the The State Rural Hospital Flexibility Program . (Project Grants) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000 - These figures are for the Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement.

**Range and Average of Financial Assistance:**

The State Rural Hospital Flexibility Program- \$260,000 to \$650,000; \$490,000. Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement-\$1,000,000

Information Services to Rural Hospital Flexibility Program Grantees- \$500,000 Delta Health Initiative Cooperative Agreement Program- \$24,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The State Rural Hospital Flexibility Program- In FY 08, 45 continuation awards were made to States. Fiscal Year 2009: The State Rural Hospital Flexibility Program- It is estimated that 45 awards will be made in FY 09 and FY 10.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement- It is estimated that 1 award will be made in FY 09 and FY 10.

Information Services to Rural Hospital Flexibility Program Grantees- It is estimated that 1 award will be made in FY 09 and FY 10.

Delta Health Initiative Cooperative Agreement Program- It is estimated that 1 award will be made in FY 09 and FY 10. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. The State Rural Hospital Flexibility Program Contact: Steve Hirsch, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement- Program Contact: Nancy Egbert, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

Information Services to Rural Hospital Flexibility Program Grantees- Program Contact: Steve Hirsch, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 9A-55, Rockville, MD

20857. Telephone: (301) 443-0835.

Delta Health Initiative Cooperative Agreement Program- Program Contact: Bridget Ware, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: States have increasingly used their Flex resources for EMS activities, including training programs, needs assessments, quality improvement activities and network building. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters for selection criteria.

**93.242 MENTAL HEALTH RESEARCH GRANTS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 2000; Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To increase knowledge of basic brain and behavioral processes that underlie mental and behavioral disorders; to support epidemiological studies of biological and environmental risk factors; to translate basic and epidemiological research into the development of new diagnostics and interventions for preventing and treating mental disorders; to conduct clinical trials for testing the efficacy and effectiveness of interventions in controlled and real-world settings; and to conduct research to improve mental health service delivery and use. Research supported by the National Institute of Mental Health may employ theoretical, laboratory, clinical, epidemiological, and field studies. Studies may involve individuals with a mental disorder diagnosis, individuals with symptom levels that do not meet diagnostic thresholds, and healthy individuals of all ages. Research also may involve animal, computational, and mathematical models appropriate to the system being investigated and the state of the field. Areas eligible for research support are: basic and clinical neuroscience; genetics; geriatrics research; adult psychopathology; experimental therapeutics; developmental, behavioral, clinical, and epidemiological research relevant to mental disorders, behavioral disorders, and HIV/AIDS, in terms of the causes, prevention, treatment, and service delivery; basic (brain and behavior), clinical, and services research on the mental health problems of women, minorities, and rural populations; and research designed to eliminate mental health disparities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects by a named investigator in an area representing his/her specific interests and competencies. (2) Exploratory/Development and Clinical Exploratory/Developmental Grants encourage the development of new research activities in categorical program areas; (3) Small Research Grants provide research support specifically limited in time and amount for studies in categorical program areas; (4) Collaborative Clinical Research Grants support evaluations of various methods of therapy and/or prevention; (5) Program Project and Center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; and (6) Cooperative Agreements support single or a group of related research activities with greater involvement of federal staff. Standard small grants are limited to \$50,000 direct costs for a period of 2 years or less,

while other small grants are for less time and funds. SBIR and STTR grants are awarded in two stages: Phase I grants are awarded to establish the technical merit and feasibility of a proposed research and development effort; only Phase I awardees are eligible to receive Phase II support.

**Applicant Eligibility:**

Public, private, profit, or nonprofit agencies (including State and local government agencies), eligible Federal agencies, universities, colleges, hospitals, and academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses, and STTR grants can be awarded only to domestic small businesses which "partner" with a research institution in cooperative research and development. For further definitions, requirements, and restrictions see the SBIR and STTR Omnibus Solicitations of the NIH, CDC, and FDA for SBIR and STTR Grant Applications.

**Beneficiary Eligibility:**

Public, private, profit, or nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs will be determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For all other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Instructions for electronic submission may be found with the federal SF424 (R&R) form packages that are found in the SBIR/STTR funding opportunity announcements. Instructions are provided for SBIR Phase I and Phase II awards, respectively; as well as for STTR Phase I and Phase II awards, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Most applications must be prepared and submitted electronically. Most applicants use the SF 424 (Research & Related) for electronic submission. Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). Some institutions may submit the grant data directly (using what is called a system-to-system transfer). For further details, see [grants.gov](http://grants.gov) or eRA Commons. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the NIH Guide to Grants and Contracts and the Grants.gov sites (see URLs listed above). All SBIR and STTR applications must be submitted electronically. The timeline for transition to electronic applications and the new forms may be found at: <http://era.nih.gov/ElectronicReceipt/>. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Applications for the Resource-related Research Projects (R24) and Cooperative Agreement applications ("U" applications) must be prepared using the PHS 398 research grant application instructions and forms (Revised 11/2007). The PHS 398 is available at <http://grants1.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Consultation on a proposed project may be obtained from the NIMH branch or office responsible for the research area of interest. Applications are reviewed by principally nonfederal consultants recruited nationwide from the mental health field. The amounts of the award and period of support are determined on the basis of merit of the project and the nature of the grant mechanism. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge

Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR, Part 42.

**Award Procedure:**

All applications for research grants, cooperative agreements, SBIR and STTR grants are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Mental Health Council (excepting Small Grants). All competitive applications compete for available funds on the basis of scientific and technical merit, program relevance, and program balance. All SBIR and STTR applications receiving a priority score compete for set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Applications: From 240 to 270 days from submission of application. SBIR/STTR applications: About 7- 1/2 months; Mental Health Education Programs and Various/Small Grants: From 5 to 6 months. AIDS-related research is determined in 180 days.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a new competing request. Small grants, exploratory, and dissertation grants are for 1-3 years (depending on program) and are not renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Generally, Phase I awards are for 6 months, and Phase II awards are for 2 years. STTR: Generally, Phase I awards are for 1 year and Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization

is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: (1) a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or (2) an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 08 \$1,000,645,629; FY 09 est \$1,022,890,030; FY 10 est \$1,040,636,288

**Range and Average of Financial Assistance:**

\$20,850 to \$3,355,576; \$402,674.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008 NIMH made 87 SBIR/STTR awards totaling \$27,888,025. NIMH funded 2,485 grants in fiscal year 2008. Fiscal Year 2009: An estimated 2,395 grants will be funded in fiscal year 2009. Fiscal Year 2010: An estimated 2,319 grants will be funded in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grant Policy Statement (Revised 12/2003). Grants will be available under the authority if and administered in accordance with the PHS Grants Policy Statement and federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Applications; and Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean G. Noronha, National Institute of Mental Health, 6001 Executive Blvd, Room 6147, MSC 9609 Rockville, MD 20852 (for Express mail), (301) 443-3367, Fax: (301) 443-4720 [jnoronha@mail.nih.gov](mailto:jnoronha@mail.nih.gov), Bethesda, Maryland 20892-9609 Email: [jnoronha@mail.nih.gov](mailto:jnoronha@mail.nih.gov) Phone: (301) 443-3367. Fax: (301) 443-4720

**Website Address:**

<http://www.nimh.nih.gov>.

**RELATED PROGRAMS:**

93.281 Mental Health Research Career/Scientist Development Awards; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Basic and clinical neuroscience approaches to normal and disordered behavior; (2) genetic studies of psychiatric disorders; (3) neural bases of major psychiatric disorders; (4) genomic control of CNS development; (5) basic behavioral studies of cognition, emotion, and social behaviors; (6) epidemiological studies of risk and protective factors; (7) prevention of high-risk AIDS behaviors; (8) treatment studies of mental disorders; and (9) mental health services research for the seriously mentally ill. Fiscal Year 2009: See description for fiscal year 2008. Fiscal Year 2010: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded: (1) Technical merit of the proposed project as determined by peer review; (2) Availability of funds; and (3) Relevance to program priorities.

**93.243 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE**



(PRNS)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title V, Section 509; 516, 42 U.S.C 290bb; Children's Health Act of 2000, Section 520 A-J,581,582, Public Law 106-310.

**OBJECTIVES:**

Substance Abuse and Mental Health Service Administration (SAMHSA) was reauthorized by the Children's Health Action of 2000, Public law 106-310. Under this reauthorization, SAMHSA was given the authority to address priority substance abuse treatment, prevention and mental health needs of regional and national significance through assistance (grants and cooperative agreements) to States, political subdivisions of States, Indian tribes and tribal organizations, and other public or nonprofit private entities. Under these sections, CSAT, CMHS and CSAP seek to expand the availability of effective substance abuse treatment and recovery services available to Americans to improve the lives of those affected by alcohol and drug additions, and to reduce the impact of alcohol and drug abuse on individuals, families, communities and societies and to address priority mental health needs of regional and national significance and assist children in dealing with violence and traumatic events through by funding grant and cooperative agreement projects. Grants and cooperative agreements may be for (1) knowledge and development and application projects for treatment and rehabilitation and the conduct or support of evaluations of such projects; (2) training and technical assistance; (3) targeted capacity response programs (4) systems change grants including statewide family network grants and client-oriented and consumer run self-help activities and (5) programs to foster health and development of children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will provide immediately useful, practical knowledge that service providers need as they wrestle with the rapidly changing health care environment. Refer FY2010 SAMHSA Grants Funding Opportunities at [www.samhsa.gov](http://www.samhsa.gov). 100% of grants funds under this CFDA.

**Applicant Eligibility:**

Public organizations, such as units of State and local governments and to domestic private nonprofit organizations such as community-based organizations, universities, colleges and hospitals.

**Beneficiary Eligibility:**

other non-profits.

**Credentials/Documentation:**

Applicants must provide proof of licensure, accreditation, certification, or chartering to provide substance abuse and/or mental health services or such other credential documentation as specific for a particular topical area. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must comply with the Executive Order (E.O.) 12372 if their state(s) participates. Review process recommendations from the state Single Point of Contact (SPOC) are due no later than 60 days after application deadline. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants must use application form PHS 5161-1 (rev. 7/00). Application kits containing the necessary forms and instructions may be obtained by contacting: the National Clearinghouse for Alcohol and Drug Information, PO Box 2345, Rockville, MD 20847-2345. Phone: (301

468-26000 or 1 (800) 729-6686 or the National Mental Health Services Knowledge Exchange Network at 1 (800) 789-2647.

**Award Procedure:**

Applications for grants and cooperative agreements recommended for approval by the initial review group and concurred in by the appropriate National Advisory Council and the Center Director(s) are awarded directly by the appropriate Center (CMHS, CSAP, CSAT) to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90-120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. CMHS and CSAT, STOP DFC. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 7 years with 12 month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how assistance is awarded/released: SAMHSA awards grants projects for the twelve months budget period and release at the time the award is issued.

**Reports:**

Reports are required quarterly, semi-annually, or annually depending on individual program requirements. Quarterly reports are due to the Division of Payment. See above information. The Standard Long Form 269 Financial Status Report (FSR) is required 90 days after the end of the budget period. Site Visits, Conference Calls, Program Progress Reports and GPRA Data Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No A-133 entities that receive financial assistance of \$500,000 or more in a year shall have an audit made in accordance with A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Salaries) FY 08 \$527,085,532; FY 09 est \$564,656,271; FY 10 est \$442,170,236

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: program progress reporting and data. Fiscal Year 2009: program progress reporting and data. Fiscal Year 2010: program progress reporting and data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the HHS Grant Policy Statement, OMB Cost Principles, terms and conditions of award

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Services in Supportive Housing Program  
Conference Grant Program  
State/Tribal Youth Suicide Prevention Grants  
Campus Suicide Prevention Grants  
Targeted Capacity Expansion  
Minority SA/HIV Prevention Initiative  
Sober Truth on Preventing Underage Drinking Act Grants  
Cooperative Agreements for Screening, Brief Intervention, Referral and Treatment  
Targeted Capacity Expansion Program for Substance Abuse Treatment and HIV/AIDS Services  
Treatment Drug Courts  
Pregnant and Postpartum Women  
Adult Criminal Justice Treatment  
See [www.samhsa.gov](http://www.samhsa.gov) for other programs. Fiscal Year 2009: Campus Suicide Prevention Grants  
State and Tribal Youth Suicide Prevention Grants  
Jail Diversion and Trauma Recovery Program  
National Child Traumatic Stress Initiative  
Conference Grants  
Minority SA/HIV Prevention Initiative  
Strategic Prevention Framework State Incentive Grant Program  
Prevention of Methamphetamine Abuse  
Medical Residency Program  
Grants to Expand Substance Abuse Treatment Capacity in Targeted Areas of Need  
Assertive Adolescent and Family Treatment  
Juvenile Drug Courts  
See [www.samhsa.gov](http://www.samhsa.gov) for other programs. Fiscal Year 2010: Conference Grants  
Suicide Prevention Resource Center  
National Technical Assistance Center for Children and Adolescent Mental Health Cooperative Agreement  
Statewide Consumer Network Grants  
Statewide Family network Grants  
Projects to Deliver Peer-to Peer Recovery Support Services  
Grants to Expand Substance Abuse Treatment Capacity in Targeted Areas of Need  
Offender Reentry Program  
Grants to Expand Substance Abuse Treatment Capacity for Juvenile Treatment Drug Courts  
Cooperative Agreement for the Physician Clinical support System for the Treatment of Substance Use Disorders  
See [www.samhsa.gov](http://www.samhsa.gov) for other programs to be posted in FY2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Application submitted related to merit, peer review criteria scored, and generally funded in score order.

**93.250 GERIATRIC ACADEMIC CAREER AWARDS****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(c) of the Public Health Service Act, as amended by the Health Professions Education Partnership Act of 1998, Public Law 105-392 (42 USC 294c(c)).

**OBJECTIVES:**

To increase the number of junior faculty at accredited schools of allopathic and osteopathic medicine and to promote the development of their careers as academic geriatricians. Awards provide financial incentives for junior faculty to pursue academic careers in geriatrics.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

As provided by Section 753(c)(5) of the authorizing legislation, an individual receiving an award under this subsection shall provide training in clinical geriatrics, including the training of interdisciplinary teams of health care professionals. The provision of such training shall constitute at least 75 percent of the obligations for individuals under this award.

**Applicant Eligibility:**

An individual must be: (1) Board certified or Board eligible in internal medicine, family practice, or psychiatry; (2) have completed an approved fellowship program in geriatrics; and (3) have a junior faculty appointment at an accredited school of medicine (allopathic or osteopathic medicine).

**Beneficiary Eligibility:**

Junior faculty at an accredited school of medicine (allopathic or osteopathic medicine).

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made within 3 to 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations will not be entertained by the program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Five (5) years. Funding beyond the first year is dependent on the availability of appropriated funds for the Geriatric Academic Career Award Program in FY 2011, grantee satisfactory performance, and a decision that funding is in the best interest of the Federal government. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web

based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. An Annual Progress Report must be submitted annually. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$6,418,000; FY 09 est \$6,278,819; FY 10 est \$6,278,819

**Range and Average of Financial Assistance:**

FY 09: \$69,436/Awardee and the amount will be annually adjusted by the Consumer Price Index.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08: total \$5,956,442.71 supported 86 awardees in the amount of \$65,629. Fiscal Year 2009: In FY 09: total \$6,278,819 supported 84 awardees in the amount of \$69,436. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. CDR Young Song, Senior Program Management Consultant, Division of Nursing, Health Resources and Services Administration, Room 8C-26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

CDR Young Song 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857 Phone: (301) 443-6333

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All projects are funded to meet the objectives as stated above. Community-based primary care training is provided at three levels: (1) Undergraduate medical students plus at least two associated health professions, e.g., nursing dentistry, mental health, pharmacy, allied health; (2) graduate-primary care residents, e.g., family medicine, general internal medicine or general pediatrics; (3) continuing education- to full range of local providers, including NHSC personnel. Health career training experiences to be provided to elementary or secondary students from medically underserved areas. Funded programs are listed at <http://bhpr.hrsa.gov/ahec/basic.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In determining the funding of applications, consideration is given to: There are three review criteria for the Geriatric Academic Career Award:

1) Career Development Plan (Maximum Value: 40 points):

Extent to which the applicants career goals as identified in the career development plan meet the purpose of the Geriatric Academic Career Award to develop into an academic geriatrician who emphasizes teaching geriatrics, including teaching interdisciplinary teams.

How well the plan identifies a three-year outcome that will enhance academic clinical geriatrics and the individuals own career as an academic geriatrician. The specificity of objectives and plans for achieving the overall goal. The extent to which identified objectives and specific plans are likely to lead to meeting the career goal.

Extent to which training interdisciplinary teams of health professionals is included in the career development plan.

Extent to which specific plans will result in research and/or publication opportunities and productivity in national professional societies.

Extent to which specific plans will result in a) meeting the statutory service requirement (75% time pursuing the goals of the GACA), b) interacting with and learning from other clinician-educators locally and nationally, and c) obtaining the necessary pedagogical skills to achieve career goals.

The quality of the applicants plan for assessing his or her own progress toward meeting career goals, including his or her effectiveness as a teacher.

Description of how the objectives for the proposed project support HRSA's Cultural and Linguistic Competence Related Objectives.(see section K)

2) Applicants Previous Training and Experience (Maximum Value: 30 points):

The extent to which the applicants previous training and experience will contribute to the achievement of the goals, objectives, and plans described in the applicants Career Development Plan

Fellowship experience

Clinical experience

Teaching experience

Past evidence of commitment to geriatrics

3) Institutional Support (Maximum Value: 30 points): The extent to which the commitment and expertise of the mentor and the commitment of the institution to provide a supportive environment for the achievement of the applicants career goals and willingness to meet reporting requirements are demonstrated.

Expertise of the mentor

Adequacy of frequency of meetings with the mentor

Clinical assignments and opportunities provided by the institution

Teaching assignments and opportunities provided by the institution

Time provided to achieve the goals of the award

Opportunities for leadership provided.

**93.251 UNIVERSAL NEWBORN HEARING SCREENING**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 399M of the Public Health Service Act.

**OBJECTIVES:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated do not return for follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Support is also provided to one national technical resource center.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening

examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated do not return for follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Applicants should have a relationship with both the Title V programs and the Early Intervention programs.

**Applicant Eligibility:**

Grants to States and one grant to an organization that will provide technical assistance to the States.

**Beneficiary Eligibility:**

Infants/Families will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made 2 to 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 3-5 years. The submission of a progress report and budgetary information will be requested for each continuation year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter-of-Credit or Cash Demand System. See the following for information on how assistance is awarded/released: Notification is made in writing by a Notice of Grant Award.

**Reports:**

Annual Report. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$10,189,000; FY 09 est \$15,362,356; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$125,000 to \$1,500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fifty-six State/territorial projects and one national technical assistance project were awarded in fiscal year 2008. Fiscal Year 2009: It is anticipated that 57 State/territorial projects and the technical assistance project will be funded in fiscal year 2009. The technical resource cooperative agreement also receives support. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Irene Forsman, Integrated Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9023.

**Headquarters Office:**

Irene Forsman 5600 Fishers Lane, Room 11-A18, Rockville, Maryland 20857  
Phone: (301) 443-9023

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds have been awarded to State/territorial health agencies for implementation of universal statewide newborn hearing screening prior to hospital discharge with linkages to a medical home, audiologic diagnosis by 3 months of age, enrollment in a program of early intervention services and linked to family support by 6 months of age for infants identified with hearing loss. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The objective review of all applications includes thorough and consistent examinations of each submission by persons knowledgeable in the field for that support is requested and has no direct relationship with the organization or individual submitting the application and do not have personal or invested interest in the award of a grant to that organization or individual. Peer review is a system that uses reviewers that are the professional equals of the principal investigator or program director and will be responsible for directing or conducting the proposed project. That is a form of objective review. Reviewers may be Federal or nonfederal. Final review criteria are included in the application kit.

**93.253 POISON CONTROL STABILIZATION AND ENHANCEMENT GRANTS**

(Poison Control Centers, PCC)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Poison Center Support, Enhancement, and Awareness Act of 2008, Public Law 110-377.

**OBJECTIVES:**

The objectives are (1) to support PCCs efforts to prevent and provide treatment recommendations for poisonings; (2) to comply with operational requirements needed to sustain certification and or achieve certification; and (3) to conduct an evaluation of the strategies and activities undertaken within the project application and other purposes as stated in Section 1273 (b) of Public Law 110-377.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance provided under this program may be used to support PCCs efforts to prevent and provide treatment recommendations for poisonings and to conduct an evaluation of the strategies and activities undertaken within the project application; support certification efforts of non-certified centers in order to improve access to poison education, prevention, and treatment services; and encourage the development and implementation of innovations or improvements that expand the organizational capacity of PCCs by strengthening their operational infrastructure, improving their ability to increase access to high quality services and promoting poison prevention education and outreach to high-risk and underserved populations.

**Applicant Eligibility:**

State-designated Poison Control Centers.

**Beneficiary Eligibility:**

Residents of the 50 United States, Puerto Rico, the District of Columbia, the U.S. Virgin Islands, Guam, American Samoa, and the Federated States of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. including documentation of maintenance of effort. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions will be made 2 to 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be determined by the Associate Administrator for the Bureau of Healthcare Systems and extensions are requested in writing addressed to the

Grants Management Specialist.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Describe here. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A final report will be required. Program service reports, and/or special reports must be submitted as required. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 08 \$22,555,587; FY 09 est \$25,069,000; FY 10 est \$25,069,000

**Range and Average of Financial Assistance:**

\$125,000 to \$2,833,040.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY08, 57 grants and 9 cooperative agreements were made. Fiscal Year 2009: It is estimated that 55 grants and 9 cooperative agreements will be awarded in FY09. Fiscal Year 2010: It is estimated that 55 grants and 9 cooperative agreements will be awarded in FY10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Poison Control Program, Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 10C-06, 5600 Fishers Lane, Rockville, Md. 20857. Telephone: (301) 443-6192.

**Headquarters Office:**

Poison Control Program 5600 Fishers Lane, Room 10-C06, Rockville, Maryland 20857 Phone: (301) 443-6192

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded Incentive Grants include:

The Low Literacy Poison Prevention Project is funded by an incentive grant

awarded to Banner Poison Control Center in Phoenix Arizona. This project forms a partnership between the Banner Poison Control Center and the Home Safety Council in Washington, D.C. to develop a unique program of poison center outreach to the underserved low literacy population.

The PCC Collaborative Communication Training Program is funded by an incentive grant awarded to the Utah Poison Control Center in Salt Lake City, Utah. The purpose of this project is to perform a broad-based assessment of PCC needs for communication training to complement training in toxicology and to use the information to develop a communication training program for Specialists in Poison Information (SPIs) in PCCs nationwide. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Completeness and clarity of the project narrative; practicality and achievability of the plan to use requested grant funds stabilize the PCC financially and increase access to services; clarity and appropriateness of the budget and coordinated budget narrative; strength and adequacy of professional staff and subcontractors; clarity and strength of methodology; and strength of letters of support for any collaborative efforts.

#### **93.254 INFANT ADOPTION AWARENESS TRAINING**

IAATP

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Children's Health Act of 2000, Title XII, Subtitle A and B, Section 330F and Section 330G, Public Law 106-310.

#### **OBJECTIVES:**

To develop and implement programs to train designated staff of eligible health centers in providing adoption information and referrals to pregnant women on an equal basis with all other courses of action included in non-directive counseling to pregnant women.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used to plan and implement: (1) approved programs directly or through grants or cooperative agreements with other adoption organizations; (2) a training curriculum, consistent with best practice guidelines; (3) reimbursement to eligible health centers for all costs in obtaining the training. Project funds may not be used for construction.

#### **Applicant Eligibility:**

Nonprofit private national, regional, or local organizations among whose primary purposes are adoption and are knowledgeable in all elements of the adoption process, e.g., types of adoptions, relevant State and local laws regarding relinquishment procedures and putative father involvement and medical and financial resources for birth mothers, and on providing adoption information and referrals to pregnant women.

#### **Beneficiary Eligibility:**

Private nonprofit organizations, health professionals, health staff of Federally funded voluntary family planning projects supported under Section 1001 of the Public Health Service Act, staff of community health centers, migrant health centers, and centers providing services to homeless individuals and centers providing services to residents of public housing supported under Section 330 of the Public Health Service Act. PHS-funded school health centers, and public health clinics, or any health professional providing option counseling to pregnant women.

#### **Credentials/Documentation:**

Demonstration of 501(c)(3) status or status pending with the IRS. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

#### **Award Procedure:**

Review is conducted by at least three nonfederal professionals. Final funding decisions will be made by Commissioner, ACYF.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. Application deadlines can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

#### **Appeals:**

Other - Not Specified.

#### **Renewals:**

Other - Not Specified.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

One to Five years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Recipients will be required to submit programmatic performance reports semi-annually. PSC-272. Progress reports are not applicable. Recipients will be required to submit financial expenditure reports semi-annually. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report.

#### **Account Identification:**

75-1536-0-1-506.

#### **Obligations:**

(Project Grants (Discretionary)) FY 08 \$12,453,000; FY 09 est \$12,953,000; FY 10 est \$12,953,000

#### **Range and Average of Financial Assistance:**

FY 08: \$722,944 to \$4,228,357 with an average of \$1,503,856.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, there were six programs funded under the Infant Adoption Awareness Program. The national program was awarded to Spaulding for Children. There were five regional programs funded. Harmony Adoptions of Tennessee, Inc. will train health care workers in the eight states in DHHS Region IV. Lutheran Social Services of South Dakota will conduct training in the six states in DHHS Region VIII. Arizona's Children Association will train workers in Arizona and Nevada. The National Council for Adoption will conduct Infant adoption awareness training for Region III(DE,DC,MD,PA,VA,WV). Latino Family Institute, Inc. will train services in 11 highly populated, multicultural counties in south California. Spaulding will contract with adoption agencies in the remaining states and territories to conduct the required training. A Unified Adoption Curriculum has been developed and each of the funded programs will base their training approach on

that document. In addition, the training has been translated into Spanish and the Latino Family Institute, Inc will review the document for cultural appropriateness. Part B of the Children's Health Act supports the Adoption Photo Listing. Fiscal Year 2009: Funds were awarded in FY 2009 and will continue, based on the availability of funds, through 2011. Fiscal Year 2010: Funds will continue to be awarded through 2011, based on the availability of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Julie Lee Administration on Children, Youth and Families, Children's Bureau, 1250 Maryland Avenue, SW., Room 8113, Washington, District of Columbia 20024 Phone: (202) 205-8640 Fax: (202) 260-9345

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of any application will be based on an analysis of the following factors: (1) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; (2) the extent of responsibility to the project requirements, guidelines, and application requirements; and (3) the potential effectiveness of the proposed project in carrying out the training purposes of Section 330F of the Children's Health Act of 2000. In making awards of grants under this Section, preference will be given to any qualified applicant that is nationally recognized as a leader in adoption advocacy and (1) Has a broad based membership of adoptive parents, adopted persons, voluntary licensed adoption agencies (sectarian and non-sectarian) and independent adoption intermediaries; (2) is knowledgeable in all current and historic elements of the adoption process, and on providing adoption information and referrals to pregnant women; (3) has the ability to subcontract with other nonprofit regional and local adoption organizations for providing training to those counseling pregnant women; (4) experience in developing best-practice guidelines on the provision of adoption information with a variety of adoption organizations; (5) experience in developing and disseminating training materials and counseling curricula to diverse providers including federally funded family planning programs; and (6) has experience in arranging for the provision of training on non-directive counseling of pregnant women to staff working in Title X family planning clinics, federally funded Community Health Centers and Migrant Health Centers, centers for the homeless, residents of public housing and PHS funded school health centers. Under Part B of the Health Act, approval of any application will be based on an analysis of the following factors: the administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; the extent of responsibility to the project requirements, guidelines, and application requirements; and the potential effectiveness of the proposed project in carrying out the purposes of Part B of The Children's Health Act.

**93.255 CHILDREN'S HOSPITALS GRADUATE MEDICAL EDUCATION PAYMENT**

(CHGME Payment Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III Part D, Section 340E, 42 U.S.C. 256E, as amended; The Children's Health Act, 2000, Public Law 106-310, Healthcare Research and Quality Act, 1999, Public Law 106-129; as amended; Public Law 109-307; Social Security Act.

**OBJECTIVES:**

The Children's Hospitals Graduate Medical Education Payment Program (CHGMEPP) provides funds to children's teaching hospitals to support the training of pediatric and other residents in graduate medical education (GME) programs. Since Federal financial support of graduate medical education is extensively supported by the Medicare system, the CHGME program compensates for the disparity in the level of Federal funding for pediatric teaching hospitals versus other types of teaching hospitals. The Secretary of DHHS has delegated the authority for the administration of the CHGME payment program to Health Resources and Services Administration (HRSA), which re-delegated it to the Bureau of Health Professions (BHP).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are restricted to eligible children's hospitals for direct expenses and the other indirect expenses associated with operating approved graduate medical residency programs.

**Applicant Eligibility:**

Applicants (children's teaching hospitals) must meet the following eligibility requirements in accordance with the Federal Register Notice, Vol. 66, No. 41 published on March 1, 2001: (1) Participate in an approved graduate medical education program; (2) have a Medicare provider agreement; (3) be excluded from the Medicare Inpatient Prospective Payment System (PPS) under Section 1886(d)(1)(B)(iii), of the Social Security Act and its accompanying regulations; and (4) be a "freestanding" children's hospital.

**Beneficiary Eligibility:**

Any public or private nonprofit and profit children's teaching hospital with an accredited residency training program which meets all eligibility requirements may apply.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Hospitals can appeal the determination of FTE resident counts by CHGME fiscal intermediaries to the Provider Reimbursement Review Board (PRRB) under section 1878 of the Social Security Act.

**Renewals:**

Eligible children's hospitals must complete a CHGME Payment Program application for inclusion in the program for each fiscal year that they are applying for funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In accordance with the Healthcare Research and Quality Act, 1999, Public Law 106-129, the Secretary of DHHS shall determine before the beginning of each fiscal year that payments are made for a hospital. The amounts of the payments for direct and indirect medical education are made to each hospital in 12 equal interim installments during the period. The Children's Health Act, Public Law 106-310, amends the length of the CHGME Payment Program through fiscal year 2005. Public Law 109-307 re-authorizes the program, through fiscal year 2011. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Public Law 109-307 requires childrens hospitals receiving CHGME funds to submit an annual report that focuses on their GME training program. The Department has to submit a report to Congress by 2011. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. FTE resident counts.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$297,000,000; FY 09 est \$310,000,000; FY 10 est \$310,000,000

**Range and Average of Financial Assistance:**

\$23,018.48 to \$21,772,172.85 ; \$5,055,989.46 in combined DME and IME payments.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The CHGME Payment Program made awards to 56 eligible children's teaching hospitals in FY 08. Fiscal Year 2009: It is estimated that awards will be made to 56 eligible teaching hospitals in FY 09 and FY 10. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Healthcare Research and Quality Act, 1999 (Public Law 106-129), Section 340E of the Public Health Service Act; The Children's Health Act, 2000 (Public Law 106-310, Title XX); Public Law 108-490; Public Law 109-307; Social Security Act, Section 1886, 42 CFR 412.105; 42 CFR 413.86; FRN Vol. 65, No. 118 published on June 19, 2000; FRN Vol. 66, No. 41 published on March 1, 2001; and FRN Vol. 66, No. 140 published on July 20, 2001, and FRN Vol. 68, No. 204, published on October 22, 2003.

**Regional or Local Office:**

See Regional Agency Offices. Ayah Johnson, Chief, Graduate Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, MD 20857. Telephone: (301) 443-1058.

**Headquarters Office:**

Ayah Johnson 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857  
Phone: (301) 443-1058

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov); <http://www.bhpr.hrsa.gov/childrenshospitalgme> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Children's teaching hospitals must meet all of the eligibility criteria before being considered for program funds and must be training residents during the year for which they are applying for funding. This is a noncompetitive annual award.

**93.257 GRANTS FOR EDUCATION, PREVENTION, AND EARLY DETECTION OF RADIOGENIC CANCERS AND DISEASES**

(Radiation Exposure Screening and Education Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 417C, Public Law 106-245.

**OBJECTIVES:**

To award grants for the purpose of enabling grantees to carry out programs for: (1) screening individuals described under section 4 (a)(1)(A)(i) or 5(a)(1)(A) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note) for cancer as a preventative health measure; (2) providing appropriate referrals for medical treatment of individuals screened under paragraph (1) and to ensure, to the extent practicable, the provision of appropriate follow-up services; (3) developing and disseminating public information and education programs for the detection, prevention, and treatment of radiogenic cancers and diseases; and (4) facilitating putative applicants in the documentation of claims as described in section 5(a) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to organizations that develop new or expand existing capacity to provide screening, referrals for medical treatment, education, and eligibility assistance for eligible individuals. Restrictions on the Use of Grant Funds: (1) grant funds may not be used to pay for inpatient services; (2) grant funds may not be used to make cash payments to intended recipients of primary health care services or specialty care; (3) grant funds may not be used to supplant other provider/third party coverage payments available to the patient; (4) grant funds may not be used to purchase or improve real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment without the approval of the HRSA Grants Management Office; and, (5) not more than 10 percent of any grantee's funds shall be used for legal services to assist users in obtaining benefits under the Radiation Exposure Compensation Program.

**Applicant Eligibility:**

The following entities, (located within the approved States of Arizona, Colorado, Idaho, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Texas, Utah, Washington or Wyoming) are eligible to apply for the funds: (1) National Cancer Institute-designated cancer centers; (2) Department of Veterans Affairs hospitals or medical centers; (3) Federally Qualified Health Centers; (3) agencies of any State or local government that currently provide direct health care services; (4) IHS health care facilities, including programs provided through tribal contracts, compacts, grants, or cooperative agreements with the HIS and which are determined appropriate to raising the health status of Indians; and (5) nonprofit organizations.

**Beneficiary Eligibility:**

For purposes of the RESEP, individuals eligible for health screening, education, medical referral, and appropriate follow-up services include an individual who either: (1) was employed in a uranium mine or uranium mill (including any individual who was employed in the transport of uranium ore or vanadium-uranium ore from such mine or mill) located in Colorado, Nevada,



New Mexico, Arizona, Wyoming, South Dakota, Washington, Utah, Idaho, North Dakota, Oregon, and Texas at any time during the period beginning on January 1, 1942, and ending on December 31, 1971; (2) was a miller or ore transporter who worked for at least 1 year during the period beginning on January 1, 1942, and ending on December 31, 1971; (3) was physically present in the nuclear arms testing area (which includes, in the State of Utah, the counties of Beaver, Garfield, Iron, Kane, Millard, Piute, San Juan, Sevier, Washington, and Wayne; in the State of Nevada, the counties of Eureka, Lander, Lincoln, Nye, White Pine, and that portion of Clark County that consists of townships 13 through 16 at ranges 63 through 71; and in the State of Arizona, the counties of Apache, Coconino, Gila, Navajo, and Yavapai) for a period of at least 2 years during the period beginning on January 21, 1951, and ending on October 31, 1958; (4) was physically present in the nuclear arms testing area, cited in 3. above, for the period beginning on June 30, 1962, and ending on July 31, 1962, or (5) participated onsite in a nuclear arms test involving the atmospheric detonation of a nuclear device, in either the area described in 3. above or within the official boundaries of the Pacific, Trinity, or South Atlantic Test Sites.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Office of Rural Health. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

RESEP awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After funds are issued, funds are released in accordance with payment procedures of DHHS, which may be an Electronic Transfer System or monthly cash request system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. Financial status reports are required no later than 90 days after the end of each budget period. No cash reports are required. Final financial status and progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,517,930; FY 09 est \$1,517,930; FY 10 est \$1,517,930

**Range and Average of Financial Assistance:**

\$178,894 to \$ 279,020.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, HRSA awarded grants to 7 organizations for a three year project period. Fiscal Year 2009: It is anticipated that these awards will be continued in FY 09. Fiscal Year 2010: It is anticipated that these awards will be continued in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Vanessa Hooker, vhooker@hrsa.gov; 301-594-5105. The Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Vanessa Hooker 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A statewide program of Radiation Exposure Screening and Education Program clinics with coordination and assistance from the State health department; and (2) an area-wide system of clinical and educational services in a rural area for Radiation Exposure victims administered by a secondary referral hospital through linkage arrangements with other provider agencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Need and Readiness -- the extent to which the applicant can demonstrate a

need for these services in their area and their readiness to provide them; (2) administration -- the extent to which the applicant demonstrates that it has the administrative experience and capacity to successfully implement this program; (3) health care services -- the extent to which the applicant has the capacity to provide or arrange for the required services; (4) collaborative arrangements -- the extent to which the applicant has developed and documented collaborative arrangements with other local providers to conduct outreach, provide services and make referrals; and, (5) appropriateness of budget -- the extent to which the applicant's budget for the scope of the proposed activities.

### **93.259 RURAL ACCESS TO EMERGENCY DEVICES GRANT**

(RAED)

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 413 of the Cardiac Arrest Survival Act of 2000; Public Law 106-505.

#### **OBJECTIVES:**

To help partnerships made up of at least three separately owned entities purchase and train first responders, and lay persons on the use of Automated External Defibrillators (AEDs). A limited amount of funds may also be used for medical dispatcher training.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

#### **Applicant Eligibility:**

Applicants must be a public or non-profit entity located in a rural designated area. Partnerships made up of at least three separately owned entities may apply. These grantees must be located in rural areas as defined in the grant guidance may include local first response entities such as fire, EMS and police as well as for and nonprofit entities concerned with cardiac arrest survival rates. Statewide, multi-State or regional Partnerships may apply. Federally recognized tribes and/or tribal organizations are eligible to apply.

#### **Beneficiary Eligibility:**

None.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From two weeks to two months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

RAED awards may be made for up to 2-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

A final program report will be submitted to the Secretary, DHHS via ORHP within 90 days after the close of the budget period. This report will include a retrospective review of how the AED(s) affected response times, pre-hospital mortality rates, etc. No cash reports are required. FSR. No expenditure reports are required. A Performance Improvement Measurement System Report will be due by October 31, 2010.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 08 \$1,100,000; FY 09 est \$557,000; FY 10 est \$557,000

#### **Range and Average of Financial Assistance:**

\$46,408 to \$103,000; \$96,129.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 13 awards made for FY 08. Fiscal Year 2009: Anticipate 5 awards for FY 09. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

#### **Regional or Local Office:**

See Regional Agency Offices. Program Contact: Eileen Holloran, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-7529 .

#### **Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

#### **Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Rural Access to Emergency Devices Grant Program is to purchase, place, and train both lay public and health care providers in the use of automatic external defibrillators (AEDs). For the FY 2008 funding cycle, 13 grantees were funded; each grantee represented one consolidated statewide application. Each award resulted in 90 to 120 AEDs being placed in the grantee's state. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Will be published in grant guidance.

**93.262 OCCUPATIONAL SAFETY AND HEALTH PROGRAM**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a) and 405, 42 U.S.C 241 and 284; Occupational Safety and Health Act of 1970, Section 20(a) and 21(a), 29 U.S.C 669(a) & 670(a); Federal Mine Safety and Health Act, Section 501(a), 30 U.S.C 951(a); Executive Order Federal Regulations 42 CFR 52 and 45, Part 74 and 92.

**OBJECTIVES:**

To (1) recognize new hazards; (2) define the magnitude of the problem; (3) follow trends in incidence; (4) target exceptional hazardous workplaces for intervention; and (5) evaluate the effectiveness of prevention efforts. The goal of this program is to increase worker safety and health. To develop specialized professional and paraprofessional personnel in the occupational safety and health field with training in occupational medicine, occupational health nursing, industrial hygiene, occupational safety, and other priority training areas. To perform medical monitoring and treatment for World Trade Center Responders and non-Responders and to create a Registry of affected workers.

**TYPES OF ASSISTANCE:**

Project Grants; Training

**USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Training grants: Funds may be used for long term training programs and/or education and research centers. Support is provided for the direct costs of the program, plus certain indirect costs determined by Public Health Service policy on training programs. Amounts of stipends and other details are in accordance with Public Health Service policy. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support.

**Applicant Eligibility:**

Eligible applicants include for-profit or non-profit organizations, public or private institutions, such as universities, colleges, hospitals, and laboratories, units of State and local governments, eligible agencies of the Federal government, domestic or foreign institutions/organizations, faith-based organizations, Indian Tribes, Tribal Government, College and/or Organizations. Racial/ethnic minority individuals, women, and persons with disabilities are encouraged to apply as Principal Investigators. Training Grants: Any public or private educational institution or agency that has demonstrated competency in occupational safety and health training at the technical, professional, or graduate level may apply. Trainees must be admissible to the grantee institution and must be enrolled in occupational safety and health training programs. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500

employees). For SBIR grants primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

**Beneficiary Eligibility:**

Research institutions and agencies as well as workers affected by occupational hazards.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. For SBIR grants applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are prepared and submitted following instructions provided in Funding Opportunity Announcements (FOAs). NIOSH publishes FOAs at <http://www.Grants.gov>, and in the NIH Guide for Grants and Contracts at <http://grants1.nih.gov/grants/guide/index.html>. Grants.gov is the portal for applications. Appropriate forms are specified in each FOA. Research and training programs utilize either the SF-424 R&R for electronic submission or the PHS 398 application form and instructions which are available on the Internet at: <http://grants1.nih.gov/grants/forms.htm>.

**Award Procedure:**

Awards are made on the basis of a two-step review of an investigator-prepared application. Applications are initially reviewed for scientific and technical merit by a scientific review group. The second level of review is performed by the NIOSH Secondary Review Committee for program relevance. Final approval of funding recommendations is made by the Director, NIOSH.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Awards: 7-9 months. Training Grants: 9-10 months. SBIR: 7-8 months.

**Appeals:**

From 120 to 180 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff in the NIOSH Office of Extramural Programs.

**Renewals:**

> 180 Days. Support is recommended for a specified project period, usually not in excess of 5 years. Prior to the end of a project period, the grantee may apply for renewal of support for a new project period. Applications for renewal (competing continuation, Type 2) will be reviewed in the same manner as a new application and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research and Training Grants and Cooperative Agreements may be awarded for project periods ranging from one to five years depending on the

recommendations of the scientific review group and the Secondary Review Committee, and on demonstration of successful performance and the availability of funds. SBIR Grants: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

Terminal progress report (including citations of all resulting publications) within 90 days after end of project support. Cash reports are not applicable. Interim progress reports (including citations of all resulting publications) annually as part of a non-competing continuation application for previously recommended support. Annual financial status report within 90 days after the conclusion of each budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$89,181,333; FY 09 est \$95,600,000; FY 10 est \$95,600,000 - Occupational Safety and Health Program.

**Range and Average of Financial Assistance:**

General Grants and Cooperative Agreements: \$15,000 to \$4,924,000. Training Grants: \$29,000 to \$1,770,000. SBIR Grants: Phase I -\$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY2008, 166 research grant and cooperative agreement awards, 49 training awards, 8 SBIR awards and 11 World Trade Center awards were made. Fiscal Year 2009: The estimated number of awards for FY2009 is 240. Fiscal Year 2010: The estimated number of awards for FY2010 is 240.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Parts 86 and 87. 45 CFR Part 74 or 92, as applicable. OMB Circulars A-21 and A-87. The PHS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the NIH Grants Policy Statement. Funding opportunity announcements as published in the NIH Guide: (<http://grants1.nih.gov/grants/guide/index.html>), the Grants.gov website ([www.grants.gov](http://www.grants.gov)), and the NIOSH OEP web site (<http://www.cdc.gov/niosh/oepp/>). Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Any additional grant program legislation and regulation cited in the Notice of Grant Award.

**Regional or Local Office:**

None. Program Contact: Office of Extramural Programs, National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., MS-E74, Atlanta, GA 30333. Telephone: (404) 498-2530. Grants Management Contact: Mr. Larry Guess, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Acquisition and Assistance Branch, Centers for Disease Control and Prevention, Department of Health and Human Services, 626 Cochran's Mill road, PO Box 18070, Pittsburgh, PA 15236. Telephone: (412) 386-6826.

**Headquarters Office:**

Stephanie L. Shack 1600 Clifton Rd., NE  
Cubicle 4201.23, Mailstop E-74  
. Atlanta, Georgia 30333 Email: SShack@cdc.gov Phone: 4044982547

**Website Address:**

<http://www.cdc.gov/niosh/oepp>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) An Integrated Approach Toward Understanding the Toxicity of Inhaled Nanomaterials, (2) Violence Against Home Health and Hospice Workers, (3) Occupational Exposure to Chlorinated Solvents and Cardiovascular Malformations, (4) 2008 Western Agricultural Conference, (5) Translating a Weight Management Program to Worksites, (6) Worker Health and Safety in Chinatown Restaurants: A CBPR Study, (7) Western U.S. Mining Safety and Health Training, (8) Occupational Safety and Health Training Project, (9) Occupational Safety and Health Training Grant, (10) Hazardous Substance Training for Emergency Responders (11) Rocky Mountain Center for Occupational and Environmental Health, (12) NYC Fire Dept. Clinical Center for WTC Monitoring and Treatment, (13) NYU World Trade Center Responder Health Consortium, (14) Southeast Center for Agricultural Health and Injury Prevention, (15) Occupational Safety and Health Surveillance in New York. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. Training Grants: Criteria used in evaluating training proposals include: (1) Overall potential contribution of the project toward meeting program objectives; (2) the need for training in the areas outlined in the application; (3) curriculum content and design; (4) previous record of training; (5) evaluation methods; (6) experience and training of the project director and staff; (7) institutional commitment; (8) academic and physical environment; (9) past performance; and (10) appropriateness of budget. The following criteria will be used in considering the scientific and technical merit of SBIR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.264 NURSE FACULTY LOAN PROGRAM (NFLP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 846A, 42 U.S.C. 297n-1, as amended; Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To increase the number of qualified nursing faculty. School of nursing that receive NFLP funding must provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. Loan recipients must agree to complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at a school of nursing.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

The school will establish an NFLP fund to be used only for making NFLP loans to eligible students and for the costs associated with collection of these loans. Institutions may award a maximum loan amount of \$30,000 per student for an academic year to support the cost of tuition, fees, books, laboratory expenses and other reasonable education expenses. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in a school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in a school of nursing, 25 percent of the principal and interest of the unpaid loan shall be made be given for the fourth year. The school will establish an NFLP fund to be used only for making NFLP loans to eligible students and for the costs associated with collection of these loans. . Institutions may award a maximum loan amount of \$30,000 per student for an academic year to support the cost of tuition, fees, books, laboratory expenses and other reasonable education expenses. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in a school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in a school of nursing, 25 percent of the principal and interest of the unpaid loan shall be made be given for the fourth year.

**Applicant Eligibility:**

Eligible applicants include all accredited public, nonprofit and private or for-profit schools of nursing that offer advanced degree nursing education programs (master's or doctoral) to that prepare full-time advanced degree nursing students to serve as faculty at schools of nursing that offer a master's or doctoral degree program.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealths of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific Islands. A student who remains in this country on a student or visitor's visa is not eligible; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Applications must be submitted annually for new funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 90%. Schools that participate in the loan program must contribute to the loan fund an amount equal to but not less than one-ninth of the fiscal year award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for one (1) year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report ( AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/home.asp>.

The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 08 \$7,089,668; FY 09 est \$10,679,570; FY 10 est \$15,179,570

**Range and Average of Financial Assistance:**

Range is \$2,552 to \$728,671; Average is \$107,874 in FY 09.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 there were 134 NFLP agreements established with schools of nursing; annual report data for the 2007 to 2008 academic

period documented that 884 students received NFLP support. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Denise Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 8-C26, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1399. Fax: (301) 443-0791. E-mail: dthompson@hrsa.gov.

**Headquarters Office:**

Denise Thompson 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857 Phone: (301) 443-1399

**Website Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects establish a NFLP loan fund to provide direct loan support to nursing students enrolled in an advanced education nursing, and following graduation from the program may cancel 85% of the NFLP loan while serving as full-time nurse faculty. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.265 COMPREHENSIVE GERIATRIC EDUCATION PROGRAM(CGEP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 855, Nurse Reinvestment Act, Public Law 107-205.

**OBJECTIVES:**

To train and educate nursing personnel in providing geriatric care for the elderly.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to develop and implement, in coordination with programs under section 753, programs and initiatives to train and educate individuals in providing geriatric care for the elderly. Grants may be used to: Provide training to individuals who will provide geriatric care for the elderly; develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; train faculty members in geriatrics; or provide continuing education to individuals who provide geriatric care. Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential personnel travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs. Trainee expenses are not allowed.

**Applicant Eligibility:**

Eligible applicants are schools of nursing, academic health centers, a health

care facility, a program leading to certification as a certified nurse assistant, a partnership of such a school and facility, or a partnership of such a program and facility, other appropriate public or private nonprofit entities; and for-profit entities capable of carrying out the legislative purpose.

**Beneficiary Eligibility:**

Training is for nursing personnel who provide, or will provide, care for the elderly and faculty members.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A progress report must be submitted for the second and subsequent budget periods within an approved project period. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$3,333,000; FY 09 est \$2,880,000; FY 10 est \$4,567,000

**Range and Average of Financial Assistance:**

(FY 2009) \$58,000 to \$216,000; \$157,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08 there were 18 non-competing continuation awards. Fiscal Year 2009: There is a new competition planned for FY 09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Carol Corbie, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-7762.

**Headquarters Office:**

Carol Corbie 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-7762

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects provide leadership and geriatric education for Registered Nurses and include activities that enhance the skills of other nursing personnel to provide geriatric care. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by a panel of peer reviewers using the following criteria: A clearly stated project purpose; a documented need for the proposed project; the potential effectiveness of the proposed project; a clearly articulated project plan including evaluation of project objectives; a plan for addressing diversity and cultural competence; a comprehensive plan for project management; the reasonableness of the budget and fiscal plan; the presence of established and/or planned linkages with relevant entities.

**93.266 RAPID EXPANSION OF ANTIRETROVIRAL THERAPY PROGRAMS FOR HIV-INFECTED PERSONS IN SELECTED COUNTRIES IN AFRICA AND THE CARIBBEAN UNDER THE PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF**

(Global AIDS)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 301(a) and 307 of the Public Health Service Act, 42 U.S.C. Sections 241 (a) and 2421, as amended, Public Law 108-25, United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, 22 U.S.C. 7601.

**OBJECTIVES:**

(1) To rapidly expand antiretroviral therapy (ART) to low income HIV-infected persons in a manner that is consistent with national plans and policies in the 15 targeted countries under the President's Emergency Plan for AIDS Relief (PEPFAR); and (2) To develop sustainable indigenous capacity to continue these programs after the project ends.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreements will be awarded to organizations with excellent HIV care and treatment programs to expand their services.

**Applicant Eligibility:**

Applicants must have 3 years experience of providing ART in 3 or more of the targeted countries. Eligible entities are those providing clinical care and anti-retroviral therapy in at least 3 of the 15 focus countries under the President's Emergency Plan.

**Beneficiary Eligibility:**

Health care personnel and people living with AIDS.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

3-6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Projects are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From 1 to 5 years. Budget Period: For 12 months. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Interim Progress Reports no less than 90 days before the end of the budget period. This will serve as the non-competing continuation application. Semi-annual Progress Report 7 months after the beginning of each budget period should provide progress on achieving objectives and modifications or new objectives. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions remain following the 3-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$214,000,000; FY 09 est \$177,000,000; FY 10 est \$177,000,000

**Range and Average of Financial Assistance:**

Floor: \$8,000,000; Ceiling \$120,000,000; Average \$88,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of March 31, 2009, the TRACK 1.0 Grantees are responsible for approximately 328,000 individuals on ART and 606,000 receiving care. Over 7,000 health care workers were trained in 25 countries in FY06 as a result of the International Training and Education Center. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Dr. Barbara Aranda-Naranjo, Global Program, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Suite 7-05, Rockville, MD 20857. Telephone: (301) 443-3327.

**Headquarters Office:**

Dr. Barbara Aranda-Naranjo 5600 Fishers Lane, Suite 7-05, Rockville, Maryland 20857 Phone: (301) 443-3327

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.941 HIV Demonstration, Research, Public and Professional Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's capability is sufficient in the areas of clinical care, drug and health commodities, laboratory services, training, community mobilization and behavior, monitoring and evaluation and sustainability; feasibility of their expansion plan; extent to which the organizational structure, management and staffing is appropriate and sound and the presentation of a reasonable budget.

**93.267 STATE GRANTS FOR PROTECTION AND ADVOCACY SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 1253, 300d-531, of the Public Health Service Act, Title V, 42 U.S.C. 290aa, et seq.

**OBJECTIVES:**

To make grants to Protection and Advocacy systems as established in each State for the purpose of enabling such systems to provide services to individuals with traumatic brain injury which may include: (1) information, referrals, and advice, (2) individual and family advocacy, (3) legal representation, and (4) specific assistance in self-advocacy.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to plan for, develop outreach strategies for, and carry out services for individuals with traumatic brain injury as authorized in the Section 1253 of the PHS Act. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established.

**Applicant Eligibility:**

Grants are directly awarded to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000," as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.). Grants are also available to the Protection and Advocacy Organization established to serve the Native American Consortium.

**Beneficiary Eligibility:**

Individuals with traumatic brain injury.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Public Health Service Act, Chapter 1253. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**



Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$2,947,590; FY 09 est \$3,273,589; FY 10 est not reported.

**Range and Average of Financial Assistance:**

20,000 to \$117,267; \$52,105.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 57 grant awards were made to States and Territories and the Native American Consortium. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Janie Martin-Heppel, Program Officer, Protection and Advocacy for Traumatic Brain Injury Program, Division of Services for Children with Special Healthcare Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Room 18A-18, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-2370.

**Headquarters Office:**

Janie Martin-Heppel 5600 Fishers Lane, Room 18-A18, Rockville, Maryland 20857 Phone: (301) 443-2370

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.268 IMMUNIZATION GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human

Services

**AUTHORIZATION:**

Section 301.

**OBJECTIVES:**

To assist States and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases (including measles, rubella, poliomyelitis, diphtheria, pertussis, tetanus, hepatitis B, hepatitis A, varicella, mumps, haemophilus influenza type b, influenza, and pneumococcal pneumonia).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, organizing, and conducting immunization programs directed toward vaccine-preventable diseases and for the purchase of vaccine; and for the implementation of other program elements, such as assessment of the problem; surveillance and outbreak control; information and education; adequate notification of the risks and benefits of immunization; compliance with compulsory school immunization laws; vaccine storage, supply management, and delivery; citizen participation; and use of volunteers. Vaccine will be available "in lieu of cash" if requested by the applicants. Requests for personnel and other items "in lieu of cash" will also be considered. Vaccine purchased with grant funds may be provided to private practitioners who agree not to charge for vaccine. Grant funds may be used to supplement (not substitute for) existing immunization services and operations provided by a State or locality.

**Applicant Eligibility:**

Any State, and in consultation with State health authorities, political subdivisions of States and other public entities may apply; private individuals and private nonprofit agencies are not eligible for immunization grants.

**Beneficiary Eligibility:**

Any State, political subdivision (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval of an application, a Notice of Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: Variable. Budget Period: About 12 months. See the following for information on how assistance is awarded/released: Periodic grant rounds.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (317 Grants) FY 08 \$438,138,458.00; FY 09 est \$461,377,485.00; and FY 10 est \$461,377,485.00. (VFC Grants) FY 08 \$2,514,364,538.00; FY 09 est \$3,035,196,844.00; FY 10 est \$3,077,607,844.00.

**Range and Average of Financial Assistance:**

(317 Grants): From \$252,725 to \$48,568,982; \$6,870,723 (VFC Grants): From \$1,649,229 to \$368,026,903; \$52,334,322.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The nation's childhood immunization coverage rates are at record high levels for most vaccines and for all the vaccination series measures. As childhood immunization coverage rates increase, cases of vaccine preventable disease decline significantly. One performance measure is used to ensure that children are appropriately vaccinated by age two. For the past five years, the 90 percent coverage target has been exceeded for four of the seven routinely recommended childhood vaccine (Hib, MMR, hepatitis B, and polio) and reached the 90 percent target for varicella in 2007. Data for two recently recommended vaccines (HepA and rotavirus) are not yet available. Another performance measure is used to ensure that adolescents receive recommended vaccinations that were missed during childhood. In 2007, hepatitis B and MMR coverage among adolescents aged 13-15 years was at or near the 90% target. Three new vaccines have been recommended for adolescents since 2005: meningococcal vaccine (MCV4); tetanus, diphtheria, acellular pertussis vaccine (Tdap); and human papillomavirus vaccine (HPV4). In 2007, coverage among adolescents aged 13-17 years had reached 32% for MCV4, 30% for Tdap (72% for Td or Tdap), and 25% for initiating the 3-dose HPV4 series. Another important performance measure is the increased proportion of adults who are vaccinated annually against influenza and ever vaccinated against pneumococcal disease among persons 65 years of age and older. Influenza vaccination coverage levels among the elderly have increased from 30 percent in 1989 to 67 percent in 2008 and pneumococcal vaccination levels have increased from 15 percent in 1989 to 60 percent in 2008. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah E. Hill 1600 Clifton Road, NE, Mailstop E-52, Atlanta, Georgia 30333  
Email: dhill@cdc.gov Phone: 4046396045

**Website Address:**

http://www.cdc.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.269 COMPLEX HUMANITARIAN EMERGENCY AND WAR-RELATED INJURY PUBLIC HEALTH ACTIVITIES  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 2421 and 247b(k)(2)], as amended.

**OBJECTIVES:**

To bring public health and epidemiologic principles to the aid of populations affected by complex humanitarian emergencies. Work will focus on the following main program areas: (1) Providing technical assistance including rapid health and nutrition assessments, public health surveillance, epidemic investigations, disease prevention and control, program evaluation and emergency preparedness; (2) Developing, implementing and disseminating findings from operational research projects aimed at developing more effective public health interventions; (3) Designing, implementing, and evaluating training activities to strengthen the capacity of CDC, other U.S. government agencies, international and private voluntary organizations, other governments, and public health students; (4) Developing and disseminating guidelines on public health issues and technical areas; and (5) Planning and maintaining partnerships with strategic international, bilateral, and non-governmental relief organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of projects related to domestic and international complex humanitarian emergencies and war-related injuries. The grants and cooperative agreements may be used for personnel, salaries, consultant costs, survey costs, training, equipment, supplies, travel, patient costs, miscellaneous items, and indirect costs.

**Applicant Eligibility:**

The general public will benefit from the objectives of this program.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 2 to 3 months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Support is recommended for a specified project period, not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other act ion involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$3,499,000; FY 10 est \$3,499,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: 7704880572

**Website Address:**

http://www.cdc.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.270 ADULT VIRAL HEPATITIS PREVENTION AND CONTROL  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To assist State and local health agencies, health related organizations and other governmental and nongovernmental organizations in their efforts to decrease the incidence of new infections of hepatitis A, hepatitis B and hepatitis C viruses and to decrease risks for chronic liver disease including cirrhosis and liver cancer in persons with chronic hepatitis B and hepatitis C infections.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a hepatitis prevention program for the management and coordination of activities directed towards prevention of viral hepatitis infections including the identification, counseling and referral for medical management of persons with chronic HBV or HCV infection and integration of viral hepatitis prevention services into health care and public health services for adults at risk for viral hepatitis.

**Applicant Eligibility:**

Nonprofit with 501C3 IRS status (other than institution of higher education); Nonprofit without 501C3 IRS status (other than institution of higher education); For-profit organizations (other than small business); Small, minority, and women-owned businesses; Universities; Colleges; Research institutions; Hospitals; Community-based organizations; Faith-based organizations; Federally recognized or state-recognized American Indian/Alaska Native tribal governments; American Indian/Alaska native tribally designated organizations; Alaska Native health corporations; Urban Indian health organizations; Tribal epidemiology centers; State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and

provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74 and Part 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations and A-102 for governmental entities.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period not to exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual financial status reports are required no later than 90 days after the end of each budget period. Financial status reports are required 90 days after the end of a project period.

Also see FOA for additional information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Property records must be retained in accordance with the HHS Grants Policy

Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 \$4,924,888; FY09 \$5,381,902; FY10 est. \$5,500,000.

**Range and Average of Financial Assistance:**

\$4,924,888 to \$5,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: 4046390022

**Website Address:**

<http://www.cdc.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.271 ALCOHOL RESEARCH CAREER DEVELOPMENT AWARDS FOR SCIENTISTS AND CLINICIANS**

(Research Career )

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, Public Law 78-410, 42 U.S.C. 241, as amended.

**OBJECTIVES:**

To provide support for increased research experience relating to the problems of alcohol abuse and alcoholism prevention, treatment, and rehabilitation; and to raise the level of competence and increase the number of individuals engaged in such research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Awards (K01), Mentored Clinical Scientist Development Awards (K08), and Independent Scientist Awards (K02) provide support for individuals with research potential who need additional development and/or experience in a productive research environment. Mentored Patient-Oriented Research Career Development Award (K23) and Mid-career Investigator Award in Patient Oriented Research (K24) and Mentored Quantitative Research Career Development Award (K25) are also available. Senior Scientist Awards (K05) are also available to enable senior investigators to devote full-time to research. Academic Career Awards (K07) are also available for clinical faculty development. Awards are available for 5 years of salary support (up to 75 percent of the legislated maximum salary of \$161,200) for the individual candidate, fringe benefits and 8 percent indirect costs. Specialized training costs and limited research costs are allowable under certain circumstances. Salary support may be supplemented by the sponsoring institution from nonfederal funds.

**Applicant Eligibility:**

Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Awards, Independent Scientist Awards, Senior Scientist Awards,

and Academic Career Awards for clinical faculty are made to appropriate research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, biomedical research institutes, and departments of behavioral science on behalf of individuals who need the opportunity to realize research potentials. The individuals in all cases must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are submitted electronically using the SF424 forms through Grants.gov citing appropriate FOA. Completed applications are reviewed by nonfederal consultants and recommend for support on the basis of merit. This program is subject to the provisions of 45 CFR Part 92 and OMB Circular No. A-110, as appropriate.

**Award Procedure:**

All NIAAA Research Career Development Awards for scientists and clinicians are recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and those approved for payment are awarded directly by NIAAA to the applicant institution.

**Deadlines:**

Oct 01, 2009 February 1, June 1, and October 1.

**Range of Approval/Disapproval Time:**

A range of 240 to 270 days from submission of the application.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application to the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Awards, Independent Scientist Awards, Senior Scientist Awards, Mentored Patient Oriented Research Career Development Awards, Mentored Quantitative Research Career Development Award, and Academic Career Awards are made for 5-year periods with renewal for Independent Scientist Awards and Senior Scientist Awards. Mid-career Investigator Awards in Patient-Oriented Research are renewable for one additional 5-year period if the candidate still meets the stated requirements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payment will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. See the following for information on how assistance is awarded/released: Applicant will be notified of award terms through a notice of Grant Award (NGA) and funds are released electronically to applicant's institution.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim Progress Reports are required annually as part of continuation applications. A Final Invention Statement is also required at end of support. Annual financial status reports are required at the end of each year of support, at termination. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Training) FY 08 \$12,051,000; FY 09 est \$12,346,000; FY 10 est \$12,346,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines included in application kit; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Applicants should also obtain NIAAA additional information to the NIH Career Development Program Announcements (K AWARDS) NIH Guide, Volume 24, Number 26, July 21, 1995, which is also available on the NIAAA Home Page.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ranga V. Srinivas National Institute on Alcohol Abuse and Alcoholism  
National Institutes of Health  
5635 Fishers Lane Room 2085

, Rockville, Maryland 20852 Email: [srinivar@mail.nih.gov](mailto:srinivar@mail.nih.gov) Phone: 3014512067  
Fax: 3014437043

**Website Address:**

<http://www.nih.gov>

**RELATED PROGRAMS:**

93.272 Alcohol National Research Service Awards for Research Training;  
93.273 Alcohol Research Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) Evidence of the candidate's potential to develop and/or perform as an outstanding research scientist; (2) overall scientific and technical merit of the proposed research plans; (3) relevance to NIAAA priorities; (4) the potential contribution to the field of alcohol abuse and alcoholism; and (5) availability of funds.

**93.272 ALCOHOL NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 487, as amended, Public Law 99-158, 42 U.S.C. 288.

**OBJECTIVES:**

To assure the maintenance of an adequate supply of well-trained alcohol researchers through the award of both individual fellowships and grants to training institutions for support of training at both the predoctoral and postdoctoral levels and for Senior Fellowships and M.D./Ph.D. Fellowships. Special predoctoral fellowships are also available for students with disabilities and for minority students. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports awards for training in clinical research, treatment assessment research, problems of health promotion and alcoholism prevention, and basic biological and behavioral processes applicable to alcohol research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Individual grants are made to fellows seeking predoctoral or postdoctoral support for full-time research training. An institutional allowance will be provided, upon request, to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both predoctoral and

postdoctoral trainees and for Senior Fellowships and M.D./Ph.D. Fellowships. Special predoctoral fellowships are also available for students with disabilities and for minority students. Actual tuition and fees are allowable for trainees, and an amount for institutional expenses will be provided. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The 13th and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation. Stipend levels will be \$16,500 for predoctoral awards and from \$28,260 to \$44,412 for postdoctoral awards dependent upon the number of years of relevant experience. Research training support may not be used for intern or other clinical training.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations may apply for institutional training grants. The sponsoring institution for a fellowship application may be a domestic private (profit or nonprofit) or public institution. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high quality work. An applicant for individual predoctoral support must be enrolled in a doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a doctoral degree. All individuals to be supported under the National Research Service Awards (NRSA) program must be a citizen or noncitizen national of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals; public and private, profit or nonprofit organizations for fellowships. Public and private nonprofit organizations for institutional training grants.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applications are submitted electronically through [Grants.gov](http://Grants.gov) using appropriate SF424 forms. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the alcohol research field. Applications other than fellowship must also be reviewed by the National Advisory Council on Alcohol Abuse and Alcoholism. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and sponsor. Students to be supported must submit required forms, including a payback agreement for postdoctoral level trainees.

**Deadlines:**

Dec 05, 2009 Individual: April 5, August 5, and December 5; Institutional: May 10.

**Range of Approval/Disapproval Time:**

> 180 Days. From 5 to 7 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

By law, an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Policy limits an application for predoctoral fellowship support up to 5 years, and up to 3 years for postdoctoral support. Senior Fellowships are up to 2 years and M.D./Ph.D. Fellowships are for up to 6 years. Awards for institutional grants may be made for project periods of up to 5 years. See the following for information on how assistance is awarded/released: The applicants are notified of award through an NGA and funds are released electronically to the applicant institutions through DUNS/CCR.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Annual financial status reports are required for institutional National Research Service Awards. Annual reports of activities for tracking payback provisions are required from all postdoctoral fellows upon termination of support. The NIAAA Program officer will monitor performance through the review of annual progress reports.

**Audits:**

Not Applicable.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Training) FY 08 \$11,284,000; FY 09 est \$1,128,400; FY 10 est \$11,284,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66; Guidelines included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (REV.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ranga V. Srinivas National Institute on Alcohol Abuse and Alcoholism  
National Institutes of Health  
5635 Fishers Lane Room 2085

, Rockville, Maryland 20852 Email: [srinivar@mail.nih.gov](mailto:srinivar@mail.nih.gov) Phone: 3014512067  
Fax: 3014437043

**Website Address:**

<http://www.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) Scientific and technical merit; (2) facilities and environment for the training program; (3) previous training records; (4) relevance to NIAAA priorities; and (5) potential contribution to field of alcohol abuse and alcoholism.

**93.273 ALCOHOL RESEARCH PROGRAMS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464H, Public Law 78-410, 42 U.S.C. 241, and 42 U.S.C. 290Gb; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To develop a sound fundamental knowledge base which can be applied to the development of improved methods of treatment and more effective strategies for preventing alcoholism and alcohol-related problems. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports research in a broad range of disciplines and subject areas related to biomedical and genetic factors, psychological and environmental factors, alcohol-related problems and medical disorders, health services research, and prevention and treatment research. Small Business Innovation Research (SBIR) program: to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation and technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

(1) Research Project Grants provide support for clearly defined projects or a small group of related activities, and when appropriate, support of conferences; (2) Program Project Grants are for large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) Small Grants are for small-scale exploratory and pilot studies or exploration of an unusual research opportunity; Small Grants are limited to \$50,000 for direct costs for a period of up to 2 years; and (4) Exploratory/Developmental Grants are limited for a period of up to 2 years, and a maximum of \$275,000 for direct costs for the entire 2-year period. Funds may be used only for expenses directly related to the approved research project. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or processes. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Public or private profit and nonprofit agencies, including State, local, or regional government agencies, universities, colleges, hospitals, academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase

I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public, profit and nonprofit private organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS, must be used by grant applicants. Application kits, containing the necessary forms and instructions, if not available at the applicant institution, may be obtained from the NIAAA. Consultation on proposed projects is also available. Preapplication consultation with NIAAA staff is required before submission of a Program Project grant application or any unsolicited new grant application requesting \$500,000 or more direct costs in any one year. Applications are reviewed by nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of the merit of the project. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Research Grants in support of projects recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and approved for payment are awarded directly by the NIAAA to the applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance,

and program balance among the areas of research.

**Deadlines:**

Dec 15, 2009 February 1, June 1, and October 1. SBIR: April 15, August 15, and December 15. STTR: December 1, only. AIDS related research applications January 2, May 1, and September 1.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of application for grant support. SBIR/STTR applications about 7-1/2 months. AIDS related research applications about 6 months.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small Grants and Exploratory/Developmental Grants are not renewable, but grantees may apply for research project grants on the same topics.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small Grants are limited to 2 years or less and are not renewable. Exploratory/Developmental Grants are limited to 3 years or less and are not renewable. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards will be released electronically to applicant institution. Funds are released annually.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports as a part of the continuation application. A final expenditure report is required at the conclusion of the project. The NIAAA Program officers will monitor performance by evaluating the annual progress report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.



**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$282,030,000; FY 09 est \$289,896,000; FY 10 est \$289,896,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:**

Ranga V. Srinivas, National Institute on Alcohol Abuse and Alcoholism, National Institutes of Health, 5635 Fishers Lane Room 2085, Rockville, Maryland 20852 Email: [srinivar@mail.nih.gov](mailto:srinivar@mail.nih.gov) Phone: (301) 451-2067. Fax: (301) 4437-043

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

93.271 Alcohol Research Career Development Awards for Scientists and Clinicians; 93.272 Alcohol National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit of the proposal; (2) program balance; and (3) relevance to NIAAA priorities and public health issues. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.275 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-ACCESS TO RECOVERY**

ATR I, ATR II

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Public Health Act, Section 501(d)(5), 509, Public Law 106-310, 42 U.S.C 290aad5-290bb-2.

**OBJECTIVES:**

To implement voucher programs for substance abuse clinical treatment and recovery support services pursuant to sections 501 (d)(5) and 509 of Public Health Service Act (42 U.S.C. sections 290aa(d)(5) and 290bb-2). This new program, called Access to Recovery (ATR), is part of a Presidential initiative to provide client choice among substance abuse clinical treatment and recovery support service providers, expand access to a comprehensive array of clinical treatment and recovery support options (including faith-based programmatic options), and increase substance abuse treatment capacity. Monitoring outcomes, tracking costs, and preventing waste, fraud and abuse to ensure accountability and effectiveness in the use of Federal funds are also important elements of the ATR program. Through the ATR grants, States, Territories, the District of Columbia and Tribal Organizations (hereinafter collectively referred to as "States") will have flexibility in designing and implementing voucher programs to meet the needs of clients in the State. The key to successful implementation of the voucher programs supported by the ATR grants will be the relationship between the States and clients receiving services, to ensure that clients have a genuine, free, and independent choice among eligible providers. States are encouraged to support any mixture of clinical treatment and recovery support services that can be expected to achieve the program's goal of achieving cost-effective, successful outcomes for the largest number of people.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities. Funds may be used for 15 percent administrative cost and 85 percent voucher. Also follow the policies and procedures that applies to the eligible entity. Funds may be used for 15 percent administrative cost and 85 percent voucher.

**Applicant Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization. (A "Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban Indian health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.) The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. Eligibility is limited to the immediate office of these Chief Executives because only they have the authority to leverage funding across the State, implement the necessary policy changes, manage the fiscal responsibilities, and coordinate the range of programs necessary for successful implementation of the voucher programs to be funded through these grants. No more than one application from any one Chief Executive or head of a Tribal Organization will be funded.

**Beneficiary Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.).

**Credentials/Documentation:**

The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must comply with the following requirements, or they will be screened out and will not be reviewed: Use of the PHS 5161-1 application; Application submission requirements in Section IV-3 of this document; and Formatting requirements provided in Section IV-2.4 of this document. Applicants may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1 (800) 729-6686. Applicants also may download the required documents from the SAMHSA Web site at [www.samhsa.gov](http://www.samhsa.gov). Click on "grant opportunities." PHS 5161-1 (revised July 2000)-Includes the face page, budget forms, assurances, certification, and checklist. Applicants must use the PHS 5161-1. Applications not submitted on the PHS 5161-1 will be screened out and will not be reviewed. Request for Applications (RFA)-Includes instructions for the grant application. This document is the RFA.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 3 years with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how assistance is awarded/released: SAMHSA, Grants Management Office notifies grantees through a Notice of Award (NoA).

**Reports:**

Monthly program reports are required by the program officials. No cash reports are required. Quarterly progress reports are required by the program officials. The 269 long form, financial status report is required by SAMHSA, Grants Management Office 90 days after the end of the budget period. SAMHSA monitors the grant program through Government Performance and Result Act (GPRA Government Project Officer), conference calls, site visits, and monthly and quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$95,962,645; FY 09 est \$97,550,168; FY 10 est \$0 - The ATR III will be funded in FY 2010.

**Range and Average of Financial Assistance:**

\$2,000,000 - 4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 24 awards were funded. Fiscal Year 2009: In fiscal year 2009 24 awards were funded. Fiscal Year 2010: To be announced.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost Principles, 45 CFR Parts 74 and 92, the HHS Grant Policy Statement, OMB Cost Principles, Request for Application (RFA) and Terms and Conditions of Award.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: [kathleen.sample@samhsa.hhs.gov](mailto:kathleen.sample@samhsa.hhs.gov) Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.276 DRUG-FREE COMMUNITIES SUPPORT PROGRAM GRANTS**  
(Drug-Free Community Grants)**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Drug-Free Communities Act of 1997, Public Law 105-20; Reauthorized by Public Law 107-82.

**OBJECTIVES:**

To increase the capacity of community coalitions to reduce substance abuse, and over time, to reduce substance abuse among adults through strengthening collaboration among communities, public, and private entities. To disseminate state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse among youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20), reauthorized through the Drug Free Communities Reauthorization Act of 2001 (Public Law 107-82) and reauthorized again through the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012.

**Applicant Eligibility:**

Community coalitions must demonstrate that the community coalition has worked together for a period of not less than 6 months on substance abuse reduction initiatives. The coalition must: meet the composition requirements; ensure that there is substantial community volunteer effort; ensure that the coalition is a nonprofit, charitable, educational organization, or unit of local government, or is affiliated with an eligible organization or entity; possess a strategy to be self-sustaining; provide a 100-150 percent cash or in-kind match; and agree to participate in an evaluation of the coalition's program.

**Beneficiary Eligibility:**

Community coalitions, children, youth, and adults, those at-risk of substance abuse, and private nonprofit, and public community agencies.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Drug Free Community (DFC) is a collaborative initiative sponsored by Office of National Drug Control Policy (ONDCP) and Substance Abuse and Mental Health Services Administration (SAMHSA). Applications will be screened initially by ONDCP and SAMHSA to determine whether the applicant meets all the eligibility requirements. Applications submitted by eligible coalitions that meet all requirements will then be evaluated, scored, and rated by a peer review panel.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy and Substance Abuse and Mental Health Services Administration, a Notice of Award (NoA) signed by SAMHSA's Grants Management Officer is sent to the applicant agency. The NoA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 1 to 4 months.

**Appeals:**

None.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Drug-Free Communities Support Program grants awarded under the Drug-Free Communities Act do require a 100-150 percent cash or in-kind match depending on funding.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the Drug-Free Communities Act, awards will be made for one year.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly report SF272 requires by the Division of Payment Management. Under the Drug-Free Communities Support Grants biannual progress and annual financial reports are required. Expenditure reports are not applicable. classification tool survey is due each year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$300,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$82,361,304; FY 09 est \$81,789,937; FY 10 est \$63,668,475

**Range and Average of Financial Assistance:**

\$35,000 to \$125,000; \$109,053.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 805 awards were made. Fiscal Year 2009: 750 awards were made. Fiscal Year 2010: It is estimated that 558 awards will be made in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92; also the HHS Grant Policies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara J. Orlando, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: barbara.orlando@samhsa.hhs.gov Phone: (240) 276-1422 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Drug-Free Communities Act. Specific criteria are applied that are related to the particular program areas under which

projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in HHS.

### **93.279 DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 464L, 464N, and 464P, 42 U.S.C. 241, 42 U.S.C. 284, 42 U.S.C. 295, 42 U.S.C. 2850-2, and 42 U.S.C. 2850-4; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To support biomedical, basic and clinical neuroscience, behavioral and social science, epidemiologic, health services and health disparity research to develop new knowledge and approaches related to the prevention, diagnosis, treatment, etiology, and consequences of addiction and drug abuse, including HIV/AIDS. To support research training and research scientist development. To support dissemination of research findings. Small Business Innovation Research (SBIR) program: to expand and improve the SBIR program. The legislation is intended to expand and improve the SBIR programs to emphasize and increase private sector commercialization of technology developed through Federal SBIR research and development; increase small business participation in Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in the SBIR program. The legislation intends that the Small Business Technology Transfer (STTR) program stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

#### **USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (2) program project and center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) small grants support newer, less experienced investigators; investigators at institutions without a well developed research tradition and resources; the testing of new methods or techniques; small-scale exploratory and pilot studies, or exploration of an unusual research opportunity; small grants provide research support of up to \$50,000 direct costs per year for a period of up to 2 years; (4) research training grants including fellowships and institution training grants, career development grants and loan repayment contracts; (5) SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research or research and development efforts to determine the quality of performance of the small business grantees. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercially viable products or processes. Only Phase I awardees are eligible to apply for Phase II support; STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application and the quality of performance of the small business concerns. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

For research grants the following organizations/institutions are eligible to apply: Public/State Controlled Institutions of Higher Education; Private Institutions of Higher Education: Hispanic-serving Institutions, Historically

Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), and Alaska Native and Native Hawaiian Serving Institutions; Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education); Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education); Small Businesses; For-Profit Organizations (Other than Small Businesses); State Governments; Indian/Native American Tribal Governments (Federally Recognized); Indian/Native American Tribally Designated Organizations; County Governments; City or Township Governments; Special District Governments; Independent School Districts; Public Housing Authorities/Indian Housing Authorities; and Other(s): Eligible Agencies of the Federal Government, Faith-based or Community-based Organizations, U.S. Territory or Possession, Indian/Native American Tribal Governments (Other than Federally Recognized), Regional Organizations, and Non-domestic (non-U.S.) Entities (Foreign Organizations). Eligible Individuals: Any individual, or individuals (multiple PDs/Pis), with the skills, knowledge, and resources necessary to carry out the proposed research as the PD/PI is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research and/or development must be performed in the U.S. and its possessions. To be eligible, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and by a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific and technical merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Public or private profit and nonprofit sponsored organizations and individuals, minority groups, small businesses, health professionals, students, trainees, scientists and general public.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The National Institutes of Health is using [www.grants.gov](http://www.grants.gov) to accept electronic submission of applications. They are also available from the NIH web site at [www.nih.gov](http://www.nih.gov). Information concerning NIDA and the types of research supported may be found at [www.drugabuse.gov](http://www.drugabuse.gov) or [www.nida.nih.gov](http://www.nida.nih.gov). Consultation on a proposed project may also be obtained from NIDA. Applications are reviewed by primarily nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of scientific merit of the project as well as financial and programmatic consideration. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal

forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Project grants with which the National Advisory Council on Drug abuse has concurred with the recommendations of the Scientific Review Groups and approved by NIDA for payment are awarded directly by NIDA to the applicant institution. All accepted, research projects, SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of grant application. For AIDS applications the range will not exceed 180 days from cited receipt dates. SBIR/STTR applications: About 225 days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for additional support via competing continuation application unless otherwise restricted. Small and exploratory/developmental grants are limited to up to 2 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. NA.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis unless otherwise restricted. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grant support is limited to no more than 2 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Interim progress reports annually as part of a non-competing application for previously recommended support. Annual financial status report within 90 days after termination of annual grant and immediate and full reporting of any inventions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$38,611,000; FY 09 est \$38,804,000; FY 10 est \$39,386,000

**Range and Average of Financial Assistance:**

Range-\$44,550 to 1,133,000; Average \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 3,480 applications were received, 256 awards were issued. Fiscal Year 2009: 3,567 applications are anticipated, 256 awards are anticipated. Fiscal Year 2010: 3,656 applications are anticipated, 259 awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines are included in applications kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1998. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR Part 52 and 42 CFR Part 52a; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Camilla L. Holland 6101 Executive Blvd., Rm. 220, Bethesda, Maryland 20892  
Email: [chollan1@nida.nih.gov](mailto:chollan1@nida.nih.gov) Phone: 3014351384

**Website Address:**

<http://www.nih.gov>; [www.drugabuse.gov](http://www.drugabuse.gov); <http://www.nida.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development. Fiscal Year 2009: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development. Fiscal Year 2010: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit; (2) the feasibility of the research; (3) potential contribution to the national drug abuse problem; and (4) relevance to NIDA priorities. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the

proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technology.

### **93.280 NATIONAL INSTITUTES OF HEALTH LOAN REPAYMENT PROGRAM FOR CLINICAL RESEARCHERS**

(NIH LRP-CR)

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C 288-5A.

#### **OBJECTIVES:**

To attract and retain health professionals to clinical research careers by offering educational loan repayment for participants who agree by written contract to engage in clinical research in a qualifying nonprofit institution for a minimum of 2 years.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in clinical research in a qualified nonprofit institution or Federal or other domestic government agency (State, local), and in research that is supported by a nonprofit foundation, nonprofit professional association, or other nonprofit entity, or a Federal or other domestic government agency (State, local). Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary State and local tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

#### **Applicant Eligibility:**

(1) A U.S. citizen, U.S. national, or permanent resident of the United States; (2) Have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) Have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) Conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (State or local); (5) Engage in qualified clinical research. Clinical research is patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which an investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials; (6) Engage in qualified clinical research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) Agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal,

State and local law (e.g., applicable human subject protection regulations); and (8) Sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in clinical research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their nonfederal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as a Federal employee for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

#### **Beneficiary Eligibility:**

Health professionals who are interested in pursuing clinical research careers and who have unpaid educational loans will benefit from this program.

#### **Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

#### **Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program for Clinical Researchers. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the NIH via e-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be

considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. See the following for information on how assistance is awarded/released: check with the program office.

**Reports:**

Program participants must be periodically certified by their research supervisor to have been engaged in the qualifying research project for a minimum 50 percent effort (not less than 20 hours per week based on a 40 hour week) during the service period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$38,593,631; FY 09 est \$39,858,000; FY 10 est \$39,986,000

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$65 to \$15,146. The average cost which includes loan and tax reimbursement is \$42,457.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 909 awards were made in fiscal year 2008. Fiscal Year 2009: NIH projects that 932 awards will be made in fiscal year 2009 and 2010. Fiscal Year 2010: NIH projects that 932 awards will be made in fiscal year 2009 and 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 USC 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sherry Mills 6011 Executive Blvd., Room 206, MSC 7650, Bethesda, Maryland 20892-7650 Email: lrp@nih.gov Phone: (866) 849-4047 Fax: (866) 849-4046

**Website Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.281 MENTAL HEALTH RESEARCH CAREER/SCIENTIST**

**DEVELOPMENT AWARDS**

(Research Career/Scientist Development )

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To provide support for research career development relating to causes, risk, diagnosis, genetics, development, epidemiology, prevention, treatment, and services use for mental illness, behavioral disorders, and HIV/AIDS; and relating to basic neuroscience and basic behavioral science research addressing basic and clinical research pertinent to mental disorders; in order to increase the number of individuals who are competing to advance research supported by the National Institute of Mental Health support, including women, individuals from underrepresented racial and ethnic minority groups, and individuals with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Award (K01, MRSDA), Mentored Clinical Scientist Development Award (K08, MCSDA), and Mentored Quantitative Research Career Development Award (K25) provide support for individuals with research potential who need additional mentored development and/or experience in a productive research environment. Awards are available for up to 5 years of salary support (up to \$90,000 per year) for the individual candidate, fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Mentored Patient-Oriented Research Career Development Award (K23) supports the career development of individuals who have made commitment to focus their research endeavors on patient-oriented research. Awards are available for three to five years up to \$90,000 per year to help offset the full time salary requirement of the candidate. The NIH Pathway to Independence (PI) Award (K99/R00) provides up to 2 years of mentored support (K99) for a postdoctoral individual followed by up to 3 years of support after the awardee transitions to research independence (R00). K99/R00 awards are awards for up to 5 years of support. During the K99 phase, awards provide up to \$50,000 per year for the salary of the individual candidate as well as fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Salary support for all mentored awards may be supplemented by the sponsoring institution from nonfederal funds. The Independent Scientist Award (K02, ISA) is for independent scientists whose careers are developing rapidly; the Mid-career Investigator Award in Patient-Oriented Research (K24) is for outstanding clinical scientists engaged in patient-oriented research. No specialized training costs are available; limited research costs for K24s and K02s in theoretical areas are available.

**Applicant Eligibility:**

All awards in these series are made to appropriate domestic research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, and biomedical research institutes on behalf of individuals who need the opportunity to realize research potential. Except for the NIH Pathway to Independence (PI) Award (K99/R00), the individuals must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. The NIH Pathway to Independence (PI) Award (K99/R00) is open to both U.S. citizens and non-U.S. citizens. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance, contact GrantsInfo, Telephone (301) 435-0714, Email: [grantsInfo@nih.gov](mailto:grantsInfo@nih.gov). Information and instructions may be obtained from the program officials at the National Institute of Mental Health. Applications are reviewed by nonfederal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-21 for educational organizations and 45 CFR, Part 52.

**Award Procedure:**

All "K" Series awards are recommended for approval by the National Advisory Mental Health Council and those approved are awarded directly by NIMH to the applicant institution.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of the application. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedure is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

K01, K08, K23, K25 awards are made for up to 5-year periods with no renewal. K02 and K24 awards are made for a 5-year period, renewable once (unless holder has held a previous mentored "K" award). K99 awards are made for up to 2-year periods with no renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: 1. a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 08 \$66,300,733; FY 09 est \$68,090,353; FY 10 est \$69,111,044

**Range and Average of Financial Assistance:**

\$3,826 to \$462,488; \$153,474.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 432 awards were funded. Fiscal Year 2009: In fiscal year 2009, 431 awards are estimated to be funded. Fiscal Year 2010: In fiscal year 2010, 431 awards are expected to be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean G. Noronha, National Institute of Mental Health  
6001 Executive Blvd, R00m 6147, MSC 9609,  
Bethesda, MD 20892-9609  
Rockville, MD 20852 (for Express mail)  
301-443-3367  
301-443-4720 (FAX), Bethesda, Maryland 20892-9609 Email:  
[jnoronha@mail.nih.gov](mailto:jnoronha@mail.nih.gov) Phone: 301-443-3367 Fax: 301-443-4720

**Website Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Cortical processes in perception and memory, (2) regulatory mechanisms in brain maturation, (3) chemical factors in abnormal behavior, (4) hemispheric specialization of higher functions in humans, (5) theory and measurement of personality development, (6) biological substrate and correlates of schizophrenia, (7) biochemistry and behavioral recovery after post-traumatic stress, and (8) children's mental health services research. Fiscal Year 2009: See description for fiscal year 2008. Fiscal Year 2010: No current data.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) priority score and recommendation of the Initial Review Committee; (2) program priorities of the Institute; and (3) the availability of funds.

**93.282 MENTAL HEALTH NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**



Public Health Service Act, Title IV, Section 487, 42 U.S.C 288.

**OBJECTIVES:**

To ensure a continuing and adequate supply of well-trained scientists who are able to conduct research on mental health problems. The program provides training grants to institutions and fellowships to individuals at both the predoctoral and postdoctoral levels. There are awards to medical students proposing to acquire doctoral research degrees in addition to their medical degrees. Awards are made for training in the areas of basic and clinical neuroscience, genetics, developmental, behavioral, clinical, epidemiological, prevention, treatment and services research relevant to mental illnesses, behavioral disorders, and HIV/AIDS; and programs designed to increase the number of individuals in mental health research who are from underrepresented racial and ethnic groups, individuals with disabilities, or individuals disadvantaged because of educational or other circumstances that have inhibited their ability to pursue such a career.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Individual fellowships are made to students seeking predoctoral or postdoctoral support for full-time research training or who are enrolled in an formal M.D./Ph.D. program. An institutional allowance will be provided to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both predoctoral and postdoctoral trainees and will include an amount for institutional expenses. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral students receiving fellowships or stipend support under either individual or institutional grants for 12 months or less are obligated to pay back this support through an equivalent period of continued postdoctoral training or a period of health related research and/or teaching activities after the completion of their training. Postdoctoral individuals in their thirteenth and subsequent months of support will incur no further obligation, and such support will be considered acceptable postdoctoral payback service. Annual FY 09 stipend levels will be \$20,976 for predoctoral awards and \$37,368 to \$51,552 for postdoctoral awards dependent upon the number of years of relevant postdoctoral experience. Research training support may not be used for internships or other clinical training. COR Honors Undergraduate institutional training grants are designed to increase the number of well-prepared students from institutions with substantial minority enrollments who can compete successfully for entry into Ph.D. programs relevant to the mission of the NIMH. Stipends of \$11,064 per year may be requested for each full-time, junior/senior level trainee and other related institutional costs may be requested as described in the applicable program announcement.

**Applicant Eligibility:**

For a training grant, an institution must be a domestic public or nonprofit private organization. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high-quality research. An applicant for individual predoctoral fellowship support must be enrolled in a research doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a Ph.D., Psy.D., M.D., D.D.S., Sc.D., D.N.S., D.O., D.S.W., or equivalent degree from an accredited institution to be eligible for an individual postdoctoral fellowship. An applicant for an M.D./Ph.D. individual fellowship must be enrolled in an M.D./Ph.D. program at an approved medical school, accepted in a related scientific program, and supervised by a mentor in the related scientific field. All individuals to be supported under the NRSA program must be citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals and nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for

educational institutions. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q, and 42 CFR Part 66. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Institutional training applications must be prepared using the PHS 398 research grant application instructions and forms (revised 11/2007). The PHS 398 is available at <http://grants1.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Individual fellowship applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Information concerning current areas of science being supported is available from the National Institute of Mental Health (NIMH). Completed paper forms should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the mental health field. Applications other than fellowships must also be reviewed by the National Advisory Mental Health Council. If an institutional training grant is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant institution. If an individual fellowship is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the designated sponsoring institution business official. Postdoctoral students to be supported must submit required appointment forms, including a payback agreement and a Statement of Non-Delinquency on Federal Debt Certification. Predoctoral trainees whose appointments began after June 10, 1993, no longer incur a payback obligation. Honors undergraduate trainees incur no payback obligations as a result of COR support.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 5 to 7 months. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

By law an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

By law an individual may receive no more than 5 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). For an M.D./Ph.D. fellowship, 6 years may be requested. In practice, recommendations of review committees are generally for 2 or 3 years. Awards for institutional grants may be made for project periods of up to 5 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports are required. Financial status reports are required for Institutional and COR Honors Undergraduate National Research Service Awards. Annual reports of activities for tracking payback provisions are required from postdoctoral fellows and trainees upon termination of support. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 08 \$47,256,796; FY 09 est \$47,578,189; FY 10 est \$48,054,437

**Range and Average of Financial Assistance:**

Predocotoral stipends: \$20,976. Postdoctoral stipends: \$37,368 to \$51,552 COR Honors Undergraduate: \$11,064.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 283 individual awards and 155 institutional grants were awarded. Fiscal Year 2009: In fiscal year 2009, an estimated 283 individual awards and 155 institutional grants will be made. Fiscal Year 2010: In fiscal year 2010, an estimated 283 individual and 155 institutional grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean G. Noronha, National Institute of Mental Health  
6001 Executive Blvd, R00m 6147, MSC 9609,  
Bethesda, MD 20892-9609  
Rockville, MD 20852 (for Express mail)  
301-443-3367  
301-443-4720 (FAX), Bethesda, Maryland 20892-9609 Email:  
jnoronha@mail.nih.gov Phone: 301-443-3367 Fax: 301-443-4720

**Website Address:**

<http://www.nimh.nih.gov>.

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.281 Mental Health Research

Career/Scientist Development Awards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Understanding mental illness and behavioral disorders; (2) diagnosis and interventions for mental disorders; (3) mental health service delivery and evaluation; and (4) basic neuroscience, behavioral science, and genetic science relevant to mental disorders. Fiscal Year 2009: See description for Fiscal year 2008. Fiscal Year 2010: No current data for Fiscal year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded. For Training Grants: (1) quality of the proposed training program as determined by peer review; (2) availability of funds; and (3) program priority. For Fellowships: (1) overall merit of the application; (2) relevance of the application to the research priorities and mission of the institute and programs; and (3) availability of funds.

**93.283 CENTERS FOR DISEASE CONTROL AND PREVENTION INVESTIGATIONS AND TECHNICAL ASSISTANCE**

CDC Investigations and Technical Assistance

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 243, 247b(k)(2), as amended by Occupational Safety and Health Act of 1970, as amended by Federal Mine Safety and Health Amendments Act of 1977, as amended by Departments of Labor, Health and Human Services, Education, and Related Agencies Appropriations Act of 1988, Public Law 100-202.

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. STEPS- To enable communities to reduce the burden of chronic disease, including: preventing diabetes among populations with pre-diabetes; increasing the likelihood that persons with undiagnosed diabetes are diagnosed; reducing complications of diabetes; preventing overweight and obesity; reducing overweight and obesity; and reducing the complications of asthma. STEPS will achieve these outcomes by improving nutrition; increasing physical activity; preventing tobacco use and exposure, targeting adults who are diabetic or who live with persons with asthma; increasing tobacco cessation, targeting adults who are diabetic or who live with persons with asthma; increasing use of appropriate health care services; improving the quality of care; and increasing effective self-management of chronic diseases and associated risk factors. REACH - REACH U.S. supports community coalitions that design, implement, evaluate, and disseminate community-driven strategies to eliminate health disparities. Racial and ethnic groups targeted include: African American/Black, American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, and Hispanic/Latino. Health priority areas include: breast and cervical cancer; cardiovascular disease; diabetes mellitus; adult/older adult immunization, hepatitis B, and/or tuberculosis; asthma; and infant mortality.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To strengthen State and local disease prevention and control programs, such as tuberculosis, childhood immunization, and sexually-transmitted diseases. To support national and local programs to combat disability related to epilepsy through education, partnership development, and enhanced communication. Services and program support: Epidemic aid; technical assistance (field studies and investigations of ongoing disease problems; occupational safety and health); consultation; dissemination of technical information; and provision of specialized services and assistance, including responses to public health emergencies. Training: Training State and local health professionals in broad

areas of epidemiology, disability, and research programs such as hospital infections, hepatitis, vector-borne diseases, food-borne diseases, epilepsy, and tuberculosis, at the State or other health related organization's request.) To support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to tobacco use. To achieve four Program Goals through community interventions and mobilization; counter-marketing; policy development and implementation, and surveillance and evaluation. Goals include preventing initiation to tobacco use among young people; eliminate exposure to second hand smoke; promote cessation among adults and young people who use tobacco; and identify and eliminate tobacco-related disparities among specific population groups. Lead regional efforts to prevent and reduce the use of tobacco and exposure to secondhand smoke. Conduct evaluations and implementation of culturally relevant and community competent tobacco control and prevention strategies and continue regional capacity building efforts. To address goal four of the National Tobacco Control Program (Identify and Eliminate Tobacco-Related Disparities). To increase the o eliminate health disparities among segments of the population, including differences that occur by gender, race or ethnicity, education, income, disability, geographic location, or sexual orientation. Establish a National Network consortium among six priority populations to coordinate and evaluate tobacco control and prevention initiatives through a broad national strategy to prevent and reduce tobacco use and exposure to second hand smoke and to eliminate tobacco-related disparities among priority populations. To provide funding to establish and/or enhance state-based telephone quitlines to provide tobacco cessation telephone counseling to the public at large. To fund projects that address the promotion of cessation among adults and young people who use tobacco (quitlines.) Address at the National level the promotion of cessation among adults and young people who use tobacco (quitlines). To build state arthritis programs that exponentially expand access and use of evidence-based interventions by embedding intervention programs into existing systems, conducting surveillance and data analysis to inform decision making, and developing state-level intervention, policy, and communication focused partnerships that further program goals. To strengthen state oral health programs and public health core capacity and to reduce inequalities in the oral health of targeted populations. To improve state public health programs, including support for program leadership and staff, to monitor oral health risk factors, and for developing and evaluating prevention programs. To support evidenced- based interventions to prevent oral disease, including community water fluoridation and school-based dental sealant programs. To identify and disseminate information on best practices for state and community oral health programs. To assess state programs and provide recommendations to address gaps and weaknesses. To collaborate in development of the National Oral Health Surveillance System and to cosponsor the annual National Oral Health Conference. To develop initiatives related to oral disease prevention and chronic disease and health promotion capacity. To improve and strengthen state oral health infrastructure by providing technical assistance to state health agencies and coalitions, developing and i mpl ementing a plan to advancetheSurgeonGeneral's National Call to Action to Promote Oral Health. To coordinate the dissemination of comprehensive oral disease prevention information and health promotion programmatic expertise among state and local agencies and public and private sector organizations in the United States. To develop and promote policies to address oral disease prevention for high-risk adults. To identify modifiable barriers to optional care across diverse managed care settings.

**Applicant Eligibility:**

States, political subdivisions of States, local health authorities, Federally recognized or state recognized American Indian/Alaska Native tribal governments and organizations with specialized health interests may apply. Colleges, universities, private nonprofit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). To apply for research funding opportunities, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 3 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required. Cash reports are not applicable. Progress reports are required annually. Financial status reports are required annually. Upon completion of the project, final financial status reports are required. Progress reports are required annually. Upon completion of the project, performance reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$23,095,532; FY 09 est \$21,421,543; FY 10 est not reported. - FY 2010 REACH estimate not available. (Salaries) FY 08 \$36,370,099; FY 09 est \$36,370,099; FY 10 est \$36,370,099

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elijah West 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5549

**Website Address:**

<http://www.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.284 INJURY PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKAN NATIVES\_COOPERATIVE AGREEMENTS**

Injury Prevention Program for American Indians and Alaskan Natives\_Cooperative Agreements

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301a.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by developing the capacity of tribes to address their injury problems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance is used for three types of injury prevention related projects: (1) Part I Basic: Build or enhance local injury prevention capacity; and (2) Part II Intervention: Implement a proven or promising injury prevention intervention. This assistance is available to federally-recognized Indian tribes, tribal organizations, and urban Indian organizations. All IHS funds are discretionary funds.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, non-profit organizations serving primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Provisions of cooperative agreement require tribal endorsement in the form of Resolution to sanction tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments (and Circular No. A-122 for Nonprofit Organizations) implemented through applicable grant administration regulations 45 CFR, 92 (45 CFR, 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as furnished by IHS and required by 45 CFR, 92, for State and local governments and 45 CFR, 74, for nonprofit organizations, must be used for this program. Injury Prevention Programs are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110 and A-102.

**Award Procedure:**

Cooperative agreements are awarded on a competitive basis with processing and final approved by Indian Health Service Headquarters.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

Cooperative agreement appeals will follow PHS appeals procedures: 42 CFR, Part 50 Subpart D and DHHS appeals procedures: 45 CFR, Part 16.

**Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

IHS Grants are usually 3 to 5 years for a project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division Of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, that are pertinent to the HHS grant in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Cooperative Agreements) Injury Prevention: FY 08 \$1,690,505; FY 09 \$1,400,000; and FY 10 est 1,400,000.

**Range and Average of Financial Assistance:**

Injury Prevention: Part I Basic Core Capacity Injury Prevention up to \$75,000; Part II Injury Intervention up to \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement dated 1/07, ; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Injury Prevention Program Contact: Ms. Nancy Bill, Injury Prevention Program Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-1054. For Grants Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Basic Core Capacity Injury Prevention Program Development or Enhanced Injury Prevention Program Development, implementation of proven or promising injury prevention projects that are based on addressing local injury problems and provision of training for tribes, tribal organizations, and urban Indian organizations to address local injury prevention issues and concerns. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The apparent capability of the applicant to organize and manage the proposed project successfully considering the adequacy of staff, management systems, equipment and facilities; (2) the soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; (3) the adequacy of the budget in relation to the scope of the project and available funds; and (4) the relative effectiveness of the applicant's plan to carry out each of the requirements as set forth in the application.

**93.285 NATIONAL INSTITUTES OF HEALTH PEDIATRIC RESEARCH LOAN REPAYMENT PROGRAM**

(NIH Pediatric Research Loan Repayment Program; PR-LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6.  
, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C 288-6.

**OBJECTIVES:**

To attract and retain health professionals to pediatric research careers by offering educational loan repayment for participants who agree by written contract to engage in pediatric research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in pediatric research in a qualified nonprofit institution or Federal or other domestic government agency (State or local), and who are engaged in research that is supported by a nonprofit foundation, nonprofit professional association, or other nonprofit entity, or a Federal or other domestic government agency (State, local). Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary state and local tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) be a U.S. citizen, U.S. national, or permanent resident of the United States; (2) have a Ph.D., M.D., D.O., D.D.S., D.M.D.,

D.P.M., Pharm.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (Federal, State, or local); (5) engage in qualified pediatric research (pediatric research is research that is directly related to diseases, disorders, and other conditions in children); (6) engage in qualified pediatric research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in pediatric research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as Federal employees for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing pediatric research careers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is non-profit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the

Institute or Center which approved their application. Contact the NIH via e-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

**Deadlines:**

Nov 15, 2010: At 8:00 p.m., EST. Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available for eligible individuals whose renewal applications score within the funding range. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$17,406,844; FY 09 est \$18,150,387; FY 10 est not reported.

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayment of 50 percent of education debt up to \$70,000 plus tax payments. For renewal contracts, loan repayment of 50 percent of education debt per year up to \$35,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NIH awarded 347 contracts. Fiscal Year 2009: NIH awarded 388 contracts. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in the Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6. The NIH PR-LRP was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephen J. Boehlert 6011 Executive Blvd., Suite 206, Bethesda, Maryland 20892 Email: [boehlers@od.nih.gov](mailto:boehlers@od.nih.gov) Phone: 3014514465

**Website Address:**

[www.lrp.nih.gov](http://www.lrp.nih.gov)

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164

Indian Health Service Educational Loan Repayment; 93.209 Contraception and Infertility Research Loan Repayment Program; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.307 Minority Health and Health Disparities Research ; 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

### **93.286 DISCOVERY AND APPLIED RESEARCH FOR TECHNOLOGICAL INNOVATIONS TO IMPROVE HUMAN HEALTH FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title IV, Section 401(b)(1) & 467z.

#### **OBJECTIVES:**

To support hypothesis, design, technology, or device-driven research relation to the discovery, design, development, validation, and application of technologies related to biomedical imaging and bioengineering. The program includes biomaterials (biomimetics, bioprocessing, organogenesis, rehabilitation, tissue engineering, implant science, material science, interface science, physics and stress engineering, technology assessment of materials/devices), biosensors/biotransducers (technology development, technology assessment, development of algorithms, telemetry), nanotechnology (nanoscience, biomimetics, drug delivery systems, drug bioavailability, microarray/combinatorial technology, genetic engineering, computer science, technology assessment), bioinformatics (computer science, information science, mathematics, biomechanics, computational modeling and simulation, remote diagnosis and therapy), imaging device development, biomedical imaging technology development, image exploitation, contrast agents, informatics and computer sciences related to imaging, molecular and cellular imaging, bioelectrics/biomagnetics, organ and whole body imaging, screening for diseases and disorders, and imaging technology assessment and surgery (technique development and technology development).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research Grant funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. Individual National Research Service Awards (NRSAs) are made directly to individuals for research training in specified areas related to the mission of NIBIB. Institutional NRSAs may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship or traineeship is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer (STTR) Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase

II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply for a research grant. An applicant for an individual NRSA must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. An eligible institution for an institutional NRSA must be capable of providing predoctoral and/or postdoctoral research training opportunities for engineers, bioengineers or other. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Credentials/Documentation: Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For an individual NRSA, the applicant's academic record, research experience, citizenship, and institutional sponsorship should be documented in the application. For an institutional NRSA, the applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-21, Cost Principles for Educational Institutions and OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Use of PHS 398 (Rev. 11/2007) and associated forms are required for all applications submitted to the NIH. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Form PHS 398 (Rev. 11/2007) is the standard form. Application kits are available on-line at <http://grants1.nih.gov/grants/oe.htm>. Completed applications should be submitted via Grants.gov (<http://www.grants.gov>) or to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. The same

application form will be used for all types of applications including training (NRSA), both individual and institutional, and SBIR/STTR. The training (NRSA) program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. SBIR and STTR grant applications should be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) SBIR/STTR Application Guide.

**Award Procedure:**

All applications for research or training are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. All applications favorably recommended compete for available funds on the basis of scientific merit and program emphasis. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Feb 01, 2009 Research Grants: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSA's: April 5, August 5, and December 5. Institutional NRSA's: January 10, May 10 and September 10. SBIR or STTR: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants: From 6 to 9 months. NRSA's: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 30 to 60 days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Research Grant applications submitted for renewal are reviewed and selected for funding on a competitive basis. NRSA awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research Grant awards are usually made annually with no project periods to exceed 5 years in length. NRSA Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. Normally SBIR and STTR Phase I awards are for 6 months and Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Normally, awards are released each fiscal year.

**Reports:**

No program reports are required. Cash reports are not applicable. Annual Progress Reports are required. Instructions are found: <http://grants1.nih.gov/grants/funding/2590/2590.htm>. Annual financial status reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 24, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0898-0-1-552.

**Obligations:**

(Salaries) FY 08 \$264,127,000; FY 09 est \$264,345,000; FY 10 est \$268,195,000

**Range and Average of Financial Assistance:**

FY 08, Range: \$561 - \$1,939,935; Avg.: \$335,612; FY 09 est. Range: \$3,000 - \$1,825,619; Avg.: \$360,518; FY 10 est. Range: \$3,000 - 1,826,037; Avg.: \$373,531.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 08 # of Awards made: 787. Fiscal Year 2009: FY 09 est. # of Awards will be made: 733. Fiscal Year 2010: FY 10 est. # of Awards will be made: 718.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Contact: William Heetderks, MD, PhD, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 496-9388. Facsimile: (301) 480-4973. Business Contact: Joe Mossiman, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 451-4247. Facsimile: (301) 480-4530. Use the same numbers for FTS.

**Headquarters Office:**

Valery Gordon, Office of Extramural Policy National Institute of Biomedical Imaging and Bioengineering, 6707 Democracy Blvd. Suite 200, MSC-5477, Bethesda, Maryland 20892-5477 Email: [gordonv@mail.nih.gov](mailto:gordonv@mail.nih.gov) Phone: (301) 451-0161. Fax: (301) 480-4973

**Website Address:**

<http://www.nibib.nih.gov>

**RELATED PROGRAMS:**

93.113 Environmental Health; 93.121 Oral Diseases and Disorders Research; 93.172 Human Genome Research; 93.173 Research Related to Deafness and Communication Disorders; 93.242 Mental Health Research Grants; 93.273 Alcohol Research Programs; 93.279 Drug Abuse and Addiction Research Programs; 93.361 Nursing Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research; 93.846 Arthritis, Musculoskeletal and Skin Diseases Research; 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research; 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.859 Biomedical Research and Research Training; 93.865 Child Health and Human Development Extramural Research; 93.866 Aging Research; 93.867 Vision Research; 93.879 Medical Library Assistance



**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? (3) Innovation: Does the project employ novel concepts, approaches or method? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies? (4) Investigator: Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)? (5) Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of institutional support? (6) the appropriateness of the proposed budget and duration in relation to the proposed research; (7) the relevance and importance to announced program objectives; (8) the adequacy of plans to include both genders, minorities and their subgroups, and children as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated; (9) the adequacy of the proposed protection for humans or the environment, to the extent they may be adversely affected by the project proposed in the application; and (10) the adequacy of the proposed plan to share data, if appropriate. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.288 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

(NHSC Scholarship Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Sections 338A and 338C-E, 338G.

**OBJECTIVES:**

To increase the supply of primary care physicians, dentists, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the United States by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, family nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. The program requires a 1 year of service with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service is primarily a nonfederal salaried or contracted employee of a public or private non-profit entity, providing full-time primary health services. Services may also be in a fee for service private practice setting, or a Federal employee in Federal health systems such as the Indian Health Service, Immigration Health Service or Bureau of Prisons. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC. Physicians receive their site list at the beginning of their last year of residency training; nurse practitioners, nurse midwives, and physician assistants receive their site list within 6 months of their graduation. Service sites are limited to the United States, territories, and successor States to the Trust Territories, the Republic of Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. Deferments of service are granted to physicians to complete residencies in family practice, internal medicine, pediatrics, psychiatry, and obstetrics/gynecology.

**Applicant Eligibility:**

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in the U.S., in a course of study leading to a degree in medicine, osteopathic medicine, dentistry, or other health professions. The applicant must be free of any Federal judgment liens or service obligation, have not defaulted on a Federal debt, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps, Division of Applications and Awards, the Bureau of Clinician Recruitment and Service by the last Friday in March, agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

**Beneficiary Eligibility:**

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a degree in medicine, osteopathic medicine, dentistry or other health profession.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

NHSC scholarship awards are very competitive; the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored

numerically. All applicants will be notified if they are selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing the program for which the scholarship was awarded.

The employing facility must complete and send a semi-annual Employment Certification Form verifying that the participating health professional is providing full-time. The certification includes a signature by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$14,679,266; FY 09 est \$9,208,741; FY 10 est \$12,258,800

**Range and Average of Financial Assistance:**

\$40,000-\$320,000 per year, with the average award being \$181,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: New awards made for the following year: FY 08, 94. The estimate is 39 for FY 09. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Scholarship Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8A-55, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Division of Applications and Awards 5600 Fishers Lane, Room 8A-55,

Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.364 Nursing Student Loans; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Scholarships covering tuition, monthly stipends and payments for other reasonable education expenses made to medical school students, dental students (3rd & 4th year), as well as for students of family nurse practitioner, nurse midwifery and physician assistant programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Priority for consideration will be given to all students who have characteristics which increase the probability they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background."

**93.289 PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS**

(PCPFS)

**FEDERAL AGENCY:**

President's Council on Physical Fitness and Sports, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order  
Executive Order 13511, dated October 1, 2009.

**OBJECTIVES:**

The objectives of the PCPFS are confined to promotion of physical activity and fitness for Americans of all ages by encouraging development, implementation and improvement of physical activity, fitness and sports programs. These objectives are accomplished by providing consultation and technical assistance, general publications and a web site, and by means of program evaluation and guidance to schools, government agencies, employee organizations, industrial organizations, recreation and park departments, youth organizations and others who wish to introduce or improve physical activity and fitness or sports programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Activities are largely limited to providing public information on physical activity, fitness, and sports programs.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The PCPFS has no funds available to offer any type of financial assistance. However, requests for technical assistance and/or advisory services can be

submitted to the Council in writing or orally. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable. The PCPFS has no grant making authority.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 08 \$1,310,492; FY 09 est \$1,245,592; FY 10 est \$1,281,619 - None.

**Range and Average of Financial Assistance:**

Not applicable. The PCPFS has no grant making authority.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The first National President's Challenge was launched in March 2008. Americans from all 50 states, the District of Columbia, and several U.S. territories participated in this six-week physical activity challenge by logging and tracking their physical activity on-line. The top five states were Alaska, Arkansas, Wyoming, Maryland, and Washington, DC. A new on-line Adult Fitness Test also was launched in May 2008. This test was developed in response to many requests for an adult version of the youth fitness test. In the first week that this program launched, more than 72,000 people took the on-line test at [www.audlt/fitness](http://www.audlt/fitness). Other accomplishments of the PCPFS include increasing the number of President's Challenge advocates and the number of science partnerships. Fiscal Year 2009: The PCPFS serves as a catalyst for the Department to promote, encourage, motivate the development of physical activity/fitness and sports participation for all ages and abilities, and to publicize the health benefits of regular physical activity. PCPFS accomplishes this through the President's Challenge Physical Activity and Fitness Award Program, and through a number of partnerships with private sector and non-profit organizations. Fiscal Year 2010: The PCPFS will continue to serve as a catalyst for the Department to promote, encourage, and motivate the development of physical activity fitness and sports participation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. RADM Penelope Slade-Sawyer, Acting Executive Director, President's Council on Physical Fitness and Sports, Office of Public Health and Science, Office of the Secretary, Department of Health and Human Services, 200 Independence Avenue, S.W., Suite 738H, Washington, DC 20201-0004. Telephone: (202) 690-5187, Fax: (202) 690-5211. Use the same number for FTS.

**Headquarters Office:**

Olga B. Nelson Office of Public Health and Science  
Department of Health and Human Services  
Room 714B Humphrey Building  
200 Independence Avenue, S.W., Washington, District of Columbia 20201  
Email: [olga.nelson@hhs.gov](mailto:olga.nelson@hhs.gov) Phone: 2026905205 Fax: 2024012222

**Website Address:**

<http://www.fitness.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.291 SURPLUS PROPERTY UTILIZATION**

(Federal Property Assistance Program)

**FEDERAL AGENCY:**

Program Support Center, Department of Health and Human Services

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), Public Law 81-152, 40 U.S.C. 484., Section 203(k), Public Law 81-152, 101 Stat. , 40 U.S.C 484; Stewart B. McKinney Homeless Assistance Act of 1987, Section 501, Public Law 100-77, 101 Stat. 509, 42 U.S.C 11301.

**OBJECTIVES:**

To convey or lease all surplus Federal real properties made available by the disposal agency which are needed and usable by eligible organizations and institutions to carry out health programs, including homeless assistance programs.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Real property must be used for eligible health purposes including research. It may consist of land with or without buildings and other improvements or buildings only. A discount of up to 100 percent based on the proposed-use program is granted. This discount applied against the fair value of the property, is earned by approved use over a prescribed period of 30 years for land with or without improvements, and a lesser time for leased facilities and improvements which are sold without land. Allowance of less than 100 percent requires payment of the difference in cash at the time of conveyance. Property must be used for the purpose for which conveyed, and may not be sold, leased, mortgaged, or encumbered without consent of the Department. Property must be used for the approved purpose for a specific period of time (i.e., 30 years); property can not be sold, encumbered, mortgaged, etc. without prior approval of office; grantee required to submit annual utilization reports; grantee must not discriminate in its use of the property; etc.

**Applicant Eligibility:**

States, their political subdivisions and instrumentalities; tax-supported public health institutions, and nonprofit institutions which (except for institutions which lease property to assist the homeless under Title V of Public Law 100-77) have been held exempt from taxation under Section 501 (c) (3) of the 1986 Internal Revenue Code.

**Beneficiary Eligibility:**

Anyone attending, working with or for, or served by the eligible applicants. Examples of potentially eligible use programs are hospitals, public health clinics, water and sewer systems, institutions for the rehabilitation of mentally or physically handicapped, health research institutions, homeless assistance facilities, and other institutions with basic health programs.

**Credentials/Documentation:**

Applicants must demonstrate current need for properties they request and the ability to carry out the proposed program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Notice of availability of surplus real property is sent by the Division of Property Management, Program Support Center (PSC), Department of Health and Human Services (DHHS), to all known potentially interested institutions. When applying for real property, an informal preapplication conference either in person or by telephone is recommended. At that time, consultation and assistance are available to aid in the preparation of an application. Applicants are required to submit factors for consideration of potential environmental impact, in accordance with the Environmental Questionnaire furnished with the application instructions. This program is excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants interested in acquiring Federal real properties must contact the Division of Property Management, PSC, DHHS.

**Award Procedure:**

Real property is awarded to the applicant whose programs of use are determined to be in the highest public interest. Land (with or without improvements) is conveyed by quitclaim deed or lease; buildings for off-site removal are by agreement of sale.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally, approval or disapproval is made within 30 days after an application has been submitted for real property. For properties to assist homeless individuals under Title V of the McKinney Act, approval or disapproval is made 25 days after a complete application is received.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Deed restrictions run for a period of 30 years and Agreements of Sale are normally for 5 years, after which the transferee has clear title to the property. Restrictions on leased property run for the period of the lease. See the following for information on how assistance is awarded/released: Via deed or lease.

**Reports:**

Transferee is required to submit an annual utilization report on the operation and maintenance of the property. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department's Audit agency makes periodic audits of the headquarters operation and may make spot checks of the utilization by real property transferees.

**Records:**

Transferees of real property, who expend funds to rebuild, refurbish, or to otherwise improve property under restrictions, should maintain records of these costs in the event they wish to dispose of the property prior to termination of the restriction period.

**Account Identification:**

75-4552-0-1-551.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$394,128; FY 09 est \$684,000; FY 10 est \$691,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 45, Subtitle A, Part 12, Disposal and Utilization of Surplus Real Property for Public Health Purposes. Literature: The following pamphlet is available from the Division of Property Management: "How to Acquire Federal Surplus Real Property for Public Health Purposes," at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theresa M. Ritta 5600 Fishers Lane  
Parklawn Building, Rockville, Maryland 20857 Email: tritta@psc.gov Phone: 3014432265

**Website Address:**

<http://www.psc.gov/aos/federalprop>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution, its programs, and the proposed use to meet the program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, age, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**93.300 NATIONAL CENTER FOR HEALTH WORKFORCE ANALYSIS (NCHWA)****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII; Section 761; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

**OBJECTIVES:**

To provide for the development of information describing the health professions workforce and the analysis of workforce-related issues and to provide necessary information for decision-making regarding future directions in health professions and nursing programs in response to societal and professional needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds can be used to provide for targeted information collection and analysis activities related to health workforce, research on high priority workforce questions, the development of a nonfederal analytic and research infrastructure related to health workforce-related issues, and to conduct program evaluation

and assessment.

**Applicant Eligibility:**

Those eligible to apply are: State or local governments, health professions schools, schools of nursing, academic health centers, community-based health facilities, and other appropriate public or private nonprofit entities, including faith based and community based organizations.

**Beneficiary Eligibility:**

Those who will ultimately benefit from these grants are the local, rural, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period awardees may submit a competing continuation application for an additional 5 years of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Some cooperative agreements may require a matching requirement for State and local studies.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available up to 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$750,000; FY 09 est \$750,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$1,000,000; \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Roger Straw, Director, Office of Workforce Policy and Performance Management, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, 5600 Fishers Lane, Room 9A18, Rockville, MD 20857. Telephone: (301) 443-0367.

**Headquarters Office:**

Roger Straw 5600 Fishers Lane, Room 9-A18, Rockville, Maryland 20857  
Phone: (301) 443-0367

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Health Workforce Information Center in North Dakota.  
Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which an applicant specializes in health workforce research. An applicant will be considered as specializing in health workforce research through identification of its mission, health workforce research accomplishments, and dedicated staff to health workforce research. (2) The degree to which the applicant demonstrates State and National experience and accomplishments in health workforce issues and research directly supporting the BHP priorities, health workforce distribution, racial/ethnic diversity of the health workforce, geriatrics, and genetics. Experience and accomplishments could be demonstrated through past or currently funded research. (3) The degree to which the applicant has health workforce research experience relevant to the proposed research project. For example, for a proposed research project that focuses on a given geographic area such as the US-Mexico border, the applicant should demonstrate experience in conducting US-Mexico border health workforce research. In terms of workforce discipline-specific studies, the applicant should demonstrate experience in conducting research on the given discipline. (4) The degree to which the applicant's proposed research includes: a well-developed background statement, clearly stated research objectives, clearly stated project activities and methodology, and a well-developed, reasonable management plan that will enable the successful completion of the project.

**93.301 SMALL RURAL HOSPITAL IMPROVEMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 1820(g)(3) of Social Security Act, as amended.

**OBJECTIVES:**

To help hospitals: (1) pay for costs related to quality improvement and 2) offset costs related to the health information technology.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

**Applicant Eligibility:**

All small rural hospitals located in the 50 States and Territories.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to six months.

**Appeals:**

Not Applicable.

**Renewals:**

SHIP awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. An annual progress report and final financial status report are due within 90 days after end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$14,280,954; FY 10 est \$14,280,954

**Range and Average of Financial Assistance:**

\$26,835 to \$992,845; \$315,406.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 46 awards were made. Fiscal Year 2009: In FY 09 and FY 10, it is estimated that 46 awards will be made. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Jeanene Meyers, Office of Rural Health Policy, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD, 20857, 301-443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of allowable activities include: 1) purchase of applications that focus on quality improvement, performance improvement and patient safety; 2) training and education in using technology to improve patient outcomes) 3) updating chargemasters or providing training in billing and coding . Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based on: (1) extent to which applicant is responsive to the requirements and purposes of this program; and (2) extent to which application describes need, strategies and investment to address those needs.

**93.307 MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III and IV, Part A and Part E, Sections 485E, 485F, 485G; Public Law 99-158 and Public Law 106-525; 42 U.S.C. 287c-31, 42 U.S.C. 287c-32, 42 U.S.C. 287c-33, 42 U.S.C. 241 and 285; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support basic, clinical, social, and behavioral research, promote research infrastructure and training; foster emerging programs; disseminate information; and reach out to minority and other health disparity communities. The National Center on Minority Health and Health Disparities (NCMHD) has established programs to pursue these goals: (1) The Centers of Excellence Program promotes research to improve minority health, and/or reduce and eliminate health disparities, build research capacity for minority health and health disparities research in minority-serving and other institutions; encourages the participation of health disparity groups and communities in biomedical and behavioral research and prevention and intervention activities; and brings together investigators from relevant disciplines in a manner that will enhance and extend the effectiveness of their research; (2) NCMHD Research Endowment Program: builds research capacity and infrastructure at eligible Section 736 health professions schools (42 U.S.C. 293) to facilitate minority health and other health disparities research to close the disparity gap in the burden of illness and death experienced by racial and ethnic minority Americans and other health disparity populations; promotes a diverse and strong scientific, technological and engineering workforce; and emphasizes the recruitment and retention of underrepresented minorities and other socio-economically disadvantaged populations in the fields of biomedical, and behavioral research and other areas of the scientific workforce; (3) Health Disparities Research Loan Repayment Program (HDR-LRP): recruits and retains highly qualified health professionals to research careers that focus on minority health or other health disparities issues; (4) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR-LRP), also referred to as the Disadvantaged Individuals Loan Repayment Program within this document: recruits and retains highly qualified health professionals from disadvantaged backgrounds to conduct clinical research. This nucleus of clinical investigators has the potential to improve medical care within their respective communities by promoting clinical programs that address the health problems associated with these communities; (5) Research Infrastructure in Minority Institutions (RIMI) Program: assists non-doctoral degree institutions in developing their research infrastructure primarily through collaborations with research-intensive universities thereby enabling the institutions to develop and enhance their capacity and competitiveness to conduct biomedical or behavioral research; (6) Minority Health and Health Disparities International Research Training Program (MHIRT), awards enable U.S. institutions to tailor short-term basic science, biomedical and behavioral mentored student international research training opportunities to address global issues related to understanding, reducing, and eliminating health disparities; (7) Community-Based Participatory Research (CBPR) program: this program supports the development, implementation and evaluation of intervention research using the community-based participatory research (CBPR) principles and methods in targeting diseases of major public health importance in health disparity communities. CBPR awards promote participatory research collaboration between scientific researchers and their community partners. This initiative starts with a three-year research planning grant followed by a competitive five-year intervention research grant and concludes with a three-year research dissemination grant. The CBPR initiative engages the community in all phases of the research process and is directed to specific diseases/health conditions in a particular health disparity population. (8) Small Business Innovation Research (SBIR) Program: increases private sector commercialization of innovations derived from Federal research and development; encourages small business participation in Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (9) Small Business Technology Transfer (STTR) Program: to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; fosters technology transfer between small business concerns and research institutions; increases private sector commercialization of innovations

derived from Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (10) Research Project Grants (RPG): supports investigators whose current research focuses on diseases/conditions that disproportionately affect racial/ethnic minorities and other underserved populations.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Grants are intended to support the direct costs of a project in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service.

Endowment grants: Some qualifying institutions may use income earned from a research endowment corpus to support institutions in their effort to expand and add teaching programs in the biomedical and behavioral sciences and related areas, to improve facilities, to enhance student and faculty recruitment and retention, to develop instructional delivery systems and information technology in areas that will enhance minority health and other health disparities research activities, and to establish endowed chairs and programs. Other qualifying institutions must use income earned from a research endowment corpus to increase the institutions' investments in the recruitment and retention of underrepresented minority students and students from other health disparity populations that matriculate at such institutions. This includes activities such as increasing student recruitment and retention, creating merit-based and need-based scholarships, establishing or enhancing tutoring, providing counseling, and designing student service programs to improve academic success, and faculty recruitment and retention. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Contracts provide repayment of existing educational loan debt incurred by health professionals that have agreed to conduct minority health or other health disparities research; or highly qualified health professionals from disadvantaged backgrounds whom plan to conduct clinical research. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts recipients must execute a written contract agreeing to engage in qualified research for a minimum of two years. Contracts may be renewed for a one- or two-year period after the completion of the initial two-year contract, provided that the participant applies for a competitive renewal contract, continues to engage in qualified research, and has eligible repayable debt remaining. Program payments are made directly to the participants' lenders following each quarter and a verification of satisfactory research service, unless otherwise agreed upon by the participant and the Director, NCMHD. SBIR grants: SBIR Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR grants: STTR Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. STTR Phase II grants are based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. See Program Announcements: PA-07-280 and PA-07-281. As specified in each of the program announcements.

**Applicant Eligibility:**

Individuals and public and private institutions, both non-profit and for-profit, who propose to establish, expand, and conduct research, promote or engage in research training, and outreach activities that contribute to improving minority health and/or eliminating health disparities. Endowment grants: Only Section 736 health professional schools (see 42 U.S.C. 293) with net endowment assets less than or equal to 50 percent of the national average of endowment funds at institutions that conduct similar biomedical research or training of health professionals are eligible for the research endowment awards. All applicants must have a HRSA Centers of Excellence Award at the time of award of an NCMHD Research Endowment Grant. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Qualified health professionals that are U.S. citizens, nationals or lawfully admitted for permanent residence in the U.S.; have student loan debt equal to or less than 20

percent of their institutional based salary; have no Federal judgment liens against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted during the length of their Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts service obligation. SBIR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. Small business concerns must be at least 51 percent US owned by individuals and independently operated and/or at least 51 percent owned and controlled by another (one) for-profit business concern that is at least 51 percent owned and controlled by one or more individuals. The research must be performed in the U.S. or its possessions. STTR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees) that "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution.

#### **Beneficiary Eligibility:**

Any non-profit or for-profit organization, company, or institution engaged in biomedical and behavioral research. Endowment grants: Section 736 institutions. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Qualified health professionals who conduct minority health or other health disparities research or highly qualified health professionals from disadvantaged backgrounds who will conduct clinical research and who possess substantial unpaid educational debt relative to income.

#### **Credentials/Documentation:**

Applicants must present a research plan and furnish evidence required for research grant applications, PHS 398, (Rev. 05/01) as specified in the application form. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q and OMB Circular No. A-21 for Educational Institutions and OMB Circular No. A-87 for state and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. Endowment grants: Requirements for the endowment application, PHS 398 (Rev. 05/01) are specified in the application form and supplemented by the Invitation to Apply (for limited competition). Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Applicants must provide general information, research statement, training/mentoring plan, environment description, certification of loan status, loan data verification, recommendations, and an institutional supporting statement. Requirements for the loan repayment application, OMB Approval No. 0925-0361, are specified in the electronic application form located at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR grants: Applicant organizations (small business concerns) must present a research plan that includes an idea that has the potential for commercialization, and furnish evidence that the scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. To apply for SBIR Phase I and Phase II Grants, applicants must complete SF424 (R&R) Application for Electronic Submission. For general information on SF424 (R&R) Application and Electronic Submission, see these Web sites: SF424 (R&R) Application and Electronic Submission Information: <http://grants.nih.gov/grants/funding/424/index.htm>. General information on Electronic Submission of Grant Applications: <http://era.nih.gov/ElectronicReceipt/>. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the various programs should be submitted to the NIH office that is responsible for the receipt of applications, and in such form and manner

as the application prescribes. (All information pertaining to grants hereinafter, also apply to Endowment Grants unless otherwise noted). Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Revised 9/2004, Interim Revision 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For NIH planned transition dates of mechanisms for electronic submission, see: [http://era.nih.gov/ElectronicReceipt/files/Electronic\\_receipt\\_timeline\\_Ext.pdf](http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf). For further assistance contact Grants Info, Telephone (301) 435- 0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact Grants Info, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

#### **Award Procedure:**

Each application will be forwarded to an initial scientific review committee or Special Emphasis Panel (SEP) of non-NIH scientists and the National Advisory Council on Minority Health and Health Disparities (NACMHD) will conduct the secondary review. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: All eligible and completed applications will be forwarded to a SEP for review. Awards will be made to those applications recommended by the SEP and approved by the Director, NCMHD. SBIR and STTR grants: All eligible and completed applications will be forwarded to an initial scientific review committee and to the NACMHD for the secondary review. All applications receiving a priority score compete for available SBIR/STTR set-aside funds.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Approximately 6 to 9 months. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Approximately 6 to 8 months. SBIR and STTR grants: Approximately 7 to 8 months.

#### **Appeals:**

A principal investigator or applicant may question the substantive or procedural aspects of the review of his/her application by communicating with NCMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Renewal of grant awards beyond the initial project period of support is contingent upon successful competition by the applicant and upon the appropriation of funds for this purpose. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Prior to the expiration of a participant's current award, the participant may apply for a one- or two-year extension provided the participant continues to engage in qualified minority health or other health disparities research and has outstanding repayable debt remaining. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts renewal applications are reviewed and selected for funding on a competitive basis.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.



**Length and Time Phasing of Assistance:**

All awards have a project period of one to five years. Non-competitive grant awards in successive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. Endowment Grants: Awards have a project period of one to three years. Non-competitive years (year 2 up to year 3) are awarded based on the applicant's annual performance and the availability of funds. The project period for these awards are directly linked to the amount of time remaining on the applicant's HRSA Centers of Excellence project period. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: An initial contract provides assistance for a two-year period, and a renewal contract provides assistance for an additional one- or two-year period. SBIR grants: Generally, Phase I awards are for six months, and Phase II awards are for two years. STTR grants: Generally, Phase I awards are for one year, and Phase II awards are for two years. All funds for any award must be obligated within five years from the date of the award. See the following for information on how assistance is awarded/released: See above for information about each program.

**Reports:**

Annual progress and selected financial status reports for continuing projects and final reports on all projects upon conclusion are required. Endowment Grants: The NCMHD will exercise extended monitoring of a participant's annual progress towards meeting the objectives as outlined in the participant's five-year strategic plan for prioritizing the use of endowment income. These reports will extend five years beyond the last year of a participant's project period. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: Participants must be periodically certified to have satisfactorily performed the duties of their positions. Cash reports are not applicable. See above. See above. See above.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts: There are no statutory audit requirements for this program.

**Records:**

Expenditures and other financial records must be retained three years from the day on which the grantee submits the last financial status report for the report period. HDR-LRP / ECR-LRP contracts: Applicant records will be retained for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552 - (1) Centers of Excellence (COE) grants: FY 09 \$66,897,000; FY 10 est not available; and FY 11 est not reported. (2) NCMHD Research Endowment grants: FY 09 \$27,048,000; FY 10 est not available; and FY 11 est not reported. (3) Health Disparities Loan Repayment.

**Obligations:**

(Project Grants) FY 08 not reported.; FY 09 est \$163,146,000; FY 10 est not reported. - 1) Centers of Excellence (COE) grants: FY 09 \$66,897,000; FY 10 est not available; and FY 11 est not reported. (2) NCMHD Research Endowment grants: FY 09 \$27,048,000; FY 10 est not available; and FY 11 est not reported. (3) Health Disparities Loan Repayment Program (HDR) contracts: FY 09 \$13,229,000; FY 10 est not available; and FY 11 est not reported. (4) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR) contracts: FY 09 \$938,000; FY 10 est not available; and FY 11 est not reported. (5) Research Infrastructure in Minority Institutions (RIMI) grants: FY 09 \$18,381,000; FY 10 est not available; and FY 11 est not reported. (6) Minority Health and Health Disparities International Research Training (MHIRT) grants, formerly the Minority International Research Training Program (MIRT) previously managed by the NIH Fogarty

International Center: FY 09 \$4,514,000; FY 10 est not available; and FY 11 est not reported. (7) Community-Based Participatory Research grants (CBPR): FY 09 \$22,244,000; FY 10 est not available; and FY 11 est not reported. (8) Small Business Innovation Research (SBIR) and (9) Small Business Technology Transfer Grant Applications (STTR): FY 09 \$5,520,000; FY 10 est not available; and FY 11 est not reported. (10) Research Project Grants (RPG): FY 09 \$4,375,000; FY 10 est not available; and FY 11 est not reported.

**Range and Average of Financial Assistance:**

(1) Centers of Excellence (COE) grants: total awards made by the NCMHD ranged from \$271,554 to \$1,639,379; average \$1,216,302. (2) Endowment grants: total awards made by the NCMHD ranged from \$312,500 to \$5,000,000; average \$3,005,309. (3) HDR Loan Repayment Program contracts: total awards made by the NCMHD ranged from \$1,979 to \$103,138; average \$44,693. (4) ECR Loan Repayment Program contracts: total awards made by the NCMHD ranged from \$7,036 to \$103,138; average \$52,137. (5) Research Infrastructure in Minority Institution grants (RIMI): total awards made by the NCMHD ranged from \$22,929 to \$1,010,845; average \$765,857. (6) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: total awards made by the NCMHD ranged from \$39,744 to \$242,920; average \$188,072. (7) Community-Based Participatory Research (CBPR) grants: total awards made by the NCMHD ranged from \$63,517 to \$748,692; average \$529,628. (8) Small Business Innovation Research (SBIR) grants and (9) Small Business Technology Transfer (STTR) Grant Application: Typically, Phase I awards normally may not exceed \$100,000 total (direct costs, indirect costs and profit/fee) and Phase II awards normally may not exceed \$750,000. However, these award levels for time and amounts are statutory guidelines, not ceilings. (10) Research Project Grants (RPG): total awards made by the NCMHD ranged from \$247,979 to \$450,624; average \$364,622.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: (1) Centers of Excellence grants: NCMHD funded 22 or more new or competing-renewal awards in FY 2009. (2) Research Endowments grants: NCMHD funded three new awards in FY 2009 and issued six non-competitive renewals. (3) Health Disparities Loan Repayment (HDR) contracts: NCMHD funded two hundred and ninety-six for FY 2009. (4) Extramural Clinical Loan Repayment Program for Individuals from Disadvantaged Backgrounds (ECR) contracts: NCMHD funded eighteen new and renewal awards in FY 2009. (5) RIMI grants: NCMHD funded six new awards (two renewals and four new competing) in FY 2009 for a 5-year project period. (6) MHIRT grants: NCMHD funded twenty-two awards in FY 2009. (7) CBPR grants: NCMHD funded forty awards in FY 2008 for a 5 year project period. (8) SBIR grants: NCMHD funded twenty awards in FY 2009. (9) STTR grants: NCMHD funded two awards and co-funded four awards in FY 2009. (10) RPG grants: NCMHD funded fourteen awards in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in 42 USC 271c-31 et. Seq.; 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; and miscellaneous program literature from the Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241. Additional loan repayment information can be obtained at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR information can also be obtained from the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; and the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy NIH/NCMHD  
6707 Democracy Blvd. Suite 800  
Bethesda, Maryland 20892-5465 Phone: 3014967074

**Website Address:**

<http://www.ncmhd.nih.gov> <http://www.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: (1) Centers of Excellence: (a) American Indian and Alaska Health Native Health Disparities Project; (b) A Research Center to Reduce Ethnic Disparities in End Stage Renal Disease; (c) Appalachian Center of Translational Disparities Research; (d) The Connecticut Center for Eliminating Health Disparities among Latinos; (e) University of North Texas Health Science Center NCMHD Center of Excellence; (f) The NYU Center for the Study of Asian American Health; (g) and the Meharry NCMHD Center of Excellence for Health Disparities. (2) Endowment program: the University of Montana: Health Professions and Biomedical Projects. (3) HDR-LRP and (4) ECR-LRP contracts: (a) Emotional Memory in Early Alzheimer Disease/Stressed Populations; and (b) Obesity Prevention Among Minority Children. (5) RIMI program: Hispanic Health Disparities Research Center. (6) MHIRT program: UAB Public Health/Biomedical International Research Program. (7) CBPR program: (a) Project Grace: A Participatory Approach to Address Health Disparities in HIV/AIDS among African American Populations; (b) Partnership to Overcome Obesity in Hawaii; (c) Partnership for a Hispanic Diabetes Prevention Program; and (d) The Healing of the Canoe: The Community Pulling Together; (8) SBIR and (9) STTR grants: (a) Sickle Cell Personal Medical Information Card; (b) An Information Processing Program for High-Risk Parents and (c) Healthcare-focused Language Software. (10) Research Project grants: (a) Faith-based HIV Prevention for Women and (b) Trans-generational Impact of Maternal Obesity and Diabetes on Health Disparities. Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating all new grant and renewal grant applications include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; and the necessity of the budget components requested in relation to the proposed project, and the relevance and importance to the announced program objectives. HDR-LRP contracts: Applicants must be recommended for funding by the Special Emphasis Panel after a review of the applications based on: the appropriateness of the applicant's previous training and experience to prepare him/her for a career in health disparities research; the suitability of the applicant's proposed research activities in the two-year loan repayment period to foster a research career in health disparities; the assessment of the applicant's commitment to a research career in health disparities as reflected by the personal statement and the plan outlined to achieve those goals; the strength of recommendations attesting to the applicant's potential for a research career; the availability of appropriate scientific colleagues to achieve and/or enhance the applicant's research independence; and the quality and appropriateness of institutional resources and facilities. SBIR and STTR grants: For Phase I grant applications, the criteria used are: the soundness and technical merit of the proposed approach; the qualifications of the proposed principal investigator, supporting staff, and consultants; the technological innovation of the proposed research; the potential of the proposed suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. For Phase II grant applications, the criteria used are: the degree to which the Phase I objectives were met and feasibility demonstrated; the scientific and technical merit of the proposed approach for achieving the phase II objectives; the qualifications of the proposed principal investigator, supporting staff and consultants; the technological innovation, originality, or societal importance of the proposed research; the potential of the proposed research for commercial application; the reasonableness of the budget requested for the work proposed; the adequacy and suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. All persons interested in any of the DHHS/NIH/NCMHD grant and/or contract program initiatives are strongly encouraged to carefully read the Request for Applications as they are announced annually in order to understand what is required for each unique program as well as meet each deadline in a timely manner.

### **93.308 EXTRAMURAL LOAN REPAYMENT FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS CONDUCTING CLINICAL RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5.

#### **OBJECTIVES:**

To encourage the recruitment and retention of qualified health professionals from disadvantaged backgrounds to conduct clinical research. Clinical research consists of patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which the investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

To provide repayment of existing educational loan debt incurred by health professionals from disadvantaged backgrounds engaged in clinical research. Recipients must execute a written contract agreeing to engage in such research for a minimum of two years. The Secretary of the Department of Health and Human Services, or the Secretary's designee, may grant extension contracts for a one-year or two-year period after the completion of the initial two-year contract, provided that the participant applies for an extension, continues to engage in qualified research, and there is sufficient repayable debt remaining.

#### **Applicant Eligibility:**

An applicant must: (1) be a United States citizen, national, or permanent resident; (2) have an M.D., Ph.D., Pharm.D., D.D.S., D.M.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) come from a disadvantaged background; (4) conduct research that is supported by a non-profit institution, foundation, professional society or U.S. government entity, (4) commit 50 percent or more of his/her time to clinical research; (5) have total qualifying educational debt greater than or equal to 20 percent of his/her institutional base salary at the time of award; (7) conduct research in accordance with applicable Federal, state and local law; (8) not be under any existing service obligations to Federal, State, or other entities, unless and until the existing service obligation is discharged or deferred during the period of program service; (9) not have Federal judgment liens against their property arising from a Federal debt from receiving Federal funds until all judgments have been paid in full or otherwise satisfied; (10) not be a full-time employee of a Federal government agency. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties are eligible to apply for loan repayment if they meet all other eligibility requirements; and (11) have the institution provide an assurance that the applicant will be provided research support for two years, that the applicant will engage in qualified clinical research for 50 percent of his/her time, that the funding foundation, professional society, or institution is considered to be non-profit pursuant to Section 501 of the Internal Revenue Code or is a U.S. government entity, and certify the applicant's annual institutional base salary.

#### **Beneficiary Eligibility:**

Qualified health professionals from a disadvantaged background who conduct clinical research and who possess substantial unpaid educational debt relative to income will benefit from this program.

#### **Credentials/Documentation:**

An applicant must submit the following documentation electronically: (1) Applicant Information Statement; (2) Biosketch; (3) Personal Statement, which includes a discussion of career goals and academic objectives; (4) Description of Research Activities; (5) Contact Information of Three Recommenders; (6) Contact Information of Institution Official able to serve as the Institutional Contact; (7) On-line Certification; (8) Loan Information; (9) Notice of

Grant/Award (or PHS 2271 for T32 recipients), if applying based on NIH support; and (10) Certification of Disadvantaged Background. The Research supervisor or mentor must electronically submit the following: (1) Recommendation; (2) Biosketch; (3) Assessment of the Research Activities Statement submitted by the applicant; (4) Description of the Research Environment; and (5) Training or Mentoring Plan. Recommenders must submit their recommendations electronically. Institutional Contacts must electronically submit a certification that: (1) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (2) assures that the applicant is or will be engaged in qualifying research for 50 percent of his/her time, i.e., not less than 20 hours per week; (3) certifies that the funding foundation, professional society, or institution is considered to be non-profit as provided under Section 501 of the Internal Revenue Code (26 U.S.C. 501) or is a U.S. government entity (Federal, state or local); and (4) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application for participation in the program can be obtained from [www.lrp.nih.gov](http://www.lrp.nih.gov) and should be submitted to the NIH office, which is responsible for the receipt of applications, in such form and manner as the Secretary or the authorized designee may prescribe.

**Award Procedure:**

All eligible and completed applications will be forwarded to the Special Emphasis Panel (SEP) for review. Awards will be made to those applications approved by the SEP, subject to the receipt of an appropriation and/or allocation of funds from the United States Congress, the NIH and/or NCMHD. All selections are subject to final approval by the Secretary or the authorized designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The approximate time for approval/disapproval is 6-8 months.

**Appeals:**

Applicants may question the substantive or procedural aspects of the review of their application by communicating with NCMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants2.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

After the completion of the initial two-year contract, participants may apply for a one-year or two-year extension provided the participant continues to engage in qualified clinical research and has outstanding repayable debt remaining. Applications submitted for an extension are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula or matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

An initial contract provides assistance for a two-year period, and an extension contract provides assistance for a one-year or two-year period. Program payments will be made directly to lenders following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary or authorized designee. Method of awarding/releasing assistance: quarterly.

**Reports:**

Standard annual report from the NIH Division of Loan Repayment. Cash reports are not applicable. Participants must be periodically certified to have satisfactorily performed the duties of their positions. No expenditure reports are required. Participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

Not Applicable.

**Records:**

The NCMHD will retain applicant records for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 08 not reported.; FY 09 est \$938,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

The total dollar assistance for FY 09 for the 2-year contract period ranged from \$4,775 up to \$70,000 in loan repayments, and from ~\$2,261 up to ~\$33,138 in tax reimbursements. The average dollar assistance of awards made in FY 09 was ~\$35,600 in loan repayments and ~\$16,537 in tax reimbursements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The NCMHD made 18 awards in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 106-554; Section 487E of the Public Health Service Act (42 U.S.C. 288-5).

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy, NIH/NCMHD, 6707 Democracy Blvd. Suite 800, Bethesda, Maryland 20892-5465 Phone: (301) 496-7074.

**Website Address:**

<http://www.ncmhd.nih.gov>.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.209 Contraception and Infertility Research Loan Repayment Program; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Determinants for Disparate Outcomes in Type II Diabetes; Waist Circumference to Screen for Cardiovascular Disease Risk Factors in a Racially Diverse Adolescent Population; and Using Social Epidemiology to Understand the Links Among Risk and Protective Factors and Adolescent Substance Use. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications/proposals include the assessment of the following: (1) personal statement; (2) proposed research project and its scientific merit (priority will be given to biomedical and behavioral researchers); (3) training plan and environment (which includes the research program, the facilities/environment, the mentor/advisor's training, the applicant's training); (4) loan debt ratio and any associated impediments that may affect the applicant's decision to pursue a research career; and (5) references.

**93.310 TRANS-NIH RESEARCH SUPPORT**

Common Fund Research Support

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301.

**OBJECTIVES:**

To provide support for new initiatives designed to address major opportunities and gaps in biomedical research that no single NIH institute could address alone, but which the agency as a whole can pursue to stimulate the progress of biomedical research and to catalyze changes that will serve to transform new scientific knowledge into tangible benefits for public health. Information on recent and current initiatives is available at <http://commonfund.nih.gov/>.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

To support research and other projects that will accelerate fundamental biomedical discovery and translation of that knowledge into effective prevention strategies and new treatments.

**Applicant Eligibility:**

Awards can be made to domestic, public or private, for-profit or nonprofit organization, university, college, hospital, laboratory, or other institution, including State and local units of government, and individuals. Some initiatives will accept applications from foreign organizations. Additional details on eligibility are specified in the Roadmap Grants and Funding Opportunities funding announcement, listed at <http://commonfund.nih.gov/>.

**Beneficiary Eligibility:**

Institutions as described above.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to instructions provided in the applicable Roadmap Grants and Funding Opportunities announcement, located at <http://commonfund.nih.gov/>. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement (rev. 11/2003), and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The length of the review cycle is four to nine months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal (competing continuation, type 2) applications to Roadmap programs are not accepted unless specifically accepted by NIH staff.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least one year, with additional support (up to four more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: drawn from established accounts.

**Reports:**

Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. Cash reports are not applicable. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS

Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$453,000,000; FY 09 est \$498,000,000; FY 10 est \$490,000,000

**Range and Average of Financial Assistance:**

\$381 to \$16,000,000 with the average being \$542,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: awards were made to support research projects that accelerate fundamental discovery and translation of that knowledge into effective prevention strategies and new treatments that will lead to better health for U.S. citizens. Lists of the awards that were made are available on the NIH Roadmap web site, at <http://nihroadmap.nih.gov/grants/fundedresearch.asp>. Fiscal Year 2009: awards were made to support research projects that accelerate fundamental discovery and translation of that knowledge into effective prevention strategies and new treatments that will lead to better health for U.S. citizens. Lists of the awards that were made are available on the NIH Roadmap web site, at <http://nihroadmap.nih.gov/grants/fundedresearch.asp>. Fiscal Year 2010: awards were made to support research projects that accelerate fundamental discovery and translation of that knowledge into effective prevention strategies and new treatments that will lead to better health for U.S. citizens. Lists of the awards that were made are available on the NIH Roadmap web site, at <http://nihroadmap.nih.gov/grants/fundedresearch.asp>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Acting Deputy Director of the Office of Strategic Coordination, phone 301-402-7617.

**Headquarters Office:**

Dr. Elizabeth Wilder Building One, Room 201  
, Bethesda, Maryland 20892 Email: [Elizabeth.Wilder@nih.gov](mailto:Elizabeth.Wilder@nih.gov) Phone:  
301-402-7617 Fax: 301-435-7268

**Website Address:**

<http://commonfund.nih.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment.

**93.342 HEALTH PROFESSIONS STUDENT LOANS, INCLUDING PRIMARY CARE LOANS/LOANS FOR DISADVANTAGED STUDENTS (HPSL/PCL/LDS)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 721-735, 42 U.S.C. 292q-292y; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved health discipline.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study. The maximum amount a student may borrow is cost of attendance (including tuition, other reasonable educational expenses and reasonable living expenses). Third and fourth year medical and osteopathic medicine students may be eligible for additional funding to repay earlier higher-interest educational loans. The interest rate is 5 percent.

Effective July 1, 1993, to be eligible for a Primary Care Loan (PCL), students of allopathic medicine and osteopathic medicine must meet financial need criteria and agree to enter and complete a residency training program in primary health care not later than 4 years after the date on which the student graduates from such school. The PCL borrower must also practice primary health care until the loan is repaid in full.

To be eligible for Loans for Disadvantaged Students (LDS) students must meet the HPSL criteria and also be from a disadvantaged background as defined by the Secretary. A school must be carrying out a program for recruiting and retaining students from disadvantaged backgrounds, including racial and ethnic minorities and carrying out a program for recruiting and retaining minority faculty to be eligible for LDS funds. In addition, the school must agree to ensure that adequate instruction regarding minority health issues is in the curricula of the school. Health clinics must provide services to a significant number of individuals who are from disadvantaged backgrounds, including members of minority groups and enter into arrangements with one or more such clinics for the purpose of providing students of the school with experience in clinical services to such individuals. Secondary educational institutions and undergraduate institutions of higher education, must enter into arrangements with one or more such institutions for the purpose of carrying out programs regarding the educational preparation of disadvantaged students, including minority students, to enter the health professions and recruit such individuals into the health professions. These institutions should also establish a mentor program for assisting disadvantaged students, including minority students, toward completion of the educational requirements for degrees from the school. Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study. The maximum amount a student may borrow is cost of attendance (including tuition, other reasonable educational expenses and reasonable living expenses). Third and fourth year medical and osteopathic medicine students may be eligible for additional funding to repay earlier higher-interest educational loans. The interest rate is 5 percent.

**Applicant Eligibility:**

Any accredited public or other nonprofit private school of medicine, dentistry, osteopathic medicine, optometry, podiatry, pharmacy, or veterinary medicine which provides a course of study leading to a degree of Doctor of Medicine or Doctor of Osteopathic Medicine for PCL borrowers, Doctor of Dentistry (or an equivalent degree), Doctor of Optometry (or an equivalent degree), Doctor of Podiatric Medicine (or an equivalent degree), Bachelor of Science in Pharmacy (or an equivalent degree), Doctor of Pharmacy (or an equivalent degree), or Doctor of Veterinary Medicine (or an equivalent degree) for HPSL and LDS borrowers. Additionally, the school must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Beneficiary Eligibility:**

A student applicant must have financial need and be enrolled; or accepted for enrollment in a school, as mentioned above; and pursuing a full-time course of

study leading to a degree as specified above. A student applicant must be a citizen, national or lawful permanent resident of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Students should apply at financial aid office of school of their choice for assistance in applying for a loan. The school then tabulates requests for financial aid and award loans based on needs of students and available funds.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award. When Federal Capital Contribution funds are available for re-distribution, a Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans within program and discipline prior to the beginning of the academic year in which the award is to be utilized. Students are notified by the schools financial aid office of approval or disapproval of loans at times determined by schools.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are required only for new schools.

**Formula and Matching Requirements:**

Statutory Formula: Allotment of funds based on statutory formula which takes into account the ratio each school's enrollment bears to the enrollments of all schools making application for funds but never in excess of request of school. Under the Federal Capital Contribution method, a school must match Federal Capital Contribution with an amount equal to one-ninth of the funds drawn down.

Matching Requirements: Percent: 90.%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time required by a student to complete the necessary course of study leading to a degree and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://bhpr.hrsa.gov/dsa>. AOR must be submitted 45 days after the end of each budget period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be kept until such time as agreed upon with the Secretary as specified in 42 CFR 57.215.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 08 \$12,815,982; FY 09 est \$24,056,441; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

\$2,662,1936 to \$2,658 for FY 08; Average: \$394,274 per institution (for FY 08).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, support was provided to 13,319 students. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Jim Essel, Acting Branch Chief, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same number for FTS.

**Headquarters Office:**

Jim Essel 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-4776

**Website Address:**

<http://bhpr.hrsa.gov/dsa> .

**RELATED PROGRAMS:**

84.038 Federal Perkins Loan Program\_Federal Capital Contributions

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: PCL: (1) Long-term low-interest loans made to students of Allopathic Medicine, Osteopathic Medicine. HPSL/LDS: Long term, low-interest loans made to students of Dentistry, Pharmacy, Optometry, Podiatric Medicine; and Veterinary Medicine; and (2) funds provided to Health Professions Schools to capitalize loan funds. LDS: First awards were made in September 1991. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.358 ADVANCED EDUCATION NURSING TRAINEESHIPS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 811, 42 U.S.C. 296j, as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for registered nurses enrolled in advanced education nursing programs to prepare nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse administrators, nurse educators,

public health nurses and nurses in other specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can only be used to pay all or part of the costs of tuition, books, and fees of the program of advanced nurse education, and reasonable living expenses of the individual during the period for which the traineeship is provided. No more than 10 percent of the traineeship funds may be obligated for individuals in doctoral degree programs. In direct costs and trainee travel are not allowed. Maximum period of support is limited to 36 months of full or part-time study for each graduate student. Nurse anesthetist students are only eligible for traineeship support during their first year.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

The participating institutions select traineeship recipients. A candidate must be enrolled in an advanced education nursing program for preparation as a nurse practitioner, nurse-midwife, nurse anesthetist, clinical nurse specialist, public health nurse, nurse administrator, nurse educator, or other nurse specialty determined by the Secretary to require advanced education. The candidate must be pursuing a master's or doctoral degree, a combined RN to master's degree, nurse-midwifery certificate in existence on November 12, 1998, or a post-nursing master's certificate. The candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Applications must be submitted annually.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Reporting Requirements have changed. The annual FSR is not required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-551.

**Obligations:**

(Project Grants) FY 08 \$16,000,000; FY 09 est \$16,000,000; FY 10 est \$16,000,000

**Range and Average of Financial Assistance:**

FY 09: Range is \$2,137 to \$376,425; Average is \$59,259.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2008 316 awards were made (the decreased number of applications is not reflective of interest in the program; the due date was earlier several applicants missed the due date and late applications were not accepted.). Fiscal Year 2009: 2009 270 estimated awards will be made (the decreased number of applications is not reflective of interest in the program; the due date was earlier several applicants missed the due date and late applications were not accepted.). Fiscal Year 2010: 2010 350 projected awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Office: Karen Breeden, AENT Project Officer, Department of Health and Human Services, Health Resources and Services Administration, Bureau of Health Professions, Division of Nursing, 5600 Fishers Lane, Room 8C-26, Parklawn Building, Rockville, MD 20857. Telephone: 301- 443-6333.

**Headquarters Office:**

Karen Breeden 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857 Phone: (301) 443-6333

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded projects provide financial support to nursing students

enrolled full-time or part-time in a graduate nursing education program to cover the costs of tuition and fees, books and reasonable living allowance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.359 NURSE EDUCATION, PRACTICE AND RETENTION GRANTS**

Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP).

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 831, 42 U.S.C. 296p, as amended; Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

Nurse Education, Practice and Retention Program (NEPR)  
Grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity for nurse education, practice and retention to address the nursing shortage. There are three major priority areas (Education, Practice and Retention) and nine purposes associated with the three priority areas. Applicants must select and focus on one of these nine purposes in the grant application.

The education priority areas are: Purpose E1) expanding enrollment in baccalaureate nursing programs; Purpose E2) developing and implementing internship and residency programs to encourage mentoring and the development of specialties; Purpose E3) providing education in new technologies, including distance learning methodologies.

The practice priority areas are: Purpose P1) establishing or expanding nursing practice arrangements in non-institutional settings to demonstrate methods to improve access to primary health care in medically underserved communities; Purpose P2) providing care for underserved populations and other high-risk groups such as the elderly, individuals with HIV/AIDS, substance abusers, the homeless, and victims of domestic violence; Purpose P3) providing managed care, quality improvement, and other skills needed to practice in existing and emerging organized health care systems; Purpose P4) developing cultural competencies among nurses.

The retention priority areas are: Purpose R1) career ladder bridge programs which promote career advancement for nursing personnel and registered nurses and; Purpose R2) enhancing patient care delivery systems through improving the retention of nurses and enhancing patient care.

Faculty Development: Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP).

The purpose of this initiative is to provide support to nursing collaboratives for faculty development in the use of information and other technologies in order to expand the capacity of collegiate schools of nursing to educate students for 21st century health care practice. Nursing collaboratives will use healthcare information systems to enhance nursing education and practice, optimize patient safety, and drive improvements in health care quality.

For this initiative, use of information and other technologies in nursing education and practice, includes, but is not limited to, informatics, telehealth, mannequin-based and patient simulators, computer-based instructions, virtual simulation, interactive simulated case studies, advanced 3D graphics, e-Learning technology, and other simulated or virtual methods to enhance nursing education and practice. Since no institution or organization currently offers the full spectrum of information and other technologies necessary to carry out this initiative, the nursing collaboratives must develop linkages and partnerships to undertake this initiative.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of nursing, health care facilities, or a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. For the E1 purpose that focuses on expanding enrollment in baccalaureate nursing programs, the only eligible applicant organizations are collegiate accredited school of nursing. Schools of nursing must be accredited by the National League for Nursing Accrediting Commission, Inc. (NLNAC), Commission on Collegiate Nursing Education (CCNE), and Department of Education deemed State Agencies to be considered eligible applicants. ITNEP: Eligible applicants are collegiate schools of nursing capable of carrying out the initiative's purposes. Eligible applicants must provide evidence that they have the capacity and infrastructure in place to carry out the program goals and objectives. Eligible applicants must provide a formal written agreement (See Program Definitions) demonstrating a collaboration with one or more academic health centers, schools of nursing, accredited public or private institutions of higher learning, or other public or private entities capable of carrying out the program goals and objectives. The roles and responsibilities of the collective partnership and of each partner must be clearly delineated.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

NEPR

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the last year of the initial project



period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

Faculty Development: ITNEP Applications for the ITNEP program may only be submitted for new grant awards. This program does not accept competing applications beyond the initial five year project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NEPR  
Competing and competing continuation grant applications are submitted for three (3) years of support, except for the following two legislative purposes: (1) establishing or expanding nurse practice arrangements and (2) enhancing patient care delivery systems which are for five years of support.

Faculty Development: ITNEP.  
Cooperative agreements are submitted for five years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. A Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,746,357; FY 09 est \$1,972,000; FY 10 est \$2,562,807. (Project Grants) FY 08 \$32,915,826; FY 09 est \$33,056,227; FY 10 est \$34,259,048

**Range and Average of Financial Assistance:**

NEPR \$65,477 - \$584,837; \$250,000.  
ITNEP: \$238,142 \$300,000; \$269,071.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NEPR:  
Program provides support to strengthen capacity for nurse education and practice under three priority areas: Education, Practice and Retention. Program supports academic, service and continuing education projects to strengthen the nursing workforce and improve nurse retention and quality of patient care. In FY 08, the NEPR program supported an addition 1,702 new nurses into the workforce. Approximately 21,145 nursing students and registered nurse participants received academic, continuing education or clinical training in 121 nursing grant projects.

In FY 08, the program made 30 new competing and 91 non-competing awards  
In FY 09, the program made 41 new competing and 85 non-competing awards  
In FY 10, it is estimated that 21 new competing and 120 non-competing awards will be made.

ITNEP:

In FY 08, the ITNEP program supported 6 cooperative agreements and has provided enhanced instruction in the areas of nursing informatics, simulation and telehealth to approximately 200 nurse educators.  
In FY 08, the program made 2 competing and 4 non-competing awards  
In FY 09, the program made 1 new competing and 6 non-competing awards  
In FY 10, it is estimated that 2 competing and 7 non-competing awards will be made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. NEPR  
Dr. Janice Young, and CDR Daniel Reed, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-6193.

ITNEP: Nancy Douglas-Kersellius, Nurse Consultant, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Room 8C-26, Rockville, MD 20857, 301-443-6333, Fax: 301-443-0791.

**Headquarters Office:**

Division of Nursing 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-6193

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: NEPR:  
The focus of the funded projects is to strengthen and enhance the capacity for nurse education, practice and retention to address the nursing shortage by: expanding enrollment in baccalaureate nursing programs; developing and implementing internship and residency programs; providing education in new technologies, including distance learning methodologies; establishing or expanding nursing practice arrangements; providing care for underserved populations and other high-risk groups; providing managed care, quality improvement, and other skills needed to practice in existing and emerging organized health care systems; developing cultural competencies among nurses; creating career ladder bridge programs which promote career advancement for registered nurses and nursing personnel; and enhancing patient care delivery systems through improving the retention of nurses and enhancing patient care.

ITNEP:

The ITNEP program was implemented in 2006 as the growing need for faculty development in the area of technology increased in schools of nursing across the Nation. Each ITNEP Project is implemented through multiple partnerships between schools of nursing, professional organizations and other entities. Nursing collaboratives use healthcare information systems to enhance nursing education and practice, optimize patient safety, and drive improvements in health care quality. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for

achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

### **93.361 NURSING RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 301, 464, 487, 42 U.S.C 285q; Public Health Service Act, Public Law 102-564; Public Health Service Act, Public Law 99-158.

#### **OBJECTIVES:**

The National Institute of Nursing Research (NINR) supports clinical and basic research to build the scientific foundation for clinical practice, prevent disease and disability, manage and eliminate symptoms caused by illness, and enhance end-of-life and palliative care. NINR seeks to extend nursing science by integrating the biological and behavioral sciences, employing new technologies to research questions, improving research methods, and developing the scientists of the future. NINR accomplishes its mission through research on preventing, delaying the onset, and slowing the progression of disease and disability. This includes (a) finding effective approaches to achieving and sustaining a healthy lifestyle and preventing diseases and disability; (b) improving the quality of life for patients, families, and informal caregivers by enhancing the individual's role in managing disease and disability, relieving symptoms, and improving outcomes; (c) eliminating health disparities, including disparities based on race/ethnicity, gender, socio-economic status, geography, cultural factors, and disability, and (d) addressing issues at the end of life, improving palliative care, enhancing the quality of life for the dying patient, and supporting family and informal caregivers. These efforts are crucial in translating scientific advances into cost-effective health care that does not compromise quality. NINR accomplishes its mission by supporting grants to universities and other research organizations as well as by conducting research intramural at laboratories in Bethesda, Maryland. The research fosters interdisciplinary collaborations to ensure a comprehensive approach to research on illness and disabling conditions. This approach is especially relevant in research aimed at developing interventions that address the needs of diverse populations across the life span, adapting and generating new technologies, integrating biological and behavioral science, improving methods for future scientific discoveries. In addition, the Institute supports comprehensive research training programs to prepare individuals with requisite interdisciplinary skills to conduct nursing research. Small Business Innovation Research (SBIR) program: NINR seeks to expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation Small Business Technology Transfer (STTR) program: Through this program, NINR seeks to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Centers Program: To promote interdisciplinary research, offer an environment for research training and career development, and concentrate research through Centers for Nursing Research.

Program areas are as follows: Chronic conditions and infectious diseases, including health issues of individuals with arthritis, diabetes, urinary incontinence, digestive disorders, and musculoskeletal disorders; Health behavior and minority health, including studies of health disparities, women's health, men's health, and health and risk behaviors research; Cardiopulmonary

and critical care science, including research on responses to acute cardiovascular events, chronic management of cardiovascular disease, and responses to acute and chronic pulmonary conditions such as COPD, asthma, and other non-infection-caused conditions; Neuroscience, including research on symptom management and/or prevention of cognitive deficits, neurological conditions, and informal caregiving for persons with these conditions; HIV/AIDS and oncology, including symptom management, self-management, and caregiving of patients with cancer, HIV/AIDS, and immune disorders; Reproductive, child, and family health, including reproduction and child bearing issues, infant development and illness, child and adolescent health promotion and risk reduction, and family health; End of life and long term care, including clinical management of physical and psychological symptoms, communication, ethics and clinical decision-making, caregiver support, and care delivery issues at the end of life.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Research Grants: Funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. National Research Service Awards (NRSAs) (Individual): Individual awards are made to institutions on behalf of the individual for research training in specified areas related to the mission of NINR. NRSAs (Institutional): Grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship on an NRSA award must comply with all applicable service and payback provisions. SBIR Phase I grants: (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

#### **Applicant Eligibility:**

Research Grants: Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply. NRSAs (Individual): An applicant must be a registered professional nurse with either a baccalaureate and/or a master's degree in nursing or a related field and must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. NRSAs (Institutional): An eligible institution must be capable of providing predoctoral and/or postdoctoral research training opportunities for nurses. SBIR grants: can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Individuals and public or private institutions.

#### **Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. NRSAs (Individual): The applicant's academic

record, research experience, citizenship, licensure as a registered nurse, and institutional sponsorship should be documented in the application. NRSAs (Institutional): The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21, Cost Principles for Educational Institutions and OMB Circular A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR, Phase I and Phase II. Application is made electronically through Grants.gov (<http://www.grants.gov>). This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (rev. 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For assistance contact GrantsInfo, Telephone (301) 435- 0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

#### **Award Procedure:**

Research Grants and NRSAs (Institutional): All accepted applications are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. (Individual NRSA applications are not reviewed by council.) All applications favorably recommended compete for available funds on the basis of scientific merit and mission/program relevance. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, mission/program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Research Grants: From 6 to 9 months. NRSAs: From 6 to 9 months. SBIR/STTR: About 7-1/2 months. AIDS Grants: About 6 months.

#### **Appeals:**

Research Grants: A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the NINR.

#### **Renewals:**

Research Grants: Renewal applications are accepted. NRSAs: Awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Research Grants: Awards are usually made annually with no project periods to exceed 5 years in length. NRSAs: Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Grant awards are made annually.

#### **Reports:**

Final reports including the financial status report on all projects are required within 90 days after their conclusion. No cash reports are required. Progress reports where applicable are required annually for continuing projects. Financial status reports where applicable are required annually for continuing projects. Progress reports where applicable are required annually for continuing projects.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

#### **Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See

45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0889-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$111,654,000; FY 09 est \$113,585,000; FY 10 est \$115,210,000 - Research Grants. (Training) FY 08 \$9,033,000; FY 09 est \$10,349,000; FY 10 est \$10,299,000 - National Research Service Awards (NRSA).

**Range and Average of Financial Assistance:**

(Research Grants) \$2,788 to \$801,759; \$333,000. (NRSAs) Individual Awards \$1,960 to \$65,195; \$32,000. Institutional Awards \$46,352 to \$476,613; \$274,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 335 research grants, 77 NRSA Individual FTTs, and 153 NRSA Institutional FTTs were awarded. Fiscal Year 2009: 315 research grants, 78 NRSA individual FTTs, and 148 NRSA Institutional FTTs are projected to be awarded for 2009. Fiscal Year 2010: 327 research grants, 93 NRSA individual FTTs, and 166 NRSA institutional FTTs are projected for awards in 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Yvonne Bryan National Institute of Nursing Research, National Institutes of Health, Room 710, One Democracy Plaza, 6701 Democracy Blvd., Bethesda, Maryland 20892 Email: bryany@mail.nih.gov Phone: 301-594-6906

**Website Address:**

<http://www.ninr.nih.gov/>

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes; 93.242 Mental Health Research Grants; 93.359 Nurse Education, Practice and Retention Grants; 93.399 Cancer Control; 93.866 Aging Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Reducing Environmental Risk to Rural Low Income Families; (2) Genetics, Environment and Weight Gain Post-transplant; (3) Preterm Birth: Psychoneuroimmunology in Hispanics; (4) Pain Rehabilitation: Patient Centered Outcomes; (5) Mother-Administered Interventions for VLBW Infants; (6) Mitochondrial Genetics of Recovery After Brain Injury; (7) Estrogen and Testosterone in Experimental Stroke; (8) Family-to-Family: Psychoeducation to Improve Children's Outcomes in HIV+ Families; (9) Improving patient outcomes in end-of-life care provided by physicians and

nurses. Fiscal Year 2009: Please see 2008 for a representation of the general science areas covered. Fiscal Year 2010: Please see 2008 for a representation of the general science areas covered.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PIs? (3) Innovation: Is the project original and innovative? Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches or methodologies, tools, or technologies for this area? (4) Investigators: Are the PD/PIs and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level(s) of the principal investigator(s) and other researchers? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? (5) Environment: Do(es) the scientific environment(s) in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment(s), or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications (formerly revised/amended applications): Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for care and use of vertebrate animals to be used in the project will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. Applications compete for available funds with all other recommended applications. The following will be considered in making funding decisions: Scientific merit of the proposed project as determined by peer review; Availability of funds; Relevance of program priorities. The following criteria will be used in considering the scientific and technical merit of all SBIR/STTR grant applications: Significance: Does the proposed project have commercial potential to lead to a marketable product, process or service? Does this study address an important problem? What may be the anticipated commercial and societal benefits that may be derived from the proposed research? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? Does the application lead to enabling technologies (e.g., instrumentation, software) for further discoveries? Will the technology have a competitive advantage over existing/alternate technologies that can meet the market needs? Approach: Are the conceptual or clinical framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Is the proposed plan a sound approach for establishing technical and commercial feasibility? Are the milestones and evaluation procedures appropriate? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PDs/PIs, is the leadership approach, including the designated roles and responsibilities,

governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PDs/PIs? Innovation: Is the project original and innovative? For example: Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area? Investigator(s): Are the PD/PI(s) and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the PD/PI(s) and other researchers, including consultants and subcontractors (if any)? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? Are the relationships of the key personnel to the small business and to other institutions appropriate for the work proposed? Environment: Do(es) the scientific and technological environment in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? Is there sufficient access to resources (e.g., equipment, facilities)? In addition to the above criteria, Phase II grant applications will be reviewed based upon the following criteria: 1. How well did the applicant demonstrate progress toward meeting the Phase I objectives, demonstrating feasibility, and providing a solid foundation for the proposed Phase II activity? 2. Did the applicant submit a concise Commercialization Plan that adequately addresses the specific areas described in the SF424 (R&R) SBIR/STTR Application Guide and the SBIR/STTR Information component? 3. Does the project carry a high degree of commercial potential, as described in the Commercialization Plan? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications: Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for their care and use will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. SBIR/STTR applications compete for available funds with all other recommended SBIR/STTR applications. The following will be considered in making funding decisions: Scientific and technical merit of the proposed project as determined by peer review; Availability of funds; Relevance of the proposed project to program priorities.

### **93.364 NURSING STUDENT LOANS**

(NSL)

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved nursing program.

#### **TYPES OF ASSISTANCE:**

DIRECT LOANS

#### **USES AND USE RESTRICTIONS:**

The maximum amount a student may borrow is \$2,500 for an academic year for each of the first two years, \$4,000 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total is limited to \$13,000

maximum. Loans to full and half-time nursing students who are citizens, nationals, lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated States of Micronesia. Funds are made to schools of nursing to capitalize loan. The maximum amount a student may borrow is \$2,500 for an academic year for each of the first two years, \$4,000 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total is limited to \$13,000 maximum.

#### **Applicant Eligibility:**

All accredited public and nonprofit private schools of nursing that prepare students for practice as registered or graduate nurses, and that do not discriminate against students because of race, color, origin, sex, or handicapping conditions, are eligible to apply for funds to be disbursed to qualified nursing students.

#### **Beneficiary Eligibility:**

The Nursing Student Loan Program provides financial assistance to nursing students who are citizens, nationals or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated State of Micronesia.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

The Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Student is notified by student aid office of approval or disapproval at times determined by schools.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Applications are required for new schools.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 90%. Schools participating in loan programs must match the Federal contribution with an amount not less than one-ninth of the Federal allotment. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Length and time of assistance depends upon the time required by the student to complete the necessary course of study leading to a degree and is subject to availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://www.bhpr.hrsa.gov/dsa>. AOR must be submitted 45 days after the end of each budget period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 08 \$1,590,827; FY 09 est \$1,236,418; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

\$1,000 to \$106,051 (FY 2008 Actual).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards were made to 98 nursing schools in FY 08. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Christine Brazell, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-95, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0992. Use same number for FTS.

**Headquarters Office:**

Christine Brazell 5600 Fishers Lane, Room 9-95, Rockville, Maryland 20857 Phone: (301) 443-0992

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

84.038 Federal Perkins Loan Program\_Federal Capital Contributions; 84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Long-term, low-interest loans made to nursing students; and (2) funds provided to schools of nursing to capitalize loan funds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements.

**93.365 SICKLE CELL TREATMENT DEMONSTRATION PROGRAM (SCTDP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357.

**OBJECTIVES:**

To support demonstration projects for the development and establishment of system mechanisms and partnerships to enhance the prevention and treatment of sickle cell disease (SCD) through coordination of service delivery, genetic counseling and testing, bundling of technical services, training of health professionals, and patient and provider education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved projects in accordance with Section 712 of the Public Law 103-357.

**Applicant Eligibility:**

Eligible entities include, Federally-qualified health center, as defined in section 1905(10)(2)(B) of the Social Security Act (42 U.S.C. 1396d(10)(2)(B)), nonprofit hospital or clinic, or university health center that provides primary health care, that: (1) has a collaborative agreement with a community-based Sickle Cell Disease organization or a nonprofit entity with experience in working with individuals who have Sickle Cell Disease; and (2) demonstrates that either the Federally-qualified health center, the nonprofit hospital or clinic, the university health center, the community-based Sickle Cell Disease organization or the Sickle Cell Disease experts who serve as consultants to the project have at least 5 years of experience in working with individuals who have Sickle Cell Disease.

**Beneficiary Eligibility:**

Projects will benefit individuals with Sickle Cell Disease and health professionals who provide care for individuals with Sickle Cell Disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 2-3 months after receipt of

applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,469,216; FY 09 est \$2,845,948; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$317,304 to \$400,000; \$358,652.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Four regional Sickle Cell Disease Collaborative Networks (Networks) were funded in FY 2006, the first year of the program. The coordinating center, along with the four grantees and a steering committee have developed project plans as a means of completing a report to Congress that includes: 1) the identification of a model protocol for implementing the recommendations of Congress regarding changes that should be made in health care and health education to persons with sickle cell disease, as well as in methods of screening for persons having the disease or are carriers; 2) the procedures for implementing this protocol at the four grantee sites; and 3) the set of methods for evaluating the degree of success that each grantee has attained and the overall effectiveness of the SCDTDP. Support is provide through on-going technical assistance, information exchange; materials review and development; collection, coordination, and distribution of program data, best practices, and findings and sustaining partnerships. Fiscal Year 2009: In FY 2009, an additional three regional Sickle Cell Disease Collaborative Networks will be funded to expand the program. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Office: Lorriane Brown, Genetic Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-19, 5600 Fishers Lane, Rockville, MD 20857; Telephone: (301) 443-9775.

**Headquarters Office:**

Lorriane Brown 5600 Fishers Lane, Room 18-A19, Rockville, Maryland 20857  
Phone: (301) 443-9775

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: University of Cincinnati, Ohio Medical Center: Christian Community Health Centers, Chicago, Illinois: Stedman-Wade Health Services Inc. in Wade, North Carolina; and Health Services Inc. in Montgomery, Alabama. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits.

**93.389 NATIONAL CENTER FOR RESEARCH RESOURCES**

(DBT, DCRR, DCM, DRI)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 479-480 487, Public Law 99-158; Small business research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title III, Section 301, Public Law 780-410, U.S.C 341, 287-288.

**OBJECTIVES:**

The National Center for Research Resources (NCRR) provides laboratory scientists and clinical researchers with the environments and tools they need to understand, detect, treat, and prevent a wide range of diseases. This support enables discoveries that begin at a molecular and cellular level, move to animal-based studies, and then are translated to patient-oriented clinical research, resulting in cures and treatments for both common and rare diseases. NCRR connects researchers with one another and with patients and communities across the nation to harness the power of shared resources and research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Division of Biomedical Technology supports research, development and access to sophisticated technologies at resource centers nationwide which assist academic, nonprofit organizations in the development, use, and dissemination of innovative technologies useful for the advancement of biomedical science. Awards are provided under a variety of funding mechanisms composed of Biomedical Technology Resource(BTR) grants, Research Project Grants, Shared Instrumentation Grants (SIG), High End Instrumentation (HEI) Program and other mechanisms, such as Exploratory Grants to develop new technologies for biomedical research, Small Business Innovation Research (SBIR) grants, and Small Business Technology Transfer (STTR) grants. The Division for Clinical Research Resources makes it possible to apply knowledge gained through basic research to the development of lifesaving drugs, devices, and therapies that protect the health of our nation's citizens by providing research infrastructure for clinical investigators. These specialized institutional resources

are equipped to be flexible and responsive to changing scientific and economic environments and to unforeseen research challenges. The Division for Clinical Research Resources helps translate scientific knowledge into effective patient care through General Clinical Research Centers (GCRC), Research Career Development (K23, K24), Clinical Research Curriculum Award (CRCA, K30), Mentored Clinical Research Scholar (CRS) Program (K12), National Gene Vector Laboratories (NGVL), Clinical Research-related activities, Small Business Innovation Research (SBIR) grants and Small Business Technology Transfer (STTR) grants; and improves pre-college science education and the public's understanding of science through the Science Education Partnership Award (SEPA) Program. Additionally, a new consortium, funded through Clinical and Translational Science Awards (CTSAs), will transform how clinical and translational research is conducted, ultimately enabling researchers to provide new treatments more efficiently and quickly to patients. The Division of Comparative Medicine supports research and resource projects, as well as centers that enable biomedical scientists to use high quality, disease-free animals effectively in research on human health problems. Support is also available for the development of a wide range of other research models, particularly marine invertebrates and lower vertebrates, and access to an array of important biological materials. These objectives are accomplished through activities of National Primate Research Centers (NPRC), Laboratory Animal Science (LAS), and Biological Models and Materials Research (BMMR). The Division of Research Infrastructure addresses the under representation of minority investigators; enhances the research environment at minority colleges and universities in the health sciences; broadens the geographic distribution of research grant funding to states with historically low NIH success rates; and improves biomedical research facilities through matching grants for construction and renovation. These objectives are accomplished through activities of the Research Centers in Minority Institutions (RCMI) program, the RCMI Clinical Research Infrastructure Initiative (RCRII), the Institutional Developmental Award (IDeA), the Research Facilities Improvement Program (RFIP), and the Animal Facilities Improvement program.

**Applicant Eligibility:**

BTR Grants: Nonprofit health professional schools; other academic institutions; hospitals; State and local health agencies; and research organizations with programs in biomedical technology research located in the United States and its territories. SIG and HEI awards will be made to institutions only, not to individuals. GCRC and CTSA grants: schools, research hospitals, and other institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings as research subjects in conjunction with investigators funded through the National Institutes of Health (NIH) and other Federal agencies. Research Career Development: Applications may be submitted on behalf of candidates by domestic, nonfederal organizations, public or private institutions of higher education. Clinical Research Scholar Program Award: Applications will be accepted from domestic, nonprofit organizations, public and private institutions of higher education that have strong, well-established clinical research and training program. SEPA: Public and private for-profit and nonprofit institutions and museums. DCM: Institutions of higher education, hospitals, and other institutions and organizations, both nonprofit and for-profit, seeking to establish, continue, or enlarge programs consistent with the objectives of the program. Applicants for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institutional NRSA. RCMI: Institutions with more than 50 percent minority enrollment that award an M.D., D.D.S., D.V.M., or other doctoral degree in the health professions and/or a Ph.D. in the health-related sciences. This program is open only to institutions within the United States and its territories. RCRII: RCMI eligible institutions affiliated with medical schools. IDeA: Domestic public and private for profit and nonprofit institutions in States in which the success rate for applications to the NIH has been historically low. RFIP and Animal Facilities Improvement: Except where otherwise prohibited by law, any nonprofit organization competent to carry out biomedical research.

**Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

SIG, HEI: A major user group of three or more investigators should be identified. Each major user must have NIH peer-reviewed research support at the time of the award. The application must show a clear need for the instrumentation by projects supported by multiple NIH research awards and demonstrate that these projects will require at least 75 percent of the total usage of the instrument. Applications for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institution NRSA. RCMI, RCRII, and CCRC: Applicants must certify eligibility (see Applicant Eligibility requirements). IDeA, and Animal Facilities Improvement: None. RFIP: Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, The National Environmental Policy Act, and listing of all relevant licenses, permits or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular Nos. A-122, "Cost Principles for Nonprofit Organizations," and in the case of SIG & HEI No. A-87 for State and local governments or A-21 for Educational Institutions, and HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the Division of Extramural Outreach and Information, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone (301) 435-0714, e-mail: ASKNIH@odrockml.od.nih.gov. Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev. November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs. For filing NRSA individual fellowship award applications, Form 416-1 (Rev. October 1991) is needed. CTSA: Special instructions for preparing applications should be requested from the Division for Clinical Research Resources, One Democracy Plaza, 6701 Democracy Blvd., National Center for Research Resources, National Institutes of Health, Bethesda, MD 20892-4874. RFIP: Construction applications are to be submitted on a Standard Form 424, Application for Federal Assistance.

**Award Procedure:**

The initial review of applications from eligible investigators and institutions is reviewed by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the National Advisory Research Resources Council for final review and recommendation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NCRR staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

K23, K24, SIG, HEI, Animal Facilities Improvement, and RFIP: None. All others may be renewed upon successful reapplication.



**Formula and Matching Requirements:**

This program has no statutory requirements.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award. See the following for information on how assistance is awarded/released: All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance

with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0848-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$381,726,000; FY 09 est \$412,754,000; FY 10 est \$398,101,000 - Clinical Research Resources (includes General Clinical Research Centers and Clinical and Translational Science Awards). (Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - Construction. (Project Grants) FY 08 \$75,928,000; FY 09 est \$75,973,000; FY 10 est \$75,973,000 - Biomedical Technology Research Centers. (Project Grants) FY 08 \$376,265,000; FY 09 est \$421,748,000; FY 10 est \$441,748,000 - General Clinical Research Centers/Clinical and Translational Science Awards. (Project Grants) FY 08 \$52,511,000; FY 09 est \$56,707,000; FY 10 est \$57,857,000 - Research Centers in Minority Institutions. (Project Grants) FY 08 \$32,867,000; FY 09 est \$33,185,000; FY 10 est \$37,542,000 - Research Project Grants. (Project Grants) FY 08 \$117,226,000; FY 09 est \$128,008,000; FY 10 est \$130,065,000 - Comparative Medicine Centers. (Project Grants) FY 08 \$223,546,000; FY 09 est \$223,720,000; FY 10 est \$228,533,000 - Special Comprehensive Centers. (Project Grants) FY 08 \$151,176,000; FY 09 est \$161,367,000; FY 10 est \$186,774,000 - Other Research. (Project Grants (Capacity Building and Complaint Processing, Training)) FY 08 \$5,612,000; FY 09 est \$5,254,000; FY 10 est \$5,307,000 - Research Training. (Project Grants (Contracts)) FY 08 \$53,477,000; FY 09 est \$61,932,000; FY 10 est \$63,223,000 - Research & Development Contracts.

**Range and Average of Financial Assistance:**

In fiscal year 2008, there were 106 Research Project Grants; In FY 2009, it is estimated that there will be 116 and in FY 2010, 132. There were 75 Clinical Research Resource Center Awards in 2008 (includes General Clinical Research Centers and Clinical and Translational Science Awards). It is estimated that there will be 68 in FY 2009 and 61 in FY 2010. There were 26 General Clinical Research Centers in FY 2008 and it is estimated that there will be 19 in FY 2009 and 11 in FY 2010. There were 38 Clinical and Translational Science Awards in FY 2008 and it is estimated that there will be 46 in FY 2009 and 48 in FY 2010. There were 51 Biomedical Technology Resource Centers in FY 2008 and it is estimated there will be 51 in FY 2009 and FY 2010. There were 99 Specialized Comprehensive Centers in FY 2008 and it is estimated that there will be 99 in FY 2009 and 101 in FY 2010. There were 50 Comparative Medicine Centers in FY 2008. It is estimated that there will be 59 in FY2009 and 60 in FY 2010. There were 22 Research Centers in Minority Institutions in FY 2008 and it is estimated that there will be the same number in FY 2009 & FY 2010. There were 371 Other Research Grants in FY 2008. It is estimated that there will be 400 in FY 2009 & 385 in FY 2010. There were 117 Full Time Training positions in FY 2008. It is estimated that there will be 112 in FY 2009 & FY 2010. There were 86 Research and Development Contracts in FY 2008. It is estimated that there will be 69 in FY 2009 & 70 in FY 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BT: OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828.

OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC 241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Newman, 6701 Democracy Boulevard , Room 994-MS4874 , Bethesda, Maryland 20892-4874 Email: pnewman@mail.nih.gov Phone: (301) 435-0864.

**Website Address:**

<http://www.ncrr.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. RFIP: Factors considered in making awards include the merit of the proposal, the needs of the institution, with special consideration for institutions designated as centers of excellence, the commitment of the institution, the availability of funds, and the overall program priorities.

**93.393 CANCER CAUSE AND PREVENTION RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301 (c) and 410, Public Law 78-410, as amended, 42 U.S.C. 241; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To identify those factors that cause cancer in man and to develop mechanisms for preventing cancer in man. The following research programs are included: epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, nutrition, immunology, field studies and statistics, chemoprevention and organ site studies. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation on socially and economically disadvantaged small business concern and women-owned small business concern in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development and economically disadvantage small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concern (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant applicant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research on cancer.

**Credentials/Documentation:**

Costs will be determined by OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan and idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form PHS-398 (Rev. May 2001) is the standard form which can be obtained from the Division

of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892-7910. Phone (301)435-1714, E-mail: ASKNIH@odrockml.od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

(Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Applications submitted for renewal must be reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or Letter of Credit. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after end of budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Causation Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$646,537,000; FY 09 est \$659,933,000; FY 10 est \$684,564,000 - (Grants) For RPG: FY 08 \$646,537,000; FY 09 est \$659,933,000; and FY 10 est \$684,564,000. For SBIR/STTR: FY 08 \$8,549,000; FY 09 est \$8,251,000; and FY 10 est \$8,986,000.

**Range and Average of Financial Assistance:**

Range: \$6,961 to \$5,456,051.

Average: \$384,157.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competing fiscal year 2008 RPG act. 428 awards which were 23.4 percent of applications received. Competing FY 2008 SBIR/STTR act. 24 awards which were 31.6 percent of applications received. Fiscal Year 2009: Fiscal year 2009 est. 1,639 total awards. Fiscal Year 2010: FY 2010 est. 1,716 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 74; 45 CFR 92; PHS Grants Policy Statement. No. (OASH) 94-50,000, (Rev.) April 1, 1994; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: 3015941088

**Website Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Cancer Cause and Prevention Research focuses on research programs in epidemiology, chemical and physical carcinogenesis, biological carcinogenesis, nutrition, chemoprevention and organ site studies. Examples of funded projects include the following: (1) A epidemiologic study of lung cancer and wood dust; (2) prostate cancer in relation to vasectomy; (3) mechanism of estrogen-induced breast carcinogenesis; (4) dietary fat, calories, and two-stage tumorigenesis; (5) mechanisms of radiation, chemical and/or biological carcinogenesis; (6) effects of radiation or chemical carcinogens on genetic material; (7) studies leading to development of vaccines against human cancer viruses; (8) role of the P53 tumor suppressor gene in human cancers of viral etiology; (9) investigations of HIV and their related viruses as etiologic factors or cofactors in the malignant sequelae of AIDS, including Kaposi's sarcoma and AIDS-associated lymphomas; (10) a phase III chemoprevention clinical trial for prostate cancer (SELECT); (11) Epidemiology and Consortia and (12) Genome-Wide Association Studies (GWAS). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.394 CANCER DETECTION AND DIAGNOSIS RESEARCH**

## Cancer Detection and Diagnosis Research

### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, as amended, 42 U.S.C. 241; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

### **OBJECTIVES:**

To improve screening and early detection strategies and to develop accurate diagnostic techniques and methods for predicting the course of disease in cancer patients. Screening and Early Detection research includes development of strategies to decrease cancer mortality by finding tumors early when they are more amenable to treatment. Diagnosis research focuses on methods to determine the presence of a specific type of cancer; to predict its course and response to therapy, both a particular therapy or a class of agents; and to monitor the effect of the therapy and the appearance of disease recurrence. These methods include diagnostic imaging and direct analyses of specimens from tumor or other tissues. Support is also provided for establishing and maintaining resources of human tissue to facilitate research. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultants costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

### **Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or organization, unit of tribal government, or a for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary

employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants.

<http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. September 2004) or form SF424(R&R) (October 2005) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

### **Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications

receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

(Regular Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months. See website: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula or matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of the project. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Detection and Diagnosis Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$234,889,000; FY 09 est \$237,736,000; FY 10 est \$241,532,000 - (Grants) (RPG) FY 08 \$237,889,000; FY 09 est \$237,736,000; and FY 10 est \$241,532,000. For SBIR/STTR: FY 08 \$44,612,000; FY 09 est \$39,481,000; and FY 10 est \$39,870,000.

**Range and Average of Financial Assistance:**

Range: \$4,368 to \$9,101,961  
Average: \$364,302.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competing FY 2008 RPG actual 192 awards which were 17.4 percent of applications received. Competing FY 2008 SBIR/STTR actual 86 awards which were 32.3 percent of applications received. Fiscal Year 2009: Fiscal year 2009 est. 750 total awards. Fiscal Year 2010: FY 2010 est. 799 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institute of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: 3015941088 Fax: 3014020275

**Website Address:**

<http://www.cancer.gov>; <http://cancerdiagnosis.nci.nih.gov>; <http://imaging.cancer.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.395 CANCER TREATMENT RESEARCH**

Cancer Treatment Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended, Public Law 100-607, 42 U.S.C 285(a); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To develop the means to cure as many cancer patients as possible and to control the disease in those patients who are not cured. Cancer Treatment Research includes the development and evaluation of improved methods of cancer treatment through the support and performance of both fundamental and applied laboratory and clinical research. Research is supported in the discovery, development, and clinical testing of all modes of therapy including: surgery, radiotherapy, chemotherapy, and biological therapy including molecularly targeted therapies, both individually and in combination. In addition, research is carried out in areas of nutritional support, stem cell and bone marrow transplantation, image guided therapies and studies to reduce toxicity of cytotoxic therapies, and other methods of supportive care that may supplement and enhance primary treatment. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned, and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' cost are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants. <http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form PHS-398 is the standard form which may be obtained electronically from: <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. The standard application forms required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the Web. Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040-MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and if they are recommended for further consideration, by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months. SBIR Applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the DHHS. Terminal reports are required 6 months after the end of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Treatment Research.

**Obligations:**

(Salaries) FY 08 \$519,410,000; FY 09 est \$539,863,000; FY 10 est \$560,880,000 - (Grants) For RPG: FY 2008 \$519,410,000; FY 2009 est \$539,863,000; and FY 2010 est \$560,880,000. For SBIR/STTR: FY 2008 \$34,431,000; FY 2009 est \$33,078,000; and FY 2010 est \$37,092,000.

**Range and Average of Financial Assistance:**

Range: \$964 to \$4,943,916  
Average: \$ 433,564.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competing FY 2008 RPG act. 320 awards which were 20.7 percent of applications received. Competing FY 2008 SBIR/STTR act.996 awards which were 35.2 percent of applications received. Fiscal year 2008 est. 1,260 total awards and FY 2009 est. 1,227 total awards. Fiscal Year 2009: Fiscal Year 2009: It is estimated that 1,260 total awards will be made in FY 2009. Fiscal Year 2010: Fiscal Year 2010: It is estimated that 1,227 total awards will be made in FY 2010..

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: 3015941088

**Website Address:**

<http://www.nci.nih.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator,

supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.396 CANCER BIOLOGY RESEARCH**

Cancer Biology Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement, Act of 1992, as amended, Public Law 102-564.

**OBJECTIVES:**

To provide fundamental information on the cause and nature of cancer in people, with the expectation that this will result in better methods of prevention, detection and diagnosis, and treatment of neoplastic diseases. Cancer Biology Research includes the following research programs: cancer cell biology, cancer etiology, structural biology and molecular applications, DNA and chromosomal aberrations, tumor biology and metastasis, and immunology and hematology. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer; increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and Facilities and Administrative Costs (formerly known as indirect costs). SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II are for the continuation of the research initiated in Phase I that is likely to result in a commercial product. The SBIR/STTR Fast Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are

independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project must be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) is used to apply for SBIR Phase I and Phase II, STTR Phase I and Phase II grants, and Fast-Track. See the website for more information on the electronic submission of grants. <http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. September 2004) or form SF424(R&R) (October 2005) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. The initial grant award provides funds for the first budget period (usually 12 months) and letter Notice of Award indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any. All accepted SBIR/STTR applications are evaluated for technical merit by an appropriate scientific review group and if they are

recommended for further consideration, by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Aug 05, 2009 All Grants including renewals and supplements: April 5, August 5, December 5. Cooperative Agreements and contracts are usually submitted in response to a Request for Applications (RFA) or a Request for Proposals (RFP). The receipt date is stipulated in the RFA or RFP.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: Approximately 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Biology Research.

**Obligations:**

(Salaries) FY 08 \$520,202,000; FY 09 est \$560,404,000; FY 10 est \$602,535,000 - (Grants) RPG: FY 2008 \$520,202,000; FY 2009 est \$560,404,000; and FY 2010 est \$602,535,000. SBIR/STTR: FY 2008 \$9,847,000; FY 2009 est \$10,628,000; and FY 2010 est \$11,491,000.

**Range and Average of Financial Assistance:**

Range: \$1,949 to \$4,377,964



Average: \$339, 115.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competing FY 2008 RPG act. 326 awards, which were 19.1 percent of applications received. Competing FY 2008 SBIR/STTR act. 28 awards, which were 31.5 percent of applications received. . Fiscal Year 2009: Fiscal year 2009: It is estimated that 1,509 total awards will be made in FY 2009. Fiscal Year 2010: Fiscal year 2010: It is estimated that 1,489 total awards will be made in FY2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: 3015941088 Fax: 3014020275

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.397 CANCER CENTERS SUPPORT GRANTS**

Cancer Centers Support Grants

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 305(a), 410, 411, and 414, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285, 285a and 285a-3; Public Law 99-500.

**OBJECTIVES:**

To provide an organizational focus and stimulus for the highest quality cancer research that effectively promotes interdisciplinary cancer research aimed toward the ultimate goal of reducing cancer incidence, mortality and morbidity. The Cancer Center Support Grant (CCSG) provides the resources and infrastructure to facilitate the coordination of interdisciplinary programs across a broad spectrum of research from basic laboratory research to clinical investigation to population science. The CCSG supports salaries for scientific leadership of the Center, shared resources for funded center investigators, certain administrative costs, planning and evaluation, and developmental funds for new recruitments and feasibility studies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In general, CCSGs do not support research projects directly but are used to enhance the ongoing cancer research and to strengthen the existing research base according to the "Policies and Guidelines Relating to the Cancer Center Support Grant."

**Applicant Eligibility:**

Any nonprofit institution within the United States with a peer-reviewed cancer research base of 4.0 million dollars in direct costs may apply for a Cancer Center Support Grant.

**Beneficiary Eligibility:**

University, college, public agency or research institution in the U.S.

**Credentials/Documentation:**

The application requests documentation concerning the qualifications of the principal investigators and associates, pertinent budget information and justification for the support of this proposed grant. Methods to be utilized are outlined in the application materials. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q, and for State and local governments in accordance with OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Method of Application: Form PHS-398 (Rev. May 2001) can be obtained from the, Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7910. Telephone (301)435-0714; e-mail [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov). In addition, supplemental instructions for applications are contained in the Cancer Center Support Grant Guidelines which can be obtained by writing to the Cancer Centers Branch, 6116 Executive Boulevard, Suite 700, MSC 8345, Bethesda, MD 20892-8345 or by calling (301)496-8531. Generally, the potential applicant should send a letter of intent to the National Cancer Institute, submitting a CCSG application to the same address for review (see Guidelines for CCSGs). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:**

Oct 01, 2009 Cancer Center Support Grant Applications (P30 mechanism): Renewals, New and Supplemental: February 1, June 1, and October 1. Cancer Center Planning Grant Applications (P20 mechanism): No new applications are accepted.

**Range of Approval/Disapproval Time:**

Core Grants: Approximately 10 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Same procedure as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years of support may be requested. Grants may be awarded up to 5 years based on competitive peer review. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is requested 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 90 days after the end of a project. No expenditure

reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550.

**Obligations:**

(Salaries) FY 08 \$477,034,000; FY 09 est \$489,204,000; FY 10 est \$510,703,000 - (Grants) (Total Research Centers) FY 2008 \$477,034,000; FY 2009 est \$489,204,000; and FY 2010 est \$510,703,000.

**Range and Average of Financial Assistance:**

Range: \$1,000 to \$13,879,527

Average: \$2,510,705.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal year 2008 Centers funded 190 total research Centers which included 63 Cores, 62 SPOREs and 5 Specialized Centers. Centers. Cancer Centers are supported through the P30 grant mechanism as Cancer Center Support Grants (CCSGs), which fall into two categories as follows: cancer centers and comprehensive cancer centers. Policies and guidelines governing the main instrument of support, the Cancer Center Support Grant, have recently been revised. The P20 Cancer Center Planning Grants have been discontinued. However, considerable progress is being made in working with smaller, less research intensive institutions in areas of the country that have no NCI-designated cancer centers. The NCI will work with these institutions very closely in the future. Fiscal Year 2009: Fiscal year 2009 will fund an estimated 175 total Centers which will include 61 Cores, 59 SPOREs and 5 Specialized Centers. Fiscal Year 2010: Fiscal year 2010 will fund an estimated 181 total Centers which will include 61 Cores, 59 SPOREs and 5 Specialized Centers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 90- 50,000, (Rev.) October 1, 1990.

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistic@mail.nih.gov Phone: 3015941088

**Website Address:**

<http://cancercenters.cancer.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: CCSG awards to Memorial Sloan-Kettering Institute (comprehensive cancer center); to University of Alabama (comprehensive cancer center), to the St. Jude Children's Research Hospital (cancer center), to the University of Utah (cancer center), to the Salk Institute (cancer center), and to the Wistar Institute (cancer center). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include the following: (1) An adequate base of established programs of high quality in laboratory and clinical cancer research; (2) research activity in a variety of disciplines, and evidence of high degree of interdisciplinary coordination, interaction and cooperation among center members; (3) appropriate and adequate organization and facilities for the conduct and evaluation of center activities; (4) a qualified director with adequate authority; and (5) an adequate commitment of the parent institution or institutions to the cancer center. The center should be recognized as a major element within the organizational structure.

**93.398 CANCER RESEARCH MANPOWER**

Cancer Research Manpower

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 413 and 487, as amended, Public Law 100-607, 42 U.S.C. 285a, 42 U.S.C. 288.

**OBJECTIVES:**

To make available support to nonprofit and for-profit institutions interested in providing biomedical training opportunities for individuals interested in careers in basic, clinical, and prevention research important to the National Cancer Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Research Manpower program provides support for research training in all scientific fields related to cancer. The Ruth L. Kirschstein National Research Service Awards (NRSA) for Individual Fellows, are made directly to individuals for research training in biomedical sciences areas. In addition, the National Institutes of Health (NIH) will award the Ruth L. Kirschstein NRSA Institutional Research Training grants to institutions, to enable them to make NRSA awards to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Cancer Education Grants are designed to promote education programs carried out by organizations engaged in health-related education, research, or training, located in the United States, its possessions, or territories. Various Career awards are designed to sponsor the development of independent scientists. Individual short-term support for students is available under the Cancer Education Program.

**Applicant Eligibility:**

University, college, hospital, public agency, or nonprofit research institution for institutional grants and individuals for fellowships. The applicant institution must be able to provide the staff and facilities and be responsible for the selection of trainees and overall direction of the training. Selected awardees must be citizens of the United States or be admitted to the United States for permanent residency. Career and Cancer Education awards may be given to for-profit institutions.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institution or for-profit institution.

**Credentials/Documentation:**

(1) Individual Ruth L. Kirschstein NRSA's: The applicant's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Ruth L. Kirschstein NRSA's: Applicants must show the objectives, methodology, and resources for the training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. (3) Institutional Cancer Education Grants: Applicants must describe the organization and administration of the proposed program, list and define institutional objectives, methodology, resources and techniques of evaluation, as well as a justification of proposed expenditures. (4) For Career awards, the applicant must provide documentation on the candidate, sponsor, career development plan, research proposed, and institutional commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for the Individual Ruth L. Kirschstein NRSA must be prepared using the PHS 416-1 application form and instructions for Individual National Research Service Award Fellowships (rev. 10/05). The PHS 416-1 is available at

<http://grants.nih.gov/grants/funding/416/phs416.htm>. For further assistance, direct inquiries may be made to [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov) or (301) 435-0714. Applications for the Institutional Ruth L. Kirschstein NRSA must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section IV of the instructions titled Instructions For Preparing An NRSA Application. The PHS 398 Form (Revised 9/2004) is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Applications for Cancer Education and Career grants must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section III of the instructions, Preparing An Individual CDA Application. Applicants are advised to consult the "Submitting an Application" section of the Program Announcement, since each award has distinct application criteria. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, Bethesda, Maryland 20892-7710 (Bethesda, MD 20817 for express/courier service).

**Award Procedure:**

Applications are reviewed for scientific merit by an appropriate study section, committee, or advisory council. If recommended for approval and a decision to make award is made, a formal award notice will be sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available under the Review Criteria section of the NIH Office of Extramural Research website at [http://grants2.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part3.htm](http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part3.htm).

**Renewals:**

Cancer Education Grants may be made for periods of up to 5 years and renewals may be submitted when appropriate. Research training grants may be renewed for additional project periods of 5 years. Only the following Career awards are renewable: K05 and K24 only a one-time renewal after a 5-year project period, and the K12 up to 5 years (Trainees 2-7 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the grantor. Terminal reports are required 6 months after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Manpower Research.

**Obligations:**

(Salaries) FY 08 \$179,517,000; FY 09 est \$184,818,000; FY 10 est \$190,743,000 - (Grants/Manpower) FY 2008 \$179,517,000; FY 2009 est \$184,818,000; and FY 2010 est \$190,743,000.

**Range and Average of Financial Assistance:**

Range: \$1,222 to \$1,078,000  
Average: \$175,997.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, of the 233 Individual FTTPs (Full Time Training Position) positions/awards 88 were made totaling (competing) \$3,980,000; 180 awards with 1,446 Institutional FTTPs were supported through awards (competing) totaling \$10,712,000; 525 Career awards were made totaling \$79,529,000; 82 Cancer Education awards were made totaling \$30,088,000. During this period, the NCI has been implementing a new strategic plan that places greater emphasis on protecting the time and stabilizing the careers of MD's in research and prevention and control scientists; nearly all of the growth in the program has focused on these two fields. Both of these fields are threatened by either managed care medicine or academic culture and they are both critical to the translational research success of the NCI in the future. Fiscal Year 2009: In FY 2009, it is estimated that 1,018 Manpower awards will be made. Fiscal Year 2010: In FY 2010, it is estimated that 1036 Manpower awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 6; 42 CFR 66; 45 CFR 74; Application kit, National Institutes of Health; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. None.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: 3015941088

**Website Address:**

<http://www.cancer.gov/researchandfunding/training>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Individual Fellowship: Molecular mechanisms of breast tumor metastasis; Identification of a Melonoma Susceptibility Gene at 1p22; (2) Institutional Training: Training In Radiation Oncology Sciences; Program for Training in Cancer Epidemiology; (3) Cancer Education: Oncology Nursing Education in End of Life Care; Simultaneous Care: Linking Palliation to Clinical Trials; (4) Career: Community-based Skin Cancer Prevention Research; Prostate Cancer--Mechanisms of Bax induced Cell Death. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.399 CANCER CONTROL**

Cancer Control

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 412, Public Law 78-410; 42 U.S.C. 241; Public Law 100-607; 42 U.S.C. 285a-1; Public Law

**OBJECTIVES:**

To reduce cancer incidence, morbidity, and mortality through an orderly sequence from research on interventions and their impact in defined populations to the broad, systematic application of the research results through dissemination and diffusion strategies. Primary emphasis is on the inclusion of a cancer prevention and control intervention in any proposed study. Cancer Prevention and Cancer Control research studies are classified into one of five phases that represent the orderly progression noted in the definition: (1) Hypothesis development; (2) methods development and testing; (3) controlled intervention trials to establish cause-and-effect relationships; (4) research in defined populations; and (5) demonstration and implementation studies. Primary interests are in research on cancer control interventions in Phases 2 through 5, and on cancer prevention research in all phases. Cancer Prevention and Control programs include those in the following areas: (1) chemoprevention; (2) cancer communications; (3) nutrition, diet, and physical activity; (4) screening and early detection, including biomarker development and validation; (5) biobehavioral mechanisms; (6) tobacco control; (7) health disparities research; (8) symptom management, cancer rehabilitation and survivorship; (9) health services and outcomes research; and (10) surveillance research. Both Cancer Prevention and Cancer Control use the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) programs to encourage research participation by the small business community. The goals of each program are as follows. SBIR: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. STTR: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. Restrictions are imposed against the use of funds for entertainment, foreign travel (unless specifically authorized), office equipment, and other items not normally necessary for the effective prosecution of such research. SBIR Phase I grants (of approximately 6- months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small

businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principle investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institutions or for-profit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form PHS-398 (Rev. April 1998) is the standard form that can be obtained from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714, E-mail: ASKNIH@odrockml.od.nih.gov. The standard application forms as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special

conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/1997/97.11.21/n2.html](http://www.nih.gov/1997/97.11.21/n2.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements average from 3 to 4 years, up to a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of a budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Control.

**Obligations:**

(Cooperative Agreements) FY 08 \$190,442,000; FY 09 est \$170,459,000; FY 10 est \$84,324,000 - (Grants) FY 2008 \$190,442,000; FY 2009 est \$170,459,000; and FY2010 est \$84,324,00205,757,000.

**Range and Average of Financial Assistance:**

Range: \$22,878 to \$4,846,464  
Average: \$ 947,473.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, of 69 competing applications, 45 were funded for 65 percent; 201 total competing and noncompeting awards were made. Fiscal Year 2009: It is estimated that 147 total awards will be made in FY 2009. Fiscal Year 2010: It is estimated that 83 total awards will be made in FY2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 52; 45 CFR 74 and PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: 3015941088 Fax: 301-402-0275

**Website Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.398 Cancer Research Manpower

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects include: (1) Smoking Prevention - Smoking Prevention and Cessation; (2) Energy Balance - Diet, Weight and Physical Activity research; (3) Transdisciplinary Research on Energetics and Cancer; (4) Centers for Population Health and Health Disparities; (5) Community Clinical Oncology Program; (6) Early Detection - Prostate, Lung, Colon, Ovarian Cancer Trial (PLCO) and the National Lung Screening Trial (NLST); (7) Selenium and Vitamin E Cancer Prevention Trial for Prostate Cancer (SELECT); and (8) Early Detection Research Network; (9) Community Networks To Reduce Cancer Health Disparities - Center To Reduce Cancer Health Disparities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.400 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

ARRA - National Health Service Corps Scholarship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Title II, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the National Health Services Corps' (NHSC) objective is to increase the supply of primary care physicians, dentists, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants and , if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the U.S. by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, family nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. Program requires a one year of service with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service is primarily a nonfederal salaried or contracted employee of a public or private non-profit entity, providing full-time

primary health services. Services may also be in a fee for service private practice setting, or a Federal employee in Federal health systems such as the Indian Health Service, Immigration Health Service or bureau of Prisons. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC. Each year of support incurs 1 year of service with a 2 year minimum service commitment requirement post graduation.

**Applicant Eligibility:**

U.S. citizens or nationals enrolled full time in a fully accredited program within a State leading to a degree in medicine, osteopathic medicine, dentistry, or other health profession.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

The applicant must submit an enrollment/acceptance letter from the school or university and proof of US citizenship at the time of application. If applicable, a Certificate of "Disadvantaged Background" from medical or nursing school financial aid officials would also need to be submitted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are generally solicited by an Applicant Information Bulletin and application details can be found at [www.hrsa.gov](http://www.hrsa.gov).

**Award Procedure:**

The applications of individuals who meet the eligibility criteria are scored numerically. All applicants will be notified if they are selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each year of support incurs 1 year of service with a 2 year minimum service commitment requirement post graduation. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing the program for which the scholarship was awarded. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550 - NA.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$13,786,032; FY 09 est \$7,832,000; FY 10 est \$8,955,000 - ARRA FY 09 est \$8,955,000 million; ARRA FY 10 est \$8,955,000 million.

**Range and Average of Financial Assistance:**

\$40,000-\$320,000 per year, with the average award being \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

New awards made for the following years: FY 04, 189; FY 05, 164; FY 06, 97; FY 07, 118; FY 08 76; The estimates for FY 09 is 39 ARRA FY 09 is 45, ARRA FY 10 is 45.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Scholarship Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8-36, 5600 Fishers Lane., Rockville, Maryland 20857. Phone: (301) 594-4400. For 24-hour toll-free calls from outside MD: 1-800-221-9393, use for requesting applications.

**152 Headquarters Office:**

Office of Financial Management: Lisa Walsh, , Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11-03, 301-443-0197..

**153 Web Site Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**Headquarters Office:**

National Health Service Corps Scholarship Program 5600 Fishers Lane, Rockville,, Maryland 20857 Phone: (301) 594-4400.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Scholarships covering tuition, monthly stipends and payments for other reasonable education expenses made to medical school students, dental students (3rd & 4th year), as well as for students of family nurse practitioner, nurse midwifery and physician assistant programs. Fiscal Year 2009: NA. Fiscal Year 2010: NA.

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Priority for consideration will be given to all students who have characteristics which increase the probability they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background Who have HPSA retention characteristics.

**93.401 ARRA - NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT**

ARRA - NHSC Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

To increase the supply of primary care physicians, dentists, dental hygienist, behavioral and mental health professionals, certified nurse midwives, certified family nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSA) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located health professional shortage areas identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Awards provide payments of up to \$35,000 a year towards participants' qualified government and commercial health professions undergraduate and graduate education loans in return for providing 2 years of clinical service at an approved NHSC community site(s). NHSC LRP participants in good-standing may have an opportunity to request, payments of up to \$35,000 a year for a 3rd and 4th subsequent year, payments of up to \$25,000 a year for a 5th subsequent year, payments of up to \$20,000 a year for a 6th subsequent year, and, payments of up to \$15,000 for a 7th subsequent year and beyond may be available to continue their service obligation at an approved NHSC community. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual National Health Service Corps Loan Repayment Program ARRA Applicant Information Bulletin issued under this CFDA program for any required proof or certifications which must be submitted as part of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are generally solicited by a Applicant Information Bulletin and application details can be found at [www.hrsa.gov](http://www.hrsa.gov).

**Award Procedure:**

NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Preference is given to qualified applications with documented disadvantaged background and/or exceptional financial need status and will be funded regardless of HPSA score. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Appeals:**

Not Applicable.

**Renewals:**

Contract amendments will be considered according to the availability of

appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Initial loan repayment awards require a minimum 2 year service obligation. See the following for information on how assistance is awarded/released: Direct Payments.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All recipients must submit a payment history to the Division of Applications and Awards, Bureau of Clinician and Recruitment Service within 45 days of making payments for qualifying educational loans. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$59,647,676; FY 09 est \$72,861,528; FY 10 est \$72,861,528 - Est ARRA FY 09 \$70,595,000 million; Est ARRA FY 10 \$70,595,000 million.

**Range and Average of Financial Assistance:**

New awards range from \$5,000 to \$50,000, with an average award being \$46,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 42 CFR Part 62, Subpart B of the implementing regulations.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Lisa Walsh, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11-03, Rockville, Maryland 20857 Email: [lwalsh@hrsa.gov](mailto:lwalsh@hrsa.gov) Phone: (301) 443-0197.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: During FY 08, the program awarded a total of 1,535 contracts to eligible clinicians with health professions degrees or licenses to provide clinical services at NHSC approved sites in Health Professional

Shortage Areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Preference will be provided to qualified applicants with documented disadvantaged background and/or exceptional financial need status regardless of HPSA score. Priority will be given to applicants who are individuals whose training is in a health profession or specialty determined by the Secretary to be needed by NHSC.

#### **93.402 ARRA - STATE LOAN REPAYMENT PROGRAM**

ARRA - State Loan Repayment Program

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

#### **OBJECTIVES:**

For medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA). To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

State programs are to be similar to 93.162, the National Health Service Corps Loan Repayment Program. Similar provisions include: (1) Applicants for State programs must have completed a course of study required to practice as one of the following health care professionals: allopathic or osteopathic physician, dentist, nurse midwife, nurse practitioner, physician assistant, clinical psychologist, clinical social worker, psychiatric nurse specialist, marriage and family therapist, licensed professional counselor or dental hygienist; and (2) participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area. The Federal share of the support for State programs cannot exceed 50 percent of the contract costs. The State's 50 percent share must be spent for repayment of loans and the State must absorb program administrative costs.

#### **Applicant Eligibility:**

Eligible entities include the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, the Marshall Islands, and the Commonwealth of the Northern Mariana Islands.

#### **Beneficiary Eligibility:**

See above.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Grant applications will be given an objective review. Final award decisions will be made by the Director of the Bureau of Health Professions.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number and type of providers the State proposes to support through this program; (d) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a competitive process each year.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50.%. The Federal share of any program may not exceed 50 percent of the cost of loan repayment contracts made to eligible providers. The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. Other Federal funds cannot be used for the non-federal cost participation. No portion of the Federal share shall be used to pay for administrative or management costs of any State Loan Repayment Program. The non-federal share is to be issued for the repayment of loans. States must assume administrative costs.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 3 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Notice of Grant Award.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Recipient States must submit a biannual Uniform Progress Report, and final progress report along with an annual financial report in the format approved under OMB Circular No. 0915-0004. Expenditure reports are not applicable. Performance monitoring is not applicable.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

\$100,000 to \$1,000,000; \$302,834 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, 24 competing awards were made. It is expected that approximately 24 continuation awards will be made in FY 08. Fiscal Year 2009: FY 09 \$10 million ARRA Funding. Fiscal Year 2010: FY 10 \$10 million ARRA Funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

**Headquarters Office:**

Elsie Quinones, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-5244.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 93.165, State Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program. Fiscal Year 2009: 93.165, State Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program. Fiscal Year 2010: 93.165, State Loan Repayment Program; 93.162, National Health Service Corps Loan Repayment Program; 93.364, Nursing Student Loans; 93.908, Nursing Education Loan Repayment Program.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number and type of providers the State proposes to support through this program; (d)

the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs: (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs: (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

**93.403 ARRA - TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY**

ARRA - Training in Primary Care Medicine and Dentistry

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), grants are awarded for the following purposes: (1) Residency Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to residents in such programs) in approved residency programs in family medicine, general internal medicine and/or general pediatrics; (2) Physician Faculty Development in Primary Care-- to plan, develop, and operate (including provision of financial assistance to trainees in such programs) programs for the training of physicians who teach or plan to teach in family medicine (including geriatrics), general internal medicine and/or general pediatrics training programs; (3) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to students in such programs) in predoctoral programs in family medicine, general internal medicine and/or general pediatrics; (4) Academic Administrative Units in Primary Care-- to meet the costs of projects to establish, maintain or improve academic administrative units (which may be departments, divisions, or other units) to provide clinical instruction in family medicine, general internal medicine and/or general pediatrics; (5) Physician Assistant Training in Primary Care-- to meet the costs of projects to plan, develop, and operate or maintain programs for the training of physician assistants and for the training of individuals who will teach in programs to provide training of physician assistants; (6) Residency Training in General and Pediatric Dentistry -- to meet the costs of planning, developing, or operating programs and to provide financial assistance to residents in such programs as general dentistry or pediatric dentistry in dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services.

**Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area.

Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

Residency Training in General and Pediatric Dentistry: Entities that have programs in accredited dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

During the last budget period of the project period, competing continuation applications may be submitted for up to three (3) years of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ARRA funding is for 2 years. See the following for information on how assistance is awarded/released: Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A progress report must be submitted for the second or subsequent budget periods within the approved project period for continued funding. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. A UPR/CPMS report must be submitted annually. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A progress report must be submitted for the second or subsequent budget periods within the approved project period for continued funding. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. A UPR/CPMS report must be submitted annually. Expenditure reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A progress report must be submitted for the second or subsequent budget periods within the approved project period for continued funding. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. A UPR/CPMS report must be submitted annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-1-1-550.

**Obligations:**

(Project Grants) FY 08 \$43,872,255; FY 09 est \$43,872,255; FY 10 est \$43,872,255 - ARRA funding for both FY 09 and FY 10 \$48 million.

**Range and Average of Financial Assistance:**

\$101,266 to \$358,437.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competitive awards for the following programs:

Residency Training in Primary Care--30  
Physician Faculty Development in Primary Care--3  
Physician Assistant Training in Primary Care--10  
Predoctoral Training in Primary Care--25  
Academic Administrative Units in Primary Care--13  
Residency Training in General and Pediatric Dentistry--28

Non-competing continuation awards for the following programs:

Residency Training in Primary Care--36  
Physician Faculty Development in Primary Care--40

Physician Assistant Training in Primary Care--8  
Predoctoral Training in Primary Care--22  
Academic Administrative Units in Primary Care--29  
Residency Training in General and Pediatric Dentistry--0  
Some of the programs grant awards are collaborative grants and cover multiple disciplines hence for example one continuation award may include a continuation award in FM and a continuation award in GIM and/or GP.  
Therefore, the total number should not be construed as the total number of grants but rather the total number awards per program area. Fiscal Year 2009: Same as FY 08. Fiscal Year 2010: Same as FY 09.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Brenda L. Williamson, 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857 Phone: (301) 443-1467.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance.

**93.404 ARRA DENTAL PUBLIC HEALTH RESIDENCY TRAINING GRANTS**

ARRA Dental Public Health Residency Training Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

To plan and develop new residency training programs and to maintain or improve existing residency training programs in dental public health; and to provide financial assistance to residency trainees enrolled in such programs, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new dental public health residency training programs and providing financial assistance to trainees enrolled in the programs. Grants may not be used for construction or for providing direct patient services.

**Applicant Eligibility:**

An entity that offers a Dental Public Health Training Program accredited by the American Dental Association Commission on Dental Accreditation, such as a School of Public Health or Dentistry, is eligible to apply.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

A Notice of the Grant Award will be issued from the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to 3 years of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. A final progress report and financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Financial status reports are required within 90 days after the end of each budget period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$481,316; FY 09 est \$481,316; FY 10 est \$481,316 - Estimated ARRA funding for FY 09 and FY 10 \$4 million.

**Range and Average of Financial Assistance:**

\$84,000 to \$100,000; \$90,940 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, 5 awards were made. In FY 08, 5 non-competing continuation awards are anticipated. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

John R. Kress, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-6864.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.236 Grants for Dental Public Health Residency Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal reviewers for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application, and the respective factors delineated in the application.

**93.405 ARRA - PUBLIC HEALTH TRAINEESHIP PROGRAM**

ARRA - Public Health Traineeship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

To support traineeships for students in graduate educational programs in accredited schools of public health and to other public or nonprofit private institutions accredited for the provision of graduate or specialized training in Public Health which offer graduate programs for training in Public Health fields with a severe shortage for medically underserved populations, as funded under

the American Recovery and Reinvestment Act of 2009 (ARRA), e.g.: (1) Biostatistics; (2) epidemiology; (3) environmental health; (4) toxicology; (5) nutrition; and (6) maternal and child health.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institutions established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Schools and programs of Public Health and other public or nonprofit private educational entities, including faith-based and community-based organizations accredited by the Council on Education for Public Health, and other public or nonprofit private institutions accredited by a body recognized for this purpose by the Secretary of the Department of Education.

**Beneficiary Eligibility:**

(1) Trainees must be United States Citizens or non-citizen nationals and foreign nationals who possess a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an accredited school of public health or other eligible institution. (3) For grants awarded on the basis of a formula, all trainees must meet the admission requirements specified in the approved grant application and those of the institution.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring all applicants applying for funding opportunities to apply electronically through Grants.gov. Grantee Organizations must register with Grants.gov (if not already registered). All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. To submit an application electronically, use the <http://www.Grants.gov> apply site. When using Grants.gov you will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site. Grantees must request an exemption in writing from [DGPWaivers@hrsa.gov](mailto:DGPWaivers@hrsa.gov), and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. Make sure you specify the announcement number you are seeking relief for. As indicated, HRSA and its Grants Application Center (GAC) will only accept paper applications from applicants that received prior written approval. This is a formula-based award. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

It is expected that awards will be made for up to 2 years. See the following for information on how assistance is awarded/released: Grantees draw funds from the Payment Management System, HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureaus web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureaus web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A financial status report must be submitted within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureaus web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,258,262; FY 09 est \$1,258,262; FY 10 est \$1,258,262 - ARRA funds for both FY 09 and FY 10 \$3 million.

**Range and Average of Financial Assistance:**

\$9,404 to \$182,096; \$57,194.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

**Headquarters Office:**

Elsie Quinones, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-5244.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.884 Grants for Training in Primary Care Medicine and Dentistry

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Support of trainees who are pursuing a graduate course of study in: (1) biostatistics (2) epidemiology; (3) environmental health; (4) nutrition; (5) toxicology; and (6) maternal and child health. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.406 NURSING EDUCATION LOAN REPAYMENT PROGRAM (NELRP)**

ARRA - Nursing Education Loan Repayment Program (NELRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the objective of NELRP is to assist in the recruitment and retention of professional registered nurses (RN) in approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The program offers RNs substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care facility with a critical shortage of nurses. NELRP participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the Participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to amend his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total up to 85 percent of eligible loan balances. For specific service-obligated educational loan repayment. Loan repayments for 2 years of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service.

**Applicant Eligibility:**

For specific service-obligated educational loan repayment.

**Beneficiary Eligibility:**

Critical shortage facilities including, but not limited to, Indian Health Service health centers, hospitals, Federal Hospitals, Federally Qualified Health Centers, Native Hawaiian health centers, rural health clinics, nursing homes, home health agencies, hospice programs, State or local public health departments, and ambulatory surgical centers.

**Credentials/Documentation:**

Applicants should review the individual Applicant Information Bulletin issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Pre-application Coordination:

This program is excluded from coverage under E.O. 12372.

**92 Application Procedure:**

Applications are generally solicited by a program announcement and application details can be found at [www.hrsa.gov](http://www.hrsa.gov). Individuals applying for this funding opportunity are required to submit an application electronically.

**93 Award Procedure:**

Funding preferences are used to determine the sequential order in which qualified applicants are considered for an award. As provided in section 846(e) of the PHS Act, as amended, a funding preference will be given to qualified applicants with greatest financial need, which the NELRP defines as those qualified applicants whose total qualifying educational loans are 40% or greater than their gross salary. In addition, a funding preference is given to RNs working in the types of health care facilities that have the most severe nursing shortage. Applicants are grouped into one of the preference levels described in the Applicant Information Bulletin based on their qualifying nursing education debt to gross annual salary ratio and place of employment. Awards are made to applicants starting with the first preference category by decreasing qualifying nursing education debt to salary ratio until funds are expended.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Il projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing

the program for which the scholarship was awarded. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$18,901,576; FY 09 est \$22,848,634; FY 10 est \$8,955,000 - ARRA Funding for FY 09 is estimated to be \$45,257,500 million.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lisa Walsh Room 8-36, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: 301-443-0197

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.407 ARRA - SCHOLARSHIPS FOR DISADVANTAGED STUDENTS**

ARRA - Scholarships for Disadvantaged Students

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) promotes diversity among health professions students and practitioners by providing scholarships for students from disadvantaged backgrounds. Eligible health professions and nursing schools apply for funds to make scholarships to students from disadvantaged backgrounds, who have financial need for scholarships and are enrolled, or accepted for enrollment, as full-time students at the schools.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for who the costs of attending the school would constitute a severe financial

hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

**Applicant Eligibility:**

Accredited public or private nonprofit schools of allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, chiropractic, allied health, or schools offering graduate programs in public health, behavioral and mental health or physician assistants.

**Beneficiary Eligibility:**

Students from disadvantaged backgrounds.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application information may also be found by visiting [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Based upon the availability of funds, notices of award are issued to the eligible schools which in turn select and issue the awards to the eligible students.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each scholarship award is made for 1 year. See the following for information on how assistance is awarded/released: Grantees draw funds from the Payment Management System, HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Scholarships for Disadvantaged Students Performance Report must be submitted 45 days after the end of each budget period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Scholarships for Disadvantaged Students Performance Report must be submitted 45 days after the end of each budget period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a financial status report must be submitted 90 days after the end of each budget period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$42,400,000; FY 09 est \$42,400,000; FY 10 est \$42,400,000 - Estimated ARRA funds for both FY 09 and FY 10 \$45.8 million.

**Range and Average of Financial Assistance:**

1,000 to \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 450 health professions and nursing schools received awards and over 15,000 students were assisted. Fiscal Year 2009: Over 450 health professions and nursing schools received awards and over 15,000 students were assisted. Fiscal Year 2010: Over 450 health professions and nursing schools received awards and over 15,000 students were assisted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Contact for ARRA funding: Jim Essel, Division of Health Careers Diversity and Development, Bureau of Health Professions. Telephone: (301) 443-5799. Andrea Stampono, Division of Health Careers Diversity and Development, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 8-42, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same numbers for FTS.

**Headquarters Office:**

Division of Health Careers Diversity and Development, 5600 Fishers Lane, Room 8-42, Rockville, Maryland 20857 Phone: (301) 443-5799.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program ; 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Scholarships to students of schools of nursing and health professions schools. Fiscal Year 2009: Scholarships to students of schools of nursing and health professions schools. Fiscal Year 2010: Scholarships to students of schools of nursing and health professions schools.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.408 ARRA - NURSE FACULTY LOAN PROGRAM**

ARRA/NFLP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 , Public Law 111-5.

**OBJECTIVES:**

The purpose of the Nurse Faculty Loan Program as supported through the American Recovery and Reinvestment Act (ARRA) is to increase the number of qualified nursing faculty and direct resources to address health professions workforce shortages. Schools of nursing that receive NFLP-ARRA funds must use funds to provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. Loan recipients must agree to complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at a school of nursing.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The school will establish an ARRA-NFLP fund to be used only for making NFLP loans to eligible students and for the costs associated with collection of these loans. Institutions may award a maximum loan amount of \$30,000 per student for an academic year to support the cost of tuition, fees, books, laboratory expenses and other reasonable education expenses. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in a school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in a school of nursing, 25 percent of the principal and interest of the unpaid loan shall be made be given for the fourth year.

NFLP -ARRA funds must be kept separate from regularly appropriated NFLP funds and should not be commingled for tracking and reporting purposes. No one student may receive both NFLP-ARRA funds and annual NFLP appropriated funds in the same budget/project period.

**Applicant Eligibility:**

Eligible applicants include all accredited public, non-profit and private or for-profit schools of nursing that offer an advanced degree nursing education program (masters or doctoral) to prepare full-time and part-time advanced degree nursing students to serve as faculty at schools of nursing.

In addition, the school must be located in a State in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealths of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific Islands. A student who remains in this country on a student or visitor's visa is not eligible; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications, which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy.

Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards..

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Schools that participate in the loan program must contribute to the loan fund an amount equal but to not less than one-ninth of the fiscal year award.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for one (1) year. See the following for information on how assistance is awarded/released: Grantees draw funds from the Payment Management System, HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/home.asp>

The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period.

Institutions must comply with ARRA reporting requirements. Additional ARRA reporting requirements are as mandated by Section 1512 of the Recovery Act and OMB guidance made available at [www.recovery.gov](http://www.recovery.gov) for required reporting information. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/home.asp>

The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period.

Institutions must comply with ARRA reporting requirements. Additional ARRA reporting requirements are as mandated by Section 1512 of the Recovery Act and OMB guidance made available at [www.recovery.gov](http://www.recovery.gov) for required reporting information. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at



<https://grants.hrsa.gov/webexternal/home.asp>

The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period.

Institutions must comply with ARRA reporting requirements. Additional ARRA reporting requirements are as mandated by Section 1512 of the Recovery Act and OMB guidance made available at [www.recovery.gov](http://www.recovery.gov) for required reporting information. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$5,970,000; FY 10 est \$5,970,000 - FY 09 Est. \$5,970,000; FY 10 Est. \$5,970,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Nicolette Solan-Pegler, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5729. Fax: (301) 443-7891. Email: [nsolan-pegler@hrsa.gov](mailto:nsolan-pegler@hrsa.gov).

**Headquarters Office:**

Nicolette Solan-Pegler, 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-5729.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.264 Nurse Faculty Loan Program (NFLP); 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.409 FACULTY LOAN REPAYMENT PROGRAMS**

ARRA - Faculty Loan Repayment Programs (FLRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the Faculty Loan Repayment Program (FLRP) provides a financial incentive for degree-trained health professionals from disadvantaged backgrounds to pursue academic careers in allopathic medicine, nursing (RN only), osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, allied health or graduate programs in behavioral and mental health practice for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Direct Payments for Specified Use. Funds will be used to repay eligible health professions educational loans incurred by the applicant in return for serving a minimum of 2 years as a full-time or part-time faculty member at one of the following accredited health profession college or university: allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, or a school that offers a graduate program in behavioral or mental health, and certain allied health programs. The Faculty Loan Repayment Program will pay up to \$20,000 a year in return for a two year service commitment obligation, based on the participants outstanding balance of eligible educational loans (the maximum amount is \$40,000 for 2 years). Recipients of a FLRP award will receive a contract signed by Secretary of HHS or his/her designee.

**Applicant Eligibility:**

Individuals from disadvantaged backgrounds who: (1) are U.S. citizens or nationals; (2) have a degree in allopathic medicine, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, nursing, graduate public health, selected allied health or graduate behavioral and mental health or are enrolled in an approved graduate training program in one of the health professions listed above or are enrolled as full-time students in accredited institutions described above and in the final course of study or program leading to a degree from the institution; (3) have a minimum 2-year employment commitment from an eligible college or university for a full-time or part-time faculty position; (4) have an agreement with the eligible college or university for equivalent loan repayment; and (5) be currently repaying eligible undergraduate and/or graduate health professions educational loans.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual Applicant Information Bulletin issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FLRP applications are generally solicited by a program announcement posted on the HRSA Web site at [www.HRSA.gov](http://www.HRSA.gov)

**Award Procedure:**

The Faculty Loan Repayment Program will pay up to \$20,000 a year in return

for a two year service commitment obligation, based on the participants outstanding balance of eligible educational loans (the maximum amount is \$40,000 for 2 years). Recipients of a FLRP award will receive a contract signed by Secretary of HHS or his/her designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for 2 years and the time is specified in the contract. See the following for information on how assistance is awarded/released: not available.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-3510-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,133,841; FY 09 est \$116,769; FY 10 est \$1,134,300 - ARRA FY 2009, \$1,134,300 million.

**Range and Average of Financial Assistance:**

\$5,548 to \$63,400; \$36,281 (average award for FY06 including funds for award tax liability); \$17,530 to \$55,600; \$49,767.49 (average award for FY07 including funds for award tax liability); and \$49,297.43 (average award for FY08 including funds for award tax liability).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: \$5,548 to \$63,400; \$36,281 (average award for FY06 including funds for award tax liability); \$17,530 to \$55,600; \$49,767.49 (average award for FY07 including funds for award tax liability); and \$49,297.43 (average award for FY08 including funds for award tax liability).  
Fiscal Year 2009: 22. Fiscal Year 2010: 22.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lisa Walsh Room 8-36, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: 301-443-0197

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.410 ARRA LICENSURE PORTABILITY GRANT PROGRAM**

ARRA - Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

Provide support for State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

LPGP - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

Eligible applicants include State professional licensing boards, including national organizations of professional licensing boards that provide services to State licensing boards.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Funding will be based on selections made under a competitive review process. Final decisions are made by the Associate Administrator, Office of Health Information Technology, Health Resources and Services Administration, based on recommendations made by the Director, Office for the Advancement of Telehealth.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Carlos Mena, MS, Public Health Analyst, Office for the

Advancement of Telehealth, Office of Health Information Technology, Health Resources and Services Administration (HRSA), Parklawn Bldg., 5600 Fishers Ln, RM 7C-22  
Rockville, MD 20857, Tel: (301) 443-3198.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two-year project period. See the following for information on how assistance is awarded/released: Grantees draw funds from the Payment Management System (PMS), HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period. Progress reports are to be submitted every 6 months. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period. Progress reports are to be submitted every 6 months. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$700,000; FY 09 est \$700,000; FY 10 est \$700,000 - It is estimated that ARRA LPGP (Grants) will be funded for FY 09 and FY 10 at \$1.5 million.

**Range and Average of Financial Assistance:**

ARRA LPGP Average award approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The LPGP grantees are developing programs under which licensing boards of various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. These grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop

national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions. Fiscal Year 2009: The LPGP grantees are developing programs under which licensing boards of various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. These grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions. Fiscal Year 2010: The LPGP grantees are developing programs under which licensing boards of various States will cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. These grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for addressing barriers to adoption of the Nurse Licensure Compact and implement model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Carlos Mena, MS, Public Health Analyst, Office for the Advancement of Telehealth, Office of Health Information Technology, Health Resources and Services Administration (HRSA), Parklawn Bldg., 5600 Fishers Ln, RM 7C-22  
Rockville, MD 20857, Tel: (301) 443-3198.

**Headquarters Office:**

Carlos Mena, 5600 Fishers Lane, Room 7-C22, Rockville, Maryland 20857  
Phone: (301) 443-3198.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.211 Telehealth Network Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first two years of performance, the third year program design, and expenditure justifications. For FY 2009, the Agency is developing program guidance to facilitate a competition for the 3-year FY 2009 through FY 2011 project period. (Note: The FY 2009 program guidance may include, under the TNGP provisions, a limited number of planning grants.)

**93.411 ARRA EQUIPMENT TO ENHANCE TRAINING FOR HEALTH PROFESSIONALS**

ARRA - Equipment for Training of Health Professionals (ETHP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) supports the purchase of equipment through a grant program that will enhance infrastructure supporting health professions training programs. The ETHP program provides funding to purchase training equipment for health professions training programs. The goals of the program include: (1) investing in the educational infrastructure, through the purchase of equipment, to enhance the quality of

health professions education; (2) strengthening the National capacity for health professions education through the purchase of health professions training equipment; and (3) increasing the number of highly skilled health workforce professionals in the United States or its territories through the availability and use of training equipment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications must request the purchase of equipment that will be used to expand and improve the quality of the training program. The ETHP equipment purchases should enhance a structured clinical learning experience within a health professions training program. Funding to support the operations of the equipment (such as staffing, software, maintenance and supplies) is prohibited under the ETHP program, unless it is part of an equipment purchase package.

**Applicant Eligibility:**

A health professions training program as defined by this program is one of 21 programs authorized under Titles III, VII and VIII of the PHS Act which focus all or in part on the training of health professionals. Refer to the funding opportunity announcement for more specifics.

**Beneficiary Eligibility:**

Training programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application information may be downloaded from [www.grants.gov](http://www.grants.gov). All eligible applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive a written notification of the outcome of the objective review process and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding may proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agencies Authorized Representative, is the authorizing document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made in FY 2010 for up to a two-year project period. After

Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures. See the following for information on how assistance is awarded/released: Grantees draw funds from the Payment Management System (PMS), HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A uniform progress report must be submitted annually within the approved project period. No cash reports are required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. A uniform progress report must be submitted annually within the approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$50,000,000 - ARRA funds for FY 10 total approximately \$50 million.

**Range and Average of Financial Assistance:**

\$5,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. The National Environmental Policy Act (NEPA), 42 U. S. C. 4321-4370d also applies. HRSA grant awards are also subject to the requirements of the HHS Grants Policy Statement (HHS GPS, found at <http://www.hrsa.gov/grants/>), that are applicable to the grant based on recipient type and purpose of award. ARRA-funded awards are also subject to the HHS ARRA Standard Terms and Conditions.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gail Lipton, 5600 Fishers Lane, Room 8-05, Rockville, Maryland 20857 Phone: (301) 443-6509.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications are available in the funding opportunity guidance document, in the following broad categories: (1) the extent to which the application describes its needs and links the purchase of the equipment to the enhancements of health professions programs; (2) the extent to which the application describes the proposed goals and objectives and their relationship to the purchase of equipment; (3) the extent to which the applicant describes the expected impact of the equipment on the training program; and (4) the budget justification logically documents how and why each equipment purchase supports the goals and activities of the training program.

**93.412 ARRA - PREVENTIVE MEDICINE RESIDENCY PROGRAM**

ARRA - Preventive Medicine Residency Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

To promote the post-graduate education of physicians in preventive medicine and public health as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services.

**Applicant Eligibility:**

Eligible applicants are schools of medicine, osteopathic medicine and public health. An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available for up to 2 years. See the following for information on how assistance is awarded/released: Grantees draw down funds from the Payment Management System, HHS's centralized web-based payment system.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a Uniform Summary Progress Report must be submitted for a second or subsequent budget period within the approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a Uniform Summary Progress Report must be submitted for a second or subsequent budget period within the approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a Uniform Summary Progress Annual Financial status reports are required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,198,894; FY 09 est \$1,198,894; FY 10 est \$1,198,894 - Estimated ARRA Funding for FY 09 and FY 10 \$4 million.

**Range and Average of Financial Assistance:**

\$211,825 to \$250,000; \$236,735 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, 5 competing awards were made. Five continuation awards were made in FY08. Fiscal Year 2009: To be determined. Fiscal Year 2010: To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Elsie Quinones, Acting Chief, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email: equinones@hrsa.gov.

**Headquarters Office:**

Elsie Quinones, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-5244.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.117 Grants for Preventive Medicine

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants for technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application will be based on an analysis of the following factors:

PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities.

**93.414 ARRA - STATE PRIMARY CARE OFFICES**

ARRA - PCOs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically-underserved populations through health centers and other community-based providers of comprehensive primary care and the retention, recruitment, and oversight of health professions for medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

The Division of Independent Review is responsible for managing objective reviews within Health Resources and Services Administration. Applications will receive an objective and independent review performed by a committee of experts. Applications are reviewed for merit and are recommended for approval or disapproval. Final decisions are made jointly by the Associate Administrator for Health Professions and the Associate Administrator for Primary Care.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with HHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports, financial status reports, and special reports are required as requested. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports and special reports are required as requested. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Financial status reports are required as requested. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports and special reports are required as requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,000,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000 - ARRA Funding: Est. for FY 09 \$2.12 million; FY 10 Est. \$2.12 million.

**Range and Average of Financial Assistance:**

Average award per recipient \$ 37,848.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Office of Shortage Designation Branch, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8C-26, Rockville, Maryland 20857. Telephone: (301) 594-0816.

**Headquarters Office:**

Office of Shortage Designation Branch, 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857 Phone: (301) 594-0816.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices; 93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated in the following areas: (1) Ability to assess and analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions.

**93.415 ARRA - CENTERS OF EXCELLENCE**

ARRA - COEs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

The goal of this program is to assist eligible schools in supporting programs of excellence in health professions education for under-represented minority individuals, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA). The grantee is required to use the funds awarded: (1) to develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) to establish, strengthen, or expand programs to enhance the academic performance of under-represented minority students attending the school; (3) to improve the capacity of such school to train, recruit, and retain under-represented minority faculty including the payment of stipends and fellowships; (4) to carry out activities to improve the information resources, clinical education, curricula and cultural competence, to facilitate the entry of under-represented minority students into health or allied health professions schools; (5) to facilitate faculty and student research on health issues particularly affecting under-represented minority groups, including research on issues relating to the delivery of health care; (6) to carry out a program to train students of the school in providing health services to a significant number of under-represented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) to provide stipends as appropriate.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds may be used by health professions schools to: (1) establish, strengthen, or expand programs to enhance the academic performance of under-represented minority students attending the school; (2) establish, strengthen or expand programs to increase the number and quality of minority applicants to the school; (3) improve the capacity of the school to train, recruit, and retain minority faculty; (4) with respect to minority health issues, to carry out activities to improve the information resources and curricula of the school and clinical education at the school; and (5) facilitate faculty and student research on health issues particularly affecting minority groups.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. Application information may be found by visiting [www.grants.gov](http://www.grants.gov). All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from the Headquarters office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Sara Rue, Public Health Analyst, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. (301) 443-3043.

Grants Management Office: Rick Goodman, Director, Division of Grants Management, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 11A-16. Health Services Branch: 301-443-2385; Research and Training Branch: 301-443-3099; Government and Special Focus Branch: 301-443-3288.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for approximately 2 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A uniform progress report must be submitted annually within the approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$12,036,127; FY 09 est \$12,036,127; FY 10 est \$12,036,127 - Estimated ARRA funding for both FY 2009 and FY 2010 is \$4M.

**Range and Average of Financial Assistance:**

\$2,188,610 to \$4,250,322, with an average award of \$3,009,032.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 4 continuation awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Sara Rue, Public Health Analyst, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. (301) 443-3043.

**Headquarters Office:**

Sara Rue, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-3043.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.157 Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects funded proposed a range of activities for under-represented targeted minority individuals, including high school students; undergraduate college pre-professional (medicine, dentistry and pharmacy) students; enrolled professional students and faculty. COEs support structured and unstructured summer and academic year activities to address the seven legislative purposes. Activities include summer academic enrichment programs for undergraduate college students; professional school admissions process preparation sessions (MCAT/DAT review, etc.); retention services for enrolled professional students (i.e., summer pre-matriculation programs, tutorials, personal and career counseling; clinical educational experiences; recruitment/retention of basic science and clinical faculty; student/faculty research experiences; medical school curriculum development; increased library holdings relative to minority health issues; and purchase of computer and other equipment (to retain faculty and improve professional student performance, etc.). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project proposals are evaluated on the basis of: (1) the degree to which the applicant arrange to continue the proposed project beyond the federally-funded project period; (2) the degree to which the proposed project meets all purposes stated in the legislative authorization; (3) the relationships of the objectives of the proposed project and the goals that are developed; (4) the administrative and managerial ability of the applicant to carry out the project in a cost-effective manner; (5) the adequacy of the staff and faculty to carry out the program; (6) the soundness of the budget for assuring effective utilization of grant funds and the proportion of total program funds which come from nonfederal sources and the degree to which they are projected to increase over the grant period; (7) the number of individuals who can be expected to benefit from the project; (8) the technical merit of the project; and (9) the overall impact the project will have on strengthening the schools' capacity to train the targeted minority health professionals and increase the supply of minority health professionals available to serve minority populations in underserved areas.

**93.416 ARRA - HEALTH CAREERS OPPORTUNITY PROGRAM**

ARRA - HCOP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009



(ARRA), the HCOP program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete to enter and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid/information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. Application information may be found by visiting [www.grants.gov](http://www.grants.gov). All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award issued from HRSA Division of Grants Management.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Sara Rue, Public Health Analyst, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is approximately 2 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. For an annual financial status report is required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$9,282,051; FY 09 est \$0; FY 10 est \$0 - It is estimated there will be ARRA funding for both FY 2009-FY2010: \$3M.

**Range and Average of Financial Assistance:**

\$66,083 to \$1,454,970, with an average award of \$618,803.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, there were 15 HCOP projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments; and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Sara Rue, Public Health Analyst, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Sara Rue, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-3043.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.822 Health Careers Opportunity Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Structured summer and academic year projects were conducted offering preliminary education at pre-health professions schools, health professions schools, and allied health professions schools in the United States. The purposes of these programs are recruitment and facilitating entry for individuals from economically and educationally disadvantaged backgrounds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved); (9) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities; and 10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

**REVIEW CRITERIA.** All competitive applications will be reviewed and ranked on the basis of 7 review criteria are used to review and rank applications.

**1. RESOURCES/ CAPABILITIES:** a) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; b) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; c) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; d) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; e) project personnel are qualified by training and/or experience to implement and carry out the project; and f) the capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

**2. IMPACT:** a) the applicant clearly describes the plan for disseminating and implementing HCOP project results to the education and/or health professions community, regionally and/or nationally; b) the applicant clearly delineates specific venues, media, timelines, etc.; c) the applicant describes the extent to which the project activities are replicable; and d) the applicant describes the probability of the program, or significant components of the program, being maintained beyond HCOP funding.

**3. NEED:** a) the extent to which the application describes the problem and associated contributing factors to the problem, with support data provided; b) the targeted disciplines mirror the health professions workforce needs of the geographic area to be served; and c) support data includes information on the academic performance and social needs of students in the targeted area and

demographics for health professionals in the geographic area.

**4. RESPONSE:** a) an effective, well-delineated plan for carrying out all seven (7) of the HCOP program purposes. The plan explicitly identifies the targeted health disciplines and includes measurable objectives that are clearly written with corresponding methodology, evaluation and budget sections that describe in detail how they will be carried out, evaluated and supported by HCOP grant dollars and/or other sources; b) the extent to which the proposed project responds to the Purpose included in the program description; c) the clarity of the proposed goals and objectives and their relationship to the identified project; d) the extent to which the activities described in the application are capable of addressing the problem and attaining the project objectives; and e) the extent to which the projects objectives are appropriate, measurable, logical, time-framed, and provide baseline data.

**5. CULTURAL COMPETENCE DEVELOPMENT:** a) the proposed project must clearly define goals and objectives for teaching cultural competence, including educational and training activities for each educational level; and b) the objectives must be measurable and attainable.

**6. SUPPORT REQUESTED:** a) the overall proposed budget, including non-trainee expenses, should be cost effective, reasonable and consistent in relation to the objectives, the proposed activities and the anticipated results; and b) expenditures should be justified and in-kind contributions documented.

**7. PROGRESS SUMMARY OF EVALUATIVE MEASURES (FOR COMPETING CONTINUATIONS):** a) the progress summary reveals that the applicant was able to successfully manage the grant and met the objectives of the current HCOP grant; b) lists the original grant objectives and provides outcomes for each objective in measurable terms; and c) provides an evaluation of the outcomes and lists corrective actions taken to remedy objectives that were not met.

**93.417 ARRA - NURSING WORKFORCE DIVERSITY**

ARRA-NWD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), these funds will be used to increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, pre-entry preparation and retention activities. To support projects focused on creating registered nurses.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project.

Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. Stipends are \$250 per month to qualifying students who participate full time in structured project activities. The maximum annual (12-month) amount for stipends is \$3000 per student. Scholarships are limited to a maximum of \$7,000 per student per year for qualifying full or part time nursing majors. The maximum amount that can be requested for scholarships in

a grant is \$40,000 per year.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicants should review the individual HRSA program guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal.

All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Funding is made in the form of a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. LCDR Aisha K. Mix, MPH, MSN, RN, CCM, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 8C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6193.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. Budget periods are for 1 year. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Bureau of Health Professions Progress Report must be submitted annually. Final progress and financial reports must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Bureau of Health Professions Progress Report must be submitted annually. Final progress and financial reports must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting

requirements as outlined in Section 1512 of the Recovery Act. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$14,689,000; FY 09 est \$14,689,000; FY 10 est \$14,689,000 - ARRA Funding FY 09 is estimated at \$3.2 million.

**Range and Average of Financial Assistance:**

\$134,639 to \$528,181; \$294,519.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Projects have assisted nursing schools and other organizations to meet the costs of recruitment and retention of students from disadvantaged backgrounds and facilitated their completion of nursing education programs. In FY08, 41 non-competing continuations and 10 new awards were issued. It is estimated that 33 non-competing continuations and 17 new awards will be issued in FY09. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Aisha K. Mix, MPH, MSN, RN, CCM, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 8C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6193.

**Headquarters Office:**

Aisha K. Mix 5600 Fishers Lane, Room 8-C26, Rockville, Maryland 20857 Phone: (301) 443-6193

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.178 Nursing Workforce Diversity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The Nursing Workforce Diversity program supports projects focused on creating registered nurses. The program has three major purposes that applicants must address in their project: 1) retention activities (nursing students), 2) pre-entry preparation, and 3) student scholarships and/or stipends. Expected outcomes of these projects include increasing nursing education opportunities for individuals from disadvantaged backgrounds to improve the diversity of the nursing workforce, meet the increasing need for culturally sensitive and quality health care. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.418 ARRA - EMERGENCY MEDICAL SERVICES FOR CHILDREN**

ARRA - (EMS for Children)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) (PL 111-5), Public Law 111-5.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office of official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov ([www.grants.gov](http://www.grants.gov)). All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal.

Applicant information found by visiting [www.grants.gov](http://www.grants.gov). All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Maternal and Child Health Bureau (MCHB) has the authority to make final selections for awards.

**Award Procedure:**

Applications are reviewed by a review committee of experts who are generally nongovernmental. Applications are reviewed based on their merit and are ranked according to a point score. Final decisions are made by the Associate Administrator for the Maternal and Child Health Bureau MCHB.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

Annual program reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements.

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

Cash reports are not applicable. Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements.

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements.

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements.

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$3,200,000

**Range and Average of Financial Assistance:**

\$3,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: None. This is ARRA funding for future FY 2010. Fiscal Year 2009: None. This is ARRA funding for future FY 2010. Fiscal Year 2010: It is estimated that 75 grants will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Daniel Kavanaugh, EMSC Senior Program Manager, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857, 301-443-1321.

**Headquarters Office:**

Daniel Kavanaugh Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857., Rockville, Maryland 20857  
Email: dkavanaugh@hrsa.gov Phone: 301-443-1321

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

20.600 State and Community Highway Safety; 93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State Partnership Grants

The State Partnership grants fund EMS state agencies to focus on the following performance measures:

1. Ensure operational capacity to provide pediatric emergency care by guaranteeing pre-hospital provider agencies have on-line and off-line pediatric medical direction; pre-hospital providers agencies have essential pediatric equipment and supplies; implement a state-wide, territorial, or regional facility recognition program for hospitals that are able to stabilize and/or manage pediatric emergencies; and hospitals have written inter-facility transfer guidelines and agreements that specify alternate sites that have the capabilities to meet the clinical needs of critically ill and injured pediatric patients.
2. Adopt requirements by states/territories for pediatric emergency education for the recertification of paramedics.
3. Establish permanence of EMSC in each state/territory

National EMSC Data Analysis Resource Center

NEDARC provides technical assistance, training workshops, and site visits in order to assist EMSC projects and state EMS offices develop their capabilities to collect, analyze, and utilize EMS data. NEDARC provided the foundation from which the NEMSIS Technical Assistance Center was created and is an example of collaboration between EMSC and the National Highway Traffic Safety Administration (NHTSA)

Targeted Issues Grants

Targeted Issues grants are intended to address specific needs or concerns in the field of pediatric emergency care that transcend state boundaries. Typically the projects result in a new product or resource or the demonstration of the effectiveness of a model system component or service of value to the nation. Types of projects that have been funded within this category include developing model pediatric components for state disaster plans, screening and secondary prevention for psychological sequelae of pediatric injury, basic emergency lifesaving skills in schools, and emergency preparedness for infants with significant heart disease.

Network Development Demonstration Project (NDDP)

Projects are cooperative agreements that demonstrate a system of regional applied pediatric emergency medical services centers designed to expand and improve emergency services for children who need treatment for trauma or critical care. Awardees are linked together in a network to demonstrate a capacity to conduct multi-site studies on issues relating to the management of pediatric events that occur in hospitals as well as in transport. Fiscal Year 2009: State Partnership Grants

The State Partnership grants fund EMS state agencies to focus on the following performance measures:

1. Ensure operational capacity to provide pediatric emergency care by guaranteeing pre-hospital provider agencies have on-line and off-line pediatric medical direction; pre-hospital providers agencies have essential pediatric equipment and supplies; implement a state-wide, territorial, or regional facility recognition program for hospitals that are able to stabilize and/or manage pediatric emergencies; and hospitals have written inter-facility transfer guidelines and agreements that specify alternate sites that have the capabilities to meet the clinical needs of critically ill and injured pediatric patients.
2. Adopt requirements by states/territories for pediatric emergency education for the recertification of paramedics.
3. Establish permanence of EMSC in each state/territory

National EMSC Data Analysis Resource Center

NEDARC provides technical assistance, training workshops, and site visits in order to assist EMSC projects and state EMS offices develop their capabilities to collect, analyze, and utilize EMS data. NEDARC provided the foundation from which the NEMSIS Technical Assistance Center was created and is an example of collaboration between EMSC and the National Highway Traffic Safety Administration (NHTSA)

Targeted Issues Grants

Targeted Issues grants are intended to address specific needs or concerns in the field of pediatric emergency care that transcend state boundaries. Typically the projects result in a new product or resource or the demonstration of the effectiveness of a model system component or service of value to the nation. Types of projects that have been funded within this category include developing model pediatric components for state disaster plans, screening and secondary prevention for psychological sequelae of pediatric injury, basic emergency lifesaving skills in schools, and emergency preparedness for infants with significant heart disease.

Network Development Demonstration Project (NDDP)

Projects are cooperative agreements that demonstrate a system of regional applied pediatric emergency medical services centers designed to expand and improve emergency services for children who need treatment for trauma or critical care. Awardees are linked together in a network to demonstrate a capacity to conduct multi-site studies on issues relating to the management of pediatric events that occur in hospitals as well as in transport. Fiscal Year 2010: State Partnership Grants

The State Partnership grants fund EMS state agencies to focus on the following performance measures:

1. Ensure operational capacity to provide pediatric emergency care by

guaranteeing pre-hospital provider agencies have on-line and off-line pediatric medical direction; pre-hospital providers agencies have essential pediatric equipment and supplies; implement a state-wide, territorial, or regional facility recognition program for hospitals that are able to stabilize and/or manage pediatric emergencies; and hospitals have written inter-facility transfer guidelines and agreements that specify alternate sites that have the capabilities to meet the clinical needs of critically ill and injured pediatric patients.

2. Adopt requirements by states/territories for pediatric emergency education for the recertification of paramedics.
3. Establish permanence of EMSC in each state/territory

National EMSC Data Analysis Resource Center

NEDARC provides technical assistance, training workshops, and site visits in order to assist EMSC projects and state EMS offices develop their capabilities to collect, analyze, and utilize EMS data. NEDARC provided the foundation from which the NEMSIS Technical Assistance Center was created and is an example of collaboration between EMSC and the National Highway Traffic Safety Administration (NHTSA)

Targeted Issues Grants

Targeted Issues grants are intended to address specific needs or concerns in the field of pediatric emergency care that transcend state boundaries. Typically the projects result in a new product or resource or the demonstration of the effectiveness of a model system component or service of value to the nation. Types of projects that have been funded within this category include developing model pediatric components for state disaster plans, screening and secondary prevention for psychological sequelae of pediatric injury, basic emergency lifesaving skills in schools, and emergency preparedness for infants with significant heart disease.

Network Development Demonstration Project (NDDP)

Projects are cooperative agreements that demonstrate a system of regional applied pediatric emergency medical services centers designed to expand and improve emergency services for children who need treatment for trauma or critical care. Awardees are linked together in a network to demonstrate a capacity to conduct multi-site studies on issues relating to the management of pediatric events that occur in hospitals as well as in transport.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget. Recommendations of the review panel are presented to the Associate Administrator, MCHB. Panel recommendations are advisory only, and the Associate Administrator, MCHB will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

#### **93.419 ARRA - MATERNAL AND CHILD HEALTH (MCH) PEDIATRIC RESEARCH NETWORK PROGRAM**

ARRA - MCH Pediatric Research Network Program

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) (PL 111-5), Public Law 111-5.

#### **OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and

dissemination programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders and to support comprehensive hemophilia diagnostic and treatment centers.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

#### **Applicant Eligibility:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to carry out special maternal and child health (MCH) projects of regional and national significance.

#### **Beneficiary Eligibility:**

For research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

HRSA is requiring applicants to apply electronically through Grants.gov ([www.grants.gov](http://www.grants.gov)). All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal.

Applicant information found by visiting [www.grants.gov](http://www.grants.gov). All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Maternal and Child Health Bureau (MCHB) has the authority to make final selections for awards.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Annual basis.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Notice of grant award.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual program reports, annual program service reports and special reports as required. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual program reports, annual program service reports and special reports as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual financial status reports, annual program service reports and special reports as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual program reports, annual financial status reports, annual program service reports and special reports as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$3,100,000 - ARRA funding for FY2010 only.

**Range and Average of Financial Assistance:**

3,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Headquarters Office:**

Stella Yu, Sc.D, MPH Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A- -55, 5600 Fishers Lane, Rockville, MD 20857, Rockville, Maryland 20857 Email: syu@hrsa.gov Phone: (301) 443- 2207

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.234

Traumatic Brain Injury State Demonstration Grant Program; 93.300 National Center for Health Workforce Analysis; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.441 INDIAN SELF-DETERMINATION**

(Indian Self-Determination 638 Contracts)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638, as amended by Contract Disputes Act of 1978, 31 U.S.C 75.

**OBJECTIVES:**

To enable Indian tribes to assume the management and operation of programs, functions, services, and activities (PFSAs) for the delivery of health care to Indian people. To enter into a self-determination contract or contracts with Indian tribes or tribal organizations (T/TO) interested in transferring the responsibility for the administration and provision of health services from the government to tribal leadership.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are for the tribes to provide the PFSAs transferred from the Indian Health Service (IHS). The funds are not available for construction unless specifically authorized by Congress. Tribes can reallocate funds within their budget from one line item to another without contract modifications. Tribes also receive administrative funds for the contracted programs.

**Applicant Eligibility:**

Any federally-recognized tribe that formally requests, through a governing body action, a resolution, to enter into a self-determination contract or contracts for the purpose of planning, conducting, and administering programs, or portions thereof, including construction programs, provided that the T/TO submits a contract proposal that conforms to the requirements contained in 25 CFR 900.8 may apply.

**Beneficiary Eligibility:**

Indian tribes will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Agency shall, within 30 days of receipt of a notice of intent to contract, provide the tribe pre-proposal technical assistance, if requested to do so. The Agency will also notify the tribe of the amount of funds available to contract, under 106(a) of the ISDA, and begin planning for the transfer of responsibilities and funding to the tribe. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A tribe or tribal organization may submit a proposal for a self-determination contract or a proposal to amend or renew an existing contract. Unless there is a declination issue the Secretary shall within 90 days after receiving the proposal, approve the proposal and award a contract to the tribe. Declination issues are: (A) The service to be rendered to the Indian beneficiaries of the particular program or function to be contracted will not be satisfactory; (B) adequate protection of trust resources is not assured; (C) the proposed project or function to be

contracted for cannot be properly completed or maintained by the proposed contract; (D) the amount of funds proposed under the contract is in excess of the applicable funding level for the contract as determined under Section 106(a); or (E) the program, function, service, or activity (or portion thereof) that is the subject of the proposal is beyond the scope of programs, functions, services, or activities covered under paragraph (1) because the proposal includes activities that cannot lawfully be carried out by the contractor.

**Award Procedure:**

The agency negotiation team and the representatives of the tribe shall develop the agenda for the contract negotiation session(s). The agency negotiation team should assure that any issues identified during the proposal review stage, together with any agency recommendations for overcoming these issues, are raised at the negotiations. Title I contracts are generally awarded at the area office level. They are awarded for a definite period of time (1 to 3 years) or may be designated as "mature" and awarded for a definite or indefinite period of time.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Section 102 of the ISDA and Subpart L of the regulations are the basic sections covering the appeal procedures. Section 900.150 of 25 CFR lists the decisions a T/TO can appeal under Subpart L (25 CFR 900.150-169). The procedures here apply to those appeals. Also, 25 CFR Section 900.151 of the regulations describes appeals that are covered under Subpart N of the regulations and other appeals. The T/TO has three options in appealing a decision under 25 CFR 900-150. The T/TO can request an informal conference and/or can file a formal appeal. The T/TO also has the option of going directly to the Federal court at any time.

**Renewals:**

Annual funding agreements are renegotiated and renewed annually. Title I contracts may be designated as "mature" and awarded for a definite or indefinite period of time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A T/TO may use funds provided under a Title I contract to meet matching or close participation requirements under other Federal and nonfederal programs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. Method of awarding/releasing assistance: quarterly.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Section 5(f) of the ISDA requires a T/TO to submit an annual "Single Audit Act" as required by Chapter 75 of Title 31 U.S.C. OMB Circular No. A-133, Audits of States, Local Governments and Nonprofit Organizations, revised June 24, 1997, rescinded circular No. A-128 and superseded the Prior version of A-133. Revised circular No. A-133 now applies to T/TO.

**Records:**

Department of Health and Human Services (DHHS) and the Comptroller General of the United States or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts, and transcripts.

Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551; 75-0391-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Direct Payments) FY 08 \$509,600,000; FY 09 \$509,600,000; and FY 10 est \$509,600,000.

**Range and Average of Financial Assistance:**

\$31,963 to \$25,950,652; \$1,722,872.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 93-638, as amended, Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self-Determination and Education Assistance Act; Indian Health Circular No. 2000-01, "Contract Support Costs apply."

**Regional or Local Office:**

See Regional Agency Offices. Aberdeen Area IHS, Alaska Area IHS, Albuquerque Area IHS, Bemidji Area IHS, Billings Area IHS, California Area IHS, Nashville Area IHS, Navajo Area IHS, Oklahoma City Area IHS, Phoenix Area IHS, Portland Area IHS, and Tucson Area IHS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants who meet the requirements of Section 102 of Public Law 93-638, as amended, and provide a proposal in accordance with 25 CFR 900 will be funded.

**93.442 SPECIAL DIABETES PROGRAM FOR INDIANS (SDPI) COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Consolidated Appropriations Act 2001, Public Law 106-554; Reauthorization of SDPI 2002, Public Law 107-360.

**OBJECTIVES:**

The Indian Health Service (IHS) announces a new initiative under the Special Diabetes Program for Indians (SDPI). This funding mechanism is a competitive grant program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in one of two areas (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will support the implementation and evaluation of demonstration projects under this



competitive grant program.

**Applicant Eligibility:**

Applicants eligible to receive an award under this announcement are SDPI grant recipients. The applicant must be one of the following entities: IHS hospital or clinic, federally recognized Tribes, Title V Urban Indian Health Programs or consortia of any of the above. A SDPI grant recipient can apply only once as a single entity or as part of consortia. An application submitted by consortia of SDPI grant recipients must be submitted by one of the SDPI grant recipients sanctioned as the principal applicant. A letter of support must be included in the application from each SDPI grantee the principle applicant is representing. The letter must specifically state that the principal applicant is officially representing that SDPI grantee in this application. Applicants for consortia who do not submit these letters of support at the time of the application receipt date will not be reviewed and are ineligible for the award. Smaller applicants are encouraged to apply as part of consortia, especially their diabetes registry is less than 250. Applicants are strongly encouraged to establish eligibility of their proposed applications prior to submission. Inquires about eligibility should be addressed to Mary Tso, SDPI Grants Specialist, IHS National Diabetes Program at 505-248-4182; email to [diabetesprogram@mail.ihs.gov](mailto:diabetesprogram@mail.ihs.gov). Applicants that are not SDPI grant recipients are not eligible. Non-profit tribal organizations or national/area health boards are not eligible, consistent with recent tribal consultation on this issue. Applications that do not meet these eligibility requirements will be returned to the applicant without further review.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will be the ultimate beneficiaries of the funded demonstration projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments" or OMB Circular No. A-122, "Cost Principles for Non-Profit Organizations.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications can be found in the [grants.gov](http://grants.gov). Applications will also be available on request from the IHS National Diabetes Program at the following address: 5300 Homestead Road, NE, Albuquerque, NM 87110. Telephone: (505) 248-4182, fax 505-248-4188, email address: [diabetesprogram@mail.ihs.gov](mailto:diabetesprogram@mail.ihs.gov). The application will be posted on the IHS National Diabetes Program web site at [www.ihs.gov/medicalprograms/diabetes](http://www.ihs.gov/medicalprograms/diabetes) and on the HHS Grants web site at [www.grants.gov](http://www.grants.gov). Applicants may submit one application for one or both demonstration projects. A separate application is required for each demonstration project. Applicants will be funded for only one project (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes). Tribal Approval of Application/Letter of Support: It is the policy of the IHS that all projects involving AIAN tribes be approved by the Tribal governments with jurisdiction. Therefore, the following documentation is required as part of this application: 1) For federally recognized Indian tribe - a resolution of support from the Tribal government must be a part of the application. Applications that involve more than one Indian tribe must include resolutions of support from all participating tribes. 2) For an eligible consortium of tribes - a resolution of support from each tribe of the consortium must be included. 3) For Title V Urban Indian Health Programs - a letter of support from the program's board must be included. 4) For IHS hospitals or clinics - a letter of support from the Service Unit Director or Chief Executive Officer must be included. 5) For all applicants - letters of support from all partners and collaborating entities. The preferred method for receipt of applications is electronic submission through [Grants.gov](http://Grants.gov). However, should any technical problems arise regarding the submission, please contact [Grants.gov](http://Grants.gov) Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center hours

of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer; Telephone: (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the [Grants.gov](http://Grants.gov) website, complete it offline and then upload and submit the application via the [Grants.gov](http://Grants.gov) site. You may not e-mail an electronic copy of a grant application to us. Upon receipt, IHS will administratively review applications by completeness and responsiveness. Applications that are incomplete, non-responsive to this RFA, do not meet eligibility criteria or do not follow the guidelines of the SF 424 will be returned to the applicant without further consideration. Applications will be evaluated for technical merit by appropriate peer review groups convened by the IHS National Diabetes Program in accordance with established criteria.

**Award Procedure:**

Applicants will only be eligible to receive one award for funding in one area (i.e. primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes). Priorities for funding will be based on the technical merit of the application, the assessed potential of the applicant and the likelihood of the applicant to successfully implement the defined interventions. Awards will be made only to organizations with financial management systems and management capabilities that are acceptable under PHS Policy. Awards will be administered under the PHS Grants Policy Statement. Awards will be subject to the availability of funds and grants will be administered in accordance with applicable Office of Management and Budget (OMB) Circulars, Department of Health and Human Services grant regulations at 45 CFR Parts 74 and 92, the Public Health Service Grants Policy Statement and other applicable IHS policies and procedures such as the regulations governing protection of human subjects at 45 CFR Part 46. Grants Management will not award a grant without an approved application in conformance with regulatory and policy requirements and which describes the purpose and scope of the project to be funded. When the application is approved for funding, the Grants Management Office will prepare a Notice of Grant Award with special terms and conditions binding upon the award and refer to all general terms applicable to the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The anticipated date for the announcement of selectees is 60 days after the application due date.

**Appeals:**

Not Applicable.

**Renewals:**

This funding will be awarded as a grant, renewable annually for up to 5 years. The IHS National Diabetes Program will determine if grants are renewable after 5 years depending on funding levels and congressional actions.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available during the stated Project Periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of the Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, report, books, document, papers or other records of the grantee, contractor, or subcontractor or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts and transcripts.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 \$23,300,000; FY 09 est \$23,300,000; FY 10 est \$23,300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Dr. Kelly Acton, Director, Division of Diabetes Treatment and Prevention, 5300 Homestead Road, NE., Albuquerque, New Mexico 87110. Telephone: (505) 248-4182. Fax: (505) 248-4188. Grant Management contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Fax: (301) 443- 9602.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

IHS National Diabetes Program: <http://www.ihs.gov/medicalprograms/diabetes>;  
<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.443 HEALTH PROMOTION/DISEASE PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Authorized by 25 U.S.C. 13, Synder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001.

**OBJECTIVES:**

To create healthier American Indian/Alaska Native (AI/AN) communities by developing, implementing, and coordinating innovative and effective community and clinic-based interventions programs designed to promote health

and prevent chronic disease and disability.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, nonprofit organizations primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian Health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian Tribal governments, and Circular No. A-122 for Tribal nonprofit organizations codified through applicable grant administration regulations 45 CFR Part 92 and as applicable 45 CFR Part 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. Health Promotion/Disease Prevention program are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR Part 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110, A-122, A-87, and A-102.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Indian Health Service Headquarters.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operation.

**Appeals:**

Other - Not Specified.

**Renewals:**

Project periods are for 3 years with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods up to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division Of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Management Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Management Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audit, examinations, excerpts, and transcripts. In accordance with 45 CFR Parts 74 and 92, grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 \$1,300,000; FY 09 est \$1,300,000; FY 10 est \$1,300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under the provisions of 45 CFR Part 92 and the HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.444 TRIBAL SELF-GOVERNANCE PROGRAM: PLANNING AND NEGOTIATION COOPERATIVE AGREEMENT**

(Tribal Self Governance)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. In preparation for additional tribes each fiscal year, the IHS will make Planning Cooperative Agreements available. The Planning Cooperative Agreements allow Tribes to gather information to determine the current types and extent of PFSAs and funding levels available within its service areas and to plan for the types and extent of PFSAs and funding to be made available to the tribe under a compact. The IHS will also award Negotiation Cooperative Agreements which provide tribes with additional funding to negotiate Self-Governance Compacts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Establishing and operating programs to provide planning and negotiation resources to tribes interested in participating in the Tribal Self-Governance Program (TSGP). These cooperative agreements will be awarded on a one-time basis.

**Applicant Eligibility:**

For Planning Cooperative Agreements, any Federally-recognized tribe which (1) formally requests, through a governing body action, a Planning Cooperative Agreement for the purpose of preparing to enter the TSGP and (2) has furnished organization-wide single audit reports as prescribed by Public Law 96-502, the Single Audit Act of 1984, as amended, for the previous 3 years that contain no uncorrected significant and material audit exceptions. See OMB Circular No. A-133 (June 27, 2003). For Negotiation Cooperative Agreements, in addition to the two criteria listed above, applicants must have successfully completed the planning phase as described at 42 CFR 137.20.

**Beneficiary Eligibility:**

Indian tribes will benefit.

**Credentials/Documentation:**

For planning, costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments and Indian tribes and applicable grant administration regulations 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact Michelle G. Bulls, Grants Policy Officer at (301) 443-6528 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the

Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

Cooperative agreements are made directly by the IHS to the Indian tribal applicants, based on results of a competitive review process.

**Deadlines:**

Jun 22, 2009 Contact the Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 45 days of IHS deadline.

**Appeals:**

From 30 to 60 days. Per 42 CFR 137.416, decisions relating to the award of Cooperative Agreements may be appealed under 45 CFR Part 5.

**Renewals:**

There will not be renewals for the planning and negotiation awards.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Duration of project period is for 12 months. Project period can be extended on a no-cost basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual Progress Report required. Financial Status Reports. Final Progress Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States, or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 08 \$600,000; FY 09 est \$600,000; FY 10 est \$600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2007, the IHS awarded two Planning Cooperative Agreements for a total of \$100,000. IN FY 2008, IHS awarded four Planning and one Negotiation Cooperative Agreement for a total of \$220,000. Fiscal Year 2009: IHS estimates it will award approximately 8 awards at \$75,000. Fiscal Year 2010: IHS estimates it will award approximately 8 award subject to the availability of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Self- Determination and Education Assistance Act, Public Law 93-638, as amended, authorizes both the cooperative agreements. HHS Grants Policy Statement, (Rev. January, 2007), applies to the cooperative agreement awards.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kimberly M. Pendleton 12300 Twinbrook Parkway Suite 360, Rockville, Maryland 20852 Email: kimberly.pendleton@ihs.gov Phone: 3014432214 Fax: 301-443-9602

**Website Address:**

http://www.ihs.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Planning Cooperative Agreements, the criteria are: Goals/Objectives; Methodology; Management of Health Program(s); Organizational Capabilities and Qualifications; and Budget Justification. For Negotiation Cooperative Agreements, the criteria are: Demonstration of Previous Planning Activities; Thoroughness of Approach, Project Outcome; and Administrative Capabilities.

**93.448 FOOD SAFETY AND SECURITY MONITORING PROJECT**

Food Safety and Security Monitoring Project

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To complement, develop and improve State, Indian Tribal, and local food safety and security testing programs through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies and participation in proficiency testing to establish additional reliable laboratory sample analysis capacity and analysis of surveillance samples. A new program will be included to complement, develop and improve State, Indian Tribal, and local food safety and security analyses of foods and food products related to radiological terrorism or other emergency situations through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies, participation in proficiency testing to establish additional reliable laboratory sample analysis capacity, participation in method enhancement activities to extend analysis capability, and analysis of surveillance samples in the event of a large-scale radiological terrorism event affecting foods or food products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements are intended to expand participation in networks to enhance Federal, State, local and tribal food safety and security efforts. In addition to the promotion of a continuing, reliable capability and capacity for laboratory sample analyses of foods and food products for the rapid detection and identification of toxic chemicals, toxins or radiological terrorism affecting foods or food products. These funds cannot be used to fund or conduct food inspections for food safety regulatory agencies. They may not be used for new building construction, however remodeling of existing facilities is allowed, provided that remodeling costs do not exceed 25% of the grant. Funding restrictions are as noted in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Applicant Eligibility:**

These cooperative agreement and grants programs are only available to State, Local and Tribal government Food Emergency Response (FERN) laboratories.

**Beneficiary Eligibility:**

Ultimately the general population will be the beneficiary of more rapid and reliable food testing to enhance food safety efforts. The FERN laboratory network will also benefit from better testing methods, equipment and training.

**Credentials/Documentation:**

Applications must present a plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the plan. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Executive Order 12372 and the applicable DHHS Grants Policy Statement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms and procedures as required by 45 CFR 72, and as outlined in the Funding Opportunity Announcement (FOA) as published in the NIH Guide or Federal Register and as furnished by the FDA through grants.gov, must be used for this program. All new and competing continuations or competing supplemental research grants must be submitted through Grants.gov. The application packages are posted under "APPLY" section of this announcement under <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a scientific review for technical merit and a recommendation for approval by an appropriate initial Ad Hoc Review group. All approved and scored applications compete for available funds on the basis of score, scientific merit and program relevance. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 90-120 days.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 90 to 120 days. Renewals are available. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the project, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support, up to five years will depend on: 1) performance during the preceding year and, 2) the availability of Federal funds. See the following for information on how assistance is awarded/released: Domestic awards are made available through the Payment Management System (PMS).

**Reports:**

Program reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Expenditure reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Performance monitoring is required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

All grant and cooperative agreement documentation must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 08 \$6,158,271; FY 09 est \$6,159,722; FY 10 est \$2,800,000

**Range and Average of Financial Assistance:**

An average of \$350,000 total cost per award per year (direct and indirect costs combined) for up to five years as established in the Funding Opportunity Announcements, recommended by Ad Hoc Review and indicated in the Notice of Grant Award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent update) available at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>; Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100-Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices. See Headquarters Office below.

**Headquarters Office:**

Jennifer Gabb Division of Federal-State Relations, Office of Regulatory Affairs (ORA), Food and Drug Administration, HFC-140, 5600 Fishers Lane, Rm 1207, Rockville, Maryland 20857 Email: [jennifer.gabb@fda.hhs.gov](mailto:jennifer.gabb@fda.hhs.gov) Phone: 3018272899

**Website Address:**

[http://www.fda.gov/ora/fed\\_state/default.htm](http://www.fda.gov/ora/fed_state/default.htm); or <http://www.grants.gov>.

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the program guidelines as published in the Funding Opportunity Announcement in the Federal Register Notice and/or NIH Guide. All responsive applications will undergo a programmatic/scientific review by an Ad Hoc Review committee. Each application will be scored and ranked based on the following criteria: a) adequacy of facilities, expertise of project staff, equipment, support services,

commitment to analyze surveillance samples, and quality management practices needed for the project; b) expertise in the use of gas chromatography/mass spectrometry for the analysis of foods or animal tissues; c) expertise in the use of liquid chromatography/mass spectrometry for the analysis of foods or animal tissues; d) expertise in the use of inductively coupled plasma/mass spectrometry for the analysis of foods or animal tissues; e) expertise in the use of ELISA and other antibody based analyses for the identification of toxins in foods or animal tissues; f) current food or animal tissue analysis programs; g) the rationale and design to meet the goals of the cooperative agreement; h) quality control and quality assurance procedures and practices; i) abilities and procedures in place to recall personnel, establish extended work-weeks. All funding decisions will be made by the Commissioner of Food and Drug Administration or his designee.

### **93.449 RUMINANT FEED BAN SUPPORT PROJECT**

#### **FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

#### **OBJECTIVES:**

To assist in an increased surveillance presence throughout the commercial feed channels to prevent the introduction or amplification of Bovine Spongiform Encephalopathy (BSE) in the United States.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds are to be used for location and visitation of firms involved in the manufacture, distribution and transportation of animal feed, and operations feeding ruminant animals in their jurisdiction, to verify compliance with the ruminant feed ban. Visitations could include annual inspections of renderers, protein blenders and feed mills that manufacture animal feeds and feed ingredients utilizing materials prohibited under the ruminant feed ban that are not covered under existing FDA contracts and other agreements. Funds can be used for inspections of salvagers of food and feed, and transporters of animal feed and feed ingredients, supplies, training, laboratory equipment for feed sample testing, and as a supplement to the annual State program appropriations. Funds may not be used to replace annual State program funds for these purposes. Specific funding restrictions are as noted in the Funding Opportunity Announcement (FOA) and the Notice of Grant Award.

#### **Applicant Eligibility:**

This cooperative agreement program is only available to State and Tribal Feed/BSE regulatory programs.

#### **Beneficiary Eligibility:**

The general public, State and Tribal Feed/BSE regulatory programs.

#### **Credentials/Documentation:**

Applications must present a plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the project specific objectives as stated in the Funding Opportunity Announcement as published in the Federal Register or NIH Guide. These awards are subject to Executive Order 12372 as it applies. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms noted in the Funding Opportunity Announcement (FOA) and published in the NIH Guide or Federal Register and as provided by the FDA through Grants.gov, and as required by 45 CFR 72 must be used for

this program. All applications for new, competing continuations or competing supplemental research grants must complete the required forms through Grants.gov. The application packages are posted under the "APPLY" section of this announcement under <http://www.grants.gov>.

#### **Award Procedure:**

All accepted applications receive a scientific review for technical merit and a recommendation for approval by an appropriate initial Ad Hoc Review group. All approved and scored applications compete for available funds on the basis of score, scientific merit and programmatic relevance. Geographic distribution will be a consideration in the award selection process.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

From 30 to 60 days.

#### **Renewals:**

From 90 to 120 days. Renewals are available. Procedures are the same as for new applications.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support for up to 5 years will depend on (1) performance during the preceding year and (2) availability of Federal funds. See the following for information on how assistance is awarded/released: Notice of Award will be provided via electronic or hard copy.

#### **Reports:**

Program Reports are required as noted in the FOA and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the FOA and the Terms and Conditions of Award. Expenditure Reports are required as stated in the FOA and the Terms and Conditions of Award. Performance Monitoring is required as stated in the FOA and the Terms and Conditions of Award.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

All cooperative agreement documentation must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Progress reports, expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the final financial status report for the project period. Financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms of the grant or may be considered pertinent to a grant must be retained for 3 years from the date the grantee submits the final financial status report for the report period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

#### **Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 08 \$2,834,085; FY 09 est \$2,848,721; FY 10 est \$3,000,000

**Range and Average of Financial Assistance:**

An average of \$250,000 total cost per award/per year (direct and indirect cost combined) for up to five years as established in the FOA, recommended by Ad Hoc Review and indicated in the Terms and Conditions of Award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent revision); Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100--Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jennifer Gabb Division of Federal-State Relations, Office of Regulatory Affairs, HFC-150, 5600 Fishers Lane, Room 1207, Rockville, Maryland 20857  
Email: jennifer.gabb@fda.hhs.gov Phone: 301-827-2899

**Website Address:**

<http://www.grants.gov/> or [http://www.fda.gov/ora/fed\\_state/default.htm](http://www.fda.gov/ora/fed_state/default.htm).

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.448 Food Safety and Security Monitoring Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management Staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the requirements of the FOA as published in the NIH Guide or the Federal Register. All responsive applications will be reviewed by an Ad Hoc Review committee. Each application will be scored and ranked based on the following criteria 1) availability of adequately trained staff; 2) detailed description of current feed regulatory program; 3) properly detailed budget that is intended to supplement State or Tribal appropriations; 4) accurate count of all feed facilities, etc., in the State or Tribal nation; 5) detailed description of how inspections are to be performed; 6) detailed descriptions of how current, non-inspected facilities will be identified and added to the State's inspection responsibilities; 7) ability to satisfy the reporting requirements; 8) provision of current funding level certification; 9) detailed methodology for program improvement; 10) justification for hiring new staff; and 11) detailed description of the enforcement of violative facilities; under the cooperative agreement all funding will be made by the Commissioner of the Food and Drug Administration or his designee.

**93.550 TRANSITIONAL LIVING FOR HOMELESS YOUTH**

(TLP)(MGH)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

The Runaway and Homeless Youth Act, Title III, Part B, Section 321, Public Law 110-378, 42 U.S.C 5701-5752; Juvenile Justice and Delinquency Prevention Act of 1974, as amended by The Reconnecting Homeless Youth Act of 2008.

**OBJECTIVES:**

The overall purpose of the Transitional Living Program (TLP) for Homeless Youth and the Maternity Group Homes (MGH) is to establish and operate transitional living projects for homeless youth, including pregnant and parenting youth. This program is structured to help older homeless youth achieve self-sufficiency and avoid long-term dependency on social services. Transitional living projects provide shelter, skills training, and support services to homeless youth, including pregnant and parenting youth, ages 16 to less than 22. This extends the residential stay for homeless youth to 635 days or 21 months. MGHs provide the same services as the TLP in addition to providing parenting instructions and child care. Other services that are offered include, but are not limited to, transportation, family planning, and pregnancy prevention services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Transitional Living Programs are required to provide youth with stable, safe living accommodations and services that help them develop the skills necessary to move to independence. Living accommodations may be host family homes, group homes, Maternity Group Homes, or "supervised apartments." (Supervised apartments are either agency-owned apartment buildings or "scattered site" apartments, which are single-occupancy apartments rented directly by young people with support from the agency.) Eligible applicants include States, localities, private entities, and coordinated networks of such entities unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Indian Tribes that are not federally recognized and urban Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply for Transitional Living Program grants.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Transitional Living Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Homeless youth (ages 16 to 21).

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administration procedures will be determined in accordance with Parts 74 and 92 or Title 45, Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts, which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Awards are made for 5-year project periods; funding after the first year is dependent upon satisfactory performance, availability of funds and determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.0%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of 5 years. Funded applicants receive their full award amount each year of the five year funding cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly using the SF-272 Federal Cash Transaction Report through the payment management system. Funded applicants are required to submit semi-annual program narrative reports, SF-269 financial reports as well as RHYMIS raw data client service reports. A final narrative and SF-269 financial report is due at the completion of the five year funding cycle. Semi-annually using the SF-PPR- Performance Progress Report. Semi-annually using the SF-269 Financial Status Report. An onsite review by federal staff is performed at least once during a project period using the Runaway and Homeless Youth Monitoring Protocol.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$43,268,000; FY 09 est \$43,765,000; FY 10 est \$43,765,000

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000; \$195,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 218 grants were awarded, \$709,000 in contracts. Fiscal Year 2009: In fiscal year 2009 it is estimated that 218 grants will be award, \$890,000 in contracts. Fiscal Year 2010: In fiscal year 2010 it is estimated that 218 grants will be awarded, \$890,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, SW, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202-205-8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.623 Basic Center Grant; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008 - 218 grants were awarded. Funded projects are listed on our website once final approvals have been made. Many of our grantees can be found throughout each of our ten regions. Examples include: Youth Bridge, Inc. (Fayetteville, AR), Crisis Center, Inc. d.b.a. Listening Ear (Mount Pleasant, MI), Volunteers of America, Dakotas (Sioux Falls, SD), WestCare California, Inc. (Fresno, CA), and Hillside Children's Center (Rochester, NY). Fiscal Year 2009: In fiscal year 2009 it is anticipated that 218 grants will be awarded. Fiscal Year 2010: In fiscal year 2010 it is anticipated that 218 grants will be awarded.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address:

[http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.551 ABANDONED INFANTS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Abandoned Infants Assistance Act of 1988, Section 104, Public Law 100-505, as amended; Keeping Children and Families Safe Act of 2003, Public Law 108-36, 42 U.S.C 670.

**OBJECTIVES:**

To develop, implement and operate projects that demonstrate how to: (1) Prevent the abandonment of infants and young children exposed to HIV/AIDS and drugs, including the provision of services to family members for any conditions that increased the probability of abandonment of an infant or young child; (2) identify and address the needs of abandoned infants, especially those born with AIDS and those exposed to drugs; (3) assist these children to reside with their natural families, if possible, or in foster care; (4) recruit, train and retain foster parents for these children; (5) carry out residential care programs for abandoned children and children with AIDS who are unable to reside with their families; (6) establish programs of respite care for families and foster families; (7) recruit and train health and social services personnel to work with families, foster families and residential care staff; and (8) prevent the abandonment of infants and young children by providing needed resources through model programs. This program also funds technical assistance, including training, with respect to the planning, development and operation of the projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to accomplish any of the stated program objectives.

**Applicant Eligibility:**

State or local governments; federally- recognized Indian Tribal governments; U.S. Territories and possessions; and nonprofit organizations and universities.

**Beneficiary Eligibility:**

Infants and children impacted by HIV/AIDS and or substance abuse, their parents, families, and other caretakers.

**Credentials/Documentation:**

Requirements will be specified in pertinent Federal Register Announcements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedure can be obtained at: <http://www.acf.hhs.gov/grants/index.html> or by contacting Headquarters Office, listed below, for application information.

**Award Procedure:**

Review is conducted by at least three non-federal professionals. Final funding decision will be made by Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. Grantees are required to show in the cost of the project a minimum cost sharing of 10 percent of the total project cost.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be made for a period up to 48 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program progress reports are required semi-annually; a final report is required no later than 90 days after the completion of the project. Financial reports are required semi-annually, a final expenditure report must be submitted no later than 90 days after the completion of the project. Program progress reports are required semi-annually; a final report is required no later than 90 days after the completion of the project. Financial reports are required semi-annually, a final expenditure report must be submitted no later than 90 days after the completion of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$11,628,000; FY 09 est \$11,628,000; FY 10 est \$11,628,000

**Range and Average of Financial Assistance:**

Awards range from \$218,996 to \$475,000 with the average award being \$475,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, there were 24 grants awarded. Fiscal Year 2009: In fiscal year 2009, it is estimated there will be 18 grants awarded. Fiscal Year 2010: In fiscal year 2010, it is estimated there will be 18 grants awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Campiglia 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [patricia.campiglia@acf.hhs.gov](mailto:patricia.campiglia@acf.hhs.gov) Phone: 2022058060

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2009: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2010: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters Office for specific criteria.

**93.556 PROMOTING SAFE AND STABLE FAMILIES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, as amended, Title IV, Part B, Section Subpart 2.

**OBJECTIVES:**

To fund family preservation that serve families at risk or in crisis, including the following services: reunification and adoption services, preplacement/preventive services, follow-up services after return of a child from foster care, respite care, services designed to improve parenting skills; and infant safe haven programs; to fund community-based family support services that promote the safety and well-being of children and families, to afford children a safe, stable and supportive family environment, to strengthen parental relationships and promote healthy marriages, and otherwise to enhance child development; to fund time-limited family reunification services to facilitate the reunification of the child safely and appropriately within a timely fashion; and to fund adoption promotion and support services designed to encourage more adoptions out of the foster care system, when adoption, promotes the best interests of the child. In addition, a portion of funds also is reserved in FY 2008 - FY 2011 for a separate formula grant for States and

territories to support monthly caseworker visits with children who are in foster care. A small proportion of appropriated funds is reserved for research, evaluation and technical assistance, which may be awarded competitively through contracts or discretionary grants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For the main Promoting Safe and Stable Families Formula Grants, a significant portion of funds must be spent on each of the service categories of family preservation, family support services, time-limited family reunification services and adoption promotion and support services. State grantees must limit administrative expenditures to 10 percent of their allotment. Caseworker visit formula grants: States and territories are required to spend funds to support monthly caseworker visits with children in foster care with a primary emphasis on activities designed to improve caseworker retention, recruitment, training and ability to access the benefits of technology. Discretionary Grants: Grants are awarded for research, evaluation and technical assistance activities relating to family support, family preservation, time-limited family reunification and adoption promotion support.

**Applicant Eligibility:**

(1) Formula Grants: States, territories and certain Indian Tribes are eligible applicants. For caseworker visit funds, only States and territories are eligible applicants. (2) Discretionary Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) with expertise in providing, evaluating and/or providing technical assistance related to family preservation, family support, time-limited family reunification and adoption promotion and support.

**Beneficiary Eligibility:**

Families and children who need services to assist them to stabilize their lives, strengthen family functioning, prevent out-of-home placement of children, enhance child development and increase competence in parenting abilities, facilitate timely reunification of the child, and promote appropriate adoptions.

**Credentials/Documentation:**

Formula Grants: The State agency which administers the social services program under Title XX of the Social Security Act (Social Services Block Grant) must also be the agency which administers the Title IV-B programs. Discretionary Grants: Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discretionary grants under this program are eligible for coverage under E.O. 12372, however, formula grants are not. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure (1) Formula Grants: A 5-year State plan must be submitted. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation by the agency with appropriate public and non-profit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations. (2) Discretionary Grants: Announcement of availability of funds is published in the Federal Register. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

(1) Formula Grants: Funds will be approved after the State plan, or annual update is submitted and approved.(2) Discretionary Grants: Grant applications are reviewed by a panel of nonfederal professionals with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner, Administration for Children, Youth, and Families (ACYF). Contract proposals are reviewed by a panel of Federal Staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time (1) Formula Grants: The State plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year. (2) Discretionary Grants: From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with Departmental regulations at 45 CFR 16.

**Renewals:**

Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Formula and Matching Requirements:

(1) Formula Grants: State allotments are computed based on the number of children receiving food stamps over a three year rolling average. Allotments to Indian Tribes, including Tribal consortia are based on a percent set aside of the total appropriation in each fiscal year and computed based on the number of children in the tribe compared to the total number of children in eligible Indian Tribes. However, grants will not be made to Indian Tribes whose allotment is less than \$10,000. Allotments to Territories are based on the formula in subpart 1 of Title IV-B. Match: FFP is 75 percent of expenditures: grantees must provide a 25 percent match. (2) Discretionary Grants: matching requirements are described in each program announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

(1) Formula Grants: Grant awards will be made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draws from Federal Reserve Banks. (2) Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

(1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. PSC-272. (1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. Annually, SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirement of 45 CFR 74.

**Records:**

(1) Formula Grants: Grantees must report expenditures for the most recent year for which fiscal expenditures are completed and must maintain records which permit review of expenditures in accordance with the provisions of the law. (2) Discretionary Grants: All financial records are to be maintained for 3 years after

termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$371,221,737; FY 09 est \$376,221,737; FY 10 est \$386,221,737

**Range and Average of Financial Assistance:**

States and Territories: \$180,239 to 34,757,984 with an average of \$6,019,347. Tribes: \$10,244 to \$1,858,864 with an average of \$80,715. Discretionary grant awards range from \$100,000 to 1,040,000 with the average award being \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 52 State grants awarded (including the District of Columbia and Puerto Rico) and 4 territory grants awarded each fiscal year. 137 Tribes are eligible for grants awards in FY 2008. The increase in eligible Tribes is due to an increase (to 3%) in the tribal set-aside. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. Consult Regional Administrators, Administration for Children and Families. (See Appendix IV of the Catalog for listing).

**Headquarters Office:**

Eileen West 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: eileen.west@acf.hhs.gov Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.586 State Court Improvement Program; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Not applicable for Formula Grants. For Discretionary Grants: collaboration between TANF and Child Welfare to program outcomes; National Resource Center for Family-Centered Practice and Permanency planning; Projects to Develop Programs to Strengthen Marriages. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.557 EDUCATION AND PREVENTION GRANTS TO REDUCE SEXUAL ABUSE OF RUNAWAY, HOMELESS AND STREET YOUTH**

(Street Outreach Program - SOP)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act of 2008, Public Law 110-378 Part E.

**OBJECTIVES:**

The Street Outreach Program (SOP) makes grants available to nonprofit agencies for the purpose of providing street-based services to runaway, homeless and street youth who have been subjected to, or are at risk of being subjected to, sexual abuse, prostitution, or sexual exploitation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide education and prevention services, directly or through collaboration with other agencies, to runaway, homeless and street youth that have been subjected to or are at risk of sexual exploitation or abuse. The goal and design of these efforts is to help young people leave the streets to build positive

relationships.

**Applicant Eligibility:**

Any private, nonprofit agency is eligible to apply. Nonfederally recognized Indian Tribes and urban Indian organizations are eligible to apply for grants as private, nonprofit agencies: (Note: Public agencies are not eligible).

**Beneficiary Eligibility:**

Runaway and homeless street youth will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grantee must provide a nonfederal share or match of at least 10 percent of the Federal funds awarded. The nonfederal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress and fiscal reports must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. Fiscal reports (SF-269) must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. \*See program reports (narratives). \*See cash reports (SF-269). Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$17,221,000; FY 09 est \$17,721,000; FY 10 est \$17,721,000 -

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; Average award is \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal Year 2008, 161 grants were awarded. \$1,470,000 was awarded in Contracts. Fiscal Year 2009: It is anticipated that 166 will be awarded in fiscal years 2009, \$1,678,000 for Contracts. Fiscal Year 2010: It is anticipated that 166 grants will be awarded in FY 2010 and \$1,678,000 for Contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, 5515 Security Lane Suite 800 North Bethesda, MD 20852. Telephone: (301) 608-8098. Fax: (301) 608- 8721. The National Clearinghouse on Families and Youth website address is <http://www.http://ncfy.acf.hhs.gov> and general email address is [info@ncfy.com](mailto:info@ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Family, Family and Youth Services Bureau, Division of Youth Services. (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, S.W., Washington, District of Columbia 20447 Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.623 Basic Center Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, 161 projects provided services for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. Fiscal Year 2009: It is anticipated that 166 grants will be awarded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support in fiscal years 2009. Fiscal Year 2010: It is anticipated that 166 grants will be awarded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support in fiscal years 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address:

[http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Organizations with experience in providing services to homeless youth are given priority.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF)**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, 42 U.S.C 601 et seq.

**OBJECTIVES:**

To provide grants to States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own Tribal TANF programs to assist needy families with children so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to reduce and prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own TANF programs have broad flexibility to use the grant funds in any manner that meets the purposes of the program (including providing low-income households with assistance in meeting home heating and cooling costs) and in ways that the State, Territory, and Tribe was authorized to use funds received under the predecessor Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) programs. States and Territories may also transfer a limited portion of their assistance grant funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. Not more than 15 percent of any State grant may be spent on administrative costs, exclusive of certain computerization and information technology expenses. Cash grants, work opportunities, and other services are made directly to needy families with children. For Tribal programs, ACF will negotiate a limitation on administrative costs for the first year of the program's operation not to exceed 35 percent, for the second year of the program's operation not to exceed 30 percent, and then for the third and subsequent years of the program's operation not to exceed 25 percent. For the TANF program, there are certain prohibitions, restrictions, and limitations on the provision of assistance. For example, families may only receive Federally-funded assistance for five years. In addition, Federal funds may not be used to provide medical services, unless it is pre-pregnancy family planning services (Tribes, however, may use Federal funds for medical services if they are job-related).

**Applicant Eligibility:**

In general, all States, Territories, the District of Columbia, and all federally-recognized Tribes in the lower 48 States and 13 specified entities in Alaska are eligible. State and local agencies and Tribes that operate TANF programs must do so under plans determined to be complete or approved by the Department of Health and Human Services (DHHS). For Contingency Funds, all States and the District of Columbia are eligible if they are determined to be a "needy State" by satisfying either an unemployment trigger or a food stamp trigger. Territories and Tribes are not eligible for Contingency Funds.

**Beneficiary Eligibility:**

Needy families with children, as determined eligible by the State, Territory, or Tribe in accordance with the State or Tribal plan submitted to the Department of Health and Human Services (HHS).

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal agency certified by the Chief Executive Officer. Needy families must meet State or Tribal eligibility requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each State, Territory, and the District of Columbia must develop a State plan and include the certifications signed by the Executive Officer (Governor). Applicants must consult with local governments and private organizations and provide them 45 days to comment on the plan. The State plan and certifications must be submitted to the Secretary of HHS. Tribes may apply to the Secretary to receive funds and to administer the TANF block grant. Tribes would submit a 3-year family assistance plan. The Secretary, in consultation with the Tribe, would set program requirements and time-limits for receipt of welfare-related services, consistent with the purposes of the program and economic conditions/resources of each Tribe. Tribes should contact the OFA Regional TANF Program Manager for further Tribal plan submittal procedures. For Contingency Funds, each State must request these funds monthly for each month they meet either the unemployment or food stamp triggers. For Supplemental Grants, there is no application. Supplemental Grants are awarded annually and issued quarterly to the States (in number 17) with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

**Award Procedure:**

Once a plan is determined complete, or in the case of a Tribe the plan is approved, by the DHHS, Family Assistance Grants are awarded in quarterly payments. Supplemental Grants are also awarded in quarterly payments. Contingency Fund awards will be made monthly.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

States, Territories, the District of Columbia, and Tribes implement their assistance programs according to their State and Tribal plans. The Secretary does not have authority to approve or disapprove a State plan, only to determine its completeness. Tribal plans are subject to approval by the Secretary. For Contingency Funds, approval/disapproval will be from 30 to 60 days after receipt of the request for funds.

**Appeals:**

States, Territories, the District of Columbia, and Tribes facing an adverse action by the Secretary may appeal under both administrative and judicial procedures. In addition, States, Territories, the District of Columbia, and Tribes must provide opportunities for recipients who have been adversely affected to be heard in a State or Tribal administrative or appeal process.

**Renewals:**

States, Territories, and the District of Columbia must periodically (every 2 or 3 years) renew their funding status by submitting their TANF plan. Tribes must renew their funding status every 3 years. For Contingency Funds, requests for additional funding must be made monthly.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Chapter 2, Part 260; 286.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

States, Territories, the District of Columbia, and Tribes are awarded their assistance grants in quarterly payments. They may reserve grant moneys, without fiscal year limitation, to provide any allowable benefits and services that are consistent with the purposes of the TANF program. With certain exceptions, most families are limited to no more than 5 years of assistance under the Federal grant. Tribes have the flexibility to establish time limits on receipt of assistance. For Contingency Funds, grant awards are issued monthly to States meeting the eligibility criteria stipulated under Section 101. Method of awarding/releasing assistance: quarterly.

**Reports:**

States, Territories, the District of Columbia, and Tribes operating their own Tribal TANF programs are required to collect and report to the Secretary on a quarterly basis case record information on the families receiving assistance.

They are also required to report administrative costs and overhead expenditures on programs for needy families, participation by noncustodial parents in work activities, and transitional services provided to former recipients. They may be required to report child poverty information annually in accordance with the methodology the Secretary has established by regulation. No cash reports are required. No progress reports are required. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General under Chapter 75 of Title 31, United States Code. If a State or Territory is found to have used funds from the State Family Assistance Grant in violation of the statute, the Secretary shall reduce the grant payable to them for the immediately succeeding fiscal year by that same amount. For Tribes, the Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

States, Territories, the District of Columbia, and Tribes must maintain records containing information the Secretary may require by regulation.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$77,008,000; FY 09 est \$77,875,000; FY 10 est \$77,875,000 - (Territory Assistance Grants and Matching Grants). (Formula Grants) FY 08 \$319,450,000; FY 09 est \$319,450,000; FY 10 est \$319,450,000 - (Supplemental Grants for Population Increases). (Formula Grants) FY 08 \$1,319,321,000; FY 09 est \$0; FY 10 est \$0 - (Contingency Funds--estimated ending balance). (Formula Grants) FY 08 \$16,486,688,000; FY 09 est \$16,488,667,000; FY 10 est \$16,488,667,000 - (State and Tribal Family Assistance Grants).

**Range and Average of Financial Assistance:**

State and Tribal Family Assistance grants are estimated from \$77,195 to \$3,659,875,042 with an average of \$149,896,973.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants were made to 50 States, the District of Columbia, 3 Territories, and 59 Tribes. Fiscal Year 2009: Grants will be made to 50 States, the District of Columbia, 3 Territories, and a projected 67 Tribes. Fiscal Year 2010: Grants will be made to 50 States, the District of Columbia, 3 Territories, and a projected 70 Tribes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). Publication of the Deficit Reduction Act of 2005 was published in the Federal Register on February 5, 2008 (Vol. 73, No. 24) to incorporate changes resulting from reauthorization of the TANF program. Program rules for State programs can be found at 45 CFR Parts 260 through 265. The Tribal Temporary Assistance for Needy Families (TANF) Final Rule was published in the Federal Register on February 18, 2000 (Vol. 65, No. 34). Tribal rules can be found at 45 CFR Part 286.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Mary Ann Higgins, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-1020.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and

Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Darrel McGhee, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2936.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 1961 Stout Street, 9th Floor, Denver, CO 80294. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Dan Baker, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8450.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.560 FAMILY SUPPORT PAYMENTS TO STATES\_ASSISTANCE PAYMENTS**

(Adult Programs in the Territories)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XVI, 42 U.S.C 1351.

**OBJECTIVES:**

To provide aid to the aged, blind, and the permanently and totally disabled in Guam, Puerto Rico, and Virgin Islands.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Cash payments are made to eligible needy aged, blind, or disabled persons in Guam, Puerto Rico, and the Virgin Islands. These payments are to cover costs for food, shelter, clothing, and other daily living needs recognized as necessary be each Territory's program. In addition, an individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled.

**Applicant Eligibility:**

Agencies must operate under Department of Health and Human Services (HHS) approved plans and agreements, which must comply with all Federal statutory and regulatory requirements governing these programs. The applicant must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled.

**Beneficiary Eligibility:**

The beneficiary must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must determined blind to receive aid to the blind; or must be at least eighteen years of age and totally disabled to receive aid to the permanently and totally disabled. These programs also have specific unearned and earned income disregards that are applied in determining the amount of assistance payable.

**Credentials/Documentation:**

Federal funds must go to a certified Territorial welfare agency. Individuals must meet all eligibility requirements. Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, the Social Security Act, and Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible individuals should apply directly to their Territorial or local welfare agency. The Territories should contact the Regional TANF program manager for application forms. (See Appendix IV of the Catalog for addresses.) OFA/Regional Temporary Assistance for Needy Families (TANF) program managers have authority to approve applications and amendments; disapproval authority is held by the Director of the Office of Family Assistance, in the Administration for Children and Families. Territories contact the Regional TANF program manager for applications for administrative funds. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Once an application is approved, Territories are awarded funds quarterly based

on ACF-approved estimates of maintenance assistance and administrative costs. Notification of awards must be made to the designated Territorial agency. Eligible individuals receive monthly subsistence checks from Territorial welfare agencies.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Welfare agencies must have a time standard for notifying applicants of approval/disapproval; not over 45 days after application, except 60 days for aid to disabled.

**Appeals:**

From 90 to 120 days. Individuals denied assistance must be given a fair hearing on appeal (45 CFR, Chapter 2, Section 205.10). Territorial agencies may request a hearing before the Assistant Secretary for Family Support regarding adverse decisions (45 CFR, Chapter 2, Section 201.14; 45 CFR, Part 16).

**Renewals:**

> 180 Days. The agency must conduct periodic reviews to determine whether conditions justifying eligibility still exist.

**Formula and Matching Requirements:**

Statutory Formula: Title XVI.

Matching Requirements: Program funds are provided based on a formula linked to the number of recipients receiving benefits each month.

Administrative costs are matched at 50%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Individuals receive support from the Territorial or local welfare agency until they no longer meet the eligibility requirements. See the following for information on how assistance is awarded/released: Payments to eligible individuals are paid monthly.

**Reports:**

No program reports are required. Cash reports are not applicable. No progress reports are required. Territorial claims must be submitted quarterly to receive Federal matching funds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Territories must maintain records which substantiate eligibility determination and grants that are made.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$32,808,000; FY 09 est \$33,000,000; FY 10 est \$33,000,000

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACF regulations are published in the Federal Register, 45 CFR 200 et seq.

**Regional or Local Office:**

See Regional Agency Offices. Region II (Puerto Rico, Virgin Islands)

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext.

127.

Region IX (Guam)

Dan Baker, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8450.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.563 CHILD SUPPORT ENFORCEMENT**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, 42 U.S.C 1673-6103-6.

**OBJECTIVES:**

To enforce the support obligations owed by absent parents to their children, locate absent parents, establish paternity, and obtain child, spousal and medical support.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States and some Tribes provide support enforcement services directly to individuals who are receiving federally-funded Foster Care Maintenance Payments, Medicaid, Temporary Assistance to Needy Families (TANF) (or those who cease to receive TANF), and to individuals not otherwise eligible for such services. TANF, Medicaid, and certain federally-funded Foster Care applicants or recipients must have assigned support rights to the State. Non-TANF individuals other than those who cease to receive TANF and/or who provide authorization to the IV-D agency to continue support enforcement services, must have signed a written application for support enforcement services. The State must provide services to locate absent parents, establish paternity and enforce support obligations.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands, and Guam. Each of these jurisdictions is required to establish or designate a single and separate State Child Support Enforcement Agency. Tribes are eligible and we currently have seventeen tribal child support programs and 23 in the start-up phase.

**Beneficiary Eligibility:**

The State must provide support enforcement services to: (1) All applicants for, or recipients of TANF, Foster Care Maintenance Payments, and Medicaid, for whom an assignment to the State of support rights has been made and who are in need of such services; (2) all individuals who cease to receive TANF; (3) individuals who provide authorization to the IV-D agency to continue support enforcement services; and (4) any other individual who is in need of such services and who has applied for them.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State officials prepare and review state plans and amendments. Regional Office staff are available for consultation or assistance in preparation of State plans and amendments. The standard application forms, as furnished by Department of Health and Human Services (DHHS) and required by OMB Circular No. A-102, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. High level State officials review State Plans and amendments before they are submitted. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of a State Plan, prepared in the format provided by the Office of Child Support Enforcement. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide support enforcement services to individuals eligible under an approved Title IV-D State plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State Plans and amendments submitted as new State Plans, and Plan amendments may require up to 90 days for approval.

**Appeals:**

From 30 to 60 days. The State may request reconsideration of plan disapproval or plan amendment disapproval within 60 days after that disapproval.

**Renewals:**

Once approved, State IV-D plans remain in effect until amended or revised.

**Formula and Matching Requirements:**

Statutory Formula: Title IV-D, Public Law 94-46,94-88,94,365,95-30,95-59,95-171,95-598,96-178,96-265,96-272,96-611, 97-35,97-248,98-369,98-378,100-485,101-508.

Matching Requirements: States receive a 66 percent Federal Financial Participation (FFP). Tribes receive 90 percent FFP during the first three years of operation of a Title IV-D program and then 80 percent FFP for each subsequent year of operation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal funds are awarded quarterly on a fiscal year basis. The Electronic Transfer System is used for monthly cash draw from Federal Reserve Banks based on quarterly awards. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Periodic audits are made as part of recipient's systems of financial management and internal control in accordance with Public Law 98-502, the single Act of 1984. Cash reports are done on Form 269A. Periodic reports are required on the progress of the programs. Quarterly financial reports of administrative expenditures and child support collections and annual program reports including caseload data are required by OCSE. Periodic audits are conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS Inspector general and State Audit (private groups) and other Federal government officials. OCSE conducts data reliability of variables used to compute performance measures. These audits were mandated by The Child Support Performance and Incentive Act of 1998 (CSPIA).

**Records:**

The IV-D agency must maintain records necessary for the proper and efficient administration of the State IV-D plan.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$4,541,772,000; FY 09 est \$4,481,899,000; FY 10 est \$4,637,709,000

**Range and Average of Financial Assistance:**

In FY08, from \$1,038,144,835 to \$5,195,132; \$50,464,133; FY09, from \$1,021,319,049 to \$5,110,932; \$46,686,448; FY10, from \$1,057,333,590 to \$5,291,157; \$48,309,469.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 54 grants are expected to be awarded to States. Tribal programs received \$21,612,273 in FY 2008. Child support collections were \$26 billion in FY 2008. Fiscal Year 2009: 54 grants are expected to be awarded to States. Tribal programs are estimated to receive \$35,000,000 in FY 2009. Child support collections are estimated to be \$27 billion in FY 2009. Fiscal Year 2010: 54 grants are expected to be awarded to States. Tribal programs are estimated to receive \$34,000,000 in FY 2010. Child support collections are estimated to be \$27 billion in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR, Chapter III, 45 CFR 16, 45 CFR 74, 45 CFR 95, 45 CFR 213, 45 CFR 232.

**Regional or Local Office:**

See Regional Agency Offices. Regional Representative, Department of Health and Human Services. (See Appendix IV of the Catalog for addresses and telephone numbers.)

**Headquarters Office:**

Joyce Pitts 901 D. Street, S.W., Washington, District of Columbia 20447  
Email: jpitts@acf.hhs.gov Phone: 2024015374 Fax: 2024015642

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.597 Grants to States for Access and Visitation Programs; 93.658 Foster Care Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.564 CHILD SUPPORT ENFORCEMENT RESEARCH**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 1115, 42 U.S.C 1315.

**OBJECTIVES:**

To discover, test, demonstrate, and promote utilization of new concepts which will increase cost effectiveness, reduce welfare dependency, and increase child



support collections from absent parents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative research and demonstrations of regional and national significance that are responsive to program priorities in Child Support Enforcement, and for coordination, administration and provision of services to target populations. All applications must meet standards of excellence in research and evaluation design.

Funds authorized under Section 1115 of the Social Security Act are limited to State agencies administering the Child Support Enforcement Program or their umbrella agencies.

All applications must outline explicitly the information sought about the administration, or effects of the proposed research and how the activity will be evaluated. Funds may not be used for construction. A Section 1115 waiver of any of the State Plan requirements under Title IV-D of the Social Security Act may be granted in connection with any experimental pilot or demonstration project that will assist in promoting the objectives of the Child Support Enforcement program and meets certain conditions.

**Applicant Eligibility:**

Section 1115 grants may be made only to State Child Support Enforcement agencies or their umbrella agencies.

**Beneficiary Eligibility:**

State agencies, local governments, nonprofit organizations, and for-profit organizations.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized tribal governments. For other grantees, costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations, and any amendments to the aforementioned. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used for this program. Application kits which contain the prescribed application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Office of Grants Management, Director, Division of Discretionary Grants, 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4577. Contact: Daphne Weeden, Director, Division of Discretionary Grants. Applications also may be submitted on grants.gov. To be considered for a grant award, all applications must be submitted on the prescribed application forms and submitted to the Division of Grants Management. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. As part of the project title (page 1 of the application form, Form SF-424) the applicant must clearly indicate whether the application submitted is in response to a priority project identified in a program announcement and must reference the unique project identifier (e.g., OCSE-84) for which the application is to compete. Applications are initially screened for relevance to program interests of the Office of Child Support Enforcement (OCSE). Ineligible applications will be returned to the applicant. Eligible applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. A limited number of projects may be

approved pending available funds and will compete with other nonpriority projects. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval.

**Renewals:**

Extensions and continuations of grants with 1-year project periods are generally not available except under extreme circumstances. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for continuation each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 5.%. This program has no statutory formula. An administrative match is required. Grantees must contribute at least 5% of the total project costs. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are typically three years in length. For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly narrative reports are required for all grant projects. Semi-annual expenditure reports are required for all projects. Quarterly reports are required. Semi-annual expenditure reports are required. Periodic audit reports are made and monitoring is conducted by the Federal Project Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number act number and including all receipts and expenditures must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$1,800,000; FY 09 est \$4,000,000; FY 10 est \$1,800,000 - OCSE and the Centers for Medicare and Medicaid Services (CMS) have historically shared \$4,000,000 in Section 1115 funds. In FY 2009,

CMS declined to award grant opportunities under Section 1115 grant program and relinquished their share of funding for additional OCSE grants.

**Range and Average of Financial Assistance:**

FY 09 \$60,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Eight new grants were awarded and 12 grants were continued in FY 08. Fiscal Year 2009: It is estimated that up to 45 new grants will be awarded and 8 will continue for a second year funding in FY 2009. Fiscal Year 2010: In FY 2010, OCSE expects to award approximately \$1.8 million in new grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The pamphlets "Research Grants in Social Security," "Grants Administration Policies," and application kits may be obtained from the ACF, Office of Grants Management, Division of Discretionary Grants, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Karen Anthony 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: karenanthony@acf.hhs.gov Phone: (202) 690-6275

**Website Address:**

<http://www.acf.hhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.597 Grants to States for Access and Visitation Programs; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.647 Social Services Research and Demonstration; 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 2008, 8 projects were funded in the following areas: streamlining review and adjustment processes; automation and data warehousing; incarceration and re-entry. Fiscal Year 2009: Under review are projects in these subject areas: prisoner reentry (in collaboration with Department of Justice and Labor); family centered services; arrears management, and projects to increase collections. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (3) competence of staff; (4) independent evaluation; and (5) reasonableness of budget.

**93.566 REFUGEE AND ENTRANT ASSISTANCE\_STATE ADMINISTERED PROGRAMS**

Refugee Cash and Medical Assistance and Refugee Social Services

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C. 1522; Refugee Education Assistance Act of 1980, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C. 1522; Defense Authorization Act of 2008, Public Law 110-181, 122 Stat. 398; FY 2009 Omnibus Appropriations Bill, Section 602, Public Law 111-08; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 212-235, Public Law 110-457; Consolidated Appropriations Act of 2008, Public Law 110-161, 121 Stat. 2212.

**OBJECTIVES:**

To reimburse States for assistance provided to refugees, asylees, Cuban and Haitian entrants, victims of a severe form of trafficking, certain Amerasians from Viet Nam, and Iraqi and Afghan Special Immigrant Visa Holders (SIVs) for resettlement by funding cash assistance, medical assistance, care of unaccompanied refugee minors, and social services for the eligible population.

State agencies may purchase training and services from other providers. Refugees in the U.S. may be assisted regardless of national origin.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is limited to refugees, asylees, Cuban and Haitian entrants, certain Amerasians from Viet Nam, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants, as defined in the authorizing Acts, supplemented by appropriate documentation provided to the refugee from the United States Citizenship and Immigration Services (USCIS), formerly Immigration and Naturalization Services (INS). For victims of trafficking, a certification or letter of eligibility issued by HHS/ORR is required. Federal policy governs other eligibility factors. The scope of services for which funds are available to State and local welfare and health agencies for assistance on behalf of eligible refugees is similar to that in regular domestic public assistance programs.

**Applicant Eligibility:**

The agency designated by the State as responsible for the Refugee Resettlement Program is eligible to receive awards for providing cash and medical assistance and social services to eligible refugees.

**Beneficiary Eligibility:**

Refugees, Cuban and Haitian entrants, Amerasian immigrants from Viet Nam, asylees, certified victims of a severe form of trafficking, and Iraqi/Afghan SIVs.

**Credentials/Documentation:**

Persons for whom assistance is authorized are limited to refugees with documentation from the USCIS as to refugee status, to certain Amerasian immigrants and their accompanying family members, to Cuban and Haitian entrants who meet definitions under Title V of the Refugee Education Assistance Act of 1980, asylees, Iraqi and Afghan Special Immigrants, and victims of a severe form of trafficking who have received a certification or eligibility letter from HHS/ORR. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Upon submittal of approved State plans, annual service plans, and annual State estimates, agencies are eligible for Federal funds to be expended on behalf of refugees.

**Award Procedure:**

Grants are made to designated State agencies following submittal of approved State plans, annual service plans, and annual State estimates.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. No later than 45 days after the State plan or plan amendment is submitted, the ORR director will determine whether the plan or plan amendment meets requirements for approval, and approve or disapprove the plan.

**Appeals:**

From 30 to 60 days. Any State dissatisfied with approval or disapproval of the state plan or plan amendment may, within 60 days, file a petition with the Director for reconsideration of the determination. The State may also request a hearing. The Director will affirm, modify, or reverse the original determination, within 60 days of submission of the petition, or within 60 days after a hearing.

**Renewals:**

From 30 to 60 days. Annual.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter IV, Part 400.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a quarterly basis. Funds for Cash and Medical Assistance must be obligated within the fiscal year of appropriation and liquidated within the next fiscal year. Funds for social services must be obligated by end of the fiscal year after the fiscal year of appropriation and liquidated within the following fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

State agencies submit program performance reports three times a year. Cash reports are not applicable. State agencies submit program progress reports three times a year. State agencies submit expenditure reports four times a year. ORR regularly monitors state-administered programs, including cash and medical assistance, social services, and the unaccompanied refugee minors program. ORR has a contract for program monitoring and evaluation of effectiveness, and contract staff assists ORR staff in monitoring programs and validating data. ORR primarily targets on-site monitoring to states with large populations that receive significant funding. The ORR monitoring team reviews with state staff the eligibility and documentation requirements and verifies the maintenance of accurate and up-to-date client files. States track client categorical, financial, legal, and time eligibility to ensure compliance with ORR eligibility requirements in accordance with ORR regulations. ORR staff also monitor State financial, aggregate, and case-level reports, and review State Plans and State Plan amendments. These steps help assure that States conduct their programs with program and fiscal integrity and follow statutory requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The State agency must maintain financial records for three years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$271,158,000; FY 09 est \$272,528,000; FY 10 est \$272,528,000

**Range and Average of Financial Assistance:**

In FY 2009, grants for the Refugee Cash and Medical Assistance program ranged from \$19,000 to \$57,000,000; the average was \$5,000,000. Grants for the Refugee Social Services program ranged from \$75,000 to \$25,000,000; the average was \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 93 state-administered program grants were awarded for Refugee Cash and Medical Assistance, Unaccompanied Refugee Minors, and Refugee Social Services. Fiscal Year 2009: It is anticipated that 93 state-administered program grants will be awarded for Refugee Cash and Medical Assistance, Unaccompanied Refugee Minors, and Refugee Social Services in FY 2009. Fiscal Year 2010: It is anticipated that 93 state-administered program grants will be awarded for Refugee Cash and Medical Assistance, Unaccompanied Refugee Minors, and Refugee Social Services in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 400, Subparts A-I. Various materials are available on request from the Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, Washington, DC 20447.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pamela Green-Smith 370 L'Enfant Promenade SW, 8th Floor West,  
Washington, District of Columbia 20447 Email:  
pamela.greensmith@acf.hhs.gov Phone: (202) 401-4531 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr> .

**RELATED PROGRAMS:**

93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking; 93.676 Unaccompanied Alien Children Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Cash assistance for up to 8 months, (2) case management, (3) employment services, (4) care for unaccompanied refugee minors, and (5) English language training concurrent with employment services. Fiscal Year 2009: (1) Cash assistance for up to 8 months, (2) case management, (3) employment services, (4) care for unaccompanied refugee minors, and (5) English language training concurrent with employment services. Fiscal Year 2010: (1) Cash assistance for up to 8 months, (2) case management, (3) employment services, (4) care for unaccompanied refugee minors, and (5) English language training concurrent with employment services.

**CRITERIA FOR SELECTING PROPOSALS:**

States must have submitted an approved State Plan, annual service plan, and annual State estimates.

**93.567 REFUGEE AND ENTRANT ASSISTANCE\_VOLUNTARY AGENCY PROGRAMS**

Matching Grant Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; Defense Authorization Act, 2008, Public Law 110-181; FY 2009 Omnibus Appropriations Bill, Public Law 111-08; Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To assist refugees in becoming self-supporting and independent members of American society, by providing grant funds to private nonprofit organizations to support case management, transitional assistance, and social services for new arrivals.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Federal funds of up to \$2,200 per refugee are provided on a matching basis of \$2.20 of Federal funds matched by \$1.10 of private funds and in-kind contributions. Required services include case management, job development, and maintenance assistance for four to six months. Funds may also be used for English language training concurrent with employment services, job training, and cash allowance.

**Applicant Eligibility:**

Grant awards are limited to States and private, nonprofit organizations which have a Reception and Placement Cooperative Agreement with the Department of State or Department of Homeland Security.

**Beneficiary Eligibility:**

Refugees must be enrolled within 31 days of arrival. Entrants/asylees must be enrolled within 31 days of granting of parole or asylum.

**Credentials/Documentation:**

Newly arriving refugees, certain Amerasians, Cuban or Haitian Entrants, asylees, and Iraqi or Afghan Special Immigrants, as evidenced in the documentation from the United States Citizenship and Immigration Services (USCIS), formerly the Immigration and Naturalization Services (INS), and

victims of trafficking with certification documents issued by HHS. Cost principles for nonprofit organizations will be determined by OMB Circular No. A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. Subsequent to review by an independent panel and consideration of past performance, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are established in the notice of funds availability, which is published on grants.gov and the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**Appeals:**

Not Applicable.

**Renewals:**

Contingent of funds availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. Grants are awarded on a basis of \$2.20 in Federal funds for each \$1.10 of private funds up to a maximum of \$2,200 per refugee. Up to 80 percent of the nonfederal share may be through in-kind donations, with a minimum required cash match of 20 percent.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded with a 3-year project period and incremental 1-year budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program progress reports are required every four months; and financial status reports are required semi-annually. An interim final financial status report is due 90 days after the program period has ended; and a final financial status report is due 210 days after the project period. Cash reports are not applicable. Program progress reports are required every four months; and financial status reports are required semi-annually. SF-269 Financial status reports are required semi-annually. The program has an annual monitoring schedule to conduct site visits to approximately 5-10% of all local affiliates. On monitoring visits to local affiliate, the team selects representative caseload for review and evaluates eligibility for the program, self-sufficiency plan, case notes, employment outcomes and also conducts interviews with staff to assess their respective knowledge of the program requirements. The team will also interview select clients and visit local employers of refugee clients to assess local agency-employer-client relations. Also, Matching Grant program guidelines include the requirement that national volags must monitor their affiliates and report back to ORR on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as

part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

The grantee shall maintain individual case records on all eligible refugees counted as receiving match grant services.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 08 \$59,998,400; FY 09 est \$60,000,000; FY 10 est \$60,000,000

**Range and Average of Financial Assistance:**

The range of grant amounts in FY 2008 was from \$1,485,000 to \$18,268,800.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Program Year 2008, the nine voluntary agencies continued to serve refugees eligible for the Matching Grant program. Outcomes for the program included: refugees entered employment at a rate of 57.1 percent ; refugees were self-sufficient (not dependent on any cash assistance) within the first 4 months (120 days) after arrival at a rate of 62.1 percent; and refugees were self-sufficient (not dependent on any cash assistance) within the first 6 months (180 days) after arrival at a rate of 78.3 percent. Fiscal Year 2009: The nine voluntary agencies are expected to continue to serve eligible refugee populations in Program Year 2009. Fiscal Year 2010: The nine voluntary agencies are expected to continue to serve eligible refugee populations in Program Year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All inquiries should be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia, 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20009 Email: [ronald.munia@acf.hhs.gov](mailto:ronald.munia@acf.hhs.gov) Phone: (202) 401-4559 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In Program Year 2008, the nine voluntary agencies continued to serve refugees enrolled in the Matching Grant program in approximately 230 local affiliate grant sites nationwide. Fiscal Year 2009: In Program Year 2009, the nine voluntary agencies continued to serve refugees enrolled in the Matching Grant program in approximately 219 local affiliate grant sites nationwide. Fiscal Year 2010: In Program Year 2010, the nine voluntary agencies are expected to serve refugees enrolled in the Matching Grant program in over 200 local affiliate grant sites nationwide.

**CRITERIA FOR SELECTING PROPOSALS:**

Matching grant awards are made on the basis of the evaluation criteria in the notice of funding availability.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Low Income Home Energy Assistance Act of 1981; The Omnibus Budget Reconciliation Act of 1981; Energy Policy Act of 2005 , Public Law 109-58.

**OBJECTIVES:**

To make Low Income Home Energy Assistance Program (LIHEAP) grants available to States and other jurisdictions to assist eligible households to meet the costs of home energy. Supplemental Leveraging Incentive Funds may be awarded to reward States and other jurisdictions that provide additional benefits and services to LIHEAP-eligible households beyond what could be provided with Federal funds. Up to 25 percent of the leveraging incentive funds may be set aside for LIHEAP grantees that provide services through community-based nonprofit organizations to help LIHEAP-eligible households reduce their energy vulnerability under the Residential Energy Assistance Challenge Program (REACH). Training and Technical Assistance: To provide training and technical assistance to States and other jurisdictions administering the LIHEAP block grant program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Human Services Amendments of 1994 (Public Law 103-252) amended Section 2602(e) of the LIHEAP statute to provide for a permanent authorization of an emergency contingency fund. Under this provision, up to \$600,000,000 may be made available each fiscal year, in addition to other funds that may be appropriated, "to meet the additional home energy assistance needs of one or more States arising from a natural disaster or other emergency." Funds appropriated under this section are considered to be emergency requirements under the terms of Section 251(b) (2) (D) of the Balanced Budget and Emergency Deficit Control Act of 1985 and are to be made available only after the President submits a formal budget request to the Congress for all or a part of the funds appropriated under this section, provided that the request designates the amount requested as such an emergency requirement, unless said requirement is waived in the annual appropriation.

Section 2604(g) of the LIHEAP statute, as amended in 1994 by Public Law 103-252, allows the Secretary of Health and Human Services to allocate any funds made available under Section 2602(e) to one or more grantees, taking into account the extent to which the grantee was affected by the emergency or disaster, the availability of other resources to the grantees under LIHEAP or any other program, and such other factors that are deemed relevant.

Therefore, the previous response should be sufficient.

**Applicant Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally-and State-recognized Indian Tribal governments which request direct funding, and specified Territories may receive direct grants. The prospective grantee must submit an annual application. Grantees desiring leveraging incentive funds and REACH funds must submit special applications each year. Instructions will be issued if emergency contingency funds are released.

Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Beneficiary Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally-and State-recognized Indian Tribal governments that request direct funding, and specified Territories may provide assistance to households with incomes up to the greater of 150 percent of the poverty level or 60 percent of the State median income. Grantees may establish lower income eligibility levels, but they may not set the limit below 110 percent of the poverty level. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the Statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Credentials/Documentation:**

Energy Assistance Block Grants: The chief executive officer of the State, Tribe or Territory or his designee must certify to 16 assurances required by law. Households must meet beneficiary eligibility requirements. Grantees desiring leveraging incentive funds or REACH funds must submit annual applications.

Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Requirements vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Energy Assistance Block Grants: Applications are submitted by the chief executive officer of a State, Indian Tribe (recognized by the Federal government or a State government), tribal organization, or Territory, or his designee. Applications contain assurances prescribed by law and a plan describing how certain assurances will be carried out, and other information specified by law. Separate applications are required to qualify for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Households wishing to apply for benefits should contact the local welfare agency or community action agency for information regarding the agency administering the program in their jurisdiction. Training and Technical Assistance: Requirements that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Award Procedure:**

Energy Assistance Block Grants: Grants are made upon receipt of a complete application by the Office of Community Services Headquarters Office. Leveraging incentive funds and REACH funds will be awarded based on applications submitted by grantees. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Procedures that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov), [www.fedzopps.gov](http://www.fedzopps.gov).

**Deadlines:**

Sep 01, 2009 Energy Assistance Block Grants: States and Territories must submit their applications by September 1, prior to the fiscal year for which funds are sought, unless the Department agrees to a later date. Tribal applications must also be submitted by September 1, prior to the fiscal year for which the funds are sought, unless the State in which a tribe is located agrees to a later date. All applications must be completed by December 15, of the fiscal year for which funds are sought, unless the Department (in the case of States and Territories) or the State (in the case of tribal grantees) agrees to a later date. Leveraging incentive fund reports are due by November 30 of each year. Contact Headquarters Office listed below for further information. [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Range of Approval/Disapproval Time:**

Energy Assistance Block Grants: The Department reviews plans for completeness and will act on the plans submitted as quickly as possible. Leveraging incentive and REACH applications will be reviewed and acted upon as quickly as possible. Training and Technical Assistance: Range of time varies, depending upon the nature and complexity of a request for proposals.

**Appeals:**

Energy Assistance Block Grants: Grantees may request a hearing regarding repayment of funds or withholding of funds under Section 2608 of the authorization. Training and Technical Assistance: Not applicable for unsuccessful applicants for grants or cooperative agreements. For contracts, offerors may object to a contract award by filing a protest with the contracting officer or higher authority. The notification issued by the contracting office to unsuccessful bidders contains the procedures and time frame for filing a protest.

**Renewals:**

Energy Assistance Block Grants: Annual applications are required. Separate annual applications are also required for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Award periods may vary and are at [www.grants.gov](http://www.grants.gov), [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Formula and Matching Requirements:**

Statutory Formula: Section 2604 of the LIHEAP statute addresses this issue.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Energy Assistance Block Grants: Grant awards are made to grantees with complete applications for carrying out the program within the fiscal year. Up to 10 percent of a fiscal year's grant may be held available for obligation in the subsequent fiscal year. For leveraging incentive funds, obligation must occur by the end of the fiscal year following the year in which the funds are appropriated, without regard to the 10 percent carryover limit. See the following for information on how assistance is awarded/released: Section 2607 of the Low Income Home Energy Assistance Program, as amended.

**Reports:**

Energy Assistance Block Grants: Grantees must submit an annual report within 90 days of the end of the fiscal year on the amount of funds obligated during the fiscal year and the last date of obligation of funds. A report is required annually on the number and income levels of households served during the previous year, on those households that are served that have members who are elderly, disabled, or young children, and on the number and income levels of all households that apply for assistance, whether or not they are served. This report must be included as part of the annual plan before funds are released. No cash reports are required. Training and Technical Assistance: Grantees are required to submit quarterly financial reports and a final progress report. For contracts, contractors are required to submit quarterly financial reports from HHS-646, Financial Report of Individual Project (Contract). A report is required from those grantees expending up to 5 percent of funds under section 2605 (b) (16) for services that encourage and enable households to reduce their home energy needs. A report is due by November 30 of each year for those grantees that wish to receive leveraging incentive funds. This applies to leveraging only.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. (As discussed in Appendix I of this Supplement, Federal Programs Excluded from the A-102 Common Rule, LIHEAP is exempt from the provisions of the OMB cost principles circulars. However, according to 45 CFR 96.31(a), LIHEAP grantees and sub grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations. An independent auditor in accordance with generally accepted Government auditing standards covering financial audits shall make the audits. State cost principals requirements apply to LIHEAP.)

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1502-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$1,980,000,000; FY 09 est \$4,509,672,000; FY 10 est \$2,410,000,000 - Contingency Fund: FY08 \$610,678,000; FY09 est. \$590,328,000; FY10 est. not reported.

**Range and Average of Financial Assistance:**

FY09 \$4,651,781 to \$475,409,152; Average is \$86,841,142.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 204 grants were awarded. Fiscal Year 2009: 202 grants have already been awarded. Fiscal Year 2010: Estimate 237 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96; 45 CFR 74; 45 CFR 92.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nick St. Angelo Division of Energy Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Phone: (202) 401-9351 Fax: (202) 401-5661

**Website Address:**

<http://www.acf.hhs.gov/programs/liheap>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria pertinent to each request for training and technical assistance proposals are published in the Federal Register or Commerce Business Daily.

**93.569 COMMUNITY SERVICES BLOCK GRANT**

CSBG Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act) and (1) To provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

(1) States receive block grants to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. (2) States are required to use at least 90 percent of their allocations for grants to "eligible entities" as defined in the Community Services Block Grant (CSBG) Act, as amended; this includes primarily locally-based community action agencies and/or organizations that serve seasonal or migrant farm workers. (2) No more than the greater of \$55,000 or 5 percent of each State's allocation may be used for administrative expenses at the State level.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by

the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community antipoverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 125 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of Health and Human Services (HHS). Each application must contain assurances by the appropriate State designee that the State will comply with Section 676 of the Community Services Block Grant Act and also meet conditions enumerated in Sections 678(B-D). The State is required to hold at least one legislative hearing every three years in conjunction with the development of the State Plan (Section 676(a)(3)). States are also required to conduct public hearings on the proposed use and distribution of funds to be provided under the Act. The latter sets forth the general purpose for which funds will be used, restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. The Chief Executive Officer of each State is also required to designate a lead agency to prepare and submit a plan to the Secretary of HHS describing how the State will carry out the assurances in Section 676. This program is excluded from coverage under 45 CFR, Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the Community Services Block Grant Act. The Office of Management and Budget (OMB) has the authority to apportion to the HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards, normally on a quarterly basis.

**Deadlines:**

Sep 01, 2009 The application deadline for States and Indian Tribes and Tribal Organizations is September 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the Community Services Block Grant Act and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing is conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Entitlement amounts are for a specific fiscal year and the grant funds allotted to the State will be awarded in accordance with apportionment of funds from the Office of Management and Budget. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Each fiscal year.

**Reports:**

All funded grantees and sub-grantees must submit SF- 269 annually, as required by the Code of Federal regulation 45 CFR 96. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracing of funds to a level of expenditure adequate to insure that funds have not been spent unlawfully.

**Account Identification:**

75-1504-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$653,799,000; FY 09 est \$700,000,000; FY 10 est \$700,000,000

**Range and Average of Financial Assistance:**

\$1,019 to \$55,942,793; average \$5,242,585.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 206 grants were awarded. Fiscal Year 2009: It is anticipated that 245 grants will be awarded. Fiscal Year 2010: It is anticipated that 241 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16, 45 CFR 74 and 45 CFR 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of State Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: POC@DHS.GOV Phone: (202) 401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.568 Low-Income Home Energy Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.570 COMMUNITY SERVICES BLOCK GRANT\_DISCRETIONARY AWARDS**

Community Economic Development & Rural Community Facilities Programs

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To support program activities to alleviate the causes of poverty in distressed communities which: (1) assist businesses in creating jobs for low-income individuals, i.e., develop employment and business development opportunities for low-income individuals; (2) a better standard of living for rural low-income individuals in terms of water and waste water treatment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds awarded under the Secretary's Discretionary Authority may be used for activities that: improve the quality of the economic and social environment of low-income residents by providing resources to eligible applicants, by arresting tendencies toward dependency, chronic unemployment and community deterioration in urban and rural areas; and by addressing needs of water and wastewater treatment in Rural Communities. Community Economic Development grants are awarded to cover project costs for (1) startup or expansion of business, physical improvements, or commercial activities. (2) Capital expenditures such as the purchase of equipment or real property; (3) allowable operating expenses; and (4) loans or equity investments. Expenditures must result in the creation of employment or business opportunities for low-income individuals. Generally, the project must be completed within 36 months for non-construction projects and 60 months for construction projects. Projects must document public/private partnership mobilizing cash and/or in-kind contributions; and be located in areas characterized by poverty and other indicators of socioeconomic distress, such as high levels of unemployment, or high levels of violence, gang activity, crime, drug use and/or low-income individuals or designation as an Empowerment Zone or Enterprise Community (EZ/EC). Rural Community Facilities grants are awarded to provide training and technical assistance to small, rural communities concerning their water and waste water treatment needs. RF grants focus on the development and upgrading of small water and wastewater systems in low-income rural areas. Types of services provided included training of persons responsible for community water and wastewater facilities; assisting communities with problem-solving and planning for facilities; producing and disseminating publications, newsletters, videos, and training manuals about rural waste and wastewater systems; and assisting rural communities in leveraging Federal, State, local, and private sector financing for facilities.

**Applicant Eligibility:**

For Community Economic Development projects, eligibility is restricted to private, locally initiated, nonprofit community development corporations (or affiliates of such corporations) governed by a board consisting of residents of the community and business and civic leaders. This includes faith based community development corporations. For Rural Community Development Activity projects, which is referred to as Rural Community Facilities projects, eligibility is restricted to multi-state, regional private, non-profit organizations that can provide training and technical assistance to small, rural communities interested in safe water and waste water treatment needs.

**Beneficiary Eligibility:**

A project must be targeted to address the needs of a specific segment of low-income individuals or families. The official poverty line established by the Director of the Office of Management and Budget, published annually by the Department of Health and Human Services is used as a criterion of eligibility in the Community Economic Development Discretionary Grant program.

**Credentials/Documentation:**

Costs will be determined in accordance with the provisions of Title 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. Announcements concerning the availability of funds, requests for applications, along with application form and assurance documents, are at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non-Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the program announcement.

**Award Procedure:**

The Director, Office of Community Services, Administration for Children and Families (ACF), will make the final decision on all grant awards. Selection of applicants will be determined based on the review criteria outlined in the program announcement.

**Deadlines:**

Sep 01, 2009 All information and application forms required to prepare a grant are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Rural Community Development Activity projects (also referred to as Rural Community Facilities Projects), are awarded for a five year project period with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, Community Economic Development financial assistance awards are made available for periods of 36 to 60 months; Rural Community Facilities financial assistance awards are awarded for 12-month budget periods with a five year project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual progress reports, semi-annual financial reports and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required by OCS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial, business and program reports



necessary for program review and audit to insure that funds have been expended in accordance with the regulations, grant terms and conditions of this program. Audits and supporting records must be kept on file for at least 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$7,860,000; FY 09 est \$10,000,000; FY 10 est not reported. (Project Grants (Discretionary)) FY 08 \$31,466,000; FY 09 est \$36,000,000; FY 10 est \$36,000,000

**Range and Average of Financial Assistance:**

Up to \$800,000 for Community Economic Development and \$1,435,344 for Rural Community Development Activities.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 48 grants were awarded for CED and 9 grants were awarded for RCF. Fiscal Year 2009: 48 grants were awarded for CED and 9 grants will be awarded for RCF. Fiscal Year 2010: It is anticipated that the same number of grants will be awarded for both CED and RF.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are posted on the web.

**Regional or Local Office:**

None. OCS Liaisons, stationed in - ACF.

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Email: rafael.elizalde@acf.hhs.gov Phone: (202) 401-5115

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.593 Job Opportunities for Low-Income Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

**93.575 CHILD CARE AND DEVELOPMENT BLOCK GRANT**

Child Care and Development Block Grant (CCDBG)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Care and Development Block Grant Act of 1990, as amended, 42 U.S.C 9858; Omnibus Appropriations Act of 2009, Public Law 111-8.

**OBJECTIVES:**

The Child Care and Development Block Grant Act (CCDBG or Discretionary Funds) is a part of the Child Care and Development Fund (CCDF) program, along with the Child Care Mandatory and Matching Funds (see CFDA 93.596). Refer to CFDA 93.713 for information on the supplemental Fiscal Year 2009 CCDBG funds appropriated under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5). To make grants to States, Territories, Tribes, and tribal organizations serving federally-recognized tribes (public institutions of higher education and hospitals are not eligible applicants) for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety,

licensing, and registration standards established in State regulations.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

In the Fiscal Year 2009 Omnibus Appropriations Act, Congress directs that funds appropriated for the Child Care and Development Block Grant (CCDBG or Discretionary Funds) must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use Discretionary Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG. Certain amounts of Discretionary Funds must be used for specific purposes: quality expansion; infant and toddler quality improvement; and child care resource and referral, including a national toll-free hotline; and school-age child care activities. A portion of the Discretionary Funds is also designated for the U.S. Department of Health & Human Services to carry-out research, demonstration, and evaluation projects. Not more than five percent of the aggregate amount of CCDF Funds expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Discretionary Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No Discretionary Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Discretionary Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the Discretionary Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program; or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the Grantee will comply with the requirements of the CCDBG Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and

that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each CCDF plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the CCDBG; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.1.

**Award Procedure:**

Grants are awarded after the receipt and approval of the CCDF plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans are specified in regulations (45 CFR Part 99).

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.53.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. Grantees must obligate all Discretionary Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated in the third year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper

authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1515-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$2,062,100,000; FY 09 est \$2,127,000,000; FY 10 est \$2,100,000,000 - Above obligations include contracts and grants. These figures do not include CCDF Mandatory Funds and Matching Funds under CFDA 93.596. Also excluded are CCDF Discretionary Funds provided by the American Recovery and Reinvestment Act (see CFDA 93.713).

**Range and Average of Financial Assistance:**

For States, including DC and Puerto Rico, the range of grants in FY 09 is: \$8,376,985 to \$530,439,755; average grant is \$94,404,688. For 260 Tribal grantees, the range of grants in FY 09 is: \$22,948 to \$11,565,378; average grant is \$388,006. For the four Territories, the range of grants in FY 09 is \$1,885,982 to \$3,978,605; average grant is \$2,658,851. These figures are inclusive of funds received through CFDA 93.575 and 93.596 but exclude funds provided by the American Recovery and Reinvestment Act (see CFDA 93.713).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 317 grants were awarded. Fiscal Year 2009: 317 grants will be awarded. Fiscal Year 2010: It is anticipated that 317 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Child Care Bureau, Office of Family Assistance at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Carol Gage Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services 901 D St. S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [carol.gage@acf.hhs.gov](mailto:carol.gage@acf.hhs.gov) Phone: 202-690-6782 Fax: 202-690-5600

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.713 ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See FY 2009. Fiscal Year 2009: Discretionary Funds are awarded to States via a block grant, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their CCDF

Funds to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality. Targeted funds designated for quality, infant and toddler care, resource and referral, and school-age care, further support State efforts to improve child care access and quality. Fiscal Year 2010: Anticipated results are the same as FY 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.576 REFUGEE AND ENTRANT ASSISTANCE\_DISCRETIONARY GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

FY 2009 Omnibus Appropriations Bill, Public Law 111-08; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; Consolidated Appropriations Act of 2008, Public Law 110-161; Defense Authorization Act of 2008, Public Law 110-181; Refugee Education Assistance Act of 1980, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522; Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522.

**OBJECTIVES:**

To improve resettlement services for refugees, asylees, Cuban and Haitian entrants, Amerasians, certified victims of a severe form of trafficking, and special immigrants from Iraq or Afghanistan. Program objectives include: (1) decreasing the numbers of refugees on public assistance and the length of time refugees require such assistance; (2) promoting refugee family stability and healthy marriages; (3) encouraging the placement of refugees in locations with good job opportunities and lower costs of living; (4) enhancing services to disadvantaged refugee groups; (5) promoting older refugees' access to aging services; (6) assisting low-income refugees with matching funds for individual development accounts and with financial literacy classes; (7) providing micro-credit to refugees interested in starting new businesses but unable to access commercial sources of capital; (8) providing services to refugees in rural areas; and (9) providing preventive health services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the notice of funds availability and in the grant award.

**Applicant Eligibility:**

Public and private nonprofit agencies.

**Beneficiary Eligibility:**

Refugees, asylees, Cuban and Haitian entrants, Amerasians and certified victims of a severe form of trafficking.

**Credentials/Documentation:**

Proof of immigration status in the form of an I-94 card or a final grant of asylum letter from the Department of Justice or U.S. Citizenship and Immigration Services (USCIS), formerly Immigration and Naturalization Services (INS), must be provided to be eligible to receive services. For victims of a severe form of trafficking, clients must present a certification or eligibility letter from ORR. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications are reviewed and evaluated pursuant to criteria specified in the program announcement. Each agency desiring to respond to a program announcement is required to submit an application. Program grant announcements may be accessed at Grants.gov or at the Office of Refugee Resettlement website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr). Application kits, containing the prescribed application forms and supplemental descriptive information, can also be accessed at the ORR website.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. Subsequent to review by an independent panel and consideration of past performance, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds made available under this program are for project periods ranging from 17 months to 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance Reports are required, usually on a quarterly or semi-annual basis. Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required 90 days after the end of the project period. No cash reports are required. Program Performance Reports are required, usually on a quarterly or semi-annual basis. Financial Status Reports are required, usually on a quarterly or semi-annual basis. Final financial reports are also required 90 days after the end of the project period. Performance monitoring activities include on-site and desk monitoring of programs. On site, the ORR team interviews agency staff and clients to ensure that information gleaned from the case-file, agency staff and clients corroborates with one another. In addition to program monitoring, quarterly performance reports, financial Status reports (SF-269) and Annual goal plans are reviewed to ensure that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from Federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subgranting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit for the project period and for three years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this

program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$76,492,000; FY 09 est \$75,110,000; FY 10 est \$75,110,000

**Range and Average of Financial Assistance:**

From a minimum of \$50,000 per grant to the maximum of \$19,000,000 based on the type of funding and services to be provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 304 discretionary grants (new and continuations) were funded. Fiscal Year 2009: Contingent upon funding, it is estimated that 307 discretionary grants (new and continuations) will be funded. Fiscal Year 2010: Contingent upon funding, discretionary grants (new and continuations) will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are published in the ACF and ORR website. All inquiries should be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20009 Email: ronald.munia@acf.hhs.gov Phone: (202) 401-4559 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In FY 2008, ORR provided funds for projects to: (1) provide vocational training, job search, and social services to help refugees obtain employment; (2) provide placement of refugees in preferred communities; (3) meet special needs of unanticipated arrivals; (4) meet the needs of refugees arriving in the US with special conditions such as positive HIV, trauma, physical and mental disabilities, and other health related problems; (5) provide microenterprise development services to refugees; (6) provide matching funds for individual development accounts (IDA) and funds for financial literacy training for low-income refugees; (7) provide support for ethnic community self-help organizations; (8) provide support for elderly programs; (9) provide funds to support refugee healthy marriage programs; and (10) provide services for refugees in rural areas. Fiscal Year 2009: In FY 2009, ORR will fund projects for a variety of purposes similar to those funded in FY 2008. Fiscal Year 2010: In FY 2010, ORR will fund projects for a variety of purposes similar to those funded in FY 2008.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of the criteria for awarding funds is published in the ACF website and the ORR website for each type of program announcement for discretionary programs. See the Information Contact section for more information.

**93.579 U.S. REPATRIATION**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 1113, 24 U.S.C 9.

**OBJECTIVES:**

To provide temporary assistance, care, and treatment to eligible US citizens and their dependents after their return to the United States from travel in a foreign country due to physical or mental illness, destitution, war, threat of war, or a

similar crisis and who are without resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides temporary assistance such as cash assistance, medical care, admission into a nursing home or hospital, settling with family or friends, moving into permanent housing, foster care placement, transportation, overnight lodging, food, provision for escort services, clothing and other goods and services necessary for the health or welfare of individuals (including guidance, counseling, and other welfare services), furnished to U.S. citizens and their dependents who are without available resources in the U.S. upon their arrival from abroad and for such period after their arrival, not exceeding 90 days, as may be provided in regulations of the Secretary of Health and Human Services (HHS). This temporary assistance is given in the form of a loan and must be repaid to the U.S. Government. Repatriates agree to repay costs to Federal government.

**Applicant Eligibility:**

Social service organizations with expertise in mental health, child welfare, the criminal justice system, and emergency assistance.

**Beneficiary Eligibility:**

U.S. citizens and their dependents returning to the U.S. from abroad who are without resources.

**Credentials/Documentation:**

Proof of U.S. Citizenship. If applying due to mental condition, a certificate as to mental status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application procedures of the Administration for Children and Families apply to this program.

**Award Procedure:**

Grants are awarded through the Administration for Children and Families discretionary grants procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for five years with one year budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded with a five-year project period and annual budget periods. See the following for information on how assistance is awarded/released: Grantees draw down funds, as required, for reimbursement of expenditures from the HHS Payment Management System.

**Reports:**

Program reports are required quarterly; a final report is required 90 days after the end of the project period. Cash reports are required by the HHS Payment Management System. Progress reports are required quarterly as part of the program reports. The progress reports include updates on individual cases and the status of payments and collections. Expenditure reports include expenditures and drawdowns. There is ongoing desk monitoring of the grantee

and yearly on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This program is subsumed in Departmental audit procedures.

**Records:**

The grantee must maintain records for three years after the conclusion of the project period.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Salaries) FY 08 \$1,000,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

One award of approximately \$1,000,000 is awarded each year of the project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Russell Office of Refugee Resettlement  
370 L'Enfant Promenade SW  
Eighth Floor  
, Washington, District of Columbia 20447 Email:  
Elizabeth.Russell@acf.hhs.gov Phone: (202) 401-4845 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are included in the grant announcement.

**93.581 IMPROVING THE CAPABILITY OF INDIAN TRIBAL GOVERNMENTS TO REGULATE ENVIRONMENTAL QUALITY**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Indian Environmental Regulatory Enhancement Act, Public Law 101-408;  
Native American Programs Act of 1974, Public Law 93-644, 42 U.S.C 2991b.

**OBJECTIVES:**

To provide financial assistance to advance tribal capacity and capability to plan for, develop, and implement enhancements to the tribal environmental regulatory infrastructure required to support a tribe's environmental goals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, developing and implementing tribal environmental regulatory programs through competitive grants. Types of allowable activities are: to regulate and enforce environmental activities on Indian lands; to develop regulations, ordinances and laws to protect the

environment; to develop the technical and program capacity to carry out a comprehensive tribal environmental program and perform essential environmental program functions; to promote training and education of tribal employees; to develop technical and program capability to meet tribal and Federal regulatory requirements; to develop technical and program capability to monitor compliance and enforcement of tribal environmental regulations, ordinances, and laws; and to ensure the tribal court system enforcement requirements are developed in concert with and support the tribe's comprehensive environmental program.

**Applicant Eligibility:**

The following organizations are eligible to apply: Federally-recognized Indian tribes; consortia of Indian tribes; incorporated nonfederally-recognized Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANCSA) and/or nonprofit village consortia; and tribal governing bodies (IRA or traditional councils) as recognized by the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

American Indians and Alaska Natives.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information regarding the availability for grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Mar 11, 2009 Each program announcement specifies the due dates for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. As indicated above Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). As indicated above - Financial Status reports are required quarterly. By statute one third of

the grant portfolio must receive on-site impact evaluation. - .

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$1,985,326; FY 09 est \$2,414,178; FY 10 est \$2,000,000

**Range and Average of Financial Assistance:**

\$50,000 - \$250,000

Average = \$125,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 17 Environmental grants were awarded. Fiscal Year 2009: In FY 2009, it is anticipated that 18 Environmental grants will be awarded. Fiscal Year 2010: In FY 2010, it is anticipated that 20 Environmental grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher A. Beach 370 L'Enfant Promenade  
Washington DC 20447, Washington , District of Columbia 20447 Email:  
christopher.beach@acf.hhs.gov Phone: 2026905793

**Website Address:**

<http://www.acf.hhs.gov/programs/ana/>.

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Environmental Assessment; Infrastructure Improvement; Develop Regulations, Ordinances, or Laws; Develop a Technical Program; Training; Enforcement; Energy Assessment; Energy Projects for Export; Renewable Energy Resources. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.583 REFUGEE AND ENTRANT ASSISTANCE\_WILSON/FISH PROGRAM**

Wilson/Fish program; Fish/Wilson Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522, as amended by Refugee Assistance Extension Act of 1986, Public Law 99-605, as amended by Refugee Assistance Amendments of 1982 , Public Law 97-363; Refugee Education Assistance Act of 1980, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522, as amended by Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1988, Public

Law 100-202, as amended by Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended by Departments of Labor, Health and Human Services, and Education and Related Agencies Appropriations Act, 1989, Public Law 100-436, as amended by Departments of Labor, HHS and Education Appropriation Act for FY 1991, Public Law 101-517, as amended by An act to repeal a provision of the Refugee Education Assistance Act of 1980, Public Law 96-424, as amended by Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1990, Public Law 101-167, as amended by Dire Emergency Supplemental Appropriations Act, 1990, Public Law 101-302, as amended by Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1989, Public Law 100-461, as amended by Foreign Operations, Export Financing, and Related Programs Appropriations Act, 1999, Public Law 101-513; Consolidated Appropriations Act, 2008, Public Law 110-161, 121 Stat. 2212; Victims of Trafficking and Violence Protection Act of 2000 , Public Law 106-386; Defense Authorization Act, 2008, Public Law 110-181, 122 Stat. 398; FY 2009 Omnibus Appropriations Bill, Section 602, Public Law 111-08.

**OBJECTIVES:**

To develop alternative projects which promote early employment of refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, certified victims of a severe form of trafficking, and special immigrants from Iraq and Afghanistan. States, voluntary resettlement agencies, and other resettlement organizations may develop innovative approaches for the provision of refugee cash and medical assistance, otherwise available through the State-administered program. The purpose of the Wilson-Fish program is to provide integrated services that include cash assistance, medical assistance and other related services described above in order to increase refugees' prospects for early employment and self-sufficiency, reduce their level of welfare dependence, and promote coordination among voluntary resettlement agencies and services providers. In addition, the WF program allows ORR to ensure that refugee assistance programs exist in every State where refugees are resettled. Projects must serve all eligible refugees in a community. There are two categories for applications, Category 1 and Category 2. Category 1 are projects which establish or maintain a refugee program in a State where the State is not participating in the refugee program or is withdrawing from the refugee program or a portion of the program. There are currently seven Wilson/Fish program which fall under category 1 (Alabama, Alaska, Idaho, Kentucky, Louisiana, Nevada and South Dakota). Category 2 are projects which provide an alternative to the existing system of assistance and services to refugees. There are currently five Wilson/Fish program which fall under category 2 (Colorado, Massachusetts, North Dakota, Vermont and San Diego).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant award. Assistance is limited to refugees, asylees, Cuban and Haitian entrants, certain Amerasian immigrants, certified trafficking victims, and special immigrants from Iraq and Afghanistan, as defined in the authorizing Acts. The refugee must document his immigration status in order to be eligible for assistance. The scope of services available to refugees from Wilson/Fish grantees is similar to that of the State-Administered Refugee Resettlement Programs, which in turn is similar to regular domestic public assistance programs.

**Applicant Eligibility:**

States, voluntary resettlement agencies, and other nonprofit refugee resettlement organizations may apply to initiate an alternative program. No separate funding is appropriated for Wilson/Fish demonstration projects. Funds are drawn instead from funds earmarked for refugee cash and medical assistance grants and social services allocations for the State-administered program (93.566) according to ORR projections.

**Beneficiary Eligibility:**

Refugees, certain Amerasian immigrants, Cuban/Haitian entrants, asylees, and victims of a severe of trafficking are eligible for services and assistance through funded projects in a community. Cash assistance is transitional for up to 8 months; services may be provided for a longer period of time.

**Credentials/Documentation:**

Proof of immigration status in the form of an I-94 card or final grant of asylum

letter from the U.S. Citizenship and Immigration Services (USCIS), formerly the Immigration and Naturalization Service (INS). For victims of a severe form of trafficking, clients must have a certification or eligibility letter issued by HHS/ORR. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis, as specified in the program announcements. Each agency desiring to respond to a program announcement is required to submit an application. Applications are reviewed and evaluated pursuant to criteria specified in the program announcement.

**Award Procedure:**

Eligible applicants submit an application to HHS. Subsequent to review by an independent panel, the Director of ORR makes the funding decision on all grant awards.

**Deadlines:**

Apr 30, 2010 Closing dates for new projects is April 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, funds made available for this program will be for 1-year budget period, however the project period is up to 5 years. Funds are awarded all at once at the beginning of each budget period (lump sum). If refugee arrivals and refugee cash and medical assistance recipients exceed those that were estimated at the time of application, a grantee can submit a request for supplemental funding to meet the unanticipated need for refugee cash and medical assistance. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required. Cash reports are not applicable. Progress reports are required, usually on a quarterly basis. Financial reports are required, usually on a quarterly basis. During the monitoring visits, a representative collection of case files are reviewed to ensure clients are receiving appropriate services. Specifically, the ORR WF team reviews client, legal, financial, categorical and time eligibility, the Family self-sufficiency plan, receipt of cash assistance, case management and employment service and outcomes. Also the ORR WF team interviews agency staff and clients to ensure that information gleaned from the case-file, agency staff and clients corroborates with one another. In addition to program monitoring quarterly performance reports, financial Status reports (SF-269) and Annual goal plans are reviewed to ensure WF agencies that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Periodic audits are made a part of the system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit for the project period and for three years following the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of the program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 08 \$23,000,000; FY 09 est \$30,000,000; FY 10 est \$32,000,000

**Range and Average of Financial Assistance:**

In FY 2008, grants ranged from \$474,498 to \$5,247,784. The average grant amount in FY 2008 was \$1,933,367.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 12 grants were awarded. Projects provide cash assistance and employment and other social services to newly arrived refugees. In FY 2008, 19,009 individuals were served under the WF program, which includes 10,235 Refugee Cash Assistance recipients, 1,665 Refugee Medical Assistance Recipients, and 9,395 recipients of refugee employment services. Fiscal Year 2009: It is anticipated that 12 grants will be awarded. FY 2009 Awards (to be expended in the FY 2010 budget period) will be awarded by September 15, 2009. Funding decisions are made in the 4th quarter of FY 2009. Fiscal Year 2010: It is anticipated that 13 grants will be awarded in FY 2010. Funding decisions will be made in the 4th quarter of FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Wilson/Fish Program announcement can be found on the ORR website. All inquiries should be directed to the Information Contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carl Rubenstein 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: carl.rubenstein@acf.hhs.gov Phone: (202) 205-5933 Fax: (202) 205-5888

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Some Wilson/Fish projects include: 1) A large state-administered project where the voluntary agencies determine eligibility and are responsible for case management of eligible refugees; and 2) a private voluntary agency that administers cash and medical assistance and social services for refugees not otherwise eligible for TANF and/or Medicaid in a State in which the State elected not to participate in the refugee resettlement program. Fiscal Year 2009: Some Wilson/Fish projects will include: 1) A large state-administered project where the voluntary agencies determine eligibility and are responsible for case management of eligible refugees; and 2) a private voluntary agency that administers cash and medical assistance and social services for refugees not otherwise eligible for TANF and/or Medicaid in a State in which the State elected not to participate in the refugee resettlement program. Fiscal Year 2010: Some Wilson/Fish projects will include: 1) A large state-administered project where the voluntary agencies determine eligibility and are responsible for case management of eligible refugees; and 2) a private voluntary agency that administers cash and medical assistance and social services for refugees not otherwise eligible for TANF and/or Medicaid in a

State in which the State elected not to participate in the refugee resettlement program.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria for selecting projects is available in the Wilson/Fish Standing Announcement, which can be found at Grants.gov and on the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**93.584 REFUGEE AND ENTRANT ASSISTANCE\_TARGETED ASSISTANCE GRANTS**

Targeted Assistance Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. , 8 U.S.C 1522, as amended by Refugee Assistance Extension Act of 1986, Public Law 99-605, as amended by Refugee Assistance Amendments of 1982, Public Law 97-363; Refugee Education Assistance Act of 1980, Public Law 96-422, as amended by Dire Emergency Supplemental Appropriations Act of 1990, Public Law 101-302, as amended by Departments of Labor, HHS, And Education Appropriations Act of 1991, Public Law 101-517, as amended by Foreign Operations, Export Financing, and Related Programs Appropriations Act of 1990, Public Law 101-167, as amended by Departments of Labor, HHS, And Education Appropriations Act of 1990, Public Law 101-166, as amended by Making Appropriations for Department of Labor, HHS, and Education, and Related Agencies, for Fiscal Year ending September 30, 1992 and Other Purposes, 102 Stat. 170, as amended by An act to repeal a provision of the Refugee Education Assistance Act of 1980, Public Law 96-424, as amended by Departments of Labor, HHS, And Education and Related Agencies Appropriations Act of 1989, Public Law 100-436, as amended by Omnibus Reconciliation Act of 1981, Public Law 97-35; Victims of Trafficking Violence and Protection Act of 2000, Public Law 106-386, as amended by William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Public Law 110-457; FY 2009 Omnibus Appropriations Bill, Section 602, Public Law 111-08; Defense Authorization Act of 2008, Public Law 110-181; Consolidated Appropriations Act of 2008, Public Law 110-161.

**OBJECTIVES:**

To provide funding for employment-related and other social services for refugees, asylees, certain Amerasians, victims of a severe form of trafficking, entrants, and Iraqi and Afghan special immigrants in areas of high refugee concentration and high welfare utilization.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is limited to employment-related and other social services for refugees, asylees, certain Amerasians, victims of a severe form of trafficking, Afghan and Iraqi special immigrant, and entrants, as defined in the authorizing Acts, supplemented by appropriate documentation provided to the refugee from the Bureau of Citizenship and Immigration Services (BCIS), formerly INS.

**Applicant Eligibility:**

The State agency designated as responsible for the Refugee Resettlement Program is eligible to receive funding for assistance to counties and similar areas in States where, because of factors such as unusually large refugee or entrant populations, high refugee or entrant concentrations in relation to the overall population, and high use of public assistance by refugees, there exists a need for supplementation of available resources for services to refugees.

**Beneficiary Eligibility:**

Persons admitted to the U.S. within the last 5 years as refugees under Section 207 of the Immigration and Nationality Act; granted asylum under Section 208 of the Act; Cuban and Haitian entrants, as defined in Section 501 of the Refugee Education Assistance Act; and certain Amerasians from Vietnam and their accompanying family members, as defined by Section 584(c) of the Foreign Relations, Export Financing, and Related Programs Appropriation Act of 1988. Victims of a severe form of trafficking who have received a certified or letter of eligibility from ORR.

**Credentials/Documentation:**

Persons for whom assistance is authorized are limited to refugees, asylees, certain Amerasian immigrants, and Afghan and Iraqi special immigrants with documentation from the USCIS as to their status and to Cuban and Haitian entrants with documentation from the USCIS as to status allowed under Title V of the Refugee Education Assistance Act of 1980, victims of a severe form of trafficking who have been certified by ORR. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States with qualifying counties must submit an application for funding in accordance with application requirements described in the annual notice of availability of formula allocation funding for targeted assistance grants. A State must submit a single application on behalf of all qualified counties in that State. Funding is contingent upon the submission and approval of a State application. Subsequent to the approval of the application by ORR, county governments develop local targeted assistance plans and submit them to the State.

**Award Procedure:**

Grants are made to designated State agencies on behalf of qualified counties (as determined every three years depending on number of arrivals). State agencies, in turn, receive, review, and determine the acceptability of individual county targeted assistance plans. Not less than 95 percent of targeted assistance funds must be allocated by the State to qualified counties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 1 month.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are for an annual budget period and a 3-year project period. FY 09 was the second year of the 3-year grant cycle (FY 08 - FY 10). In FY 09, ORR reviewed and verified refugee data on arrivals, entrants and asylees submitted by States and for counties that qualified for formula targeted assistance program (TAP) funds in FY 08. Counties qualified in FY 08 continue to qualify for TAP through FY 10. The new 3-year grant cycle will begin in FY 11 and ORR will begin the re-qualification process.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter IV, Part 400.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are appropriated on a yearly basis. Payments to States are made through the Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

Trimesterly program performance (and related statistics) reports are provided by the State agency to ORR. Cash reports are not applicable. Trimesterly program performance (and related statistics) reports are provided by the State agency to ORR. Quarterly expenditure and program performance (and related statistics) reports are provided by the State agency to ORR. ORR has a contract for program monitoring and contract staff assist ORR staff in monitoring programs and validating data. ORR primarily targets on-site monitoring to states with large populations that receive significant funding. The ORR team reviews with state staff the eligibility and documentation requirements and verifies the maintenance of accurate and up to date client files. ORR staff also monitor State financial, aggregate, and case level reports.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133."

**Records:**

Separate financial records must be maintained by State agency for 3 years after final payment or of the time period for the particular records in Parts 1-20 of Federal Procurement Regulations, whichever expires earlier.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$43,731,000; FY 09 est \$43,731,000; FY 10 est \$43,731,000

**Range and Average of Financial Assistance:**

Awards ranged from \$133,072 to \$16,234,265.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 30 grants were awarded. For FY 08, ORR reviewed and weighted both the 5-year arrival population (FYs 2003 through 2007) for each county and the concentration of refugees within that county to determine its allocation for targeted assistance. FY 08 was the first year of the qualification cycle. FY 2011 is the first year of a new qualification cycle. FY 2009 will be the second year of the qualification cycle. Fiscal Year 2009: FY 2009 will be the second year of the qualification cycle. It is anticipated that 30 grants will be awarded in FY 09 and FY 10. Fiscal Year 2010: FY 2009 will be the third year of the qualification cycle. It is anticipated that 30 grants will be awarded in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Subpart L-400.310 to 400.319. Various materials are available on request from the Office of Refugee Resettlement, Administration for Children and Families, Department of Health and Human Services, Aerospace Building, 8th Floor West, Washington, DC 20447.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pamela Green-Smith 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: [pamela.greensmith@acf.hhs.gov](mailto:pamela.greensmith@acf.hhs.gov) Phone: (202) 401-4531 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Job development and placement; (2) on-the-job training; (3) business and employer incentives; (4) job-related and vocational English; and (5) short-term job training. Fiscal Year 2009: (1) Job development and placement; (2) on-the-job training; (3) business and employer incentives; (4) job-related and vocational English; and (5) short-term job training. Fiscal Year 2010: (1) Job development and placement; (2) on-the-job training; (3) business and employer incentives; (4) job-related and vocational English; and (5) short-term job training.

**CRITERIA FOR SELECTING PROPOSALS:**

A State with at least one qualifying county submits an application on behalf of the qualified counties in that State. Subsequent to the approval of the State's application by ORR, county governments develop local targeted assistance plans for its submission to the State.

**93.586 STATE COURT IMPROVEMENT PROGRAM****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1993, Public Law 103-66; Deficit Reduction Act of 2005, Public Law 109-171; The Safe and Timely Interstate Placement of Foster Children Act of 2006, Public Law 109-239; The Child and Family Services Improvement Act of 2006, Public Law 109-288.

**OBJECTIVES:**

To assist State courts in performing their role in the continuum of care provided for families and children at risk. It provides State courts with the flexibility to design assessments which identify barriers to timely and effective decision-making, highlight practices which are not fully successful, examine areas they find to be in need of correction or added attention, and then implement reforms which address the State courts specific needs. New objectives added in 2005 focus on court-agency collaboration and, direct courts to 1) improve case tracking and analysis and 2) increase training of court personnel, including cross-training with agency staff. In 2006 an objective was added to require assessment and improvement of State courts handling of the interstate placement of children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants under the State Court Improvement Program may be used for assessment and improvement activities, broadly defined, of the child welfare functions of a court system; for improved case tracking and analysis of child welfare cases; and for training of legal and judicial personnel in child welfare cases, including cross-training with child welfare agency staff and contractors.

**Applicant Eligibility:**

The highest State courts in each of the 50 States, the District of Columbia and Puerto Rico are eligible to apply for funding. The term "highest State court" means the judicial tribunal which is the ultimate court of appeals in the State.

**Beneficiary Eligibility:**

The State courts are eligible.

**Credentials/Documentation:**

All State courts which submit applications as per instructions released by the Children's Bureau, Administration on Children, Youth, and Families (ACYF) are eligible to receive Court Improvement Program grant funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program instructions can be obtained from the Children's Bureau, ACYF and the appropriate HHS Regional Offices.

**Award Procedure:**

Awards to approved applicants will be made from the Administration for Children and Families, Office of Administration, Office of Grants Management.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Federal approval time will be between 30 and 120 days.

**Appeals:**

Appeals are processed in accordance with HHS Departmental regulations at 45 CFR Part 16.

**Renewals:**

Applications for fiscal year 2008, fiscal year 2009 and fiscal year 2010 funds will be requested and accepted based on guidance to State courts by the Children's Bureau.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Each State court with an approved application is allotted \$85,000 for fiscal year 2007-2011. In addition to this base amount, the remainder of the amount appropriated for all State courts (i.e. \$12,089,272 for fiscal year 2008) will be divided among those courts with approved applications according to each State's proportionate share of children under the age of 21. If any State courts do not apply for their share of these funds, the unclaimed amount will be reallocated each year to all other State courts with approved applications. Nonfederal share (or match) is required at the rate of 25 percent of the total budget. The same formula and match requirements apply to funds appropriated for case tracking/analysis and training for fiscal years 2006 through 2010 (\$20,000,000). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The U.S. Treasury will provide funds for this program. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No progress reports are required. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years. Records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$32,089,272; FY 09 est \$32,089,263; FY 10 est \$32,089,263

**Range and Average of Financial Assistance:**

Grants ranged from \$97,874 to \$1,082,580 with the average award being \$248,852.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 50 basic CIP grants awarded in fiscal year 2008. Fiscal Year 2009: It is estimated that 51 grants will be awarded in fiscal year 2009. Fiscal Year 2010: It is estimated that 51 grants will be awarded in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-PI-94-12 issued June 27, 1994, ACYF-CB-PI-99-02 issued February 23, 1999, Letter of April 24, 2002 from ACYF Commissioner Joan Ohl to the Highest State Courts of Appeal, ACYF-CB-PI-03-04 issued March 28, 2003, and ACYF-CB-PI-06-05 issued June 15, 2006, and ACYF-CB-PI-07-09 issued June 4, 2007. The Court Improvement Program is not regulated. Literature about court assessments and improvements can be found by contacting the National Child Welfare Resource Center for Legal and Judicial Issues at

800-285-2221.

**Regional or Local Office:**

See Regional Agency Offices. Please contact the ACF branch of the appropriate Regional Office. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Emily Cooke 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: emily.cooke@acf.hhs.gov Phone: 2022058709

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.643 Children's Justice Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.587 PROMOTE THE SURVIVAL AND CONTINUING VITALITY OF NATIVE AMERICAN LANGUAGES****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Native American Languages Act of 1992, Public Law 102-524; Native American Programs Act of 1974, Public Law 93-644, 42 U.S.C 2991b.

**OBJECTIVES:**

To provide financial assistance to eligible applicants for the purpose of promoting the survival and continued vitality of native languages. This program area is divided into four categories: Native Language Preservation and Maintenance - Assessment. Language Assessment Grants are 12-month projects to be used to conduct an assessment of the current status of the native language; Native Language Preservation and Maintenance Planning. Language - Planning Grants are up to 24 month projects to be used to plan a language project; Native Language Preservation and Maintenance - Implementation. Language-Implementation Grants are 12 to 36-month projects and allow for the implementation of language projects that support the community's long-term language preservation goals; and Native Language Preservation and Maintenance - Immersion. Language - Immersion Grants will only be awarded to applicants that meet the Statutory requirements for immersion projects with language nests or language survival schools in accordance with P.L. 109-394. Language - immersion grants are for up to 36-month projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for language preservation and enhancement.

**Applicant Eligibility:**

The following organizations are eligible to apply; Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or nonprofit village consortia; Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers; Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the commonwealth of the Northern Mariana Islands (The populations served may be located on these islands or in the United States.); and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the commonwealth of the Northern Mariana Islands which serves Native American Pacific

Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information regarding the availability of grant funds will be posted in Grants.gov and the ACF Funding Opportunities websites as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Hard copy applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, Aerospace Building 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Mar 11, 2009 Each program announcement specifies the due date for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/Disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. See waiver information in accordance with 45 CFR, Part 1336.50. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period. Planning Grants, can be from 12-24 months; Implementation Grants from 12-36 months; Immersion Grants from 12-36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. As indicated above Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). As indicated above - Financial Status reports are required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$7,865,912; FY 09 est \$9,727,981; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Language Assessment - \$50,000 - 100,000; Average = \$75,000 per budget period  
Language Planning - \$50,000 - \$150,000; Average = \$75,000 per budget period  
Language Implementation - \$50,000 - \$200,000; Average = \$75,000 per budget period  
Language Immersion - \$50,000 - \$250,000; Average = \$150,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 59 Language grants were awarded. Fiscal Year 2009: In FY 2009, it is anticipated that 68 Language grants will be awarded. Fiscal Year 2010: In FY 2010, it is anticipated that 60 Language grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher A. Beach 370 L'Enfant Promenade  
Washington DC 20447, Washington, District of Columbia 20447 Email: christopher.beach@acf.hhs.gov Phone: 2026905793

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Language Assessment: Data Collection, Formal Language Assessment, Informal Language Assessment  
Language Planning: Plan and design Master/Apprentice programs; Plan and design comprehensive Native language immersion programs for a language nest or survival school; Plan, design and test curriculum for students, parents and language instructors; Plan and design teaching materials; Record, transcribe and archive oral testimony; Plan and design language resource materials using recorded oral testimony; Plan and design multi-media language learning tools; Plan and design teacher certification programs; Train teachers, interpreters or translators of Native languages  
Language Implementation: Produce/disseminate culturally relevant printed stories for children using the Native language of the community; Facilitate/encourage intergenerational teaching of Native American language skills; Disseminate culturally relevant materials to teach and enhance the use of Native American languages; Implement an immersion, mentor or distance learning model; Produce, distribute or participate in various media forms to broadcast Native languages; Implement an educational site-based immersion project  
Language Immersion: Language Nest; Language Survival School. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.590 COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act, 42 U.S.C 5116 et.seq.; as amended, Public Law 111-8.

**OBJECTIVES:**

To assist States to support community-based efforts to develop, operate, expand, and enhance, and where appropriate to network, initiatives aimed at the prevention of child abuse and neglect.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to develop, operate, expand, and enhance community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. One percent is set aside for discretionary grants to migrant and tribal populations and an additional amount to fund a national resource center to provide training and technical assistance to State lead agencies. To receive funds, States must meet eligibility requirements stated in the authorizing legislation.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements. Beneficiaries, which include children and their families, and organizations dealing with community-based, prevention focused programs and activities designed to prevent child abuse and neglect.

**Credentials/Documentation:**

Applications require certification and/or documentation that the State meets the eligibility requirements described in the Act requiring that: (1) the CEO of the State has designated a lead entity to administer funds under this title for the purposes identified under the authority of this Title; (2) the CEO of the State has provided assurances that the lead entity will provide or be responsible for providing community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from public and private sector members, parents, and public and private nonprofit service providers, individuals and organizations experienced working in partnership with families with children with disabilities; and (3) the CEO of the State has provided additional assurances that the lead entity has demonstrated certain capacities that ensure the States ability to meet the purposes of this authority. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is not required. Advice and technical assistance are available from the Children's Bureau, OCAN to State applicants. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Territories respond to Annual Program Instruction which announces availability of funds. Application must include assurance and information required in Program Instruction, as well as completed forms from Program Instruction.

**Award Procedure:**

Applications are reviewed against all eligibility requirements at the Headquarters level. Approval/disapproval is decided by the Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines will be provided in the annual Program Instruction. Contact Headquarters Office listed below for future deadlines.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: States that meet all of the eligibility requirements will be awarded funds based on the following statutory formula: (a) 70 percent of the total amount appropriated is allotted among the States based on the number of children under the age of 18 in each such State, except that each State shall receive not less than \$175,000; and (b) the remaining 30 percent of the total amount appropriated is allotted in an amount that bears the same proportion to such amount appropriated as the amount leveraged by the State from private, State, or other nonfederal sources and directed through the State lead agency in the preceding fiscal year bears to the aggregate of the amount leveraged by all States from private, State, or other nonfederal sources and directed through the lead agency of such States in the preceding fiscal year. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded by the Secretary to the State on an annual basis, as described by the formula information Section. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial and program progress reporting requirements are described in Program Instructions.

A State receiving a grant under this title, through reports provided to the Secretary

1. shall demonstrate the effective development, operation and expansion of a community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect that meets the requirements of this title;
2. shall supply an inventory and description of the services provided to families by local programs that meet identified community needs, including core and optional services as described in section 202;
3. shall demonstrate that they will have addressed unmet needs identified by the inventory and description of current services required under section 205(3);
4. shall describe the number of families served, including families with children with disabilities, and parents with disabilities, and the involvement of a diverse representation of families in the design, operation, and evaluation of community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect, and in the design, operation and evaluation of the networks of such community-based and prevention-focused programs;
5. shall demonstrate a high level of satisfaction among families who have used the services of the community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect;
6. shall demonstrate the establishment or maintenance of innovative funding mechanisms, at the State or community level, that blend Federal, State, local and private funds, and innovative, interdisciplinary service delivery mechanisms, for the development, operation, expansion and enhancement of the community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect;
7. shall describe the results of a peer review process conducted under the State program; and
8. shall demonstrate an implementation plan to ensure the continued leadership of parents in the on-going planning, implementation, and evaluation of such community-based and prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect.

PSC-272. Program progress reporting requirements are described in Program Instructions. Financial reporting requirements are described in Program Instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records are to be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$41,688,748; FY 09 est \$41,689,000; FY 10 est \$41,689,000

**Range and Average of Financial Assistance:**

In FY 2008, the range of financial assistance was from a low of \$200,000 to a high of \$3,640,155, with an average of \$711,027.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 60 grants were awarded. The territories of Guam, American Samoa, Virgin Island, and Commonwealth of Northern Mariana Islands received \$200,000 each under their consolidated grant program. Fiscal Year 2009: It is anticipated that 60 grants will be awarded. Fiscal Year 2010: It is anticipated that 60 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Melissa Lim Brodowski Office on Child Abuse and Neglect, 1250 Maryland Avenue, SW, 8th Floor, Washington, District of Columbia 20024 Email: melissa.brodowski@acf.hhs.gov Phone: 202-205-2629

**Website Address:**

<http://www.friendsnrc.org>

**RELATED PROGRAMS:**

93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: CBCAP funded projects include grants To Tribes, Tribal organizations and migrant programs, and support to the National Resource Center (NRC), FRIENDS, to provide technical assistance to states and Tribes on child abuse prevention. Additional examples of projects funded in 2008 may be found on the FRIENDS website at: [www.friendsnrc.org](http://www.friendsnrc.org), in CBCAP State reports. Fiscal Year 2009: Among other projects, CBCAP continues to provide funds to Tribes, Tribal organizations and migrant programs, and to the FRIENDS NRC. CBCAP grants support parenting programs, home visitation, family resource centers, respite care, parent mutual support, family support, and public awareness. Funds also are used to provide training and technical assistance and to evaluate programs. Fiscal Year 2010: Among other projects, CBCAP will continue to provide funds to Tribes, Tribal organizations and migrant programs, and to the FRIENDS NRC. CBCAP grants support parenting programs, home visitation, family resource centers, respite care, parent mutual support, family support, and public awareness. Funds also are used to provide training and technical assistance and to evaluate programs. .

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements will receive funds under this program.

**93.591 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_GRANTS TO STATE DOMESTIC VIOLENCE COALITIONS**

Family Violence Prevention and Services Act Grants to State Domestic Violence Coalitions

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Family Violence Prevention and Services Act as extended by the Department of Health and Human Services Appropriations Act 2009, Public Law 111-8, 42 U.S.C 10401-10421.

**OBJECTIVES:**

To further the purposes of domestic violence intervention and prevention through coordination, training, and collaboration with systems that affect victims of domestic violence; to provide services, community education and technical assistance to such programs to establish and maintain shelter and related services for victims of domestic violence and their dependents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State domestic violence coalitions may use funds under the Act to support a range of activities, including working with local domestic violence programs and providers of direct services to encourage appropriate responses to domestic violence within the State; working with judicial and law enforcement agencies to encourage appropriate responses to domestic violence cases and examine legal issues; working with family law judges, criminal court judges, Child Protective Services agencies, and children's advocates to develop appropriate responses to child custody and visitation issues in domestic violence cases as well as cases where domestic violence and child abuse are both present; conducting public education campaigns regarding domestic violence through the use of public service announcements and informative materials that are designed for print media, billboards, public transit advertising, electronic broadcast media, and other vehicles for information including information aimed at underserved racial, ethnic or language-minority populations; and participating in planning and monitoring the distribution of grants and grant funds within the State under Section 303(a) of the Act. (See CFDA 93.671, Family Violence Prevention and Services: Grants to State and Indian Tribes.).

**Applicant Eligibility:**

To be eligible for a grant under this Section, an entity shall be a statewide nonprofit State Domestic Violence Coalition, or a membership organization consisting of the battered women's shelters in the state, or territory.

**Beneficiary Eligibility:**

This program will benefit victims of domestic violence, their children and other dependents, their families, and other persons affected by such violence including friends, relatives, and the general public.

**Credentials/Documentation:**

Applications must be submitted for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet under the Form section at the following website: <http://www.acf.hhs.gov/grants>. Contact Headquarters Office listed below for further information.

**Award Procedure:**

Funds are awarded directly to State Domestic Violence Coalitions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

See 45 CFR 16, Procedures of the Department Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The annual grant award must be expended by each State Domestic Violence Coalition by the end of the fiscal year following the fiscal year for which funds are awarded. Payments are made through the Electronic Transfer System.

Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Recipients submit an annual Performance Progress Report by December 29 of each year. Recipients submit annual financial status reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92 and OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

State coalitions are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR Part 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$12,255,200; FY 09 est \$12,777,600; FY 10 est \$12,777,600

**Range and Average of Financial Assistance:**

Each State Domestic Violence Coalition received \$241,086 in Fiscal Year 2009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Allison Randall Family Violence Division  
Family and Youth Services Bureau  
1250 Maryland Ave., SW, Washington, District of Columbia 20024 Email:

allison.randall@acf.hhs.gov Phone: 202-205-7889 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.592 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_DISCRETIONARY GRANTS**

Family Violence Prevention and Services Act Discretionary Grants

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Family Violence Prevention and Services Act as extended by the Department of Health and Human Services Appropriations Act 2009, Public Law 111-8, 42 U.S.C 10401-10421.

**OBJECTIVES:**

To fund a wide range of discretionary activities for the purpose of preventing family violence; protecting victims and their dependents; improving the design, delivery, and coordination of services to address family violence; gathering information on the incidence of family violence; and increasing knowledge and understanding of the issue through research, demonstration, and evaluation projects. Specific sections in the Act authorize funding for such discretionary projects as the National Resource Centers; a national domestic violence hotline; public education and information activities; and research into the most effective programs for the prevention, identification, and treatment of family violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary grants may be made to public and private entities and may take the form of a competitive grant, a cooperative agreement, or a contract, depending on the statutory requirements. Applicants must meet the program and administrative requirements specified in the appropriate Federal Register or Commerce Business Daily announcement.

**Applicant Eligibility:**

Depending on the purpose of the project and the statutory requirements, an applicant may be a public agency, a private agency (nonprofit), a federally-recognized Indian tribe, an Alaska Native Village, or a nonprofit Alaska Native Regional Corporation.

**Beneficiary Eligibility:**

These discretionary grants will benefit victims of family violence, their dependents, families, other interested persons, and the general public.

**Credentials/Documentation:**

Applicants must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Parts 74 for private nonprofit agencies and organizations; and in accordance with 45 CFR Part 92 for State, local, and Indian Tribal governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. All applications must contain standard forms 424 and 424A and all required certifications. Specific instructions are published via the Internet under the Forms section at the following website:

<http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

The Commissioner, Administration on Children, Youth and Families, will make the final decision on all awards. Selection of applicants will be determined based on the review criteria published on the following website:

[http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Funds are awarded directly to grantees.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals (continuations), if authorized under the terms of the award, are awarded based on satisfactory performance and availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may vary from a 12-month project period to a 5-year project period depending on statutory and programmatic requirements. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92 and OMB Circular No. A-133.

**Records:**

Recipients are required to keep financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$12,645,598; FY 09 est \$13,483,682; FY 10 est \$13,483,682

**Range and Average of Financial Assistance:**

\$25,000 to \$3,290,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley Family and Youth Services Bureau  
1250 Maryland Ave., SW, Washington, District of Columbia 20024 Email: [marylouise.kelley@acf.hhs.gov](mailto:marylouise.kelley@acf.hhs.gov) Phone: 202-401-5756 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.593 JOB OPPORTUNITIES FOR LOW-INCOME INDIVIDUALS**  
(JOLI Program)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Section 112, Public Law 104-193; Family Support Act of 1988, Section 505, Public Law 100-485, 42 U.S.C 1926.

**OBJECTIVES:**

The purpose of the JOLI program is to create new jobs to be filled by low-income individuals. JOLI grantees create jobs through business plans and the provision of technical and/or financial assistance to private employers in the community. Accordingly, JOLI grantees assist in creating new employment and business opportunities for individuals receiving Temporary Assistance for Needy Families (TANF) and for other low-income individuals. Funded projects focus on one of three program strategies to create new job and employment opportunities: (1) new business ventures, (2) business expansion, and (3) self-employment/micro-enterprise.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funded projects must: (1) create new employment and/or business opportunities for TANF recipients and other low-income individuals; (2) enter into a cooperative agreement with the local TANF agency involving client referrals to the applicant project and supportive services for clients, and applicants are encouraged to establish a formal partnership with the local Child Support Enforcement (CSE) agency involving referrals of non-custodial parents to the applicant; (3) develop a comprehensive project design that describes: the work program and strategy; the participant training design; supportive services and counseling; technical assistance and financial assistance plan; access to business capital; and, follow-up participant support services; and, (4) include an independent, methodologically sound evaluation of the effectiveness of the activities in creating new jobs and/or business opportunities. Funds awarded under this program cannot be used for 1) new construction, 2) the purchase of real property, 3) fundraising, 4) reimbursement of pre-award costs, 5) any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant, or 6) a previously funded grantee to carry out the same project in the same geographic area. A minimum of 20 percent of the funds must be used for the provision of loans or other financial assistance to program participants. Grantee's applicable costs and administrative procedures will be determined in accordance with 45 CFR Part 74.

**Applicant Eligibility:**

Only nonprofit organizations (including community development corporations, faith based, charitable, and tribal organizations) that are tax-exempt under section 501(a) of the Internal Revenue Code of 1986, by reason of paragraph (3) or (4) of section 501(c) of such Code are eligible to apply.

**Beneficiary Eligibility:**

Only recipients of Temporary Assistance for Needy Families (TANF) benefits and any other individual, whose income level does not exceed 100 percent of the official poverty guidelines, as published by the U.S. Department of Health and Human Services, can be served under this program. Emphasis is placed on serving individuals who are TANF recipients, homeless, unemployed, non-custodial parents, reside in public housing or receive housing assistance.

**Credentials/Documentation:**

Applicants must include with the application written evidence of the local

TANF agency's willingness to enter a cooperative agreement. Applicants are strongly encouraged to include with the application written evidence of a partnership with the local CSE agency. All non-profit organizations (including community development corporations, faith based, charitable, and tribal organizations) must include with the application written proof of tax-exempt status under 501(c) (3) or (4) of Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All information and forms required to prepare a grant are published in the Federal Register and [www.grants.gov](http://www.grants.gov) website.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award. Official notice of an accepted application proposal is made through award of a grant.

**Deadlines:**

Sep 01, 2009 All information and application forms required to prepare a application are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90-120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$475,000. See the following for information on how assistance is awarded/released: Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$475,000.

**Reports:**

Semi annual progress and expenditure reports are required. Cash reports are not applicable. See above. Expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$5,288,000; FY 09 est \$5,288,000; FY 10 est

\$5,288,000

**Range and Average of Financial Assistance:**

Twelve grants were awarded in Fiscal Year 2009. Ten to twelve grant awards are anticipated for Fiscal Year 2010.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 11 grants were awarded. Fiscal Year 2009: 12 grants were awarded. Fiscal Year 2010: It is anticipated that the same number of grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The JOLI Program Announcement information is available at: [www.grants.gov](http://www.grants.gov); and the Poverty Guidelines is available at: <http://aspe.os.dhhs.gov/poverty/index.shtml>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, U.S. Department of Health and Human Services, 370 L'Enfant Promenade, SW, Washington, District of Columbia 20447 Email: [rafael.elizalde@acf.hhs.gov](mailto:rafael.elizalde@acf.hhs.gov) Phone: (202) 401-5115

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

93.570 Community Services Block Grant\_Discretionary Awards; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.645 Child Welfare Services\_State Grants; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

**93.594 TRIBAL WORK GRANTS**

(Native Employment Works; NEW)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 412.

**OBJECTIVES:**

To allow eligible Indian Tribes and Alaska Native organizations to operate a program to make work activities available.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Tribes have broad flexibility to use the grant for the purpose of making work activities available.

**Applicant Eligibility:**

An Indian Tribe or Alaska Native organization that conducted a Tribal JOBS (Job Opportunities and Basic Skills Training) Program in fiscal year 1995.

**Beneficiary Eligibility:**

Service areas and populations as designated by the eligible Indian Tribe or Alaska Native organization.

**Credentials/Documentation:**

The grantee's chief executive officer must sign the application for assistance (the grantee's Native Employment Works plan), documenting the Tribe's official support for, and approval of, the application/plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each eligible Indian Tribe or Alaska Native organization must submit a NEW plan to the Secretary for approval.

**Award Procedure:**

The Administration for Children and Families (ACF) will issue grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are issued annually. Effective for NEW funds awarded on or after July 1, 1999, grantees may carry forward (carry over) unobligated NEW fund balances for use in subsequent fiscal years, without fiscal year limitation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The annual program report includes a narrative report in which grantees summarize their activities, achievements, and barriers during the report period, and a statistical report in which grantees reports on clients they served during the report period. Cash reports are not applicable. (Please see the description above of the program report. These are annual program progress reports.). Grantees must submit SF 269A (Financial Status Report - Short Form) annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

Indian Tribes and Alaska Native organizations must maintain records containing information the Secretary may require.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$7,558,000; FY 09 est \$7,633,000; FY 10 est \$7,633,000

**Range and Average of Financial Assistance:**

From \$5,187 to \$1,752,666; \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 78 grants were awarded, representing all of the Indian Tribes and Alaska Native organizations currently eligible for the Native Employment Works program. Fiscal Year 2009: We expect to award 78 grants during the fourth quarter of fiscal year 2009. Fiscal Year 2010: We

expect to award 78 grants during the fourth quarter of fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for the Native Employment Works (NEW) program were published on February 18, 2000, and became effective June 19, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Mary Ann Higgins, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-1020.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Darel McGhee, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2936.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY):

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 1961 Stout Street, 9th Floor, Denver, CO 80294. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Dan Baker, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8450.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Ann L. Bowker Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: [ann.bowker@acf.hhs.gov](mailto:ann.bowker@acf.hhs.gov) Phone: (202) 401-5308 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/dts/>

**RELATED PROGRAMS:**

17.265 Native American Employment and Training; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 78 Native Employment Works grantees operate work activity programs using FY 2008 funds. These include educational, training and job readiness, and employment activities to help participants prepare for and obtain employment. Grantees also provide related supportive and job retention services. Fiscal Year 2009: We expect that 78 NEW grantees will continue to operate work activity programs using FY 2009 funds. Fiscal Year 2010: We expect that 78 NEW grantees will continue to operate work activity programs using FY 2010 funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.595 WELFARE REFORM RESEARCH, EVALUATIONS AND NATIONAL STUDIES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, 42 U.S.C 613 and 710.

**OBJECTIVES:**

To support research on the benefits, effects, and costs of operating different State welfare programs, including studies on the effects of different programs and the operation of such programs on welfare dependency, employment rates, child well-being, family formation and healthy marriage, illegitimacy, teen pregnancy, and others; to assist States in developing and evaluating innovative approaches for reducing welfare dependency and increasing the well-being of minor children living at home.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instruction, or proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS web site at <http://www.os.dhhs.gov/fbci/waisgate21.pdf>. Through grants, contracts, or interagency agreements, may fund research on the benefits, effects, and costs of operating different State programs funded under the Temporary Assistance for Needy Families Program and evaluations of innovative approaches to reducing welfare dependency and increasing child well-being. All funding is discretionary.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith- and community-based organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to non-profit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.grants.gov](http://www.grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are often required to share in the cost of projects. Cost sharing may range up to 25 percent of the total approved project cost for grants or cooperative agreements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment

Management will establish an account from which a grantee may draw down awards. For additional information on this process see:  
[http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees will be required to submit program progress reports throughout the project period. Program progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Beginning with FY 2009 awards, ACF grantees will begin using a standard format for performance progress reports, implemented through ACF's Office of Grants Management (OGM) and entitled the "ACF-OGM-SF-PPR. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees will be required to submit program financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees will use the Financial Status Report (FSR) SF-269 (long form) for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$20,990,518; FY 09 est \$21,000,000; FY 10 est \$21,000,000 - Two funding streams combine for these amounts: Welfare Research and the Child Welfare Study. With regard to Welfare Research, FY 08 \$14,995,518 FY 09 \$15,000,000, and FY 10 est \$15,000,000. With regard to the Child Welfare Study, FY 08 \$5,995,000, FY 09 \$6,000,000, and FY 10 est \$6,000,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, funding was provided to 23 research and evaluation projects through contracts or grants related to welfare reform, employment strategies, child welfare and family strengthening. Fiscal Year 2009: We anticipate funding a similar number of projects related to welfare reform, employment strategies and family strengthening in fiscal year 2009. Fiscal Year 2010: We anticipate funding a similar number of projects related to welfare reform, employment strategies and family strengthening in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.grants.gov](http://www.grants.gov) and <http://www.hhs.gov/grantsnet/roadmap/index.html>. Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.).

**Headquarters Office:**

Karl J. Koerper Office of Planning, Research and Evaluation

Administration for Children and Families  
370 L'Enfant Promenade, SW  
7th Floor, West, Washington, District of Columbia 20447 Email:  
[Karl.Koerper@acf.hhs.gov](mailto:Karl.Koerper@acf.hhs.gov) Phone: 2024014535

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>.

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.647 Social Services Research and Demonstration; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, we funded projects to test promising strategies to promote employment and self-sufficiency and reduce welfare utilization, to examine the overlap of individuals with disabilities in the Temporary Assistance for Needy Families and Supplemental Security Income programs and pilot-test innovations for engaging individuals with disabilities in employment-related activities, research on strengthening families and study of children who are at risk of abuse or neglect or are in the child welfare system. More information describing research and evaluation projects we have funded can be found at <http://www.acf.hhs.gov/programs/opre/>. Fiscal Year 2009: We anticipate funding a similar types of projects related to welfare reform, employment strategies and family strengthening in fiscal year 2009. Fiscal Year 2010: We anticipate funding a similar types of projects welfare reform, employment strategies and family strengthening in fiscal year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.596 CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND**

The Child Care Mandatory and Matching Funds of the Child Care and Development Fund (CCDF)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Section 418, 42 U.S.C 618; Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193); Child Care and Development Block Grant Act of 1990, as amended (Public Law 101-508, 42 USC 9858, et seq); Balanced Budget Act of 1997 (Public Law 105-33); and the Deficit Reduction Act of 2005 (Public Law 105-171).

**OBJECTIVES:**

The Child Care Mandatory and Matching Funds are a part of the Child Care and Development Fund (CCDF) program, along with the Child Care and Development Block Grant Act (CCDBG) or Discretionary Funds (see CFDA 93.575). To make grants to States, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

**TYPES OF ASSISTANCE:****FORMULA GRANTS****USES AND USE RESTRICTIONS:**

Title IV of the Social Security Act appropriates funds (Mandatory and Matching Funds) for the purpose of providing child care assistance. Lead Agencies must use Mandatory and Matching Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Lead Agencies must ensure that not less than 70 percent of the total amount of Mandatory and Matching Funds are used to provide child care assistance to families who are receiving assistance under the Temporary Assistance for Needy Families program, families who are attempting through work activities to transition off of temporary assistance programs, and families who are at risk of becoming dependent on temporary assistance programs. Not more than five percent of the aggregate amount of CCDF Funds expended by the State (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Mandatory or Matching Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading of facilities to meet State and local child care standards.) No Mandatory or Matching Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Mandatory or Matching Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program, or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the grantee will comply with the requirements of the CCDBG Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Mandatory and Matching Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the

provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the amended CCDBG; an outline of the proposed use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

Grants are awarded after the receipt and approval of an application and plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans are specified in regulations at 45 CFR Part 99.

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.53.

Matching Requirements: Allocations of the Mandatory Funds are based on a State's Federal share of the expenditures for the now-repealed AFDC-linked child care programs (AFDC/JOBS Child Care, Transitional Child Care, and At-Risk Child Care) in 1994 or 1995, or the average of 1992 through 1994, whichever is greater. A State is not required to expend any State funds in order to receive its share of the Mandatory Funds. The remaining funds are Matching Funds and are distributed based on the number of children under age 13 in a State compared with the national total of children under age 13. To access Matching Funds, a State must obligate all of its Mandatory Funds allotted in a fiscal year and maintain 100 percent of the State's share of expenditures for the former programs in fiscal year 1994 or fiscal year 1995, whichever is greater. Matching Funds must be matched at the applicable FMAP rate, which is the Medicaid Program matching rate. Not less than one percent, but not more than two percent of the total Mandatory and Matching Funds are reserved for Tribes and tribal organizations based on the number of children living on or near tribal reservations or other appropriate area served by the tribal grantee. Tribes and tribal organizations are not required to provide matching funds. The District of Columbia is treated as a State for purposes of receiving its share of Mandatory and Matching Funds. Territories are not eligible to receive Mandatory or Matching Funds.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. If Matching Funds are requested, Mandatory Funds must be obligated by the end of the first fiscal year. There is no time limit on liquidation of Mandatory Funds and no time limit on obligation of Mandatory Funds if no Matching Funds are requested. Matching Funds must be obligated by the end of the first fiscal year

and liquidated by the second fiscal year. State funds expended toward the Maintenance of Effort requirement must be both obligated and expended by the end of the first fiscal year. Mandatory and Matching Funds awarded to Tribes and tribal organizations must be obligated by the end of the second fiscal year and liquidated by the end of the third fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to the Administration on Children and Families on an annual basis aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1550-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$2,917,000,000; FY 09 est \$2,917,000,000; FY 10 est \$2,917,000,000 - These figures do not include CCDF Discretionary Funds under CFDA 93.575. Also excluded are CCDF Discretionary Funds provided by the American Recovery and Reinvestment Act under CFDA 93.713.

**Range and Average of Financial Assistance:**

For States, including DC and Puerto Rico, the range of grants in FY 2009 is: \$8,376,985 to \$530,439,755; average grant is \$94,404,688. For 260 Tribal grantees, the range of grants in FY 09 is: \$22,948 to \$11,565,378; average grant is \$388,006. For the four Territories, the range of grants in FY 09 is \$1,885,982 to \$3,978,605; average grant is \$2,658,851. These figures are inclusive of funds received through CFDA 93.575 and 93.596 but exclude funds provided by the American Recovery and Reinvestment Act (see CFDA 93.713).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 317 grants were awarded. Fiscal Year 2009: 317 grants were awarded. Fiscal Year 2010: It is anticipated that 317 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Child Care Bureau, Office of Family Assistance at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Carol Gage Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services  
901 D St. S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [carol.gage@acf.hhs.gov](mailto:carol.gage@acf.hhs.gov) Phone: 2026906782 Fax: 2026905600

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant; 93.713 ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: See FY 2009. Fiscal Year 2009: Mandatory and Matching Funds are awarded to States via a block grant, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their CCDF Funds to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality. Fiscal Year 2010: Anticipated results are the same as FY 2009.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.597 GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAMS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part D, Section 469B, Public Law 104-193.

**OBJECTIVES:**

To enable States to create programs which support and facilitate access and visitation by non-custodial parents with their children. Activities may include mediation, counseling, education, development of parenting plans, visitation enforcement and development of guidelines for visitation and alternative custody arrangements.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A State to which a grant is made under this section may not use the grant to supplant expenditures by the State for allowable activities, but shall use the grant to supplement such expenditures at a level at least equal to the level of such expenditures for fiscal year 1995.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands and Guam.

**Beneficiary Eligibility:**

Custodial and non-custodial parents and children.

**Credentials/Documentation:**

The Governors have designated a single State agency to represent the State in carrying out this responsibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted biannually using the standard application form, as furnished by the Department of Health and Human Services and required by OMB Circular No. A-102. Application kits which contain the prescribed application forms and supplemental descriptive

information on the access and visitation grant program are available from: The Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, SW., Washington DC 20447.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Governed by 45 CFR Part 16 - "Procedures of the Department Grant Appeals Board".

**Renewals:**

Extensions and continuations of grants are not available.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The award amount is based on the number of children in a State living with one biological parent as determined by the Census Bureau. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for a two-year project period. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly reports are required. Periodic progress reports are required. OCSE-269A reports are expenditure reports that are required. Monitoring is done when the progress reports are reviewed for accuracy and completeness. Data reports are required by Section 303.109. OCSE-269 reports are required. Periodic progress reports are required. OCSE-269 reports are expenditure reports that are required. Monitoring is done when the progress reports are reviewed for accuracy and completeness. Data reports are required by Section 303.109.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$10,000,000; FY 09 est \$10,000,000; FY 10 est \$12,000,000

**Range and Average of Financial Assistance:**

The amount of funding provided to each grantee is based on an allocation formula with a designated minimum amount, provided in statute.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 54 grants were awarded. Fiscal Year 2009: In FY 2009, 54 grants were awarded. Fiscal Year 2010: It is estimated that 62 grants will be awarded in FY 2010 pending enactment of the FY 2010

President's Budget legislative proposal to make Tribes meeting certain criteria eligible to receive these grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration Policies and application kits may be obtained from: Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, S.W., Washington DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for ACF Regional Offices.

**Headquarters Office:**

Tracie Pogue , 901 D. Street, SW, Washington, District of Columbia 20447  
Email: Tracie.Pogue@acf.hhs.gov Phone: (202) 690-5495.

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.563 Child Support Enforcement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.598 SERVICES TO VICTIMS OF A SEVERE FORM OF TRAFFICKING**

Anti-Trafficking in Persons Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Trafficking Victims Protection Act of 2000, as amended, Public Law 106-386, as amended by Trafficking Victims Protection Reauthorization Act of 2003, Public Law 108-193, 22 U.S.C 7105, as amended by Trafficking Victims Protection Reauthorization Act of 2005, Public Law 109-164, as amended by William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Public Law 110-457.

**OBJECTIVES:**

To provide outreach to, identification of, and service referral to individuals who may be victims of a severe form of trafficking. To enhance anti-trafficking efforts in the U.S. by building regional capacity, developing regional coalitions, conducting public awareness, and providing training and technical assistance on human trafficking issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Office of Refugee Resettlement (ORR) provides funding for outreach to, and identification of, human trafficking victims, in particular among vulnerable populations. Funds are also provided to conduct public awareness and to build and maintain the Rescue and Restore Regional Programs that serve as the focal points for regional public awareness campaign activities and intensification of local outreach to identify victims of human trafficking. Rescue and Restore Regional Program grantees must sub-award 60 percent of grant funds. Funds may be used only for the purposes set forth in the grant award.

**Applicant Eligibility:**

State and local governments and private nonprofit organizations. Under the "Victims of Trafficking and Violence Protection Act of 2000 (VTPA), and the Trafficking Victims Protection Act of 2003 (TVPA)" trafficking victims are eligible for benefits and services to the same extent as refugees. The law, enacted in October 2000, and amended in December 2003 specifically requires HHS, in consultation with the Attorney General, to "certify" adult trafficking victims as a precondition for their eligibility. Children under eighteen must be determined to be victims of a severe form of trafficking but do not require such certification in order to be eligible for benefits. Certain family members of victims of a severe form of trafficking are eligible for federally funded or

administered benefits and services to the same extent as refugees. Specifically, holders of a T-2, T-3, T-4 or T-5 visa (collectively referred to as "Derivative T Visas") are eligible for benefits and services.

**Beneficiary Eligibility:**

Beneficiaries are adult victims of a severe form of trafficking who have been certified by HHS/ORR. Children under 18 years of age subjected to a severe form of trafficking who have received letters of eligibility from HHS/ORR are considered eligible for services. Certain family members of victims of a severe form of trafficking are eligible for federally funded or administered benefits and services to the same extent as refugees. Holders of the "Derivative T Visas" (T-2, T-3, T-4, or T-5 visa) are eligible for services.

**Credentials/Documentation:**

Cost principals for nonprofit organizations will be determined by OMB Circular No. A-122. Cost principals for State and local governments are found under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each application submitted under this program announcement will undergo a pre-review to determine if (1) the application was received by the closing date and submitted in accordance with the instructions in this announcement and (2) the applicant is eligible for funding.

**Award Procedure:**

Applications that pass the initial Administration for Children and Families (ACF) screening will be evaluated and rated by an independent review panel on the basis of specific evaluation criteria. The evaluation criteria were designed to assess the quality of a proposed project and to determine the likelihood of its success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. It is anticipated that the approval/disapproval time will not exceed 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are generally made available for two to three-year project periods with funding on an annual basis. Funds are available to reimburse costs, up to the amount of the award, incurred during the year for which the funds are awarded. See the following for information on how assistance is awarded/released: Funds are awarded each year during the project periods.

**Reports:**

Program reports are required, usually on a quarterly or semi-annual basis. Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required. Cash reports are not applicable. No progress reports are required. SF-269 Financial Status Reports are due on a semi-annual basis. Final financial reports are also required. On-site and desk monitoring is done annually and on an ongoing basis.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." Nonprofit organization receiving less than \$25,000 a year in Federal awards are exempt from federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subgranting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project period and for three years thereafter to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$3,381,323; FY 09 est \$4,229,000; FY 10 est \$4,117,000

**Range and Average of Financial Assistance:**

In FY 2008, 24 grants were awarded or continued, ranging from \$25,000 to \$500,000. The average grant amount was \$140,888. It is estimated that 16 grants will be awarded or continued in FY 2009 and 21 in FY 2010. The range of awards in FY 2009 and 2010 is estimated to be \$100,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The total number of trafficking victims was reported at 317. Fiscal Year 2009: It is estimated that the number of trafficking victims will be approximately 333. Fiscal Year 2010: It is estimated that the number of trafficking victims will be approximately 350.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Maggie Wynne, 370 L'Enfant Promenade, S.W., 8th Floor West, Washington, District of Columbia 20447 Email: Maggie.Wynne@acf.hhs.gov Phone: (202) 401-4664. Fax: (202) 401-5487

**Website Address:**

<http://www.acf.dhhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.676 Unaccompanied Alien Children Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 24 grants were awarded and continued in FY 2008, for outreach to, and identification of, victims of a severe form of human trafficking, and to conduct public awareness and build and maintain coalitions for public awareness activities and local outreach. Fiscal Year 2009: Future funding for projects is contingent upon the availability of authorized funding. It is estimated that 18 grants will be awarded or continued in FY 2009 for outreach to, and identification of, victims of a severe form of human trafficking, and to conduct public awareness and build and maintain coalitions for public awareness activities and local outreach.. Fiscal Year 2010: Future funding for projects is contingent upon the availability of authorized funding. It is estimated that 18 grants will be awarded or continued in FY 2010 for outreach to, and identification of, victims of a severe form of human trafficking, and to conduct

public awareness and build and maintain coalitions for public awareness activities and local outreach..

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of criteria for awarding funds can be found at the ORR website. Please refer to the Information Contact section for more information.

**93.599 CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)**

Chafee Education and Training Vouchers (ETV)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 477; as amended.

**OBJECTIVES:**

To provide resources to States and eligible Indian Tribes to make available vouchers for post-secondary training and education, to youths who have aged out of foster care or who have been adopted or left for kinship guardianship from the public foster care system after age 16.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to provide vouchers for post-secondary education and training to youth otherwise eligible for services under the State's Chafee Foster Care Independence Program. Vouchers may also be provided to youth who leave foster care for adoption or kinship guardianship after age 16 and to youth up to the age of 23, as long as they are participating in the program at age 21 and are making satisfactory progress toward completing their course of study or training. Vouchers provided to individuals may be available for the cost of attending an institution of higher education (as defined in section 472 of the Higher Education Act) and shall not exceed the lesser of \$5,000 per grant year or the total cost of attendance as defined in section 472 of the Higher Education Act.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico, and eligible Indian Tribes.

**Beneficiary Eligibility:**

Youth otherwise eligible for services under a State's Chafee Foster Care Independence Program. (This includes youth who have left foster care because they attained 18 years of age, and have not yet attained 21 years of age; youth likely to remain in foster care until 18 years of age, commensurate with the State criteria used to determine eligibility for the program; and former foster care recipients, age 21 and younger.) Vouchers may also be provided to youth who are adopted from foster care or exit foster care to kinship guardianship after attaining age 16 and to youth up to the age of 23, as long as they are participating in the voucher program at age 21 and are making satisfactory progress toward completing their course of study or training.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications must include the information and assurances required from the States. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year State plan must be submitted with annual updates. The plan must coordinate the provision of services under the State's Chafee Foster Care Independence Program with services under other Federal or federally-assisted programs serving the same population. Plans are submitted to the appropriate Regional Child Welfare Program Manager in the appropriate ACF Regional Office.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

Jun 30, 2009 June 30 of each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 20.%. Each State is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by States into the Adoption and Foster Care Analysis and Reporting System (AFCARS) national database will be used to calculate State allotments. The Federal government will pay 80% of the total amount of funds expended by the States (less any penalties) up to the amount of funds allotted to the State for the Educational and Training Vouchers program. The State must provide matching contributions to cover the additional 20% of the costs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual updates to the State's plan. PSC-272. Progress reports are not applicable. Submitted to Administration for Children and Families, Office of Administration. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States are required to maintain supporting documentation of activities and adequate fiscal records.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$45,324,389; FY 09 est \$45,351,000; FY 10 est \$45,351,000

**Range and Average of Financial Assistance:**

FY 08: \$93,908 to \$6,909,043 with an average of \$859,046.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 52 grants awarded. Fiscal Year 2009: Estimate 52 grants will be awarded. Fiscal Year 2010: Estimate 52 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrator for Children and Families.

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW, Washington, District of Columbia 20024 Phone: 202-690-7888



**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.600 HEAD START**

Head Start

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act  
, Public Law 110-134, 42 U.S.C 9801.

**OBJECTIVES:**

To promote school readiness by enhancing the social and cognitive development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services; and to involve parents in their children's learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible; i.e. from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may, however, if they can demonstrate they are serving all of the income eligible families in their service area, propose to serve up to 45 percent (49 percent for American Indian/Alaska Native programs) of their children from families not meeting the income eligibility requirements. Training and technical assistance grants are available to Head Start programs.

**Applicant Eligibility:**

Any government, federally-recognized Indian tribe, or public or private nonprofit or for profit agency which meets the requirements may apply for a grant. However, application will be considered only when submitted in response to a specific announcement, published via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Head Start Programs. Grantee agencies may subcontract with other child-serving agencies to provide services to Head Start children.

**Beneficiary Eligibility:**

Head Start/Early Head Start programs are for children from birth up to the age when the child enters the school system; however, Head Start programs only serve pre-school age children. (i.e. children three or four years old) while Early Head Start programs serve children from birth through age three. No less than 10 percent of each Head Start program's enrollment shall be for children with disabilities.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Office of Head Start will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency.

**Award Procedure:**

All funds are awarded directly to the grantees. Funds for local Head Start/Early Head Start programs, including a portion of training and technical assistance funds, are awarded by the Office of Head Start's Regional Offices. Funds for the following are awarded by the Central Office of Head Start: American Indian/Alaskan Native programs; Migrant programs; research, demonstration and evaluation efforts and some training and technical assistance efforts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. This, depending on the nature of the proposal, can vary considerably from 90 days to as much as several months.

**Appeals:**

Grantees who are denied refunding may appeal adverse decisions to the HHS Departmental Appeals Board. There is no appeal for new grants denials.

**Renewals:**

From 90 to 120 days. OHS Headquarters or Regional Offices will inform grantees of the application procedures for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for a 12-month budget period. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual information on the types of children served and the services provided. No cash reports are required. No progress reports are required. Semi-annual spending reports. At least once every three years every agency is monitored. New grantees are monitored after their first year in operation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$6,877,975,000; FY 09 est \$7,112,786,000; FY 10 est \$7,234,783,000

**Range and Average of Financial Assistance:**

136,000-200,351,000; 4,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Comprehensive early childhood services were provided to 906,992 children and families. Fiscal Year 2009: Comprehensive early childhood services will be provided to 909,492 children and families. Fiscal Year 2010: Comprehensive early childhood services will be provided to 909,492 children and families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 - 1311. These are available on request at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Carolyn B. Goode, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Collen Rathgeb 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: 202-205-7378

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb> .

**RELATED PROGRAMS:**

93.708 ARRA - HEAD START; 93.709 ARRA EARLY HEAD START

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.601 CHILD SUPPORT ENFORCEMENT DEMONSTRATIONS AND SPECIAL PROJECTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 452(j), Public Law 104-193, 42 U.S.C 652j.

**OBJECTIVES:**

To design and carry out special projects of regional and national significance relating to the improvement of the Child Support Enforcement Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative special improvement projects and demonstrations that improve the effectiveness of the child support enforcement program on the regional and national levels. These activities must be consistent with the goals of the national child support mission to ensure all children receive financial and medical support from both parents and strengthen the ability of the nation's child support programs to collect support on behalf of children and families.

**Applicant Eligibility:**

Funds authorized under section 452(j)(42 USC 652(j))of the Social Security Act are available to all types of domestic applicants other than individuals.

**Beneficiary Eligibility:**

State/local agencies, Tribal governments, nonprofit organizations and other organizations involved in child support enforcement will benefit.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally-recognized tribal governments. For other grantees, costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations, and any amendments to the aforementioned. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application

forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used for this program. Application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Child Support Enforcement Program, 4th floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Applications may be submitted to this address or via [grants.gov](http://grants.gov). See the actual program announcement for details. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. The application must clearly indicate whether the application submitted is in response to a program announcement (e.g. CFDA 93.601) and must reference the announcement number for which the application is to compete. Applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, reworking time may be allowed to prepare addenda which clarify various aspects of projects. If an applicant is not awarded a grant, the applicant can request a written response that will address: (1) Weak and deficient areas of the proposal; (2) impact of weaknesses or deficiencies in not being selected; and (3) factors that were the basis of the selection of the successful grantee.

**Renewals:**

Generally, project and budget periods vary according to priority area (up to three years). Projects of a longer duration will be considered if unique circumstances warrant. If projects are approved for a period longer than 12 months, funding will be provided in discrete 12-month increments, or "budget periods." Funding beyond the first 12-month budget period is not guaranteed. Future funding will depend on the grantee's satisfactory performance and the availability of future appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, project and budget periods vary according to the priority area (up to three years). For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds.  
Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual program reports are required. Semi-annual 269A reports are required. Quarterly narrative reports are required. Semi-annual reports of expenditures are required from the 396A. Periodic monitoring are done when progress reports are reviewed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 74 or 92. Records must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$1,246,000; FY 09 est \$1,270,000; FY 10 est \$1,025,000

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000; \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Sixteen grants were awarded in FY 2008. Fiscal Year 2009: OCSE estimates that 22 grants will be awarded in FY 2009. Fiscal Year 2010: OCSE estimates that 8 grants will be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Grants Administration Policies," and application kits may be obtained from the ACF, Office of Child Support Enforcement, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Susan Greenblatt, 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: [sus.greenblatt@acf.hhs.gov](mailto:sus.greenblatt@acf.hhs.gov) Phone: (202) 401-4849.

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.564 Child Support Enforcement Research; 93.597 Grants to States for Access and Visitation Programs; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (project management and staffing plan); (3) evaluation and how success will be measured; (4) reasonableness of project costs; and (5) cooperation of CSE agency.

**93.602 ASSETS FOR INDEPENDENCE DEMONSTRATION PROGRAM**

AFI Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Assets for Independence Act.

**OBJECTIVES:**

The purpose of the Assets for Independence program is to demonstrate and evaluate the effectiveness of asset-building projects that assist low-income people in becoming economically self-sufficient by teaching them about economic and consumer issues and enabling them to establish matched savings accounts called individual development accounts (IDAs). The program is demonstrating and evaluating the effects of AFI projects and IDAs in terms of increasing the economic self-sufficiency of low-income families; promoting savings for home ownership, post-secondary education, and small business or

micro-enterprise development; and stabilizing families and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants for five-year project and budget periods. Grantees must allocate at least 85% of the grant funds for matching participants' IDA savings and 2% of the grant funds for data collection and evaluation. Grantees may use the remaining 13% to support other project activities. Grantees are required to provide or secure non-federal cash contributions equal to or greater than the grant amount.

**Applicant Eligibility:**

This program supports innovative projects administered by national, State-wide, regional and community-based organizations. Eligible applicants are: (1) Private nonprofit organizations that are tax exempt under Section 501(c)(3) of the Internal Revenue Code; (2) State or local governments or agencies or Tribal governments submitting applications jointly with tax exempt organizations; (3) credit unions designated as low-income credit unions by the National Credit Union Administration; or an organization designated as a Community Development Financial Institution by the Secretary of the Treasury.

**Beneficiary Eligibility:**

Eligible project participants are individuals that are members of households eligible for assistance under Temporary Assistance for Needy Families (TANF) or of households whose annual adjusted gross income does not exceed 200 percent of the poverty income guidelines. The net worth of the household at the end of the calendar year preceding the determination of eligibility must not exceed \$10,000 excluding the primary dwelling unit and one motor vehicle owned by a member of the household. Grantees may restrict eligibility to people with lower incomes and net worth.

**Credentials/Documentation:**

Low Income Credit Unions must submit official documentation that the National Credit Union Administration has designated the organization as such. Community Development Financial Institutions must submit documentation that the Department of the Treasury has designated the organization as such. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive applications must be submitted on Standard Forms 424, 424A, and 424B, and include a project narrative as described in the program announcement issued by the Office of Community Services and published on the www.grants.gov website. Required forms are attached to the published announcement. No State plan is required.

**Award Procedure:**

The Director, Office of Community Services makes funding decisions based on recommendations of a panel of experts who review funding proposals. The panel review is based on criteria set forth in the program announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applications will normally be approved/disapproved and grant awards made within 90 days of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. The matching requirement is for a non-federal cash contribution.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These grants have 5-year budget and project periods. Grantees may access grant funds throughout the period to the extent that they provide proof that they have the required non federal cash support on hand. See the following for information on how assistance is awarded/released: Grantees may access federal grant funds to the extent that they provide proof of the required non-federal cash contribution.

**Reports:**

Program reports are not applicable. Standard Financial Report. Narrative Program Progress Report. Expenditure reports are not applicable. Performance and Outcome Indicator Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Program records, financial records, and all other records pertinent to the award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$24,023,000; FY 09 est \$24,025,000; FY 10 est \$24,025,000

**Range and Average of Financial Assistance:**

The Office of Community Services (OCS) awards grants for this program ranging up to \$1,000,000. The average grant is approximately \$350,000. OCS expects to fund approximately 62 grants per year. Eligible entities may apply for new grants up to the statutory limit of \$1,000,000 each year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 78 grants were awarded in FY 2008. Fiscal Year 2009: A total of 51 grants were awarded in FY 2009. Fiscal Year 2010: It is estimated that 62 grants will be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following regulations: Title 45 of the Code of Federal Regulations, Part 16 - DHHS Grant Appeals Process, Part 74 - Administration of Grants (grants with sub grants to entities), Part 75 - Informal Grant Appeal Procedures, Part 76 - Debarment and Suspension from Eligibility For Financial Assistance, Sub part F - Drug Free Workplace Requirements, Part 80 - Non-discrimination Under Programs Receiving Federal Assistance through Department of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964, Part 81 - Practice and Procedures for Hearings Under Part 80 of this Title, Part 83 - Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act, Part 84 - Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance, Part 85 - Enforcement of Non- discrimination on the Basis of Handicap in Programs or Activities Conducted by Department of Health and Human Services, Part 86 - Non- discrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance, Part 91 - Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance, Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (Federal Register, March 11, 1988), Part 93 - New Restrictions on Lobbying, Part 1000 - Individual Development Accounts.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Gatz, 370 L'Enfant Promenade, SW, Suite 500 West, Washington, District of Columbia 20447 Email: afiprogram@acf.hhs.gov Phone: (202) 401-4626 Fax: (202) 401-5648.

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/afi>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: List of funded projects is available on request to Information Contact and on the website listed above. Fiscal Year 2009: List of funded projects is available on request to Information Contact and on the website listed above. Fiscal Year 2010: List of funded projects is available on request to Information Contact and on the website listed above.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Organization experience and administrative capability; (2) Sufficiency of the project, design and plan: The degree to which the project described in the application appears likely to aid project participants in achieving economic self-sufficiency through activities requiring one or more of the qualified expenses (home purchase, post secondary education or training, or business capitalization); (3) Adequacy of plan for providing information for evaluation; (4) Commitment of non-federal funds and additional resources; (5) Results or benefits expected; and (6) Significant and beneficial impacts.

**93.603 ADOPTION INCENTIVE PAYMENTS**

Adoption Incentive Payments

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 473A; as amended.

**OBJECTIVES:**

To provide incentives to States to increase annually the number of foster child adoptions, special needs adoptions, and older child adoptions.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

A State shall not expend an amount paid to the State under this grant except to provide to children of families any activity or service (including post-adoption services) that may be provided under Part B or E of Title IV of the Social Security Act. Amounts expended by a State in accordance with the preceding sentence shall be disregarded in determining State expenditures for purposes of Federal matching payments under Sections 423, 434, and 474 of the Social Security Act.

**Applicant Eligibility:**

Applications are not required. The States, including Puerto Rico and the District of Columbia, may receive payments. The Children's Bureau shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoption in a State on the basis of AFCARS data as reported by each State and accepted by the Children's Bureau no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year").

**Beneficiary Eligibility:**

Beneficiaries are those children and families eligible under Title IV-B and Title IV-E of the Social Security Act, as amended.

**Credentials/Documentation:**

The Children's bureau shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoptions, as well as the highest ever foster child adoption rate in a State on the basis of data reported by each State to the Adoption and Foster Care Analysis and Reporting System (AFCARS) data and accepted by the Children's Bureau no later than May 15 of

the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year"). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are automatic applicants.

**Award Procedure:**

Incentive payments will be issued annually, in the fiscal year subsequent to the earning year. Payment will be based on AFCARS data submitted no later than May 15 of the fiscal year following the earning year. AFCARS data must be accepted and approved by the Children's Bureau.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

AFCARS reports must be received no later than May 15 of subsequent fiscal years in order to be considered for incentive payments.

**Appeals:**

Not Applicable.

**Renewals:**

Each "earning year" (fiscal years 2008 - 2012), State adoption data received through AFCARS will be considered on its own merit.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The adoption incentive payment payable to a State for a fiscal year shall be equal to the sum of (a) \$4,000, multiplied by the number of foster child adoptions in the State during the fiscal year which exceeds the base number of foster child adoptions for the State for the fiscal year; (b) \$8,000 multiplied by the number of foster child adoptions of children age 9 or older in the State during the fiscal year in which exceeds the base number of foster child adoption of children age 9 or older for the State for the fiscal year; and (c) \$4,000, multiplied by the number of special needs adoptions of children under age nine in the State during the fiscal year which exceeds the base number of special needs adoptions of children under age 9 for the State for the fiscal year, if the state receives a bonus under (a) or (b). Awards are pro-rated if insufficient funds are available to make the full awards. In addition, if funds remain available after making the above awards, a State is eligible to earn an additional incentive award by exceeding the highest ever foster child adoption rate in the State between FY 2002 and the immediately preceding fiscal year. The incentive is calculated by multiplying the State's highest ever foster child adoption rate times the number of children in foster care on the last day of the preceding fiscal year and subtracting that number from the number of foster child adoptions in the State in that fiscal year. That number is rounded to the nearest whole number and then multiplied by \$1,000. There are no matching requirements for these funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments to a State in a fiscal year shall remain available for use by the State through the end of the succeeding fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

States must identify in the Child and Family Services Plan (CFSP) or Annual Progress and Services Report (APSR) as applicable (due June 30 of each year), the services they have provided to children and families as a result of the expenditure of adoption incentive payments. Should more than one fiscal year's incentive funds be expended during a given reporting period, the report should reflect the services provided and identify the fiscal year's funds expended. PSC-272. No progress reports are required. Actual expenditures of incentive funds must be reported annually on Form SF- 269, Financial Status Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 92.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$9,323,132; FY 09 est \$36,500,000; FY 10 est \$39,500,000

**Range and Average of Financial Assistance:**

FY 08: For the FY 2007 earning year, 21 States earned incentive payments totaling \$11.1 million, which \$9.3 million paid in FY 08 and \$1.8 million paid in FY 09. The awards ranged from \$12,000 to \$3,612,000 with an average award amount of \$527,905 for qualifying States.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 21 States that received incentive awards. Fiscal Year 2009: Number of States to receive incentive awards is unknown. Fiscal Year 2010: Number of States to receive incentive awards is unknown.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-PI-04-03, issued 03/23/04; ACYF-CB-PI-08-03, issued October 3, 2008.

**Regional or Local Office:**

See Regional Agency Offices. ACF Children's Bureau Regional Child Welfare Program Managers.

**Headquarters Office:**

Gail Collins Division of Program Implementation, Children's Bureau, Administration on Children, Youth and Families, 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Phone: 202-205-8552

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All State Agencies are considered if the number of adoptions exceed the baseline number of adoptions.

**93.604 ASSISTANCE FOR TORTURE VICTIMS**

Services for Survivors of Torture

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Torture Victims Relief Act of 1998, Public Law 105-320, as amended by Torture Victims Relief Reauthorization Act of 2005, Public Law 109-165, as amended by Torture Victims Relief Reauthorization Act of 1999, Public Law 106-87.

**OBJECTIVES:**

The Office of Refugee Resettlement (ORR) provides a comprehensive program of support for domestic centers and programs for survivors of torture. The Services for Survivors of Torture Program is committed to enabling persons who have suffered torture in their home countries to regain their health and

independence and rebuild productive lives in the U.S.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include treatment of the physical and psychological effects of torture, social and legal services, and provision of research and training to health care providers to enable them to treat the physical and psychological effects of torture.

**Applicant Eligibility:**

Eligible applicants are public or private non-profit agencies.

**Beneficiary Eligibility:**

Individuals and families, regardless of immigration status, who have suffered torture.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants submit an application to the Administration for Children and Families in accordance with the requirements described in the notice of funding availability.

**Award Procedure:**

Applications are reviewed by a panel of independent experts in accordance with the evaluation criteria included in the notice of funding availability. Funding decisions are made by the Director of ORR based on the review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a three-year project period, with one-year budget periods. See the following for information on how assistance is awarded/released: Funds are made available for reimbursement of allowable expenditures.

**Reports:**

Program Performance Reports are required on a semi-annual basis. Final Program Performance Reports summarizing the activities and accomplishments of the project over the entire project period are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. SF-269 Financial Status Reports are required semi-annually. A final SF-269 Financial Status Report is required 90 days after the end of the project period. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Grant recipients are required to keep all financial and program reports necessary for program review and audit for the project period and for three years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 08 \$9,577,000; FY 09 est \$10,603,000; FY 10 est \$10,603,000

**Range and Average of Financial Assistance:**

Grant awards range from \$265,000 to \$535,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Over 5,000 survivors of torture were provided with services under this program in FY 2008. Fiscal Year 2009: Over 5,000 survivors of torture are expected to be provided with services under this program in FY 2009. Fiscal Year 2010: Over 5,000 survivors of torture are expected to be provided with services under this program in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Holly Herrera 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: holly.herrera@acf.hhs.gov Phone: (202) 401-5541

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.576 Refugee and Entrant Assistance Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grantees are primarily non-profit organizations that provide treatment, social and legal services, and training to health care providers on treating the physical and psychological effects of torture. Fiscal Year 2009: Grantees are primarily non-profit organizations that provide treatment, social and legal services, and training to health care providers on treating the physical and psychological effects of torture. Fiscal Year 2010: Grantees are expected to be primarily non-profit organizations that provide treatment, social and legal services, and training to health care providers on treating the physical and psychological effects of torture.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of the program criteria for awarding funds can be found at <http://www.acf.hhs.gov/programs/orr>.

**93.605 FAMILY CONNECTION GRANTS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Fostering Connections to Success and Increasing Adoptions Act of 2008, Public Law 110-351.

**OBJECTIVES:**

To provide matching grants to State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements for the purpose of helping children who are in, or at risk of entering, foster care to reconnect with family members.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the

purpose of section 102, Public Law 110-351, and may include the following: (1) a kinship navigator program to assist kinship caregivers in learning about, finding and using programs and services to meet the needs of the children they are raising and their own needs, and to promote effective partnerships among public and private agencies to ensure kinship caregiver families are served; (2) intensive family-finding efforts that utilize search technology to find biological family members for children in the child welfare system; (3) family group decision-making meetings for children in the child welfare system that enable families to make decisions and develop plans that nurture children and protect them from abuse and neglect; and (4) residential family treatment program that enable parent and their children to live in a safe environment for a period of not less than 6 months. 100% of funds are used for discretionary activities.

**Applicant Eligibility:**

State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements.

**Beneficiary Eligibility:**

Public or private nonprofit agencies or organizations or tribal child welfare agencies working with foster children or children in kinship care arrangements or children at risk of entering foster care that help the children reconnect with family members.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to [www.Grants.gov](http://www.Grants.gov). Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the field of child welfare, particularly foster and kinship care.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months. The deadline for the receipt of applications is stated in the Program Announcement.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the approved award period (one to three years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 25 percent of the program costs for the first and second year of the grant and 50 percent of the program costs for the third year of the three year grant. (Section 427(d) of the Social Security Act).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are available for 36-month project period with three 12-month budget periods. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grants must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency and well-being of children and their families. PSC-272. Program progress reports are required semiannually with a final report at completion of the project. Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-609.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$15,000,000; FY 10 est \$15,000,000

**Range and Average of Financial Assistance:**

Awards will range from a floor of \$450,000 to a ceiling of \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement, the application instructions, and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/grantsnet/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Campiglia; Cathy Overbath Division of Research and Innovation, Children's Bureau, 1250 Maryland Avenue, S.W., 8th Floor, Washington, District of Columbia 20024 Phone: (202) 205-8060; (202)205-7273

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.652 Adoption Opportunities; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) organizational capacity to collaborate with other service providers; (2) relevance of proposed services and activities in enhancing the well-being of children in foster care, in kinship care arrangements, or at risk of foster care and in helping the children reconnect with family members; and (3) demonstrated ability to conduct a kinship navigator program; provide intensive family-finding efforts that utilize search technology; conduct family group-decision making efforts and provide residential family treatment programs.

**93.612 NATIVE AMERICAN PROGRAMS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Native American Programs Act of 1974, as amended, Public Law 93-644; Older Americans Act Amendments of 1992, Title VIII, Public Law 102-375, 42 U.S.C 2991; Indian Reorganization Act Amendments, Section 215, Public Law 100-581; Older Americans Act Amendments of 1987, Title V, Public Law 100-175.

**OBJECTIVES:**

To provide financial assistance to American Indian non-profit Native Tribes and Villages, and for Native Hawaiians and Native American Pacific Islander organizations for the development and implementation of social and economic development strategies that promote self-sufficiency. These projects are expected to result in improved social and economic conditions in Native American communities and to increase the effectiveness of Tribes and Native non-profit Organizations in meeting their social and economic goals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for such purposes as, but not limited to: (1) Governance Projects which assist Tribal and village governments to exercise local control and decision-making over their resources; (2) Economic Development Projects, which promote the long term mobilization and management of economic resources necessary to achieve a diversified economy; and (3) Social Development Projects which support local access to, control of, and coordination of services and programs for the social benefit of community members.

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, governing bodies of Indian Tribes on Federal and State reservations, Alaska Native villages and regional corporations established by the Alaska Native Claims Settlement Act, such public and nonprofit private agencies serving Native Hawaiians, Indian and Alaska Native organizations in urban or rural nonreservation areas, and Native American Pacific Islanders (American Samoan Natives, and indigenous peoples of Guam and the Commonwealth of the Northern Mariana).

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-21, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information regarding the availability of grant funds will be posted on Grants.gov and the ACF Funding Opportunities websites as Program Announcements. Program Announcements will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal assistance and instructions for applying for grants from the Administration for Native Americans programs. Hard copy applications should be submitted to Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Mail Stop Aerospace Center 6th Floor-East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.



**Deadlines:**

Mar 25, 2009 Each program announcement specifies the due date for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20.%. Applicants from Guam, Northern Marianas, and American Samoa are not required to meet this match requirement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash reports are not applicable. As indicated above Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). As indicated above - Financial Status reports are required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$27,456,742; FY 09 est \$32,543,660; FY 10 est \$30,000,000

**Range and Average of Financial Assistance:**

(Grants) \$25,000 to \$500,000 = range.  
Average = \$250,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 2008, 134 SEDS grants were awarded. Fiscal Year 2009: In FY 2009, it is anticipated that approximately 107 SEDS grants will be awarded. Fiscal Year 2010: In FY 2010, it is anticipated that approximately 120 SEDS grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher A. Beach, 370 L'Enfant Promenade, Washington, District of Columbia 20447 Email: christopher.beach@acf.hhs.gov Phone: (202) 690-5793.

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Social Development: Youth Development; Cultural

Preservation Activities; Education Development; Foster Parent Training; Supporting Elders; Supporting People with Disabilities

Economic Development: Business Development; Community Strategic Planning; Organizational Capacity Building; Subsistence Project; Emergency Response Activities; Transportation for Elders and Disabled; Transportation for Workforce Development; International Tourism and Trade; Job Training

Governance: Tribal Government Program Enhancement; Management and Leadership Development; Information Management Systems; Codes and Ordinances; Constitutional Reform; Operational Planning; Tribal Court Systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.613 PRESIDENT'S COMMITTEE FOR PEOPLE WITH INTELLECTUAL DISABILITIES (PCPID)****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 12994 as amended on July 25, 2003.

**OBJECTIVES:**

To advise the President on issues pertaining to people with intellectual disabilities (mental retardation).

**TYPES OF ASSISTANCE:**

Information

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

NOT APPLICABLE.

**Appeals:**

NOT APPLICABLE.

**Renewals:**

NOT APPLICABLE.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NOT APPLICABLE. See the following for information on how assistance is awarded/released: NOT APPLICABLE.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 08 \$646,243; FY 09 est \$570,706; FY 10 est \$698,860

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Federal Advisory Committee Act of 11972 as amended", Executive Order 12994 as amended on July 25, 2003", the HHS "Charter as amended". "The New Freedom Initiative".

**Regional or Local Office:**

None.

**Headquarters Office:**

Laverdia T. Roach 901 D STREET, S.W. - SUITE 210, WASHINGTON, District of Columbia 20447 Email: [laverdia.roach@acf.hhs.gov](mailto:laverdia.roach@acf.hhs.gov) Phone: 2026190634 Fax: 2022059519

**Website Address:**

<http://www.acf.hhs.gov/programs/pcpid>

**RELATED PROGRAMS:**

27.005 Federal Employment for Individuals With Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.616 MENTORING CHILDREN OF PRISONERS**

(MCP)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>), Public Law 109-288.

**OBJECTIVES:**

To provide competitive grants to applicants in areas with significant numbers of children of prisoners to support the establishment and operation of programs using a network of public and private entities and to provide mentoring services for these children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide mentoring and support services to urban and/or suburban populations with substantial numbers of children with incarcerated parents.

**Applicant Eligibility:**

Those eligible to apply for funding under this grant competition include applicants in areas where there are substantial numbers of children of prisoners. Applicants must establish or expand and operate programs using a network of public and private entities to provide this mentoring. This includes any State or local government unit, Tribe and Tribal organization, private nonprofit, community and faith based groups.

**Beneficiary Eligibility:**

Children of prisoners ages 4 through 18 will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Public Law 107-133. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applicants are reviewed by a panel of nonfederal experts which assigns scores according to published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes the recommendations to the ACYF Commissioner, who makes the final funding decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods, funding for the second and third years depend upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Grantee must provide a nonfederal share or match of at least 25 percent of the total project budget in the first and second years of the project. In the third year, the grantee must provide a nonfederal share or match of at least 50 percent of the total project budget. The nonfederal share may be met by cash or in-kind contributions although applicants are encouraged to meet their Federal match requirements through cash contributions. There is no match requirement for the Mentoring Children of Prisoners Voucher Program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months with 12 month budget

periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Applicants must submit quarterly reports and agree to submit other required program and financial reports, as instructed by FYSB. Financial SF-269 reports are due quarterly. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$48,604,000; FY 09 est \$49,314,000; FY 10 est \$49,314,000 - (Contracts) FY 08 \$2,244,000; FY 09 and FY 10 \$4,066,000; Voucher Program FY 08 (\$10,000,000 (8,000 vouchers) and FY 09 \$15,000,000 (13,000 vouchers). Note: reauthorization for voucher program ends in FY 09.

**Range and Average of Financial Assistance:**

Grants will range from \$100,000 to \$1,000,000 depending on the scope of the project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 215 grants were awarded to Urban/Suburban and Rural/Tribal grantees and \$2,244,000 in contracts. Fiscal Year 2009: In fiscal year 2009 it is anticipated that 172 grants will be awarded and \$3,575,000 in contracts. Fiscal Year 2010: In fiscal year 2010 it is anticipated that 216 grants will be awards and \$3,575,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link.

**Regional or Local Office:**

See Regional Agency Offices. Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Curtis Porter. Telephone: (202) 205-8102. FTS is not available.

**Headquarters Office:**

Curtis Porter 1250 Maryland Ave, SW , Washington, District of Columbia 20447 Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, 215 grants were awarded to Urban/Suburban and Rural/Tribal grantees. Fiscal Year 2009: It is anticipated that 219 grants will be awarded in fiscal years 2009 and 2010. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants\\_fysb.html](http://www.acf.hhs.gov/grants_fysb.html).

**93.617 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES GRANTS TO STATES**

(Election Assistance for Individuals with Disabilities (EAID))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 2, Section 261, Public Law 107-252.

**OBJECTIVES:**

Section 261 of HAVA provides that funds be made available to States to: (1) make polling places, including the path of travel, entrances, exits, and voting areas of each polling facility, accessible to individuals with the full-range of disabilities (e.g., visual impairments, including blindness; hearing impairments, including deafness; the full-range of mobility impairments, including gross and fine motor impairments, emotional impairments, and intellectual impairments); (2) provide the same opportunity for access and participation (including privacy and independence) to individuals with the full-range of disabilities; (3) provide training for election officials, poll workers, and election volunteers on how best to promote the access and participation of individuals with the full-range of disabilities in election for Federal office; and (4) provide individuals with the full-range of disabilities with information about the accessibility of polling places.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To assist States to provide greater accessibility to individuals with full-range of disabilities as it relates for the four (4) areas of funding. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States (including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the Virgin Islands).

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Applicant eligibility: Secretary of State/Chief Election Official of States including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the U.S. Virgin Islands. Beneficiary Eligibility: States and Units of Local Government. Cost will be determined in accordance with 45 CFR Parts 74 and 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The reporting requirements information collection for the application and annual report are approved under OMB control number 0970-0327, expiration date 11/30/2010.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The statistical factor used to fund distribution is the population age 18 and over in each State. No State will receive less than \$100,000. There is no matching requirement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized were used. Report due no later than December 31st of each year. No cash reports are required. Annual progress report. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A). Submission of annual financial reports are due 90 days after the end of each 12-month period (October 1-September 30). Annual progress and financial status report are used as the primary monitoring tools.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$11,817,000; FY 09 est \$12,154,000; FY 10 est \$12,154,000

**Range and Average of Financial Assistance:**

Not less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 55 grants were awarded. Fiscal Year 2009: It is anticipated that 55 grants will be awarded in FY 2009. Fiscal Year 2010: It is anticipated that 55 grants will be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: (202) 690-5557.

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.618 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES-GRANTS FOR PROTECTION AND ADVOCACY SYSTEMS**

Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 5, Section 291, Public Law 107-252.

**OBJECTIVES:**

Section 291 of HAVA provides that funds be made available to Protection and Advocacy Systems to: (1) ensure full participation in the electoral process for individuals with disabilities; (2) provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process; (3) participate in advocacy and education efforts revolving around HAVA implementation efforts in their State or Territory; (4) training and education of election officials, poll workers, and election volunteers regarding the rights of the voters with disabilities and best practices in working with individuals with disabilities; (5) assist individuals with disabilities in filing complaints under the State-based administrative grievance procedure required by HAVA and represent individuals with disabilities in any hearing that may be held regarding the complaint; (6) provide assistance to States and other governmental entities regarding the physical accessibility of polling places; and (7) obtain training and technical assistance on voting issues, including education regarding accessible voting equipment and systems. Once educated, the information may be used to inform others of the availability of accessible voting equipment and its use.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To assist Protection and Advocacy Systems to ensure full participation in the electoral process of individuals with a full-range of disabilities. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States and Territories who have a Protection and Advocacy System in place in accordance with the Developmental Disabilities Assistance and Bill of Rights Act of 2000.

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Cost will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Protection and Advocacy Systems (P&As) for each territory and state must submit an application by the requested deadline as indicated in the Program Instruction. The application may be in the format of its choice addressing the seven areas in emphasis which the Help America Vote Act (HAVA) funds should be used. Funds requested by the P&As are used to provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process in seven different areas. The application is faxed, emailed and mailed to the

Administration on Developmental Disabilities (ADD) for furthering review and processing. The application is reviewed thoroughly in accordance with the eligibility criteria as outlined in the program instruction and processed approved by the program office.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The Protection and Advocacy System in each State including the District of Columbia or the Commonwealth of Puerto Rico shall receive less than \$70,000 and no Territory will receive less than \$35,000. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized are due no later than December 31st of each year. No cash reports are required. Annual program and annual financial status reports required. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A) submission of annual financial reports are due 90 days after the end of each 12-month period (October 1 - September 30). Monitoring is performed through the review of annual program and financial status reports required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$4,888,300; FY 09 est \$4,888,100; FY 10 est \$4,888,100 - T&TA P&A set-aside FY 2008 \$368,000; FY 2009 \$368,000; and FY 2010 estimate \$368,000.

**Range and Average of Financial Assistance:**

The awards range from \$35,00 to \$323,000. The average award amount is approximately \$144,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 2008 55 grants to P&As and 2 grants for T&TA set-aside for a total of 57 grant awards. Fiscal Year 2009: FY 2009 55 grants to P&As and 2 grants for T&TA set-aside for a total of 57 grant awards. Fiscal Year 2010: FY 2009 55 grants to P&As and 2 grants for T&TA set-aside for a total of 57 grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: 202 690-5557

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.617 Voting Access for Individuals with Disabilities\_Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.623 BASIC CENTER GRANT**

(BCP)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act, Public Law 110-378 A.

**OBJECTIVES:**

The purpose of Part A of the RHY Act (Runaway and Homeless Youth Grant Program) is to establish or strengthen locally controlled community-based programs that address the immediate needs of runaway and homeless youth and their families. Services must be delivered outside of the law enforcement, child welfare, mental health and juvenile justice systems. The goals and objectives of the Basic Center Program are to: 1) Alleviate problems of runaway and homeless youth; 2) reunite youth with their families and encourage the resolution of intra-family problems through counseling and other services; 3) strengthen family relationships and encourage stable living conditions for youth; and 4) help youth decide upon constructive courses of action.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each Basic Center program is required to provide outreach to runaway and homeless youth; temporary shelter for up to twenty one (21) days; food; clothing; individual, group and family counseling; aftercare and referrals, as appropriate. Basic Center programs are required to provide their services in residential settings for at no more than twenty (20) youth unless a state or local law or regulation requires a higher maximum to comply with licensure requirements for facilities serving child and youth. Some programs also provide part or all of their shelter services through host homes (usually private homes under contract to the centers), with counseling and referrals being provided from a central location. Basic Center programs offer shelter to youth who are less than 18 years of age and who are at risk of separation from their family.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Basic Center Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, non-profit agencies.

**Beneficiary Eligibility:**

Runaway and homeless youth and their families are the beneficiaries. Services can be provided to youth up to the age of 18.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs

and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. Federal share of grant is up to 90 percent. The nonfederal share may be in cash or in-kind contributions. The statute contains a formula for allocation of funds by State. It is based on the population of each State under age 18 as a proportion of the current national population under age 18. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of up to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are due semiannually. A final report is due 90 days after conclusion of project period. SF-269 Financial reports are due semiannually. A final report is due 90 days after conclusion of project period. No progress reports are required. These are performed semi-annually as SF-269 Reports. These are performed semi-annually as Program Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$52,860,000; FY 09 est \$53,469,000; FY 10 est \$53,469,000

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; \$128,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 371 grants were awarded and \$2,121,000 in contracts. Fiscal Year 2009: In fiscal year 2009, It is anticipated that 375 grants will be awarded and \$1,255,000 in contracts. Fiscal Year 2010: In fiscal year 2010, it is anticipated that 375 grants will be awarded and \$1,255,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Regional Offices, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis O. Porter 1250 Maryland Avenue, S.W, 8th Fl., Washington, District of Columbia 20024 Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 371 grants were awarded. Fiscal Year 2009: 375 grants anticipated to be awarded. Fiscal Year 2010: 375 grants anticipated to be awarded.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made on the basis of the degree to which: (1) The likelihood that the proposal will provide necessary services including shelter, counseling, and aftercare to runaway and other homeless youth and their families; (2) reasonableness of cost of these services; and (3) qualifications of staff. Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: <http://www.acf.hhs.gov/grants>.

**93.630 DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS**

(State Councils on Developmental Disabilities and Protection and Advocacy Systems)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 121, Public Law 106-402, 42 U.S.C 15021-15045.

**OBJECTIVES:**

To enable individuals with developmental disabilities to become independent, productive, integrated and included into their communities. Funding under these programs is to assist States in the development of a plan for a

comprehensive and coordinated system of services and other activities to enhance the lives of individuals with developmental disabilities and their families to their maximum potential, and to support a system which protects the legal and human rights of individuals with developmental disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

(1) Allotments under the basic developmental disabilities formula grant program may be used by States for priority area and other activities, including administrative costs, to build capacity, to refocus existing services, and to advocate to better meet the needs of individuals with developmental disabilities. The designated State agency in each State receives, accounts for and disburses funds, and provides for required assurances and other administrative support services on behalf of the State Developmental Disabilities Council, which carries out the priority area activity and other activities under an approved triennial State Plan. This plan and corresponding budget is developed and administered by the State Developmental Disabilities Council. Federal funds may be expended for up to half the cost of the functions of the designated State agency under this program, but may not exceed five percent of a State's allotment or \$50,000, whichever is less. (2) Allotments under the protection and advocacy program may be used to assist States in supporting a system which will have authority to pursue legal and other remedies to protect the rights of individuals with developmental disabilities within the State.

**Applicant Eligibility:**

State grant agencies are the designated State agencies of the respective States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Mariana Islands, American Samoa. Under the basic developmental disabilities program, the designated State agency must not provide or pay for services to individuals with developmental disabilities, unless it has held such designation on the date of the enactment of the Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1994, and the Governor of the State (or the legislature, where appropriate and in accordance with State law) determines prior to June 30, 1994, not to change the designation of such agency. The State can only receive funding under the basic developmental disabilities program if it is also participating in the protection and advocacy program. The agency designated to implement the State system under the protection and advocacy program cannot provide or pay for services to individuals with developmental disabilities, and that agency must have authority to obtain access to records of individuals with developmental disabilities.

**Beneficiary Eligibility:**

To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental disabilities through systems change. The Protection and Advocacy system benefits individuals with developmental disabilities. Developmental disability is defined here as a severe chronic disability of an individual that is attributable to mental, physical, or a combination of impairments, is manifested before age 22, that is likely to continue indefinitely, that results in substantial functional limitations in three or more of the following major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency), and that reflects an individual's lifelong need for services. Infants and children from birth to age 9, inclusive, are included if they have a developmental delay or condition with a high probability of resulting in developmental disabilities if services are not provided.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Basic Support: Requests for allotments are submitted in the form of a State plan, which must be submitted not less than every 5 years, and must address all of the requirements of the Statute. Protection and Advocacy: Application is made by the State's submission of a description of the Protection and Advocacy system in the State and appropriate assurances as required by law, and by annual submission statement on the goals and priorities.

**Award Procedure:**

Formula awards are processed through a payment management system to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Automatic, under approved application.

**Formula and Matching Requirements:**

Statutory Formula: Title I Programs for Individuals with Developmental Disabilities, Public Law 106-402.

Matching Requirements: Percent: 25.%. Match is only for the Councils. No match is required for Protection and Advocacy allotments.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds provided under allotments must be obligated by states by the end of the fiscal year following the fiscal year for which appropriations were received. Such obligation must be liquidated by the end of the following fiscal year.

Payments are made through Electronic Transfer System or, when such is not practicable, on basis of payment requests from the State to meet current needs.

Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$111,506,000; FY 09 est \$114,340,000; FY 10 est \$114,340,000

**Range and Average of Financial Assistance:**

Basic Support: \$450,000; Protection and Advocacy: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 112 grants were awarded. Fiscal Year 2009: 112 grants projected to be awarded. Fiscal Year 2010: 112 grants projected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92, Grant Administrative Requirements; and Program Regulations in Chapter XIII of Title 45 of the Code of Regulations, Parts 1385 and 1386.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog for list of addresses.).

**Headquarters Office:**

Jennifer Johnson Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: [jjohnson@acf.hhs.gov](mailto:jjohnson@acf.hhs.gov) Phone: 202 690-5982

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.631 Developmental Disabilities Projects of National Significance; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.631 DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 161, Public Law 106-402, 42 U.S.C 15081-15083.

**OBJECTIVES:**

To provide for grants, contracts and cooperative agreements for projects of national significance to increase and support the independence, productivity, and integration and inclusion into the community of individuals with developmental disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants, contracts, and cooperative agreements are approved for personnel, equipment, travel, supplies, etc. Duplicative Federal assistance is precluded. Uses include: (1) Family support activities; (2) Projects to educate policy makers; (3) projects to conduct data collection and analysis; (4) projects to provide technical assistance for developing information and referral systems; (5) Federal interagency initiatives; (6) technical assistance projects; (7) projects to enhance opportunities for individuals with developmental disabilities who are from racial and ethnic minority backgrounds; (8) projects to improve supportive living and quality of life opportunities which enhance recreation, leisure and fitness; (9) projects concerning the transition of youth with developmental disabilities from school to work and to adult life; and (10) other projects of national significance. Funds are not awarded solely for direct service delivery, construction, or for the continuation or expansion of existing projects, but rather for projects which are considered innovative and likely to have significant national impact.

**Applicant Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Beneficiary Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Credentials/Documentation:**

Proof of community need and consistency with developmental disabilities State Plans. Proof of nonprofit status. Compliance with statutes, regulations, and approval of State agency and DHHS/ACF Regional Offices. Costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87

applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Forms and instructions for project grants are available from HHS Central Office and the appropriate DHHS-ACF Regional Office. Forms and instructions for projects of national significance grants are available at [www.grants.gov](http://www.grants.gov). One signed original and two copies of the grant application are required, including all attachments, and must be submitted to the address specified in the application kit. Three additional copies would be useful to facilitate processing. In addition, concurrently, one (1) copy of the application should be submitted to the applicant's DD State Council and two (2) copies to the appropriate State Single Point of Contact (SPOC) for review and comment as per Executive Order 12372, "Intergovernmental Review of Federal Programs." (Addresses for State Developmental Disabilities Councils and SPOCs are included in the application kit.) The application must be signed by an individual authorized to act for the applicant agency and to assume for the agency the obligations imposed by the terms and conditions of the grant award including the regulations for the Projects of National Significance Grants Program.

**Award Procedure:**

Applications are reviewed and recommendations made by the Central Office, Administration on Developmental Disabilities. Successful applicants are notified through the issuance of a Financial Assistance Award which sets forth in writing the amount of funds granted, the purpose of the grant, the terms and conditions of the grant award, the effective date of the award, the budget period for which support is given and the total grantee participation. The initial award, when applicable, also specifies the project period for which support is contemplated.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days according to the type of program being requested.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are specified in each published program announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods for grants are specified in each published program announcement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required for each budget period. Final progress report is required 90 days after the end of project period. Expenditure reports are required for each budget period. Performance monitoring includes review of reports and site visits as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a



year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$14,162,000; FY 09 est \$14,162,000; FY 10 est \$14,162,000

**Range and Average of Financial Assistance:**

The range is \$50,000 to \$300,000; The average is \$184,566.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 50 grants were awarded. Fiscal Year 2009: 49 grants will be awarded. Fiscal Year 2010: 59 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1387.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Administration for Children and Families, HHS Regional Offices (See Appendix IV of the Catalog.).

**Headquarters Office:**

Ophelia McLain Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services; 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: omclain@acf.hhs.gov Phone: 202 690-7025

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Family Support 360 and Military Family Support 360 - projects to support families who have members with disabilities/developmental disabilities. Fiscal Year 2009: Grants tied to data collection and analysis regarding trends in services related to individuals with developmental disabilities. Fiscal Year 2010: Project to evaluate the work of the Councils, P&As and UCEDDs on behalf of individuals with developmental disabilities and their families.

**CRITERIA FOR SELECTING PROPOSALS:**

No application can be approved unless it shows/provides evidence of its non-profit status and the State in which the applicant's project will be conducted has an approved DD State plan under this Act. Applications are also to be reviewed by the State Developmental Disabilities Council for the State in which it is to be conducted. Project's proposed design is complete and feasible, and includes measurable objectives and an evaluation component. Project does not supplant activities that are funded under other Federal programs. Competing grant applications will be reviewed and evaluated against criteria that are specified in each published program announcement.

**93.632 UNIVERSITY CENTERS FOR EXCELLENCE IN DEVELOPMENTAL DISABILITIES EDUCATION, RESEARCH, AND SERVICE**

(University Centers (UCEDD))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 151, Public Law 106-402, 42 U.S.C 15061-15066.

**OBJECTIVES:**

To pay the Federal share of the cost of administration and operation of interdisciplinary centers that: (1) Provide interdisciplinary training for personnel concerned with developmental disabilities; (2) provide community service activities that include training and technical assistance and may include direct services, e.g., family support, individual support, personal assistance services, educational, vocational, clinical, health and prevention; (3) conduct research (basic and applied), evaluation and analysis of public policy in areas affecting individuals with developmental disabilities; and (4) disseminate information as a national and international resource.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Salaries for administrators, coordinators, and others needed to operate the Center and expenses required to start up new programs, and faculty for training programs who will meet critical manpower shortages and are not eligible for support from other sources.

**Applicant Eligibility:**

A public or nonprofit entity which is associated with, or is an integral part of a college or university and which provides at least: interdisciplinary training; demonstration of exemplary services, technical assistance, research and dissemination of findings.

**Beneficiary Eligibility:**

Individuals of all ages with developmental disabilities attributable to a mental and/or physical impairment, their families, and personnel and trainees providing services to them.

**Credentials/Documentation:**

Assurance of maintenance of effort; statement of financial resources, especially other federally-assisted programs; identification of personnel needs and resources as found in developmental disabilities State Plans for the applicant's service area; evaluation of present training programs and utilization of space in the facility; and capability of informing researchers and others in development of services related research. Memorandum of Understanding with the University. Eligible candidate designated in the previous fiscal year as a Center. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form is required. Consultation and assistance in preparing application is available at the DHHS Central Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the DHHS Central Office. Completed application forms and narrative should be sent to the State Developmental Disabilities Council, Designated State Agency and Protection and Advocacy agency for review and comment. The standard application forms, as furnished by DHHS must be used for this program.

**Award Procedure:**

Applications are evaluated by outside peer reviews and grants are awarded at the DHHS ADD Central Office. Recommendations for funding are made by the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Appeals are processed in accordance with regulations in 45 CFR, Part 16.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Subpart D, Public Law 106-402.

Matching Requirements: Percent: 75%. If project activities or products target individuals with developmental disabilities who live in an urban or rural poverty area, the Federal share may not exceed 90 percent of the project's necessary costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

University Centers awards are made for 5 years with a 12-month budget period.

Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is required. Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant applications. An annual progress report is required. A Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant specifications. Grantees receive technical assistance through on-site compliance reviews and other supports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$36,440,000; FY 09 est \$37,943,000; FY 10 est \$37,943,000

**Range and Average of Financial Assistance:**

The range is between \$500,000 and \$549,000. The average is \$520,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 69 grants awarded through the UCEDD program in FY 2008. Fiscal Year 2009: There will be 71 grants awarded through the UCEDD program in FY 2009. Fiscal Year 2010: In FY 2010, it is anticipated that there will be 71 grants awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Johnson Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: jennifer.johnson@acf.hhs.gov Phone: 202 690-5982

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.631 Developmental Disabilities Projects of National Significance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2009: Grants are funded to assist in the operation of public or nonprofit facilities

which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2010: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers.

**CRITERIA FOR SELECTING PROPOSALS:**

University Centers must address the provisions of the Act and regulations. Geographic dispersion. University Affiliation.

**93.643 CHILDREN'S JUSTICE GRANTS TO STATES****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse and Treatment Act (CAPTA), Section 107, 42 U.S.C 5106 et. seq.

**OBJECTIVES:**

To encourage States to enact reforms which are designed to improve: (a) The handling of child abuse and neglect cases, particularly cases of child sexual abuse and exploitation, in a manner which limits additional trauma to the child victim; (b) the handling of cases of suspected child abuse or neglect related fatalities; (c) the investigation and prosecution of cases of child abuse and neglect, particularly child sexual abuse and exploitation; and (d) the handling of cases involving children with disabilities or serious health-related problems who are victims of abuse or neglect.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used for reforms in the following categories: (a) Investigative, administrative, and judicial handling of cases of child abuse and neglect, particularly child sexual abuse and exploitation; cases involving suspected child maltreatment related fatalities; and cases involving a potential combination of jurisdictions, such as interstate, Federal-State, and State-Tribal, in a manner which reduces the additional trauma to the child victim and the victim's family and which also ensures procedural fairness to the accused; (b) experimental, model and demonstration programs for testing innovative approaches and techniques which may improve the prompt and successful resolution of civil and criminal court proceedings, or enhance the effectiveness of judicial and administrative action in child abuse and neglect cases, particularly child sexual abuse and exploitation cases, including the enhancement of performance of court-appointed attorneys and guardians ad litem for children, and which also ensure procedural fairness to the accused; and (c) reform of State laws, ordinances, regulations, protocols and procedures to provide comprehensive protection for children from abuse, particularly child sexual abuse and exploitation, while ensuring fairness to all affected persons. To receive funds, States must meet eligibility requirements stated in the authorizing statute.

**Applicant Eligibility:**

States, Puerto Rico, District of Columbia, Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Marianas.

**Beneficiary Eligibility:**

Beneficiaries include State governments and victims of child abuse and neglect, particularly child sexual abuse and exploitation.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. Applications require certification and/or documentation that the State meets eligibility requirements described in the Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication is required. Advice and technical assistance to State applicants are available from the Children's Bureau, Office on Child Abuse and Neglect within the Administration on Children, Youth and Families. Environmental impact information is not required for this program. This

program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No Federal forms are required, but certain assurances and information described in the Annual Program Instruction must be included.

**Award Procedure:**

Applications will be reviewed against all eligibility requirements contained in the authorizing legislation. All eligible State and territorial governments will receive funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines will be contained in the Program Instruction sent to each State and other eligible entities announcing the availability of funds under this program.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: There is no matching requirement. Each State receives a base amount of \$50,000 with an additional amount based on the population of children under age 18 in each State.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds may be expended for a period of 2 years after the end of the fiscal year in which the funds are awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. PSC-272. Program progress reporting requirements are described in the Program Instructions. Financial reporting requirements are described in the Program Instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR, Parts 74 and 92.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Formula Grants) FY 08 \$17,000,000; FY 09 est \$17,000,000; FY 10 est \$17,000,000

**Range and Average of Financial Assistance:**

FY 08: \$53,553 to \$1,900,799 with an average grant of \$309,091.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants were made to 49 States, the District of Columbia, and five territorial governments. Fiscal Year 2009: Grants are expected to be made

to 50 States, including the District of Columbia, and five territorial governments. Fiscal Year 2010: Grants are expected to be made to 50 States, including the District of Columbia, and five territorial governments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Luby Office on Child Abuse and Neglect, 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Phone: (202) 205-8879

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements and propose projects which meet the required uses of these funds will receive grants.

**93.645 CHILD WELFARE SERVICES\_STATE GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-B, Part Subpart 1; as amended.

**OBJECTIVES:**

The purpose of the Stephanie Tubbs Jones Child Welfare Services program is to promote State flexibility in the development and expansion of a coordinated child and family services program that utilizes community-based agencies and ensures all children are raised in safe, loving families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following purposes: (a) protecting and promoting the welfare of all children; (b) preventing the abuse, neglect, or exploitation of children; (c) supporting at-risk families through services that allow children to remain with their families or return to their families in a timely manner; (d) promoting the safety, permanence, and well-being of children in foster care and adoptive families; and (e) providing training, professional development, and support to ensure a well-qualified workforce.

**Applicant Eligibility:**

States, the District of Columbia, Indian Tribes, Puerto Rico, the Northern Marianas, the Virgin Islands, Guam, and American Samoa.

**Beneficiary Eligibility:**

Families and children in need of child welfare services will benefit.

**Credentials/Documentation:**

The State department which administers the services program under Title XX must be the designated single State agency to administer child welfare services. Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Intergovernmental Review is excluded. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year State plan must be submitted. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after State agency consultation with appropriate public and nonprofit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations.

**Award Procedure:**

Funds will be awarded after the State plan, or annual update, is submitted and approved.

**Deadlines:**

Jun 30, 2009 States, Territories and Indian Tribes are encouraged to submit application in accordance with Department requirements. The Plan or update submitted is due by June 30 of each year.

**Range of Approval/Disapproval Time:**

The Plan or update that is due on June 30 of each year must be approved by 9/30 in order to receive timely funding.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Each State receives a base amount of \$70,000 for child welfare services. The Stephanie Tubbs Jones Federal Child Welfare services appropriation is further allotted on a variable formula which takes into account the child population under 21 and the complement of the State per capita income compared to the U.S. per capita income. The statistical factors used to fund allocations are: (1) the population of children under 21 years of age by State and the source is "Current Population Reports", P-25 Bureau of the Census; and (2) 3-year average per capita income by State and the source is the Bureau of Economic Analysis, Department of Commerce. Income factors for eligibility do not apply to this program. Grantees receive Federal matching at a rate of 75 percent of their expenditures up to the limit of their allocation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis through a letter of credit.

The Electronic Transfer System will be used for monthly cash draw-downs from Federal Reserve Banks. Method of awarding/releasing assistance: quarterly.

**Reports:**

At the end of the fifth fiscal year, a final review of progress toward accomplishment of goals is due. Quarterly PSC-272. Interim review of progress toward accomplishment of the goals of the plan are due at the end of each of the first four fiscal years. Annual SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States are required to maintain adequate fiscal records, and to make reports as required by DHHS.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$281,744,408; FY 09 est \$281,744,000; FY 10 est \$281,744,000

**Range and Average of Financial Assistance:**

States and Territories: \$155,411 to \$32,836,943 with an average of \$5,292,636  
Tribes: \$1,314 to \$937,529 with an average of \$37,558.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 213 grants were awarded. Fiscal Year 2009: It is anticipated for FY 2009 that 213 grants will be awarded. Fiscal Year 2010: It is anticipated for FY 2010 that 213 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrator, ACY. (See Appendix IV of the Catalog for a list of addresses of the Regional offices.)

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW, Washington, District of Columbia 20024  
Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.648 Child Welfare Services Training Grants; 93.658 Foster Care Title IV-E; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Section 1110, 42 U.S.C 1310.

**OBJECTIVES:**

To promote research and demonstrations related to the prevention and reduction of dependency or the administration and effectiveness of programs related to that purpose.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families' (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instructions, or proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS Web site at <http://www.os.dhhs.gov/fbci/waisgate21.pdf>. Discretionary funding may be used for contracts or grants, including cooperative agreements, for the cost of research or demonstration projects, or which will aid in effecting coordination

and planning between private and public welfare agencies or which will improve the effectiveness of programs carried on or assisted under the Social Security Act or related programs.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith-based and community organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to nonprofit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR Part 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.Grants.gov](http://www.Grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing

program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment Management will establish an account from which a grantee may draw down awards. For additional information on this process see:

[http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees will be required to submit program progress reports throughout the project period. Program progress reports are due 30 days after the reporting period. Final reports are due 90 days after the close of the project period. Beginning with FY 2009 awards, ACF grantees will begin using a standard format for performance progress reports, implemented through ACF's Office of Grants Management (OGM) and entitled the "ACF-OGM-SF-PPR. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees will be required to submit financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees use the Financial Status Report (FSR) SF-269 (long form) for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$20,937,130; FY 09 est \$20,260,000; FY 10 est \$5,762,000 - We funded \$14,937,130 in grants earmarked by Congress under the Consolidated Appropriations Act, 2008 (Public Law 110-161). We anticipate funding \$14,498,000 for this purpose in FY 2009 and \$0 in FY 2010.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008 funding was provided to 21 research and evaluation projects through contracts or grants related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. We funded 90 grants earmarked by Congress under the Consolidated Appropriations Act, 2008 (Public Law 110-161). Fiscal Year 2009: We anticipate funding a similar number of projects related to these areas of interest in fiscal year 2009. Fiscal Year 2010: We anticipate funding 15-25 research and evaluation projects related to prevention or reduction of dependency, or the administration of and effectiveness of programs related to that purpose, in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.Grants.gov](http://www.Grants.gov) and <http://www.hhs.gov/grantsnet/roadmap/index.html>. Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.)

**Headquarters Office:**

Karl J. Koerper Office of Planning, Research and Evaluation  
Administration for Children and Families  
370 L'Enfant Promenade, SW  
7th Floor, West, Washington, District of Columbia 20447 Email:  
Karl.Koerper@acf.hhs.gov Phone: 2024014535

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, we funded projects testing promising strategies to serve the hard-to-employ and job retention and advancement, research on strengthening families, a national study of children who are at risk of abuse or neglect or are in the child welfare system, and an initiative to help states improve the effectiveness of their Temporary Assistance for Needy Families Programs and to bolster their ability to conduct program evaluation and research. We funded 90 grants earmarked by Congress under the Consolidated Appropriations Act, 2008 (Public Law 110-161). More information describing research and evaluation projects we have funded can be found at <http://www.acf.hhs.gov/programs/opre/>. Fiscal Year 2009: We anticipate funding a similar number of projects related to prevention, or reduction of dependency or the administration of and effectiveness of programs related to that purpose, in fiscal year 2009. Fiscal Year 2010: We anticipate funding approximately 15-25 projects related to prevention, or reduction of dependency or the administration of and effectiveness of programs related to that purpose, in fiscal year 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.648 CHILD WELFARE RESEARCH TRAINING OR DEMONSTRATION****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 426, [42 U.S.C. 626], as amended including Section 429, 42 U.S.C., 628B, Section 429, 42 U.S.C 628b.

**OBJECTIVES:**

To support research and demonstration projects which are of national or regional significance and special projects for the demonstration of new methods which show promise of substantial contribution to the advancement of child welfare. To demonstrate the utilization of research in the field of child welfare to encourage experimental and special types of child welfare services. To provide professional education opportunities to prospective and current child welfare agency staff and to develop competency-based training curricula and special projects for training child welfare personnel in specific areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or

local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Applicant Eligibility:**

Child Welfare research or demonstration projects of national or regional significance. Utilization of child welfare research to encourage experimental and special types of welfare services.

**Beneficiary Eligibility:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Credentials/Documentation:**

Grants to educational institutions are made only to accredited institutions. Costs are determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. Nonprofit organizations must provide proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms, as furnished by HHS must be used for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications made in the format provided by and at the time specified in the annual Funding Opportunity Announcements of the availability of funds.

**Award Procedure:**

Grants are awarded after review by a panel of mostly nonfederal persons, with final decision by the Commissioner, ACYF in the Headquarters office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, 16.

**Renewals:**

Renewals and extensions are available through formal submission of progress reports and continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration is specified in announcement. See the following for information on how assistance is awarded/released: The manner of the assistance awarded and/or released is specified in the announcement.

**Reports:**

Program reports are not applicable. Submitted biannually: PSC - 272. Submitted biannually: SF - PPR. Submitted biannually: SF - 269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required in accordance with the requirement in 45 CFR 74 and 92.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$7,206,858; FY 09 est \$7,207,000; FY 10 est \$27,207,000

**Range and Average of Financial Assistance:**

Grants ranged from \$249,320 to \$3,300,000 with the average award being \$392,760.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008 7 grants were awarded. Fiscal Year 2009: In fiscal year 2009 7 grants were awarded. Fiscal Year 2010: In fiscal year 2010, 14 grants are projected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF.

**Headquarters Office:**

Donna Hornsby 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: donna.hornsby@acf.hhs.gov Phone: 202-205-8405

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which the proposal shows promise of meeting specific objectives defined in the annual program announcement; (2) reasonableness of cost; and (3) qualifications of the applicant organization and staff, and (4) quality of the methodology.

**93.652 ADOPTION OPPORTUNITIES**

Adoption Opportunities

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Title II; Public Law 95-266; Public Law 100-294; Public Law 102-295; Public Law 104-234, Public Law 111-8, 42 U.S.C 5111 et. seq.

**OBJECTIVES:**

To facilitate the elimination of barriers to adoption and to provide permanent, loving home environments for children who would benefit from adoption, particularly children with special needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and contracts are for (1) the development and implementation of a national adoption and foster care data gathering and analysis system, and a national adoption information exchange system; (2) education, training and technical assistance programs on adoption, (3) ongoing and extensive recruitment on the national level, (4) supporting and studying the placement of

children in kinship care arrangements, pre-adoptive, or adoptive homes, (5) maintain a national resource center for special needs adoption, (6) minority recruitment, (7) provision of post legal adoption services, (8) improving the permanent placement rate of children, especially older children, in foster care, (9) improve efforts to eliminate interjurisdictional adoption barriers; (10) study the manner in which interstate placements are financed; (11) best practice recommendations for inter- and intra-state adoptions and how State definitions of special needs differentiate and/or group similar categories of children; and, (12) research adoption outcomes and factors that affect these outcomes.

**Applicant Eligibility:**

Grants or Contracts: State, local government entities, public or private licensed child welfare or adoption agencies or community based other organizations, or adoptive family groups, minority groups, sectarian institutions.

**Beneficiary Eligibility:**

Children who are in foster care and with the goal of adoption.

**Credentials/Documentation:**

Nonprofit organizations which have not previously had Office of Management Services or ACF support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined by 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited consultation available at Headquarters Office. The standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted to the Administration on Children, Youth and Families' (ACYF) Operations Center listed in the program announcement.

**Award Procedure:**

After review and recommendation by a nonfederal panel, the Commissioner, ACYF, makes final decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Determined annually and specified in the annual program announcement which is posted to Grants.gov.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Renewals are available for multi-year grants through formal submission of progress reports and continuation applications. Funding for multi-year grants is provided on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula or matching requirements; however, administratively-required matching is described in the annual program announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may extend from 3 to 5 years. Average duration is expected to be 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. PSC-272. Semi-annual progress reports. Final progress report due 90 days after completion of grant. Semi-annual financial reports. Final financial report due 90 days after completion of grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to keep financial and other grant records for 3 years after the completion of the grant or completion of audit whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$26,379,000; FY 09 est \$26,379,000; FY 10 est \$26,379,000

**Range and Average of Financial Assistance:**

FY 08: \$250,000 to \$1,800,000 with an average of \$475,655.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 45 grantees were awarded funds. Fiscal Year 2009: It is anticipated that approximately 38 grants will be awarded in fiscal year 2009. Fiscal Year 2010: It is anticipated that approximately 38 grants will be awarded in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Priority statements, application information and submission deadline available at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carole Thompson Children's Bureau, Administration for Children and Families, 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: carole.thompson@acf.hhs.gov Phone: (202) 260-7794

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Developing services and support for youth who wish to retain contact with family members in order to improve permanency outcomes; and Field Initiated Services Demonstration projects in the adoption field. The Healthy Marriage Initiative, which began in 2002, is designed to help couples who have chosen marriage for themselves gain access to services that will help them acquire the skills and knowledge necessary to form and sustain a healthy marriage. The Administration for Children and Families (ACF) began awarding the initial grants in 2003. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which proposal shows promise of meeting specific objectives defined in a program announcement; (2) innovation and advancement of the field, (3) reasonableness of cost; and (4) qualification of staff.

**93.658 FOSTER CARE\_TITLE IV-E**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470, et seq.; as amended.

**OBJECTIVES:**

The Title IV-E Foster Care program helps States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) to provide safe and stable out-of-home care for children under the jurisdiction of the State or Tribal child

welfare agency until the children are returned home safely; placed with adoptive families, or placed in other planned arrangements for permanency. The program provides funds to assist with the costs of foster care maintenance for eligible children; administrative costs to manage the program; and training for public agency staff, foster parents and certain private agency staff. In addition, \$3 million is reserved for technical assistance and plan development/implementation grants to eligible Tribes beginning in FY 09.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (for administration projects authorized under Section

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used by the State or local (under State supervision) child welfare agency or by the Tribal child welfare agency for FFP in foster care maintenance payments on behalf of eligible children; for administrative and training costs; and for costs related to design, implement and operate a statewide data collection system. Funds may not be used for costs of social services such as those that provide counseling or treatment to ameliorate or remedy personal problem, behaviors, or home conditions for a child, the child's family, or the child's foster family. Plan development/implementation grants to Tribes are one-time grants for projects lasting up to 24 months that are to be used to develop a plan to operate a Title IV-E program for foster care, adoption assistance and kinship guardianship as specified under section 479B of Title IV-E. The Tribe must submit a plan for the Title IV-E program within 24 months of receiving the plan development grant or must repay the grant funds, unless the HHS Secretary waives the requirements under section 471 to carry out a program under section 479B. There is \$3 million reserved for technical assistance and plan development/implementation grants to eligible Tribes beginning in FY 09.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico, and Indian Tribes.

**Beneficiary Eligibility:**

Eligible children whose removal and placement in foster care are in accordance with a voluntary placement agreement or judicial determinations to the effect that continuation in the home would be contrary to the child's welfare and that reasonable efforts were made to prevent the removal (or that such efforts were not necessary), and whose placement and care are the responsibility of the State or Tribal agency administering the title IV-E program.

**Credentials/Documentation:**

Formula Grants: Costs are determined in accordance with 45 CFR 74. Plan Development/Implementation Grants: Non-profit agencies must submit proof of non-profit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation is available to States and Tribes from Regional Administration for Children and Families (AFC) offices. Plan Development/Implementation Grants: Standard application forms as furnished by HHS must be used. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Formula Grants: Applications (title IV-E plans) must be submitted to the ACF Regional Child Welfare Program Manager for approval using the standard application forms as furnished by HHS. Plan Development/Implementation Grants: Announcement of availability of funds for these grants is published on grants.gov and the ACF website, [www.acf.hhs.gov/grants/open](http://www.acf.hhs.gov/grants/open). Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Formula Grants: Quarterly awards are made on the basis of estimated expenditures that are later revised accordingly to include only actual allowable expenditures. Estimates are due July 30, October 30, January 30, and April 30. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS). Plan Development/Implementation Grants: Applications are reviewed by



professional Federal staff with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner, Administration on Children, Youth and Families (AF).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Formula Grants: HHS approves or disapproves title IV-E plans within 45 days of receipt by HHS. Plan Development/Implementation Grants: HHS approves or disapproves within 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without renewal but title IV-E plans may be amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: FFP for foster care maintenance payments incurred by a State or local agency is equal to the Federal State medical assistance percentage (FMAP) rate for that State, i.e., the Federal share of payments is from 50 percent to 83 percent, depending on the State (Section 474(a)(1) and 1905(b) of the Social Security Act). For Tribes, the applicable FMAP rate is the highest of either a separate FMAP rate calculated based on the Tribe's service population or the FMAP rate for any State in which the Tribe is located. Training and other administrative expenditures are matched at 75 and 50 percent Federal share, respectively (Sec. 474(a) of the Social Security Act). Plan Development/Implementation grants are available up to a maximum of \$300,000. There is no matching requirement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula Grants: Funds are paid quarterly through a letter of credit. Plan Development/Implementation Grants: Are provided on a one-time basis for generally 12 - 24 month project periods. Renewal funding for multiple year grants is dependent upon grantee performance and availability of funds. See the following for information on how assistance is awarded/released: See above.

**Reports:**

Plan Development/Implementation Grants: Financial and program reports are required in accordance with the program announcement. PSC-272. Progress reports are not applicable. Formula Grants: Expenditure reports must be submitted 30 days after the end of each quarter. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

Formula Grants: States and Tribes must maintain all financial and programmatic records that substantiate established eligibility, allocated indirect and direct costs, and awarded grants in accordance with requirements in HHS regulations at 45 CFR 92.42 and written guidance from ACF. Plan Development/Implementation Grants: All financial records are to be maintained for 3 years after termination of the project or until a required audit is completed, whichever comes first.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$4,525,443,000; FY 09 est \$4,663,000,000; FY 10 est \$4,684,000,000 - ARRA grants in FY 09 are estimated at \$178,000,000.

ARRA grants for FY 2010 are estimated at \$158,000,000.

**Range and Average of Financial Assistance:**

Formula Grants: \$1,228,654 to \$1,318,924,312 with an average of \$88,402,275. Plan Development/Implementation Grants: Estimated as ranging from \$50,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 51 grants made in fiscal year 2008 serving approximately 198,000 children per month. Fiscal Year 2009: It is estimated that 52 grants will be made in fiscal year 2009 serving approximately 188,000 children per month. Fiscal Year 2010: It is estimated that 52 grants will be made in fiscal year 2010 serving approximately 174,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Consult Children's Bureau Regional Child Welfare Program Manager.(See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

**Headquarters Office:**

Jennifer Butler-Hembree 1250 Maryland Ave, SW, Washington, District of Columbia 20024 Phone: 225-654-2527

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.560 Family Support Payments to States Assistance Payments; 93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services State Grants; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.659 ADOPTION ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470 et seq; as amended.

**OBJECTIVES:**

To provide Federal Financial Participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) in adoption subsidy costs for the adoption of children with special needs and who meet certain eligibility tests.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

All parents adopting special needs children are eligible for the nonrecurring cost of adoption. Federal subsidy may be used only in support of the adoption of children who meet the definition of special needs as specified in the Statute. States and Tribes may receive Federal Financial Participation (FFP) only if title IV-E plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, and Puerto Rico, and to Tribes with approved title IV-E plans.

**Beneficiary Eligibility:**

Beneficiaries are children who are: (1) in Title IV-E foster care, eligible for AFDC (as in effect July 16, 1996) although this requirement is being phased out between 2010 and 2018, SSI recipients, the minor child living with his/her parent who is in title IV-E Foster Care; or was previously adopted and eligible for adoption assistance but the adoption dissolved or the adoptive parents died and (2) have been determined by the State or Tribe to be special needs, e.g., a

special factor or condition which makes it reasonable to conclude that they cannot be adopted without adoption assistance; a State or Tribe determination that the child cannot or should not be returned home; and a reasonable effort has been made to place the child without providing financial or medical assistance. FFP is available from the time of placement for adoption in accordance with State, local or Tribal law or final adoption decree to age 18 (21 if the State/Tribe finds that a disability means aid should continue) as long as the parent supports the child. No child adopted prior to the approval of the State or Tribal Title IV-E plan is eligible for FFP. No means test applies to adopting parents, but the amount of subsidy is agreed to by agency and parents and may be readjusted by joint agreement.

**Credentials/Documentation:**

The State or Tribe must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation to States and Tribes is available from Regional Offices of ACF, HHS. The standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications (title IV-E plans) are submitted to the Regional Office (RO) of ACF.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable expenditures. Estimates are due July 30, October 30, January 30, and April 30. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. HHS will approve/disapprove applications (State plans or amendments to them) within 45 days of receipt by HHS.

**Appeals:**

Refer to 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:  
Matching Requirements: FFP for adoption assistance is equal to the Federal medical assistance percentage (as defined in section 1905(b) of the Social Security Act) of the total expended for adoption assistance payments, 75 percent of training costs, and 50 percent of other administrative costs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. Method of awarding/releasing assistance: quarterly.

**Reports:**

Other reports due as required by the Secretary. PSC-272. Progress reports are not applicable. Quarterly expenditure reports are required 30 days after the end of the quarter. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States and Tribes must maintain records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, allocated and direct administrative and training costs, and the provision of financial assistance.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$2,037,695,794; FY 09 est \$2,371,000,000; FY 10 est \$2,462,000,000 - ARRA grants in FY 09 are estimated to be \$210,000,000. ARRA grants in FY 2010 are estimated to be \$206,000,000.

**Range and Average of Financial Assistance:**

FY 08: \$750,411 to \$372,212,637 with an average of \$39,954,820.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 51 grants made in fiscal year 2008 with an estimated average of 399,000 children per month assisted. Fiscal Year 2009: It is estimated that 52 grants will be made in fiscal year 2009 with an estimated average of 412,000 children per month assisted. Fiscal Year 2010: It is estimated that 52 grants will be made in fiscal year 2010 with an estimated 426,000 children per month assisted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Proposed Rulemaking; 45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.).

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW, Washington, District of Columbia 20024  
Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.652 Adoption Opportunities; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.667 SOCIAL SERVICES BLOCK GRANT**

SSBG Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Jobs Training Bill, Public Law 98-8 and 473; Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Family Support Act of 1998, Public Law 100-485; Omnibus Budget Reconciliation Act of 1993, Public Law 106-66, 42 U.S.C 1397 ET seq.

**OBJECTIVES:**

To enable each State to furnish social services best suited to the needs of the individuals residing in the State. Federal block grant funds may be used to provide services directed toward one of the following five goals specified in the law: (1) To prevent, reduce, or eliminate dependency; (2) to achieve or maintain self-sufficiency; (3) to prevent neglect, abuse, or exploitation of children and adults; (4) to prevent or reduce inappropriate institutional care; and (5) to secure admission or referral for institutional care when other forms of care are not appropriate. In addition, special funding was provided to some states in fiscal year 1995 and 1996 for supplemental SSBG grants in support comprehensive of

community revitalization projects in 104 federally designated Empowerment Zones (EZs) and Enterprise Communities (ECs). The supplemental funding is called "EZ/EC SSBG." The States, through the designated localities, may use the EZ/EC SSBG funds for activities included in each locality's strategic plan for comprehensive revitalization and directed toward goals 1,2 or 3 listed above. These funds will remain available until December 21, 2004. Information about this component of the SSBG is included below as appropriate.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds may be used by States for the proper and efficient operation of social service programs. Except for items (1) and (4) below, for which a waiver from the Secretary may be requested, Federal funds cannot be used for the following: (1) The purchase or improvement of land, or the purchase, construction, or permanent improvement of any building or other facility; (2) the provision of cash payments for costs of subsistence or the provision of room and board (other than costs of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary shelter provided as a protective service); (3) the payment of wages to any individual as a social service (other than payment of wages to welfare recipients employed in the provision of child day care services); (4) the provision of medical care (other than family planning services, rehabilitation services or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which grants may be used; (5) social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of any hospital, skilled nursing facility, intermediate care facility, or prison, to any individual living in such institution; (6) the provision of any educational service which the State makes generally available to its residents without cost and without regard to their income; (7) any child day care service unless such service meets applicable standards of State and local law; (8) the provision of cash payments as a service; or (9) for payment for any item or service (other than an emergency item or service) furnished by an individual or entity during the period when such individual or entity is excluded pursuant to Section 1128 or Section 1128(A) of the Social Security Act from participation in this program; or at the medical direction or on the prescription of a physician during the period when the physician is excluded based on Section 1128 or 1128(A) from participation in the program and when the person furnishing such item or service knew or had reason to know of the exclusion (after a reasonable time period after reasonable notice has been furnished to the person). A State may transfer up to 10 percent of its allotment for any fiscal year to the preventive health and health services, alcohol and drug abuse, mental health services, maternal and child health services, and low-income home energy assistance block grants.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

Under Title XX, each eligible jurisdiction determines the services that will be provided and the individuals that will be eligible to receive services.

**Credentials/Documentation:**

Prior to expenditure of funds, the State must report on the intended use of the payments the State is to receive, including information on the types of activities to be supported and the categories or characteristics of individuals to be served. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a pre-expenditure report application is required.

**Award Procedure:**

States are awarded funds quarterly.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Departmental Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded quarterly on a fiscal year basis. The Electronic Transfer System will be used based on quarterly grant awards for monthly cash draws from Federal Reserve Banks. The funds will remain available for projects and programs in the designated localities until December 21, 2004. Method of awarding/releasing assistance: quarterly.

**Reports:**

An annual report is required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain records documenting the purposes for which expenditures were made.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$1,700,000,000; FY 09 est \$2,300,000,000; FY 10 est \$1,700,000,000

**Range and Average of Financial Assistance:**

\$48,518 to \$206,071,998 ; \$29,824,563.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A total of 57 grants were awarded in FY 2008. Fiscal Year 2009: It is estimated that 78 grants will be awarded in FY 2009, of which 21 grants are for the Disaster Relief Funds. Fiscal Year 2010: It is estimated that 57 grants will be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

See Regional Agency Offices. Local Office: Not applicable. Regional Office: Office of Community Services Regional Liaisons in the Office of the Regional Administrator. (See Appendix IV of the Catalog for Regional Offices.)

**Headquarters Office:**

Division of State Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services 370 L'Enfant Promenade, SW., Washington, District of Columbia 20201 Email: POC@DHS.GOV Phone: (202) 401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/ssbg>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive

Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.600 Head Start; 93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.645 Child Welfare Services State Grants; 93.647 Social Services Research and Demonstration; 93.658 Foster Care Title IV-E; 93.669 Child Abuse and Neglect State Grants; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All States, the District of Columbia, and the five other jurisdictions will receive their share of funds if they submit a pre-expenditure report that meets the requirements.

**93.669 CHILD ABUSE AND NEGLECT STATE GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act Amendments, Public Law 104-235; Keeping Children and Families Safe Act of 2003, Public Law 108-36, 42 U.S.C 5101 et seq.; Child Abuse, Domestic Violence, Adoption, and Family Services Act of 1992, Public Law 102-295; Child Abuse Prevention, Adoption and Family Services Act of 1988, Title I, Public Law 100-294; Juvenile Justice and Delinquency Prevention Act Amendments of 1992, Public Law 102-586.

**OBJECTIVES:**

To assist States in the support and improvement of their child protective services systems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The CAPTA Basic State Grant is a formula grant to States only, to be used for improving child protective services systems. For complete details on the types of activities that this grant funds, please see [www.acf.hhs.gov/programs/cb/laws](http://www.acf.hhs.gov/programs/cb/laws), and select capta03.

States can choose from a wide variety of activities as outlined in the legislation.

Examples include improving the intake, assessment, screening, and investigation of reports of abuse and neglect; creating and improving the use of multidisciplinary teams and interagency protocols to enhance investigations; improving legal preparation and representation, case management; developing, improving, and implementing risk and safety assessment tools and protocols; developing and updating systems of technology; training regarding research-based strategies to promote collaboration with the families, legal duties of such individuals and personal safety training for case workers; improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals; developing and delivering information to improve public education relating to the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect; supporting and enhancing collaboration among public health agencies, the child protection system, and private community-based programs to provide child abuse and neglect prevention and treatment services (including linkages with education systems) and to address the health needs, including mental health needs, of children identified as abused or neglected, including supporting prompt, comprehensive health and developmental evaluations for children who are the subject of substantiated child maltreatment reports.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, the Republic of Palau, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements attached to the beneficiaries of these funds (abused and neglected children and their families).

**Credentials/Documentation:**

State plans require certification of the State's eligibility under Section 106(b) of the authorizing legislation. Applicable costs and administrative procedure will be determined in accordance with 45 CFR 74 and 92.

In order to be eligible for the Basic State Grant under CAPTA, there are a variety of assurances that the governor must provide in the form of a certification that the State has in effect and is enforcing a State law, or has in effect and is operating a statewide program. These assurances are numerous. For complete details please see the CAPTA legislation at [www.acf.hhs.gov/programs/cb/laws](http://www.acf.hhs.gov/programs/cb/laws), and scroll to capta03.

To the extent practicable, States are encouraged to participate in submitting data to the National Child Abuse and Neglect Data System (NCANDS) project. The Children's Bureau (CB) produces an annual national data report, the most recent of which is entitled Child Maltreatment 2007.

Assurances include provisions or procedures on reporting child abuse and neglect; the intake, assessment, screening, and investigation of reports of abuse and neglect; an appeals process; policies and procedures (including appropriate referrals to child protection service systems and for other appropriate services) to address the needs of substance exposed newborns; provisions for immunity for individuals making good faith reports; confidentiality of all records to protect the rights of the child and of the child's parents or guardians; disclosure provisions including those which allow for public disclosure of the findings or information about the case of child abuse or neglect which has resulted in a child fatality or near fatality; procedures to promptly expunge unsubstantiated records; provisions for appointment of a guardian ad litem or CASA to represent the child in judicial proceedings; expedited termination of parental rights in the case of any infant determined to be abandoned under State law; provisions and procedures for improving the training, retention, and supervision of caseworkers; processes for referral of a child under the age of 3 who is involved in a substantiated case of child abuse or neglect to early intervention services funded under part C of the Individuals with Disabilities Education Act; provisions for requiring criminal background checks for prospective foster and adoptive parents and other adult relatives and non-relatives residing in the household; procedures for responding to medical neglect; prevention efforts, caseworker training, community education, and the establishment of Citizen Review Panels. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Technical assistance is available at the regional level to assist States in meeting conditions specified in the Act. The five-year State plan application and approval process under CAPTA is consolidated with the comprehensive Child and Family Services Plan under Title IV-B of the Social Security Act. The State plan may be submitted in a format best suited to a State's need and must be accompanied by the information, certifications, assurances, and documentation required by the annual program instruction. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State plans and updates must be submitted to the Regional Offices. Complete information is furnished annually to the appropriate State office regarding format and timing of State plan applications and updates.

**Award Procedure:**

State plans and updates are reviewed at the Regional level; Children's Bureau Regional Program Managers have approval/disapproval authority for these grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 2 to 3 months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Grants are made annually. States submit a five-year plan and annual updates are required each year.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. Method of awarding/releasing assistance: quarterly.

**Reports:**

Financial data and annual reporting requirements are described in annual Program Instructions. Financial data and annual reporting requirements are described in annual Program Instructions. No progress reports are required. Financial data and annual reporting requirements are described in annual Program Instructions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$26,535,188; FY 09 est \$26,535,000; FY 10 est \$26,535,000

**Range and Average of Financial Assistance:**

In FY 2008, grants ranged from \$55,618 to \$3,069,656 with an average award of \$482,484.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 56 grants were awarded to States to support and improve their State Child protective services systems. Fiscal Year 2009: It is anticipated that 56 grants will be awarded in FY 2009. Fiscal Year 2010: It is anticipated that 56 grants will be awarded in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 45 CFR 1340; annual Program Instruction.

**Regional or Local Office:**

See Regional Agency Offices. Children's Bureau Regional Program Managers.

**Headquarters Office:**

Emily Cooke 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: emily.cooke@acf.hhs.gov Phone: 2022058709

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants to 51 States and five Territorial governments for one or more of the following purposes: (1) The intake, assessment, screening, and investigation of reports of abuse and neglect; (2) creating and improving the use of multidisciplinary teams and interagency protocols to enhance investigations, and improving legal preparation and representation; (3) case management, on-going case monitoring, and delivery of services and treatment provided to children and their families; (4) enhancing the general child protective system by developing, improving, and implementing risk and safety assessment tools and protocols; (5) developing and updating systems of technology that support the program and track reports of child abuse and neglect from intake through final disposition and allow interstate and intrastate information exchange; (6) developing, strengthening, and facilitating training including (A) training regarding research-based strategies to promote collaboration with the families; (B) training regarding the legal duties of such individuals; and (C) personal safety training for caseworkers; (7) improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals, through the child protection system, including improvements in the recruitment and retention of caseworkers; (8) developing and facilitating training protocols for individuals mandated to report child abuse or neglect; (9) developing and facilitating research-based strategies for training individuals mandated to report child abuse or neglect; (10) developing, implementing, or operating programs to assist in obtaining or coordinating necessary services for families of disabled infants with life-threatening conditions; (11) developing and delivering information to educate the public on the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect; (12) developing and enhancing the capacity of community-based programs to integrate shared leadership strategies between parents and professionals to prevent and treat child abuse and neglect at the neighborhood level; (13) supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment; and (14) supporting and enhancing collaboration among public health agencies, the child protection system, and private community-based programs to provide child abuse and neglect prevention and treatment services (including linkages with education systems) and to address the health needs, including mental health needs, of children identified as abused or neglected. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States which submit State plans and updates in accordance with the annual updates and statutory requirements.

**93.670 CHILD ABUSE AND NEGLECT DISCRETIONARY ACTIVITIES FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act, Title I, as amended, 42 U.S.C 5101 et seq.

**OBJECTIVES:**

To improve the national, State, community and family activities for the prevention, assessment, identification, and treatment of child abuse and neglect through research, demonstration, service improvement, evaluation of best practices, dissemination of information, and technical assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants or Contracts are provided for: (1) Technical assistance to public and private nonprofit agencies; (2) research and service demonstration projects to identify, assess, prevent, and treat child abuse and neglect; (3) research into the incidence, consequences, and prevalence of child abuse and neglect; and (4) for the dissemination of information on the incidence, causes, prevention and treatment of child abuse and neglect.

**Applicant Eligibility:**

Grants: States, local governments, tribes, public agencies or private agencies or

organizations (or combinations of such agencies or organizations) engaged in activities related to the prevention, identification, and treatment of child abuse and neglect. Contracts: Public and private agencies.

**Beneficiary Eligibility:**

Abused and neglected children and their families.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by the U.S. Department of Health and Human Services (HHS) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is published on grants.gov and the ACF web-site, www.acf.hhs.gov/grants/open. Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of nonfederal professionals with expertise in the child abuse and neglect field. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF). Contract proposals are reviewed by a panel of Federal staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines change from year to year. Each program announcement provides specific deadline information. Contact Headquarters Office for details.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Some projects are awarded with a provision for non-competitive renewal. Most grants are one-time awards. Renewals may be subject to a competitive process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching requirements are described in each program announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally available for a 12, 24, 36 or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are required semiannually with a final report at completion of the project. PSC-272. No progress reports are required. Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$37,128,542; FY 09 est \$41,757,000; FY 10 est \$39,345,000

**Range and Average of Financial Assistance:**

FY 08: \$85,480 to \$1,684,537 with an average award of \$363,522.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008, 63 grants were awarded. Fiscal Year 2009: In FY 2009, an estimated 62 grants will be awarded. Fiscal Year 2010: In FY 2010, an estimated 55 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer Director, Research and Innovation Division, Children's Bureau, 1250 Maryland Ave, SW, Washington, District of Columbia 20024 Phone: (202) 205-8172.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: National Resource Center for Community Based Child Abuse Prevention Programs; National Resource Center on Child Protective Services; Systems of Care grants to improve child welfare outcomes; Replications of Demonstrated Effective Practices in the Prevention of Child Abuse and Neglect; Longitudinal Research on Child Abuse and Neglect. Fiscal Year 2009: Rigorous Evaluations of Existing Child Abuse Prevention Programs. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the annual program announcement including, but not limited to: (1) Reasonableness of cost; (2) qualifications of staff; and (3) relevance to stated areas of interest.

**93.671 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_GRANTS TO STATES AND INDIAN TRIBES**

Family Violence Prevention and Services Act Formula Grants for States and Indian Tribes

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Family Violence Prevention and Services Act as extended by the Department of Health and Human Services Appropriations Act 2009, Public Law 111-8, 42 U.S.C 10401-10421.

**OBJECTIVES:**

To assist States and Indian Tribes in the prevention of family violence and the provision of immediate shelter and related assistance for victims of family violence and their dependents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used by States for grants to local public agencies and nonprofit private organizations to prevent incidents of family violence and to provide immediate shelter and related assistance to victims of family violence. States must give special emphasis to the support of community-based projects of demonstrated effectiveness carried out by nonprofit private organizations, particularly those projects where the primary purpose is to operate shelters for victims of family violence, and those which provide counseling, advocacy, and self-help services to victims and their children. States and Indian Tribes may not impose an income eligibility standard on individuals receiving services supported by funds appropriated under this Act and Federal funds may not be used as direct payment to any victim of family violence. No less than 70 percent of the funds distributed must be used for immediate shelter and related assistance, and no less than 25 percent for related assistance.

**Applicant Eligibility:**

The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and federally recognized Indian Tribes.

**Beneficiary Eligibility:**

This program will benefit victims of family violence and their dependents.

**Credentials/Documentation:**

States and Indian Tribes must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR, Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet at the following website:  
<http://www.acf.hhs.gov/grants>.

**Award Procedure:**

Formula grants are awarded directly to States, U.S. territories and insular areas, and eligible Indian Tribes.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Department Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

State allocations must be (expended) by States and Indian tribes by the end of the fiscal year following the fiscal year in which the grant was received. Method of awarding/releasing assistance: lump sum.

**Reports:**

The Administration for Children and Families is required to submit a biennial

Family Violence Prevention and Services Program Report to Congress. Cash reports are not applicable. Grantees are required to submit an annual Performance Progress Report within 90 days following the end of the fiscal year. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 08 \$98,042,000; FY 09 est \$102,221,000; FY 10 est \$102,221,000 - In fiscal year 2008 - \$85,800,000 (Shelter) and \$12,300,000 (Tribal), In fiscal year 2009 - est \$89,400,000 - (Shelter) and \$12,800,000 (Tribal) and in fiscal year 2010 - est. \$89,400,000 (Shelter) and \$12,800,000 (Tribal).

**Range and Average of Financial Assistance:**

States: 718,710 to \$7,204,366; Indian Tribes:\$20,332 to \$2,013,157.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 234 grants were made to States and Indian Tribes for immediate shelter and related assistance. Support continued for shelters in rural and underserved areas, special programs for children of victims of family violence, support for public awareness programs to break the cycle of violence, and demonstration of service models that address elder abuse. Fiscal Year 2009: 234 continuation grants will be made to States and Indian Tribes for immediate shelter and related assistance. Support continued for shelters in rural and underserved areas, special programs for children of victims of family violence, support for public awareness programs to break the cycle of violence, and demonstration of service models that address elder abuse. Fiscal Year 2010: 234 grants is anticipated to be made to States and Indian Tribes for immediate shelter and related assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. Final Rulemaking was published February 22, 1996, at 45 CFR 1370.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [marylouise.kelly@acf.hhs.gov](mailto:marylouise.kelly@acf.hhs.gov) Phone: 202-401-5756

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.556 Promoting Safe and Stable Families; 93.612 Native American Programs; 93.645 Child Welfare Services State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 234 grants were made to States and Indian Tribes for immediate shelter and related assistance. Fiscal Year 2009: It is anticipated that 234 grants will be continued to States and Indian Tribes for immediate shelter and related assistance. Fiscal Year 2010: It is anticipated that 234 grants will be awarded to States and Indian Tribes for immediate shelter and related assistance.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State and eligible jurisdiction, including eligible federally-recognized Indian Tribes, will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.674 CHAFEE FOSTER CARE INDEPENDENCE PROGRAM (CFCIP)****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 477, Public Law 110-351; as amended.

**OBJECTIVES:**

To assist States and eligible Indian Tribes in establishing and carrying out programs designed to assist foster youth likely to remain in foster care until 18 years of age, youth who leave foster care for adoption or kinship guardianship after attaining age 16, and youth who have left foster care because they attained 18 years of age and have not yet attained 21 years of age, to make the transition from foster care to self-sufficiency.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to assist youth: to make the transition to self-sufficiency; to receive education, training and related services; to prepare for and obtain employment; to prepare for and enter post secondary training and educational institutions; to provide personal and emotional support to youth through mentors and the promotion of interactions with dedicated adults; and to provide financial, housing, counseling, employment, education, other appropriate support and services to current and former foster care recipients up to the age of 21.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico, and eligible Indian Tribes.

**Beneficiary Eligibility:**

Children and youth "who are likely to remain in foster care" until age 18, youth who left foster care to adoption or kinship guardianship after attaining age 16, and former foster care recipients up to age 21.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A five-year plan and annual updates must be submitted to the appropriate Regional Child Welfare Program Manager for the Administration for Children (ACF).

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

Jun 30, 2010 June 30, of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The State plan or its annual update is due June 30 of each year. Approval/Disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Each State is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by states into the Adoption and Foster Care Analysis and Reporting System's (AFCARS) national database will be used to calculate State allotments. The Federal government will pay 80 percent of the total amount of funds expended by the states (less any penalties) up to the amount of CFCIP funds allotted to the State. The State must provide matching contributions to cover the additional 20 percent of the costs. The minimum payable amount to a State is \$500,000. See Section 477(c) of the Social Security Act.

Matching Requirements: Percent: 20.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

States are required to submit expenditure reports and annual program reports. PSC-272. Progress reports are not applicable. SF-269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

States must maintain records which permit review of expenditures in accordance with the provisions of the law.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$137,900,000; FY 09 est \$137,900,000; FY 10 est \$137,900,000

**Range and Average of Financial Assistance:**

\$500,000 to \$20,510,930 with an average award of \$2,651,923.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 54 grants were made in the mandatory grant program. The program also supported Training and Technical Assistance through a National Resource Center and supports evaluation efforts of the program for approximately \$2.1 million. Fiscal Year 2009: Anticipate 52 grants and Training and Technical Assistance and evaluation of approximately \$2.1 million. Fiscal Year 2010: Anticipate 52 grants and Training and Technical Assistance and evaluation of approximately \$2.1 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instruction (PI) ACYF-CB-PI-01-02, dates February 13, 2001; ACYF-CB-PI-09-06 and ACYF-CB-PI-09-07, issued June 3, 2009.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administration for Children and Families. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Phone: 202-690-7888

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster



Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States meeting requirements for entitlement funds will receive grants.

**93.676 UNACCOMPANIED ALIEN CHILDREN PROGRAM**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 235, Public Law 110-457, 122 Stat. 5074-5082, 8 U.S.C 1232; Homeland Security Act of 2002, Section 462, Public Law 107-296, 116 Stat. 2202-2205, 6 U.S.C 279.

**OBJECTIVES:**

The Unaccompanied Alien Children (UAC) program was transferred to ORR from the Department of Homeland Security (DHS) on March 1, 2003, pursuant to section 462 of the Homeland Security Act. The program is designed to provide for the care and placement of unaccompanied alien minors who are apprehended in the U.S. by Homeland Security agents, Border patrol officers, or other law enforcement agencies and are taken into care pending resolution of their claims for relief under U.S. immigration law or released to adult family members or responsible adult guardians. Resolution of their claims may result in release, granting of an immigration status (such as special immigrant juvenile or asylum), voluntary departure, or removal.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant and/or contract. Services may be provided only to unaccompanied alien children who are apprehended by agents of the Department of Homeland Security or referred by other federal agencies or departments.

**Applicant Eligibility:**

State and local governments, private non-profit organizations, and private for-profit organizations.

**Beneficiary Eligibility:**

Beneficiaries are unaccompanied alien children who are in Federal custody by reason of their immigration status.

**Credentials/Documentation:**

Cost principles for private nonprofit organizations will be determined by OMB Circular No. A-122. Cost principles for state and local governments are found under OMB Circular No. A-87. Cost principles governing private for-profit organizations are found under OMB Circular No. A-76. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

ORR may enter into contracts or grants after full and open competition pursuant to regulations. However, special regulations permit other than full and open competition under any of the following circumstances: only one responsible source and no other supplies or services will satisfy agency requirements, expert services, unusual and compelling urgency, international agreement, national security, public interest, and authorized or required by statute. Any exemption requires documentation by the grants or contracting officer of the justification for any one of the circumstances listed above. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications submitted in response to program announcements under this program will undergo a pre-review to determine if applicant is eligible for funding.

**Award Procedure:**

Applications found to be eligible for funding will undergo an evaluation by an independent review panel. In the case of emergency, staff will review on the basis of specific evaluation criteria to determine applicant qualification based upon published review criteria, quality of services to be rendered, and the likelihood of the program success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The ORR Director may invite applications, if necessary, due to unusual and compelling urgency of unaccompanied alien children apprehended by law enforcement agents at the Department of Homeland Security, or referred by other federal agencies or departments. Deadlines for applications are noted in notices of funds of availability. Generally, the deadline for grant applications is 60 days after posting of the notice of funds availability.

It is anticipated that the approval/disapproval time will not exceed 30 days in urgent situations, and will not exceed 90 days in normal application situations.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon appropriations, grantee performance, and whether continuation of funding is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made on an as needed basis, and on an annual budget basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final program reports summarizing the activities and accomplishments of the program in relation to the approved goals and objectives are required. No cash reports are required. Monthly progress reports of placements are required. Additional progress reports are required, usually on a quarterly or semi-annual basis, but sometimes more frequently. Financial reports are required, usually on a quarterly or semi-annual basis. Final financial reports are also required at the end of the project period. ORR conducts programmatic and financial on-site monitoring of grantees for the purpose of ensuring that the grantee's service delivery program and financial management system meets the requirements and standards of the program. All grantees are visited at least once a year by Project Officer Staff, who regularly makes site visits, monitor the care provider grantees, and make recommendations for non-compliance or improvements. ORR regularly requires reports on a daily, weekly, monthly, semi-annual, and annual basis for a variety of functions. In the event deficiencies or needs for improvement are indicated by DUCS, the items are documented through monitoring reports and corrective action plans are drafted if necessary.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants, contracts, and other agreements. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or sub-granting entity.

**Records:**

Grant and contract recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project

period and for three years after the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-506.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$91,685,000; FY 09 est \$90,873,000; FY 10 est \$132,669,000

**Range and Average of Financial Assistance:**

In FY 2008, 26 grants were awarded, ranging from \$670,122 to \$7,736,243. In FY 2009, 28 grants and 5 contracts were awarded, ranging from \$ 517,000 to \$7,950,095 .

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program served 7,211 children in FY 2008, with 1,219 children in care on average. Fiscal Year 2009: The program expects to serve 7,600 children in FY 2009. Fiscal Year 2010: The program expects to serve 11,000 children in FY 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements can be found at <http://www.acf.hhs.gov/programs/orr>. All inquiries should be directed to the information contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Maureen Dunn 370 L'Enfant Promenade SW, 7th Floor East, Washington, District of Columbia 20447 Email: [maureen.dunn@acf.hhs.gov](mailto:maureen.dunn@acf.hhs.gov) Phone: (202) 401-5523 Fax: (202) 401-1022

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Types of care include shelter care facilities, staff-secure facilities, secure detention for children with criminal backgrounds, therapeutic group homes, group homes, residential treatment centers for children with severe and acute mental illness, temporary foster care and long term foster care, and therapeutic foster care. Fiscal Year 2009: Types of care include shelter care facilities, staff-secure facilities, secure detention for children with criminal backgrounds, therapeutic group homes, group homes, residential treatment centers for children with severe and acute mental illness, temporary foster care and long term foster care, and therapeutic foster care. Fiscal Year 2010: Expected Types of care include shelter care facilities, staff-secure facilities, secure detention for children with criminal backgrounds, therapeutic group homes, group homes, residential treatment centers for children with severe and acute mental illness, temporary foster care and long term foster care, and therapeutic foster care.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of criteria for program funds can be found at <http://www.acf.hhs.gov/programs/orr>. Please refer to the Contact section for information.

**93.701 TRANS-NIH RECOVERY ACT RESEARCH SUPPORT**

Trans -NIH Recovery Act Research Support

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To provide support for initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). These projects will provide economic stimulus to the nation while furthering the NIH mission to uncover new

knowledge that will lead to better health for everyone.

**TYPES OF ASSISTANCE:**

Project Grants (Capacity Building and Complaint Processing, Training)

**USES AND USE RESTRICTIONS:**

To support research and other projects that will support fundamental biomedical discovery and translation of that knowledge into effective prevention strategies and new treatments while also providing economic stimulus to the nation. See above.

**Applicant Eligibility:**

U.S. Territories and possessions (includes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Federal, State, Local, Sponsored organization, Public nonprofit U.S. Territoriesinstitution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, Specialized group (e.g. health professionals, students, veterans) , Private nonprofit institution/organization Small business, Profit organization, - Quasi-public nonprofit organization, Other private institution/organization, Native American Organizations.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Prepare and submit applications according to instructions provided in the applicable ARRA Funding Opportunities announcement. ARRA grant funding announcements for NIH can be found at <http://grants.nih.gov/recovery/>. This program is subject to the provisions of 45 CFR parts 74 and 92, and 42 CFR Part 52 as well as applicable federal cost principles as referenced, the NIH Grants Policy Statement, and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html> .

**Renewals:**

Renewal (competing continuation, type 2) applications to ARRA programs are not accepted unless specifically announced by the NIH Institute/Center.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

ARRA funds are available for FY2009 & FY2010 only. Award length may

vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

**Account Identification:**

75-0846-0-1-552 - TAFS Numbers: 75-0850, 75-0871, 75-0874, 75-0883, 75-0901, 75-0900, 75-0852, 75-0840, 75-0902, 75-0863, 75-0842, 75-0903, 75-0905, 75-0907, 75-0908, 75-0909, 75-0904, 75-0906, 75-0899, 75-0847, 75-0910, 75-0911, 75-0818, 75-0808, 75-0845.

**Obligations:**

(Project Grants (Capacity Building and Complaint Processing, Training)) FY 08 \$0; FY 09 est \$2,147,483,647; FY 10 est \$2,147,483,647 - 2008, \$0; 2009, \$4.1 Billion; 2010, 4.1 Billion (note: the full amount of \$8.2 Billion is available for obligation during FY 2009 & FY 2010 and is not assigned to a fiscal year).

**Range and Average of Financial Assistance:**

\$2,300 to \$3,800,000; \$620,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oer.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Financial or Grants Management contact as provided on the initiative, or Director, Office of Policy for Extramural Research Administration (OPERA), OER, NIH for award policy or application issues: 301-435-0938.

**Headquarters Office:**

OER ARRA see NIH ARRA Grants Page at Grants Contacts page at <http://grants.nih.gov/recovery/> and the NIH General Grants Contacts page at <http://grants.nih.gov/grants/contacts.htm>, Bethesda, Maryland 20892 Email: OER-ARRA@mail.nih.gov Phone: 301-435-0714

**Website Address:**

<http://www.nih.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment.

**93.702 NATIONAL CENTER FOR RESEARCH RESOURCES, RECOVERY ACT CONSTRUCTION SUPPORT**

NATIONAL CENTER FOR RESEARCH RESOURCES, RECOVERY ACT CONSTRUCTION SUPPORT

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 481A, 42 U.S.C 287.

**OBJECTIVES:**

To renovate existing research facilities and build new research facilities to meet basic and clinical space requirements, laboratory safety, biohazard containment, and animal care standards in order to support the facility demands of NIH research programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

New physical resources for research include basic research laboratories, clinical and support facilities, and those related to biohazard control that are integral parts of an overall effort. Proposed facilities must be part of an existing research effort or a developing research program. Facilities shall be used for research pertinent to the NIH mission for as long as needed. The Recovery Act has modified the usual period of Federal interest from 20 years to 10 years. Funds must be used for purposes stated in the approved grant application. See above.

**Applicant Eligibility:**

Construction/Renewal/Rehabilitation.

**Beneficiary Eligibility:**

Public nonprofit institution/organization.

**Credentials/Documentation:**

Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, the National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit institutions. For grants issued to hospitals, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication assistance is available from the address noted below under Information Contacts. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Prepare and submit

applications according to instructions provided in the applicable ARRA Funding Opportunities announcement. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement, and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantee is responsible for performance of contractor. Contractor must be covered by performance and payment bonds. Grantees are required to file a Notice of Federal Interest at the time construction begins. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

**Account Identification:**

75-0848-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$1,000,000,000; FY 10 est \$1,000,000,000

**Range and Average of Financial Assistance:**

Awards will range from \$2M to \$20M total costs. The average award is expected to be \$10M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oe.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Ms. Quadira Huff, Division Coordinator, Office of Grants Management, NCRR, 6701 Democracy Blvd., Room 1040, Bethesda, MD 20892-4874. (301) 435-0852; [huffq@mail.nih.gov](mailto:huffq@mail.nih.gov).

**Headquarters Office:**

Gregory K. Farber 6701 Democracy Blvd., Room 960, Bethesda, Maryland 20892-4874 Email: [farberg@mail.nih.gov](mailto:farberg@mail.nih.gov) Phone: (301) 435-0878

**Website Address:**

<http://www.ncrr.nih.gov>

**RELATED PROGRAMS:**

93.310 Trans-NIH Research Support; 93.702 National Center for Research Resources, Recovery Act Construction Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to this program will be evaluated for scientific and technical merit by an appropriate peer review group. The major elements in evaluating proposals include: (1) significance and need of the project, (2) the description of project management and institutional commitment, (3) evaluation of the proposed design, (4) justification for requested equipment, (5) the commitment to sustainable design/environmentally friendly design principles.

**93.703 ARRA HEALTH CENTER INTEGRATED SERVICES DEVELOPMENT INITIATIVE[G1]**

ARRA Health Center Integrated Services Development Initiative[g1]

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Establish new service delivery sites for medically underserved populations to significantly increase the number of underserved and uninsured people with access to comprehensive primary and preventive health care services (to support new sites and service areas).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds may not be used to make cash payments to intended recipients of services. See above.

**Applicant Eligibility:**

See above.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program

announcement in [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application information may be downloaded from [www.grants.gov](http://www.grants.gov). All eligible applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for Primary Health Care. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Each applicant will receive a written notification of the outcome of the objective review process and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to Conditions placed on their application before funding may proceed. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by the Grants Management Officer and is sent to the applicant agency's Authorized Representative, is the authorizing document.[g2].

**Deadlines:**

Mar 01, 2009: Please refer to application guidance for deadline dates.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not available. See the following for information on how assistance is awarded/released: Awards are made annually. After Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

No program reports are required. No cash reports are required. Annual progress report and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period. Other reports are to be submitted as specified in the grant award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$162; FY 10 est \$3

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, the Health Center program served over 16 million

patients. Fiscal Year 2009: Establish new service delivery sites for medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to significantly increase the number of underserved and uninsured people with access to comprehensive primary and preventive health care services. Fiscal Year 2010: Establish new service delivery sites for medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to significantly increase the number of underserved and uninsured people with access to comprehensive primary and preventive health care services.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Primary Health Care 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: 301-594.4110

**Website Address:**

<http://www.grants.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 93,224 Health Centers. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications are available in the funding opportunity guidance document. In addition, all applicants are expected to demonstrate compliance with applicable program requirements. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements for all of those programs.

**93.704 TRANS-NIH RECOVERY ACT LOAN REPAYMENT SUPPORT**

Trans-NIH Recovery Act Loan Repayment Support

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C 288-5a.

**OBJECTIVES:**

To provide support for NIH loan repayment initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). Initiatives will attract and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in biomedical, behavioral or clinical research in a qualifying nonprofit institution or as an employee of the NIH for 2 years for new intramural and extramural contracts.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To provide support for NIH loan repayment initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). Initiatives will attract and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in biomedical, behavioral or clinical research in a qualifying nonprofit institution or as an employee of the NIH for 2 years for new intramural and extramural contracts. Recipients must have

qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research beyond their initial contracts. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Eligible renewal applications that score within the funding range will receive continuation contracts from non-ARRA funding sources. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary State and local tax reimbursements.

**Applicant Eligibility:**

Small business (less than 500 employees).

**Beneficiary Eligibility:**

Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility recertified by the Institute or Center which approved their application. Contact the NIH via E-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

At the conclusion of the ARRA 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Eligible renewal applications that score within the funding range will receive continuation contracts from non-ARRA funding sources.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$1,040 to \$31,679. The average contract cost which includes loan and tax reimbursement is \$48,718. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

74-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$12,000,000; FY 10 est \$12,000,000

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$1,040 to \$31,679. The average contract cost which includes loan and tax reimbursement is \$48,718.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 1,583 awards were made under the extramural Loan Repayment Programs in FY 08. However, ARRA funding is a new program so there are no comparable accomplishments. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C. 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sherry Mills 6011 Executive Blvd., Room 206, MSC 7650, Bethesda, Maryland 20892-7650 Email: [lrp@nih.gov](mailto:lrp@nih.gov) Phone: (866) 849-4047 Fax: (866) 849-4046

**Website Address:**

<http://www.lrp.nih.gov/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.704 Trans-NIH Recovery Act Loan Repayment Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Programs. Applications that are on time,

complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

### **93.705 AGING HOME-DELIVERED NUTRITION SERVICES FOR STATES**

Aging Home-Delivered Nutrition Services for States

#### **FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Older Americans Act of 1965, Parts A and C, as amended.

#### **OBJECTIVES:**

Under the American Recovery and Reinvestment Act of 2009 to provide grants to States to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services for older Americans in order to maintain health, independence and quality of life. Meals will be delivered to the home where the older individual is homebound.

#### **TYPES OF ASSISTANCE:**

Formula Grants

#### **USES AND USE RESTRICTIONS:**

Local projects must provide a hot or other appropriate meal which complies with the Dietary Guidelines for Americans and provides one-third of the Dietary Reference Intakes (DRI), at least once per day, five or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses. at least once per day, five or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses. None; doesn't apply.

#### **Applicant Eligibility:**

See Index.

#### **Beneficiary Eligibility:**

See Index.

#### **Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

Applicant Eligibility: Only States and U.S. Territories which have State Agencies on Aging designated by the governors and an approved state plan are eligible to receive these grants.

Beneficiary Eligibility: Older individuals aged 60 and over and their spouses, especially those older individuals with the greatest social need or those with the greatest economic need, and in certain cases, under age 60, if the individual is handicapped or disabled and resides with an older individual. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. NA

#### **Award Procedure:**

Awards are made based upon the formula established to states and territories who have a currently approved state plan.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 15%.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Funds for grants awarded will remain available until September 30, 2010.  
Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as amended, quarterly SF 269 Financial Status Report, quarterly Program Performance Report, and any additional reports as cited in the Notice of Award. Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as amended, quarterly SF 269 Financial Status Report, quarterly Program Performance Report, and any additional reports as cited in the Notice of Award. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

#### **Account Identification:**

95-0142-0-1-506.

#### **Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$32,000,000; FY 10 est \$0

#### **Range and Average of Financial Assistance:**

Home-Delivered Nutrition Services: \$20,000 to \$3,200,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NA. Fiscal Year 2009: Fifty-six grants will be made to States and related jurisdictions in fiscal year 2009. Home delivered meals improve nutritional status, decrease the risk of disease and disability, and help maintain physical and mental functions to millions of older Americans. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, 45 CFR 1321, 2 CFR, Public Law 111-5, M-09-10.

#### **Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices.

#### **Headquarters Office:**

Bob Hornyak Department of Health and Human Services  
Administration on Aging, Washington, District of Columbia 20201 Email:  
Robert.Hornyak@aoa.hhs.gov Phone: 202-357-0150

#### **Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services;  
93.053 Nutrition Services Incentive Program ; 93.705 Aging Home-Delivered  
Nutrition Services for States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Non-competitive. State grants are awarded based on approval of a State plan.

**93.706 AGING NUTRITION SERVICES FOR NATIVE AMERICANS**

Aging Nutrition Services for Native Americans

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, as amended.; American Recovery and  
Reinvestment Act of 2009 , Public Law 111-5.

**OBJECTIVES:**

Under the American Recovery and Reinvestment Act of 2009 to provide grants  
to Native American Tribal Organizations who are current grantees under Title  
VI of the Older Americans Act, as amended, to support nutrition services  
including nutritious meals, nutrition education and other appropriate nutrition  
services to maintain health, independence and quality of life. Meals may be  
served in a congregate setting or delivered to the home, if the older individual is  
homebound.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations for  
services comparable to those provided under Title III. Services must include  
nutrition services, information and referral. Indian Tribes receive funds based  
on a formula that considers the number of eligible elder Indians sixty years of  
age or older represented by the tribal organizations with population ranges from  
50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Indian  
Tribes receive funds based on a formula that considers the number of eligible  
elder Indians sixty years of age or older represented by the tribal organizations  
with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501  
to 1,500, and 1,501+.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in  
accordance with Part 92 of Title 45 of the Code of Federal Regulations.

Applicant Eligibility: Tribal organizations of Indian tribes eligible for  
assistance under Section 4 of the Indian Self-Determination and Education  
Assistance Act (25 U.S.C. 450b), which represent at least 50 Indians or  
Hawaiians 60 years of age or older. Applicants must demonstrate that they have  
the ability to deliver supportive and nutrition services.

Beneficiary Eligibility: Indians who are 60 years of age and older, and in the  
case of nutrition services, their spouses. Tribes also have the authority to define  
Indians under 60 years of age as "older Indian" making them eligible for  
services. This program is excluded from coverage under OMB Circular No.  
A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. No  
application is required. Current grant recipients under Title VI of the Older  
Americans Act will be awarded a grant to provide Nutrition Services. Awards  
will be made base upon the formula established.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations  
in 45 CFR 1326 and 1328.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants awarded will remain available until September 30, 2010.

Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash reports are not applicable. Reporting as  
required under ARRA (P.L. 111-5), M-09-10, and the OAA as amended.

Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as  
amended, quarterly Program Performance Report, quarterly SF 269 Financial  
Status Report, and any additional reports as cited in the Notice of Award.  
Reporting as required under ARRA (P.L. 111-5), M-09-10, and the OAA as  
amended.

Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as  
amended, quarterly Program Performance Report, quarterly SF 269 Financial  
Status Report, and any additional reports as cited in the Notice of Award. No  
performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit  
conducted for that year. Nonfederal entities that expend less than \$500,000 a  
year in Federal awards are exempt from Federal audit requirements for that  
year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final  
expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$3,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Range from \$8,000 to \$22,000;.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In fiscal year  
2009, grants will be awarded to 246 tribal organizations and two Native  
Hawaiian Organizations for nutrition services to Native American, Alaskan  
Native, and Native Hawaiian elders. Fiscal Year 2010: No Current Data  
Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, 45 CFR 1326, P.L. 111-5, M-09-10, NoA.

**Regional or Local Office:**



See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices.

**Headquarters Office:**

Dr. Yvonne Jackson Department of Health and Human Services  
Administration on Aging, Washington, District of Columbia 20201 Email:  
Yvonne.Jackson@aoa.hhs.gov Phone: (202) 357-3501

**Website Address:**

http://www.aoa.gov

**RELATED PROGRAMS:**

93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians; 93.706 Aging Nutrition Services for Native Americans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.707 AGING CONGREGATE NUTRITION SERVICES FOR STATES**

Aging Congregate Nutrition Services for States

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Older Americans Act of 1965, Parts A and C, as amended.

**OBJECTIVES:**

Under the American Recovery and Reinvestment Act of 2009 to provide grants to States to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services for older Americans in order to maintain health, independence and quality of life. Meals will be served in a congregate setting.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Local projects must provide a hot or other appropriate meal which complies with the Dietary Guidelines for Americans and provides one-third of the Dietary Reference Intakes (DRI), at least once per day, five or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses. See above.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

Applicant Eligibility: Only States and U.S. Territories which have State Agencies on Aging designated by the governors and an approved state plan are eligible to receive these grants.

Beneficiary Eligibility: Older individuals aged 60 and over and their spouses, especially those older individuals with the greatest social need or those with the greatest economic need, and in certain cases, under age 60, if the individual is handicapped or disabled and resides with an older individual. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. NA

**Award Procedure:**

Awards are made based upon the formula established to states and territories who have a currently approved state plan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 15%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants awarded will remain available until September 30, 2010.  
Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as amended, quarterly SF 269 Financial Status Report, quarterly Program Performance Report, and any additional reports as cited in the Notice of Award. Reporting as required under ARRA (P.L. 111-5), M-09-10, the OAA as amended, quarterly SF 269 Financial Status Report, quarterly Program Performance Report, and any additional reports as cited in the Notice of Award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$65,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Congregate Nutrition Services: \$40,000 to \$6,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: NA. Fiscal Year 2009: Fifty-six grants will be made to States and related jurisdictions in fiscal year 2009. Congregate meals improve nutritional status, decrease the risk of disease and disability, and help maintain physical and mental functions to millions of older Americans. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, 45 CFR 1321, 2 CFR, P.L. 111-5, M-09-10.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices.

**Headquarters Office:**

Robert Hornyak Department of Health and Human Services  
Administration on Aging, Washington, District of Columbia 20201 Email:

Robert.Hornyak@aoa.hhs.gov Phone: (202) 357-0150

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services;  
93.053 Nutrition Services Incentive Program ; 93.707 Aging Congregate  
Nutrition Services for States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Non-competitive. State grants are awarded based on approval of a State plan.

**93.708 ARRA - HEAD START**

HS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human  
Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness  
Act of 2007, Public Law 110-134; American Recovery and Reinvestment Act  
of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the  
ACF mission to promote the school readiness of low-income children. The  
objective of the Head Start program is to enhance the cognitive, social and  
emotional development of low-income children through the provision of  
comprehensive health, educational, nutritional, social and other services and to  
involve parents in their childrens learning and to help parents make progress  
toward their educational, literacy and employment goals. Head Start also  
emphasizes the significant involvement of parents in the administration of their  
local Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e.,  
from families whose income is below the poverty line, from families receiving  
public assistance, from homeless families or children in foster care. Training  
and technical assistance grants are available to Head Start programs. The State  
Advisory Council funds will be awarded as one-time startup grants of not less  
than \$500,000 to those states that submit an acceptable application, consistent  
with the requirements of Section 642B of the Head Start Act. See above.

**Applicant Eligibility:**

Any government, federally-recognized Indian tribe, or public or private  
nonprofit or for profit agency which meets the requirements may apply for a  
grant. However, application will be considered only when submitted in  
response to a specific announcement, published via the Internet at the following  
website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits  
proposals to establish new Head Start Programs. Grantee agencies may  
subcontract with other child-serving agencies to provide services to Head Start  
children.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs  
and administrative procedures will be determined in accordance with Part 74  
and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87  
applies to this program.

**Preapplication Coordination:**

Applications will be considered only when submitted in response to a specific  
announcement, published online at [Grants.gov](http://www.acf.hhs.gov/grants/grants_hsb.html) or on the ACF website:  
[http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to  
increase enrollment in current programs. The standard application forms are

furnished by DHHS must be used for this program. An applicant should  
consult the office or official designated as the Single Point of Contact (SPOC)  
in his or her State for more information on the process. (NOTE: State/territory  
participation in the intergovernmental review process does not signify applicant  
eligibility for financial assistance under a program. A potential applicant must  
meet the eligibility requirements of the program for which it is applying prior to  
submitting an application to its SPOC.). Environmental impact information is  
not required for this program. This program is eligible for coverage under E.O.  
12372, "Intergovernmental Review of Federal Programs." An applicant should  
consult the office or official designated as the single point of contact in his or  
her State for more information on the process the State requires to be followed  
in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. Prepare  
and submit applications according to the instructions provided in the applicable  
ARRA Funding Opportunity Announcement which can be found online at  
[Grants.gov](http://www.acf.hhs.gov/grants/grants_hsb.html) or on the ACF website:

[http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html). The Office of Head Start will  
provide each applicant agency with a completed check list showing exactly  
which items must be completed by each applicant.

**Award Procedure:**

Funds for local Head Start/Early Head Start programs, including a portion of  
training and technical assistance funds, are awarded by the Office of Head  
Start's Regional Offices. State Advisory Council grants will be awarded to the  
Governors office and awarded centrally by the Office of Head Start.

**Deadlines:**

May 08, 2009 to Jun 23, 2009

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

OHS Headquarters or Regional Offices will inform grantees of the application  
procedures for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. Head Start grantees are required to  
provide 20 percent of the total cost of the program, although this may be  
waived wholly or in part if certain conditions pertain. Matching share may be  
in cash or in-kind fairly evaluated. The Federal share of the cost of State  
Advisory Councils activities conducted under section 642B of the Head Start  
Act shall be 30 percent and the state must provide the non-Federal share of 70  
percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation  
through September 30, 2010. Funds are released by monthly allowance on an  
Electronic Transfer System or by monthly check. Semiannual financial and  
annual program reports are required. See the following for information on how  
assistance is awarded/released: State Advisory Council grants will be awarded  
to the Governors office and awarded centrally by the Office of Head Start.

**Reports:**

Semiannual financial and annual program reports are required. Funded  
grantees must submit quarterly reports required by Section 1512 of the  
Recovery Act. No cash reports are required. No progress reports are required.  
No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit  
conducted for that year. Nonfederal entities that expend less than \$500,000 a  
year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Recipient must maintain information on children and families served, including income data to determine eligibility and data on services provided. Data should be kept for three years.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$800,000,000; FY 10 est \$200,000,000

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The same as current. Fiscal Year 2010: Since 1965, Head Start has served more than 25 million children from low income families in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, and the Outer Pacific. The program has provided education, health, nutrition and social services to the target population. In fiscal year 2008, there were 1,604 grantees funded to provide Head Start services. We estimate in FY 2009 (and FY 2010) there will be 1,800 grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are available electronically at the following ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Carolyn B. Goode, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Collen Rathgeb 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: [colleen.rathgeb@acf.hhs.gov](mailto:colleen.rathgeb@acf.hhs.gov) Phone: 202-205-7378

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs. Fiscal Year 2009: 1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs. Fiscal Year 2010: 1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.709 ARRA - EARLY HEAD START**

EHS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, Public Law 110-134; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the development of infant and toddler age children. The objective of the Early Head Start program is to enhance the cognitive, social and emotional development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services and to involve parents in their childrens learning and to help parents make progress toward their educational, literacy and employment goals. Early Head Start also emphasizes the significant involvement of parents in the

administration of their local Early Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e., from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Up to 10 percent of the funding is for training and technical assistance grants and up to 3 percent is for monitoring the program. See above.

**Applicant Eligibility:**

Any government, federally-recognized Indian tribe, or public or private nonprofit or for profit agency which meets the requirements may apply for a grant. However, application will be considered only when submitted in response to a specific announcement, published via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Head Start Programs. Grantee agencies may subcontract with other child-serving agencies to provide services to Head Start children.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications will be considered only when submitted in response to a specific announcement, published online at Grants.gov or on the ACF website: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Early Head Start Programs or increase enrollment in current programs. The standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to the instructions provided in the applicable ARRA Funding Opportunity Announcement which can be found online at Grants.gov or on the ACF website: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html). The Office of Head Start will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency.

**Award Procedure:**

All funds are awarded directly to existing and/or new grantees. Funds for local Early Head Start programs, including a portion of training and technical assistance funds, are awarded by the Office of Head Start's Regional Offices. Funds for the following are awarded by the Central Office of Head Start: American Indian/Alaskan Native programs; Migrant and Seasonal programs; and some training and technical assistance efforts.

**Deadlines:**

May 08, 2009 to Jul 09, 2009

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Head Start grantees are required to provide 20 percent of the total cost of the program, although this may be waived wholly or in part if certain conditions pertain. Matching share may be in

cash or in-kind fairly evaluated.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation through September 30, 2010. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required. See the following for information on how assistance is awarded/released: Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required.

**Reports:**

Semiannual financial and annual program reports are required. Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$550,000,000; FY 10 est \$550,000,000

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000 \$625,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: Since 1965, Head Start has served more than 25 million children from low income families in 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, and the Outer Pacific. The program has provided education, health, nutrition and social services to the target population. In fiscal year 2008, there were 1,604 grantees funded to provide Head Start services. We estimate in FY 2009 (and FY 2010) there will be 1,800 grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are electronically at the following ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Re>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Carolyn B. Goode, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and

Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Collen Rathgeb 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: 202-205-7378

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: (1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website:  
<http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.710 ARRA - COMMUNITY SERVICES BLOCK GRANT**

CSBG, Recovery Act.

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant Act (CSBG Act), as amended by the Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Public Law 105-285; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families and communities. Objectives are to provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, revitalization of low-income communities, and empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of Title IV of the Social Security Act). Additional objectives are (1) to provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious food, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Uses and restrictions for CSBG Recovery Act funds differ from the uses and restrictions that apply to allotments to States from regular CSBG annual appropriations with regard to use and percentage of funds retained by the States. As with regular CSBG grants, States receive CSBG Recovery Act funds to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. States are required to pass through 99 percent of their Recovery Act allocations for grants to eligible entities, as defined in the CSBG Act and use the remaining one percent of funds for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families. See Above.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Island, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community anti-poverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the

Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 200 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Under the regularly-funded CSBG Program, each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of HHS. For Recovery Act funds, States will receive a separate allotment of funds based on the statutory formula. Within 30 days of receiving new grant allotments, each State must submit an application amendment outlining the intended use of Recovery Act funds, to include how the State will carry out the assurances in Section 676(b) of the CSBG Act. The application amendment must be a separate document from the original application and must contain assurances by the Chief Executive Officer of the State that the State will comply with the allowable uses of funds under Section 675C of the CSBG Act, with modifications to allowable uses specified in the Recovery Act. The application amendment must set forth the general purposes for which funds will be used, including a description of the State intended use for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs. The State also must describe how it will incorporate monitoring of Recovery Act funds into its regular monitoring of CSBG eligible entities. This includes descriptions of how the State will monitor restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. States also must include a description of how they plan to track CSBG funds from ARRA separately from CSBG funds provided through the regular FY 2009 and 2010 appropriations process. In addition, States must indicate how they plan to evaluate the effectiveness of ARRA CSBG funds, including tracking the number of jobs created. This program is excluded from coverage under 45 CFR Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the CSBG Act. The Office of Management and Budget (OMB) has the authority to apportion to HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the CSBG Act, the American Recovery and Reinvestment Act, and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula grant awards will be made in FY 2009. Grant funds allotted to the State will be awarded in accordance with apportionment of funds from OMB. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Formula grant awards will be made in FY 2009.

**Reports:**

Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States must conduct financial and compliance audits of block grant funds annually in accordance with Section 678D of the CSBG Act.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracking of funds to a level of expenditure adequate to ensure that funds have not been spent unlawfully.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$985,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

TBD based on statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: These funds were not available in FY 2008, therefore, there are no accomplishments to report. Fiscal Year 2009: \$985,000,000 has already been awarded to states, territories and tribes. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 16, 45 CFR Part 74 and 45 CFR Part 96. All ARRA Standard Terms and Conditions will be applicable to the grantee. Also reference the HHS Grants Policy Statement available online at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Division of State Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services 370 L'Enfant Promenade, SW., Washington, District of Columbia 20201 Email: [POC@DHS.GOV](mailto:POC@DHS.GOV) Phone: (202) 401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/csbg/>

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.568 Low-Income Home Energy Assistance; 93.570 Community Services Block Grant Discretionary Awards; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.711 ARRA STRENGTHENING COMMUNITIES FUND**

SCF, Recovery Act.

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 , Public Law 111-5.

#### **OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families, and communities.

The objectives of the Strengthening Communities Fund (SCF) are to (1) fund entities to provide training, technical assistance, and financial assistance to local faith-based and community organizations enabling them to more fully participate in economic recovery and (2) build the capacity of State, Local, and Tribal governments to provide outreach to faith-based and community-based organizations. The funding is used to build capacity of government and nonprofit organizations to partner with local faith-based and community-based organizations, with a focus on expanding economic recovery efforts, increasing community access to public benefits (including ARRA benefits), and helping low- and moderate-income people secure and retain employment.

SCF is composed of two programs:

#### **(1) SCF Nonprofit Capacity Building Program**

The focus of the SCF Nonprofit Capacity Building Program is to fund organizations that provide training, technical assistance, and competitive financial assistance to faith-based and community-based nonprofit organizations to help them address the broad economic recovery issues present in their communities, including helping low-income individuals secure and retain employment, earn higher wages, obtain better-quality jobs, and increase access to State and Federal benefits and tax credits.

#### **(2) SCF Government Capacity Building Program**

The focus of the SCF State, Local, and Tribal Government Capacity Building Program is to build the sustainability and effectiveness of the government entities that provide outreach to faith-based and community-based organizations. Ultimately, these partnerships will enable local nonprofit organizations to better serve those in need and to increase nonprofit organizations' involvement in the economic recovery. Government entities or their designees will use program funds to develop their capacity to serve as a resource to nonprofit organizations and other government agencies regarding ARRA funding/benefits to ensure that disadvantaged and hard-to-serve populations are aware of and understand how to access the benefits and services described in the ARRA. Grantees also will use program funds to offer free capacity building services to nonprofit organizations to improve awareness of and access to ARRA efforts/benefits, improve nonprofits organizational capacities to be active participants in ARRA efforts, and facilitate partnerships between and among nonprofits and other government agencies. For example, grantees could establish a beneficiary benefits clearinghouse for individuals and a funding opportunities clearinghouse for nonprofit organizations, provide outreach and education, and deliver training and technical assistance.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Under the SCF Nonprofit Capacity Building Program, lead organizations assist nonprofit project partners in distressed communities with capacity building activities in four critical areas: (1) organizational development, (2) program development, (3) collaboration and community engagement (4) leadership development and (5) evaluating their effectiveness. Capacity building activities are designed to increase an organization's sustainability and effectiveness, enhance its ability to provide social services, and create collaborations to better serve those in need. Lead organizations use the award funds to provide two services within their communities: (1) training and technical assistance to

nonprofit organizations; and (2) competitive financial assistance to some subset of the nonprofit organizations receiving training and technical assistance.

Training and technical assistance activities are conducted at no cost to interested nonprofit organizations. Each organization will also provide subawards to local non-profits to help these organizations build the capacity to expand and strengthen programs and services related to helping low-income individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Examples of these capacity building activities include staff training, technical assistance, and materials and equipment to enhance efficiency or enable the ability to provide a new service. Funds also help organizations build capacity to expand and strengthen programs aimed at increasing low- and moderate-income individuals access to the state and Federal benefits and tax credits for which individuals are eligible. Examples include developing organizational capacity to offer a counselor-assisted centralized electronic screening and application tool, establishing procedures to assess eligibility of prospective and current clients for benefits and tax credits, developing referral protocols with other local service providers, developing a guide/clearinghouse of benefits and tax credits, and developing the capacity to offer free tax preparation assistance.

Under the SCF State, Local, and Tribal Government Capacity Building Program, funds are awarded to State, city, county and tribal government offices (e.g., offices responsible for outreach to faith-based and community organizations or those offices interested in initiating such an effort) or their designees for the purpose of building the sustainability and effectiveness of the government entities, other government agencies and ultimately local nonprofits to better serve those in need. Specifically, funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Grantees use program funds to provide free capacity building services to nonprofit organizations, such as developing a funding opportunities clearinghouse and/or training and technical assistance to improve access to ARRA funding/benefits and to improve organizational capacity to be competitive applicants for ARRA funding/benefits. Grantees also will use program funds to build their own capacity to provide these services to nonprofits. Priority for awards will be given to State and Indian/Native American Tribal governments and such governments designees. Grantees must also use funds to measure their own effectiveness and help non-profit organizations develop ways to measure their effectiveness. Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable under this program. Awards will not allow reimbursement of pre-award costs. Construction is not an allowable activity or expenditure under this program. Purchase of real property is not an allowable activity or expenditure under this program. The SCF grantees and project partners (including subawardees) may not use funds for direct social service provisions. Funds are intended to help grantees and their partners build and strengthen their capacity to provide services. The cost of the augmentation or supplanting of direct services is unallowable. Direct Federal grants, financial assistance funds, or contracts under the Department of Health and Human Services shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Organizations that receive HHS funds may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with HHS funds. An organization receiving a SCF award shall not, in providing Federally-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. SCF program funding may not pay for capacity building activities that support medical and/or health care related activities or items such as medical equipment or supplies or medically-oriented trainings, certifications, or licensures. SCF Nonprofit Capacity Building Program lead organizations may not provide competitive financial assistance to a health care organization. A grantee is not to use award funds to provide a contract to organizations that provide the grantee with a cost share match..

#### **Applicant Eligibility:**

(SCF Nonprofit Capacity Building Cooperative Agreements): state governments; county governments; city or township governments; special

district governments; public and state-controlled institutions of higher education; Indian/Native American Tribal governments (Federally recognized); nonprofits with 501(c)(3) IRS status (other than institutions of higher education); nonprofits without 501(c)(3) IRS status (other than institutions of higher education); private institutions of higher education; for profit organizations (other than small businesses); small businesses; and faith-based and community organizations that meet the statutory eligibility requirements. Application Eligibility (SCF State, Local, and Tribal Government Capacity Building Grants): state governments; county governments; city or township governments; Indian/Native American Tribal governments (federally recognized); nonprofits with or without 501(c)(3) IRS status (other than institutions of higher education), if designated as Authorized Entities by the government entity.

**Beneficiary Eligibility:**

Funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Funds help organizations build the capacity to expand and strengthen programs and services related to helping low-income individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Funds also help organizations build the capacity to expand and strengthen programs that increase low- and moderate-income individuals access to the state and federal benefits and tax credits for which individuals are eligible, such as by offering counselor-assisted use of a centralized electronic eligibility screening tool that simplifies the benefit application process. A nonprofit organization receiving training, technical or financial assistance under this program could operate a one-stop center where individuals can obtain free, customized benefits information, tax information, information on ARRA, and/or apply for benefits and file tax returns.

**Credentials/Documentation:**

The ARRA SCF Funding Opportunity Announcements will specify the required documentation that must be submitted with the applications and by time of the award. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to the instructions provided in the applicable ARRA SCF Funding Opportunity Announcement which can be found online at Grants.gov or on the ACF website: <http://www.acf.hhs.gov/grants/>.

**Award Procedure:**

Applications received by the due date will be reviewed and scored competitively. Experts in the field, generally persons from outside the Federal government, will use the evaluation criteria listed in Part V of the Program Announcement to review and score the applications. The results of the review will be a primary factor in making funding decisions. ACF also may solicit comments from Regional Office staff and other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the federal government are met in making the final selections. Furthermore, ACF may limit the number of awards made to the same or affiliated organizations although they would service different geographic areas. The successful applicants will be notified through issuance of a Financial Assistance Award document which sets forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support will be given, the non-Federal share to be provided, and the total project period for which support is contemplated. The Financial Assistance

Award will be signed by the Grants Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

ACF may extend application deadlines when circumstances such as acts of God (floods, hurricanes, etc.) occur, or when there are widespread disruption of mail service. Determination to extend or waive deadline requirements rest with the Chief Grants Management Officer.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Awardees must provide at least 20percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF (Federal) share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Awardees will be held accountable for commitments of non-Federal resources even if they exceed the amount of the required match. Failure to provide the required amount will result in the disallowance of federal funds. A lack of supporting documentation at the time of application will not exclude the application from competitive review. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SCF grants and cooperative agreements are for project/budget periods of 24 months. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Funded organizations must submit quarterly reports required by Section 1512 of the Recovery Act. In addition, funded grantees are required to submit Performance Progress Reports, and semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of Title 45 of the Code of Federal Regulations.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$49,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

\$1,000,000 for 24 months for SCF Nonprofit Capacity Building Program; \$250,000 for 24 months for SCF State, Local, and Tribal Government Capacity Building Program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Thom Campbell, Telephone: (202) 401-5483 (office); (202) 401-4719 (fax); thom.campbell@acf.hhs.gov.

**Headquarters Office:**

Thom Campbell Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447  
Email: thom.campbell@acf.hhs.gov Phone: (202) 401-5483 (office) Fax: (202) 401-4719

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant organizations are evaluated on the following criteria: Project Abstract, Objectives and Need for Assistance, Approach, Organizational Profiles, Evaluation and Budget and Budget Justification. Applicants will be evaluated under the budget and budget justification criteria on the extent to which they include a budget that is clear, easy to understand, and provides a detailed justification for the amount requested.

**93.712 ARRA - IMMUNIZATION**

Immunization Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Health Service Act Section 301, 42 U.S.C. 241, and Section 317, 42 U.S.C. 247b, as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:**

The American Recovery and Reinvestment Act (ARRA) appropriated \$300 million to the Section 317 Immunization program (Section 317) which funds 64 immunization programs that include all 50 states, Washington DC, 5 urban areas, the U.S. Territories, and selected Pacific Island nations. Funding supports states and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases.

This investment will expand access to vaccines and vaccination services by augmenting current Section 317 activities. Specifically by:

Provision of financial support to state and local immunization programs  
Making recommended vaccines available in all states through the existing network of private and public immunization providers and supporting and expanding the network of providers as needed

Expanding access to influenza, zoster, and childhood vaccines through school-associated immunization programs and through innovative vaccine delivery activities in the community

Providing grants to immunization programs to conduct needs assessments and develop plans that will enable health departments to bill private insurance for immunization services provided to insurance plan members

Increasing national public awareness and knowledge about the benefits and risks of vaccines and vaccine-preventable diseases

Enhancing assessments of vaccine coverage, vaccine impact, vaccine effectiveness and vaccine adverse events.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting and supporting immunization programs directed toward vaccine-preventable diseases, and for the implementation of other program elements as described in Section :050: above and through CDC allowable and unallowable expenses.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need based and may be formula driven. Applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: until 12/31/2010. Budget Period: 24 months. See the following for information on how assistance is awarded/released: Through a grant and or cooperative agreement via Notice of Award.

**Reports:**

No program reports are required. Cash reports are not applicable. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below.

Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will posted to Recovery.gov, containing the following information:

- a. The total amount of ARRA funds under this award;
- b. The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- c. The amount of unobligated award balances;
- d. A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including
  - The name of the project or activity;
  - A description of the project or activity;
  - An evaluation of the completion status of the project or activity;
  - An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.
- e. Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282).

For any sub-award equal to or larger than \$25,000, the following information:

- The name of the entity receiving the sub-award;
- The amount of the sub-award;
- The transaction type;
- The North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number;
- Program source;
- An award title descriptive of the purpose of each funding action;
- The location of the entity receiving the award;
- The primary location of performance under the award, including the city, State, congressional district, and country; and
- A unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.
- f. All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.
- g. Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.
- h. Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award.

Additional reporting requirements will detailed in Funding Opportunity

Announcements and included in award notices.

Final financial status and performance reports are required 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditors report(s), or nine months after the end of the audit period. The audit report must be sent to: Federal Audit Clearing House, Bureau of the Census, 1201 East 10th Street, Jeffersonville, IN 47132. Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or email: govns.fac@census.gov The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grant funds received exceed \$500,000). The grantee must also ensure that appropriate corrective action is taken within 6 months after receipt of the sub-recipient audit report in instances of non-compliance with Federal law and regulations. The grantee is to consider whether sub-recipient audits necessitate adjustment of the grantees own accounting records. If a sub-recipient is not required to have a program-specific audit, the Grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each sub-recipient to permit independent auditors to have access to the sub-recipients records and financial statements. The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0942-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est \$150,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

From \$30,000 to \$7,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: The Section 317 Program remains a significant source of federal funding for most jurisdictional vaccine program operations. During Fiscal Year 2008, CDC awarded 64 grants through the Section 317 Program, which supported vaccine distribution/administration, the integration of new vaccines into routine medical care, front-line public health professionals, immunization information systems, disease surveillance systems, education and outreach activities, and post-licensure vaccine safety surveillance and research activities.

Because of this program and its sister program, The Vaccines for Children Program, the nation's childhood immunization coverage rates are at record high levels for most vaccines and for all the vaccination series measures. While the VFC program provides vaccine to uninsured children, underinsured children are not covered nor is there sufficient infrastructure to launch adult activities. Section 317 funds target this gap and for the past five years, our 90 percent coverage target has been exceeded for four of the seven routinely recommended childhood vaccine (Hib, MMR, hepatitis B, and polio) and has almost reached the 90 percent target for varicella (currently at 89 percent). Another program accomplishment is the increased proportion of adults who are vaccinated

annually against influenza and ever vaccinated against pneumococcal disease among persons 65 years of age and older. Influenza vaccination coverage levels among the elderly have increased from 30 percent in 1989 to 64 percent. Pneumococcal vaccination levels have increased from 15 percent in 1989 to 57 percent in 2006.

The estimated 16,000 serious pneumococcal infections from resistant strains that have been prevented among older adults since childhood immunization with PCV was initiated in 2000 is another program accomplishment. New adolescent and adult vaccines can prevent individuals from suffering or dying from vaccine-preventable diseases, and Section 317 funds not only the vaccines but the crucial infrastructure needed to deliver them.

Lastly, various highly focused health services projects have been implemented using 317 funds. One of these projects was a joint collaboration with CMS that evaluated and then assisted in moving forward standing orders vaccination programs for influenza in long term care facility residents. Other projects supported included working traditional and nontraditional partners, including national minority organizations, universities, and health officials of various political subdivisions. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. Guidelines are available. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

#### **Regional or Local Office:**

See Regional Agency Offices. Program Contact: Mr. Michael Detmer, Management Officer, National Center for Immunization and Respiratory Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-05, Atlanta, GA 30333. Telephone: (404) 639-8900. Fax: (404) 639-8626. E-mail: MMD4@cdc.gov.; Grants Management Contact: Sharron Orum, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3618, Atlanta, GA 30341. Telephone: (770) 488-2716.

#### **Headquarters Office:**

Joni Young National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025. Fax: (404) 639-4043

#### **Website Address:**

<http://www.cdc.gov/>; [www.Grants.gov](http://www.Grants.gov)

#### **RELATED PROGRAMS:**

93.217 Family Planning Services; 93.268 Immunization Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State Health Departments (such as California, Michigan, and Texas) and some large local health departments (such as New York and Chicago) have ongoing disease control programs utilizing existing non-competitive 317 grants. Also included are cooperative agreements to States for the Behavioral Risk Factor Surveillance system.

Other activities supported non-competitively and competitively under the existing Section 317 program include projects to implement and evaluate school based vaccination programs, enhanced surveillance of vaccine-preventable diseases, development and implementation of specific plans to raise immunization levels across the age spectrum, initiatives for improving reimbursement for vaccination services, programs to monitor the effectiveness, safety and impact of vaccines; and public information and education programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) The extent of the problem; (2) the establishment of specific and measurable objectives to address the problem; and (3) the development of a sound operational plan which will ensure the implementation of each program element and appropriate use of ARRA funds.

In determining awarded amounts, population characteristics including breakdown of population by age category, poverty status, percentage who are non-English speaking, residence (percentage living in rural versus urban/suburban areas) and immunization coverage levels may be considered. Other criteria will be listed in individual funding opportunity announcements.

#### **93.713 ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT** Child Care and Development Block Grant (CCDBG), Recovery Act Funds.

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, 42 U.S.C 9858; Child Care and Development Block Grant Act of 1990, Public Law 101-508, 42 U.S.C 9858.

#### **OBJECTIVES:**

The ARRA - CCDBG is a part of the Child Care and Development Fund (CCDF) program, along with Child Care Discretionary Funds (CFDA number 93.575) the Child Care Mandatory and Matching Funds (CFDA number 93.596). This supplemental FY 2009 CCDBG funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5). This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth, families, and communities. Objectives under the CCDBG Act are: To make grants to States, Territories, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

#### **TYPES OF ASSISTANCE:**

Formula Grants

#### **USES AND USE RESTRICTIONS:**

Congress directs that Recovery Act funds appropriated for the CCDBG must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use CCDBG Recovery Act Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Not more than 5 percent of the aggregate amount of CCDF Funds, including CCDBG Recovery Act Funds, expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carryout all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than 4 percent of the aggregate CCDF Funds, including CCDBG Recovery Act Funds, to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. In addition to the minimum four percent quality expenditures, \$255,186,000 of the CCDBG Recovery Act Funds shall be reserved by the States for quality improvement activities, of which \$93,587,000 shall be for activities that improve the quality of infant and toddler care. Except for approved construction of child care facilities by Tribal Grantees, no CCDBG Recovery Act Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No CCDBG Recovery Act Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction; however, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of

faith-based or community child care providers. No CCDBG Recovery Act Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the total CCDBG (CCDF Discretionary) Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Grantees must operate under a CCDF plan approved by the Administration for Children and Families (ACF), and must provide assurances that the Grantee will comply with the requirements of the CCDBG and the Recovery Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

State, Tribal, and Territorial Lead Agencies already receiving FY2009 funds under the CCDBG program (i.e., Discretionary Funds) have received CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. To receive funds under the CCDBG Act (CFDA number 93.575), each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State, Tribal, and Territorial Lead Agencies already receiving FY 2009 funds under the CCDBG Act (i.e., Discretionary Funds) will receive CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. However, should a Grantee decide to make a substantial change to its approved CCDF plan in FY 2009 as a result of the availability of CCDBG Recovery Act Funds, the Lead Agency must submit an amendment to its existing approved FY 2008-2009 CCDF plan within 60 days of making the change. A decision on the approval of the amendment will be made by ACF within 90 days from the date the amendment is received. (An extension of the time period may be made by a written agreement.)

To receive funds under the CCDBG Act, a Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to ACF, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the CCDBG Act. The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the

CCDBG Act; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG Act; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG Act; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

In April 2009, ACF awarded CCDBG Recovery Act Funds to all State, Tribe, and Territory Lead Agencies that were currently receiving FY 2009 funds under the CCDBG Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

ACF will review for approval any amendments to approved FY 2008-2009 CCDF plans submitted by Lead Agencies within 90 days after receipt of the amendment. To receive CCDBG Act Funds, CCDF plans must be submitted for approval every two years. FY 2010-2011 CCDF plans will be approved by ACF within 90 days after the due date.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans or plan amendments are specified in regulations (45 CFR Part 99).

**Renewals:**

To receive CCDBG Act Funds, CCDF plans must be submitted to ACF for approval every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 42, Chapter 105, Part II-B, Subpart 9858m, Public Law 101-508.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

CCDBG Recovery Act Funds will be made available to Lead Agencies with approved FY 2008-2009 CCDF plans. Grantees must obligate all CCDBG Recovery Act Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated by the third year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Funded grantees must submit quarterly programmatic reports. In addition, as specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. No cash reports are required. No progress reports are required. Funded grantees must submit quarterly financial reports. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper grant accounting records must be maintained. State, Territorial and Tribal Lead Agencies must separately track and report on expenditures of CCDBG Recovery Act Funds.

**Account Identification:**

75-1516-0-1-609.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,997,500,000; FY 10 est \$2,500,000

**Range and Average of Financial Assistance:**

For States, including the District of Columbia and Puerto Rico, the range of CCDBG Recovery Act Funds in FY2009 is approximately \$2 million to \$225 million; the average award is approximately \$38 million. For 260 Tribal

Grantees, the approximate range of CCDBG Recovery Act Funds in FY2009 is: \$22,000 to \$3.6 million; the average is approximately \$158,000. For the four Territories, the range of CCDBG Recovery Act Funds in FY2009 is approximately \$1.8 million to \$4 million; the average grant is approximately \$2.5 million (These figures do not include other FY2009 CCDF funds received through CCDF Mandatory and Matching Funds (93.575) and CCDF Discretionary Funds (93.596). These funds were not available in Fiscal Year 2008. One-fourth of 1 percent of these supplemental CCDBG funds are reserved to provide technical assistance to Grantees via contracts.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: These funds were not available in Fiscal Year 2008, therefore, there are no accomplishments to report during that period. Fiscal Year 2009: In April 2009, ACF awarded FY 2009 CCDBG Funds under the Recovery Act to 316 Grantees. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). Contact information for the RPMs is available at [http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm).

**Headquarters Office:**

Child Care Bureau, Office of Family Assistance 901 D Street SW, Aerospace Building, 5th Floor East, Washington, District of Columbia 20047 Phone: (202) 690-6782 Fax: (202) 690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: These funds were not available in Fiscal Year 2008, therefore, no projects (grants) were funded. Fiscal Year 2009: CCDBG Recovery Act Funds are awarded to States via a block grant, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their aggregate CCDF Funds, including CCDBG Recovery Act Funds, to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality. In addition to the four percent minimum quality expenditures, the Recovery Act requires that \$255,186,000 shall be reserved by the States for quality improvement activities authorized under section 658G of the CCDBG Act, of which \$93,587,000 shall be for activities that improve the quality of infant and toddler care. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.714 ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAM**

TANF Emergency Fund, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

TANF Emergency Fund, Recovery Act, Title IV, Part A, Section 2101, Public Law 111-5, 42 U.S.C 603(c).

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth,

families, and communities. The objective of the program is to provide up to \$5 billion for jurisdictions (States, Territories, and Tribes) in fiscal year (FY) 2009 and FY 2010 that have an increase in assistance caseloads and/or certain types of expenditures. This Emergency Fund is in addition to the TANF Contingency Fund in section 403(b) of the Act that currently gives money to qualifying States (but not Territories or Tribes) during an economic downturn.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Emergency Fund grants are Federal TANF funds. Jurisdictions must use these funds in accordance with section 404 of the Act. This does not include authority to transfer emergency funds to either the Social Services Block Grant (SSBG) or the Child Care and Development Block Grant (CCDBG) because that transfer authority is limited to grants made under section 403(a) of the Act. Emergency funds are available until expended.

Jurisdictions may carry over emergency funds for use in a succeeding fiscal year as authorized under section 404(e) of the Act. Section 403(c)(5) of the Act imposes a cumulative cap on the amount of emergency funding that a jurisdiction can receive for the two-year period. The capped amount consists of the cumulative combined grants from the existing Contingency Fund (section 403(b)) and the Emergency Fund (section 403(c)) and the total of the two cannot exceed 50 percent of the jurisdictions annual Federal TANF family assistance grant.

The same financial and programmatic rules pertaining to the appropriate use of the jurisdictions Federal TANF block grant funds also apply when using the emergency funds. This also means that all TANF requirements, including work participation requirements and time limits, apply to families receiving assistance with emergency funds exactly as they do to families receiving other Federal TANF-funded assistance. See above.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal TANF agencies. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each jurisdiction must request these funds for each quarter that they are eligible by having an increase in assistance caseloads or certain types of expenditures. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each jurisdiction may request these funds for each quarter that they are eligible by having an increase in assistance caseloads or certain types of expenditures. Information necessary to apply for emergency funds may be submitted electronically or manually. The chief executive officer of the jurisdiction or his/her designee must submit the request for emergency funds.

**Award Procedure:**

If a request for emergency funds has been approved by HHS, funds will be distributed quarterly.

**Deadlines:**

Sep 01, 2010 Requests can be submitted any time in fiscal year 2009 and fiscal year 2010, and a jurisdiction may submit requests for funds for a particular quarter as early as one month before the beginning of the quarter. All requests must be awarded by September 30, 2010.

**Range of Approval/Disapproval Time:**

Review and evaluation of applications is a priority and we will act upon them within an as soon as possible timeframe.

**Appeals:**

Jurisdictions facing an adverse action by the Secretary of HHS may appeal under both administrative and judicial procedures.

**Renewals:**

Each jurisdiction may request these funds for each quarter that it is eligible by having an increase in assistance caseloads or certain types of expenditures.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Jurisdictions are awarded their emergency fund grants in quarterly payments. They may reserve grant moneys, without fiscal year limitation. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Jurisdictions have to submit information on caseloads and expenditures. Funded grantees must submit reports as required by Section 1512 of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General and the jurisdictions under Chapter 75 of Title 31, United States Code.

**Records:**

Jurisdictions must maintain records containing information the Secretary may require by regulation. Information submitted in support of a request for Emergency Funds will be tested for reliability and accuracy. Accordingly, jurisdictions are expected, as required by the federal regulations at 45 CFR 92.20 and 45 CFR 92.42, to maintain pertinent documentation related to caseload and expenditure data used to support the request for funds, be able to link the information to the relevant reporting and accounting system, and make such information available in a clear and understandable form that can be validated by an auditor.

**Account Identification:**

75-1523-0-1-506 - TAFS: 75-0910-1523.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$1,475,000,000; FY 10 est \$3,525,000,000 - Up to \$5 billion is available in FY 2009 and 2010. The amount of funds obligated in FYs 2009 and 2010 will depend on the funding requested by eligible states.

**Range and Average of Financial Assistance:**

This is a new grant and the information is unknown at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program rules for State programs can be found at 45 CFR Parts 260 through 265. Tribal rules can be found at 45 CFR Part 286. Guidance for the submittal of applications for the Emergency Fund, will be accomplished through issuance of a Policy Announcement and Program Instruction, including reporting forms approved under the Paperwork Reduction Act.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Mary Ann Higgins, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-1020.

Region II (NJ, NY, PR, VI):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Darel McGhee, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2936.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY):

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 1961 Stout Street, 9th Floor, Denver, CO 80294. Telephone: (303) 844-1483.

Region IX (AZ, CA, GU, HI, NV):

Dan Baker, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8450.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development

Fund: 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.715 RECOVERY ACT COMPARATIVE EFFECTIVENESS RESEARCH - AHRQ**

Recovery Act Comparative Effectiveness Research - AHRQ

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Part A, Public Law 74-271, 42 U.S.C 1301-1320; Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Title IX, Section 1013, Public Law 108-173, 42 U.S.C 1305; American Recovery and Reinvestment Act of 2009, Title 8, Public Law 111-5; Public Health Service Act, Title IX, 42 U.S.C 299 et seq.

**OBJECTIVES:**

To improve health outcomes by providing evidence to enhance medical decisions made by patients and their medical providers. This goal is pursued by generating research comparing different interventions and strategies to prevent, diagnose, treat and monitor health conditions. Funds are available under the American Recovery and Reinvestment Act of 2009 to support research and evaluations, demonstration projects, research networks and multidisciplinary centers, predoctoral and postdoctoral training opportunities, individual fellowships, and to disseminate rigorous evaluations of the impact of different options that are available for treating a given medical condition for a particular set of patients.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The research should contribute to the health services and clinical knowledge base in comparative effectiveness of different treatment and practices from which empirically based information can be derived by patients, providers, policymakers, and other stakeholders, both immediately and over the coming decades. Grant funds will be available in FYs 2009 and 2010 for costs necessary to carry out an approved project. Unallowable costs, as well as those for which prior written approval is required, are indicated in the HHS Grants Policy Statement. Grantees must comply with all Recovery Act reporting requirements. Additional details will be available following approval of the spend plan.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with HHS Regulations 45 CFR 74 or 45 CFR 92 as appropriate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in response to a Funding Opportunity Announcement (FOA). All FOAs are posted on [www.Grants.gov](http://www.Grants.gov). Refer to the FOA of interest for specific requirements regarding application procedures as AHRQ is in the process of transitioning to the new SF-424 Research and Related (R&R) grant application form and to electronic submission through [www.Grants.gov](http://www.Grants.gov) for competing awards. For

FOAs involving grant mechanisms that have not yet been transitioned to electronic submission through [Grants.gov](http://Grants.gov), nongovernmental applicants should submit using Form PHS-398 (Rev. November 2007); <http://grants.nih.gov/grants/funding/phs398/phs398.html>); State and local governments may submit using the standard application forms, as furnished by PHS and required by 45 CFR 92. For State agencies, no State Plan is required. Applications are reviewed and evaluated by a group composed of primarily nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular A-110 for non-profit organizations.

**Award Procedure:**

Following review for scientific merit by a group composed primarily of nonfederal scientists, grant applications may be reviewed by the National Advisory Council for Healthcare Research and Quality, after which AHRQ makes final decisions to support recommended applications. When such decisions are made, applicants are notified directly by AHRQ staff and all required steps are taken to issue the Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be approved for project periods up to 4 years. Funds will be awarded for the total project in fiscal year 2009 or 2010. Costs budgeted beyond the initial 12 months of funding will be restricted pending satisfactory progress. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees must submit quarterly reports in compliance with the American Recovery and Reinvestment Act of 2009. Inventions are to be reported immediately. A terminal progress report must be submitted within 90 days after the end of the project. Grantees must submit quarterly SF272 reports to HHS' Program Support Center (PSC). Progress reports are required to be submitted to AHRQ on an annual basis and will be based on the PHS 2590 Non-Competing Continuation Progress Report. A Financial Status Report (SF269) must be submitted within 90 days after the end of each 12 month increment of time. Quarterly performance monitoring in accordance with the requirements of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-0910-1-7-010.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$1,000,000; FY 10 est \$197,500,000

**Range and Average of Financial Assistance:**

This is a new program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

American Recovery and Reinvestment Act of 2009; 42 CFR 67, Regulations for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean Slutsky Agency for Healthcare Research and Quality, Department of Health and Human Services, 540 Gaither Road, Rockville, Maryland 20850  
Email: Jean.Slutsky@AHRQ.HHS.gov Phone: (301) 427-1600

**Website Address:**

<http://effectivehealthcare.ahrq.gov>

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training;  
93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups and recommended for funding on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Applications may be reviewed for program relevance by the National Advisory Council for Healthcare Research and Quality. Those recommended proposals which are most relevant to comparative effectiveness and promote the goals of the ARRA will be funded to the extent that funds are available.

**93.716 ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS**

Supplemental Grants for Population Increases in Certain States, Recovery Act  
**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Supplemental Grants for Population Increases in Certain States, Recovery Act, Title IV, Part A, Section 2102, Public Law 111-5, 42 U.S.C 603(a)(3).

**OBJECTIVES:**

These funds will help promote the economic and social well being of children, youth, families, and communities. The objective of the program is to provide supplemental TANF funds for States with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Federal TANF Supplemental Grants are in addition to the States annual Federal TANF block fund. Thus, these funds are subject to the same uses and restrictions as the States annual Federal TANF block grant (see CFDA 93.558 Temporary Assistance for Needy Families), and repeated below.

Each State designs and operates its own TANF program, and establishes the specific eligibility criteria that must be met to receive financial assistance

payments or other types of benefits and services. Each State has broad flexibility to use the grant funds in any manner that is reasonably calculated to accomplish a purpose of the TANF program (including providing low-income households with assistance in meeting home heating and cooling costs). The purposes of the TANF program are to assist needy families to care for their children in their own homes; reduce dependency of needy parents by promoting job preparation, work and marriage; prevent and reduce the incidence of out-of-wedlock pregnancies; and encourage the formation and maintenance of two-parent families. A State may also use the funds in ways that had been authorized and allowable under its former approved Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) plans. A State may also transfer a limited portion of its Federal TANF funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. No State may spend more than 15 percent of its Federal TANF funds on administrative costs, exclusive of certain computerization and information technology expenses. See above.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Federal funds go to the State (the grantee). States decide the objective eligibility criteria and verification required to determine eligibility and payment of TANF benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Supplemental Grants, like the annual Federal TANF block grant, are awarded in quarterly payments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies by State (usually within 45 days).

**Appeals:**

States must provide opportunities for recipients who have been adversely affected to be heard in a State administrative or appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 75.%. The TANF program, which includes the standard TANF block grant and the additional Supplemental Grants for 17 States, has an annual cost-sharing requirement known as maintenance-of-effort (MOE). This means that every fiscal year, each State receiving Federal TANF funds must spend an applicable percentage of its own money to help eligible families in ways that are consistent with the purposes of the TANF program. The applicable percentage depends on whether the State meets the minimum work participation rate requirements for that fiscal year. If the State does not meet the work participation rates, then it must spend 80 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. If the State meets the work participation rates, then the applicable percentage is 75 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

States are awarded Supplemental Grants in quarterly payments. Once awarded,



the funds are available to the State until expended. See the following for information on how assistance is awarded/released: No information provided.

#### **Reports:**

States receiving the TANF block grant and Supplemental Grants must submit quarterly data reports on families receiving assistance. States must also report expenditures of grant funds on a quarterly basis. Expenditure data related to Supplemental Grants will be reported in a separate category on the quarterly TANF expenditure report for FY 2010. Funded grantees must submit reports as required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The TANF program (including the additional TANF supplemental grants) is subject to the Single Audit Act under Chapter 75 of Title 31, United States Code.

#### **Records:**

States are subject to the uniform administrative requirements in 45 CFR Part 92. In particular, the regulations at 45 CFR 92.20 require that all grantees have a financial management system that can adequately trace expenditures to ensure that the funds have been used appropriately, and not in violation of any programmatic restrictions and prohibitions; and require that accounting records are supported by source documentation to support all expenditures. Also, the regulations at 45 CFR 92.42 and TANF Program Instruction TANF-ACF-PI-2003-1, dated January 28, 2003 (<http://www.acf.hhs.gov/programs/ofa/policy/pi-ofa/2003/pi2003-1.PDF>), address record retention and access requirements applicable to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees.

#### **Account Identification:**

75-1558-0-1-506.

#### **Obligations:**

(Formula Grants) FY 08 \$319,450,000; FY 09 est \$319,450,000; FY 10 est \$319,450,000

#### **Range and Average of Financial Assistance:**

State Supplemental Grants are from \$1,132,701 to \$60,405,668.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Grants were authorized at \$800 million over FY 1998 through FY 2001, and annual grants grew from \$79 million in FY 1998 to \$319 million in FY 2001. Congress froze supplemental funds at the \$319 million annual level when it extended them for FY 2002 and subsequent years. The Deficit Reduction Act of 2005 (P.L. 109-171), which extended most TANF grants through FY 2010, continued supplemental funds only through FY 2008. However, the Medicare Improvements for Patients and Providers Act of 2008, P.L. 110-275 extended supplemental funds through FY 2009. The American Recovery and Reinvestment Act (ARRA) of 2009 extends supplemental funding through FY 2010. The 17 States that qualify for supplemental funds are: Alabama (\$11,093,254), Alaska (\$6,887,803), Arizona (\$23,924,877), Arkansas (\$6,218,375), Colorado (\$13,569,691), Florida (\$60,405,668), Georgia (\$37,283,228), Idaho (\$3,498,046), Louisiana (\$17,027,012), Mississippi (\$9,035,674), Montana (\$1,132,701), Nevada (\$3,733,534), New Mexico (\$6,553,104), North Carolina (\$36,109,948), Tennessee (\$21,565,141), Texas (\$52,707,774), Utah (\$8,704,396). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). The TANF final rule implementing the statutory changes pursuant to Deficit Reduction Act of 2005 (Public Law 109-171), which reauthorized the TANF program through FY 2010, were published in the Federal Register on February

5, 2008 (Vol. 73, No. 24). The TANF regulations applicable to State TANF Programs are found in 45 CFR Parts 260 through 265.

#### **Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Mary Ann Higgins, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-1020.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Darrel McGhee, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2936.

Region V (IL, IN, MI, MN, OH, WI):

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Region VI (AR, LA, NM, OK, TX):

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Region VII (IA, KS, MO, NE):

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Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 1961 Stout Street, 9th Floor, Denver, CO 80294. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Dan Baker, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8450.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

#### **Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW.,

Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov  
Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/tanf/index.html>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants;  
93.595 Welfare Reform Research, Evaluations and National Studies; 93.667  
Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.717 ARRA - PREVENTING HEALTHCARE-ASSOCIATED  
INFECTIONS**

ARRA Preventing Healthcare-Associated Infections

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human  
Services

**AUTHORIZATION:**

Health Service Act Sections 301(a)[42 U.S.C. 241(a)] American Recovery and  
Reinvestment Act of 2009, Public Law 111-5, Public Law 111-5, 42 U.S.C  
241(a).

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment  
Act of 2009 (Public Law 111-5). The ARRA funds are intended to reduce  
preventable healthcare-associated infections through State health department  
efforts to prevent HAIs including leveraging the National Health Care Safety  
Network to support the dissemination of HHS evidence-based practices within  
hospitals (\$40 million). Specific goals include: (1) progress towards prevention  
targets (e.g., 50-70% reduction in bloodstream infections); (2) use of the  
metrics and supporting systems to assess progress towards meeting the targets;  
(3) broad implementation of current evidence-based prevention guideline  
recommendations; (4) develop and implement state public health-healthcare  
HAI prevention collaboratives to implement prioritized HAI prevention  
recommendations using CDC's NHSN as the measurement system; (5) enhance  
and expand participation by hospitals and other healthcare facilities in the  
NHSN to facilitate reporting of appropriate HAI metrics and progress toward  
five-year prevention targets to state health departments and CDC, HHS, and  
other HHS OPDIVs; (6) build a public health workforce in health departments  
who can coordinate state-wide initiatives to ensure progress towards five-year  
national prevention targets; (7) assist States in the development and submission  
of state HAI prevention plans; (8) quickly expand its infrastructure to address a  
broader array of HAI epidemiology; (9) provide additional training for EIP state  
staff on HAI epidemiology and surveillance; (10) develop and implement  
enhanced surveillance tools and methods, and add staff for targeted two year  
projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC will provide 99.5% of the funds to eligible states using the following  
existing Cooperative Agreements: the Epidemiology and Laboratory Capacity  
for Infectious Disease program, and the Emerging Infections Program. Project  
funds may be used for costs associated with planning, organizing, conducting  
and supporting programs directed toward preventing healthcare associated  
infections, and for the implementation of other program elements as described  
in Section :050: above. These funds may be used for the preservation of jobs  
necessary to build capacity in state and local health departments related to  
healthcare associated infection prevention. See above.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the  
project, outline the method of operation, describe the evaluation procedures,  
describe plans for sustaining the impact of ARRA investments beyond the  
federal funding provided in the next two years and provide a budget with  
justification of funds requested. Costs will be determined in accordance with  
OMB Circular No. A-87 for State and local governments. For nonprofit  
recipients, costs will be determined in accordance with HHS Regulations 45  
CFR 74, Subpart Q. This program is excluded from coverage under OMB  
Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information  
is not required for this program. This program is eligible for coverage under  
E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant  
should consult the office or official designated as the single point of contact in  
his or her State for more information on the process the State requires to be  
followed in applying for assistance, if the State has selected the program for  
review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110.  
Applicants must download the SF424 (R&R) application forms and SF424  
(R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply).  
Only the forms package directly attached to a specific Funding Opportunity  
Announcement (FOA) can be used. Applicants will not be able to use any other  
SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although  
some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty  
accessing the forms online, contact the CDC Procurement and Grants Office  
Technical Information Management Section (PGOTIMS) staff. For this, or  
further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email:  
[PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by  
CDC and required by 45 CFR 92 for State and local governmental agencies,  
and by OMB Circular No. A-110 for nongovernmental applicants. This  
program is subject to the provisions of 45 CFR 92 for State and local  
governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

All applications that are complete and responsive to non-competitive  
supplemental grant announcements will be evaluated for scientific and technical  
merit and receive support. Support will be need based and may be formula  
driven. Applications that are complete and responsive to competitive  
supplemental grant and cooperative agreement announcements will undergo an  
objective review process, receive a written critique and be scored according to  
published review criteria. Successful applicants will receive a Notice of Award  
(NOA) from the CDC Procurement and Grants Office. The NOA shall be the  
only binding, authorizing document between the recipient and CDC. The NOA  
will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American  
Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until December 29, 2011. Budget Period: variable. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information:

- (a) The total amount of ARRA funds under this award;
- (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- (c) The amount of unobligated award balances;
- (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.
- (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.
- (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.
- (g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.
- (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Org

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3

years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0144-0-1-550 - TAFS 75 9/10 0144.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$40,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

From \$100,000 to \$1,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Epidemiology and Laboratory Capacity (ELC) for Infectious Disease program plays a critical role in strengthening our nations infrastructure for preventing and controlling infectious diseases. The program builds epidemiology, laboratory, and information systems capacity in all 50 states to assist frontline state programs respond to infectious disease outbreaks, address the increasing threat of antimicrobial resistance, and detect and respond to new and emerging infectious diseases. As states are in different stages of implementing HAI monitoring and prevention programs, ELC funding would be flexible in its applications; however monies would be directed specifically toward the goals of preventing healthcare associated infections.

The Emerging Infections Programs (EIPs) are a critical part of our nations infrastructure for public health work in infectious diseases. Established in 1995, the EIPs consist of 10 centers of excellence across the US that are collaborations among state health agencies, academic institutions, CDC, and other federal agencies. Collectively, they form a specialized network of research centers for infectious disease work that goes beyond the routine functions of health departments. The EIP networks unique strength and contribution lies in its ability to quickly translate surveillance and research activities into informed policy and public health practice.

CDC has supported and been an active participant in the collaborative effort led by HHS to develop the HHS Action Plan to Prevent Healthcare Associated Infections. The HHS Action Plan sets specific targets for monitoring and preventing HAIs nationally and represents a national blueprint for prevention. CDC has played an integral role in the development and implementation of the HHS Action Plan, including chairing the Prevention and Implementation working group and co-chairing the Information Systems and Technology working group, while actively participating in the three other workgroups. In September 2008, CDC hosted a meeting of experts to help define prevention targets and metrics for the Action Plan. CDC continues to work closely with HHS and the other agencies to implement the plan. CDC has a broad range of activities that are crucial to successfully implement the HHS plan. These activities can be categorized as: 1) tracking and monitoring HAIs; 2) developing guidelines for prevention; 3) implementation of prevention strategies; 4) developing new strategies for prevention; 5) identifying and responding to new and emerging threats.

CDCs NHSN is a tool for tracking and prevention of HAIs that incorporates HICPAC practice guidelines, uses validated standardized definitions and protocols, and allows facilities to analyze, share, and compare their data with that of others. NHSN is used by over 2000 healthcare facilities in all 50 states, and continues to expand. Since 1990, facilities reporting to NHSN have seen significant reductions of up to 70% in rates of catheter associated urinary tract infections (CAUTI) in ICUs. From 1997 to 2007, hospitals participating in CDCs NHSN have decreased bloodstream infections by up to 50%. A total of 10,600 device-associated infections are estimated to have been prevented, and at least 1,300 lives are estimated to have been saved.

CDC has demonstrated dramatic success in preventing and reducing HAIs through implementation of CDC guidelines. Through CDC supported efforts in Southwestern Pennsylvania, local hospitals have successfully reduced bloodstream infections by as much as 70 percent by fully implementing CDC prevention recommendations. Similar success was observed when Michigan fully implemented CDC guidelines in more than 100 ICUs. CDC funded and collaborated with the Pittsburgh VA Medical Center to prevent MRSA infections using CDC recommendations. These efforts led to greater than 60%

reductions in MRSA rates, and to collaboration among healthcare facilities in southwestern Pennsylvania on a regional MRSA initiative. The Veterans Health Administration launched a national MRSA prevention initiative involving every Veterans Health Administration hospital in the country modeled after Pennsylvanias success. These and other prevention implementation examples demonstrate the savings in lives and healthcare costs that can result from national implementation of evidence-based HAI prevention programs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Joni Young National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025 Fax: (404) 639-4043

#### **Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

#### **RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state health departments for HAI activities and would not be available for other non-related infectious disease activities. For state applicants to be eligible they will have to outline a plan for reporting progress toward HHS Action Plan Prevention Targets using specified metrics, either by participating in NHSN or by using NHSN definitions and surveillance methods in systems compatible with NHSN.

CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

[ts1]This Program requires Congressional Notification. Not Approved.

### **93.718 HEALTH INFORMATION TECHNOLOGY REGIONAL EXTENSION CENTERS PROGRAM**

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 3012(c) of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 (ARRA).

#### **OBJECTIVES:**

Establish Health Information Technology Regional Extension Centers to identify and disseminate best practices and provide technical assistance supporting the adoption and meaningful use of health IT to improve care quality while protecting patient privacy. The statutory objective of the regional centers is to enhance and promote the adoption of health information technology through means specified in PHSA 3012(c)(3).

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Funds may be used for the initial and operating expenses incurred in

establishing and operating a regional center that provides technical assistance services to providers seeking to adopt, implement, and/or effectively use certified electronic health records (EHR) technology. The assistance supported under this health information technology extension program, and carried out by regional centers, is technical assistance and consulting service to providers, and does not include funding to the providers.

#### **Applicant Eligibility:**

None

#### **Beneficiary Eligibility:**

None

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: PHSA 3012(c)(5) states that the Secretary may not provide more than 50 percent of the capital and annual operating and maintenance funds required to create and maintain such a center, except in an instance of national economic conditions which would render this cost-share requirement detrimental to the program and upon notification to Congress as to the justification to waive the cost-share requirements.

The Secretary has determined that a 50 percent cost-share requirement on an annual basis is not in the best interest of the program. Instead, the Secretary has structured a funding partnership between HHS and recipients, as indicated in the Program Announcement.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

PHSA 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHSA 3012(c) for a period not to exceed 4 years. Awards are expected to be for two, 2-year budget periods and a four year project period. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements.

#### **Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. Cash report requirements, if applicable, will be identified in the

Program Announcement. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantees and sub-contractors under the cooperative agreement) activities. Reporting requirements will be detailed in the program announcement and included in award notices.

The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30 days following the end of the reporting period to which they pertain. The final progress report and final financial status report are due no later than 90 days after the end of the project period. ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$0; FY 10 est \$598,000,000

**Range and Average of Financial Assistance:**

Awards for regional centers are expected to average \$8.5M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rachel Nelson 200 Independence Avenue, SW, Suite 729D, Washington, District of Columbia 20201 Email: [regional-center-applications@hhs.gov](mailto:regional-center-applications@hhs.gov) Phone: (202) 690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made available in the program announcement(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.719 ARRA - STATE GRANTS TO PROMOTE HEALTH INFORMATION TECHNOLOGY**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, HITECH Act, Section 3013.

**OBJECTIVES:**

Promote the electronic movement and use of health information among organizations using nationally recognized interoperability standards. Enable providers to qualify for Medicare and Medicaid financial incentives, authorized by ARRA, by providing health information exchange that meets meaningful use requirements. Improve health care quality and efficiency. Establish a technical infrastructure to support health care reform.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This state-based program is targeted specifically towards developing widespread and sustainable health information exchange (HIE) capacity in support of the meaningful use definition that qualifies providers for the Medicare and Medicaid incentive payments. This program also supports state public health programs to ensure that public health stakeholders prepare for HIE and mobilizes clinical data needed for consumer engagement and health reform across all states.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

State governments and Qualified State-Designated Entities are eligible to apply.

The program will require a letter from the Governor establishing the Qualified State Designated Entity, if applicable. Documentation must be provided in accordance with the requirements of all applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** In fiscal year 2010, the Secretary of the Department of Health and Human Services will determine whether there is a funding matching requirement. Beginning with fiscal year 2011, the HITECH Act, Section 3013, requires awardees to make available non-Federal contributions (which may include in-kind contributions) toward the costs of a grant awarded in an amount equal to not less than \$1 for each \$10 of federal funds provided under this grant in fiscal year 2011, not less than \$1 for each \$7 of federal funds provided under this grant in fiscal year 2012 and not less than \$1 for each \$3 of federal funds provided under this grant for all subsequent fiscal years. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are expected to be for a four year period. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements.

**Reports:**

Programmatic reporting requirements will be identified in the Program Announcement. Cash reports, if required, will be identified in the Program Announcement. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantee and sub-contractor) activities. Reports required by ARRA will be required quarterly.

Additional reporting requirements, including the frequency thereof, will be detailed in Funding Opportunity Announcements and included in award notices. Financial Status Reports. ARRA reporting and programmatic reporting will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$0; FY 10 est \$564,000,000

**Range and Average of Financial Assistance:**

Average of each award is estimated at \$10.25M. Funds to be fully obligated at time of award, however, draw downs require prior authorization from the program officer.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chris Muir 200 Independence Avenue, S.W., Suite 729D

, Washington, District of Columbia 20201 Email: christopher.muir@hhs.gov  
Phone: (202) 205-0470

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made available in the funding opportunity guidance document(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.720 ARRA - SURVEY AND CERTIFICATION AMBULATORY SURGICAL CENTER HEALTHCARE-ASSOCIATED INFECTION (ASC-HAI) PREVENTION INITIATIVE**

ASC-HAI Initiative - Recovery Act

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Section 1864 of the Social Security Act.

**OBJECTIVES:**

- (a) Improve State Agency inspection capability and frequency for onsite surveys of Ambulatory Surgical Centers nationwide;
- (b) Use a new infection control survey tool developed by the Centers for Disease Control and Prevention and CMS;
- (c) Improve the survey process through the use of a CMS tracer methodology; and
- (d) Use multi-person teams for ASCs over a certain size or complexity.

**TYPES OF ASSISTANCE:**

Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

States will use the funding to conduct additional ASC surveys, save and/or create jobs directly within the State Agency; contract with experienced surveyors who will be trained in the new ASC survey process, enlist the services of State physicians or certified infection control specialists who will accompany surveyors on several of their initial surveys conducted under the new survey process. Funding may not be used to support other State Agency work required by CMS and may not be used to offset costs are that funded through CMS regular survey and certification budget.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any questions about the Recovery Act ASC HAI Initiative or the application process should be directed to Angela Mason-Elbert at 410-786-8279. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Memorandum S&C-09-43 outlined the Recovery Act ASC-HAI initiative application process. States must submit projected plans and costs eligible for Recovery Act funding. The plans must include the following:

Identifying information  
Staffing plan  
Capability Expansion and Hiring Plan  
Training Plan  
Survey Plan  
Barriers and Prospective Solutions  
Budget Estimate

**Award Procedure:**

All plans must meet the minimum requirements. Plans will be reviewed and grants awarded based on the amount of funding available.

**Deadlines:**

Jun 30, 2009 to Aug 30, 2009 Submission of Plan for FY 2009 funding: June 30, 2009  
Selection of States for FY 2009 Implementation: July 2009  
Notice to States of FY 2009 Approval & Funding Levels: July 2009  
Start Implementation in FY 2009 for Volunteer States: July 2009  
Submission of Plan for FY 2010 funding: August 30, 2009  
Notice to States of FY 2010 Approval & Funding Levels: September 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. There is no match requirement for States for the Recovery Act ASC-HAI Initiative. Additionally, cost-sharing does not apply insofar as it pertains to the add-ons to the survey process that are occasioned by the Recovery Act.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

\*\* Get information for this section\*\*. Method of awarding/releasing assistance: lump sum.

**Reports:**

All State Agencies must be able to track and report ASC-HAI project activities, program participant data, and spending separate from other survey and certification activities. Reporting requirements include quarterly reports, annual reporting, and close-out reporting. State Agencies are responsible for furnishing data on the number of jobs created or saved.

CMS will produce quarterly reports on what work has been completed, including milestones such as training, outreach efforts, and allotments to State Agencies. CMS will also issue an evaluative report on the new ASC survey process. This report will include State Agency input on the value from the enhanced survey infection control tool and other important aspects of the new survey process. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. \*\* Get information for this section\*\*

**Records:**

Recipients must follow the Administrative requirements for record keeping as listed in A-102.

**Account Identification:**

75-0518-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$0; FY 09 est \$1,000,000; FY 10 est \$9,000,000

**Range and Average of Financial Assistance:**

\$11,500 - \$115,500; \$47,688.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: This is a new program in FY 2009 and that there are currently no program accomplishments to report. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

The HHS Grants Policy Statement can be found at:

[http://www.hhs.gov/grantsnet/docs/HHSGPS\\_107.doc](http://www.hhs.gov/grantsnet/docs/HHSGPS_107.doc)

The ARRA Award Terms and Conditions can be found at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. Angela Mason-Elbert, [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) - 410.786.8279  
Marilyn Dahl, [Marilyn.dahl@cms.hhs.gov](mailto:Marilyn.dahl@cms.hhs.gov) - 410.786.8665  
Angela Brice-Smith, [angela.brice-smith@cms.hhs.gov](mailto:angela.brice-smith@cms.hhs.gov) - 410.786.4340.

**Headquarters Office:**

Angela Mason-elbert 7500 Security Boulevard  
Baltimore, MD 21207, Baltimore, Maryland 21207 Email: [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) Phone: 4107868279

**Website Address:**

<http://www.cms.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All acceptable proposals will be funded. To the extent that proposals exceed available funds, the funds will be pro-rated downward, beginning with those States that propose to survey more than 33% of non-deemed ASCs.

**93.721 ARRA - HEALTH INFORMATION TECHNOLOGY PROFESSIONALS IN HEALTH CARE**

Health Information Technology Education (HITE)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 3016 of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5.

**OBJECTIVES:**

PHSA 3016, as added by the Recovery Act, directs the Secretary to provide assistance to institutions of higher education (or consortia thereof) to establish or expand health informatics education programs, including certification, undergraduate, and masters degree programs, for both health care and information technology students to ensure the rapid and effective utilization and development of health information technologies (in the United States health care infrastructure).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Activities for which assistance may be provided include the following:  
(1) Developing and revising curricula in medical health informatics and related disciplines. (2) Recruiting and retaining students to the program involved. (3) Acquiring equipment necessary for student instruction in these programs, including the installation of testbed networks for student use. (4) Establishing or enhancing bridge programs in the health informatics fields between

community colleges and universities.

**Applicant Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Beneficiary Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual funding opportunity announcements. Applicants may consult with the office or official designated as the contact in the funding opportunity announcement for additional information on the application procedures.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will generally be made for multiple years with funding provided in annual increments. Individual program announcements should be consulted for specific durations. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports, if required, will be identified in individual funding opportunity announcements. Cash reports, if required, will be identified in individual funding opportunity announcements. Progress and financial reporting requirements will be identified in individual funding opportunity announcements. In addition, recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. Expenditure reports, if required, will be identified in individual funding opportunity announcements. Performance monitoring, if required, will be identified in individual funding opportunity announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 08 \$0; FY 09 est \$0; FY 10 est \$118,000,000

**Range and Average of Financial Assistance:**

Awards may range from \$750,000 - \$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm> and ARRA terms and conditions:  
<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Chitra Mohla 200 Independence Avenue, SW  
Suite 729D, Washington, District of Columbia 20201 Email:  
[HealthTEducation@hhs.gov](mailto:HealthTEducation@hhs.gov) Phone: 202-205-0690

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.722 ARRA - IHS TRIBAL AGREEMENTS**

ARRA IHS Tribal Agreements

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638, Title 1, Section 102, Public Law 93-638.

**OBJECTIVES:**

\$500 Million in Recovery Act Funds to Improve Health Care and Boost Economy in Indian Country. These funds will be obligated both through tribal agreements and under contracts subject to the Federal Acquisition Regulation, as summarized in the Agency implementation plans.

The Recovery Act health facility construction funds will be used to complete the construction of the new IHS Eagle Butte Health Center in Eagle Butte, South Dakota and the Norton Sound Regional Hospital in Nome, Alaska. The



Eagle Butte Health Center will serve approximately 9,300 American Indians residing on the Cheyenne River Reservation. The facility will replace the existing Eagle Butte IHS Hospital which, at approximately one-third the size of the new facility, is stressed to meet the needs of the entire service population. The new Norton Sound facility replaces a 61-year-old hospital that is stretched to serve an estimated 10,000 users. The project will create a substantial number of new jobs in construction, transportation, and other professions and help fight unemployment in Nome.

Sanitation facilities funds will be used to complete 169 sanitation facilities projects constructed in 24 states. These projects will provide potable water, wastewater disposal and solid waste systems to American Indian and Alaska Native homes and communities. An estimated 16,000 homes will be served by these projects, which will also help foster economic growth and create jobs.

The ARRA will also fund 302 maintenance and improvement projects. Many IHS and tribal facilities require structural renovations, additional space, and design updates to accommodate modern health care delivery practices. These projects will help maintain and improve facilities, which will improve patient care. These projects will also result in enhanced energy conservation and provide local jobs and economic stimulus.

Finally, Recovery Act funds will be used to purchase over 200 pieces of medical equipment, including 35 ambulances and 10 Computed Tomography (CT) scanners, all of which will contribute substantially to patient care. Other equipment to be purchased includes cardiac monitoring equipment, equipment for integration of electronic patient records, blood chemistry analyzers, dental equipment, emergency defibrillators, x-ray systems, among other items. The equipment will be distributed across 24 states.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

ARRA funds must be expended for the specific purpose outlined in the ARRA Agreement. The recipient understands it is not authorized to rebudget, redesign, reallocate, or reprogram ARRA funds without written authorization from the Awarding Agency. All IHS Funds are discretionary funds.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Contract agreements are submitted to the Office of Tribal Self Governance and approved by the Director and then forwarded to the Area Offices for payment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The parties agree that the Awarding Agency's authority to obligate funds related to this contract expires on September 30, 2010 and that any contractual conditions placed on receipt of payments under this addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents. Delay or failure to meet conditions placed on receipt of funds (e.g., completion of specific stage of construction) may place the project or activity at risk of losing ARRA funds. The ARRA funds provided for in this agreement are one-time only, non-recurring funds. By providing ARRA funds, the Awarding Agency is not obligated to provide funding for this project or activity from future appropriations. Method of awarding/releasing assistance: quarterly.

**Reports:**

Pursuant to section 1512(c) of ARRA, the Contractor shall provide a report on a Quarterly Basis, not later than 10 days after the end of each calendar quarter. The information referenced in this section will be posted by the Contractor online at <http://FederalReporting.gov>. The Contractor shall use the reporting instructions and data elements that will be provided on this website and ensure that any information that is pre-filled is corrected or updated as needed. The information referenced in this section may also be posted by the Awarding Agency to [Recovery.gov](http://Recovery.gov). The total amount of ARRA funds received from the Awarding Agency. The amount of ARRA funds received that were expended or obligated to projects or activities. A detailed list of all projects or activities for which ARRA funds were expended or obligated, including: a. the name of the project or activity; b. a description of the project or activity; c. an evaluation of the completion status of the project or activity; and d. an estimate of the number of jobs created and the number of jobs retained by the project or activity. The total amount of ARRA funds received from the Awarding Agency.

The amount of ARRA funds received that were expended or obligated to projects or activities. Detailed information on any subcontracts awarded by the Tribe to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director, Office of Management and Budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0392-2-0-099 - 75-0389 20092010.

**Obligations:**

(Project Grants (Contracts)) FY 08 not reported.; FY 09 est \$80,000,000; FY 10 est not reported. - The IHS's authority to obligate funds related to ARRA contracts expires on September 30, 2010 and any contractual conditions placed on receipt of payments under the ARRA addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents.

**Range and Average of Financial Assistance:**

\$0 - \$80 Million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ARRA, Public Law 111-5, ARRA OMB Guidance ; Public Law 93-638, as amended, Public Law 106-206; Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self Determination and Education Assistance Act; Indian Health Circular No. 2000-01; 25 CFR 900; 42 CFR 36; and the terms and conditions on the HHS website at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

: CAPT Randall J.F. Gardner, P.E., USPHS 12300 Twinbrook Parkway, Suite 600A

, Rockville, Maryland 20852 Email: [Randall.Gardner@ihs.gov](mailto:Randall.Gardner@ihs.gov) Phone: (301) 443-1247.

**Website Address:**

<http://www.hhs.gov/recovery/> or <http://www.recovery.gov/>

**RELATED PROGRAMS:**

15.024 Indian Self-Determination Contract Support; 15.025 Services to Indian Children, Elderly and Families; 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Equipment, Health facilities construction, Sanitation facilities projects, Maintenance and improvements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.723 ARRA - PREVENTION AND WELLNESS-STATE, TERRITORIES AND PACIFIC ISLANDS**

Centers for Disease Control and Prevention - ARRA Prevention and Wellness - State, Territories and Pacific Islands Supplemental

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under sections 301(a), 307, 310, 3111 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2). The ARRA funds are intended to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. There will be two program components included in the supplemental award announcement; Nutrition, Physical Activity, and Tobacco Control (component 1) and National Network of Tobacco Quitlines (component 2). This initiative will address the following areas in component 1: Increased levels of physical activity Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and Decreased exposure to secondhand smoke. and Component 2 Expand National Network of Tobacco Quitlines. States, Territories, Pacific Islands and the District of Columbia funded under this announcement will accomplish this by planning and implementing interventions and establishing evidence-based policies to support and institutionalize healthy behaviors related to nutrition, physical activity and tobacco prevention among state/territory residents. These strategies will ultimately help change social norms and make healthier choices easier and

more affordable to residents. Programs will focus on policy and environmental changes that both improve state- and territory-wide policies and support community efforts for chronic disease prevention and control.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$128.1 million will support States and Territories in promoting wellness and preventing chronic disease through state-wide and local policy and environmental change for chronic disease prevention and to expand tobacco quit lines and tobacco counter advertising. This program will support evidence-based policies and interventions at the state and local levels which ultimately help change social norms and make healthier choices easier and more affordable. Programs will focus on policy and environmental changes that both improve statewide policies and support community efforts for chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to support policy and system changes to reduce chronic disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke. To support a core infrastructure for the delivery of quitline services which include proactive counseling and promotion/outreach. Proactive quitlines exist when a trained counselor telephones the smokers to provide support in initiating a quit attempt and maintaining prolonged abstinence. Funds may be used to expand and promote proactive counseling capacity, enhance and expand integration of online and other electronic information support technologies, expand media and marketing efforts, extend hours of service, expand outreach to specific populations, provide multiple language services, increase collaborations with healthcare systems and providers, and for evaluation. Purchase of Nicotine Replacement Therapy medications is authorized with these funds. FDA-approved Nicotine Replacement Therapy (e.g., nicotine patch, gum, nasal spray, inhaler, and lozenge) is proven effective in helping people quit smoking. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Recipients may not spend more than 10 percent of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Beneficiary Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, describe plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the

SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov. HHS/CDC Telecommunications for the hearing impaired: TTY (770) 488-2783.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need and formula based and demonstrated capacity to accomplish the activities listed in the supplemental announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until October 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information: (a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of

Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

(g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with OMB Circular A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0144-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$104,962,630; FY 10 est \$128,000,000

**Range and Average of Financial Assistance:**

Component 1 (State Chronic Disease Policy and System Change - \$300,000 to 3.9 million  
Component 2 (Tobacco Quitline) - \$100,000 to 3.2 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: In fiscal year 2010, projected to issue 53 awards to reduce Chronic Disease risk

factors, prevent and delay chronic disease, promote wellness, and better manage

chronic conditions. This initiative will address the following:

Increased levels of physical activity

Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);

Decreased smoking prevalence and decreased teen smoking initiation; and

Decreased exposure to secondhand smoke.

Expand National Network of Tobacco Quitlines.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Kevin Collins 1600 Clifton Road, NE.  
Mailstop K45  
, Atlanta, Georgia 30333 Email: KTCollins@cdc.gov Phone: 770-488-1218  
Fax: 770-488-1220

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.724 ARRA - PREVENTION AND WELLNESS COMMUNITIES PUTTING PREVENTION TO WORK FUNDING OPPORTUNITIES ANNOUNCEMENT (FOA)**

Centers for Disease Control and Prevention ARRA Prevention and Wellness Communities Putting Prevention to Work

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)  
2) American Recovery and Reinvestment Act of 2009, Public Health Service Act,  
42 U.S. Code 241(a) and 247b (k) 2  
311.

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2) to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following:

- Increased levels of physical activity
- Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);
- Decreased smoking prevalence and decreased teen smoking initiation; and
- Decreased exposure to secondhand smoke.

Communities funded under this announcement will accomplish this by implementing population-based approaches such as policy, systems, and environmental changes across 5 evidence-based strategies access, media, point of decision information, social support services, and price in both schools and communities. Both components are necessary to achieve behavior change in youth that sustain from school settings into family and community settings, and supports sustaining healthy behavior into adulthood. Communities funded by this announcement will receive a menu of evidence-based interventions along with support and tools from the Centers for Disease Control

and Prevention (CDC) to strengthen and develop effective strategies tailored to their needs.

The cooperative agreements will address the Healthy People 2010 focus areas of obesity, cardiovascular disease, tobacco, and educational and community-based programs; the Health Protection Goals of Healthy People in Every Stage of Life which states that all people, and especially those at greater risk of health disparities, will achieve their optimal lifespan with the best quality of health in every stage of life, and Healthy People in Healthy Places which states that the places where people live, work, learn, and play will protect and promote their health and safety, especially those at greater risk of health disparities..

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$409.9 million will support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10% of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants will be required to provide the following information:

Demonstrate that they have a coalition in place with experience in promoting health promotion or prevention of chronic disease outcomes or experience that relates to improving chronic disease outcomes, including the capacity to influence policy, system and/or environmental changes in the community.

Demonstrate that they have an existing community action plan in place related to improving behaviors that lead to chronic diseases through changing policy, systems and/or environment.

Provide documentation that they have received a grant of sufficient size to indicate the ability to adhere to Federal ARRA requirements and to expend a large amount of funds in the project period outlined by the Communities Putting Prevention to Work Initiative.

Ensure that at least 50% of the total award is spent extramurally.

Provide letters of support from school districts indicating support for implementing the YRBS survey for baseline and follow-up data.

Successful applicants will also be required to meet quarterly benchmarks for the Communities Putting Prevention to Work Initiative. At the end of each quarter, the grantee will receive a score card that indicates the percentage of benchmarks being met (100%-70% of benchmarks = green; 70%-50% of benchmarks = yellow; less than 50% of benchmarks = red).

Costs will be determined in accordance with OMB Circular No A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to this competitive funding opportunity announcement will be evaluated for programmatic and technical merit. Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in the funding opportunity announcement. The panel will be comprised of a primary, secondary, and tertiary reviewer that will score the applications and document their strengths and weaknesses. The applications will be scored against the criteria not against one another. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no matching requirement. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until April 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information:

- (a) The total amount of ARRA funds under this award;
- (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- (c) The amount of unobligated award balances;
- (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment;
- (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.
- (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.
- (g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.
- (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with OMB Circular A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0144-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 not reported.; FY 09 est not reported.; FY 10 est \$409,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: In fiscal year 2010, projected to issue 40 awards to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following:

- Increased levels of physical activity
- Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);
- Decreased smoking prevalence and decreased teen smoking initiation; and
- Decreased exposure to secondhand smoke.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Mike Waller 1600 Clifton Rd, Atlanta, Georgia 30333 Email: MNW1@cdc.gov  
Phone: (770) 488-5264

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidence-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.725 ARRA - COMMUNITIES PUTTING PREVENTION TO WORK: CHRONIC DISEASE SELF-MANAGEMENT PROGRAM**

CDSMP

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

The statutory authority for cooperative agreements under this program announcement is contained in Division A, Title VIII of the American Recovery and Reinvestment Act (Recovery Act) of 2009 (Public Law 111.5). , Title VIII, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), signed into law February 17, 2009, is designed to stimulate economic recovery in various ways: to preserve and create jobs; to promote economic recovery; to assist those most impacted by the recession, to stabilize state, territorial and local government budgets to minimize and avoid reductions in essential services and counterproductive state, territorial, and local tax increases; to strengthen the Nations healthcare infrastructure; and to reduce healthcare costs through prevention activities. The Recovery Act includes \$650 million for evidence-based clinical and community-based prevention and wellness strategies that deliver specific, measurable health outcomes. The legislation provides an important opportunity for communities, States, territories, cities, rural areas, and tribes to advance public health across the lifespan and to eliminate health disparities. Of the \$650 million appropriated for this initiative (Communities Putting Prevention to Work), \$32.5 million will support States and territories in promoting wellness by deploying evidence-based chronic

disease self-management programs targeted at older adults with chronic conditions. AoA, in collaboration with CDC, is providing Recovery Act funding under this announcement to support state efforts to deploy evidence-based chronic disease self-management (CDSMP) programs that empower older people with chronic diseases to maintain and improve their health status. The community-based collaborative networks setup through these efforts will provide the foundation for an infrastructure and statewide distribution system that States can use for delivering CDSMP and other evidence-based prevention programs to older adults. These statewide distribution systems will include a quality assurance component to ensure the evidence-based prevention programs are being delivered with fidelity and achieving results comparable to those produced in the original research. The ultimate goal is to have States and communities embed these structures into their statewide systems that provide community-based services and supports to older adults to help them maintain their health and independence in the community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

In general, the use of these funds is to support state efforts to deploy evidence-based chronic disease self-management (CDSMP) programs that empower older people with chronic diseases to maintain and improve their health status. These funds are not to be used for free standing CDSMP programs that are not part of a states larger systems development effort to delivery community-based evidence-based prevention programs to older adults. In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of Recovery Act. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit (Recovery Act Sec. 1602). The following activities are not fundable: construction and/or major rehabilitation of buildings; basic research (e.g. scientific or medical experiments); and, continuation of existing projects without expansion. Furthermore, none of the funds appropriated or otherwise made available in the Recovery Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (Recovery Act Sec. 1604). These funds are not to be used for free standing CDSMP programs that are not part of a states larger systems development effort to delivery community-based evidence-based prevention programs to older adults. The following activities are not fundable: construction and/or major rehabilitation of buildings; basic research (e.g. scientific or medical experiments); and, continuation of existing projects without expansion. Furthermore, none of the funds appropriated or otherwise made available in the Recovery Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

**Applicant Eligibility:**

Eligible applicants include all 56 States and territories as follows: in the 24 States with existing AoA Evidence-Based Disease Prevention cooperative agreements, eligibility is limited to the recipient State agency of those existing cooperative agreements; in the 32 States and territories that do not have existing AoA Evidence-Based Disease Prevention cooperative agreements, only State units on aging and State health departments are eligible to apply. Regardless of which agency applies, both the State unit on aging and State health department must be full partners in the development and implementation of the proposed program. The State Medicaid Agency must also be involved in the development and implementation of the program. Only one application will be permitted for each State or territory.

**Beneficiary Eligibility:**

In general, older adults with chronic diseases. Within this population grantees will be asked to define how they will specifically target low-income, minority, and limited English speaking older adults with chronic diseases.

**Credentials/Documentation:**

The application must include a letter of support from the states Governor in support of the appointed lead agency (i.e. the State unit on aging or the State

health department). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Only one application will be accepted from each State or territory, and a letter of support from the Governor must be included with the States application. States are expected to coordinate with tribal entities in their jurisdiction, and give special attention to serving low-income, minority and limited English speaking seniors. States are encouraged to link with other community-based efforts with special attention to leveraging other public and private sector resources, including federally funded (including Recovery Act, Older Americans Act, Public Health Services Act, Medicare, and Medicaid funded) activities, State revenue programs, and private philanthropy. This funding opportunity is an opportunity for State units on aging and State health departments to collaborate on the development of distribution and delivery systems for CDSMP and eventually other evidence-based prevention programs that have the potential to improve the quality of life for millions of seniors and reduce health care costs. A State governments State unit on aging or health department will be the lead agency for this cooperative agreement. Regardless of which agency is the lead, the entire grant application, including the work plan, should reflect substantial mutual effort, cooperation, and substantive contributions by both agencies throughout the grant period as well as a significant role for the State Medicaid agency. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications for federal assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA) and will be simultaneously published on Grants.gov ([www.grants.gov](http://www.grants.gov)) and on the AoA web site at <http://www.aoa.gov/AoARoot/Grants/index.aspx> when funding is available. As specified in the program announcement, application forms and instructions may be obtained by writing to the U.S. Department of Health and Human Services, Administration on Aging, Grants Management Office, Washington, D.C., 20201

**Award Procedure:**

Notification of Award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula or matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements will be made for a 2 year period. Grant extensions are available and may be requested from the grantee's Program Officer. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual program progress reports are required through the life of the award. Financial Reports are required on a quarterly basis through the life of the award. Final program progress reports and financial reports are due 90 days after the end of the project period. Semi-annual program progress reports are required through the life of the award. Financial Reports are required on a quarterly basis through the life of the award. Final program progress reports and

financial reports are due 90 days after the end of the project period. All grantees must also comply with all requirements specified in Division A of the Recovery Act, including the reporting requirements outlined in Section 1512. Section 1512 of the Recovery Act requires reports on the use of Recovery Act funding by grantees no later than the 10th day after the end of each calendar quarter and for the federal agency providing those funds to make the reports publicly available no later than the 30th day after the end of that quarter. A full list of the recipient reporting data elements is available at:

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf) and the HHS ARRA award terms and conditions are available at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$27,500,000

**Range and Average of Financial Assistance:**

\$50,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: N/A. Fiscal Year 2009: N/A. Fiscal Year 2010: This is a new program for FY 2010 therefore there are no program accomplishments to date. The agency anticipates up to 56 awards to states and territories. The key objectives of this 2-year funding opportunity are to: (a) Deliver CDSMP to 50,000 individuals; (b) Document the impact of CDSMP on participant behavior and health status; (c) Develop and test an approach for using Medicare claims data to track the impact of CDSMP on participant health care utilization; and (d) Strengthen the capacity of States and communities to systematically deploy CDSMP and other evidence-based prevention programs that benefit older adults.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All grantees must also comply with all requirements specified in Division A of the Recovery Act, including the reporting requirements outlined in Section 1512. Section 1512 of the Recovery Act requires reports on the use of Recovery Act funding by grantees no later than the 10th day after the end of each calendar quarter and for the federal agency providing those funds to make the reports publicly available no later than the 30th day after the end of that quarter. A full list of the recipient reporting data elements is available at:

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf) and the HHS ARRA award terms and conditions are available at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for addresses.).

**Headquarters Office:**

Jane Tilly, Administration on Aging  
One Massachusetts Ave.

, Washington, District of Columbia 20001 Email: Jane.Tilly@aoa.hhs.gov  
Phone: (202) 357-3438 Fax: (202) 357-3469.

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements will be awarded on a competitive basis. Specific details for evaluating applications are published as part of the program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) coordination and partnerships; and (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.727 ARRA - HEALTH INFORMATION TECHNOLOGY - BEACON COMMUNITIES**

Beacon Community Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, Part HITECH Act, Section 3011, Public Law 111-5.

**OBJECTIVES:**

The Beacon Community Program will provide funding to communities to build and strengthen their health information technology (health IT) infrastructure and exchange capabilities to demonstrate the vision of the future where hospitals, clinicians and patients are meaningful users of health IT, and together the community achieves measurable improvements in health care quality, safety, efficiency, and population health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Awarded communities must use the funding provided under this program to support health IT and information exchange infrastructure, to achieve improvements in health care quality, safety, efficiency, and population health. Funding can build and strengthen existing health IT and information exchange infrastructure and support 1) the use of health information technology by public health departments, 2) adoption of certified electronic health records (by providers not currently eligible for HIT incentive payments or regional HIT extension center assistance), 3) training on and dissemination of information on best practices to integrate health information technology into providers delivery of care, 4) infrastructure and tools for the promotion of telemedicine, 5) community-wide quality reporting repositories and registries, and 6) the protection of health information by all holders of individually identifiable health information. None of the funds appropriated or otherwise made available in ARRA may be used by any state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

The lead applicant which submits a Beacon Community application on behalf of their community must be a US-based non-profit organization or state, local, tribal or territorial government entity, but may represent a consortium of organizations and providers. Private providers and insurers will be encouraged to participate in the consortia.

**Beneficiary Eligibility:**

The identification and dissemination of best practices and lessons learned will directly benefit organizations and communities advancing health information technology and exchange. The knowledge attained by these awarded

communities will, in turn, benefit the nations communities as a whole.

**Credentials/Documentation:**

If an applicant is a US-based non-profit entity it must provide documentation of its 501C (3) status or IRS determination letter, IRS tax exemption certificate, or letter from state taxing body verifying tax-exempt status. If the proposal is on behalf of a consortium, there must be letters of commitment from all members of the consortium which include their tax status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is excluded from Executive Order 12372.

Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

All timely applications from eligible entities that conform to the requirements of the program announcement will be forwarded to an objective review committee which will make funding recommendations, based on the merits of the applications. The selection of awardees will be made by the Secretary of HHS, or designee.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. There is no match required for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made for a 36 month project period with one 36 month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. Cash report requirements, if applicable, will be identified in the Program Announcement. Progress report requirements, if applicable, will be identified in the Program Announcement. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. Reporting requirements for ARRA programs can be found at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

Applicants will submit annual progress reports as outlined in the Program Announcement.

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend \$500,000 or more in Federal awards annually are required to have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from the OMB Circular A-133 audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3- year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$220,000,000

**Range and Average of Financial Assistance:**

Awards may range from a minimum of \$10,000,000 to a maximum of \$20,000,000. Average award amount is anticipated to be \$15,000,000. 15 awards will be granted in Fiscal Year 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74, 45 CFR Part 92, and the HHS Grants Policy Statement located at: <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the National Coordinator for Health Information Technology 200 Independence Avenue, SW, Suite 729D  
, Washington, District of Columbia 20201 Email:  
BeaconCommunityGrants@hhs.gov Phone: 202-690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

93.718 Health Information Technology Regional Extension Centers Program;  
93.719 ARRA - State Grants to Promote Health Information Technology

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve specific and measurable health outcomes and health care efficiency objectives consistent with health IT enabled performance monitoring, feedback, practice redesign, and care coordination.

**93.728 ARRA - STRATEGIC HEALTH IT ADVANCED RESEARCH PROJECTS (SHARP)**

SHARP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act), Title XIII, Part A, Section 3011.

**OBJECTIVES:**

This Funding Opportunity Announcement (FOA) will result in new competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advanced Research Projects (SHARP) sites for a project period of four years. Each such research site will have a two-part mission:

- (1) to implement a collaborative, interdisciplinary program of research addressing a specific focus area from the list provided below, addressing short-term as well as long-term challenges; and
- (2) to develop and implement a cooperative program between researchers, patient groups, health care providers, and other health IT sector stakeholders to transition the results of research into practice.

Each site will focus on areas where breakthrough improvements are needed to address well-documented problems that have impeded adoption of health IT and thereby accelerate progress on the pathway towards achieving the goals outlined in the strategic plan for health IT developed by the National Coordinator pursuant to PHSA Section 3001(c)(3) as added by the Recovery Act, specifically including the nationwide achievement of meaningful use of health IT to achieve transformational improvement of the health care system.

Each site will implement a collaborative, inter-disciplinary research program addressing one of the specific focus area(s) listed below. An eligible entity may, apply for funding in separate applications to establish more than one site, and thus it is possible a single eligible entity (institution) may receive more than one award under this program. Regardless of the total number of institutions funded to establish sites under this program, it is expected that the all of the awardees will collaborate with each other, as there will be numerous points of intersection among the sites' agendas.

Within its focus (listed below) area, each site will carry out at least the following set of activities:

Initially define and subsequently update or redefine on a yearly basis, the key issues and research challenges within their respective area(s) of focus. The research areas identified will be those that significantly address barriers and solutions to achieving widespread adoption and meaningful use of health IT. Projects to address the identified issues will be mapped to either a short-term (< 2 years) or long-term (4 years) timeframe. Because this is a cooperative agreement, recipients shall plan and allow for collaboration with ONC and other federal staff with relevant expertise as identified or approved by ONC in establishing and updating the definition of key issues and research challenges in the sites focus area;

Conduct ambitious research addressing these key issues and challenges. This work will draw on the scientific methods and expertise of researchers and practitioners in diverse fields;

Collect specific, uniform data about the research activities and track progress toward milestones;

Facilitate practical and efficient processes that enable translation of research into health care and public health innovations, facilitating the transition of multidisciplinary research outcomes into new healthcare products and services both the short- and long-term;

Partner with industry to rapidly transfer short term results of this research into health IT products;

Publish and otherwise disseminate these research findings, preferably in open source journals that maximize the accessibility of this knowledge to the entire

## health IT community

Participate in an external evaluation; and

Select desired, measurable outcomes specific to the chosen research issue and methods for attaining results.

## Research focus areas

In no particular order, the four foci for research identified below will be addressed by this program. The areas have been assigned numbers for ease of reference. Appendix B provides further detail about each of these areas.

1. **Security of Health Information Technology** This research area addresses the challenges of developing security and risk mitigation policies and the technologies necessary to build and preserve the public trust as health IT systems become ubiquitous.

This research area is responsive to paragraphs (1), (4), (5), and (6) of the PHSA 3011(a), as added by the Recovery Act, through the following activities:

Promoting the development and implementation of health information technology solutions that will support the electronic exchange and use of health information in a secure, private manner;

Promoting the development and implementation of technologies and best practices that enhance the protection of health information by all holders of individually identifiable health information;

Enhancing the capabilities and functionalities of tools to support privacy and security of individually identifiable health information as it is exchanged and used; and,

Supporting and enhancing the assurance of privacy needed providers and patients widespread acceptance of telemedicine and robust participation in clinical data repositories and registries.

2. **Patient-Centered Cognitive Support** This research area addresses the challenge of harnessing the power of health IT so that it integrates with, enhances and supports clinicians reasoning and decision making, rather than forcing them into a mode of thinking that is natural to machines but not to people.

PHSA 3011(a), as added by the Recovery Act, directs the support of health IT architecture that will support the use of health information in an accurate manner. Additionally, paragraphs (3) and (5) of the same subsection of the statute authorize use of funding appropriated under PHSA Section 3018, as added by the Recovery Act, to disseminate training and information on best practices to integrate health IT into a providers delivery of care, and to promote the use of clinical data repositories and registries. All of these paragraphs ((1), (3), and (5) of PHSA 3011(a) as added by the Recovery Act) point to longstanding challenges that require new and creative research related to the accurate and effective use of electronic health information to enhance the safety, quality, efficacy, and thus the overall value of care.

3. **Healthcare Application and Network Platform Architectures** This research area focuses on the development of architectures that are necessary to achieve electronic exchange and use of health information in a secure, private and accurate manner.

PHSA 3011(a)(1), as added by the Recovery Act, authorizes support of health IT architecture that will support the nationwide electronic exchange and use of health information in a secure, private, and accurate manner. This research focus specifically supports the development of new and improved architectures and technology infrastructure needed to achieve the goals outlined in the plan for health IT by the National Coordinator in support of PHSA 3001(c)(3), as added by the Recovery Act, and to support measures for determination of meaningful use of health IT by providers over time (required by Social Security Act (SSA) Sections 1848(o) and 1866(n), as added by Title IV in Division B of the Recovery Act).

4. **Secondary Use of EHR Data** This research area focuses on strategies to enhance the use of health IT in improving the overall quality of health care.

PHSA 3011(a), as added by the Recovery Act, states that the Secretary shall invest in the infrastructure necessary to allow for and promote the electronic exchange and use of health information for each individual in the United States consistent with the goals outlined in the strategic plan developed by the National Coordinator. PHSA 3001(c)(3), as added by the Recovery Act, directs

that the National Coordinator shall, in consultation with other appropriate Federal agencies (including the National Institute of Standards and Technology), update the Federal Health IT Strategic Plan (developed as of June 3, 2008) to include specific objectives, milestones, and metrics with respect to a specific set of topic areas. The current Federal Health IT Strategic Plan (developed as of June 3, 2008), as referenced in the statute, advances secondary use as a key mode of information technology use to transform health care. This is consistent with, and will be updated and expanded upon pursuant to the direction of PHSA 3001(c)(3)(i), (vii) and (vii), as added by the Recovery Act, to add to the updated strategic plan such objectives, milestones, and metrics with respect to:

(Reference: PHSA 3001(c)(3)(i)) the electronic exchange and use of health information and the enterprise integration of such information.

(Reference: PHSA 3001(c)(3)(vii)) strategies to enhance the use of health IT in improving the quality of health care, reducing medical errors, reducing health disparities improving public health, increasing prevention and coordination with community resources, and improving the continuity of care among health care settings.

(Reference: PHSA 3001(c)(3)(viii)) the specific plans for ensuring that populations with unique needs, such as children, are appropriately addressed in the technology design, as appropriate.

### **Applicant Eligibility:**

Any entity submitting an application for this award must be a U.S.-based:

public or private institution of higher education; or  
other public or private institution or organization with a research mission.

### **Beneficiary Eligibility:**

This Funding Opportunity Announcement (FOA) will result in new competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual program announcements. Applicants should consult with the office or official designated as the contact for additional information on the application procedures.

### **Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

### **Deadlines:**

Jan 25, 2010

### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advance Research Projects (SHARP) for a project period of four years. See the following for information on how assistance is awarded/released: PHS 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHS 3012(c) for a period not to exceed 4 years. Awards are expected to be for two, 2-year budget periods and a four year project period. The Funding Opportunity Announcement will provide additional details on how assistance is awarded/released.

**Reports:**

Reporting and Registration Requirements under Section 1512 of the Recovery Act:

(a) This award requires the recipient to complete projects or activities which are funded under the Recovery Act and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in Section 1512(c) using the reporting instructions and data elements that will be provided online at [www.FederalReporting.gov](http://www.FederalReporting.gov) and ensure that any information that is pre-filled is corrected or updated as needed.

The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30 days following the end of the reporting period to which they pertain. The final progress report and final financial status report are due no later than 90 days after the end of the project period. ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives. No cash reports are required. The awardee shall submit annual progress reports related to their projects and overall site performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Act's emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS's standard reporting requirements for grants and cooperative agreements. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the

accountability objectives of the Recovery Act, as well as the Departments' responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work. Expenditure reports are not applicable. The awardee shall submit annual progress reports related to their projects and overall Center performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Act's emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS's standard reporting requirements for grants and cooperative agreements. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the accountability objectives of the Recovery Act, as well as the Departments' responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient shall comply with audit requirements of OMB Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars);

**Records:**

No Data Available.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$60,000,000 - Awards will be in the form of a cooperative agreement with a 4-year project period. Under this type of award, ONC will work collaboratively with each site to accomplish the goals of the award. Each cooperative agreement will anticipate a total budget of between \$10 million and \$18 million over the full 4-year project period.

**Range and Average of Financial Assistance:**

Awards may range from \$10,000,000 - \$18,000,000  
Average award will be \$15,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a new program. Initial awards have not yet been made. There are not yet demonstrated accomplishments toward program objectives. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 and the HHS Grants Policy Statement located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wil Yu, 200 Independence, SW, Washington, District of Columbia 22209  
Email: wil.yu@hhs.gov Phone: (202) 690-5920.

**Website Address:**

http://healthit.hhs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM**

(CHIP; SCHIP)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Children's Health Insurance Program Reauthorization Act of 2009.

**OBJECTIVES:**

1. To provide funds to States to enable them to maintain and expand child health assistance to uninsured, low-income children, and at a state option, low-income pregnant women and legal immigrants, primarily by three methods: (1) obtain health insurance coverage that meets the requirements in Section 2103 relating to the amount, duration, and scope of benefits; (2) expand eligibility for children under the State's Medicaid program; or 3) a combination of the two.
2. To provide funds to Indian health programs operated by Indian Health Service, urban Indian organizations operating a health program under the IHCA (P.L. 94-437, as amended) and tribes or tribal organizations operating a health program under the ISDEAA (P.L. 93-638, as amended) to find eligible, not enrolled Indian children, ensure they are enrolled in Medicaid and CHIP programs and ensure they retain coverage as long as they remain eligible..

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

No State is eligible for payments for child health assistance for coverage provided prior to October 1, 1997. Standards used to determine eligibility may include those related to geographic areas to be served by the plan. Age, income and resources, residency, disability status (as long as the standard does not restrict eligibility), access to or coverage under other health coverage, and duration of eligibility are factors. Standards may not discriminate on the basis of diagnosis. Eligibility standards must not cover higher-income children without covering lower-income children, and must not deny eligibility based on a child having a preexisting medical condition. The State must ensure that only targeted low-income children are furnished child health assistance under the plan. Children found through screening to be eligible for Medicaid are to be enrolled in Medicaid. The insurance provided under the State plan does not substitute for coverage under group health plans. Coordination with other public and private programs providing creditable coverage for low-income children should occur. Child Health Assistance (other than Medicaid), must consist of any of the following: Benchmark coverage; benchmark equivalent coverage (which can be FEHBP-equivalent coverage); State employee coverage or coverage offered through the HMO with the largest insured commercial non-Medicaid enrollment in the State; existing comprehensive State-based coverage; or Secretary-approved coverage. A State child health plan must include a description of the amount (if any) of cost-sharing and must be in accordance with a public schedule. Cost-sharing may be varied in a way that

does not favor higher-income children over lower-income children. No cost-sharing is permitted for well-baby and well-child care, including age-appropriate immunizations. Cost-sharing for children at 150 percent of poverty must be consistent with Medicaid; Cost-sharing for children at 150 percent of poverty and above must be based on an income-related sliding scale.

The aggregate for all children in a family cannot exceed 5 percent of the family's income. The State child health plan may not impose pre-existing condition exclusions for covered benefits. States that provide for benefits through a group health plan or group health insurance coverage may permit pre-existing condition exclusions as allowed under the applicable Section of the Employee Retirement Income Security Act (ERISA) and the Health Insurance Portability and Accountability Act (HIPAA). Funds provided to a State under this Title may only be used to carry out the purposes of this Title. Health insurance coverage provided may include coverage of abortion only if necessary to save the life of the mother or if the pregnancy is the result of an act of rape or incest. States may spend up to 10 percent of their total CHIP expenditures (Federal and State) on non-benefit activities, including: outreach conducted to identify and enroll eligible children in CHIP; administration costs; health services initiatives; and other child health assistance. These expenditures are matched at the enhanced CHIP matching rate and counted against both the 10 percent limit and the allotment. Monetary amounts provided by the Federal government or services assisted or subsidized to any significant extent by the Federal government, may not be included in determining the amount of nonfederal contributions required for State matching purposes.

Indian health programs eligible under this title must use funds to provide outreach, enrollment and retention for targeted, low-income children who are Indian. The funds may not be used to provide direct benefits of the CHIP program or to supplant existing activities funded under federal programs.

**Applicant Eligibility:**

All States and Territories may apply.

Indian health programs operated by Indian Health Service, urban Indian organizations operating a health program under the IHCA (P.L. 94-437, as amended) and tribes or tribal organizations operating a health program under the ISDEAA (P.L. 93-638, as amended) may apply.

**Beneficiary Eligibility:**

Targeted low-income children will benefit. These children are defined (for the purposes of Title XXI) as children who have been determined eligible by the State for child health assistance under their State plan; are low-income children; or are children whose family income exceeds the Medicaid applicable income level but does not exceed 50 percentage points above the Medicaid applicable income level; and are not found to be eligible for medical assistance under Title XIX or covered under a group health plan or under health insurance coverage. This term does not include a child that is a member of a family that is eligible for health benefits coverage under a State health benefits plan on the basis of a family member's employment with a public agency in the State.

Indian children who are targeted, low-income children will benefit. These children are defined (for the purposes of Title XXI) as children who have been determined eligible by the State for child health assistance under their State plan; are low-income children; or are children whose family income exceeds the Medicaid applicable income level but does not exceed 50 percentage points above the Medicaid applicable income level; and are not found to be eligible for medical assistance under Title XIX or covered under a group health plan or under health insurance coverage. This term does not include a child that is a member of a family that is eligible for health benefits coverage under a State health benefits plan on the basis of a family member's employment with a public agency in the State.

**Credentials/Documentation:**

States and Territories must submit and have approved by the Secretary of DHHS, a State Child Health Plan. Individuals must meet State requirements. Indian health programs selected under this solicitation must be operated by Indian Health Service, urban Indian organizations operating a health program under the IHCA ((Public Law 94-437, as amended) and tribes or tribal

organizations operating a health program under the ISDEAA (Public Law 93-638, as amended) may apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Title XXI plans and amendments are submitted by the State Governor, or designee, to the CMS Center for Medicaid and State Operations; Families and Children Health Program Group (CMSO/FCHPG). The Title XXI plan should be a stand alone document that fully addresses each relevant Section of the statutory requirements.

Eligible Indian health program grantees will submit applications through grants.gov website prior to the closing date, January 15, 2010, of the solicitation. Applications will be reviewed and awarded to eligible grantees on a competitive basis by April 15, 2010.

Award Procedure (093):

**Award Procedure:**

The CMS Administrator exercises delegated authority to approve Title XXI plans and amendments. Letters of approval will be signed by the CMS Administrator.

Grants to Indian health programs will be awarded on a competitive basis utilizing impartial panels and facilitators on April 15, 2010.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section 2106 of the Law, specifies that a State plan is considered approved unless the Secretary notifies the State in writing, within 90 days after receipt of the plan, that the plan is disapproved (and the reasons for disapproval) or that specific additional information is needed. Informal clarification and discussion between the State and the DHHS review team is permitted and encouraged during the review period. This does not stop the "90-day clock." The 90-day review period may be stopped by formal written requests for additional information and clarification. The 90-day review period may be stopped as many times as necessary to obtain completed information necessary to disapprove or approve the plan. The 90-day period will resume when the finalized additional information is received by CMS.

Grants to Indian health programs will be 3 year grants from April 15, 2010 through April 14, 2013.

**Appeals:**

If a State wishes to appeal a disapproval, it may petition for a reconsideration of this decision within 60 days after the date of receipt of the disapproval letter, by submitting a written request for reconsideration to the project officer and the regional office. States also have the option to submit a new application following the disapproval, starting a new 90-day review clock.

**Renewals:**

An approved State child health plan shall continue in effect unless the State amends that plan or the Secretary finds substantial noncompliance of the plan in accordance with the requirements of Title XXI.

The Indian health program grants are one-time grants for a period of three (3) years.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Section 2105(b), Title XXI, provides for an "enhanced Federal Matching Assistance Percentage (FMAP)" for child health assistance provided under Title XXI that is equal to the current FMAP for the fiscal year in the Medicaid Title XIX program, increased by 30 percent of the

difference between 100 and the current FMAP for that fiscal year. The enhanced FMAP may not exceed 85 percent. CHIPRA implemented a limitation on matching rates for states that propose to cover children with effective family income that exceeds 300 percent of the poverty line to FMAP rather than EMAP, unless a waiver or State Plan Amendment or state law was in place to cover this population before the enactment of CHIPRA. The formula for determining the final allotment includes: determining the number of States with approved State Plans as the end of the fiscal year. In order for a State to receive a final allotment for a fiscal year, CMS must approve the CHIP State Plan for that State by the end of the fiscal year. Only States with approved State Plans by the end of the fiscal year will be included in the final allotment calculation. The Childrens Health Insurance Program Reauthorization Act of 2009 (CHIPRA) was enacted on February 4, 2009 and provided appropriations through FY 2013.

The States' FY 2009 final allotments are calculated as 110 percent of the highest of the following three amounts:

- Total Federal payments under title XXI to the State for FY 2008, multiplied by an allotment increase factor for FY 2009;
- FY 2008 CHIP allotment multiplied by the allotment increase factor for FY 2009; or
- The projected Federal payments under title XXI for FY& 2009 as determined on the basis of the February 2009 estimates submitted and certified by the States no later than March 31, 2009.

The State FY 2010 allotment will be calculated as the sum of the following four amounts, multiplied by the applicable growth factor for the year.

- the FY 2009 CHIP allotments;
- FY 2006 unspent allotments redistributed to and spent by shortfall states in FY 2009;
- spending of funds provided to shortfall sates in the first half of FY2009; and
- spending of Contingency Fund payments in FY2009, although there may be none.

For FY 2011 and FY 2013 the allotments will be rebased , on prior year spending. This will be done by multiplying the states growth factor for the year by the new base, which will be the prior years federal CHIP spending. For FY 2012, the allotment for a state will be calculated as the FY 2011 allotment and any FY 2011 contingency fund spending, multiplied by the states growth factor for the year. The amount of the state allotment for previous fiscal year and the amount of any payments made to the State under subsection (k), (l), or (n) for the previous fiscal year multiplied by the allotment increase factor for the current year.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Enrolled children receive medical services as necessary. Federal funds are obligated to the States by issuing Title XXI grant awards. To ensure that all of the appropriated funds are available to States, CMS will issue grant awards to all States with Title XXI State plans approved by the end of the fiscal year equaling the national amount available for allotment to the 50 States, the District of Columbia, and the Commonwealths and Territories for that fiscal year. Grant awards must be issued by the time the CMS/HHS accounting system closes with respect to that fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Section 2108 of the Law specifies that States must develop annual reports assessing the operation of their State Plan for each fiscal year, including the progress made in reducing the number of uncovered low-income children and report to the Secretary by January 1, of the following year the results of the assessment. By March 31, 2000, each State with a child health plan must submit to the Secretary an evaluation that includes an assessment of the effectiveness of the State Plan in increasing the number of children with creditable health coverage, in increasing the availability of affordable quality individual and family health insurance for children, and in coordinating recommendations for improving the program under this Title. By December 31, 2001, the Secretary must submit to

Congress and make available to the public, a report based on the evaluations submitted by the States recommendations and conclusions. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. A State child health plan under Title XXI must include an assurance that the State will afford the Secretary access to any records or information relating to the plan for the purposes of review or audit.

**Records:**

A State child health plan must include an assurance that the State will collect the data, maintain the records, and furnish the report to the Secretary at the times and in standardized format (as the Secretary requires), in order to enable the Secretary to monitor State program administration and compliance and to evaluate and compare the effectiveness of State Plans under this Title.

**Account Identification:**

75-0515-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$6,900,071,000; FY 09 est \$10,562,000,000; FY 10 est \$12,520,000,000

**Range and Average of Financial Assistance:**

The range is from \$1,221,139 for the smallest territory (Northern Mariana Islands) to \$1,552,909,600 for the the States (California).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidance issued related to the Children's Health Insurance Program may be accessed through the World Wide Web at: [www.cms.hhs.gov/schip](http://www.cms.hhs.gov/schip).

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Center for Medicaid and State Operations 7500 Security Boulevard, Baltimore, Maryland 21244 Phone: 4107863870

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.768 MEDICAID INFRASTRUCTURE GRANTS TO SUPPORT THE COMPETITIVE EMPLOYMENT OF PEOPLE WITH DISABILITIES**

(Ticket To Work Infrastructure Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999, Section 203, Public Law 106-170.

**OBJECTIVES:**

To support State efforts to enhance employment options for people with disabilities by building Medicaid infrastructure. Funding may be used to develop a Medicaid buy-in, increase availability of Personal Assistance Services, or for State-to-State technical assistance. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

While the proposals submitted by the States may vary, States participating in this grant program will use the funds to remove the barriers to employment of persons with disabilities, by creating health systems change through the Medicaid program. The development or enhancement of certain core Medicaid components in each State would enable people with disabilities not only to work, but to sustain adequate health coverage if they find they need to relocate to another State for employment purposes. An adequate personal assistance services benefit and a Medicaid buy-in for employed people with disabilities are significant components of the Ticket to Work and Work Incentives Improvement Act. The infrastructure grants program provides money to the States to develop these core elements. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities. Funds may not be used for the direct provision of services to people with disabilities except on a one-time, last resort, emergency basis for the purpose of sustaining the individual's competitive employment.

**Applicant Eligibility:**

Either of the following may apply: (a) the single state medicaid agency; or (b) any other agency or instrumentality of a state(as determined under State law) in partnership, agreement and active participation with the single state medicaid agency, the State Legislature, or the office of the Governor.

**Beneficiary Eligibility:**

There are two groups of potentially eligible beneficiaries, as defined by the Ticket to Work and Work Incentives Improvement Act of 1999. The first group consists of persons with disabilities between the ages of 16 and 65 years old, employed, and who meet income, asset, and resource standards established by the State. The second group of potential beneficiaries consists of persons between the ages of 16 and 65 years old, employed, and who cease to be eligible for Medical Assistance because of medical improvements determined at the time of a regularly scheduled disability review, but who also continue to have a severe medically determinable impairment.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner agencies or instrumentality's. Individuals must meet State requirements. Administrative cost will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

Official notice of approved applications is made through the issuance of a grant award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is from 100 to 150 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

CMS announced the first round of infrastructure grant awards in October 2000. This grant program is authorized for 11 years beginning in fiscal year 2001. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress and expenditure reports are required on all projects. Progress and expenditure reports are required on all projects. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$43,028,057; FY 09 est \$64,500,000; FY 10 est \$70,000,000

**Range and Average of Financial Assistance:**

\$500,000 to \$2,750,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Through FY 2007, a total of 50 entities (49 States and the District of Columbia) have been approved for funding from the Infrastructure Grant Program section 203 since its inception. There are 33 States with Medicaid buy-ins and one additional State has a plan amendment under review. As of September 30, 2006, there were just over 78,402 workers receiving Medicaid benefits under the buy-in options. A total of 26 States and the District of Columbia have applied for and will receive continuation grant awards in FY 2007. Nine States received new competitive grant awards in FY 2006. In addition, five States, South Carolina, Missouri, Iowa, Indiana and Arkansas will continue to carry out employment goals for the working disabled population by spending previous grant awards in FY 2007 through a no-cost extension of funding. Of the \$42.8 million (FY 2007) that has been appropriated for the upcoming grant year, \$34.7 million was granted to the States. The reason for the large discrepancy in the FY 2007 appropriation, and the funding amount is that States are enrolling fewer participants in Medicaid buy-in programs than Congress originally anticipated. Higher levels of funding are legislatively related to the yearly amount of Medicaid buy-in service costs expended by a State. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant applications forms are also available on the CMS website at <http://www.cms.hhs.gov/twwiia/424forms.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

Adrienne Delozier 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: [Adrienne.Delozier@cms.hhs.gov](mailto:Adrienne.Delozier@cms.hhs.gov) Phone: 410-786-0278

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.769 Demonstration to Maintain Independence and Employment; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: For a description of State specific projects funded under this grant program. Please see our website at [www.cms.gov/twwiia/inf\\_dmap.asp](http://www.cms.gov/twwiia/inf_dmap.asp).  
Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: understanding the barriers that impede competitive employment of people with disabilities; the extent to which the proposed infrastructure development will offer enduring and significant improvement in the ability of the system to provide adequate health coverage for people with disabilities and are competitively employed; providing needed personal assistance and other supports, and/or removing other significant employment barriers; the appropriateness of the methods, work plan, budget, and timetable; the qualifications of key staff; and the State's plan for using its grant experiences to identify different or better ways to improve its buy-in or Medicaid services that support the competitive employment efforts of people with disabilities.

**93.769 DEMONSTRATION TO MAINTAIN INDEPENDENCE AND EMPLOYMENT**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999; Public Law 106-170.

**OBJECTIVES:**

To prevent the loss of employment and reliance on cash assistance by individuals at risk for disability. To provide benefits equivalent to those provided by Medicaid, to the categorically needy and to workers who have physical or mental impairments that, without medical assistance, will result in a disability.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These demonstration grants will enable States to assist working individuals by providing the necessary benefits and services required for people to manage the progression of their conditions and remain employed. Federal funds paid to the States under this demonstration must be used to supplement, but not supplant, State funds expended for workers with potentially severe disabilities at the time the demonstration project is approved.

**Applicant Eligibility:**

All States are eligible to apply.

**Beneficiary Eligibility:**

Eligible beneficiaries are workers with potentially severe disabilities who are: (a) At least 16 but less than 65 years of age, (b) have specific physical or mental impairments identified by the State that are reasonably expected to lead to blindness or disability (as defined under Section 1614(a) of the Social Security Act, and (c) are employed.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner agencies. Individuals must meet State requirements. Administrative costs will

be determined in Accordance with OMB Circular No. A-87, "Cost Principles for State and Local Government.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. This program is subject to the provisions of OMB Circular No. A-102.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 100 to 150 days.

**Appeals:**

There are formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

While there are no restrictions precluding States from proposing demonstrations that operate for less than the total length of the demonstration, scoring preference will be given to States that propose to participate for the duration of the demonstration. Funding for the demonstration is available from fiscal year 2001 through fiscal year 2006. If any Federal funding remains available after 2006, payments may be made to the States until funding is depleted or through fiscal year 2009. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Reports of progress and expenditures are required on all projects. Reports of progress and expenditures are required on all projects. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$4,257,179; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$284,253 to \$3,980,308; \$2,132,280.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under the section 204 grant program, seven States (Rhode Island, Texas, Mississippi, Louisiana, Kansas, Hawaii and Minnesota) and the District of Columbia have been awarded Demonstration to Maintain Independence and Employment grant funding since the program's inception. States implementing demonstration grant programs will provide Medicaid-equivalent services to targeted populations of working individuals with disabilities. The demonstration projects will be used to evaluate the impact of providing Medicaid benefits to a working person with a potentially severe disability. The State demonstration projects cover individuals with all types of disabilities including HIV/AIDS, and various mental illnesses. In FY 2006, a total of almost \$73 million was obligated for the section 204 program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant application forms are also available on the CMS website at <http://www.cms.hhs.gov/twwia/424forms.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices).

**Headquarters Office:**

Adrienne Delozier 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: [Adrienne.Delozier@cms.hhs.gov](mailto:Adrienne.Delozier@cms.hhs.gov) Phone: 410-786-0278

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities; 93.778 Medical Assistance Program; 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects approved so far will cover the HIV/AIDS, multiple sclerosis, and bi Polar/schizophrenia populations. People enrolled in these demonstration programs will receive Medicaid equivalent services and will participate in an evaluation to determine if the provision of medical services delay the onset of disability and extends the duration for which a person can work. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: the applicant's proposed strategy to achieve each of the outcomes identified by the applicant, including capability to identify a study population, conduct outreach and enroll individuals; whether the particular Medicaid equivalent benefits and services will be advantageous if provided to demonstration participants; the methodology for evaluation of its demonstration project that adequately measures its effectiveness; the adequacy of measures of the demonstration outcomes; and compliance with all reporting requirements.

**93.770 MEDICARE\_PRESCRIPTION DRUG COVERAGE**

(Medicare Part D)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Authorized under the Medicare Prescription Drug, Improvement and Modernization Act of 2003, Public Law 108-173, as Section 1860D of the Social Security Act.



**OBJECTIVES:**

To provide prescription drugs to Medicare beneficiaries through their voluntary participation in prescription drug plans, with an additional subsidy provided to lower-income beneficiaries.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Payments will be made to participating prescription drug plans.

**Applicant Eligibility:**

A non-governmental entity organized and licensed under State law as a risk-bearing entity eligible to offer health insurance in each State in which it is to offer a plan, meeting the requirements in 42 CFR 423.504 and 42 CFR 423.505.

**Beneficiary Eligibility:**

Individuals who are entitled to Medicare benefits under Part A or enrolled in Part B, who reside in the plan's service area, and who are not enrolled in a Medicare Advantage plan, other than a Medicare savings account plan or private fee-for-service plan that does not provide qualified prescription drug coverage.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential sponsors apply to CMS to become an approved prescription drug plan. Generally, individuals enroll directly with the prescription drug program sponsor. The sponsor forwards the enrollment and eligibility information to CMS, which verifies eligibility for the drug benefit. Some individuals who are entitled to both Medicare and Medicaid have been enrolled automatically. Low income beneficiaries may complete a subsidy application at any Social Security office or through their State Medicaid office.

**Award Procedure:**

Payment will be made by CMS to the prescription drug plan sponsors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to six months for plan sponsors.

**Appeals:**

Sponsors whose applications to become a prescription drug plan sponsor are rejected have the right to a reconsideration and appeal process. Beneficiaries have the right to a reconsideration and appeal process for adverse coverage determinations.

**Renewals:**

Contracts with sponsors may be renewed annually. Beneficiaries may enroll and disenroll from plans according to the timeframes established in 42 CFR 423.30-423.46.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Indefinite. Method of awarding/releasing assistance: lump sum.

**Reports:**

Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal

soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974. Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974. Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974. Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974. Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Also, reports as required under the Employee Retirement Income Security Act of 1974.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits of plans by HHS, the Comptroller General or their designees. Periodic audits by CMS and the HHS Office of Inspector General (OIG) of plan cost reporting. Audit by CMS of financial records of at least one-third of participating plans every year.

**Records:**

None.

**Account Identification:**

75-8308-0-7-571.

**Obligations:**

(Insurance) FY 08 \$43,740,793,000; FY 09 est \$54,869,000,000; FY 10 est \$64,131,000,000 - These funds represent benefit outlays.

**Range and Average of Financial Assistance:**

Determined by plan offerings, number of enrollees, and utilization.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of January 30, 2007, approximately 39 million enrollees had comprehensive drug coverage through Part D or another credible source. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program were authorized under Section 1860D of the Social Security Act, as enacted under Public Law 108-173, and were published on January 21, 2005.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynn Orlosky 7500 Security Boulevard, Baltimore, Maryland 21244 Email: lynn.orlosky@cms.hhs.gov Phone: 410-786-9064

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.773 MEDICARE\_HOSPITAL INSURANCE**

(Medicare Part A)

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

#### **OBJECTIVES:**

To provide hospital insurance protection for covered services to persons age 65 or above, to certain disabled persons and to individuals with chronic renal disease.

#### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

#### **USES AND USE RESTRICTIONS:**

Hospital insurance benefits are paid to participating and emergency hospitals, skilled nursing facilities, home health agencies, and hospice agencies to cover the prospective payment amount or reasonable cost of medically necessary services furnished to individuals entitled under this program.

#### **Applicant Eligibility:**

Persons age 65 or over and certain disabled persons are eligible for hospital insurance protection. Nearly everyone who reached 65 before 1968 is eligible for hospital insurance, including people not eligible for cash Social Security benefits. A person reaching age 65 in 1968 or after, who is not eligible for cash benefits, needs some work credit to qualify for hospital insurance benefits. The amount of work credit needed depends on age. Hospital insurance (Medicare Part A) is also available to persons, age 65 or over, not otherwise eligible through payment of a monthly premium which is currently \$393. A reduced Part A premium of \$216 per month in 2006 is available to persons with 30 or more quarters paid into the social security system, as well as to their spouse, surviving spouse or divorced spouse. The reduction in Part A premium payments would also apply to the surviving spouse, or divorced spouse of an individual who had at least 30 quarters of coverage under the social security system. Federal employees began contributing toward Medicare hospital insurance coverage beginning January 1983. Employees who worked prior to 1983 and who were employed during January 1983 can receive credit toward establishing Medicare eligibility, if necessary, for prior non-contributory quarters of Federal employment. State and local government employees not already in Social Security-covered positions and hired on or after April 1, 1986 also contribute toward Medicare hospital insurance coverage. Although States may request agreements to cover individuals employed prior to April 1, 1986, no credit is given toward establishing Medicare entitlement for prior employment. Persons under age 65, who have been entitled for at least 24 months to Social Security disability benefits, or for 29 consecutive months to railroad retirement benefits based on disability, are eligible for hospital insurance benefits.

#### **Beneficiary Eligibility:**

Persons age 65 or over and qualified disabled persons.

#### **Credentials/Documentation:**

Proof of age or disability. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Individuals entitled to Social Security or railroad retirement are enrolled without application.

#### **Award Procedure:**

The individual will be notified by mail of enrollment, whether automatic or applied for.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

None.

#### **Appeals:**

Telephone or visit the local Social Security Office or Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal Courts.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

#### **Audits:**

No audits are required for this program.

#### **Records:**

None.

#### **Account Identification:**

20-8005-0-7-571.

#### **Obligations:**

(Insurance) FY 08 \$223,304,091,000; FY 09 est \$241,866,000,000; FY 10 est \$251,203,000,000 - These figures represent benefit outlays.

#### **Range and Average of Financial Assistance:**

Benefits may be paid based on the prospective payment amount or the reasonable costs of covered inpatient hospital services and based on the reasonable costs of covered post-hospital extended care services which are incurred during a benefit period. For benefit periods beginning in calendar year 2009 the beneficiary is responsible for \$1,068 inpatient hospital deductible, a \$267 per day coinsurance amount for 61 through 90 days of inpatient hospital care, a \$534 per day coinsurance amount for inpatient hospital care during the 60 lifetime reserve days, and a \$133.50 per day coinsurance amount for days 21 through 100 of care in a skilled nursing facility. Home health services are paid in full.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 44,625,000 persons were protected. Fiscal Year 2009: In fiscal year 2009, the number of persons protected is estimated to be 45,387,000. Fiscal Year 2010: In fiscal year 2010, the number of persons protected is estimated to be 46,248,000.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405 and 422; Title 42, Parts 400, 401, 405, 406, 409, 412, 417, and 418. " Medicare and You," SSA-79-10050, and other publications are available from any Social Security Office without charge.

#### **Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for a listing of Regional Offices.

#### **Headquarters Office:**

Center for Beneficiary Choices 7500 Security Boulevard, Baltimore, Maryland 21244 Phone: 4107863418

#### **Website Address:**

<http://www.medicare.gov> or <http://www.cms.hhs.gov>.

#### **RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 93.770 Medicare\_Prescription Drug Coverage; 93.774 Medicare\_Supplementary Medical Insurance; 96.001

Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.774 MEDICARE\_SUPPLEMENTARY MEDICAL INSURANCE**

(Medicare Part B)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide medical insurance protection for covered services to persons age 65 or over, to certain disabled persons and to individuals with end-stage renal disease. Enrollment in Part B is voluntary.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Managed care benefits are paid on the basis of Medicare capitation rates. Fee-for-service benefits are paid on the basis of fee schedules or other approved amounts for services furnished by physicians and other suppliers of medical services to aged or disabled enrollees. Benefits are paid on the basis of prospective payment systems for covered services furnished by participating providers such as hospitals, skilled nursing facilities and home health agencies.

**Applicant Eligibility:**

All persons who are eligible for premium-free hospital insurance benefits (see 93.773), and persons age 65 and older who reside in the United States and are either citizens or aliens lawfully admitted for permanent residence who have resided in the United States continuously during the five years immediately preceding the month in which the application for enrollment is filed, may voluntarily enroll for Part B supplementary medical insurance (SMI). The beneficiary pays a monthly premium and an annual deductible. Beginning in calendar year 2008, the Part B premiums have been set based upon beneficiary income. The calendar year 2008 premiums range from \$96.40 to \$238.40 per month. The annual deductible is \$135.00. Some States and other third parties may pay the SMI PART B premium on behalf of qualifying individuals.

**Beneficiary Eligibility:**

Persons age 65 and over, and persons under age 65 who qualify for hospital insurance benefits.

**Credentials/Documentation:**

Proof of age, disability or lawful admission status. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Most persons entitled to hospital insurance and already receiving benefits from Social Security or the Railroad Retirement Board are enrolled automatically for supplementary medical insurance. Since the program is voluntary, you may decline coverage. Persons not entitled to hospital insurance must file an application.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Telephone or visit the local Social Security Office or the Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews, of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal courts.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

20-8004-0-7-571.

**Obligations:**

(Insurance) FY 08 \$187,255,712,000; FY 09 est \$200,277,000,000; FY 10 est \$200,498,000,000 - The figures represent benefit outlays.

**Range and Average of Financial Assistance:**

Generally, with exceptions of certain services, the beneficiary is responsible for meeting the annual \$135 deductible before you may begin. Thereafter, Medicare pays a percent of the approved amount of the covered service. For many services, this percentage is 80 percent. For other services, the percentage that Medicare pays will vary from 100 percent to 50 percent depending upon the category of service.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 41,669,000 persons were enrolled for supplementary medical insurance. Fiscal Year 2009: In fiscal year 2009, the number of enrollees is estimated to be 42,340,000. Fiscal Year 2010: In fiscal year 2010, the number of enrollees is estimated to be 43,049,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405, and 422; Title 42, Parts 401, 405, 407, 408, 410, 413, 416, and 417. "Your Medicare Handbook," and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for listing of Regional Offices.

**Headquarters Office:**

Kemuel Johnson, 7500 Security Boulevard  
, Baltimore, Maryland 21207 Email: kemuel.johnson@cms.hhs.gov Phone:  
(410) 786-8200. Fax: (410) 786-7667

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.770 Medicare\_Prescription Drug Coverage; 93.773 Medicare\_Hospital Insurance; 93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.777 STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS**

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII, as amended.

#### **OBJECTIVES:**

To provide financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers and suppliers of health care services are in compliance with Federal regulatory health and safety standards and conditions of participation.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicare/Medicaid health and safety standards and conditions. Funds made available under this program are used to support or reimburse State staff for performing survey activities and for State administration of the program.

#### **Applicant Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department. Under Title XIX, the Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

#### **Beneficiary Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department. Under Title XIX, the Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

#### **Credentials/Documentation:**

States must have an approved State Plan for Title XIX and a signed 1864 Agreement for Title XVIII in order to carry out the survey function. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States submit an acceptable State Plan (Title XIX) and sign an 1864 Agreement (Title XVIII) for support of Medicare/Medicaid survey and certification activities. Budget proposals and estimated expenditures must comply with OMB Circular No. A-87 cost principles and regulatory guidelines.

#### **Award Procedure:**

States are provided a quarterly award based on an approved annual budget under Title XVIII and quarterly formula grants under Title XIX. States are reimbursed for Title XVIII and Title XIX survey activities under Electronic Funds Transfer System procedures. States draw funds through the Department's Payment Management System (PMS).

#### **Deadlines:**

Aug 15, 2009 Annual budget proposals for Title XVIII are requested from the appropriate State agency as negotiated with Regional Office but no later than August 15. In addition, estimates of the amounts to be claimed for reimbursement under Title XIX are required 45 days prior to the applicable quarter. Reports of actual expenditures for both programs are required 30 days after the close of each quarter.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days for initial approval or disapproval.

#### **Appeals:**

Title XVIII appeals are reviewed by the Armed Services Contracts Appeal Board; Title XIX appeals are reviewed by the Departmental Grants Appeal Board.

#### **Renewals:**

Ongoing renewals are awarded to States that are willing and able to conduct required survey activities in compliance with statutory mandate.

#### **Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Funding authority is provided for a full year to State agencies performing survey and certification activities pertaining to Medicare survey activity. For Medicaid survey activity (State entitlement program), funding authority is indefinite. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. No progress reports are required. States operate under an approved plan (Title XIX) and 1864 Agreement (Title XVIII). Quarterly expenditure reports are required 30 days after the close of each quarter and monitoring is carried out by the Department of Health and Human Services. No performance monitoring is required.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DHHS Office of Inspector General staff or designated representatives make periodic audits of State survey agencies. In addition, under the Single State Audit Act, States may elect to conduct their own nonpartisan audits and certify the results to the Secretary of Health and Human Services.

#### **Records:**

States must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

#### **Account Identification:**

75-0511-0-1-550; 75-0512-0-1-551.

#### **Obligations:**

(Formula Grants) FY 08 \$265,204,940; FY 09 est \$276,461,602; FY 10 est \$323,115,000

#### **Range and Average of Financial Assistance:**

(State distributed Title XVIII funds) FY 07 range is from \$15,366 to \$28,896,872 and an average of \$4,605,422; FY 08 range is from \$515,732 to \$30,973,636 and a average of \$5,100,018.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The estimated figure for fiscal year 2008 is approximately 56,200. It is estimated that grants will be provided to 53 State/territory survey agencies to conduct inspections in fiscal years 2008 and 2009. Fiscal Year 2009: The estimated figure for fiscal year 2009 is 58,500. It is estimated that grants will be provided to 53 State/territory survey agencies to conduct inspections in fiscal years 2008 and 2009. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XVIII, Social Security Act as amended Sections 1863, 1864 and 1865. Title XIX, Social Security as amended, Sections 1903, 1904, 1908, 1910, and 1919; 42 CFR, Subparts J, K, L, M, N, O, Q, S, U, and X.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator for Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for listing of Regional Offices).

**Headquarters Office:**

Thomas Hamilton 7500 Security Boulevard, Baltimore, Maryland 21244 Email: thomas.hamilton@cms.hhs.gov Phone: 410-786-9493

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selecting criteria for Federal funding of State certification proposals are available to State survey agencies upon request.

**93.778 MEDICAL ASSISTANCE PROGRAM**

(Medicaid; Title XIX)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208, 104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5.

**OBJECTIVES:**

To provide financial assistance to States for payments of medical assistance on behalf of cash assistance recipients, children, pregnant women, and the aged who meet income and resource requirements, and other categorically-eligible groups. In certain States that elect to provide such coverage, medically-needy persons, who, except for income and resources, would be eligible for cash assistance, may be eligible for medical assistance payments under this program. Financial assistance is provided to States to pay for Medicare premiums, copayments and deductibles of qualified Medicare beneficiaries meeting certain income requirements. More limited financial assistance is available for certain Medicare beneficiaries with higher incomes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For the categorically needy, States must provide in-and-out patient hospital services; rural health clinic services; federally-qualified health center services; other laboratory and x-ray services; nursing facility services, home health services for persons over age 21; family planning services; physicians' services; early and periodic screening, diagnosis, and treatment for individuals under age 21; pediatric or family nurse practitioner services; and services furnished by a nurse-midwife as licensed by the States. For the medically needy, States are required to provide a minimum mix of services for which Federal financial participation is available (see section 1902(a)(10)(C)(iv) of the Social Security Act).

**Applicant Eligibility:**

State and local welfare agencies must operate under an HHS-approved Medicaid State Plan and comply with all Federal regulations governing aid and medical assistance to the needy.

**Beneficiary Eligibility:**

Low-income persons who are over age 65, blind or disabled, members of families with dependent children, low-income children and pregnant women, certain Medicare beneficiaries and, in many States, medically-needy individuals may apply to a State or local welfare agency for medical assistance. Eligibility is determined by the State in accordance with Federal regulations.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency. Individuals must meet State requirements. Administrative costs will be determined in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Individuals needing medical assistance should apply directly to the State or local welfare agency. States should contact the Regional Administrator, CMS for application forms. (See Appendix IV of the Catalog for agency Regional Office addresses.)

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide medical assistance to the needy. Awards are made quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1. Individuals receive medical care from providers of medical care who are participating in the Medicaid program.

**Deadlines:**

Nov 15, 2009 An individual needing medical assistance may apply to the State at any time. States must submit quarterly estimates of funds needed no later than August 15, November 15, February 15, and May 15, in order to receive a timely quarterly grant award for the following quarter.

**Range of Approval/Disapproval Time:**

Up to 60 days. The States usually provide needy individuals with immediate medical assistance.

**Appeals:**

Individuals denied medical assistance by the State or local welfare agency must be given a fair hearing on appeal (see 42 CFR, Subchapter C, Part 431, Subpart E). States have 60 days to resubmit revised applications.

**Renewals:**

Recipients receive assistance as long as they are qualified under State requirements.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Federal funds are available to match State expenditures for medical care. Under the Act, the Federal share for medical services may range from 50 percent to 83 percent. The statistical factors used for fund allocation are: (1) Medical assistance expenditures by State; and (2) per capita income by State based on a 3-year average (source, "Personal Income," Department of Commerce, Bureau of Economic Analysis). Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The needy receive medical assistance as necessary. States receive funds quarterly. The Electronic Transfer System will be used by States for monthly cash draws on the Federal Reserve Bank. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. States must submit fiscal and statistical reports, as required, to the Centers for Medicare and Medicaid Services, Department of Health and Human Services. A Treasury Report TUS-5401 is required monthly. States must submit certified expenditure reports within 30 days after the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States must maintain records which substantiate direct and indirect costs charged to the grant award activity.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$211,212,633,000; FY 09 est \$262,389,063,000; FY 10 est \$289,763,503,000

**Range and Average of Financial Assistance:**

\$6,600,000 TO \$32,190,544,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The number of Medicaid enrollees in fiscal year 2008 was 48,200,000. Fiscal Year 2009: It is estimated that there will be 51,100,000 Medicaid enrollees in fiscal year 2009. Fiscal Year 2010: It is estimated that there will be 53,300,000 Medicaid enrollees in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR, Subchapter C.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Associate Regional Administrator, Division of Medicaid, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers.).

**Headquarters Office:**

Division of Medicaid 7500 Security Boulevard, Baltimore, Maryland 21244  
Phone: 410-786-3870

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.560 Family Support Payments to States\_Assistance Payments; 93.767 State Children's Insurance Program; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.775 State Medicaid Fraud Control Units; 93.777 State Survey and Certification of Health Care Providers and Suppliers; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.779 CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) RESEARCH, DEMONSTRATIONS AND EVALUATIONS (CMS Research)**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603; Small Business Innovation Development Act of 1982; Public Law 97-219, as amended; Small Business Innovation Research Program Extension, Public Law 99-443.

**OBJECTIVES:**

To support analyses, experiments, demonstrations and pilot projects in efforts to resolve major health care financing issues and to develop innovative methods for the administration of Medicare and Medicaid. These grants are awarded are in the form of research grants and cooperative agreements; Hispanic health services grants; historically black colleges and university grants. For fiscal years 2008 and 2009, the Centers for Medicare & Medicaid Services (CMS) has identified a number of areas where specific information or experience is necessary to improve program effectiveness or guide decisions anticipated in the near future. These priority areas for CMS' discretionary contracts, cooperative agreements and grants include: (1) protecting and empowering specific populations; (2) pay for performance for multiple provider settings; (3) understanding health differences and disparities--closing the gaps; (4) preventing disease, illness, and injury; (5) agency-specific priorities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under all authorizations, all applications must meet standards of excellence in research or evaluation design. Funds may not be used for construction or renovation of buildings. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the Medicaid program.

The research issues and/or hypotheses identified by a project should be clearly stated and realistic and should reflect the issues of interest to CMS and, where appropriate, HHS, Federal Government, and the broader health services research community.

The research design should clearly identify the measures that will be collected and analyzed to address the issues and/or hypotheses. These proposed measures should reflect concepts and variables that are consistent with the stated issues and hypotheses.

The research design should also address the reliability of measures i.e., a measurement should not change when the concept being measured remains constant in value. A common reliability concern is the level of inter-rater reliability of an instrument, determined by the extent to which two or more persons measuring the same characteristic would assign the same score.

The research design should address the validity of proposed measures i.e., the extent to which differences in scores on variable or the measuring instrument represent true differences in the characteristic we are trying to measure, rather than constant or random errors or the influence of other factors.

**Applicant Eligibility:**

Grants or cooperative agreements may be made to private, or public agencies or organizations, including State agencies that administer the Medicaid program. Private profit organizations may apply. For the Small Business Innovation Research Grant Program, only for-profit organizations may apply. Awards cannot be made directly to individuals.

**Beneficiary Eligibility:**

Contributing retirees or specially entitled beneficiaries, the disabled or those with end stage renal disease (for Medicare) the aged, and families with children and youth (for Medicaid).

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves collaborative efforts or the utilization of non-CMS facilities or services. Costs will be determined in accordance with OMB Circular No. A-102 for State and local governments. The standard forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

CMS research and demonstration projects are solicited by publication in grants.gov as well. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms are submitted to the Acquisition and Grants Group, CMS, 2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. A letter of intent to file an application is necessary 30 days prior to the closing date of each solicitation cycle.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Notice of Cooperative Agreement or Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range from 150 to 180 days.

**Appeals:**

No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, extensions may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant/cooperative agreement application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Awardees are required to share in the cost of projects. Normally, the minimum cost-sharing requirement is 5 percent of total project costs. This program has no statutory formula, except in Section 1115 projects, where the statutory formula is the same as that established for the Medicaid Program, both administrative and operational.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Reports of progress and expenditures are required on all projects. Comprehensive final reports are due no later than 90 days after termination of projects. Reports of progress and expenditures are required on all projects. Comprehensive final reports are due no later than 90 days after termination of projects. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$31,301,000; FY 09 est \$30,192,000; FY 10 est \$56,978,000

**Range and Average of Financial Assistance:**

\$25,000 to \$1,000,000; \$235,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were 23 new cooperative agreements/grants funded and 17 new contracts funded in fiscal year 2008. Fiscal Year 2009: In fiscal year 2009, it is estimated that there will be 6 new grants/cooperative agreements and 6 new contracts. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

Timothy Love 7500 Security Boulevard, Baltimore, Maryland 21244 Email: timothy.love@cms.hhs.gov Phone: 410-786-0948

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects in fiscal year 2008 include: (1) Medicare Current Beneficiary Survey; (2) Chronic Condition Warehouse; (3) Evaluation of Medicare Management Performance; (4) Evaluation of Electronic Health Records; (5) Evaluation of Senior Risk Reduction Demonstration; (6) Grants to Historically Black Colleges and Universities and Hispanic Health Services Research Programs; and (7) Real Choice Systems Change Grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The review process for grants/cooperative agreements consists of initially screening applications for completeness and relevancy to CMS priority areas. If the application is not relevant to CMS priority areas, it will be returned to the applicant. If accepted as submitted it will be reviewed and evaluated. The review will be conducted by a panel of not less than three experts. CMS Project Officer will coordinate the panel's review, but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Research, Development, and Information (ORDI). The panel's recommendations will contain numerical ratings, rankings of applications, and a written assessment of each application. The recommendations will be based on published criteria as stated in the Federal Register. The review process for applications is also stated in the Federal Register Announcement.

**93.780 GRANTS TO STATES FOR OPERATION OF QUALIFIED HIGH-RISK POOLS****FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Trade Act of 2002; Public Law 107-210; Deficit Reduction Act of 2005; Public Law 109-171.

**OBJECTIVES:**

To assist States in the operation of a qualified high-risk health insurance pool by providing Federal funding for up to 50 percent of losses incurred by the pool for a given State fiscal year.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

A State must have a qualified high-risk pool (as defined in section 2744(c)(2) of the Public Health Service Act) that has incurred a loss in order to be eligible for a grant.

**Applicant Eligibility:**

A State must meet all of the following requirements to be eligible for a grant: 1) the State is operating a qualified high-risk pool as defined in section 2744(c)(2) of the Public Health Service Act; 2) the pool restricts premium charged under the pool to no more than 150 percent for applicable standard risk rates for the State; 3) the pool offers a choice of two or more coverage options through the pool; 4) the pool has in effect a mechanism reasonably designed to ensure continued funding of losses incurred by the State after the end of fiscal year 2004 in connection with the operation of the pool; and 5) the pool has incurred a loss in the State's fiscal year 2002, 2003, or 2004.

**Beneficiary Eligibility:**

State Agency.

**Credentials/Documentation:**

Federal funds must go to a designated State Agency or its partner agencies. Individuals must meet State requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. These forms may be downloaded from the following Web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp). In addition to the standard forms some additional information regarding the history and description of the qualified high-risk pool, accounting of risk pool losses, and contact person information is also required. Please refer to the following Web site for additional information: [www.cms.hhs.gov/riskpool](http://www.cms.hhs.gov/riskpool). Applicants are required to submit an original and two copies of the application to the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. Facsimile (fax) transmissions will not be accepted.

**Award Procedure:**

The Centers for Medicare and Medicaid Services (CMS) will make a decision for each application received. Each applicant will receive written notification of CMS's decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 to 120 days.

**Appeals:**

If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the original legislation, a total of \$80,000,000 has been made available for the qualified high-risk pool operation grant program. \$40,000,000 was made available for obligation from FY 2003-FY 2004 and another \$40,000,000 was made available for obligation from FY 2004-FY 2005. Under the provisions of section 6202 of the Deficit Reduction Act, \$75,000,000 is available in FY 2006 for this activity. Method of awarding/releasing assistance:

lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grant awardees may be required to submit quarterly progress and financial reports to CMS. At a maximum, a grantee would have to complete 8 reports per year if requested. It is anticipated that grantees may only need to file semi-annually, thus 4 reports per year. Refer to 45 CFR part 92. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$50,000,000; FY 09 est \$75,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. The grant application kit may be downloaded from the following web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See appendix IV for Regional Offices).

**Headquarters Office:**

Timothy Love 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [timothy.love@cms.hhs.gov](mailto:timothy.love@cms.hhs.gov) Phone: 410-786-0948

**Website Address:**

[www.cms.hhs.gov/riskpool](http://www.cms.hhs.gov/riskpool).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed to ensure it meets the eligibility criteria (as stated above). If eligible, the State will be awarded the lesser 50 percent of losses incurred by its qualified risk pool for the fiscal year in question or its allotment under the formula for the grants.

**93.784 FEDERAL REIMBURSEMENT OF EMERGENCY HEALTH SERVICES FURNISHED TO UNDOCUMENTED ALIENS****FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1011; Medicare Modernization Act (MMA).

**OBJECTIVES:**

To reimburse eligible providers for their otherwise un-reimbursed costs associated with furnishing emergency health services to undocumented and



certain other aliens.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Sections 1866(a)(1)(I), 1866 (a)(1)(N), and 1867 of the Social Security Act (the Act) impose specific obligations on Medicare-participating hospitals that offer emergency services. These obligations concern individuals who come to a hospital emergency department and request examination or treatment for medical conditions, and apply to all of these individuals, regardless of whether or not they are beneficiaries of any program under the Act. Section 1867 of the Act sets forth requirements for medical screening examinations of medical conditions, as well as necessary stabilizing treatment or appropriate transfer. In addition, section 1867(h) of the Act specifically prohibits a delay in providing required screening or stabilization services in order to inquire about the individual's payment method or insurance status.

**Applicant Eligibility:**

From the allotments made for a State, the Secretary of Health and Human Services shall pay an amount (subject to the total amount available from such allotments) directly to eligible providers located in the State where emergency services were incurred to the extent that the eligible provider was not otherwise reimbursed. An eligible provider defined under the statute is a hospital, physician, or provider of ambulance services (including an Indian Health Service (IHS) facility whether operated by the IHS or by an Indian tribal or tribal organization).

**Beneficiary Eligibility:**

The amounts of money set aside for each State will be paid directly to hospitals, certain physicians, and ambulance providers for the costs of providing emergency health care required under EMTALA and related hospital inpatient, outpatient, and ambulance services (including those operated by the Indian Health Service and Indian tribes and Tribal organizations) furnished to undocumented aliens, aliens paroled into the United States at a United States port of entry for the purposes of receiving such services, and Mexican citizens permitted temporary entry to the United States with a laser visa.

**Credentials/Documentation:**

Final policy guidance was released on May 9, 2005 regarding the implementation of section 1011 of the MMA. This notice establishes the general framework and procedural rules for submitting an enrollment application and payment requests, establishes general statements of policy, and provides CMS' interpretation of section 1011. It is posted in the "downloads" section of the following web address:  
[http://www.cms.hhs.gov/UndocAliens/02\\_policy.asp#TopOfPage](http://www.cms.hhs.gov/UndocAliens/02_policy.asp#TopOfPage). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. On September 1, 2004, the Secretary established a provider enrollment application.

**Award Procedure:**

Official notice of approved claims for emergency health care services will be transmitted to eligible providers pursuant to procedures established prior to September 1, 2004 and published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

The final payment methodology will describe the appeals process.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This project is authorized for four years beginning in FY 2005. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Periodic reports are due to CMS in accordance with the timeframes established by CMS. Periodic reports are due to CMS in accordance with the timeframes established by CMS. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a period consistent with the information contained in the final payment methodology.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$206,000,000; FY 09 est \$150,000,000; FY 10 est \$70,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of March 2009, Section 1011 provides funding to 2,165 hospitals, 50,116 physicians, and 504 ambulance providers across the nation. Section 1011 has disbursed \$596,200,567 in provider payments in response to 860,000 claims as of March 2009. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS intends to provide guidance through a Paperwork Reduction Act (PRA) notice. The PRA package will provide substantive information regarding CMS' final implementation approach.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Bossenmeyer 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: James.Bossenmeyer@cms.hhs.gov Phone: 4107869317

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.789 ALTERNATIVES TO PSYCHIATRIC RESIDENTIAL TREATMENT FACILITIES FOR CHILDREN**

(Demonstration Projects Regarding Home and Community-Based Alternatives to Psychiatric Residential Treatment Facilities for Children)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

Over the last decade, Psychiatric Residential Treatment Facilities (PRTFs) have become the primary provider for youth with serious emotional disturbances requiring an institutional level of care. However, since they are not recognized as hospitals, nursing facilities or intermediate care facilities for the mentally retarded, many States have been unable to use the 1915(c) waiver authority to provide home and community-based alternatives to care, which would keep the youth in their homes and with their families. Section 6063 of the Deficit Reduction Act of 2005 addresses this issue by providing up to \$218 million to up to 10 States to develop demonstration programs that provide home and community-based services to youth as alternatives to PRTFs. CMS anticipates awarding each successful applicant between \$5 and \$60 million. The PRTF Demonstration is authorized for up to 5 years. Payments may not be made to States after fiscal year 2011. CMS will review and approve each State's Implementation Plan prior to allowing States to access funds for Federal reimbursement of services under this grant. Section 6063 also provides \$1 million for a National Demonstration Evaluation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

**Budget Neutrality:** In conducting these demonstration projects, The Secretary of Health and Human Services shall ensure that the aggregate payments made by the Secretary under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) do not exceed the amount which the Secretary estimates would have been paid under the title, if the demonstration projects under Section 6063 had not been implemented. Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. **Indirect Costs:** The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at: <http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

**Applicant Eligibility:**

Any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State may apply for this Demonstration Grant. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The level of care for Medicaid eligible individuals for this demonstration at a minimum must be under the age of 21 and require the need for a PRTF as defined in the State's Medicaid State Plan. For the purposes of this demonstration, youth are defined as "any child, adolescent or young adult under the age of 21". States shall ensure that each participant under the demonstration meets this level of care criterion to participate in the demonstration. Further, States may elect to add additional criteria to carve out or target a specific sub-population to receive home and community-based services under this demonstration. As a part of the application process, States shall submit a copy of the level of care assessment used to assess eligibility for participation in this demonstration. PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21 (CFR 42 441.150 - 441.182). The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. Additionally PRTFs must comply with Conditions of Participation on the use of restraint and seclusion (CFR 483.350 - 483.376).

**Credentials/Documentation:**

Each application for this Demonstration Grant must include a letter of endorsement from the Director of the Mental Health Authority and the State Medicaid Director, if the applicant is not the single State Medicaid Agency/State Agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare & Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare & Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

**How the Merit of Applications Will Be Determined:** CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: "Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the "Eligibility Information" section of the solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the "Applicant Eligibility" section of this solicitation will not be reviewed." Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the "Application Review Criteria Information" section of the solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. **Factors Other than Merit that May be Used in Selecting Applications for Award:** CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of the solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project.

**Appeals:**

Appeals are governed by Title 45--Public Welfare. SUBTITLE A--DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. Funding for years 2008 - 2011 will be awarded on a Continuation Grant to each State based on their approved Financial Neutrality Formula and updated Implementation Plan. Any funding allocated for the Federal match for home and community-based services provided under the demonstration that remains unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. Budget Period: The budget period is from FY 2007 through FY 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi-Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997).

**Records:**

Required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$8,413,995; FY 09 est \$40,168,000; FY 10 est \$50,168,000

**Range and Average of Financial Assistance:**

Floor: \$21 million; Ceiling \$21 million for FY 07; \$37 million for FY 08.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This is a new grant demonstration with first year awards made in FY 2007. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(CFR 42, 441.150 - 441.182) PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21. The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. (CFR 483.350 - 483.376) Conditions of Participation on the use of restraint and seclusion). Under this demonstration States are granted the same waiver provisions provided to States who operate a section 1915 (c) waiver program. The three waiver provisions of Title XIX of the Social Security Act (the Act) are as follows: 1902 (a)(10)(B) (Comparability) The waiver of this provision of the Act permits a State to limit the provision of waiver services to Medicaid beneficiaries who require the level of care in an institutional setting, are in the target group(s) specified in the waiver, and offer services to waiver participants that are not provided to other Medicaid beneficiaries. 1902(a) (1) (State- wideness). The Secretary may grant a waiver of this provision of the Act in order to permit a State to limit the operation of a waiver to specified geographic areas of the State; and 1902(a) (10) (C) (i) (III) (Income and Resources for the Medically Needy). A State may

request a waiver of this provision in order to apply institutional income and resources rules for the medically needy to persons in the community who otherwise qualify for waiver services. Additionally, States program design under this demonstration shall comply with existing Medicaid statutory and regulatory requirements governing the administration and operation of a section 1915 (c) waiver program, especially the six statutory assurances that are located in 42 CFR 441.302. HCBS waiver application for more detailed guidance on this subject found at:

[http://www.cms.hhs.gov/HCBS/02\\_QualityToolkit.asp#TopOfPage](http://www.cms.hhs.gov/HCBS/02_QualityToolkit.asp#TopOfPage). By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP). (See Attachment 6 in the solicitation materials, for a list of home and community-based service categories). Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at

[https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website:

[http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: A. Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. B. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Hendler 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Ronald.Hendler1@cms.hhs.gov](mailto:Ronald.Hendler1@cms.hhs.gov) Phone: 410-786-2267

**Website Address:**

<http://www.cms.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Application submission will include a systems assessment, demonstration design and Financial Neutrality Form, following the application instructions in Section IV of the solicitation. Through a competitive process, 10 applications will receive awards. The 10 States receiving awards will be required to submit an Implementation Plan. States receiving an award under this solicitation will have nine months to complete the Implementation Plan for Centers for Medicare & Medicaid Services (CMS) review and approval. CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the Eligibility Information section of this solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the Applicant Eligibility section of this solicitation will not be reviewed.

Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the Application Review Criteria Information section of this solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the Award Information section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

### **93.790 ALTERNATE NON-EMERGENCY SERVICE PROVIDERS OR NETWORKS**

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.

#### **OBJECTIVES:**

To provide Federal payments to States for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds from this program may be used for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

#### **Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

#### **Beneficiary Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

#### **Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with the Office of Management and Budget (OMB) circular No. 87 "Cost Principals for States and Local Governments". This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov).

#### **Award Procedure:**

CMS will make a decision for each application received. Each applicant will

receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. 60 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Project Period: Under this legislation, a total of \$50,000,000 over 4 years (FY 2006-2009) has been made available for the establishment of alternate non-emergency service providers or networks of such providers to provide non-emergency care. CMS will have two separate competitive grant solicitations as follows: 1st FFY 2006 and 2007; 2nd FFY 2008 and 2009. Budget Period: FY 2006, 2007, 2008, and 2009. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained three years.

#### **Account Identification:**

75-0516-0-1-551.

#### **Obligations:**

(Formula Grants) FY 08 \$25,979,199; FY 09 est \$24,020,801; FY 10 est \$0

#### **Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet grant criteria.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In April 2008 CMS made awards to 20 States. These awards are designed to avoid unnecessary emergency room visits through improved physician care and strategies to decrease re-admission. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/).

#### **Regional or Local Office:**

None.

**Headquarters Office:**

Lyn Killman 7500 Security Boulevard, Baltimore, Maryland 21244 Email: lyn.killman@cms.hhs.gov Phone: 410-786-5957

**Website Address:**

[www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.791 MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION**

(Money Follows the Person Demonstration)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6071, Public Law Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

For more than a decade, States have been asking for the tools to modernize their Medicaid programs. With the enactment of the Deficit Reduction Act (DRA) of 2005, States now have new options to rebalance their long-term support programs to allow their Medicaid programs to be more sustainable while helping individuals achieve independence. The Money Follows the Person (MFP) Rebalancing Demonstration (MFP Demo), created by section 6071 of the Deficit Reduction Act of 2005 (P.L. 109-171), supports State efforts to "rebalance" their long-term support systems by offering \$1.75 billion over 5 years in competitive grants to States. Specifically, the demonstration will support State efforts to: "Rebalance their long-term support system so that individuals have a choice of where they live and receive services." Transition individuals from institutions who want to live in the community. Promote a strategic approach to implement a system that provides person centered services and a quality management strategy that ensures the provision of, and improvement of such services in both home and community-based settings and institutions. The demonstration provides for enhanced federal medical assistance percentage (FMAP) for 12 months for qualified home and community-based services for each person transitioned from an institution to the community during the demonstration period. Eligibility for transition is dependent upon residence in a qualified institution. The State may establish the minimum timeframe for residence between 6 months and two years as required by Section 6071(b)(2)(A) of the DRA. The State must continue to provide community-based services after the 12 month period for as long as the person needs community services and is Medicaid eligible. Demonstration grants will be awarded to States from January 1, 2007 through September 30, 2011. CMS will accept one proposal from each State interested in participating in the demonstration program. The State Medicaid Agency must be the lead applicant. States must propose a demonstration period of no less than two consecutive fiscal years but no greater than five years. The State will indicate in its application the targeted group(s) and number of individuals it intends to transition. In making awards, CMS will give preference to States if they include multiple target groups including older individuals, and if they propose to deliver self-directed services. The number of demonstration projects approved by CMS depends largely on the scope (i.e., proposed enrollment and breadth of services) and quality of the proposed projects. Under the demonstration project, the State must propose a system of Medicaid home and community-based care that will be sustained after the demonstration period and is deemed qualified by the Secretary. Specifically, the program must be conducted in conjunction with a "qualified HCBS program" which is a program that is in operation (or approved) in the State for such individuals in a manner that assures continuity of Medicaid coverage of services in the qualified HCBS program for eligible individuals. States may also propose to enhance the services they will provide

during the demonstration period to achieve greater success with transition. States will be required to participate in a national qualitative and quantitative evaluation conducted by CMS. Data collected on a national level will help evaluate the core objectives of the statute that are listed below.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Indirect Costs: The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at:

<http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

**Applicant Eligibility:**

Applicants must be any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State may apply for this Demonstration Grant.

Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

As defined in Section 6071(b)(2) of the DRA, the term "eligible individual" means, with respect to an MFP demonstration project of a State, an individual in the State who, immediately before beginning participation in the MFP demonstration project: (i) resides (and has resided, for a period of not less than 6 months or for such longer minimum period, not to exceed 2 years, as may be specified by the State) in an inpatient facility; (ii) is receiving Medicaid benefits for inpatient services furnished by such inpatient facility; and (iii) with respect to whom a determination has been made that, but for the provision of home and community-based long-term care services, the individual would continue to require the level of care provided in an inpatient facility and, in any case in which the State applies a more stringent level of care standard as a result of implementing the State plan option permitted under section 1915 (i) of the Social Security Act, the individual must continue to require at least the level of care which had resulted in admission to the institution.

**Credentials/Documentation:**

Applications can only be submitted by the single State Medicaid agency. A cover letter must accompany the application. The cover letter must be signed by the State Medicaid Director, and must indicate the title of the project, the principal contact person, the amount of funding requested, and the names of the major partners actively collaborating in the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare and Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare and Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

An independent review of all applications will be conducted by a panel of experts including members of the disability community, advocates, providers and staff from State and Federal agencies including CMS. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves

the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Nov 01, 2009 The deadline for applications is November 1, 2009, (11:59pm Eastern Standard Time).

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project. Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF 424, after December 1, 2009.

**Appeals:**

Appeals are governed by Title 45--Public Welfare SUBTITLE A--DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remains unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: A State receiving an award under this solicitation will receive reimbursement for home and community-based services provided under the demonstration on a quarterly basis at the following Federal Medical Assistance Percentage (FMAP) rates: The FMAP rate will be adjusted to reflect the increased FMAP available to States through the Recovery Act of 2009 each quarter from October 1, 2008 through December 31, 2011 (increased rate). The assistance consideration for the increased FMAP will be provided from Money Follows the Person grant demonstration funding and not through funding from the Recovery Act of 2009. The enhanced FMAP provided by the DRA of 2005 (Enhanced Rate up to 50% of the State Match capped at 90%) will be applied to the increased FMAP that results from the formula available to States under the Recovery Act. Service Category Match rate for a 12-month demonstration period for "Qualified HCB program" services and HCB Demonstration services are at the Increased and Enhanced Match Rate. Supplemental Demonstration services will be provided at the Increased Rate only for the Recovery Act period. Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. At the end of the Recovery Act period, the yearly published FMAP Rate in the Federal Register will be used to determine the Enhanced Rate and the State match requirements for the prior quarters to the Recovery Act period and subsequent quarters until the end of the demonstration. This program has MOE requirements, see funding agency for further details. Total expenditures under the State Medicaid program for home and community-based long-term care services will not be less for any fiscal year during the MFP demonstration project than for the greater of such expenditures for fiscal year 2005 or any succeeding fiscal year before the first of the year of the MFP demonstration project.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. The project period is from January 1, 2007 through September 30, 2011. The budget period is from January 1, 2007 through September 30, 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi-Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$130,518,753; FY 09 est \$370,740,074; FY 10 est \$353,906,110

**Range and Average of Financial Assistance:**

There is not a prescribed or predetermined maximum floor or ceiling grant award. Each State is unique in the number of individuals that will be projected for transition under the demonstration grant. In addition, the costs of individuals transitioning to community settings may vary, by targeted population. Applicants are advised to request a grant award that is sufficient in the amount needed to transition the projected individuals into community settings. CMS reserves the right to reduce the requested grant award, based on the number and size of additional grant awards given under this demonstration, as well as because of concerns contained within a State's application (i.e., concerns with the number of costs of individuals projected for transition by the individual State.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To promote effective outcomes from the demonstration, the statute provides waiver authority for four provisions of title XIX of the Social Security Act, to the extent necessary to enable a State initiative to meet the requirements and accomplish the purposes of the demonstration. These provisions are: 1. Statewide (Section 1902(a)(1) of the Social Security Act) - in order to permit implementation of a State initiative in a selected area or areas of the State. 2. Comparability (Section 1902(a)(10)(B) - in order to permit a State initiative to assist a selected category or categories of individuals enrolled in the demonstration. 3. Income and Resource Eligibility (Section 1902(a)(10)(C)(i)(III) - in order to permit a State to apply institutional eligibility rules to individuals transitioning to community-based care. 4. Provider agreement (Section 1902(a)(27)) - in order to permit a State to implement self-direction services in a cost-effective manner for purposes of this demonstration program. By "State" we refer to the definition provided under 45 CFR 74.2 as any of the several States of the United States, the District of

Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP) or the State's Enhanced FMAP, as specified in the solicitation. Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances - Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website: [http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy M. Cope 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [cathy.cope@cms.hhs.gov](mailto:cathy.cope@cms.hhs.gov) Phone: 4107868287

**Website Address:**

[www.cms.hhs.gov/NewFreedomInitiative/02\\_WhatsNew.asp](http://www.cms.hhs.gov/NewFreedomInitiative/02_WhatsNew.asp).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.793 MEDICAID TRANSFORMATION GRANTS**

(Medicaid Transformation Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006, Section 6081, Medicaid Transformation Grants.

**OBJECTIVES:**

To provide Federal payments to States for the adoption of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from the program may be used to fund the following examples of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance and are not limited to: (1) methods for reducing patient error rates through the implementation and use of electronic health record, electronic clinical decision support tool, or e-prescribing programs, (2) methods for improving rates of collection from estates of amounts owed under Medicaid, (3) methods to reduce waste, fraud and abuse under Medicaid, such as reducing

improper payment rates as measured by annual error rate measurement (PERM), (4) implementation of medication risk management program as part of a drug use review program under section 1927(g), (5) methods for reducing, in clinically appropriate ways Medicaid expenditures for covered outpatient drugs, particularly in the categories of greatest drug utilization, by increasing the utilization of generic drugs through the use of education programs and other incentives to promote greater use of generic drugs, and (6) methods of improving access to primary and specialty physician care for the uninsured using integrated university-based hospital and clinic systems. RESTRICTIONS -- States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with Office of Management and Budget (OMB), Circular No. 87, "Cost Principals for States and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. More than one program concept proposal and budget may be included in the application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov).

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Oct 02, 2009 All applications are due to CMS by October 2, 2009.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 60 to 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: Under the legislation, a total of \$150,000,000 has been made available for the Medicaid Transformation grants. \$75,000,000 is available for obligation in FY 2007 and another \$75,000,000 is available for obligation in FY 2008. All \$150,000,000 will be awarded in a single grant solicitation at the beginning of FY 2007 that will cover both years of the program. Funds for FY 2008 activities/obligations will not be available until FY 2008. Budget Period: FY 2007 and FY 2008. Method of awarding/releasing assistance: lump sum.

**Reports:**

States will be required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting

from this program. In addition, States will be required to submit financial reports as required by CMS. No cash reports are required. States will be required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting from this program. In addition, States will be required to submit financial reports as required by CMS. States will be required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting from this program. In addition, States will be required to submit financial reports as required by CMS. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained 3 years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 08 \$75,000,000; FY 09 est \$0; FY 10 est \$0 - There were no obligations or appropriations for FY09 or FY10 but that the program should remain in the system.

**Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet the grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: CMS awarded 32 Medicaid Transformation Grants to 26 States totalling \$98,059,694 in January 2007. In September 2007 CMS awarded 17 grants to 16 States plus Puerto Rico. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/MedicaidTransGrant/](http://www.cms.hhs.gov/MedicaidTransGrant/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tonya Moore 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Tonya.Moore@cms.hhs.gov](mailto:Tonya.Moore@cms.hhs.gov) Phone: 4107860019

**Website Address:**

[www.cms.hhs.gov/MedicaidTransGrant/](http://www.cms.hhs.gov/MedicaidTransGrant/)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.822 HEALTH CAREERS OPPORTUNITY PROGRAM (HCOP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 739, 42 U.S.C. 293c, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

**OBJECTIVES:**

The HCOP program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete to enter and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid/information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends.

**Applicant Eligibility:**

Eligible applicants include accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public and nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.



**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period within an approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects periods are 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. An annual financial status report is required 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$9,282,051; FY 09 est \$19,133,000; FY 10 est \$22,133,000

**Range and Average of Financial Assistance:**

FY 08: 193,468 to 1,616,367; \$668,531.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 2008 there were 14 HCOP awardees. Fiscal Year 2009: FY 2009 it is estimated that there will be 14 non-competing continuations plus an estimated 16 new awardees, totaling 30 HCOP programs. Fiscal Year 2010: It is estimated that in FY 2010 there will be 1 to 2 new HCOP awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Sara Rue, Project Officer, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Sara Rue 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-3043

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Structured summer and academic year projects were conducted offering preliminary education at pre-health professions schools, health professions schools, and allied health professions schools in the United States. The purposes of these programs are recruitment and facilitating entry for individuals from economically and educationally disadvantaged backgrounds. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved); (9) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities; and 10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

REVIEW CRITERIA. All competitive applications will be reviewed and ranked on the basis of 7 review criteria are used to review and rank applications.

1. RESOURCES/ CAPABILITIES: a) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; b) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; c) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; d) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; e) project personnel are qualified by training and/or experience to implement and carry out the project; and f) the capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

2. **IMPACT:** a) the applicant clearly describes the plan for disseminating and implementing HCOP project results to the education and/or health professions community, regionally and/or nationally; b) the applicant clearly delineates specific venues, media, timelines, etc.; c) the applicant describes the extent to which the project activities are replicable; and d) the applicant describes the probability of the program, or significant components of the program, being maintained beyond HCOP funding.

3. **NEED:** a) the extent to which the application describes the problem and associated contributing factors to the problem, with support data provided; b) the targeted disciplines mirror the health professions workforce needs of the geographic area to be served; and c) support data includes information on the academic performance and social needs of students in the targeted area and demographics for health professionals in the geographic area.

4. **RESPONSE:** a) an effective, well-delineated plan for carrying out all seven (7) of the HCOP program purposes. The plan explicitly identifies the targeted health disciplines and includes measurable objectives that are clearly written with corresponding methodology, evaluation and budget sections that describe in detail how they will be carried out, evaluated and supported by HCOP grant dollars and/or other sources; b) the extent to which the proposed project responds to the Purpose included in the program description; c) the clarity of the proposed goals and objectives and their relationship to the identified project; d) the extent to which the activities described in the application are capable of addressing the problem and attaining the project objectives; and e) the extent to which the projects objectives are appropriate, measurable, logical, time-framed, and provide baseline data.

5. **CULTURAL COMPETENCE DEVELOPMENT:** a) the proposed project must clearly define goals and objectives for teaching cultural competence, including educational and training activities for each educational level; and b) the objectives must be measurable and attainable.

6. **SUPPORT REQUESTED:** a) the overall proposed budget, including non-trainee expenses, should be cost effective, reasonable and consistent in relation to the objectives, the proposed activities and the anticipated results; and b) expenditures should be justified and in-kind contributions documented.

7. **PROGRESS SUMMARY OF EVALUATIVE MEASURES (FOR COMPETING CONTINUATIONS):** a) the progress summary reveals that the applicant was able to successfully manage the grant and met the objectives of the current HCOP grant; b) lists the original grant objectives and provides outcomes for each objective in measurable terms; and c) provides an evaluation of the outcomes and lists corrective actions taken to remedy objectives that were not met.

## **93.824 BASIC/CORE AREA HEALTH EDUCATION CENTERS (AHEC)**

### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

### **AUTHORIZATION:**

Public Health Service Act, Title VII, Section 751(a)(1), as amended; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

### **OBJECTIVES:**

The Basic/Core Area Health Education Centers (BAHEC) Program and Model State Supported Area Health Education Centers (MAHEC) Program goals are to assist schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health personnel in underserved areas. The AHEC Program awardees link the academic resources of medical schools and participating health professions schools with local educational and clinical sites, and thereby establish a network of community-based training sites to provide educational services to health professions students, faculty-preceptors and health care providers in

underserved areas, and ultimately, to improve the delivery of health care in an underserved region or in an entire state. Emphasis is placed on community-based training of health professions students, primary care-oriented medical residents, local providers, and also 9-12 grade students. The BAHEC program assists schools in the initial planning, development and implementation of community-based Area Health Education Centers (AHECs) which assist schools and organize the training of at least three health professions disciplines at training-service delivery sites in rural and underserved areas, of a region or an entire state. Schools which complete Basic AHEC Program development, then compete for Model AHEC Program awards in partnership with affiliated (contracted) AHEC Centers to maintain and enhance/expand training programs and training sites responsive to local, State and Federal needs and priorities. The BAHEC and MAHEC programs embrace the goal of increasing the number of health professions graduates who ultimately practice in underserved areas. Both AHEC programs carry out health careers recruitment and enhancement activities to attract high school students from underserved areas into health careers.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Cooperative Agreements may not be used for construction, patient services, nor student tuition or stipends.

### **Applicant Eligibility:**

Eligible applicants for Area Health Education Centers (AHEC) Program cooperative agreements under Section 751(a)(1) include public or private nonprofit accredited schools of medicine and osteopathic medicine and incorporated consortia made up of such schools, or the parent institutions of such schools. Also, in States in which no AHEC program is in operation, an accredited school of nursing is an eligible applicant.

### **Beneficiary Eligibility:**

Accredited public or nonprofit schools of allopathic medicine or osteopathic medicine, the parent institution on behalf of such schools, and also, accredited schools of nursing in States in which no AHEC program is in operation.

### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 3 to 4 months from receipt of application.

### **Appeals:**

Not Applicable.

### **Renewals:**

Competitive continuations may be submitted during the final budget year of the

approved project.

**Formula and Matching Requirements:**

Statutory Formula: Title Section 751(a)(1), Public Law PHS Act. Awardees shall make available (directly through contributions from State, county or municipal governments, or the private sector) non-Federal contributions in cash in an amount not less than 50 percent of the operating costs of the AHEC Program, except that the Secretary may grant a waiver for up to 75 percent of the amount required in the first 3 years in which an awardee receives funds under this section: Section 751 (a) (1) of the PHS Act as amended.

Matching Requirements: Percent: 50.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during appropriate budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Uniform Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,862,217; FY 09 est \$12,000,000; FY 10 est \$13,000,000

**Range and Average of Financial Assistance:**

\$120,001 to \$1,271,355; \$918,730.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 14 Basic AHEC Program awards were made. Fiscal Year 2009: In FY 09, four competing and eleven non-competing applications for a total of 15 Basic AHEC Program awards were made. Fiscal Year 2010: It is expected that 15 awards will be made in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Lou Coccodrilli, M.P.H, Branch Chief, or CAPT Norma Hatot, Program Officer, AHEC Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-6950.

**Headquarters Office:**

Norma Hatot 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857

Phone: (301) 443-6950

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: All projects are funded to meet the objectives as stated above. Community-based primary care training is provided at three levels: (1) Undergraduate medical students plus at least two associated health professions, e.g., nursing dentistry, mental health, pharmacy, allied health; (2) graduate-primary care residents, e.g., family medicine, general internal medicine or general pediatrics; (3) continuing education- to full range of local providers, including NHSC personnel. Health career training experiences to be provided to elementary or secondary students from medically underserved areas. Funded programs are listed at <http://bhpr.hrsa.gov/ahec/basic.htm>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In determining the funding of applications, consideration is given to: (1) NEED Demonstrates an understanding of the purpose of the AHEC program, and demonstrates an understanding of the identified need(s) as evidenced by the applicant's description of target population(s) and geographic areas validated with supporting data, demographics, health status of the target population(s), and associated contributing factors which the proposed AHEC project intends to address in the area(s) to be served by the area health education center(s); (2) RESPONSE The degree to which the proposed project responds to the program requirements as set forth in Sections 751(a)(1) and 751(a)(2) of the PHS Act, as amended; degree to which project activities address the AHEC Project and Center requirements; clarity of the project objectives and their relationship to the identified need(s); extent to which project objectives are measurable and attainable within the stated timeframe; clarity of the proposed work plan and mechanisms to assure that satisfactory progress is attained; extent to which the project fulfills the cost sharing/matching requirements; degree to which project challenges and plans to overcome barriers are addressed; and degree to which the project meets the Medical School 10 Percent Requirement; (3) EVALUATIVE MEASURES The adequacy of the evaluation strategy to monitor and evaluate project results: potential of evaluative measures to assess the extent to which project objectives are met and to what extent these can be attributed to the project; clarity of methods and techniques that will be used to measure, analyze, and report the outcomes of each objective; and the extent to which the proposed project adequately responds to AHEC Program performance measures and outcome indicators; the points will be allocated across the performance measures of Distribution, Diversity, and Quality; (4) IMPACT The potential of the proposed AHEC program and participating center(s) to continue on a self-sustaining basis; identification of plans for effective, efficient dissemination of project results; potential of project results to be of national significance; and potential for replication of project activities; (5) RESOURCES/CAPABILITIES Evidence of qualifications in key personnel bio-sketches; evidence of adequate staffing plan for proposed project; evidence of ability to implement complex programs with similar requirements; evidence of institutional support, e.g., resources and letters of support; and evidence of successful partnerships and linkages with academic and community-based organizations; (6) SUPPORT REQUESTED Evidence of a reasonable detailed budget and budget rationale to accomplish the project objectives; evidence of fiscal capability to successfully manage cooperative agreements and contracts; and evidence of efforts to become self-sufficient, e.g., other sources of income, income generation plans, and future funding strategies.

**93.837 CARDIOVASCULAR DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Reauthorization Act of 2000, Public Law 106-554.

**OBJECTIVES:**

To foster research and prevention, education, and control activities related to heart and vascular diseases and to develop young scientist investigators in these areas. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. Individual Predoctoral and Postdoctoral National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Institutional NRSA awards may be made to eligible institutions to enable them to appoint individuals selected by the institution. Certain service and payback provisions may apply to postdoctoral individuals upon termination of the award or termination of the appointment. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Some Phase II awardees may be eligible to apply for funds to continue research for up to three years beyond the original Phase II award. Eligible projects involve assessment and improvement of drugs or devices or propose to conduct preclinical studies of drugs or devices that ultimately require: 1) clinical evaluation and/or 2) approval of a Federal regulatory agency. The product being developed must be one for which Federal regulatory approval (e.g., FDA) is a required step toward commercialization. Prospective applicants are strongly encouraged to contact NIH staff to determine eligibility. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

#### **Applicant Eligibility:**

To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Any nonprofit organization engaged in biomedical research and institutions or companies organized for profit may apply for almost any kind of grant. Only domestic, non-profit, private or public institutions may apply for NRSA Institutional Research Training Grants. An individual may apply for an NRSA or, in some cases, for a research grant if adequate facilities to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500

employees) that formally collaborate with a university or other non-profit research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

#### **Beneficiary Eligibility:**

Research project grants and cooperative agreements, training and career development grants, and SBIR and STTR grants.

#### **Credentials/Documentation:**

Individual NRSAs and Institutional NRSA trainees must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must possess a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organization costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with DHHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present, in a research plan, an idea that has potential for commercialization and must furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The grant application form SF424 (R&R) is used to apply for all SBIR and STTR grants. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. For some special grant programs, applicants may be advised to submit directly to the Office of Scientific Review, Division of Extramural Research Activities, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff inform applicants of the results of the review. If support is contemplated, staff initiate preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority

score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Dec 01, 2006 New Research Grants: February 5, June 5, and October 5 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplementals: March 5, July 5, and November 5. Institutional NRSAs: January 25 (new, resubmission, amended, and renewal applications) and September 25 (resubmission and amended applications). Individual NRSA: April 8, August 8, and December 8. SBIR and STTR Grants: April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 9 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the National Heart, Lung, and Blood Institute.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods typically ranging from one to five years. Funding commitments are made annually. Usually, SBIR Phase I awards are for six months and Phase II for two years, and STTR Phase I awards are for one year and Phase II are for two years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$1,353,709,000; FY 09 est \$1,428,631,000; FY 10 est \$1,457,204,000 - In fiscal year 2009, 3,464 research grants and National Research Service Awards were made. The estimates of fiscal year 2010 are 3,227 research grants and 307 National Research Service awards. The estimates for fiscal year 2011 are 3,227 research grants and 307 National Research Service Awards. In fiscal year 2009, for new and competing renewal awards: 3,882 grant applications were received, and of these, 905 were awarded; 248 National Research Service Award applications were received, and of these, 122 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2009, 47 Phase I awards, and 60 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$17,491 to \$5,541,739; \$441,214. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements"; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda,

Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: 3014350310

**Website Address:**

http://www.nih.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the importance of the problem the proposed research will address; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation of the proposed research; (5) the potential of the proposed research for commercial application; (6) the appropriateness of the budget requested; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.838 LUNG DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To use available knowledge and technology to solve specific disease problems of the lungs; to promote further studies on the structure and function of the lung; and to achieve improvement in the prevention and treatment of lung diseases. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological

innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods,

facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. For some special grant programs, applicants may be advised to submit directly to the Office of Scientific Review, Division of Extramural Research Activities, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Dec 01, 2006 New Research Grants: February 5, June 5, and October 5 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplements: March 5, July 5, and November 5. Individual NRSA: April 8, August 8, and December 8. Individual NRSA: January 25, May 25, and September 25. SBIR/STTR Grants: April 5, August 5, and December 5..

#### **Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

#### **Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

#### **Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS

Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$553,973,000; FY 09 est \$555,858,000; FY 10 est \$566,975,000 - In fiscal year 2009, 1,414 research grants and National Research Service Awards were made. The estimates of fiscal year 2010 are 1,334 research grants and 108 National Research Service awards. The estimates for fiscal year 2011 are 1,334 research grants and 108 National Research Service Awards. In fiscal year 2009, for new and competing renewal awards: 1,356 grant applications were received, and of these, 332 were awarded; 139 National Research Service Award applications were received, and of these, 45 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2009, 7 Phase I awards, and 20 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$7,274 to \$6,586,795; \$430,490. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: 3014350310

**Website Address:**

<http://www.nhlbi.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.839 BLOOD DISEASES AND RESOURCES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422, and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285 and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster research and research training on the pathophysiology, diagnosis, treatment, and prevention of non-malignant blood diseases, including anemias, sickle cell disease, thalassemia; leukocyte biology, pre-malignant processes such as myelodysplasia and myeloproliferative disorders; hemophilia and other abnormalities of hemostasis and thrombosis; and immune dysfunction. Funding encompasses a broad spectrum of hematologic inquiry, ranging from stem cell biology to medical management of blood diseases and to assuring the adequacy and safety of the nation's blood supply. Programs also support the development of novel cell-based therapies to bring the expertise of transfusion medicine and stem cell technology to the repair and regeneration of human tissues and

organs. Small Business Innovation Research (SBIR) program: To stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. While the intent of the SBIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research and institutions (or companies) organized for profit may apply for grants, with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be



eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D, D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through Grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grant applications are submitted on designated forms to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Forms for individual NRSA applications may be obtained from and submitted to the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. For some special grant programs, applicants may be advised to submit directly to the Office of Scientific Review, Division of Extramural Research Activities, National Heart, Lung, and Blood Institute, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Fellowship applications have a secondary review by the staff of the Institute. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparations of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer

review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research. Eligibility criteria must be verified prior to the competing award as stated in the SBIR/STTR Funding Opportunity Announcement and annual OMNIBUS SOLICITATION.

**Deadlines:**

Dec 01, 2006 New Research Grants: February 5, June 5, and October 5 (or as specified in Request for Applications (RFA) announcements). Renewals and Supplements: March 5, July 5, and November 5. Individual NRSA's: April 8, August 8, and December 8. Individual NRSA: January 25, May 25, and September 25. SBIR/STTR Grants: April 5, August 5, and December 5.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute.

**Renewals:**

> 180 Days. Renewals require application and review in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released:

Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but

provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$406,074,000; FY 09 est \$373,249,000; FY 10 est \$380,714,000 - In fiscal year 2009, 952 research grants and National Research Service Awards were made. The estimates of fiscal year 2010 are 874 research grants and 97 National Research Service awards. The estimates for fiscal year 2011 are 874 research grants and 97 National Research Service Awards. In fiscal year 2009, for new and competing renewal awards: 976 grant applications were received, and of these, 229 were awarded; 72 National Research Service Award applications were received, and of these, 31 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2009, 10 Phase I awards, and 23 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$17,410 to \$5,132,543; \$426,324. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White, 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: (301) 435-0310.

**Website Address:**

<http://www.nhlbi.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.846 ARTHRITIS, MUSCULOSKELETAL AND SKIN DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 437, 487, Public Law 78-410, 42 U.S.C 241, as amended by Public Health Service Act, Section 301, 437, 487, Public Law 99-158, 42 U.S.C 285d-2.

**OBJECTIVES:**

To support research relevant to arthritis, musculoskeletal and skin diseases, the National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) supports research training and basic and clinical investigations including epidemiology and clinical trials in the areas of skin and rheumatic diseases and musculoskeletal diseases. The Division of Skin and Rheumatic Diseases promotes and supports basic, epidemiological, and clinical studies of skin and rheumatic and related diseases. Studies range from determining the underlying basis and mechanisms of disease (including large genetic studies), to translational and clinical research aimed at the diagnosis, treatment, prediction, and/or prevention of disease. The skin program supports research in normal and diseased skin including keratinocyte biology and wound healing, and disorders such as psoriasis, atopic dermatitis and other chronic inflammatory skin disorders; the vesiculobullous diseases such as pemphigus, bullous pemphigoid, and epidermolysis bullosa; acne, alopecia areata, vitiligo, and skin neoplasia. The rheumatic disease program supports research in the systemic autoimmune diseases and arthritides, including systemic lupus erythematosus (SLE), systemic scleroderma, autoimmune myositis, rheumatoid arthritis, juvenile idiopathic arthritis, spondyloarthropathies, vasculitis, gout, Sjogren's syndrome, and fibromyalgia syndrome. In addition, the Division supports studies on the extracellular matrix, including research on Marfan syndrome, keloid formation, and pseudoxanthoma elasticum. The Division also supports biophysosocial research related to rheumatic, musculoskeletal, or skin diseases. Topics include behavioral interventions, pain mechanisms, neuroendocrine and neuroimmune mechanisms, behavioral and social research, and epidemiology. The Division of Musculoskeletal Diseases supports studies of the skeleton and associated connective tissues. Broad areas of interest include skeletal development, metabolism, mechanical properties, and responses to injury. Among these diseases and skeletal disorders are osteoporosis; osteogenesis imperfecta; Page's disease of bone; vitamin D refractory diseases; and rickets and osteochondrodysplasias. Other areas of interest include treatment of acute and chronic injuries, including carpal tunnel syndrome, repetitive stress injury, low back pain and clinical and epidemiological studies of osteoarthritis. The Division supports development of new technologies with the potential to improve treatment of skeletal disorders and facilitate the repair of trauma in the normal skeleton. These include drugs and nutritional interventions, joint replacement, bone and cartilage transplantation, biomarkers and gene therapy. In addition, bioengineering, sports medicine and musculoskeletal fitness are areas of special research emphasis. This Division also encourages and supports research on skeletal muscle, its diseases and disorders, and its central role in human physiology and exercise. Topics include the molecular structure of muscle and the molecular mechanisms that produce force and motion. Muscle biophysics, cell biology, muscle biology, muscle disorders and therapies, musculoskeletal development, tissue reengineering, and regenerative medicine are encompassed in this area as well. The Division also supports research into the biology of cartilage, tendons, ligaments, menisci, and intervertebral discs, including pre-clinical studies on injury and disease conditions affecting these tissues. NIAMS participates in the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. The SBIR program is intended to increase private sector commercialization of innovations derived from Federal research and

development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The STTR program is intended to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. Individual National Research Service Awards (NRSAs) are made to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Research Grants: Individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards: Individuals must be nominated and sponsored by a public or private, for-profit or nonprofit institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the Institutional National Research Service grant. Small Business Innovation Research grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Research Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the

sciences or professions. National Research Service Awards: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

**Credentials/Documentation:**

Requirements are specified in the application form. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grants: Applications must be prepared either electronically through grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Rev. 11/2007). Individual funding opportunity announcements will indicate the appropriate application format to be used. A listing of NIAMS and other funding opportunities can be found through the NIAMS web site ([http://www.niams.nih.gov/Funding/Funding\\_Opportunities/filter.asp](http://www.niams.nih.gov/Funding/Funding_Opportunities/filter.asp)), through the Grants.gov web site (<http://www.grants.gov/>), or on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>). For applications that require the PHS 398, the most recent version of the form and instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). For assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). National Research Services Awards: Completed application forms should be submitted to the Office of Research Manpower, Center for Scientific Review, Grants, National Institutes of Health, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Research Funding Opportunities" web page at <http://grants1.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the Grants.gov sites and the NIH Guide to Grants and Contracts (see URLs listed above). All SBIR and STTR applications must be submitted electronically. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR

Part 42.

**Award Procedure:**

Following review by the appropriate study section and council, the successful applicant is notified by the National Institute of Arthritis and Musculoskeletal and Skin Diseases through a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Research grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Research grants: renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards: individual awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research grants: Awards may be recommended for up to 5 years. Awards usually are made for 12-month budget periods. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0888-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$396,924,000; FY 09 est \$407,143,000; FY 10 est \$411,313,000 - Research Grants: FY 08 \$396,924,000; FY 09 \$407,143,000; and FY10 \$411,313,000. National Research Service Awards (NRSA): FY08 \$15,189,000; FY09 \$15,599,000; and FY10 \$15,755,000.

**Range and Average of Financial Assistance:**

Research Grants: \$2,100 to \$1,984,223; \$311,313. National Research Service Awards: \$12,715 to \$418,058; \$128,712. SBIR/STTR: Phase I awards --approximately \$100,000; Phase II awards--up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Laura K. Moen, 6701 Democracy Boulevard, Ste 800, Bethesda, Maryland 20892 Email: [moenl@mail.nih.gov](mailto:moenl@mail.nih.gov) Phone: (301) 451-6515.

**Website Address:**

<http://www.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach;

(3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.847 DIABETES, DIGESTIVE, AND KIDNEY DISEASES EXTRAMURAL RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 428, 431, 487, 491, 493, 495, and 498, as amended; Public Laws 78-410, 99-158, 100-607, 106-554, and 107-360; 42 U.S.C. 241, as amended; 42 U.S.C. 285c-2, 42 U.S.C. 285c-5, 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

(1) To promote extramural basic and clinical biomedical research that improves the understanding of the mechanisms underlying disease and leads to improved preventions, diagnosis, and treatment of diabetes, digestive, and kidney diseases. Programmatic areas within the National Institute of Diabetes and Digestive and Kidney Diseases include diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

Specific program areas of interest include the following:

(a) For diabetes, endocrine, and metabolic diseases areas: Fundamental and clinical studies including the etiology, pathogenesis, prevention, diagnosis, treatment and cure of diabetes mellitus and its complications; Normal and abnormal function of the pituitary, thyroid, parathyroid, adrenal, and other hormone secreting glands; Hormonal regulation of bone, adipose tissue, and liver; on fundamental aspects of signal transduction, including the action of hormones, coregulators, and chromatin remodeling proteins; Hormone biosynthesis, secretion, metabolism, and binding; and on hormonal regulation of gene expression and the role(s) of selective receptor modulators as partial agonists or antagonists of hormone action; and Fundamental studies relevant to metabolic disorders including membrane structure, function, and transport phenomena and enzyme biosynthesis; and basic and clinical studies on the etiology, pathogenesis, prevention, and treatment of inherited metabolic disorders (such as cystic fibrosis).

(b) For digestive disease and nutrition areas: Genetics and genomics of the GI tract and its diseases; Genetics and genomics of liver/pancreas and diseases; Genetics and genomics of nutrition; genetics and genomics of obesity; Bariatric surgery; Clinical nutrition research; Clinical obesity research; Complications of chronic liver disease; Fatty liver disease; Genetic liver disease; HIV and liver; Cell injury, repair, fibrosis and inflammation in the liver; Liver cancer; Liver transplantation; Pediatric liver disease; Viral hepatitis and infectious diseases;

Gastrointestinal and nutrition effects of AIDS; Gastrointestinal mucosal and immunology; Gastrointestinal motility; Basic neurogastroenterology; Gastrointestinal development; Gastrointestinal epithelial biology; Gastrointestinal inflammation; Digestive diseases epidemiology and data systems; Nutritional epidemiology and data systems; Autoimmune liver disease; Bile, Bilirubin and cholestasis; Bioengineering and biotechnology related to digestive diseases, liver, nutrition and obesity; Cell and molecular biology of the liver; Developmental biology and regeneration; Drug-induced liver disease; Gallbladder disease and biliary diseases; Exocrine pancreas biology and diseases; Gastrointestinal neuroendocrinology; Gastrointestinal transport and absorption; Nutrient metabolism; Pediatric clinical obesity; Clinical trials in digestive diseases; Liver clinical trials; Obesity prevention and treatment; and Obesity and eating disorders.

(c) For kidney, urologic and hematologic diseases areas: Studies of the development, physiology, and cell biology of the kidney; Pathophysiology of the kidney; Genetics of kidney disorders; Immune mechanisms of kidney disease; Kidney disease as a complication of diabetes; Effects of drugs, nephrotoxins and environmental toxins on the kidney; Mechanisms of kidney injury repair; Improved diagnosis, prevention and treatment of chronic kidney disease and end-stage renal disease; Improved approaches to maintenance dialysis therapies; Basic studies of lower urinary tract cell biology, development, physiology, and pathophysiology; Clinical studies of bladder dysfunction, incontinence, pyelonephritis, interstitial cystitis, benign prostatic hyperplasia, urolithiasis, and vesicoureteral reflux; Development of novel diagnostic tools and improved therapies, including tissue engineering strategies, for urologic disorders; Research on hematopoietic cell differentiation; metabolism of iron overload and deficiency; Structure, biosynthesis and genetic regulation of hemoglobin; as well as Research on the etiology, pathogenesis, and therapeutic modalities for the anemia of inflammation and chronic diseases.

(2) To encourage basic and clinical research training and career development of scientists during the early stages of their careers. The Ruth L. Kirschstein National Research Service Award (NRSA) funds basic and clinical research training, support for career development, and the transition from postdoctoral biomedical research training to independent research related to diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

(3) To expand and improve the Small Business Innovation Research (SBIR) program. The SBIR Program aims to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to enhance small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

(4) To utilize the Small Business Technology Transfer (STTR) program. The STTR Program intends to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

Project Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. NRSA's are made directly to individuals for research training in specified biomedical shortage areas, or, to institutions to enable them to make NRSA's to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to

determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Project Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both non-profit and for-profit, and individuals who propose to establish, expand, and improve research activities in health sciences and related fields. NRSAs: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR and STTR grants can be awarded only to domestic small businesses that meet the following criteria: 1) Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has a place of business in the United States and operates primarily within the United States or makes a significant contribution to the US economy, and is organized for profit; 2) Is (a) at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, or (b) for SBIR only, it must be a for-profit business concern that is at least 51% owned and controlled by another for-profit business concern that is at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States. 3) Has, including its affiliates, an average number of employees for the preceding 12 months not exceeding 500, and meets the other regulatory requirements found in 13 C.F.R. Part 121. Business concerns are generally considered to be affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both. STTR grants which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers, any nonprofit or for-profit organization, company, or institution engaged in biomedical research. Project Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. NRSAs: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

#### **Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Individual NRSA applications for postdoctoral training must include the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training. Institutional Training grant applications for predoctoral and postdoctoral training must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested.

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form PHS 398 is used to apply for SBIR and STTR Phase I Phase II and Phase I/Phase II Fast Track. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Project Grants: Applications for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Applications may not be submitted in paper format. A registration process through Grants.gov is necessary before submission and applicants are highly encouraged to start the process at least four weeks prior to the grant submission date. Two steps are required for on time submission: (1) The application must be successfully received by Grants.gov no later than 5:00 p.m. local time (of the applicant institution/organization) on the submission/receipt date. (2) Applicants must complete a verification step in the eRA Commons within two business days of notification from NIH. Note: Since email can be unreliable, it is the responsibility of the applicant to periodically check on their application status in the Commons. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program by those applicants that are State or local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms.

#### **Award Procedure:**

Research Grant and Training Program applications are reviewed initially for scientific merit by an appropriate review panel, composed of scientific authorities, and by the National Diabetes and Digestive and Kidney Diseases Advisory Council composed of leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. The successful applicant is sent a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Project Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Project Grants: Renewals are determined by competitive application and review. Extensions considered upon request. Individual NRSAs: Awards may

be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Grants: Awards are usually made for a 12-month period with recommendation of up to 4 years of additional support. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: The Notice of Award (NoA) is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. An NoA is issued for the initial budget period. If subsequent budget periods are also approved, the NoA will include a reference to those budgetary commitments. Funding for subsequent budget periods are generally provided in annual increments following the annual assessment of progress. This funding is also contingent on the availability of funds. The NoA includes all applicable terms of award either by reference or specific statements. It provides contact information for the assigned program officer and grants management specialist. The grantee accepts an NIH award and its associated terms and conditions by drawing or requesting funds from the Payment Management System, or upon the endorsement of a check from the US Treasury for foreign awardees.

**Reports:**

Project Grants: Expenditures and other financial records, including documents supporting accounting records and substantive charges to each grant, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. NRSAs: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel and must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Cash reports are not applicable. Annual and terminal progress reports, annual reports of inventions, and annual certification with respect to research involving human subjects are required. Reports of expenditures are required. NRSAs: Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the

3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0884-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$1,221,925,000; FY 09 est \$1,277,469,000; FY 10 est \$1,304,385,000 - Project Grants: FY 2008 Actual: \$1,120,623,000; FY 2009 Estimate: \$1,174,979,000; FY2010 Estimate: \$1,201,399,000  
NRSAs: FY 2008 Actual: \$55,903,000; FY 2009 Estimate: \$56,345,000; FY 2010 Estimate: \$56,345,000  
SBIRs: FY 2008 Actual: \$45,399,000; FY 2009 Estimate: \$46,145,000; FY 2010 Estimate: \$46,641,000.

**Range and Average of Financial Assistance:**

Project Grants: \$3,219 to \$28,375,332; \$383,775  
NRSAs: \$4,200 to \$575,745; \$46,703  
SBIR: Phase I awards approximately \$100,000; Phase II awards not to exceed \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Project Grants: In FY 2008, 2,920 awards were made. NRSAs: In FY 2008, 371 awards were made and 1,106 trainees were funded. SBIR: In FY 2008, 106 awards were made. Fiscal Year 2009: Project Grants: In FY 2009, 2,896 awards have been made. NRSAs: In FY 2009, 427 awards have been made and 1,110 trainees funded. SBIR: In FY 2009, 110 awards have been made. Fiscal Year 2010: Project Grants: In FY 2010, 2,961 awards are estimated. NRSAs: In FY 2010, 425 awards and 1,106 trainees are estimated. SBIR: In FY 2010, 110 awards are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants: 42 CFR 52; 42 CFR 66; 42 CFR 74; 45 CFR 74; 45 CFR 92. Administration Policy Directive No. 65 01 (47 Fed. Reg. 52966 et seq. (1982)), as amended by Policy Directive No. 65 01.1 (48 Fed. Reg. 38794 et seq. (1983)). Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement, [http://grants.nih.gov/grants/policy/nihgps\\_2003/](http://grants.nih.gov/grants/policy/nihgps_2003/); Omnibus Solicitation of the Public Health Service for SBIR Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for STTR Grant Applications.

**Regional or Local Office:**

None. Project Grants: Dr. Judith Fradkin, Director, Division of Diabetes, Endocrinology, and Metabolic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 689, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 496-7349; Dr. Stephen James, Director, Division of Digestive Diseases and Nutrition, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 675, 6707 Democracy Blvd., Telephone: (301) 594-7680; Dr. Robert Star, Director, Division of Kidney, Urologic and Hematologic Diseases, National Institute of

Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 625, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 594-7717. Small Business Innovation Research Grants Contact: Mrs. Helen Ling, Senior Grants Management Specialist, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 732, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8857. Grants Management Contact: Mr. Robert Pike, Chief Grants Management Officer, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 731, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8854. Use the same numbers for FTS.

**Headquarters Office:**

Terra L. Robinson, 6707 Democracy Boulevard, Suite 714, Bethesda, Maryland 20892 Email: robinste@nidk.nih.gov Phone: (301) 496-9488.

**Website Address:**

<http://www2.niddk.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (a) For diabetes, endocrine, and metabolic diseases projects: Genetic Studies of Type 2 Diabetes; Regulators of Insulin Secretion and Action; Mode of Action of Steroid Hormones; Autoimmune Basis of Type 1 Diabetes; and Activators of Mutant Cystic Fibrosis Transmembrane Regulator ; SBIR grant: Implantable Glucose Sensor

(b) For digestive diseases and nutrition projects: Pathogenesis of Gastroesophageal reflux disease (GERD). Genetics of inflammatory bowel disease. Inflammation in IBD. Prevention of weight gain. Treatment of non-alcoholic steatohepatitis (NASH). Long-term treatment of hepatitis C

(c) For kidney, urologic, and hematologic diseases projects: Functional Structure of Renal Tubule; Pathogenesis of Experimental Glomerulonephritis; Pathology of Recovery from Acute Renal Failure; Urinary Stone Prevention; and In vitro Studies of Hematopoietic Regulation; SBIR grant: Laser Fragmentation of Urinary Calculi. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.853 EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405,408, 457, 458, 459, and 487, Public Law 78-410, 42 U.S.C 241-285L-2; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To support extramural research funded by the National Institute of Neurological Disorders and Stroke (NINDS) including: basic research that explores the fundamental structure and function of the brain and the nervous system; research to understand the causes and origins of pathological conditions of the nervous system with the goal of preventing these disorders; research on the natural course of neurological disorders; research on mechanisms associated with stroke and other cerebrovascular disorders, effects of trauma to the nervous system, neuroplasticity and regeneration, and tumors of neural and sensory tissues; improved methods of disease prevention; new methods of diagnosis and treatment; clinical trials; drug development; development of neural prostheses for stroke and paraplegia; epidemiological research; and research training in clinical neuroscience. The Institute supports research on topics including but not limited to stroke; traumatic injury to the brain, spinal cord and peripheral nervous system; neurodegenerative disorders, including Parkinson's disease and Alzheimer's disease; brain tumors; development of artificial prosthetic devices to restore function to the damaged nervous system; convulsive disorders, including epilepsy; infectious disorders of the brain and nervous system, including AIDS; immune disorders of the brain and nervous system, including multiple sclerosis; disorders related to sleep; and pain. Programmatic areas also include neurodevelopment, repair and plasticity, channels synapses and circuits, neurogenetics, neurodegeneration, neural environment, and systems and cognitive neuroscience. Extramural research is also supported by the Office of Minority Health and Research, the Office of Translational Research, and the Office of Clinical Research. (2) To expand and improve the Small Business Innovation Research (SBIR) program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (3) To utilize the Small Business Technology Transfer (STTR) program; to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The NINDS also participates in the Academic Research Enhancement Award (AREA) Program, which is intended to provide research support to institutions currently having little support from the National Institutes of Health (NIH) support.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes stated in the application and award document. National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical shortage areas, or to institutions, to enable them to make NRSA to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with service and payback provisions. Career Development Awards such as the Independent Scientist Awards provide support for newly independent scientists with health related degrees who can demonstrate the need for a period of intensive research focus as a means of enhancing their research careers. Mentored Clinical Research Scientist Development Awards



provide support for clinically trained health professionals who need an additional period of sponsored research experience as a way to gain expertise in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. The Mentored Research Scientist Development Award are of three types: Re-Entry into the Neurological Sciences (RENS) which are made to women and men who have been out of neuroscience research for at least 3 years to give them an opportunity to re-establish their skills as independent neuroscientists, the Career Development Award to promote diversity in neuroscience research support, an intensive, supervised research career development experience for underrepresented career neuroscientists, and Mentored Research Scientist Development Awards in Translational Research to support new investigators to build a program of translational research in neurological disorders. The Mentored Patient-Oriented Research Career Development Award provide support for a period of supervised study and research for clinically trained professionals who have the potential to develop into productive clinical investigators. The Mid-career Investigator Award in Patient-Oriented Research provide support for clinicians to allow them protected time to devote to patient-oriented research and to act as mentors for beginning clinical investigators. The Collaborative Neurological Sciences Award is to develop and promote competitive neurological science research programs at predominantly minority institutions through collaborations with grantees from research intensive institutions who have NIH grant support to conduct neurological science research. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research efforts initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document. The NINDS participates in the NIH SBIR/STTR "fast track" initiative.

#### **Applicant Eligibility:**

Research Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for Institutional National Research Service Awards but are eligible for Individual NRSA. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research environment, and for significance of the problem. Approved proposals compete for available funds. All Career Development Program awardees, with the exception of awardees of the Pathway to Independence Award, must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or territories. Awardees for RENS must have been accepted by a sponsoring institution, had previous training and experience in neurological science, an interruption in their careers for a period of at least three years and not more than 8 years, and be citizens or non-citizen nationals of the United States. Awardees for the Collaborative Neurological Sciences Award must be from a predominantly minority institution and must have a doctoral degree in a basic or clinical science area. To be eligible, postdoctoral NRSA trainees or fellows must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the entire research must be performed in the United States. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development.

At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers.

#### **Credentials/Documentation:**

Research grants are awarded to an institution in the name of an individual investigator. Persons qualified to carry out research related to the extramural programs described above may apply for funds to support their investigations. Mentored Career Program training must be conducted under the direction of a competent sponsor. National Research Service Awards: Individual NRSA Fellowships for postdoctoral training: the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74 and 92, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Research grant applications exceeding \$500,000 direct costs in any yearly budget period will not be accepted unless the NINDS has agreed to accept the application prior to submission (see <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. NIH has transitioned to the SF424 family of forms and electronic submission through Grants.gov by research program or funding mechanism. See <http://era.nih.gov/ElectronicReceipt/> for a list of grant mechanisms that have already transitioned to electronic submission. For applications to be submitted electronically, see <http://era.nih.gov/ElectronicReceipt/>. Effective with the August 8, 2009 submission date, all grant applications for the Individual National Research Service Award (NRSA) Fellowships (F-series) will require electronic submission through Grants.gov to eRA Commons. Paper applications will not be accepted for submissions on or after the August 8 transition. The change from paper submission to electronic applications for grant programs that includes Career Development (K12 and K30) and Training & Development (T&D) has been rescheduled to begin with electronic submission on/after January 25, 2010. The complex mechanisms (P, U) has been delayed until further notice. See <http://grants1.nih.gov/grants/forms.htm> to determine the appropriate paper application package (PHS 398 or PHS 416) to be used.

#### **Award Procedure:**

Research Grant and Training Program applications are reviewed initially by technical panels, composed of scientific authorities, and by the National Advisory Neurological Disorders and Stroke Council composed of 18 leaders in medical science, education, and public affairs. Approved applications will

compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Research grants: Approximately 6 to 9 months. Career program: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months. Institutional Training Grants: From 6 to 12 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute, and subsequently, the P.I. and applicant institution may appeal to the NINDS appeals officer. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

By application and review in same manner as new applications. Research Career Awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Career Program awards provide support for 3 to 5 years. Training Program awards are usually for a 12-month period with recommendation of additional support of up to a total of 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No cash reports are required. Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45

Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0886-0-1-552 - Extramural Research.

**Obligations:**

(Project Grants) FY 08 \$1,390,535,000; FY 09 est \$1,345,652,000; FY 10 est \$250,513,000 - (Extramural Research) FY 08 \$1,390,535,000; FY 09 est \$1,345,652,000; and FY 10 est \$250,513,000. (Project Grants) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. (Project Grants (Contracts)) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Research grants: \$50,000 to \$7,727,226; \$372,346. National Research Service Awards: Institutional \$20,674 to \$512,907; \$195,982. Individual: \$1,251 to \$68,740; \$37,264. SBIR: Phase I approximately \$150,000; Phase II not to exceed \$750,000. STTR: Phase I approximately \$100,000; Phase II not to exceed \$500,000. (The SBIR and STTR dollars are guidelines, not limits).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, there were 3,844 competing research applications, and of that number 698 awards were made. Fiscal Year 2009: In fiscal year 2009, there were 641 competing research applications, and of that number 698 awards were made. Fiscal Year 2010: In fiscal year 2010, there will be 616 competing research applications awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation

Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. National Institute of Neurological Disorders and Stroke (NINDS), Division of Extramural Research (DER), National Institutes of Health, Department of Health and Human Services, Neuroscience Center, 6001 Executive Boulevard, Bethesda, MD 20892. Director DER: Dr. Robert Finkelstein, Suite 3309, Telephone: (301) 496-9248. The address above (include suite # below) should be used for each Program Contact: Dr. Ramona Hicks, Repair and Plasticity, Suite 2206, Telephone: (301) 496-1447; Dr. May Wong, Neural Environment, Suite 2113, Telephone: (301) 496-1431; Dr. Larry Refolo, Neurodegeneration, Suite 2223, Telephone: (301) 496-5680; Dr. Debra Babcock, Systems & Cognitive Neuroscience, Suite 2108, telephone: (301) 496-9964; Dr. Shai Silberberg, Channels, Synapses & Circuits, Suite 2142, Telephone: (301) 496-1917; Dr. Laura Mamounas, Neurogenetics, Suite 2114a, Telephone: (301) 496-5745; Dr. Yuan Liu, Office of International Activities, Suite 2187, Telephone: 301-496-0012; Dr. Deborah Hirtz, Clinical Trials, Suite 2212, Telephone: (301) 496-9135; Dr. Jill Heemskerk, Technology Development, Suite 2229, Telephone: (301) 496-1779; Grants Management Branch: Ms. Tijuana DeCoster, Grants Management Officer, Suite 3258, Telephone: (301) 496-9231; Contracts Management Branch: Mr. Kirk Davis, Contracts Management Officer, Suite 3280, Telephone: (301) 496-1813; Dr. Alfred Gordon, Office of Minority Health and Research, Suite 2151, Telephone: (301) 496-3102; Dr. Stephen Korn, Training and Career Development Officer, Suite 2186, Telephone: (301) 496-4188.

**Headquarters Office:**

Robert F. Finkelstein, 6001 Executive Boulevard, Suite 3309, Rockville, Maryland 20892 Email: finkelsR@nih.gov Phone: (301) 496-9248 Fax: (301) 402-4370.

**Website Address:**

<http://www.ninds.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grants support research on neurological disorders such as: (1) Cerebral palsy; (2) disorders of aging including Parkinson's, Huntington's, and Alzheimer's diseases and the dementias; (3) muscular, neuromuscular and demyelinating disorders; (4) neuroendocrine studies; neural aspect of learning and behavior; (5) nervous system tumors, and infectious diseases of the central nervous system. Recently funded applications include studies designed to result in advances for a group of useful glycosidases, as well as mechanistic information for the activator protein that is required for lysosomal degradation of GM2, a glycosphingolipid involved in Tay-Sachs disease. Another study focuses on mechanisms of synapse assembly, specifically the role of membrane associated quanylate kinases in the clustering and targeting of ion channels and receptors at the synapse. One example of the long range goal of a successful competing renewal application is to provide a better understanding of the mechanisms of movement of intracellular organelles along microtubules. Such movement plays a role in the process of fast axonal transport in nerve cells. The specific aims of another funded application are to assess environmental and genetic factors as determinants of hand preference, to determine whether measures of developmental stability can explain individual differences in phenotypic expressions of hand preference and to determine whether handedness is predictive of compromised immunological functioning and/or reproductive biology. A new project is aimed at addressing a series of fundamental issues regarding the mechanisms underlying the spread of synaptic modifications in neural networks. Another series of studies will take advantage of newly developed behavioral procedures and selective ibotenic acid lesions to compare the effects of lesioning hippocampus, subiculum, entorhinal cortex, and perirhinal cortex on learning and memory. Included in this effort are multi-disciplinary clinical research centers on Parkinson's disease, stroke, head and spinal cord injury, epilepsy, and demyelinating disorders, as well as program projects and a large number of individual grants. In head and spinal cord injury research studies, particular emphasis is given to the biomedical events and metabolism following injuries, with a view toward both salvaging

damaged tissue and also creating conditions in which regeneration of injured nerve cells can take place. The clinical research program sponsors clinical trials to evaluate various therapeutic approaches to head and spinal cord injury, epilepsy, multiple sclerosis and other neurologic and neuromuscular disorders. The effects of systemic cancer on the central nervous system are studied, as part of the brain and spinal cord tumor research effort. Fiscal Year 2009: Grants support research on neurological disorders such as: (1) Cerebral palsy; (2) disorders of aging including Parkinson's, Huntington's, and Alzheimer's diseases and the dementias; (3) muscular, neuromuscular and demyelinating disorders; (4) neuroendocrine studies; neural aspect of learning and behavior; (5) nervous system tumors, and infectious diseases of the central nervous system. Recently funded applications include studies designed to result in advances for a group of useful glycosidases, as well as mechanistic information for the activator protein that is required for lysosomal degradation of GM2, a glycosphingolipid involved in Tay-Sachs disease. Another study focuses on mechanisms of synapse assembly, specifically the role of membrane associated quanylate kinases in the clustering and targeting of ion channels and receptors at the synapse. One example of the long range goal of a successful competing renewal application is to provide a better understanding of the mechanisms of movement of intracellular organelles along microtubules. Such movement plays a role in the process of fast axonal transport in nerve cells. The specific aims of another funded application are to assess environmental and genetic factors as determinants of hand preference, to determine whether measures of developmental stability can explain individual differences in phenotypic expressions of hand preference and to determine whether handedness is predictive of compromised immunological functioning and/or reproductive biology. A new project is aimed at addressing a series of fundamental issues regarding the mechanisms underlying the spread of synaptic modifications in neural networks. Another series of studies will take advantage of newly developed behavioral procedures and selective ibotenic acid lesions to compare the effects of lesioning hippocampus, subiculum, entorhinal cortex, and perirhinal cortex on learning and memory. Included in this effort are

multi-disciplinary clinical research centers on Parkinson's disease, stroke, head and spinal cord injury, epilepsy, and demyelinating disorders, as well as program projects and a large number of individual grants. In head and spinal cord injury research studies, particular emphasis is given to the biomedical events and metabolism following injuries, with a view toward both salvaging damaged tissue and also creating conditions in which regeneration of injured nerve cells can take place. The clinical research program sponsors clinical trials to evaluate various therapeutic approaches to head and spinal cord injury, epilepsy, multiple sclerosis and other neurologic and neuromuscular disorders. The effects of systemic cancer on the central nervous system are studied, as part of the brain and spinal cord tumor research effort.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) the soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) the degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and 8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.855 ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992, 42 U.S.C 241; Public Health Service Act, Title IV, Section 301.

#### **OBJECTIVES:**

To assist public and private nonprofit institutions and individuals to establish, expand, and improve biomedical research and research training in allergic and immunologic diseases and related areas to assist public, private, and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for research progress in allergic and immunologic diseases. NIAID's Allergy, Immunology and Transplantation Research concerns the immune system as it functions in the maintenance of health and as it malfunctions in the production of diseases. Because of this dual focus, the program encompasses both basic research and clinical research. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology

Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions, including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research

institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for individual NRSA's must include their academic record, research experience, citizenship, institute sponsorship, and the proposed area and plan of training in their applications. The applicant for an institution must specify the objectives, methodology, and resources for the research training program, the qualifications experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Use Form PHS-398 (Rev. May 1995) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: telephone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and applicant institution. All accepted SBIR/STTR

applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

New Non-AIDS research applications: February 1, June 1 and October 1. For Renewal and Supplemental Non-AIDS research grant applications: March 1, July 1, and November 1. For all AIDS research grant applications: January 2, May 1, September 1. Research Career Development Award programs: February 1, June 1, October 1. Individual NRSA's: April 5, August 5, and December 5. Institutional NRSA: September 10. SBIR/STTR: April 1, August 1 and December 1.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has MOE requirements, see funding agency for further details. MOE requirements apply with allocations over \$100 million.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Program reports are not applicable. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. annual progress reports with information on inventions and expenditures are required. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. yearly and final progress reports are monitored.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a

period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$616,475,000; FY 09 est \$630,569,000; FY 10 est \$641,507,000

**Range and Average of Financial Assistance:**

from \$2,500 to \$3,959,017 and the average \$400,569.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Almeida, 6610 Rockledge Drive, Bethesda, Maryland 20892 Email: calmeida@niaid.nih.gov Phone: (301) 496-4701.

**Website Address:**

<http://www.niaid.nih.gov>.

**RELATED PROGRAMS:**

93.856 Microbiology and Infectious Diseases Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the

technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.856 MICROBIOLOGY AND INFECTIOUS DISEASES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992, 42 U.S.C 241; Public Health Service Act, Title IV, Section 301.

**OBJECTIVES:**

To support research related to Microbiology and Infectious Diseases with the broad aim of improving health by controlling disease caused by infectious or parasitic agents. Projects range from studies of microbial physiology and antigenic structure to collaborative trials of experimental drugs and vaccines. Also supported are studies on the mechanisms of resistance to antibiotics as well as research dealing with epidemiological observations in hospitalized patients or community populations. The objectives of the program are to assist public and private nonprofit institutions and individuals to establish, expand and improve biomedical research and research training in infectious diseases and related areas; to assist public, private and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for programs in infectious diseases; and to make grants or award contracts to public and nonprofit private entities to expand, remodel, renovate, or alter existing research facilities or construct new facilities. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a

research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSA), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Universities, colleges, hospitals, laboratories and other public or private nonprofit domestic institutions, including State and local units of government. Individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree and postdoctoral candidates must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng.), or must have an equivalent domestic or foreign degree. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific

competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for Individual NRSA must include their academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training in their applications. The applicant for an Institutional NRSA must specify the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local government. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Use Form PHS-398 (Rev. May 1995), (PHS- 5161-1 for State and local government units) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435- 0714. Fax (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; e- mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If the application is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant or applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 8 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; these may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Research grant project periods average 4 years; these may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Yes annual reports requiring progress reports with information on inventions and expenditures are required. Yes we require quarterly expenditure reports and yearly and/or grant period reports of expenditures. At the end of the project we expect final expenditure reports. Yes annual reports requiring progress reports with information on inventions and expenditures are required. Yes we require quarterly expenditure reports and yearly and/or grant period reports of expenditures. At the end of the project we expect final expenditure reports. Yes all yearly and the final progress report are reviewed and monitored.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Salaries) FY 08 \$2,124,871,000; FY 09 est \$2,174,722,000; FY 10 est \$2,215,674,000

**Range and Average of Financial Assistance:**

Low 5,000 to high 45,599,285. Average is 555,160.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Almeida, 6610 Rockledge Drive, Bethesda, Maryland 20817 Email: calmeida@niaid.nih.gov Phone: (301) 435-8586.

**Website Address:**

<http://www.niaid.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See relevant program announcements.

**93.859 BIOMEDICAL RESEARCH AND RESEARCH TRAINING  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 and Title IV of the Public Health Service Act, as amended.

**OBJECTIVES:**

The National Institute of General Medical Sciences supports research that increases understanding of life processes and lays the foundation for advances in disease diagnosis, treatment and prevention. NIGMS-funded researchers seek to answer important scientific questions in fields such as cell biology, biophysics, genetics, developmental biology, pharmacology, physiology, biological chemistry, bioinformatics, computational biology, selected aspects of the behavioral sciences and specific cross-cutting clinical areas that affect multiple organ systems. NIGMS also provides leadership in training the next generation of scientists to assure the vitality and continued productivity of the research enterprise.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

NIGMS is organized into divisions and a center that support research and research training in a range of scientific fields. One division has the specific mission of increasing the number of biomedical and behavioral scientists who are members of underrepresented minority groups.

Major areas in which these units fund research are listed below their names.

**Division of Cell Biology and Biophysics:**

analytical and separation techniques  
biophysical properties of proteins and nucleic acids  
cell organization, motility and division  
cellular imaging  
membrane structure and function  
molecular biophysics  
single-molecule biophysics and nanoscience  
spectroscopic techniques  
structural biology  
structural genomics and proteomics

**Division of Genetics and Developmental Biology:**

chromosome organization and mechanics  
developmental biology and genetics  
DNA replication, recombination and repair  
epigenetics  
extrachromosomal inheritance  
mechanisms of mutagenesis  
neurogenetics and the genetics of behavior  
population genetics, evolution and the genetics of complex traits  
protein synthesis  
regulation of cell growth, cell division, cell death and differentiation  
RNA transcription and processing  
stem cell biology

**Division of Pharmacology, Physiology, and Biological Chemistry:**

anesthesiology  
biochemistry  
bioenergetics  
bio-organic and bio-inorganic chemistry  
biotechnology and metabolic engineering  
drug absorption, distribution, metabolism, excretion and predictive toxicology  
enzymology



glycochemistry and glycobiology  
molecular immunobiology  
pharmacogenetics/pharmacogenomics  
pharmacology and clinical pharmacology  
physiology  
synthetic and medicinal chemistry  
trauma and burn injury  
wound healing

Division of Minority Opportunities in Research:  
undergraduate student training and development  
post-baccalaureate research education  
predoctoral research  
postdoctoral research and teaching skill development  
faculty development  
faculty research  
efficacy of interventions research

Center for Bioinformatics and Computational Biology:  
biomedical software development  
cell and molecular modeling and simulation  
computational genomics  
database design and enhancement  
high-throughput data analysis  
systems biology.

**Applicant Eligibility:**

NIGMS trainees must be U.S. citizens, non-citizen nationals or permanent residents.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment and supplies are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NIH announces availability of funds for grant programs by issuing funding opportunity announcements in the NIH Guide for Grants and Contracts (<http://grants.nih.gov/grants/guide/index.html>) and on Grants.gov (<http://www.grants.gov>). Application packages must be downloaded from Grants.gov and submitted through Grants.gov. This program is subject to the provisions of 45 CFR, Part 92 for state and local governments and 45 CFR, Part 72 for other organizations, as appropriate.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and by a national advisory council. National Research Service Award (NRSA) applications for the support of individual fellows and other applications requesting less than \$50,000 direct costs per year are not reviewed by the council.) All approved applications compete for available funds on the basis of scientific merit and program emphasis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project Grants: about 9 months. NRSA: (institutional) 9-12 months, (individual) 6 months. Small Business Innovation Research (SBIR)/Small Business Technology Transfer Research (STTR): about 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal grants are generally made prior to the expiration of any current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least 1 year, with additional support (up to 4 more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance and availability of funds. See the following for information on how assistance is awarded/released: varies by program.

**Reports:**

varies by program on an annual basis. varies by program on an annual basis. varies by program on an annual basis. varies by program on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of profit making organizations are addressed in 45 CFR Part 72 (Subpart C, Section 74.26). In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$1,865,006,000; FY 09 est \$1,912,823,000; FY 10 est \$1,937,289,000

**Range and Average of Financial Assistance:**

\$20,000 to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: In Fiscal Year 2009, the Institute's budget is \$1.9 billion. The vast majority of this money funds grants to scientists at universities, medical schools, hospitals and other research institutions throughout the country. At any given time, NIGMS supports approximately 4,500 research grants--approximately 10 percent of the grants funded by NIH as a whole. NIGMS also supports approximately 25 percent of the trainees who receive assistance from NIH.

In addition to its regular appropriation, NIGMS received \$505 million through the American Recovery and Reinvestment Act. It obligated 70 percent of these funds in Fiscal Year 2009 and will obligate the balance in Fiscal Year 2010. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16 Procedures of the Departmental Grant Appeals Board; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; miscellaneous program literature from Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant

and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Athey, 45 Center Drive MSC6200, Bethesda, Maryland 20892 Email: [athneys@nigms.nih.gov](mailto:athneys@nigms.nih.gov) Phone: (301) 496-7301 Fax: (301) 402-0224.

**Website Address:**

<http://www.nigms.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: NIGMS supports a wide array of grants supporting both research and training in areas described in paragraph 50. Examples of these grants are available in the Research Portfolio Online Reporting Tool, <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For an overview of NIGMS grant application and review, including funding policy, see

<http://www.nigms.nih.gov/Research/Application/GrantAppRev.html>.

**93.865 CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 448 and 487, as amended, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241; 42 U.S.C. 285g; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To conduct and support laboratory research, clinical trials, and studies with people that explore health processes. NICHD researchers examine growth and development, biologic and reproductive functions, behavior patterns, and population dynamics to protect and maintain the health of all people. To examine the impact of disabilities, diseases, and defects on the lives of individuals. With this information, the NICHD hopes to restore, increase, and maximize the capabilities of people affected by disease and injury. To sponsor training programs for scientists, doctors, and researchers to ensure that NICHD research can continue. By training these professionals in the latest research methods and technologies, the NICHD will be able to conduct its research and make health research progress until all children, adults, families, and populations enjoy good health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grant programs of the Public Health Service as stated in the terms and conditions on the application for the grant. National Research Service Awards: Awarded to individuals for full-time research training in specified behavioral and biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I

awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both nonprofit and for-profit, and individuals. National Research Service Award: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Predoctoral research training grants to institutions are also supported. Proposed study must result in biomedical or behavioral research training in a specified shortage area and which may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background or to extend their potential for research in health-related areas. Applicants must be citizens of the United States or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic nonprofit organizations may apply for the institutional NRS grant. SBIR: SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical or biobehavioral research.

**Credentials/Documentation:**

Applicants should submit the most recent revision of research grant application form to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, using either PHS Form 398 or electronic submission via [Grants.gov](http://grants.gov) as directed in the relevant NIH Funding Opportunity Announcement. NIH is in the process of converting to electronic submission of grant applications through [Grants.gov](http://grants.gov), using the SF-424 (Research and Related (R&R)) family of forms. Information on the transition plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/gide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process may be viewed at <http://era.nih.gov/ElectronicReceipt/>. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, and institution sponsorship should be documented in the application. Institutional Award: the applicant organization must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with

48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations, 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. National Research Service Award: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals must be sponsored by a domestic or foreign institution. SBIR/STTR: Same as for grants (above). NRSA applications, may be obtained at <http://www.grants.nih.gov/grants/funding/416/phs416.htm>; e-mail: [grantsinfo@nih.gov](mailto:grantsinfo@nih.gov). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7710, or electronically via Grants.gov. The SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitation includes application forms, which, upon completion, should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above.

**Award Procedure:**

Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD). National Research Service Awards: Applications are reviewed for scientific merit by an appropriate study section committee or by an institute review committee. If recommended for approval and a decision is made to make an award, a formal award notice will be sent to the applicant and sponsor. Institutional Awards are issued by the Eunice Kenney Shriver National Institute of Child Health and Human Development (NICHD). All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit and the commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 9 months: National Research Service Awards: From 6 to 9 months. SBIR/STTR: approximately 6 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal applications are accepted, except for small grants. National Research Service Awards: awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Awards: From 1 to 3 years. SBIR: Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: Each year, submitted progress reports for awarded grants are reviewed, and if satisfactory progress is demonstrated, a Notice of Grant Award is issued.

**Reports:**

Program reports are not applicable. The grantee institution is required to submit a SF 272 - Federal Cash Transactions Report - on a quarterly basis. The grantee institution is required to submit a progress report on an annual basis for each grant award. A Financial Status Report (FSR) is due either annually or at the end of the project period, depending on the type of grant. The grantee institution is required to submit a progress report on an annual basis for each grant award, which includes monitoring of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$898,000,000; FY 09 est \$917,896,000; FY 10 est \$930,801,000 - (Total Grants): FY 08 \$861,612,000; FY 09 est \$881,543,000; FY 10 \$894,084,000. SBIR/STTR: FY 08 \$28,728,000; FY 09 est \$29,771,000; FY 10 est \$29,670,000.

**Range and Average of Financial Assistance:**

For research project grants, fiscal year 2009, range is \$50,000 to \$5,000,000; average is \$394,106. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of \$39,360. The sponsoring institution will be provided, on application, with an allowance of up to \$7,850 per year to help defray the cost of training. No dependency allowances. SBIR: Average Phase I awards are for approximately \$100,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 1,705 competing and noncompeting research project grants were awarded. In FY 08, 838 competing and noncompeting National Research Service Award (NRSA) trainees and fellows were funded. SBIR/STTR: In FY 08, 94 SBIR/STTR awards were made. Fiscal Year 2009: Estimated competing and noncompeting research project grants to be awarded are 1,669 in FY 09. Estimated NRSA trainees are 830 in FY 09. The estimates are 92 in FY 09. Fiscal Year 2010: Estimated competing and noncompeting research project grants to be awarded are 1,667 in FY 10. Estimated NRSA trainees are 832 in FY 10. The estimates are 93 in FY 10.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Grants Policy Statement, (Rev.) March 1, 2001, available on the NIH website at [http://grants.nih.gov/grants/policy/nihgps\\_2001/](http://grants.nih.gov/grants/policy/nihgps_2001/); NIH Guide to Grants and Contracts, available on the NIH website at <http://grants.nih.gov/grants/guide/>. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene G. Hayunga, 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: [ehayunga@mail.nih.gov](mailto:ehayunga@mail.nih.gov) Phone: (301) 496-6856.

**Website Address:**

<http://www.nichd.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Incidence of neural tube defects in hamsters reduced by folate supplementation prior to and during pregnancy; chromosome 15 linked to a subtype of dyslexia; limb development studies attempt to obtain a better understanding of how cells in the developing extremity are determined to later become muscle, cartilage, bone or connective tissue; a protein of fetal origin present in fetal urine may trigger the biochemical events leading to the onset of labor. SBIR: Motion Simulation Effectiveness of Colicky Infants; Research on an Auditory 'Mobile' for Infants; Design and Construction of Neonatal Isolette for 31P NMR; Development of Non-Sexist Toys for Children. Fiscal Year 2009: The NICHD, the NIH Office of Dietary Supplements, and the Bill and Melinda Gates Foundation, funded meritorious applications that have focused research on the prevention and treatment of iron deficiency in areas of endemic infection, particularly malaria. Fiscal Year 2010: The NICHD, in collaboration with NHLBI, plans to fund applications for cooperative agreements with a research emphasis in addressing the growing public-health burden of childhood overweight and obesity and based on the Working Groups recommendations, this initiative proposes taking bold action to dramatically improve the evidence-base for pediatric overweight and obesity prevention and treatment.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of the significance of the proposed research; approach; innovation; investigators; and environment. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.866 AGING RESEARCH**

Aging

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part C, Section 444,445,445 A-F, Public Law 99-158, 42 U.S.C 285; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title IV, Part F, Section 487, Public Law 100-607, 42 U.S.C 288; Public Health Service Act, Title III, Part A, Section 301, Public Law 78-410, 42 U.S.C 241.

**OBJECTIVES:**

To encourage biomedical, social, and behavioral research and research training directed toward greater understanding of the aging process and the diseases, special problems, and needs of people as they age. The National Institute on Aging has established programs to pursue these goals. The Division of Aging Biology emphasizes understanding the basic biological processes of aging. The Division of Geriatrics and Clinical Gerontology supports research to improve the abilities of health care practitioners to respond to the diseases and other clinical problems of older people. The Division of Behavioral and Social Research supports research that will lead to greater understanding of the social, cultural, economic and psychological factors that affect both the process of growing old and the place of older people in society. The Division of Neuroscience fosters research concerned with the age-related changes in the nervous system as well as the related sensory, perceptual, and cognitive processes associated with aging and has a special emphasis on Alzheimer's disease. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project in accordance with an approved budget, plus an appropriate amount for facilities and administrative costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. National Research Service Awards (NRSA) (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Regulations are published in the Code of Federal Regulations and 42 CFR, Part 66. SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Grants: Universities, colleges, medical, dental and nursing schools, schools of

public health, laboratories, hospitals, State and local health departments, other public or private institutions (both for-profit and nonprofit), and individuals.

**National Research Service Award:** Individual NRSAs may be made for postdoctoral training to applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree) or for predoctoral training to applicants registered for doctoral research training. Institutional NRSAs may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have a baccalaureate degree. Applicants must be citizens of the United States or admitted for permanent residency. Individual NRSA awardees must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application other than a fellowship must be assessed for scientific merit by a scientific review group and receive approval from a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

The grants application submission process is currently in transition from a paper-based to an electronic format. A current transition-to-electronic-submission timeline for all grant mechanisms in the National Institutes of Health (NIH) Extramural Research Program timeline can be obtained from this site:

<http://grants1.nih.gov/grants/funding/submissionschedule.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. For grant programs still requiring submission of paper applications, the standard application forms, as furnished by the Public Health Service (PHS) and required by 45 CFR Part 92 for State and local governments, must be used. Consultation from institute staff is available for all grant programs. Applicants are encouraged to visit the Internet Web sites of the 27 institutes and centers at the NIH to obtain contact information for program staff. Applicants for multi-project awards are strongly encouraged to consult program staff before applying. Applicants may obtain forms and instructions for application preparation and submission at the following Internet Web site: <http://grants.nih.gov/grants/forms.htm> When completed these applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD. Applications are reviewed for scientific merit, evaluation of applicant qualifications, adequacy of the research environment, and significance of the proposed problem to be studied. The application form and instructions for the preparation and submission of applications to the National Research Service Awards Research Training Grants and Fellowships (NRSA) Program, PHS Form 416-1, can be obtained from the following URL (<http://grants.nih.gov/grants/funding/416/phs416.htm>). Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a Federal, public or nonprofit institution having

staff and facilities appropriate to the proposed research training program. Information concerning current areas of science being supported by those institutes participating in the NRSA Program at the NIH is available on the individual institute Web sites. A complete list of institutes at NIH is available at: <http://www.nih.gov/icd>. In addition, information about each institute's NRSA research topics and information about the NRSA Program can be obtained from the Division of Extramural Outreach and Information Resources, (see address above). The NRSA program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. The annual NIH Small Business Innovation Research (SBIR)-Small Business Technology Transfer (STTR) Omnibus Solicitation and SBIR-STTR Contract Solicitation may be obtained electronically by accessing the following URL: <http://grants1.nih.gov/grants/funding/sbir.htm>. The solicitations include application preparation and submission guidelines and instructions, information about review considerations, and Internet hyperlinks to the SBIR-STTR application and/or contract proposal forms. Applications to NIH's SBIR-STTR Programs must be submitted electronically through the U.S. Federal Government's Internet Web site, Grants.gov: [www.grants.gov](http://www.grants.gov). Submission of SBIR-STTR applications through Grants.gov requires pre-registration, which typically takes 2-4 weeks to complete. Information about registration to submit applications through Grants.gov can be found at: <http://era.nih.gov/ElectronicReceipt/preparing.htm>. Applicants are encouraged to read and refer to the extensive information on electronic submission of grant applications on the NIH Electronic Submission of Grants Applications Internet Web site at: <http://era.nih.gov/ElectronicReceipt>.

**Award Procedure:**

Grants and Institutional NRSAs: Each application receives an initial scientific review by non-NIH scientists and a secondary review by the National Advisory Council on Aging. Individual NRSAs do not receive a secondary review by the National Advisory Council on Aging. Awards are issued by the NIA to the grantee institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 30 to 60 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute.

**Renewals:**

> 180 Days. Grants: Renewal applications are accepted for most programs. Most individual NIH postdoctoral fellowship support is for no more than 3 years. Most individual predoctoral support is for no more than five years. Exploratory/developmental grant awards and Small Grant awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. None. This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

Grant Awards are usually made annually and usually with project periods not to exceed 5 years in length. National Research Service Awards: Institutional awards may be made for up to 5 years, and individual awards may be made for as many as 3 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0843-0-1-552.

**Obligations:**

(Salaries) FY 08 \$829,825,000; FY 09 est \$828,635,000; FY 10 est \$829,936,000. (Salaries) FY 08 \$0; FY 09 est \$149,279,326; FY 10 est \$124,024,674

**Range and Average of Financial Assistance:**

Awards vary in range depending on the particular activity codes. Individual fellowships range from \$38,000 to \$51,000 and average about \$42,000. Research grants have much larger ranges - from \$75,000 to several million dollars. Average costs of research grants are around \$400,000. All costs are shown on a single year basis. Awards may be for up to five years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin A. Barr, Division of Extramural Activities, National Institute on Aging, 7201 Wisconsin Avenue, Room 2C218, Bethesda, Maryland 20892 Email: rb42h@nih.gov Phone: (301) 496-9322 Fax: (301) 402-2945.

**Website Address:**

<http://www.nia.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: 1) Studies of the cellular processes that may lead to impaired immune function in older people; (2) longitudinal studies of health, functional status, and health care expenditures in older Americans; (3) studies to identify "longevity assurance" genes in various animal models; (4) studies to identify genes associated with Alzheimer's disease, Parkinson's disease, and other neurological diseases and conditions; (5) a major multi-center clinical studies of treatments of cognitive impairment and behavioral disorders associated with Alzheimer's disease; (6) a study that is developing improved diagnostic methods for the detection of Alzheimer's disease; (7) studies of the consequences of natural and man-made disasters on vulnerable groups; (8) a multi-site study of the biological and psychosocial aspects of menopause and subsequent health status of study participants; (9) a program of interdisciplinary care planning, family support, and activity for patients with moderate dementia; (10) studies of the epidemiology, pathophysiology, and clinical aspects of anemia in the elderly; (11) a community-based, epidemiological study for evaluating health disparities in socioeconomically and racially diverse populations in a major metropolitan area. Fiscal Year 2009: 1) Studies of the cellular processes that may lead to impaired immune function in older people; (2) longitudinal studies of health, functional status, and health care expenditures in older Americans; (3) studies to identify "longevity assurance" genes in various animal models; (4) studies to identify genes associated with Alzheimer's disease, Parkinson's disease, and other neurological diseases and conditions; (5) a major multi-center clinical studies of treatments of cognitive impairment and behavioral disorders associated with Alzheimer's disease; (6) a study that is developing improved diagnostic methods for the detection of Alzheimer's disease; (7) studies of the consequences of natural and man-made disasters on vulnerable groups; (8) a multi-site study of the biological and psychosocial aspects of menopause and subsequent health status of study participants; (9) a program of interdisciplinary care planning, family support, and activity for patients with moderate dementia; (10) studies of the epidemiology, pathophysiology, and clinical aspects of anemia in the elderly; (11) a community-based, epidemiological study for evaluating health disparities in socioeconomically and racially diverse populations in a major metropolitan area. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the

competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.867 VISION RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To support eye and vision research projects that address the leading causes of blindness and impaired vision in the U.S. These include retinal diseases; corneal diseases; cataract; glaucoma and optic neuropathies; strabismus; amblyopia; and low vision and blindness rehabilitation. To increase understanding of the normal development and function of the visual system in order to better prevent, diagnose, and treat sight-threatening conditions; and, to enhance the rehabilitation, training, and quality of life of individuals who are partially-sighted or blind. To support a broad program of basic vision research through grants and cooperative agreements; to encourage high quality clinical research, including clinical trials, other epidemiological studies, and health services research; to encourage research training and career development in the sciences related to vision; and to sponsor scientific workshops in high priority research areas to encourage exchange of information among scientists. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements provide funds for salaries, consultant costs, equipment, supplies, travel, patient costs, alterations and renovations, other expenses, and consortium/contractual costs. The scientists and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. The Conference Cooperative Agreement supports scientific meetings and workshops in high priority research areas to encourage exchange of information among scientists. The Center Core Grant is intended to enhance an institution's environment and capability to conduct vision research, to facilitate collaborative studies of the visual system and its disorders, and to attract scientists of diverse disciplines to research on the visual system. Career development awards include the Mentored Clinical Scientist Development Award, Mentored Patient-Oriented Research Career Development Award, Institutional Clinical Scientist Development Program, and the Mid-career Investigator Award in Patient-Oriented Research. The Clinical Study Planning Grant is designed to support the development of an applied clinical research plan. NEI Research Grants for Secondary Data Analysis provide limited support for meritorious research projects that involve secondary analysis of research data generated from clinical trials, population research and other applied clinical vision research projects supported by the Institute. Bioengineering Research Grants (BRG) support basic bioengineering research whose outcomes are likely to advance health or health-related vision research. BRGs may propose to apply basic bioengineering design-directed or hypothesis-drive research to an important vision research area. Bioengineering Research Partnership grants support multidisciplinary research teams applying an integrative, systems approach to develop knowledge and/or methods to prevent, detect, diagnose, or treat diseases of the eye and visual system. NEI Translational Research Program on Therapy for Visual Disorders grants provide support to collaborative, multidisciplinary research focused on the development of novel therapies to restore or prevent the loss of function due to visual diseases and disorders. Small Business Innovation Research Phase I grants are awarded to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer Research, Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. National Research Service Awards (NRSAs), both individual and institutional, support training in vision research. Some individuals who receive an NRSA may be obligated upon termination of the award to comply with certain service and payback provisions. The NIH Extramural Loan Repayment Programs provides payback of a portion of eligible student loan debt of qualified health professionals who agree to conduct clinical research.

#### **Applicant Eligibility:**

Public/State-controlled institutions of higher education, private institutions of higher education, Hispanic-serving institutions, Historically Black Colleges and Universities, tribally-controlled colleges and universities, Alaska Native- and Native Hawaiian-serving Institutions, nonprofits with or without 501(c)(3) IRS status, Small Businesses, for-profit organizations, federal institutions, and State and local units of government are eligible to make application for research grants, cooperative agreements, and career development awards. Foreign institutions may apply for research grants only. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. Candidates for Mentored Clinical Scientist Development Awards are restricted to those holding health professional degrees in the clinical sciences (M.D., O.D., D.D.S., D.V.M., or equivalent). NRSAs are provided for predoctoral and postdoctoral research training. Individual NRSAs may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., O.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRSAs may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All awardees must be citizens of the United States, or have been admitted to the U.S. for permanent residence prior to award. Individual NRSA awardees must be nominated and sponsored by a Federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and for-profit

organizations, and State and local governments may not apply for an institutional NRSA. Refer to the NIH Program Guidelines on NRSAs for further information. The Small Business Innovation grants: SBIRs can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have not more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of the award and during the conduct of the proposed project. The research during both Phase I and Phase II must be performed in the U.S. or its possessions. Only Phase I awardees are eligible to receive Phase II support. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. Individuals applying for the NIH Loan Repayment Programs must be engaged in patient oriented research and be trained in a medical subspecialty as defined under Section 206 of Public Law 106-505. These individuals must be U.S. citizens, U.S. citizen nationals, or lawfully admitted for permanent residence in the U.S.; have a student loan debt which equals or exceeds 20 percent of their university compensation; have no Federal judgment lien against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted during the length of their Loan Repayment Program service obligation.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

(1) Research grants and cooperative agreements: Applications for research involving the use of human subjects must include documentation that all key personnel have received training in human subject protection. Applicants may provide additional documentation to establish the scientific and technical merit and the programmatic relevance of the application. (2) Individual NRSA applications: The applicant's academic record, research experience, institutional sponsorship, and the proposed area and plan of training must be included. (3) Institutional NRSA application: The applicant institution must discuss the objectives, methodology and resources for the research training program; the qualifications and experience of staff; the criteria to be used in selecting individuals for an appointment; and a budget and justification for the grant funds requested. Costs will be determined in accordance with the appropriate OMB Circular or with HHS Regulations 45 CFR, Part 74, Subpart Q. (4) For SBIR and STTR grants, the small business concern must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Loan Repayment Program applicants must provide certification of loan status, loan data verification, and an institutional supporting statement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants for core grants, clinical study planning grants, cooperative agreements, clinical vision research development awards, small research grants for data analyses, and bioengineering research partnerships should seek preapplication coordination through contact with the National Eye Institute staff. All staff may be contacted at (301) 451-2020. Applicants planning to submit a grant application requesting \$500,000 or more in direct costs for any year are required to discuss their eligibility with the NEI staff, at (301) 451-2020. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Prior to making formal application to the NRSA programs, individual NRSA applicants

must be nominated and sponsored by a federal, public, or nonprofit institution having staff and facilities appropriate to the proposed research program. Information regarding the application process, access to forms, and information regarding the <http://www.Grants.Gov> site are available on the NEI web site at <http://www.nei.nih.gov>. Supplemental instructions for preparing applications for Core Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, and cooperative agreements for clinical studies or conferences are available on the internet at <http://www.nei.nih.gov/SBIR> and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. Application forms and information concerning the NRSA program are available from the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, and should be submitted to the same address. National Eye Institute guidelines and supplemental instructions for preparing Institutional NRSA applications are available on the World Wide Web at <http://www.nei.nih.gov/> This program is subject to the provisions of 45 CFR 74 and 92 and OMB Circular No. A-110 for nonprofit organizations, as applicable.

**Award Procedure:**

Applications are reviewed initially for scientific and technical merit. A second level review of the programmatic relevance of applications is provided by the National Advisory Eye Council. Second level review of NRSA fellowship applications is performed by a committee of senior staff of the National Eye Institute. Final approval is made by the Director, National Eye Institute. Formal award notices are transmitted to the appropriate institutional official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six to nine months for Research Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, cooperative clinical studies or conferences, Core Grants, and NRSA Institutional applications; from six to seven months for NRSA individual applications; and for SBIR, about eight months.

**Appeals:**

A principal investigator may communicate to the staff of the National Eye Institute any concerns regarding the substantive or procedural aspects of the review of an application.

**Renewals:**

Renewals of research grant or cooperative agreement support are by competitive application and review. Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, and NEI Research Grants for Secondary Data Analysis are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to five years for research grants and cooperative agreements, Mentored Clinical Scientist Development Awards, Core Grants, and Institutional NRSAs. Up to three years for Academic Research Enhancement Awards and NRSA Individual postdoctoral awards. Clinical Study Planning Grants: one year. Awards to individuals made through an institutional NRSA may total eight years (five years predoctoral and an additional three years postdoctoral). SBIR: Normally, Phase I awards are for six months; normally, Phase II awards are for two years. STTR: Normally, Phase I awards are for one year; normally, Phase II awards are for two years. Loan Repayment Program Awards are for two years with the opportunity for renewal. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for three years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0887-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$537,321,000; FY 09 est \$550,313,000; FY 10 est \$556,159,000

**Range and Average of Financial Assistance:**

Grants and Cooperative agreements: \$26,298 to \$5,057,448; \$392,655. NRSA (Institutional): \$26,298 to \$560,041; \$217,314. NRSA (Individual): \$14,476 to \$62,002; \$45,355. SBIR Phase I: \$99,231 to \$570,438; \$130,023. SBIR Phase II: \$71,484 to \$953,134; \$431,300. STTR Phase I: \$105,906 to \$310,645; \$188,551. STTR Phase II: \$310,719 to \$408,108; \$346,016.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program supported approximately, 1,290 research grants, including 51 SBIR and STTR awards and 269 NRSA positions. The program received approximately 946 competing research grant applications, of which approximately 279 competing applications were funded, with an estimated success rate of 29.5 percent. Fiscal Year 2009: The program anticipates supporting 1,270 research grants, including 49 SBIR and STTR awards and 269 NRSA positions. Fiscal Year 2010: The program anticipates supporting 1,287 research grants. A report by the NEI, "National Plan for Eye and Vision Research" provides a comprehensive summary of the program's goals, objectives, accomplishments, and program and management policies, as well as statistical information on the incidence and prevalence of visual disorders. Copies of this document are available on the Internet at <http://www.nei.nih.gov>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92. PHS Grants Policy Statement DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994, and Addendum effective February 15, 1995; "NIH Guide for Grants and Contacts and Supplements." National Eye Institute Guidelines are available on the internet at <http://www.nei.nih.gov> Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen S. Liberman, Ph.D. National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-1900. Grants Management Officer Contact: Mr. William W. Darby, Chief, Grants Management Branch, National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-1900. Telephone: (301) 451-2020. Use the same numbers for FTS. The National Eye Institute encourages applicants to visit its internet site at [www.nei.nih.gov/](http://www.nei.nih.gov/). Among the many recent additions to the site is an expanded "Research Funding" section which contains all National Eye Institute application guidelines and internet links to relevant NIH information.  
, Bethesda, Maryland 20892-1300 Email: [esl@nei.nih.gov](mailto:esl@nei.nih.gov) Phone: 3014512020 Fax: 3014020528

**Website Address:**

<http://www.nei.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Retinal Diseases: Projects include studies of the development, molecular and cell biology, molecular genetics, and metabolism of the photoreceptor cells and the underlying retinal pigment epithelium; the mechanism of the retina's response to light and the initial processing of information that is transmitted to the visual centers of the brain; the pathogenesis of diabetic retinopathy; the fundamental causes of and etiologic factors responsible for uveitis; the molecular genetic mechanisms underlying retinoblastoma and ocular melanoma; the genetics of retinitis pigmentosa, age-related macular degeneration, and related disorders; and the cellular and molecular events that accompany retinal detachment. (2) Corneal Diseases: Projects include studies of the regulation of genes that express proteins unique to corneal tissue; the details of the macromolecular and supramolecular assembly of extracellular corneal matrices; the characterization of cytokines and cell surface receptors which interact with corneal cells, pathogens, and blood borne cells; the pathogenesis of corneal infections; the mechanisms that maintain corneal hydration and transparency; the physiologic basis for immune privilege in the cornea; corneal development, growth, and wound healing; the biomechanics of the cornea; the characterization of genes responsible for corneal dystrophy; and, the correction of refractive errors. (3) Lens and Cataract: Projects include studies of lens development, characterization of changes in lens physiology and biochemistry related to aging and cataract formation, the identification of those molecular components and physiological processes required to maintain transparency, studies to identify what controls lens shape and its accommodative dynamics, the molecular and cellular characterization of the control of lens cell division and differentiation; genetic studies to map and identify cataract genes, studies to describe the structure and function of lens crystallins, and studies to identify those insults that lead to cataract formation such as oxidative stress. (4) Glaucoma and Optic Neuropathies: Projects include studies of the genetics of glaucoma, the cellular and molecular nature of the extracellular matrix proteins of the trabecular meshwork; the basic mechanisms that control aqueous humor dynamics; the design of better pharmacological agents to modulate aqueous humor secretion and outflow, and characterization of mechanisms of optic nerve damage and the cell biology of retinal ganglion cell death. (5) Strabismus, Amblyopia, and Visual Processing: Projects include studies of the function of the neural pathways from the eye to the brain, the central processing of visual information, visual perception, optical properties of the eye, functioning of the pupil, and control of the ocular muscles; congenital, developmental, and degenerative abnormalities of the visual sensorimotor system, particularly strabismus and amblyopia. Additional emphasis is placed on and support provided for research on optic neuropathies, eye movement disorders, and the development of myopia. (6) Low Vision and Blindness Rehabilitation: Projects include studies aimed at improving the methods of specifying, measuring and categorizing loss of visual function; devising strategies to help visually impaired people maximize the use of their residual vision; systematically evaluating new and existing visual aids; developing an adequate epidemiological base for blindness, partial loss of sight and visual anomalies; and studying the optical, electronic, and other rehabilitative needs of people with visual impairments. (7) Collaborative Clinical Research: Projects include a number of clinical trials and other epidemiological research projects including single-center randomized clinical trials, multicenter randomized clinical trials, natural history studies, risk factor analyses using case-control and prospective cohort methods, and health services research. These projects have the goal of improving the understanding, the prevention, and the management of visual system diseases and disorders including, for example, diabetic retinopathy, age-related macular degeneration, corneal diseases, cataract, glaucoma, and optic nerve atrophy, the leading causes of blindness in the United States. Fiscal Year 2009: No Current Data Available  
Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in the initial scientific and technical review of most applications include an assessment of significance, approach, innovation, investigator training and experience, and the scientific environment. In addition

to these criteria, in accordance with NIH policy, all applications will also be reviewed with respect to the following: the adequacy of plans to include both genders, minorities, and their subgroups as appropriate for the scientific goals of the research; the reasonableness of the proposed budget and duration in relation to the proposed research; and, the adequacy of the proposed protection for humans, animals or the environment, to the extent they may be adversely affected by the project proposed in the application. A second level review of the programmatic relevance of most applications is provided by the National Advisory Eye Council. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.879 MEDICAL LIBRARY ASSISTANCE**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title IV, Part D, Subpart 2, Section 472-476, as amended by National Institutes of Health Revitalization Act of 1993, Public Law 103-43, as amended by Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title III, Part A, Section 301.

#### **OBJECTIVES:**

To improve health information services by providing funds to train professional personnel; to conduct research in biomedical informatics, bioinformatics and related computer and information sciences; to facilitate management of electronic health science information; to plan, develop and test feasibility of advanced information tools; to prepare certain kinds of biomedical publications; to advance biocomputing and bioinformatics through participation in Federal initiatives relating to biomedical informatics, bioinformatics and biomedical computing; to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions, through Small Business Research Innovation (SBIR) and Small Business Technology Transfer (STTR) grants.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

**RESEARCH GRANT PROGRAMS:** Research Grants are available for fundamental and applied research in biomedical informatics and bioinformatics. Areas of research interest include: representation, organization and retrieval of biomedical and biological knowledge, data and images; enhancement of human intellectual capacities through virtual reality, dynamic modeling, artificial intelligence, and machine learning; medical decision-making; linguistic analyses for natural language processing and understanding; informatics topics relevant to public health and informatics for disaster management. Research Project Grants (R01) are available for rigorous scientific research studies and experiments. Exploratory/Developmental Grants (R21) support early, conceptual work and feasibility tests. Other research grants include Informatics Conference Grants and a number of NIH-wide grant programs on high priority

topics such as health literacy. Further information on research grants is available at <http://www.nlm.nih.gov/ep/Grants.html#research>. **TRAINING PROGRAMS:** NLM's University Biomedical Informatics Research Training Programs promote the career training of talented persons who seek research careers in biomedical informatics, bioinformatics, clinical translational informatics, and public health informatics. A competition for these institution-based training grants is announced every five years. University-based training support may be at the pre- or post-doctoral level. Training sites recruit and choose their trainees, and are expected to have well established computer facilities, strong informatics research and education programs, experienced faculty and staff committed to research in the field of biomedical computing and/or bioinformatics, and available courses or experience in computer science, information science, and cognitive sciences. Institutional training grants provide trainee stipends, tuition and fees, travel, and certain institutional support costs. Further information on training grants and fellowships grants is available at <http://www.nlm.nih.gov/ep/Grants.html#training>. **CAREER DEVELOPMENT PROGRAMS:** NLM offers an early career development award to help informatics trainees make the transition to a successful independent research career. NIH Pathway to Independence Career Development awards are for investigators who are making the transition to their first research positions. These grants can last up to 5 years. They include a mentored period, followed by an unmentored period, and provide both salary and a research fund. Research supplement awards are also offered to promote diversity in health-related informatics research, and to promote re-entry into informatics careers. Diversity and re-entry awards are issued as supplements to existing research grants funded by NLM. NLM also participates in the NIH Loan Repayment Award (LRP) program. The LRP awards are available to those who qualify and will commit to two years of clinical informatics research. Further information on career development grants is available at <http://www.nlm.nih.gov/ep/Grants.html#career>. **RESOURCE GRANT PROGRAMS:** Applied Informatics grants (G08) support the development and deployment of knowledge management tools, resources, and services that address identified, unmet needs for a broad audience. In addition, NLM offers Grants for Scholarly Works to support preparation of books in the history and philosophy of biomedicine, bioethics, and public policy areas of importance to health professionals and biomedical scientists. The purpose, restrictions, funding periods and award limits vary for these grant programs. Applied Informatics grants provide support for direct costs only. Knowledge grants provide \$150,000 per year for up to 3 years. Scholarly Works grants are typically up to \$50,000 annually for one, two or three years. Further information on resource grants is available at <http://www.nlm.nih.gov/ep/Grants.html#resource>. **SMALL BUSINESS RESEARCH & DEVELOPMENT PROGRAMS:** Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) grants are made to U.S. small businesses that seek to undertake informatics research and development leading to commercialization. The STTR program requires a small business applicant organization to formally collaborate with a research institution in Phase I and Phase II. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Further information on SBIR/STTR grants is available at <http://www.nlm.nih.gov/ep/Grants.html#small>.

#### **Applicant Eligibility:**

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the project director/principal investigator (PD/PI) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. See Beneficiary Eligibility below for further details.

#### **Beneficiary Eligibility:**

Research Grants are available to public or private, domestic or foreign, for profit or not-for-profit institutions or organizations with research capabilities in biomedical informatics, bioinformatics, computer sciences, information sciences and related disciplines. Training Grants may be made to nonfederal public and nonprofit private institutions. Fellowships may be awarded to individuals at the pre-doctoral level. With the exception of NIH Pathway to Independence awards, trainees or fellows must be citizens or non-citizen nationals of the United States or have been lawfully admitted to the United States for permanent residence. Resource grants (IAIMS, Knowledge Management, Scholarly Works) are open to any U.S. public or private nonprofit health-related institution or organization. For Scholarly Works grants, an appropriate public or private nonprofit institution of higher education may apply in behalf of the principal investigator on the project, or an individual unaffiliated with an academic organization may apply directly. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Credentials/Documentation:**

Cost allowability will be determined in accordance with OMB Circular A-87 for State, Local, and Indian Tribal Governments, OMB Circular A-21 for Educational Institutions and for For-profit organizations, costs will be determined in accordance with 48 CFR Subpart 31.2 Federal Acquisition Regulation (FAR). Nonprofit institutions cost principles are outlined under OMB Circular A-122 and for Hospitals, 45 CFR Part 74, Appendix E. These cost principles are codified under 45 CFR 74.27 and 92.22. Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are outlined in OMB Circular A-110. Documentation providing NIH grants policy and guidance can be found at <http://grants.nih.gov/grants/policy/policy.htm>. The Division of Extramural Programs, NLM provides program specific grant information at <http://www.nlm.nih.gov/ep>. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NIH is in the process of moving to electronic submission of applications for all of its grant programs. Only electronic applications are accepted for all types of Research Grants, SBIR and STTR grants, and Resource Grants. Electronic grant submission of the SF424 (R&R) form is via <http://www.grants.gov>. For instructions on submitting grants electronically, see <http://era.nih.gov/ElectronicReceipt/>. A timeline of transitions to electronic submission for each grant program is available at <http://www.nlm.nih.gov/ep/Deadlines.html>. For all other grant programs, a paper form is submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Form PHS-398 is used for NIH Pathway to Independence Grants and Biomedical Resource Grants. Forms and instructions for PHS-398 can be downloaded at <http://grants1.nih.gov/grants/funding/phs398/phs398.html>. For Informationist Fellowships, submit Form PHS-416-1, with forms and instructions downloadable at <http://grants1.nih.gov/grants/funding/416/phs416.htm>. These programs are subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Updates on NLM application deadlines and links to available forms can also be found at <http://www.nlm.nih.gov/ep/>.

#### **Award Procedure:**

Applications are evaluated for merit by a committee of scientific experts and for program relevance by the Board of Regents (BOR) of the National Library of Medicine (NLM). If favorably recommended, the application is considered for funding. An award notice is prepared when it is determined that a grant is to be paid. This notice is sent to the grantee with a letter from the program officer when special provisions are necessary. All accepted SBIR/STTR applications

are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. From 9-10 months after the application deadline.

#### **Appeals:**

NIH policy allows a principal investigator (PI) to appeal the outcome of a review if procedural errors or factual errors entered into the review of the application. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>. However, differences of scientific opinion that often occur between investigators and reviewers may not be contested through these procedures. In addition, communications from investigators consisting of additional information that was not available to the reviewers are not considered to be appeals.

#### **Renewals:**

> 180 Days. Competing renewal applications follow same review procedures and deadlines as new applications; dates for submission are at <http://www.nlm.nih.gov/ep/Deadlines.html>. NIH also permits the resubmission of an application that has been revised following merit review. Deadlines for resubmissions are listed with other deadlines. Applicants should consult the program announcement to find out if renewals are allowed for that grant program.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The length of a grant award varies by the type of grant. R01 research grants generally last three or four years. Resource grants, Small Pilot and Exploratory/Developmental grants, Fellowships and NIH Pathway to Independence awards have defined maximum periods that are provided in the funding opportunity announcement. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

#### **Reports:**

No program reports are required. No cash reports are required. Annual grant progress reports and Financial Status Reports must be submitted as required. At the end of a grant, the awardee must file a final progress report, final Financial Status Report and final statement of invention. Annual grant progress reports and Financial Status Reports must be submitted as required. At the end of a grant, the awardee must file a final progress report, final Financial Status Report and final statement of invention. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 74 Subpart C Section 74.26(d) for-profit organizations that expend more than \$500,000 in DHHS awards in a year shall have an audit of the DHHS awards in accordance with the "Government Auditing Standards" (Yellow Book) or an audit that meets the requirements of OMB Circular A-133. Award recipients that do not meet the \$500,000 threshold are exempt from Federal audit requirements for that year, except as noted in Circular A-133. In addition, grants and cooperative agreements are subject to review or audit by appropriate

officials of the Federal (funding) agency, pass-through entity and the Government Accountability Office (GAO). Foreign organizations must use the for-profit audit requirements for DHHS supported awards. The NIH/DHHS Loan Repayment Program (LRP) is not subject to Federal auditing requirements. For OMB policy statements on grants, see [http://www.whitehouse.gov/omb/grants/grants\\_docs.html](http://www.whitehouse.gov/omb/grants/grants_docs.html). Government Auditing Standards is available on the GAO Web site at <http://www.gao.gov/govaud/ybk01.htm>.

**Records:**

Financial and programmatic grant records must be retained for 3 years from the day on which the grantee submits the last (annual) Financial Status Report (FSR). Streamlined Noncompeting Application Process (SNAP) awardees beginning date for record retention purposes is the date of the FSR submission for the entire competitive segment of the grant.

**Account Identification:**

75-0807-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$65,294,000; FY 09 est \$66,070,000; FY 10 est \$66,070,000

**Range and Average of Financial Assistance:**

\$7,000 to \$1,561,223; \$333,452 - total average cost for Basic Research Grant (R01); \$143,773 - total average cost for Applied Informatics Grant (G08); \$70,692 - total average cost for Scholarly Works Grant (G13).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 206 new and continuing awards were made for projects in biomedical informatics, bioinformatics, informatics training and health information management. Fiscal Year 2009: It is anticipated that approximately 188 awards will be issued in fiscal year 2009. Fiscal Year 2010: It is anticipated that approximately 188 awards will be issued in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Library of Medicine Grant Programs are awarded under the Public Health Service Act and the Medical Library Assistance Act. Grants and funding awards are made available under the authority of the Acts as codified under 45 CFR 74 (Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments, and Indian Tribal Governments and 45 CFR 92 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments); the NIH Grants Policy Statement is available to grantees as a single document governing the NIH/DHHS policy requirements and terms and conditions of NIH/DHHS grant awards. Additional regulations and guidelines are provided in the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR - R43, R44) Grant and Cooperative Agreement Applications including the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR - R41, R42) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Extramural Programs, National Library of Medicine Extramural Programs, National Library of Medicine, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20894. Telephone: (301) 496-4621. Program Contacts: Telephone: (301) 594-4882. Grants Management Contact: Grants Management Officer: Telephone: (301) 496-4221. Grant Review Contact: Scientific Review Administrator. Telephone: (301) 496-4253. Use the same numbers for FTS. Website: <http://www.nlm.nih.gov/ep/>, Bethesda, Maryland 20892 Phone: (301) 496-4621

**Website Address:**

<http://www.nlm.nih.gov/ep/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Lists of awards made since 1997, in each active grant program, are available on the agency's web site at <http://www.nlm.nih.gov/ep/funded.html>. Fiscal Year 2009: Lists of awards made since 1997, in each active grant program, are available on the agency's web site at <http://www.nlm.nih.gov/ep/funded.html>. Fiscal Year 2010: Lists of awards made since 1997, in each active grant program, are available on the agency's web site at <http://www.nlm.nih.gov/ep/funded.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

The standard NIH review criteria, significance, approach, innovation, investigator, environment are used as the basis of merit review. For NLM resource grants, these include considerations as to relevance to program objectives; impact on the management and transmission of biomedical knowledge; institutional readiness and resources available to project; expertise of project director and key personnel; scientific or technical merit of project; sustainability of what is deployed, and appropriateness of budget. Comparative priorities on the above criteria are based on collective judgment of peer reviewers. The following criteria are used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the scientific, technical, or technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications are reviewed based upon the similar criteria, and on the degree to which the Phase I objectives were met and feasibility demonstrated General Services Administration Office of Governmentwide Policy Office of Acquisition Policy Regulatory and Federal Assistance Publication Division (MVA).

**93.884 GRANTS FOR TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY**

(Primary Care Training)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, 42 U.S.C. 293k as amended.

**OBJECTIVES:**

Grants are awarded for the following purposes: (1) Residency Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to residents in such programs) in approved residency programs in family medicine, general internal medicine and/or general pediatrics; (2) Physician Faculty Development in Primary Care-- to plan, develop, and operate (including provision of financial assistance to trainees in such programs) programs for the training of physicians who teach or plan to teach in family medicine (including geriatrics), general internal medicine and/or general pediatrics training programs; (3) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to students in such programs) in predoctoral programs in family medicine, general internal medicine and/or general pediatrics; (4) Academic Administrative Units in Primary Care-- to meet the costs of projects to establish, maintain or improve academic administrative units (which may be departments, divisions, or other units) to provide clinical instruction in family medicine, general internal medicine and/or general pediatrics; (5) Physician Assistant Training in Primary Care-- to meet the costs of projects to plan, develop, and operate or maintain programs for the training of physician assistants and for the training of individuals who will teach in programs to provide training of physician assistants; (6) Residency Training in General and Pediatric Dentistry -- to meet the costs of planning, developing, or operating programs and to provide financial assistance to residents in such programs as general dentistry or pediatric dentistry in dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry .

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services.

**Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care; Physician Faculty Development in Primary Care; Physician Assistant Training in Primary Care; Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Predoctoral Training in Primary Care; Academic Administrative Units in Primary Care; Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Residency Training in General and Pediatric Dentistry; Entities that have programs in accredited dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

**Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care; Physician Faculty Development in Primary Care; Physician Assistant Training in Primary Care; Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply: Predoctoral Training in Primary Care; Academic Administrative Units in Primary Care; Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Residency Training in General and Pediatric Dentistry; Entities that have programs in accredited dental schools, approved residency programs in the general or pediatric practice of dentistry, approved advanced education programs in the general or pediatric practice of dentistry, or approved residency programs in pediatric dentistry are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneously with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

During the last budget period of the project period, competing continuation applications may be submitted for up to three (3) years of support.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A BPMS and CPMS reports must be submitted annually. No cash reports are required. A progress report must be submitted for the second or subsequent budget periods within the approved project period for continued funding. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$44,237,784; FY 09 est \$45,493,247; FY 10 est \$52,023,850

**Range and Average of Financial Assistance:**

The average award for FY 2008 was \$223,308 for year one of the project proposal (range of \$55,156 to \$676,145 for year one in FY 2008).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY 2008 competitive awards for the following programs:

Residency Training in Primary Care--29  
Physician Faculty Development in Primary Care--15  
Physician Assistant Training in Primary Care--13  
Predoctoral Training in Primary Care--25  
Academic Administrative Units in Primary Care--22  
Residency Training in General and Pediatric Dentistry--3

FY 2008 non-competing continuation awards for the following programs:

Residency Training in Primary Care--29  
Physician Faculty Development in Primary Care--3  
Physician Assistant Training in Primary Care--5  
Predoctoral Training in Primary Care--18  
Academic Administrative Units in Primary Care--5

## Residency Training in General and Pediatric Dentistry--28

Some of the programs grant awards are collaborative grants and cover multiple disciplines hence for example one continuation award may include a continuation award in FM and a continuation award in GIM and/or GP. Therefore, the total number should not be construed as the total number of grants but rather the total number awards per program area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

### Regional or Local Office:

See Regional Agency Offices. Brenda L. Williamson, MA, MS Ed., Branch Chief, Primary Care Medical Education Branch, Division of Medicine and Dentistry of the Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9A-20, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1467.

### Headquarters Office:

Primary Care Medical Education Branch 5600 Fishers Lane, Room 9-A20, Rockville, Maryland 20857 Phone: (301) 443-1467

### Website Address:

www.hrsa.gov.

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance.

## 93.887 HEALTH CARE AND OTHER FACILITIES

(Renovation or Construction Projects)

### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

### AUTHORIZATION:

Public Law 111-8.

### OBJECTIVES:

To construct, renovate, expand, equip, or modernize health care facilities and other health care related facilities.

### TYPES OF ASSISTANCE:

Project Grants (for specified projects)

### USES AND USE RESTRICTIONS:

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the fiscal year 2009 Congressional Appropriations Bill, Public Law 111-8.

### Applicant Eligibility:

Eligible applicants include State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

### Beneficiary Eligibility:

Public or other entities will benefit.

### Credentials/Documentation:

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application

package. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application materials are provided to organizations that were specifically earmarked in the Appropriation Bill or Conference Report, based upon information in HRSA's annual appropriation.

### Award Procedure:

Only earmarked organizations may receive an award. Awards are made subsequent to proposal evaluations carried out by HRSA staff.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Approximately 3 to 6 months.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Awards are usually issued for a 3-year project period. Funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

### Reports:

At the conclusion of the project, recipients must submit a final report on project costs (424C) and a list of equipment purchased with funds. No cash reports are required. Final Financial Status Report. No expenditure reports are required. No performance monitoring is required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

### Account Identification:

75-0350-0-1-550.

### Obligations:

(Project Grants) FY 08 \$248,000,000; FY 09 est \$260,000,000; FY 10 est \$0

### Range and Average of Financial Assistance:

\$9,000 to \$25 million; \$609,000.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2008: Funds were awarded for construction, renovation projects, and equipment only projects. 693 awards were provided for projects in FY

2008. Fiscal Year 2009: It is anticipated that 755 awards will be provided for projects in FY 2009. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Mr. Brian West, Facilities Monitoring Branch, Division of Facilities Compliance and Recovery, Bureau of Healthcare Systems, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 10-105, Rockville, MD 20857. Telephone: (301) 443-4686.

**Headquarters Office:**

Bryan West 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857  
Phone: (301) 443-5656

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Construction of the Rocky Mountain Cancer Rehabilitation Institute at the University of Northern Colorado, Midwest Center for Rural Health at Union Hospital in Terra Haute, Indiana, and equipment for the Telemedicine Program at Magee Women's Hospital in Pittsburgh, PA. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.888 SPECIALLY SELECTED HEALTH PROJECTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

To carry out programs that have been selected by the U.S. Congress as being needed for improved health care (earmarks).

**TYPES OF ASSISTANCE:**

Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the Omnibus Appropriations Act, 2009, Public Law 111-8.

**Applicant Eligibility:**

State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

**Beneficiary Eligibility:**

Public or other entities will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Only earmarked organizations may receive an award. Awards are made on the basis of proposal evaluations carried out by HRSA staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually issued a one-year project period. Grant funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. At the conclusion of the project, grantees must submit a final Financial Status Report, a final report on project costs, and a list of equipment purchased with grant funds. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$28,159,003; FY 09 est \$48,678,529; FY 10 est not reported.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: See projects designated in the Consolidated Appropriations Act of 2008, P.L. 110-161. Fiscal Year 2009: See projects designated in the Omnibus Appropriations Act, 2009, P.L. 111-8. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

The Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.889 NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM**

HPP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

, Public Law 109-109-417, 42 U.S.C 247-3a.

**OBJECTIVES:**

To ready hospitals and other healthcare systems, in collaboration with other partners, to deliver coordinated and effective care to victims of terrorism and other public health emergencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands. The statute specifies appropriate use of funds.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual ASPR Hospital Preparedness Program Funding Opportunity Announcement documents issued under this CFDA for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications from eligible applicants will be reviewed and final funding award recommendations forwarded to ASPR.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the program's Grants Management Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 2-3 months.

**Appeals:**

From 60 to 90 days. HHS encourages its OPDIVs and recipients to try to resolve disputes by using alternative dispute resolution (ADR) techniques. Recipients may appeal to the DAB certain post-award adverse administrative decisions made by HHS officials (see 45 CFR part 16).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 5%. 5% awardee matching required for FY09 and for any subsequent fiscal year, not less than 10% awardee matching. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 3 years. Budget periods are limited up to 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual and year end progress reports are required. SF-269, semi-annual and year end reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR Parts 74 and 92.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 08 \$398,059,000; FY 09 est \$362,017,984; FY 10 est \$376,000,000

**Range and Average of Financial Assistance:**

\$300,000 to \$35,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY02-FY07 funds supported needs assessments, updates for hospitals and supporting health care entities; continuation, refinement and implementation of DHHS-approved work plans in accordance with the Funding Opportunity Announcement and contracts to health care entities to upgrade



their ability to respond to terrorist and other public health emergencies requiring among other capabilities, mass immunization, treatment, isolation and quarantine in the aftermath of bioterrorism or other outbreaks of infectious disease. Since FY07, the HHP goal is to ensure awardees continue to use CA funds to maintain, refine, and to the extent achievable, enhance the capacities and capabilities of their health care systems as identified in the Funding Opportunity Announcement, and for exercising and improving preparedness plans for all-hazards including pandemic influenza. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

#### **Regional or Local Office:**

See Regional Agency Offices. Robert Scott Dugas, MPH  
Hospital Preparedness Program  
U.S. Department of Health and Human Services  
Assistant Secretary for Preparedness and Response  
395 E Street, SW  
10th Floor, Suite 1075, Room 13  
Washington, DC 20201  
Phone: (202) 245-0732  
Blackberry: (202) 731-8323  
robert.dugas@hhs.gov.

#### **Headquarters Office:**

Alexis Lynady 395 E Street, Room 1075.42, SW  
, Washington, District of Columbia 20201 Email: alexis.lynady@hhs.gov  
Phone: 2022450976

#### **Website Address:**

<http://www.hhs.gov/aspr/opeo/hpp/index.html>

#### **RELATED PROGRAMS:**

93.003 Public Health and Social Services Emergency Fund

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Since FY07, the funding provided through the HPP is for activities that include, but are not limited to, exercising and improving preparedness plans for all-hazards including pandemic influenza, increasing the ability of healthcare systems to provide needed beds, engage with other responders through interoperable communication systems, track bed and resource availability using electronic systems, develop ESAR-VHP systems, protect their healthcare workers with proper equipment, decontaminate patients, enable partnerships/coalitions, educate and train their healthcare workers, enhance fatality management and healthcare system evacuation/shelter in place plans, and coordinate regional exercises. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. The applicants must submit their application in accordance with fiscal year Funding Opportunity Announcement. The applications are reviewed and approved applications are processed immediately. Applications approved with conditions, require the applicant to resubmit supporting information within a prescribed time frame. Upon review and approval, the revised application can then be submitted to Grants Management for processing and issuing a notice of grant award.

### **93.891 ALCOHOL RESEARCH CENTER GRANTS**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464J; 42 U.S.C. 241 and 42 U.S.C. 285n-2.

#### **OBJECTIVES:**

To provide long-term support for a concerted and multi-disciplinary research effort into the problems of alcohol use and alcoholism by coordinating the activities of investigators from biomedical, behavioral, and social science disciplines around a basic research theme. An alcohol research center is

expected to realize its greater potential for contributing to the basic store of knowledge about alcohol and alcoholism and to become a significant regional and national resource.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Alcohol research center grant funds may be used for support of core resources including, for example, salaries of center personnel, services and facilities shared by center personnel, and program enrichment activities such as symposia. Support for individual components may include staff salaries, supplies, publication, travel and equipment. Funds may not be used for training, although the applicant is required to demonstrate an institutional training capacity related to alcohol. Funds may not be used for purchase of any land or the purchase, construction, preservation or repair of any building, and grantees must have sufficient laboratory facilities and reference services to carry out the grant. Support will be provided for up to 5 years (renewable for subsequent periods) to qualifying centers selected for funding. No annual grant may exceed \$2,000,000 in total costs. The actual amount of support awarded will depend upon the appropriateness of the proposed center budget to the approved Center program, as well as the availability of funds.

#### **Applicant Eligibility:**

State and local governments, any domestic (nonfederal) public or private nonprofit and for-profit institution may apply for a center grant. However, the proposed center must be affiliated with an institution, such as a university, medical center, or research center, that has the resources to sustain a long-term coordinated research program around a central theme related to problems of alcohol use and alcoholism. An applicant institution must demonstrate the ability to attract high quality scientists, from biomedical, behavioral, and social science disciplines, who are willing to make a long-term commitment to alcohol research. In addition, the applicant must assure that alcoholism related research and clinical training opportunities will be available.

#### **Beneficiary Eligibility:**

Public and private nonprofit and for-profit organizations.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart C, Section 74.27. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS must be used by grant applicants. This program is subject to 45 CFR Part 92 for State and local governments and Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

Grants in support of approved applications are awarded directly to the applicant institution by the NIAAA.

#### **Deadlines:**

Dec 02, 2009 Deadlines will be announced in specific Requests for Applications (RFA) to be published in the NIH Guide for Grants and Contracts. Contact Headquarters Office listed below for deadline dates.

#### **Range of Approval/Disapproval Time:**

The time from receipt of application to final action is approximately 9 to 10 months.

#### **Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application to the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Support is recommended for a specified project period of up to 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The normal project period for an alcohol research center grant is 5 years. Grantees may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. See the following for information on how assistance is awarded/released: The applicant will be notified of award through an NGA (Notice of Grant Award). The award will be released electronically through DNS/CCR.

**Reports:**

Centers will be required to submit detailed annual progress reports (including substantive information about research results to date, status of ongoing research, research plans for the next year and any modifications in long-term research plans). Also, inventions reporting, financial status reports, final progress reports, and other reports are required to be filed in accordance with PHS policy. Cash reports are not applicable. Centers will be required to submit detailed annual progress reports (including substantive information about research results to date, status of ongoing research, research plans for the next year and any modifications in long-term research plans). Also, inventions reporting, financial status reports, final progress reports, and other reports are required to be filed in accordance with PHS policy. Centers will be required to submit detailed budget reports in accordance with PHS policy. The Center director will be responsible for the performance of the center activities. NIAAA Program officer will monitor progress in accordance with PHS policy.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain

records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$27,276,000; FY 09 est \$27,276,000; FY 10 est \$27,276,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of this program.

**Headquarters Office:**

Ranga V. Srinivas, National Institute on Alcohol Abuse and Alcoholism, National Institutes of Health  
5635 Fishers Lane Room 2085, Rockville, Maryland 20852 Email: srinivar@mail.nih.gov Phone: (301) 451-2067. Fax: (301) 4437-043

**Website Address:**

<http://www.niaaa.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific/technical merit, the feasibility of the research, alcoholism implications and relevance to NIAAA priorities and public health issues are all considerations in determining what projects will be funded.

**93.908 NURSING EDUCATION LOAN REPAYMENT PROGRAM**

(Nursing Education Loan Repayment Program)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 846, as amended, Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To assist in the recruitment and retention of professional registered nurses (RN) in approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The program offers Registered Nurses (RN) substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care facility with a critical shortage of nurses. Nursing Education Loan Repayment Program (NELRP) participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to amend his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total to 85 percent of eligible loan balances. Critical Shortage Facilities currently include, but are not limited to, Indian Health Service health centers, hospitals, Federal Hospitals, Federally Qualified health centers, Native Hawaiian health centers, rural health clinics, nursing homes, home health agencies, hospice programs, State or local public health departments, and ambulatory surgical centers.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have unpaid qualifying loans obtained for nursing education; (3) a U.S. citizen, national or permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF); (5) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (6) submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

**Award Procedure:**

Once a determination has been made as to who will receive an award, that individual will be accepted into the program. The individual will be notified in writing and be sent a copy of their signed contract of his/her acceptance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

The employing CSF must complete and send to the NELRP a semi-annual certification that the participating nurse has engaged in a year of full-time continuous service as a registered nurse. The certification includes an endorsement by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$18,901,576; FY 09 est \$20,190,324; FY 10 est \$73,626,934

**Range and Average of Financial Assistance:**

\$20,000 to \$150,000, with an average award being \$42,574.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards made for the following year: FY 08, 424. The estimate for FY 09 is 454. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Nursing Education Loan Repayment Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Division of Applications and Awards 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4130

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Loan Repayments for education costs made to registered nurses in health care facilities with a critical shortage of nurses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need.

Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at [www.hrsa.gov](http://www.hrsa.gov) for important information regarding funding preferences.

## **93.912 RURAL HEALTH CARE SERVICES OUTREACH AND RURAL HEALTH NETWORK DEVELOPMENT PROGRAM**

### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

### **AUTHORIZATION:**

Health Care Safety Net Amendment, Public Law 107-251.

### **OBJECTIVES:**

To expand access to, coordinate, restrain the cost of, and improve the quality of essential health services, including preventive and emergency services, through the development of integrated health care delivery systems or networks in rural areas and frontier regions.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

### **Applicant Eligibility:**

Rural Health Care Services Outreach and Rural Health Network Development Programs: Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area. Small Health Care Provider Quality Improvement Program This program is available to support rural public, rural non-profit, or other providers of healthcare services, such as a critical access hospital or rural health clinic. (1) The applicant must be located in a rural area, as determined by eligible rural county or census tracts, and all services must be provided in a rural county or census tract. To ascertain rural eligibility, please refer to <ftp://ftp.hrsa.gov/ruralhealth/Eligibility2005.pdf>. This website lists eligibility by county and census tract and includes a hyperlink to the Federal Financial Institutions Examining Council's (FFIEC) Geocoding System to determine your census tract number and eligibility. (2) The applicant exists exclusively to provide services to migrant and seasonal farmworkers in rural areas and is supported under Section 330G of the Public Health Service Act. (3) The applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area (documentation of status as a Federally-recognized Native American Tribe must be included). Frontier Extended Stay Cooperative Agreement Program Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area. Delta States Rural Development Network Grant Program. Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. Eligible organizations must be rural public or rural private nonprofit entities located within a rural Delta county/parish.

### **Beneficiary Eligibility:**

Medically underserved populations in rural areas will receive expanded services in rural communities where they did not previously exist.

### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application

package. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 6-9 months.

### **Appeals:**

Not Applicable.

### **Renewals:**

Rural Health Outreach and Rural Health Network awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Rural Health Network Planning Awards are only available for one year.

The Small Healthcare Care Provider Quality awards may be up to two year project periods. Subject to availability of funds, after initial awards, may be renewed non-competitively contingent upon submission and availability of appropriated funds.

The Delta States Rural Development Network awards may be up to two year project periods. Subject to availability of funds, after initial awards, may be renewed non-competitively contingent upon submission and availability of appropriated funds

The Frontier Extended Stay Clinic award may be up to four year project period. Subject to availability of funds, after initial awards, may be renewed non-competitively contingent upon submission and availability of appropriated funds.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

### **Reports:**

A final Program report is to be submitted within 90 days after the close of the project period. No cash reports are required. A financial status report is to be submitted within 90 days after the close of the budget period. A Quarterly

payment report is due to PMS. No expenditure reports are required. A performance progress report is submitted with each noncompeting continuation application. Grantees will be required to submit a Performance Improvement Measurement System (PIMS) report through the Electronic HandBook (EHB) once a year throughout their project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$35,154,966; FY 09 est \$36,915,430; FY 10 est \$40,000,000

**Range and Average of Financial Assistance:**

A maximum of \$150,000 for the first year of funding for the Outreach Grant; A maximum of \$180,000 for the first year of funding for the Network Development Grant; A maximum of \$85,000 for funding for the Network Development Planning Grant; A maximum of \$75,000 for the Quality Grant; A maximum of \$510,000 for the Delta Network Grant; A maximum of \$1,500,000 for the Frontier Extended Stay Clinic demonstration.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: For the Outreach Program, in FY 08, a total of 91 awards were made, in FY 09, a total of 121 awards were made, and in FY 10 it is estimated that 154 awards will be made

For the Network Development Grant Program, in FY 08 a total of 38 awards were made, in FY 09, a total of 79 awards were made, and in FY 10, it is estimated that 48 awards will be made.

For the Network Planning Grant Program, in FY 08, a total of 33 awards were made, in FY 09, a total of 18 awards were made, and in FY 10, it is estimated that 17 new awards will be made.

For the Quality Program, in FY 08, a total of 55 awards were made; in FY 09, a total of 55 awards were made; and in FY 10, it is estimated that 60 awards will be made.

For the Delta Network Program, in FY 08, a total of 12 awards were made; in FY 09, a total of 12 awards were made; and in FY 10, it is estimated that 12 awards will be made.

For the Frontier Extended Stay Clinic Demonstration, FY08, a total of 1 aware was made; in FY09 it is estimated that 1 award will be made; and in FY10, it is estimated that 1 award will be made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Ms. Ms. Kathryn Umali, Outreach Grant Program Coordinator, Office of Rural Health Policy, Health

Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Sherilyn Pruitt, Network Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Eileen Holloran, Network Development Planning Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Elizabeth Rezaizadeh, Small Quality Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Valerie Darden, Delta States Network Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Caroline Cochran, Frontier Extended Stay Clinic Demonstration, Office of Rural Health Policy, Health Resources and Services Administration, Room 9A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 29857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funded Outreach projects include efforts to provide primary care services in rural areas, including mental health services, oral health services, chronic diseases, prenatal care, free clinical services, HIT and preventive health services.

Funded Network projects include efforts to increase coordination of health care delivery systems in rural areas. More recently projects to develop or enhance vertically integrated networks have been supported. Both programs fund projects designed to increase the number of health professionals available to provide services in rural areas. and improve access to rural health services (such as transportation or services on mobile vans).

The Network Planning projects support strategic planning for rural communities interested in developing rural health networks and collaborative. The Small Quality program supports implementation of quality improvement initiatives on diabetes and cardiovascular disease.

The Delta States Network Program designed to encourage the development of new and innovative health care delivery systems

The Frontier Extended Stay Clinic Demonstration is designed examine the effectiveness and appropriateness of a new type of provider in providing health care services in certain remote clinic sites. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are based on the need of the project, innovation, realistic and measurable goals and objectives, clearly defined roles of each network member, strength of applicant's management plan, community involvement, level of local commitment, costs, and program evaluation plan. Specific criteria will be included in the guidance for each program.

**93.913 GRANTS TO STATES FOR OPERATION OF OFFICES OF RURAL HEALTH**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 338J; 42 U.S.C. 254r, as amended by sec. 301 P.L. 105-392.

**OBJECTIVES:**

To improve health care in rural areas through the establishment of State Offices of Rural Health (SORH).

For the CA to build and sustain rural health infrastructure by providing technical assistance to rural communities, to provide guidance and best practices on rural health networks and to improve quality of rural health care.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

This is a matching grant program with States to support the establishment and ongoing operation of Offices of Rural Health. While a wide range of activities can be conducted to address unique State needs, each State Office of Rural Health must (1) Establish an information clearinghouse, (2) coordinate State and Federal rural health programs throughout the State, (3) provide technical assistance that will improve participation in State and Federal programs, and (4) work to improve availability of health professionals in rural areas.

**Applicant Eligibility:**

All fifty States may apply. Each State can only submit one application.

**Beneficiary Eligibility:**

Underserved populations in rural areas; facilities and services in rural areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees may request funding beyond an initial project period by submitting a competing continuation application during a regular competing application cycle. All competitive cycles are contingent upon availability of funds for such purposes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. (Grants) States must match at least \$3 for each \$1 of Federal funds.

(CA) No statutory formula or matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant applications should be submitted for a 5-year project period. Awards are normally made in a lump sum for an entire 12-month budget period. Payments are made annually either through a letter of credit or cash demand system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A financial status report (FSR) is required to be submitted to Grants Management within 90 days of the end of the budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$270,000; FY 09 est \$360,000; FY 10 est \$360,000. (Project Grants) FY 08 \$7,400,000; FY 09 est \$8,200,000; FY 10 est \$8,200,000

**Range and Average of Financial Assistance:**

(Grants) \$150,000 to \$167,000.

(CA) \$360,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: (Grants) In FY 09, 50 non-competing continuation grants were awarded. For FY 10, it is estimated that 50 non-competing continuation grants will be awarded.

(CA) One non-competing continuation award was funded in FY 09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contacts: Keith Midberry, Program Coordinator, State Office of Rural Health Grant Program, Office of Rural Health Policy, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 9A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2669; E-mail: kmidberry@hrsa.gov.

**Headquarters Office:**

The Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (Grants) This program establishes a State Office of Rural Health in each State. In general, these projects cover a broad range of activities and tend to address problems and issues unique to the rural areas of a particular State. Examples of the types projects undertaken by State Offices of Rural Health include: 1) providing technical assistance to rural communities seeking to develop or improve primary health care; 2) training community leaders and providers of health services so that they may better respond to the needs of their rural residents; and 3) taking a leading role in drafting, obtaining, and implementing the rural physician loan repayment program to increase the likelihood of recruiting physicians to remote rural area.

(CA) National and regional meetings of State Offices, meetings and support for the National Recruitment Network, technical assistance to States and local organizations, and funding for five EMS/GIS mapping collaborative projects.

Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(Grants) Grant applications will be evaluated on the basis of the following criteria: (1) The extent to which the application is responsive to the requirements and purposes of the program; (2) the extent to which the applicant has developed measurable goals, objectives, and an evaluation plan for the required, and any discretionary, activities; (3) the extent to which the Office is coordinated with, and has the cooperation of, other health entities and activities within the State; (4) the strength of the applicant's plans for administrative and financial management of the Office; (5) the reasonableness of the budget proposed for the Office; and (6) the likelihood that the Office will be continued after Federal grant support is completed.

(CA) Applications will be reviewed and rated on the applicant's ability to address the following areas: (1) Developing and disseminating knowledge through the solicitation, review, selection, compilation, and circulation of manuscripts derived from relevant research conducted on rural health issues; (2) organizing, publicizing, and managing meetings to enhance the dissemination of information on rural health care issues, including minority rural health, rural health clinics, and recruitment and retention of health care professionals in rural areas; (3) providing technical and other nonfinancial assistance to State offices of rural health to increase their capability to serve rural residents; (4) developing a network to promote recruitment and retention of health professionals in rural areas; and (5) providing updated information to the public about rural health clinics.

**93.914 HIV EMERGENCY RELIEF PROJECT GRANTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part A, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To provide direct financial assistance to eligible metropolitan areas (EMAs) and Transitional Grant Areas (TGAs) that have been the most severely affected by the Human Immunodeficiency Virus (HIV) epidemic to develop, organize and operate programs that provide an effective, appropriate and cost efficient continuum of health care and support services for the individuals and families with HIV disease.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, early intervention services,

medical nutritional therapy, substance abuse treatment and mental health treatment, medical case management, including treatment and adherence services. Support services for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). A percentage of the grant, determined by the percentage of women, infants, and children in the area with Acquired Immune Deficiency Syndrome, will be used to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. No more than 10 percent of amounts received under a grant may be used to fund grant administration and monitoring activities, program support activities and all activities associated with grantee contract award procedures. Funds may not be used to supplant or replace the resources of such institutional providers that are already devoted to the support of personnel providing HIV-related services. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services.

**Applicant Eligibility:**

Eligible metropolitan areas (EMA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of more than 2,000 HIV/AIDS cases for the most recent period of 5 calendar years period. EMAs include: Atlanta, Georgia; Baltimore, Maryland; Boston, Massachusetts; Chicago, Illinois; Dallas, Texas; Detroit, Michigan, Ft. Lauderdale, Florida; Houston, Texas; Los Angeles, California; Miami, Florida; New Orleans, Louisiana; New York, New York; Newark, New Jersey; Orlando, Florida; Philadelphia, Pennsylvania; Phoenix, Arizona; San Diego, California; San Francisco, California; San Juan, Puerto Rico; Tampa-St. Petersburg, Florida; Washington, DC; and West Palm Beach, Florida. Transitional Grant areas (TGA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of at least 1,000, but not more than 1,999 HIV/AIDS cases for the most recent five year period. TGAs include: Austin, Texas; Bergen-Passaic, Caguas, Puerto Rico; Cleveland, Ohio; Denver, Colorado; Dutchess County, New York; Fort Worth, Texas; Hartford, Connecticut; Jacksonville, Florida; Jersey City, New Jersey; Kansas City, Missouri; Las Vegas, Nevada; Middlesex, New Jersey; Minneapolis, Minnesota; Nassau/Suffolk Counties, New York; New Haven, Connecticut; Norfolk, Virginia; Oakland, California; Orange County, California; Ponce, Puerto Rico; Portland, Oregon; Riverside-San Bernardino, California; Sacramento, California; St. Louis, Missouri; San Antonio, Texas; San Jose, California; Santa Rosa, California; Seattle, Washington; and Vineland, New Jersey.

**Beneficiary Eligibility:**

Individuals and families with HIV disease will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and annual financial reports are required. Annual reports are to be submitted within 90 days after the end of each budget period. The final performance report and final financial status reports are due 90 days from the end of the project period. Reports documenting services and costs will also be required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$601,207,157; FY 09 est \$635,419,846; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$875,000 to \$102,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Awards were made. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Douglas Morgan, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Rockville, MD 20857. Telephone: (301)

443-6745.

**Headquarters Office:**

Division of Service Systems, 5600 Fishers Lane, Room 7-A55, Rockville, Maryland 20857 Phone: (301) 443-6745.

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Programs were funded to deliver or enhance HIV-related outpatient and ambulatory health and support services, including case management and comprehensive treatment services for individual and families with HIV disease and inpatient case management services. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must meet seven criteria set forth in the enacting legislation: (1) Contain a report concerning the dissemination of emergency relief funds and the plan for utilization of such funds; (2) document demonstrate need in such area for supplemental financial assistance to combat the HIV epidemic; (3) demonstrate the existing commitment of local resources of the area, both financial and in-kind, to combat the HIV epidemic; (4) demonstrate the ability of the area to utilize such supplemental financial resources in a manner that is immediately responsive and cost-effective; (5) demonstrate that resources will be allocated in accordance with the local demographic incidence of AIDS including appropriate allocations for services for infants, children, women, and families with HIV disease; (6) demonstrate the inclusiveness of the planning council membership, with particular emphasis on affected communities and individuals with HIV disease; and (7) demonstrate the manner in which proposed services are consistent with the local needs assessment and the statewide coordinated statement of need.

**93.917 HIV CARE FORMULA GRANTS****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part B, as amended, Public Law 106-415, Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To enable States to improve the quality, availability, and organization of health care and support services for individuals and families with Human Immunodeficiency Virus (HIV) disease.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, health insurance premium, home health care; home and community-based health services, early intervention services, medical nutritional therapy, substance abuse treatment and mental health treatment, medical case management, including treatment and adherence services. Support services for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). Funds may be used to establish and operate HIV Care Consortia within areas most affected by HIV disease that shall be designed to provide a comprehensive continuum of care to individuals and families with HIV disease; provide home and community-based care services for individuals with HIV disease; provide assistance to assure the continuity of health insurance coverage for individuals with HIV disease; and provide therapeutics to treat HIV disease to individuals with HIV disease. A State shall use a percentage of the grant, determined by the percentage of infants, children, and women with acquired immune deficiency



syndrome in the State, to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services. A State may not use more than 10 percent of amounts received under this grant for administration, planning and evaluation activities. If a State receives the minimum allotment, it may not use more than the amount required to support one full-time equivalent employee for these activities. Seventy-five (75) percent of grant funds must be obligated within 120 days of the budget period start date.

**Applicant Eligibility:**

All 50 States of the United States, and the District of Columbia and U.S. Territories (and possessions) of the United States, the Commonwealths of Puerto Rico, Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa and the Republic of the Marshall Islands, Federated States of Micronesia, the Republic of Palau.

**Beneficiary Eligibility:**

Individuals and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not Applicable.

**Renewals:**

Yes.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Varies.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Semiannual progress reports are required. The Financial Status Report is due 90 days following the end of each budget period. A final progress report and financial

status report are due 90 days following the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$1,149,851,230; FY 09 est \$1,195,563,986; FY 10 est not reported.

**Range and Average of Financial Assistance:**

\$50,000 to \$171,786,592; \$17,963,976.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, 08 and 09 59 awards were made, except for Part B Supplemental Grants. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Douglas Morgan, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6745.

**Headquarters Office:**

Division of Service Systems 5600 Fishers Lane, Room 7-A55, Rockville, Maryland 20857 Phone: (301) 443-6745

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Programs were funded to establish and operate HIV care consortia to provide a continuum of care to individuals and families with HIV disease; provide home and community-based care services; provide drug treatment; and provide assistance to assure the community of health insurance coverage. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants will be awarded to applicants that submit; (1) An acceptable detailed description of the HIV-related services provided in the State to individuals and families with HIV disease during the year preceding the year for which the grant is requested, and the number of individuals and families receiving such services; (2) a comprehensive plan for the organization and delivery of HIV health care and support services to be funded with assistance received under this part that shall include a description of the purposes for which the State intends to use such assistance; (3) an assurance that the public health agency administering the grant for the State will periodically convene a meeting of

individuals with HIV, representatives of grantees receiving both HIV Emergency Relief and HIV CARE Grants, providers, and public agency representatives to develop a statewide coordinated statement of need; and (4) an assurance by the State that; (A) the public health agency that is administering the grant for the State will conduct public hearings concerning the proposed use and distribution of the assistance to be received; and (B) the State will (a) to the maximum extent practicable, ensure that HIV-related health care and support services delivered pursuant to a program established with assistance provided under this part will be provided without regard to the ability of the individual to pay for such services and without regard to the current or past health condition of the individual with HIV disease; (b) ensure that such services will be provided in a setting that is accessible to low-income individuals with HIV disease; (c) provide outreach to low-income individuals with HIV disease to inform such individuals of the services available; (d) for continuum of health insurance coverage, submit a plan to the Secretary that demonstrates that the State has established a program that assures that (1) Such amounts will be targeted to individuals who would not otherwise be able to afford health insurance coverage; and (2) income, asset, and medical expense criteria will be established and applied by the State to identify those individuals who qualify for assistance under such program, and information concerning such criteria shall be made available to the public; (e) the State will provide for periodic independent peer review to assess that quality and appropriateness of health and support services provided by entities that receive funds from the State; (f) the State will permit and cooperate with any Federal investigations undertaken regarding programs; (g) the State will maintain HIV-related activities at a level that is equal to not less than the level of such expenditures by the State for the 1-year period preceding the fiscal year for which the State is applying to receive a grant; and (h) the State will ensure that grant funds are not utilized to make payments for any item or service to the extent that payment has been made.

### **93.918 GRANTS TO PROVIDE OUTPATIENT EARLY INTERVENTION SERVICES WITH RESPECT TO HIV DISEASE**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part C, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006.

#### **OBJECTIVES:**

To increase the capacity of entities that provide comprehensive primary care services to persons with Human Immunodeficiency Virus (HIV) infection, or who are at-risk of infection, and to offer more early intervention services. The services will include increased counseling and testing, partner involvement in risk reduction, transmission prevention, appropriate primary care diagnostic and treatment services, and, as needed, case-management to ensure that individual service needs are met. A capacity development program provides assistance to organizations wishing to develop an expanded HIV program, particularly in rural and underserved areas and communities of color.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and organization of ambulatory health services to persons infected with HIV or who are at high risk. Funds may not be used for acquiring property, used for inpatient or residential care, and no more than 10 percent of the Federal funds may be used for administrative costs.

#### **Applicant Eligibility:**

Eligible applicants are public and private nonprofit entities that are: federally qualified health centers under Section 1905(1)(2)(B) of the Social Security Act; grantees under Section 1001 (regarding family planning ) other than States; comprehensive hemophilia diagnostic and treatment centers; rural health clinics; health facilities operated by or pursuant to a contract with the Indian Health Service; community based organizations, clinics, hospitals and other health facilities that provide early intervention services to those persons infected with HIV/AIDS through intravenous drug use; or nonprofit private entities that provide comprehensive primary care services to populations at-risk

of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants require that applicants be public or private non-profit organizations that are or intend to become HIV Primary Care Providers.

#### **Beneficiary Eligibility:**

Persons infected with HIV or who are at high risk of HIV infection.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120-180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula for the amount of the grant. The amount is negotiated based on costs of the proposed grant activities. Grantees are not required to match Federal funds under the grant; however, the level of nonfederal expenditures for early intervention services must be maintained at the level for the year prior to the grant award.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Early Intervention Services grants may be made for up to 5-year project periods. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. Capacity development grants may be funded at up to \$150,000 for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

The grantee must also submit the annual Care Act Data Report due March 15 each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. Beginning in Fiscal Year 2009, grantees must submit an Allocations Report, 60 days after the notice of grant award. No cash reports are required. Grantees must submit a Financial Status Report on SF 269 (long form) within 90 days after the end of the budget period. Expenditures Report within 90 days after the end of the budget period, (OMB 0915-0318). Additionally, each funded program must

submit a non-competing application each year prior to the end of the budget period. A final financial status report and final performance report must be submitted 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$185,206,136; FY 09 est \$185,781,668; FY 10 est \$185,956,545 - These figures are for the EIS program. (Project Grants) FY 08 \$1,400,000; FY 09 est \$1,000,000; FY 10 est \$1,000,000

**Range and Average of Financial Assistance:**

\$100,000 to \$650,000; \$350,000. Planning grants are limited to \$50,000 and Capacity Development grants are limited to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 358 programs were funded and provided early intervention services, including primary and preventive care to over 150,000 people with HIV disease. Also in FY 08, we awarded 29 Capacity Development grants. Other accomplishments include the provision of technical assistance to existing grantees, continued support for efforts to improve the quality of care for persons living with HIV/AIDS, the development of clinical quality performance measures. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. For Early Intervention Services Grants: Kathleen Treat, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-30, Rockville, MD 20857. Telephone: (301) 443-7602. For Capacity Development Grants: Dora Ober at (301) 443-0759 or at the same address as above.

**Headquarters Office:**

Division of Community Based Programs 5600 Fishers Lane, Room 7-A30, Rockville, Maryland 20857 Phone: (301) 443-0493

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Grantees include federally-qualified health centers; family planning grantees under Section 1001 of the PHS Act other than States; local health departments; and public and private nonprofit entities that provide comprehensive primary care services to populations at risk of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants include a wide variety of public and private nonprofit entities. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluations will be based on (1) Applicant's assessment of community need for additional preventive and primary care services to those with, and at risk for, HIV infection; (2) applicant's ability to describe its role in addressing unmet needs; (3) appropriateness of the proposed budget; (4) comprehensiveness of existing and proposed services; (5) collaboration with other local city, county, State HIV-prevention and treatment activities; and (6) adequacy and completeness of applicant's program evaluation plan.

**93.919 COOPERATIVE AGREEMENTS FOR STATE-BASED COMPREHENSIVE BREAST AND CERVICAL CANCER EARLY DETECTION PROGRAMS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Breast and Cervical Cancer Mortality Prevention Act of 1990, Section 301(a), Section 317(k)(3), and Section 1501, Public Law 101-354; 42 U.S.C.241a, 42 U.S.C. 247b(k)(3), and 42 U.S.C. 300K; Public Law 103-183, Public Law 101-354, 42 U.S.C 241,247,300.

**OBJECTIVES:**

To work with official State and territorial health agencies or their designees, and tribal health agencies in developing comprehensive breast and cervical cancer early detection programs. To the extent possible, increase screening and follow-up among all groups of women in the State, tribe or territory, with special to reach those women who are of low income, uninsured, underinsured and minority, and Native Americans.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements funds may be used to assure screening of women for breast and cervical cancer as an early detection preventive measure; assure appropriate referrals for follow-up services for women with abnormal screening tests and routine rescreening; develop and disseminate public education and outreach programs for the early detection and control of breast and cervical cancers; improve the education, training and skills of health professionals (including allied health professionals) in the early detection and control of breast and cervical cancers; establish mechanisms through which the States, tribes and territories can monitor the quality of breast and cervical cancer screening procedures in the State, including the interpretation of such procedures; and evaluate program activities through appropriate surveillance and monitoring. Cooperative agreement funds may not be expended for screening and follow-up services to the extent that payment has been made, or can reasonably be expected to be made, with respect to such items or services: (1) under any State compensation program, under any insurance policy or under any Federal or State health benefits program; or (2) by any entity that provides health services on a prepaid basis. Cooperative agreement funds shall not be used for treatment or treatment services. States, tribes and territories are required to make available nonfederal contributions in cash or in-kind toward such cost in an amount equal to not less than \$1 for each \$3 of Federal funds provided. Such contributions may be made directly or through donations from public or private entities. The payment for treatment services or the donation of treatment service may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contributions in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive breast and cervical cancer early detection program. In making a determination of the amount of nonfederal contributions for purposes of matching fund requirements, applicants may include any nonfederal amounts expended pursuant to Title XIX of the Social Security Act for the purpose of screening and follow-up for women at-risk for breast and cervical cancers. Can not be used for treatment.

**Applicant Eligibility:**

Eligible applicants are the official State health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands,

Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, American Samoa, American Indian and Alaska Native tribes and tribal organizations as defined in Section 4 of the Indian Self-Determination and Education Assistance Act.

**Beneficiary Eligibility:**

Official State and Territorial health agencies, women especially low-income women.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, identify and describe nonfederal contributions, and provide a budget with justification for funds requested. Costs will be determined in accordance with the OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Mr. Hector Buitrago in the Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, Georgia 30341. Telephone: (770) 488-2921. This program is subject to the provisions of 45 CFR 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 must be used for this program.

**Award Procedure:**

After objective review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

None.

**Renewals:**

Information on renewals may be obtained from Hector Buitrago, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341; Telephone: (770) 488-2921.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 35%. Public Law 101-354 requires States, tribes and territories to make available nonfederal contributions (cash or in-kind) toward such costs in an amount equal to not less than \$1 of matching for every \$3 of Federal dollars provided in this cooperative agreement. Such contributions may be made directly or through donations from public or private entities. Payment for treatment services or the donation of treatment services may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contribution in excess of the average amount of nonfederal contributions made by the State, tribe territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive Breast and cervical cancer early detection program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

From 1 to 5 years. Budget period is 12 months. Assistance is awarded through

the Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period. Grantees must address fiscal progress in the IPR & Annual Reports. Financial status reports (FSRs) are due 90 days after the end of the budget period. Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period. Final performance and FSRs are due no more than 90 days after the end of the project period. Final performance and FSRs are due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$157,076,794; FY 09 est \$159,825,794; FY 10 est \$159,825,794

**Range and Average of Financial Assistance:**

\$233,558 to \$8,303,092; \$2,350,379.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal 2008, the Centers for Disease Control and Prevention (CDC) entered into the 18th year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC supports programs in all 50 states, 5 US territories, the District of Columbia, and 12 Tribes/Tribal Organizations. Fiscal Year 2009: In fiscal 2009, the Centers for Disease Control and Prevention (CDC) entered into the 19th year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC supports programs in all 50 states, 5 US territories, the District of Columbia, and 12 Tribes/Tribal Organizations. Fiscal Year 2010: In fiscal 2010, the Centers for Disease Control and Prevention (CDC) entered into the 20th year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, 5 US territories, the District of Columbia, and 12 Tribes/Tribal Organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations, but guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, applies to cooperative agreements. Public Law 101-354 (August 10, 1994) places specific requirements on monies from this law which are to be used for funding State-based breast and cervical cancer early detection programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faye L Wong, 4770 Buford Highway, Mailstop K57, Atlanta, Georgia 30341  
Email: FWong@cdc.gov Phone: (770) 488-4880 Fax: (770) 488-3230.

**Website Address:**

<http://www.cdc.gov/cancer>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In addition to providing screening and follow-up for low income women, State health agencies incorporate into their health care system:

(1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

Fiscal Year 2009: In addition to providing screening and follow-up for low income women, State health agencies incorporate into their health care system:

(1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

Fiscal Year 2010: Grantees will continue to provide screening and follow-up for low income women, State health agencies will incorporate into their health care system:

(1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Extent of disease burden and need; (2) feasibility and appropriateness of operational plan to meet the purpose of the cooperative agreement; (3) the extent of collaboration and community involvement; (4) the extent to which the applicant appears likely to succeed in implementing proposed objectives; (5) the appropriateness of nonfederal contributions; and (6) the extent to which the budget is reasonable, consistent with the intended use of cooperative agreement funds, and includes evidence of the State's commitment to the program application of financial and/or in-kind contributions from nonfederal sources to activities of the proposed program.

**93.923 DISADVANTAGED HEALTH PROFESSIONS FACULTY LOAN REPAYMENT (FLRP) AND MINORITY FACULTY FELLOWSHIP PROGRAM (MFFP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 738(b), 42 U.S.C. 293, as amended; Health Professions Education Partnerships Act of 1998, Public Law

105-392.

**OBJECTIVES:**

The purpose of the Minority Faculty Fellowship Program is to assist eligible entities in increasing the number of underrepresented minority faculty at health professions schools. The applicant school shall demonstrate its ability to: (1) identify, recruit, and select under-represented minority individuals who have potential for teaching, administration, or conducting research at health professions schools; (2) provide such individuals with the skills necessary to enable them to: (a) secure a tenured faculty position, or its equivalent, according to the policies of the school; (b) learn pedagogical skills and program administration; (c) design and conduct research; (d) write grants; and (e) prepare articles suitable for publication in peer reviewed journals; (3) provide services designed to assist such individuals in their preparation for an academic career, including provision of counselors; and (4) enable the fellow to provide health services to rural and/or medically underserved populations.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

FLRP - Funds will be used to repay qualifying health professions educational loans consisting of principal and interest on loans incurred by the applicant while enrolled in a school in return for serving a minimum of least 2 years as a full-time or part-time faculty member at one of the following accredited health profession schools: medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, or a school that offers a graduate program in clinical psychology, and certain allied health programs. MFFP - To be able to receive an MFFP grant under section 738 (b) of the Public Health Service Act, an entity should provide an assurance in the application that: (1) Amounts received under the grant will be used to award a fellowship to the individual only if the individual meets the requirements outlined in the Fellow Eligibility Criteria. (2) Each fellowship award will include a stipend in an amount not exceeding 50 percent of the regular salary of a faculty member not to exceed 3 years of training; an allowance for other expenses such as travel to professional meetings and costs related to specialized training.

**Applicant Eligibility:**

FLRP - Individuals from disadvantaged backgrounds who (1) have a degree in medicine, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, nursing, graduate public health, selected allied health or graduate behavioral and mental health; (2) are enrolled in an approved graduate training program in one of the health professions listed above; (3) are enrolled as full-time students in accredited institutions described above and in the final course of study or program leading to a degree from the institution. MFFP - Eligible applicants are accredited health profession schools of allopathic and osteopathic medicine, nursing, dentistry, veterinary medicine, optometry, allied health, public health, podiatric medicine, pharmacy, and schools offering graduate programs in behavioral and mental health. To be eligible to receive the grant the applicant shall: (1) Provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$11 of Federal funds received under section 738 of the Public Health Service Act. (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded. (3) provide an assurance that the individual that will receive the fellowship will be a member of the faculty of the applicant school. (4) provide an assurance that the individual that will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctor degree) and special skills necessary to enable such individuals to teach and practice.

**Beneficiary Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds. MFFP - Fellowship recipients must meet the following conditions: (1) Must fall under the definition of underrepresented minority individuals' (URM). URM is defined as racial and ethnic populations who are under-represented in the designated health profession discipline relative to the number of individuals who are members of the population involved. This definition would include

Black or African American, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, Hispanic or Latino, and any Asian other than Chinese, Filipino, Japanese, Korean, Asian Indian or Thai. (2) the fellow must be a U.S. citizen, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, except in the case of programs specifically designed for support of foreign nationals. Individuals on temporary or student visas are not eligible to receive PHS fellowship or training grant support.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

FLRP - FLRP awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit. MFFP - Based upon the availability of funds, notice of awards are issued to the eligible schools which in turn distribute the awards to the fellow(s).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two to three months after application due date.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50.%. FLRP - The employing institution is required for each year of service to make payments in an amount equal to the amount of principal and interest payments made by the Secretary. These payments must be in addition to the recipients salary the individuals otherwise would receive. However, the Secretary may waive this requirement if it is determined that it would impose an undue financial hardship on the institution involved. A consideration for waiver will be based on required documentation submitted by the institution which must include financial statements to support hardship.

MFFP: Applicants must: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual who will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual who will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

FLRP - Assistance is available during the time specified in the contract. MFFP support is limited to a 3-year project period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. FLRP - Awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit.

**Reports:**

FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,133,841; FY 09 est \$1,122,312; FY 10 est \$1,266,000. (Project Grants) FY 08 \$54,477; FY 09 est \$55,087; FY 10 est not reported.

**Range and Average of Financial Assistance:**

FLRP - \$5,548 to \$63,400; \$36,281 (average award for FY 06 including funds for award tax liability); \$17,530 to \$55,600; \$49,767.49 (average award for FY 07 including funds for award tax liability); \$49,297.43 (average award for FY08 including funds for award tax liability).

MFFP: \$55,087.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FLRP: There were 23 awards made in FY 08.

MFFP: There was 1 competing award issued in FY 2008. Fiscal Year 2009:

FLRP: It is estimated that 22 awards will be made in FY 09.

MFFP: It is estimated that 1 non-competing award will be issued in FY 2009.

Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact for the Faculty Loan Repayment Program: Chrissy Herald, National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Parklawn Building, Room 8-37, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 800-221-9393 or 301-443-4419.

MFFP: Sara Rue, Project Officer, Diversity Branch, Division of Diversity and

Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3043.

**Headquarters Office:**

Sara Rue 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 443-3043

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: FLRP - Awards were made to encourage individuals from disadvantaged backgrounds to go into academia.

MFFP: Fellowships assist eligible institutions in increasing the number of underrepresented minority faculty at health professions schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

FLRP - The applicant will be rated on the extent to which the individual meets the intent of the program to expand disadvantaged representation in health professions faculty positions.

**MFFP:**

Overview: The health professions school should provide information that adequately documents the need and data relative to the school's experience and ability to identify, recruit, select and train underrepresented minority faculty. In addition to teaching, acquiring administrative skills and conducting research, the fellow must also provide health care services, especially as a means of meeting community needs for reducing barriers to health care services to rural or under-served populations. The application should also include a discussion of how the development of underrepresented minority faculty, through use of the fellowship program, will enhance the participant's academic career potential and community service abilities.

Review Criteria are used to review and rank applications. The Minority Faculty Fellowship Program has 6 review criteria:

Need: This includes the extent to which the application describes the problem (e.g., lack of Minority Faculty) and associated factors contributing to this problem.

Faculty Recruitment: This includes the extent to which the school demonstrates that it has the commitment and ability to identify, recruit, and select underrepresented minority individuals who have the potential for teaching, administration, and/or conducting research at a health professions institution.

Faculty Development: This includes the extent to which the schools faculty training program will provide the fellow with the preparation, training, and skills needed to secure a tenured faculty position. The Faculty Development Plan should include the provision of counselors and protected time for research and faculty development. Training may include: pedagogical skills, including teaching experience; program administration; grant writing; research methods and design; and preparation of articles suitable for publication in peer reviewed journals.

Impact: Faculty Training in Providing Health Service: This includes the extent to which the Fellow is available to provide health services to rural or medically underserved populations.

Resources/Capabilities: This includes the extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization; and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

Support Requested: This includes the extent to which the overall budget, including non-trainee expenses, is cost effective, reasonable, and consistent with the stated objectives and proposed activities. Expenditures are well justified and in-kind contributions are documented.

Evaluative Measures: Describe the methodology that will be used to monitor and evaluate the project results. Evaluative measures must be able to assess the extent to which the program objectives have been met.

**93.924 RYAN WHITE HIV/AIDS DENTAL REIMBURSEMENTS COMMUNITY BASED DENTAL PARTNERSHIP**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

Dental Reimbursement compensate dental schools, postdoctoral dental education programs, and dental hygiene education programs for unreimbursed costs they have incurred in providing oral health services to patients with Human Immunodeficiency Virus or Acquired Immune Deficiency Syndrome (HIV/AIDS). Reimbursement will be made for documenting the number of patients with HIV/AIDS treated and uncompensated costs incurred providing oral health services to them. Community Based Dental Partnership aims to increase access to oral health care services for HIV positive individuals, while at the same time providing education and clinical training for dental and hygiene providers, located in community-based settings. This is achieved through multi-partner collaborations between dental and dental hygiene education programs and community-based dentist and dental clinics, marked by shared expertise and resources.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are restricted to dental schools, postdoctoral dental education programs, and dental hygiene education programs which submit an application documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS.

**Applicant Eligibility:**

Public or private nonprofit schools of dentistry and dental hygiene, and accredited post-graduate dental training programs, located in the 50 United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau.

**Beneficiary Eligibility:**

Persons living with HIV/AIDS infection.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120-180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Reimbursement of uncompensated costs incurred in the prior year. Community-Based Dental Partnership grants may be made for up to five-year project periods. Continued support beyond the first year is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$8,473,612; FY 09 est \$9,000,000; FY 10 est \$9,000,000. (Project Grants) FY 08 \$3,790,119; FY 09 est \$3,790,119; FY 10 est \$3,790,119

**Range and Average of Financial Assistance:**

Dental Reimbursement: \$1,439 to \$1,143,261; \$154,796. Community-Based Dental Partnership grants: \$184,748 to \$403,042; \$277,713.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 66 dental reimbursement awards were made. In FY 08, 12 Community-Based Dental Partnership programs were funded, supporting oral health care to more than 2700 HIV positive patients. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Dora Ober, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, Parklawn Building, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0759.

**Headquarters Office:**

Mahyar Mofidi 5600 Fishers Lane, Room 7-A30, Rockville, Maryland 20857 Phone: (301) 443-2075

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Funds were awarded to eligible dental schools and post-doctoral dental education programs for reimbursement of uncompensated costs of oral health care and the number of HIV positive patients treated during the prior year. Community-Based Dental Partnership grants fund collaborative partnerships between dental and dental hygiene education programs and community-based dental providers and organizations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Those dental schools, postdoctoral dental education programs and dental hygiene education programs, that submit applications documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS and show evidence of efforts to establish working relations with HIV care consortia and planning councils, AIDS Education and Training Centers, Title I, Title II, III, IV, Community-Based Dental Partnership, and Special Projects of National Significance programs authorized under Public Law 109-415. Applicants for the Community Based Dental Partnership are reviewed by an objective review committee based on the following criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested.

**93.925 SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS**

(Scholarships for Disadvantaged Students (SDS))

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 737, 42 U.S.C. 293a; Health Professions Education Partnership Act of 1998, Public Law 105-392.

**OBJECTIVES:**

Promotes diversity among health professions students and practitioners by providing scholarships for students from disadvantaged backgrounds. Eligible health professions and nursing schools apply for funds to make scholarships to students from disadvantaged backgrounds, who have financial need for scholarships and are enrolled, or accepted for enrollment, as full-time students at the schools.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

SDS funds awarded to schools must be used to award full or partial scholarships to eligible students enrolled in health professions programs on a full-time basis. Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships



under this program, preference shall be given to students from disadvantaged backgrounds for who the costs of attending the school would constitute a severe financial hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

**Applicant Eligibility:**

Accredited public or private nonprofit schools of allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, chiropractic, allied health, or schools offering graduate programs in public health, behavioral and mental health or physician assistants.

**Beneficiary Eligibility:**

Students who are citizens, nationals, or lawful permanent residence of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia; and enrolled full-time in health professions or nursing schools.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each scholarship award is made for 1 year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. The Scholarships for Disadvantaged Students Performance Report (SDSPR) must be submitted 45 days after the end of the budget period through electronic submission, at <http://www.grants.hrsa.gov/webexternal/home.asp>. In addition,

a financial status report must be submitted 90 days after the end of each budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$42,420,564; FY 09 est \$42,105,260; FY 10 est \$52,842,000

**Range and Average of Financial Assistance:**

\$1,000 to \$650,000 Average \$ 142,730.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08 awards were made to 248 health professions and nursing schools. Fiscal Year 2009: In FY 09, 300 awards were made to health professions and nursing schools. Fiscal Year 2010: It is estimated in FY 2010, 350 health professions and nursing schools will receive awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Andrea Stampone, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same numbers for FTS.

**Headquarters Office:**

Andrea Stampone 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-4776

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Scholarships to students of schools of nursing and health professions schools. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.926 HEALTHY START INITIATIVE**

(Healthy Start)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Part D, Section 330H; 42 U.S.C. 254c-8.

**OBJECTIVES:**

To eliminate disparities in perinatal infant and maternal health by: enhancing a community's health care infrastructure and service system and a State's infrastructure; and directing resources and interventions to improve access to, utilization of, and full participation in comprehensive perinatal and women's health services, particularly for women and infants at higher risk for poor health outcomes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Every Healthy Start project implements community-driven approaches to address infant mortality rates by reducing maternal behavioral and medical risk factors and promoting healthy outcomes for women and their families. Beginning with prenatal care and continuing through the infant's second year of life, each community awarded funds assures the availability of a core set of services and activities for the perinatal population in their project area. These services include case management, home visiting and links to health care and other needed services for mothers and their infants; direct outreach and peer mentoring by trained community members; screening and referral for perinatal/postpartum depression; and strong coordination with and access to substance abuse, domestic violence, mental health, early intervention, parenting and other critical services for high-risk women and families. In addition, each Healthy Start project is required to have a community-based consortium composed of individuals and organizations and that includes women and families served by their project, to collaborate with their State Title V (MCH) Agency, and to implement a local health system action plan to improve the quality, cultural competence of and access to services and/or to address other problems in the local system of care. Funds may not be used to supplant currently funded activities/services.

**Applicant Eligibility:**

Urban and rural communities with significant disparities in perinatal health, and States with need to build their infrastructure/capacity to address and support those communities trying to achieve the goals of the Healthy Start program. Eligible applicants are any public or private entity, including an Indian Tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b). Community-based organizations, including faith-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Service area residents, particularly women and infants in areas with significant perinatal health disparities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 166 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods vary depending on specific grant announcement with non-competing continuation awards made on an annual basis for up to 5 years depending on satisfactory progress and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$99,744,481; FY 09 est \$102,372,000; FY 10 est \$102,372,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 8 new awards were made and 93 existing projects received awards. Fiscal Year 2009: It is estimated that 104 projects will be awarded in FYs 09 and 10. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Director, Division of Healthy Start and Perinatal

Services, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-12, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0543.

**Headquarters Office:**

Director, Division of Healthy Start and Perinatal Services 5600 Fishers Lane, Room 18-12, Rockville, Maryland 20857 Phone: (301) 443-0543

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: From pregnancy either to the next pregnancy or 2 years post delivery for the mother and infant, every Healthy Start project assures the availability of a core set of services and system building activities to the perinatal population in the project area. Projects include a consortium, case management, outreach, health education, screening and referral for depression, collaboration with State Title V, a local health system action plan, and plans for sustainability. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See specific program grant guidance.

**93.928 SPECIAL PROJECTS OF NATIONAL SIGNIFICANCE**

(SPNS)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To quickly respond to emergency needs of individuals receiving assistance under the Ryan White program; and to fund special programs to develop a standard electronic client information data system to improve the ability of grantees under the Ryan White program to report client-level data the Secretary.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The SPNS Program supports the development of innovative models of HIV care to respond to the emerging needs of individuals receiving assistance under the Ryan White HIV/AIDS Treatment Modernization Act of 2006. SPNS evaluates the effectiveness of these models, and promotes the replication of successful models. Areas of evaluation include design, implementation, utilization, costs, and health related outcomes of effective models. The SPNS Program also supports special programs to develop standard electronic client information data systems to enable Ryan White Program grantees to report client level data. Proposals are expected to adequately define and justify the needs, innovative nature, and evaluation methodology of the proposed model of services. Funds shall be used to create and/or evaluate innovative models of HIV care that would likely not exist nor be evaluated without SPNS Program support, or that would extend the care model to previously underserved or unserved populations. Funds under the SPNS Program cannot be used for: charges that are billable to third party payers (e.g., private health insurance, prepaid health plans, Medicaid, Medicare); construction of new facilities or capital improvements to existing facilities; to purchase or improve land; cash payments to intended service recipients, as opposed to various incentives to encourage participation in evaluation activities.

**Applicant Eligibility:**

Eligible entities: only those eligible for funding under Parts A-D of the Ryan

White HIV/AIDS Treatment Modernization Act of 2006.

**Beneficiary Eligibility:**

Adults, women, children and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will generally be awarded with 60-month project periods and five 12-month budget periods; some grants may have more limited 12, 24 or 36 month project periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A final progress report is due 90 days after the end of the project period. In addition, a Financial Status Report is due within 90 days after the close of each budget period and after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$25,000,000; FY 09 est \$25,000,000; FY 10 est \$25,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$550,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: FY08 there were 55 continuation grants and 17 new grant awards. Fiscal Year 2009: FY09 there will be 35 continuation grants and approximately 70 new grant awards. Fiscal Year 2010: FY10 there will be 47 continuation grants and approximately 40 new grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Adan Cajina, Chief, Demonstration and Evaluation Branch, Division of Science and Policy, HIV/AIDS Bureau, Health Resources and Service Administration, 5600 Fishers Lane, Room 7C-07, Rockville, MD 20857. Telephone Number: (301) 443-3180.

**Headquarters Office:**

Demonstration and Evaluation Branch 5600 Fishers Lane, Room 7-C07, Rockville, Maryland 20857 Phone: (301) 443-3180

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Prevention with HIV Infected Persons seen in Primary Care Settings:

This initiative was designed to address the need for interventions targeting HIV-positive individuals in clinical care, to prevent transmission to uninfected individuals and to prevent re-infection among people who are already infected with the virus. The Special Projects of National Significance (SPNS) program awarded grants to one evaluation center and 15 demonstration sites. The evaluation center provided leadership in the design and evaluation of interventions that will have maximum impact on the theory, practice and policy of HIV prevention in primary health care settings. The 15 clinical demonstration sites were funded to implement and evaluate prevention interventions with HIV-infected individuals seen in primary care settings.

An Evaluation of Innovative Methods for Integrating Buprenorphine Opioid Abuse Treatment in HIV Primary Care:

This initiative began in September 2004 and is comprised of 10 demonstration sites coordinated by a technical assistance/evaluation center. The initiative is directed towards persons with HIV in the primary care setting who also have substance abuse issues. As a demonstration project, this initiative seeks to determine the feasibility and/or effectiveness of integrating buprenorphine opioid abuse treatment into HIV primary care settings. The ultimate goal is to improve the health of HIV substance abusers.

Innovations in Oral Health Care Initiative:

The SPNS Innovations in Oral Health Care Initiative started in September 2006 and funds 15 demonstration sites for up to five years to support organizations using innovative models of care to provide oral health care to HIV-positive, underserved populations in both urban and non-urban settings. Despite the importance of access to quality oral health care, large numbers of people with

HIV reportedly have unmet needs for oral health care. Demonstration sites provide comprehensive oral health care services to HIV-positive clients and develop individualized treatment plans for each patient receiving service. Sites also participate in a multisite evaluation conducted by the Evaluation and Support Center at Boston University.

Information Technology Capacity Building Grants

This initiative promotes the development of standard electronic client information data systems to improve the ability of grantees to report client level data to the Department of Health and Human Services (DHHS). Seventeen Part A and Part B organization received funding in FY08 for the implementation of hardware and software components, including stand alone, network, and other management health information systems that will facilitate the reporting of client level data. In FY09 approximately sixty Part C organizations will receive funds as part of SPNS endeavor in assisting grantees in need of developing adequate information technology infrastructure for purposes of client level data reporting. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria vary and are based on the grant initiative. However, evaluation criteria generally include some or all of the following: Factor 1: Adequacy of demonstrated knowledge of the local HIV service delivery system and the adequacy of the justification of need for the proposed model within the community and target population to be served by the project. Factor 2: Extent of the feasibility and clarity of the description, appropriateness, innovative quality, and potential for evaluation, replication, and dissemination of the proposed model. Factor 3: Comprehensiveness of the program plan as described in clearly stated goals, time-limited and measurable objectives for each goal, activities directly related to each objective, and a timeline that shows the schedule of activities and production of materials that corresponds to milestones stated in the objectives and program evaluation. Factor 4: Thoroughness, feasibility and appropriateness of the project's evaluation design from a methodological and statistical perspective. Factor 5: Extent to which the applicant demonstrates past involvement with disseminating information about HIV service delivery by describing dissemination activities to date (e.g., presenting and publishing findings through reports and papers, training, or technical assistance). Factor 6: Competency of the applicant organization in terms of fiscal, program management, and evaluation.

**93.933 DEMONSTRATION PROJECTS FOR INDIAN HEALTH**

Demonstration Projects for Indian Health

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 103 (B)(1), Public Law 93-638, as amended by Public Health Service Act, Section 301 (a) (1); Public Health Service Act.

**OBJECTIVES:**

To promote improved health care among American Indians and Alaska Natives through research studies and demonstration projects, addressing such issues as, but not limited to Elder Care, Women's Health Care, Children & Youth Initiative, Native American Research Centers for Health (NARCH), Tribal Dental Clinical and Preventive Support Centers and Institute for Health Improvement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal assistance is to be used for the following purposes: (1) Research, analysis, and investigation of a broad range of issues affecting the health of American Indians and Alaska Natives; and (2) demonstration projects and studies that provide American Indians/Alaska Natives with impetus and involvement in their health care and that promote improved health care to Indian people. All IHS Grants Funds are for discretionary grant activities.

**Applicant Eligibility:**

Federally recognized Indian tribes; tribal organizations; nonprofit intertribal organizations; nonprofit urban Indian organizations contracting with the Indian

Health Service under Title V of the Indian Health Care Improvement Act; public or private nonprofit health and education entities; and State and local government health agencies.

**Beneficiary Eligibility:**

American Indians/Alaska Natives will be the ultimate beneficiaries of the funded projects either directly or indirectly depending upon the nature of the project. For example, those individuals who participate in research studies and receive services will be direct beneficiaries while those impacted by policy changes resulting from analyses of Indian health care issues will be indirect beneficiaries.

**Credentials/Documentation:**

Costs will be determined in accordance with the applicable OMB Circular: OMB Circular No. A-87 (State, local, and Indian tribal governments); OMB Circular No. A-21 (institutions of higher education); and OMB Circular No. A-122 (nonprofit organizations). Depending upon the nature of the project, letters of support or tribal resolutions may be required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of either 45 CFR, Part 92 or OMB Circular No. A-110 depending upon the type of applicant organization. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern ), or contact the IHS Grants Policy Office on (301) 443-6290 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Initial project period of up to 5 years, usually 3 years, with competitive renewals for periods not to exceed a total project period of 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is limited to 5 years or less. Within the project period, a continuation application must be submitted annually on a noncompetitive basis for each year of support. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. All IHS grantees shall submit a Payment Management System (PMS) Federal Cash Transactions Report, SF-272 to the Division of Payment Management at the end of each quarter. Progress Reports are due 90 days after the end of each budget period , or more frequently if stated in the terms and conditions of the IHS grant award. Reports should be

sent to the attention of the Grants Management Specialist at the Division of Grants Operations. All IHS grantees shall submit a Financial Status Report (FSR)standard form (SF)-269 within 90 calendar days of the end of each budget period to the appropriate Grants Management Specialist, at the Division of Grants Operations. All IHS grant awards are monitored for Financial compliance by the Division of Grants Operations and for Programmatic Compliance by the IHS Program Staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, paper, or other records of the grantee, contractor, or subcontractor, which are pertinent to the DHHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 92.42 or 45 CFR Part 74, Subpart D, as applicable, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - Grants: FY 08 \$2,402,006; FY 09 \$2,402,006; and FY 10 \$2,402,006.  
Elder Health Care Initiatives: FY 08 \$916,150; FY 09 916,150; and FY10 916,150. Indian Women's Demonstration: FY 08 \$600,000; FY 09 \$600,000; and FY10 \$600,000. Children & Youth Initiative: FY 08 est \$885,856; FY 09 \$885,856; and FY 10 \$885,856.  
Native American Research Centers for Health: FY 08 \$6,331,053; FY 09 \$6,331,053e; and FY 10 \$6,331,053.  
Cooperative Agreements: FY 08 \$824,000; FY 09 \$824,000; and FY 10 \$824,000.

**Range and Average of Financial Assistance:**

\$27,000 to \$300,000;.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, Health and Human Services Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: For Elders Health Program contact: Dr. Bruce Finke, Nashville Area Elder Health Consultant, 45 Vernon Street, Northampton, MA 01060. Telephone: (413) 584-0790. For Indian Women's Health Demonstration Program Contact: Ms. Carolyn Aoyama, Nurse Consultant, Division of Nursing Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-1840. For Children & Youth Initiative Program contact: Ms. Judith Thierry, Maternal and Child Health Coordinator, Office of Public Health, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-5070. For Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360 Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

IHS Grants Policy Staff, 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: (301) 443-6290.

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are: Statement of problem(s) requiring solution; need for assistance; results or benefits expected from the project; approach or soundness of the applicant's plan for conducting the project; key personnel and their capability to carry out the project; and adequacy of management controls. Consideration will be given to the demonstrative aspects of the project and the compatibility of the project with the overall goals and objectives of the Indian Health Service.

**93.936 NATIONAL INSTITUTES OF HEALTH ACQUIRED IMMUNODEFICIENCY SYNDROME RESEARCH LOAN REPAYMENT PROGRAM**

(NIH AIDS Research Loan Repayment Program; AIDS LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VI, Part 68, Section 487A, Public Law 100-607, 288-1 U.S.C.

**OBJECTIVES:**

To help assure an adequate supply of trained researchers (physicians, registered nurses and scientists) with respect to acquired immunodeficiency syndrome (AIDS) at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants who agree, by written contract, to primarily engage in AIDS research as employees of the NIH.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program will provide partial repayment of educational loans incurred by physicians, registered nurses and scientists engaged, as employees of the NIH, in AIDS research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts are available, dependent upon the level of debt and continued involvement in AIDS research, and are issued for one-year periods. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual NIH salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education in excess of 20 percent of their annual NIH salary (exclusive of special allowances of any kind) on the program eligibility date; (4) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (5) not have an existing service obligation to Federal, State, or other entities, unless deferred during period of program service; (6) submit an application to participate in the Loan Repayment Program; and (7) submit to the Secretary for Health and Human Services, at the time of application, a signed contract agreeing to engage in AIDS research at the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

AIDS researchers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: 1) Copies of loan applications and agreements from governmental or commercial educational loans that are being considered for repayment; 2) copies of the standard student budget from schools attended during period when debt was incurred; and 3) other documentation as required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each IC. Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or her/his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The approximate time for approval/disapproval is three months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 60 to 90 days. At the conclusion of the initial two-year contract, participants may apply and be recommended for subsequent one-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds that maximum repayable amount for 2-years. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

A year-end summary is provided for inclusion in the OITE annual report. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No cash reports are required. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation. Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 08 \$329,000; FY 09 est \$48,000; FY 10 est \$720,000

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayment awards may range from \$4,000 to \$70,000; tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$53,162. There were no new awards in 2008. There six renewal awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: There were six renewal awards. Fiscal Year 2009: There were four renewal awards. Fiscal Year 2010: The NIH projects that there will be 13 awards in 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 100-607, Public Law 103-43, Public Law 105-392; Federal Register, Volume 54, No. 215, November 8,

1989; NIH Guide for Grants and Contracts, Volume 23, No. 24, June 24, 1994; Federal Register, Volume 56, No. 150, August 5, 1991; Section 487A of Public Health Service Act (42 U.S.C. 288-1). Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD, Office of Intramural Training and Education, National Institutes of Health, Department of Health and Human Services Building 2, Room 2E18, 2 Center Drive, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone: (301) 402-1283 Fax: (301) 480-4942.

**Website Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.232 Loan Repayment Program for General Research; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Loan Repayment Program for AIDS Research after the LRC determines that the applicant will conduct qualified AIDS research. LRC approval, in part, is based upon the appropriateness of the research assignment to qualified AIDS research, the scientific merit of the research, and the credentials of the applicant as they relate to performing qualified AIDS research.

**93.938 COOPERATIVE AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAMS TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS**

(SHEPSA)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 241(a) & 243(b).

**OBJECTIVES:**

To improve the health and well-being of youth and prepare them to be healthy adults.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used to support personnel, purchase equipment, supplies, services, and travel directly related to the program activities and consistent with the scope of this program. Cooperative agreement funds are used to help schools prevent sexual risk behaviors that result in HIV infection, especially among youth who are at highest risk. For example, cooperative agreement recipients implement and integrate effective policies and educational strategies to reduce risk behaviors that lead to HIV infection among youth; implement strategies to reduce disparities among sub-populations of youth disproportionately affected by HIV infection and other health problems related to sexual risk behaviors; evaluate the implementation and effectiveness of strategies to reduce risks for HIV infection among youth in schools for the purposes of programmatic improvement and long-range planning. CDC believes that the specific scope and content of HIV education programs in schools should be locally determined and should be consistent with parental and community values. CDC supports local decision-making by providing sound scientific information to grantees who work directly with schools, communities,

and parents. Funds may be expended for written materials, pictorials, audiovisuals, questionnaires or survey instruments, and educational group sessions related to HIV education for youth, school, and college populations if approved in accordance with the document "Content of AIDS-Related Written Materials, Pictorials, Audiovisuals, Questionnaires, Survey Instruments, and Educational Sessions in Centers for Disease Control Assistance Programs." Cooperative agreement funds are also used to build state education and state health agency partnership and capacity to implement and coordinate school health programs across agencies and within schools. The expected outcome of this effort is to help schools reduce chronic disease risk factors, including tobacco use, poor nutrition, and physical inactivity. For example, cooperative agreement recipients implement and integrate effective policies, environmental changes, and educational strategies to reduce unhealthy behaviors; leverage resources to avoid duplication at the state and local levels; evaluate school health capacity-building efforts while implementing effective strategies to reduce priority health risks. Funds may not be used to conduct research projects, provide direct delivery of patient care or treatment services, and purchase or disseminate condoms. Although public health may have an assurance role in clinical testing and screening, funds are not to be used to provide clinical testing or screening services. Funds may not be used for purchasing computer equipment, office equipment or furnishing, renting or leasing office space, or to support construction or renovation unless specifically approved.

**Applicant Eligibility:**

Eligible applicants are official States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands), Tribal Governments, large urban school districts (with the highest number of reported AIDS cases, high levels of poverty, and student enrollment greater than 75,000 students), and national non-governmental organizations.

**Beneficiary Eligibility:**

Official State education agencies in states and territories in the United States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands); local education agencies; national private sector organizations and their constituents; universities and colleges; school-age youth, including minority youth, youth in high-risk situations, and youth with special education needs; college-age youth; and school personnel, including teachers, school nurses, paraprofessionals, and school administrators.

**Credentials/Documentation:**

Costs will be determined by 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular A-87, "Cost Principles for State and Local Governments.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR Part 92 and 45 CFR Part 74. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments and 45 CFR Part 74 for nonprofit organizations must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from Bill Ryan, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 2306, Atlanta, GA 30341.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period can be up to five years. Budget periods are for 12 months.

Payment under this program is made available through HHS Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. Cash reports are not applicable.

An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. An annual financial status report is due within 90 days after the end of the budget period and a final financial status report is due within 90 days after the end of the project period.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$35,593,000; FY 09 est \$35,593,000; FY 10 est \$35,593,000

**Range and Average of Financial Assistance:**

\$10,000 to \$650,000; \$299,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Competitive cooperative agreements to help schools and



other agencies that serve youth to implement coordinated school health programs to prevent HIV infection and other important health problems were established with 49 State education agencies; to the education agencies of the District of Columbia, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, and the Republic of Palau; three Tribal Governments, and to the local education agencies for 25 large urban education agencies. Through these projects, teachers and other school staff, university staff, and staff of agencies that serve special populations receive training to implement effective health education, including HIV prevention. HIV education materials are produced and disseminated, policies are developed and implemented, and youth are receiving HIV prevention education as a part of community prevention efforts and coordinated school health programs. State, territorial, tribal group, and local education agencies competed for funding in fiscal year 2008, with a program period of five years. Approximately eighty awards were made to states, territories, tribal groups, and cities. A new competition for state and local education agencies is expected in fiscal year 2013. National organizations competed for funding in fiscal year 2006 with a project period of 5 years. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Subject to regulations outlined in 45 CFR Part 74 and 45 CFR Part 92. Program guidelines are available from the Grants Management Contact.

#### **Regional or Local Office:**

None. Program Contact: John C. Canfield, Program Development and Services Branch, Division of Adolescent and School Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Highway, Mailstop K-31, Atlanta, GA 30341. Telephone: (770) 488-6141. Grants Management Contact: Bill Ryan, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3716, Atlanta, GA 30341. Telephone: (770) 488-2717.

#### **Headquarters Office:**

John Canfield, 4770 Buford Highway, NE, MS-K31, Atlanta, Georgia 30341  
Email: qzc6@cdc.gov Phone: (770) 488-6141.

#### **Website Address:**

<http://www.cdc.gov/healthyyouth> .

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of State Education Agency Programs include those that conduct HIV prevention education teacher training sessions for teachers throughout the State or provide mini- grants to regional educational service centers that conduct the teacher training sessions. Other States have developed centralized teacher training centers that provide training related to coordinated health programs and comprehensive school health education that includes HIV prevention education. Local education agencies provide teacher training and work with community-based organizations to form coalitions to help address the needs of youth in high-risk situations. State and local education agencies identify priority health risk behaviors by assessing representative samples of high school age students. National organizations also provide capacity building assistance to state and local education agencies and their own constituents in developing policies, training teachers, and in developing programs to reach minority youth, youth in high-risk situations, and youth with special education needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of the following criteria: (1) the accomplishments of the current budget period show that the applicant is meeting its objectives and carrying out activities as planned; (2) the capacity of the recipient and staff responsible for managing and coordinating activities; (3) current collaboration with HIV prevention programs of State and local health agencies and with other relevant organizations; (4) the objectives for the new budget period are realistic, specific, and measurable; (5) a description of the

methods of operation and activities that will be used to accomplish the stated objectives; (6) a plan of evaluation; (7) evidence of support from relevant organizations; (8) plans to share information about the program, including copies of HIV education curricula, program descriptions, progress reports, and educational materials with other agencies interested in HIV education for youth; (9) a budget request that is clearly explained, adequately justified, reasonable, and consistent with the intended use of cooperative agreement funds.

#### **93.939 HIV PREVENTION ACTIVITIES\_NON-GOVERNMENTAL ORGANIZATION BASED**

##### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

##### **AUTHORIZATION:**

Public Health Service Act, Section 301(a).

##### **OBJECTIVES:**

To provide assistance to local, regional and, national nonprofit organizations to: (a) develop and implement effective community-based Human Immunodeficiency Virus (HIV) prevention programs related to achieving national goals; (b) promote coordination for primary and secondary HIV prevention efforts among community organizations, HIV education/prevention service agencies, and public organizations including local and State health departments and substance abuse agencies; and (c) evaluate the HIV prevention programs for which support is provided.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Project funds may be used to promote coordination for primary and secondary HIV prevention efforts among community-based organizations, HIV education/prevention service agencies, and nonprofit national and regional organizations.

##### **Applicant Eligibility:**

Nongovernmental public and nonprofit private entities are eligible, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries..

##### **Beneficiary Eligibility:**

Public and nonprofit private entities.

##### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2720. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organization.

##### **Award Procedure:**

After review and approval of an application, a notice of award is prepared and

processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2722.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As Stated in the Terms and Conditions. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$77,579,450; FY09 - est \$74,943,318; FY10 - est \$74,943,318.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.116 Project Grants and Cooperative Agreements for Tuberculosis Control

Programs; 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.947 Tuberculosis Demonstration, Research, Public and Professional Education; 93.977 Preventive Health Services\_Sexually Transmitted Diseases Control Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance.

**93.940 HIV PREVENTION ACTIVITIES\_HEALTH DEPARTMENT BASED**

(HIV Prevention Program)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317, Public Law 100-436.

**OBJECTIVES:**

To assist States and political subdivisions of States in meeting the cost of establishing and maintaining Human Immunodeficiency Virus (HIV) prevention programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to support, develop, implement and evaluate primary and secondary HIV prevention programs implemented by State and local health departments.

**Applicant Eligibility:**

States, and in consultation with State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Beneficiary Eligibility:**

States, State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770)

488-2722. The standard application forms, as furnished by CDC, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period on these grants is one to five years and the budget period is 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. Cash reports are not applicable. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$333,899,889; FY09 - est \$340,455,348; FY10 - est \$340,455,348.

Note: 93.940 includes funds appropriated by congress for HIV testing.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51.

Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on (1) satisfactory progress in meeting project objectives; (2) the extent to which the objectives for the new budget period are specific; (3) measurable, time phased, realistic, and consistent with National HIV Prevention Goals; (3) the extent to which proposed changes in methods of operation are appropriate and likely to improve prevention efforts; (4) evaluation plans which enhance the success of the project; (5) the availability of funds.

**93.941 HIV DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION PROJECTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To develop, test, and disseminate improved HIV prevention strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist States, political subdivisions of States, and other public and nonprofit entities with research on the prevention of HIV infection at the community level. Funds may be used to develop, implement and evaluate new intervention, including those targeting people who are infected with HIV. Applicants are encouraged to have research groups participate in the program.

**Applicant Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920

Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Projects are for one to five years with 12-month budget periods. Application forms must be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention: Telephone: (770) 488-2720.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY 08 14,703,324; FY 09 est \$9,910,574; FY 10 est \$9,910,574.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's proposed plan will identify and reach appropriate hard-to-reach individuals at risk for HIV, and the quality and scope of the applicant's past and current activities to provide education about HIV prevention and AIDS to high risk individuals; the quality of the applicant's proposed interventions and strategies to motivate and reinforce risk reduction behavior change among hard-to-reach individuals; the quality of the applicant's proposed plan to promote changes in community norms regarding HIV prevention and risk reduction behavior, and to generate support, cooperation, and collaboration with community based organizations serving individuals at high risk for HIV; the extent to which the applicant's proposed plan will determine, monitor, and measure changes in the prevalence of specific knowledge, attitudes, beliefs and self-reported behaviors among hard-to-reach individuals; the quality of the applicant's plan, including proposed methods and instruments of measurement to evaluate effectiveness of the strategies used to motivate and reinforce behavior change among groups targeted by the interventions, and the impact of the programmatic efforts on community norms; the extent to which the applicant's proposed plan will enable it to respond to and redirect programmatic efforts based on new information, changes in behavior, and changes in HIV sero prevalence.

**93.942 RESEARCH, TREATMENT AND EDUCATION PROGRAMS ON LYME DISEASE IN THE UNITED STATES**

(Lyme Disease)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 42 U.S.C 241(a), as amended by Public Health Service Act, Section 317(K)(2), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To develop, implement and evaluate practical and effective measures for the primary and secondary prevention of Lyme disease in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to develop disease surveillance, conduct ecological and epidemiological studies, develop prevention and control activities, develop better diagnostic tests, and develop and disseminate educational materials and programs. Grants include funds for direct costs, i.e., personnel, travel, equipment, supplies, necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, such as reimbursement of pre-award costs, as well as those for which prior written approval is required, are indicated in the Public Health Service (PHS) Grants Policy Statement (<http://www.hhs.gov/grantsnet.gps/>).

**Applicant Eligibility:**

Public and nonprofit organizations able to provide services to geographical areas where Lyme disease is endemic or found to be newly emerging in the continental United States. Thus, universities, colleges, research institutions, State and local health departments, and private nonprofit organizations are eligible.

**Beneficiary Eligibility:**

States, political subdivisions of states, and other public and nonprofit private entities and the general public who may be exposed to the threat of Lyme

disease in certain geographical areas.

**Credentials/Documentation:**

Nonprofit organizations are corporations or associations no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual. Proof of nonprofit status must be submitted by private nonprofit organizations with the application or, if previously filed with PHS, the applicant must state where and when the proof was submitted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program has no preapplication requirements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, applications must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Detailed application instructions are included in the Funding Opportunity Announcements (FOAs) for federal assistance. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management System, (Add FOA number here), CDC Procurement and Grants Office, U.S. Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Upon receipt, applications will be evaluated for completeness and responsiveness by the agency program and HHS/CDC Procurement and Grants Office (PGO). HHS/CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and NoA indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are for three to four years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 3 to 4 years. See the following for information on how assistance is awarded/released: After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. An original and two hard-copies of the Non-Competing Grant Progress Report (PHS 2590) are due no less than 120 days prior to the end of each budget period within the project period. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required no more than 90 days after the end of the project period. Final performance reports are required no more than 90 days after the end of the project period. All reports must be submitted to the Grants Management Specialist indicated in the NoA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$1,400,494; FY 09 est \$1,400,363; FY 10 est \$1,500,000

**Range and Average of Financial Assistance:**

\$250,000 to \$901,000; Average award depends on funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Beginning in fiscal year 2008, two new competitive funding opportunities were announced with one cooperative agreement awarded for the evaluation of reservoir-targeted vaccine formulations to prevent enzootic transmission of *Borrelia burgdorferi* (Lyme Borreliosis), and two cooperative agreements awarded for field trials to evaluate efficacy of natural products for the control of the tick vectors of Lyme disease spirochetes. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994. Pertinent information may be obtained by contacting the Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Bacterial Diseases Branch, Division of Vector-borne Infectious Diseases, National Center for Zoonotic, Vector-borne and Enteric Diseases, Coordinating Center for Infectious Diseases, Centers for Disease Control and Prevention, 3150 Rampart Road, Fort Collins, CO 80521. Branch Extramural Activities Contacts: Ms. Diane Hamm - Telephone: (970) 221-6414 and Dr. Charles B. (Ben) Beard - Telephone: (970) 221- 6418. Division Extramural Activities Contacts: Ms. Mary Ellen (Mel) Fernandez - Telephone: (970) 221-6426. Dr. Lyle R. Petersen - Telephone: (970) 221-6428.

**Headquarters Office:**

Trudy Messmer, Centers for Disease Control and Prevention, CCID/SSPU Extramural Programs, MS E60  
1600 Clifton Road, N.E., Atlanta, Georgia 30333 Email: [Trudy.Messmer@cdc.hhs.gov](mailto:Trudy.Messmer@cdc.hhs.gov) Phone: (404) 498-2271.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific merit by peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.943 EPIDEMIOLOGIC RESEARCH STUDIES OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) AND HUMAN IMMUNODEFICIENCY VIRUS (HIV) INFECTION IN SELECTED POPULATION GROUPS**

(Epidemiologic Research Studies of AIDS and HIV)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Act, Section 301.

**OBJECTIVES:**

To support research of important HIV-related epidemiologic issues concerning risks of transmission, the natural history and transmission of the disease in certain populations and development and evaluation of behavioral recommendations for reducing AIDS and HIV infection. Of special interest are programs that examine these research issues as they affect minority populations (defined as one of the four federally-recognized groups: African-Americans; Asian/Pacific Islanders; Latinos/Hispanics; and Native Americans).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is provided to support cooperative agreements that examine important epidemiologic research issues concerning AIDS and HIV infection. The research should contribute to the health services knowledge base from which empirically based information can be derived by policy makers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the PHS Grants Policy Statement.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States or their agents or instrumentalities, private research organizations, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, other public and private nonprofit organizations, and for-profit organizations.

**Beneficiary Eligibility:**

State and local health agencies; private research organizations, public and private nonprofit organizations, for profit organizations; minority groups; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and persons physically afflicted with AIDS/HIV infection.

**Credentials/Documentation:**

Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. A signed original and five copies of the application Form 398 must be sent to the Centers for Disease Control and Prevention (CDC). State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR 92 for State and Local Governments and 45 CFR 74 for nonprofit organizations, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days from receipt of application.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to three years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$4,416,307; FY09 - est \$3,044,300; FY10 - est \$3,044,300.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: 4046390022

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated based on the evidence submitted which specifically describes the applicant's abilities to meet the following criteria: (1) the plans to develop and implement the study describing how study participants will be identified, enrolled, tested and followed; (2) the ability to enroll and follow an adequate number of eligible study participants to assure proper conduct of the study. This includes both demonstration of the availability of HIV-infected potential study participants and the experience of the investigator in enrolling and following such persons; (3) the applicant's current activities in AIDS and HIV research and how they will be applied to achieving the objectives of the study; letters of support from cooperating organizations that demonstrate that nature and extent of such cooperation should be included; (4) the applicant's understanding of the research study objectives and, their ability, willingness and/or need to collaborate with CDC and researchers from other study sites in study design and analysis, including use of common forms, and sharing of specimens and data; (5) the plan to protect the rights and confidentiality of all participants and ensure adequate participation; (6) the size, qualifications and time allocation of the proposed staff and the availability of facilities to be used during the research study; (7) how the project will be administered to assure the proper management of the daily activities of the program; (8) the proposed schedule for accomplishing the activities of the research; including time frames; and (9) the quality of an evaluation plan which specifies methods and instruments to be used to evaluate the progress made in attaining research objectives.

**93.944 HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY VIRUS SYNDROME (AIDS) SURVEILLANCE**

(HIV/AIDS Surveillance)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To continue and strengthen effective human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS) surveillance programs and to effect, maintain, measure and evaluate the extent of HIV/AIDS incidence and prevalence throughout the United States and its territories, providing information for targeting and implementing HIV prevention activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries of staff conducting HIV/AIDS surveillance and sero surveillance activities, travel related to carrying out project activities and participating in national planning and implementation

meetings, necessary supplies, computer software and hardware, and laboratory, data collection, and analysis costs. Grant funds are to be additive to replace existing resources.

**Applicant Eligibility:**

The governments, or their agents or instrumentalities, of any of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, territories or possessions of United States, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and local governments who are current recipients of HIV/AIDS surveillance cooperative agreements.

**Beneficiary Eligibility:**

Official health agencies will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of an application PHS-5161-1, to the Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and Notice of Award (Form 5152-1) indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days after application submission.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Renewals may be approved for one to five years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$73,690,960; FY09 - est \$76,520,288; FY10 - est \$76,520,288.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS, 45 CFR 92; Application Instructions and Information and Program Guidance established by CDC for HIV/AIDS cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Official health agencies which are current recipients of funds for HIV/AIDS surveillance activities; (2) need and background; and (3) a willingness to comply with applicable CDC sero surveillance protocols.

**93.945 ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION AND CONTROL**

(State Cardiovascular Health Programs (CVH); and Racial and Ethnic Approaches to Community Health (REACH))

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act., Title 42, Section 301(a) and 317(c).

**OBJECTIVES:**

To work with State health agencies and other public and private nonprofit organizations in planning, developing, integrating, coordinating, or evaluating programs to prevent and control chronic diseases; assist in monitoring the major behavioral risks associated with the 10 leading causes of premature death and disability in the United States including cardiovascular diseases; and, establish new chronic disease prevention programs like Racial and Ethnic

Approaches to Community Health (REACH).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, implementing, and evaluating chronic disease prevention and control programs. Cooperative agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, tribal organizations, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa. Other public and private nonprofit community based organizations are also eligible (see REACH).

**Beneficiary Eligibility:**

State health agencies and community based organizations will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, State the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for Educational Institutions, and OMB Circular No. A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 and 74. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for these programs.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From 3 three to 5 five years. Budget period: Usually 12 months. Method of awarding/releasing assistance: lump sum.



**Reports:**

Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Cash reports are not applicable. Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required on a semi-annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$5,697,162; FY 09 est \$5,697,162; FY 10 est \$5,697,162

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are program regulations under 42 CFR 51b, Project Grants for Preventive Health Services. Guidelines are also available from PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to grants and cooperative agreements.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV.

**Headquarters Office:**

Mike Waller, 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5269.

**Website Address:**

<http://www.cdc.gov/nccdp/hp>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation criteria as published in the program and/or Federal Register Announcement.

**93.946 COOPERATIVE AGREEMENTS TO SUPPORT STATE-BASED SAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS**

(Infant Health and pre-term delivery Initiative; PRAMS; MCHEP; ART; VAW; Maternal Health Research)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human

Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a), 317K., Public Law USC-241(a); 241(a);.

**OBJECTIVES:**

PRAMS: To work with official public health agencies of States to: (1) establish and maintain State-specific, population-based surveillance of selected maternal behaviors that occur during pregnancy and the child's early infancy; and (2) generate State-specific data for planning and assessing perinatal health programs. MCHEP: To work with official public health agencies of States and localities to develop a multidisciplinary team of individuals dedicated to building the recipient's analytic capacity to use epidemiologic and surveillance data to address the health problems that affect its women, infants, and children. Prevention research activities related to women's health related to pregnancy, in vitro fertilization, violence around pregnancy, pre-term delivery, and other reproductive health complications.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

PRAMS: Cooperative Agreement funds may be used to develop a surveillance system that will identify behavioral risk factors during pregnancy and early infancy, and will identify problems in health care delivery. Funds may be used to support the following activities: (1) Obtaining a commitment of participation from the Maternal and Child Health, Vital Statistics, and Data Processing units; (2) assuring that the State PRAMS program will have access to needed vital records information; (3) forming a Steering Committee to promote user involvement; (4) developing a surveillance protocol; (5) preparing a questionnaire, including State-specific questions; (6) obtaining Institutional Review Board review and approval; (7) implementing surveillance operations, such as sampling, data collection, data management, database development, and data analysis; and (8) planning for data dissemination and use. MCHEP: Cooperative agreement funds may be used by grantees to build their analytic capacity to use epidemiologic and surveillance data to address health problems affecting women, infants and children. Grantees in States, D.C., cities, and U.S. territories will develop a multidisciplinary team to identify populations at increased risk of infant mortality and to help direct programs to reduce this risk. Funds may be used to: (1) Establish a risk-oriented approach to the reduction of infant mortality; (2) substantially build State and local surveillance and epidemiologic capabilities; (3) enhance capacity in States to use surveillance and epidemiologic findings in program and policy development, implementation, and evaluation; (4) disseminate such analytic capabilities to other States by providing information, direct technical assistance, and a pool of knowledgeable and experienced individuals for collaboration; (5) coordinate State programs in database development and intervention research; and (6) develop stronger interactive partnerships among State, territorial, and Federal. To carry out other types of surveillance, prevention research, and demonstrations projects as authorized under the Safe Motherhood authorization.

**Applicant Eligibility:**

PRAMS and MCHEP: Eligible Category A, maintenance of existing PRAMS surveillance system: eligible applicants are the official State public health agencies designated as vital statistics registration areas in the United States, the District of Columbia, the Commonwealth of Puerto Rico and for PRAMS are the jurisdictions that received direct funding from CDC for PRAMS activities. Also eligible is the public health agency of the City of New York, the only city public health agency designated as a Category A applicant. For PRAMS and MCHEP: Category B, eligible applicants are the official State and territorial public health agencies designated as registration areas for vital statistics, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, the Republic of Palau, and Federally-recognized Indian tribal governments. Prevention research eligibility includes public and private not-for-profit agencies including universities.

**Beneficiary Eligibility:**

Official State and Territorial public health agencies. City of New York public health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments

and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with the OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from the Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: up to five years. Budget Period: All programs: For 12 months. Assistance is awarded through the SMARTLINK II System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. Cash reports are not applicable. Progress reports are required annually. Annual financial reports are required at the end of each budget period. A final financial status report is due 90 days after the project period ends. Progress reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$5,206,524; FY 09 est \$5,233,801; FY 10 est \$5,233,801

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Lehnerr, 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5200.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All programs: (1) The extent to which the application describes and presents appropriate data indicating an understanding of the problem, the program for which assistance is requested, and the purpose of the cooperative agreement; (2) the degree to which the workplan addresses the stated needs, is likely to achieve the purposes of the cooperative agreement, and describes the specific roles and responsibilities of participating personnel; (3) the degree to which the application provides a complete and achievable timetable of appropriate events; (4) the adequacy of the plan to monitor progress toward the stated objectives; (5) the extent to which the budget is reasonable, consistent with the problems identified and the scope of the program proposed to address these problems, and the intended use of cooperative agreement funds, and clearly reflects the applicant's intent to commit nonfederal resources to support the operational costs of these programs. PRAMS only: The degree to which the application describes the process for registering births in the State.

**93.947 TUBERCULOSIS DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION**

Tuberculosis Demonstration, Research, Public and Professional Educational Programs

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(e), 42 U.S.C. 247(bb), as amended.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and nonprofit private entities in conducting research into prevention and control of tuberculosis nationally and internationally, especially in conducting demonstration projects for the prevention and control of tuberculosis; in providing public information and education programs for prevention and control of tuberculosis; and in developing education, training, and clinical skills improvement activities in the prevention and control of tuberculosis for health professionals, including allied health personnel.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Requests for direct assistance (i.e., "in lieu of cash") for personnel, equipment, and supplies directly related to project activities, particularly directly observed therapy, patient outreach, and program assessment will be considered. Project funds may not be used to supplant State or local funds available for tuberculosis control or to support construction costs or inpatient care.

**Applicant Eligibility:**

States, political subdivisions of States, and other public and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public and nonprofit private entities, serving persons with TB infection and disease.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with DHHS Regulations 45 CFR Part 74 Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCHHSTP in accordance with the review criteria listed above. As part of the initial merit review, all applications may: 1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; 2) receive a written critique; and 3) receive a second level review by the Science and Program Review Subcommittee (SPRS). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

From 60 to 90 days. Project periods are for three to five years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(e). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From three to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Either quarterly or semi-annual narrative and statistical progress reports are required. Progress reports are required 90 days after the end of a project period. Report should address the recipients progress of achievement of the stated objectives. Annual financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 08 \$542,683; FY 09 est \$654,883; FY 10 est \$774,882

**Range and Average of Financial Assistance:**

\$112,200 to \$230,000 with an average of \$130,977.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: An award was made during fiscal year 2008 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award was made to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop,

establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award was also made during fiscal year 2008 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. In fiscal year 2008, three awards were made. Fiscal Year 2009: An award is expected during fiscal year 2009 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested parties to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2009 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2009, an award is also expected to an organization to travel laboratory staff to a national meeting. It is estimated that four awards will be made in fiscal year 2009. Fiscal Year 2010: An award is expected during fiscal year 2010 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested parties to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2010 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2010, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that five awards will be made in fiscal year 2010.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Heather Duncan, 1600 Clifton Road, MS E-10, Atlanta, Georgia 30333 Email: hld0@cdc.gov Phone: (404) 639-8131 Fax: (404) 639-8604.

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.978 Preventive Health Services\_ Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991 Preventive Health and Health Services Block Grant

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: A project to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology. Fiscal Year 2009: A project to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology. Fiscal Year 2010: A project to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent of the tuberculosis problem; the establishment of specific and measurable objectives; and the development of a

sound operational plan that will ensure the implementation of each program's elements.

### **93.954 TRIBAL RECRUITMENT AND RETENTION OF HEALTH PROFESSIONALS INTO INDIAN HEALTH PROGRAMS**

Tribal Recruitment and Retention of Health Professionals into Indian Health Programs

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Indian Health Care Improvement Act, Section 110, Public Law 94-437.

#### **OBJECTIVES:**

To make financial assistance awards to Indian tribes and tribal and Indian health organizations to enable them to recruit, place, and retain health professionals to fill critical vacancies and to meet the staffing needs of Indian health programs and facilities including those administered by the Indian Health Service (IHS).

#### **TYPES OF ASSISTANCE:**

Training

#### **USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit and retain health professionals into Indian health programs and facilities. All IHS funds are discretionary funds.

#### **Applicant Eligibility:**

Any federally-recognized Indian tribe or tribal or Indian health organization is eligible to apply.

#### **Beneficiary Eligibility:**

Preference is given to those applicants who propose to recruit for health programs and facilities that IHS has designated as high priority for the IHS Loan Repayment Program for physicians, nurses, and other health professions.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for other institutions will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact the Grants Policy Office at (301) 443-6290 at least 15 days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

#### **Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

#### **Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted via [grants.gov](http://grants.gov) annually. Continuation funding is subject to availability of funds, satisfactory performance, and continuing need of the IHS for the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Operations 90 after the end of each budget period. IHS grants are monitored by the Division of Grants Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Grants and Cooperative Agreements) FY 08 100,000; FY 09 est \$100,000; and FY 10 est \$100,000.

**Range and Average of Financial Assistance:**

\$60,000 to \$100,000; \$82,900.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; HHS Grants Policy Statement dated 1/07.

**Regional or Local Office:**

None. For program information, contact Mr. Darrell Pratt, Leader, Health Professions Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-5710. For grants management information, contact Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson

Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

IHS Grants Policy Staff, 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: (301) 443-6290.

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Need - Is the need for the project justified? If a project targets urban Indian health programs, is there justification and documentation for conducting activities at that site? Do proposed efforts complement and expand past recruitment efforts? Approach - Are the objectives well stated? Is the applicant's work plan for conducting the project sound and effective? Is the approach innovative? Are the activities proposed cost effective and will they lead to effective recruitment, placement, and retention? Adequacy of Management Controls - Is the applicant capable of successfully conducting the project both from a technical and business standpoint? Is the proposed interaction with IHS staff adequate for an application for recruitment of Federal staff? Is the budget sound in relation to the work plan and does it assure effective utilization of grant funds? Are the facilities and equipment adequate? Key Personnel - Regarding the position descriptions, are the qualifications of key personnel appropriate and adequate to carry out the project? If a resume is provided, are the individual's qualifications and experiences consistent with the position description and conduct of the project?.

**93.958 BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES**

(CMHS Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XIX, Part B, Subpart I; as amended, Public Law 106-310, 42 U.S.C 300X.

**OBJECTIVES:**

To provide financial assistance to States and Territories to enable them to carry out the State's plan for providing comprehensive community mental health services to adults with a serious mental illness and to children with a serious emotional disturbance; monitor the progress in implementing a comprehensive community based mental health system; provide technical assistance to States and the Mental Health Planning Council that will assist the States in planning and implementing a comprehensive community based mental health system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except for certain requirements. State plans must meet prescribed criteria. Services under the plan will be provided only through appropriate, qualified community programs (which may include community mental health centers, child mental-health programs, psychosocial rehabilitation programs, mental health peer-support programs and mental-health primary consumer-directed programs). Services under the plan will be provided through community mental health centers only if the centers meet prescribed criteria. Up to 5 percent of grant funds may be used for administering the funds. Funds may not be used to provide inpatient services; to make cash payments to intended recipients of health services; to purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment; to satisfy any requirement for the expenditure of nonfederal funds as a condition for the receipt of Federal funds; or to provide financial assistance to any entity other

than a public or nonprofit private entity.

**Applicant Eligibility:**

State and U.S. Territory Governments.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State or Territory must apply annually for an allotment. States are required to submit an application which contains a State Plan that describes comprehensive community mental health services for adults with a serious mental illness and children with a serious emotional disturbance, an Implementation Report that describes State progress in implementing the plan for the preceding year, recommendations from the State Mental Health Planning Council, a report on expenditure of the preceding fiscal year's block grant funds, a maintenance of effort report and agreements signed by the Chief Executive Officer of the State.

**Award Procedure:**

Grant Awards are issued directly by The Center for Mental Health Services, Substance Abuse and Mental Health Services Administration (SAMHSA) to the designated State agency.

**Deadlines:**

Sep 01, 2009 The application is due no later than September 1 of the fiscal year prior to the fiscal year for which CMHS Block Grant funding is being requested. The Implementation report is due December 1.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PHS Act, Title XIX, Part B, Subpart I, Public Law 106-310.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Under section 1915(b) of the Public Health Service Act, States are required to maintain aggregate State expenditures for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year in which it was allotted through the end of the subsequent fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As part of the application, each State must submit an Implementation Report that describes the State's progress in implementing the State's Comprehensive Community Mental Health Services Plan for the preceding fiscal year and a report of the purposes for which the grant received for the preceding fiscal year were expended, including a description of the activities of the State under the program and the recipients of the funds. Quarterly report SF 272 requires by the Division of Payment Management. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$399,735,453; FY 09 est \$399,735,000; FY 10 est \$399,735,000

**Range and Average of Financial Assistance:**

\$50,000 to \$53,996,249; 6,775,169.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 59 awards were made. Fiscal Year 2009: 59 awards were made. Fiscal Year 2010: It is estimated that 59 awards will be made in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara J. Orlando, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: barbara.orlando@samhsa.hhs.gov Phone: (240) 276-1422 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and regulatory requirements. For information regarding statutory and regulatory requirements, contact Dr. Joyce Berry, State Planning and Systems Development Branch, Center for Mental Health Services, SAMHSA, PHS, 1 Choke Cherry Road, Room 2-1093 Rockville, MD 20850. Telephone: (240) 276-1736.

**93.959 BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE**

(Substance Abuse Prevention and Treatment (SAPT) Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XIX, Part B, Subpart II; as amended, Public Law 106-310, Public Law 106-310, 42 U.S.C 300x.

**OBJECTIVES:**

To provide financial assistance to States and Territories to support projects for the development and implementation of prevention, treatment and rehabilitation activities directed to the diseases of alcohol and drug abuse.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the States to achieve the statutory objectives, including the fulfillment of certain requirements. Not less than 20 percent of the funds shall be spent for programs for individuals who do not

require treatment for substance abuse, but to educate and counsel such individuals and to provide for activities to reduce the risk of such abuse by the individuals by developing community-based strategies for prevention of such abuse, including the use of alcoholic beverages and tobacco products by individuals to whom it is unlawful to sell or distribute such beverages or products. States shall expend not less than 5 percent of the grant to increase (relative to fiscal year 1994) the availability of treatment services designed for pregnant women and women with dependent children (either by establishing new programs or expanding the capacity of existing programs). In addition, a State that has a rate of acquired immune deficiency syndrome in excess of the rate stipulated at 42 USC 300A-24(b) must expend the portion of its block grant specified by 300A-24(b) for HIV early intervention services as defined by the PHS Act. States must require programs of treatment for intravenous drug abuse to admit individuals into treatment within 14 days after making such a request or 120 days of such a request, if interim services are made available within 48 hours. States will provide, directly or through arrangements with other public or nonprofit entities, tuberculosis services such as counseling, testing, treatment, and early intervention services for substance abusers at risk for the human immunodeficiency virus (HIV) disease. Other statutory requirements also apply.

**Applicant Eligibility:**

State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act. members of Indian Tribes or Tribal Organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State, Territory, or Tribal Organization (limited to the Red Lake Band of the Chippewa) must apply annually for an allotment.

**Award Procedure:**

Grant awards are issued directly by the Center for Substance Abuse Treatment to the designated State Agency, Territory, or Tribal organization (limited to the Red Lake Band of the Chippewa).

**Deadlines:**

Oct 01, 2009 The application is due no later than October 1 of the fiscal year for which SAPT Block Grant funding is being requested.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title XIX, Part B, Subpart II, Public Law 106-310. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details. This program has MOE requirements, see funding agency for further details. Under section 1930 Public Health Service Act, States expenditure for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted through the end of the subsequent fiscal year for which the State is applying for the grant. Method of awarding/releasing assistance: quarterly.

**Reports:**

Synar report is due on December 31. Quarterly report SF272 requires by the Division of Payment Management. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

The State's law and practices will govern, subject to guidance and regulations as may be promulgated by the Center for Substance Abuse Treatment, in accordance with the statutory requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$1,670,791,542; FY 09 est \$1,689,661,450; FY 10 est \$1,689,661,450

**Range and Average of Financial Assistance:**

\$110,804 to \$250,794,726; \$28,161,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 60 awards were made. Fiscal Year 2009: 60 awards were made. Fiscal Year 2010: It is estimated that 60 awards will be made in fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara J. Orlando, 1 Choke Cherry Rd., Rockville, Maryland 20857 Email: barbara.orlando@samhsa.hhs.gov Phone: (240) 276-1422.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and Federal regulations and regulatory requirements. For information on statutory and Federal regulations requirements contact John J. Campbell, Division of State and Community Assistance, Center for Substance Abuse Treatment, SAMHSA, 1 Choke Cherry Road, Room 5-1069 Rockville, MD 20857.

**93.964 PUBLIC HEALTH TRAINEESHIPS**

(Public Health Traineeships)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 767, as amended (42 U.S.C.

295b).

**OBJECTIVES:**

To support traineeships for students in graduate educational programs in accredited schools of public health and to other public or nonprofit private institutions accredited for the provision of graduate or specialized training in Public Health which offer graduate programs for training in Public Health fields with a severe shortage, e.g., (1) Biostatistics; (2) epidemiology; (3) environmental health; (4) toxicology; (5) nutrition; and (6) maternal and child health.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institution's established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Schools and programs of Public Health and other public or nonprofit private educational entities, including faith-based and community-based organizations accredited by the Council on Education for Public Health, and other public or nonprofit private institutions accredited by a body recognized for this purpose by the Secretary of the Department of Education.

**Beneficiary Eligibility:**

(1) Trainees must be United States Citizens or non-citizen nationals and foreign nationals who possess a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an accredited school of public health or other eligible institution. (3) For grants awarded on the basis of a formula, all trainees must meet the admission requirements specified in the approved grant application and those of the institution.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 5 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three (3) years of support.

**Formula and Matching Requirements:**

Statutory Formula: Available funds are provided to schools of public health and other eligible accredited applicants on the basis of a formula which considers comparative enrollment of trainees in the applicant's proposal. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant support may be requested for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureau's web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. A financial status reports must be submitted within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$1,318,492; FY 09 est \$1,434,356; FY 10 est \$1,568,264

**Range and Average of Financial Assistance:**

\$9,404 to \$182,096; \$57,194.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 08, 22 continuation awards were made. Fiscal Year 2009: A competition is expected in FY 09. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Carol Corbie, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6853 and email: [ccorbie@hrsa.gov](mailto:ccorbie@hrsa.gov).



**Headquarters Office:**

Carol Corbie 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-6853

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Support of trainees who are pursuing a graduate course of study in: (1) biostatistics (2) epidemiology; (3) environmental health; (4) nutrition; (5) toxicology; and (6) maternal and child health. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.965 COAL MINERS RESPIRATORY IMPAIRMENT TREATMENT CLINICS AND SERVICES**

(Black Lung Clinics)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Federal Mine Safety and Health Act, Section 427(a); Black Lung Benefits Act; Public Law 95-239.

**OBJECTIVES:**

(1) To develop high quality, patient-oriented, integrated systems of care which assure access to and continuity of appropriate primary, secondary and tertiary care with maximum use of existing resources; (2) to minimize the effects of respiratory and pulmonary impairments in coal miners and others with occupational related respiratory diseases; and (3) to emphasize patient and family member education to maximize the patient's ability for self-care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

USES: Grants may be used for the cost of providing diagnostic and treatment procedures required in the management of black lung and other respiratory impairments in coal miners and others with occupational related respiratory diseases, and costs of equipment and facilities renovation when these costs are demonstrated to be necessary to enable the implementation of services.

RESTRICTIONS: Support is available only in areas where it can be demonstrated that there are significant numbers of active and/or inactive coal miners.

**Applicant Eligibility:**

Any State and/or public or private entity. Federally recognized tribes and tribal organizations are eligible to apply.

**Beneficiary Eligibility:**

Coal workers with respiratory and pulmonary impairments and their families.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will cover operational costs and grantees will generally be expected to begin to deliver services immediately. However, at the discretion of the awarding office, up to 6 months may be allowed for planning and program development. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. The Black Lung Clinics Program Database report is due annually according to specific instructions from the Program Office. No cash reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 08 \$5,600,000; FY 09 est \$7,200,000; FY 10 est \$7,200,000

**Range and Average of Financial Assistance:**

Range of awards is \$ \$149,656 to \$ \$1,504,940. The average award is \$387,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In FY 07, 08 and 09, 15 grantees were to serve victims of black lung disease. Fiscal Year 2009: In FY 07, 08 and 09, 15 grantees were to serve victims of black lung disease. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Sheila Tibbs, stibbs@hrsa.gov; 301-443-4304; Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane Room 9A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 9-A55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

17.307 Coal Mine Workers' Compensation; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) A statewide program of Black Lung Clinics as part of community primary care centers with coordination and assistance from the State health department; (2) an area-wide system of clinical and educational services in a rural area for Black Lung victims administered by a secondary referral hospital through linkage arrangements with other provider agencies; and (3) a respiratory clinic operated by a nonprofit community organization to serve Black Lung victims in a county. Primary care services can be provided by private practitioners and community clinics through referral agreements. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must: (1) Serve a significant number of coal workers with pulmonary impairment without regard for their ability to pay; (2) maximize use of existing resources; (3) assure high quality treatment services and management; (4) assure that enrolled clients will receive education and training in the management of their health care; (5) establish agreements with all levels of care providers to assure continuity of care; (6) provide a coordinator of patient care who will assure the implementation of a patient care plan for each enrollee; and (7) coordinate with other similar projects to assure access to those who need services without duplication of effort.

**93.970 HEALTH PROFESSIONS RECRUITMENT PROGRAM FOR INDIANS**

(Recruitment Program)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Title I, Sections 202, 112, 114, and 122, Public Law 94-437, as amended, Public Laws 96-537, 100-713, and 102-573.

**OBJECTIVES:**

(1) To identify American Indians and Alaska Natives with a potential for education or training in the health professions, and to encourage and assist them to enroll in health or allied health professional schools; (2) to increase the number of nurses, nurse midwives, nurse practitioners and nurse anesthetists who deliver health care services to American Indians and Alaska Natives; and (3) to place health professional residents for short-term assignments at Indian Health Service (IHS) facilities as a recruitment aid.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Public or private nonprofit health or educational entities or Indian tribes or tribal organizations as specifically provided in legislative authority.

**Beneficiary Eligibility:**

Preference is given to applicants in the following order of priority: (1) Indian tribes; (2) tribal organizations; (3) urban Indian organizations and other Indian health organizations; or (4) other public or nonprofit health or educational entities.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs for other institutions will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center hours of operation are Monday-Friday from 7:00 a.m. to 9:00 p.m. (Eastern Standard Time). If you require additional assistance please contact the Grants Policy Office at (301) 443-6290 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

**Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 30 to 60 days. Continuation applications must be submitted annually. Continued funding is subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System (PMS) or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantee will be required to submit, quarterly PMS 272 Federal Cash Transaction Reports to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 days after the end of the project period. A SF269 Financial Status Report will be due to the Division of Grants Operations 90 days after the end of each budget period. IHS grants are monitored by the Division of Grants Operations for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 08 \$0; FY 09 est \$1,250,000; FY 10 est \$1,250,000

**Range and Average of Financial Assistance:**

In fiscal year 2009 1 application is expected to be awarded at \$250,000. In fiscal year 2010 1 continuation is expected to be awarded at \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fiscal year 2008 \$0. Fiscal Year 2009: Fiscal year 2009 1 application is expected to be funded. Fiscal Year 2010: Fiscal year 2010 1 application is expected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.310 - 36.319. Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; and Public Law 102-573, enacted October 29, 1992; HHS Grants Policy Statement revised January, 2007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kimberly M. Pendleton, 12300 Twinbrook Parkway Suite 360, Rockville, Maryland 20852 Email: kimberly.pendleton@ihs.gov Phone: (301) 443-2214.

**Website Address:**

<http://www.ihs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: The University of North Dakota recruited Indians into its medical and health care programs; and (2) the Arizona State University recruited students for nursing careers, and provided scholarship support through the grant. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Potential effectiveness of the proposed project in carrying out such purposes, (2) the demonstrated capability of the applicants to successfully conduct this type of project, (3) accessibility of the applicant to the target population, (4) relationship of project objectives and known or anticipated Indian health manpower objectives, (5) soundness of the fiscal plan, (6) cost reasonableness, and (7) completeness of the application.

**93.971 HEALTH PROFESSIONS PREPARATORY SCHOLARSHIP PROGRAM FOR INDIANS****FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To make scholarships to American Indians and Alaska Natives for the purpose of completing compensatory pre-professional education to enable the recipient to qualify for enrollment or re-enrollment in a health professions school or curriculum.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Awards are limited to a maximum of 2 years of full-time scholarship support under this section of the Indian Health Care Improvement Act.

**Applicant Eligibility:**

Scholarship awards are made to individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency and who have been accepted for enrollment in a compensatory, pre-professional general education course or curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility verification from the college advisor that the courses or curriculum to be taken are required to meet the applicant's deficiency and compensatory needs at the professional level and represent the number of credit hours which the school considers as full-time or at least 6 credit hours per semester for part-time. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service (IHS) Scholarship Program acting through the IHS Area Program Offices. Application forms and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) should be submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Payments for stipends and books are made directly to the individual applicant. Tuition payments and fees are made to the college or university, upon receipt of an invoice.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly, for 10 months or for the academic period if students attends summer school. Amount for books and other necessary expenses are provided to student. See the following for information on how assistance is awarded/released: Tuition payments are paid upon receipt of invoices from the universities. Stipend payments are paid monthly, for 10 months or for the academic period if students attends summer school. Amount for books and other necessary expenses are provided to student.

**Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial progress reports on forms supplied by IHS and notifications of problems/changes. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Indian Health Service Scholarship Branch, IHS, maintains records on all students. Records are maintained for 4 years after the final award payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Grants) FY 08 \$2,519,107; FY 09 \$2,519,107; and FY 10 \$2,519,107.

**Range and Average of Financial Assistance:**

\$17,500 to \$26,019; \$17,366.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.320 - 36.324. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register on November 18, 1977.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Program Contact: Ms. Patricia Lee-McCoy, Scholarship Branch, Division of Health Professions Support, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be American Indian or Alaska Native. Other elements considered are: (1) Academic performance; (2) faculty recommendation; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions are taken under consideration.

**93.972 HEALTH PROFESSIONS SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 104.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives at health professions schools in order to obtain health professionals to serve Indians. Upon completion, scholarship recipients are obligated to serve in the Indian Health Service or an Indian health organization for each year of support with a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarships support students who pursue full-time or part-time courses of study in health professions needed by the Indian Health Service (IHS). Disciplines have included allopathic and osteopathic medicine, dentistry, nursing (baccalaureate and graduate), public health nutrition (graduate), medical social work (graduate), speech pathology/audiology (graduate), optometry, pharmacology and health care administration. Not all disciplines participate each year. Scholarships may not be awarded to students who have conflicting service obligations after graduation or who are not enrolled members of Federally-recognized tribes. Recipients are required to perform 1 year of obligated service for each year of scholarship support, with a minimum obligation of 2 years in the Indian Health Service, or in a program conducted under a contract entered into under the Indian Self-Determination Act; or in an Indian health organization assisted under Title V of the Indian Health Care Improvement Act; or in private practice in a Health Manpower Shortage Area which addresses the health care needs of a substantial number of Indians. Deferment for internship, residency, or other advanced clinical training for medical, osteopathy, and dental students is generally not to exceed 3 years, consistent with the specialty needs of the IHS. Currently, 4-year deferments may be granted for obstetrics- gynecology and psychiatry residencies.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of a Federally-recognized tribe are eligible. Applicants for new awards: (1) must be accepted by an accredited U.S. educational institution for a full-time or part-time course of study leading to a degree in medicine, osteopathy, dentistry, or other participating health profession which is deemed necessary by the Indian Health Service; (2) be eligible for or hold an appointment as a Commissioned Officer in the Regular or Reserve Corps of the Public Health Service; or (3) be eligible for civil service in the Indian Health Service.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of Federally-recognized tribe; full-time students of medicine or other health professions; prospective or currently Commissioned Officers in the Regular or Reserve Corps of the Public Health Service; and eligible civilians of the Indian Health Service.

**Credentials/Documentation:**

Students claiming Indian priority must submit proper certification and documentation as specified in the application. All applicants must provide transcripts of their latest academic work. All incoming freshmen are to provide copies of acceptance letters for enrollment in school. This program is excluded

from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service Scholarship Program, acting through the IHS Area offices.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. Special consideration is given to junior and senior level students whose specialty plans are in primary care fields. Criteria which determine competitive ranking awards may include: (1) work experience, preferably health-related in communities of health care need; (2) personal background from a community of health care need; (3) career goals of primary care practice in service to Indians; and, (4) academic performance. Student financial need does not affect selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Maximum length of funding is a total of 4 years. See the following for information on how assistance is awarded/released: Tuition payments and fees are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the 12-month academic period. An amount for books and other necessary expenses is provided to the student.

**Reports:**

No program reports are required. Annual reports are required from schools indicating average student educational expense. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial and mid-term progress reports on forms supplied by IHS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

The Indian Health Service Scholarship Program, maintains records for 7 years following completion of obligated service or other disposition of the scholarship obligation.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - (Grants) FY 08 \$9,603,857; FY 09 \$9,603,857; and FY 10 \$9,603,857.

**Range and Average of Financial Assistance:**

\$24,128 to \$38,222; \$24,694.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Ms. Pat Lee-McCoy, IHS Scholarship Program, Division of Health Professions Support, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-6197. Grants Management Contact: Ms. Kimberly Pendleton, Senior Grants Management Officer, Division of Grants Management Operations, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS. See Appendix IV of the Catalog for Indian Health Service Area Program Offices.

**Headquarters Office:**

IHS Grants Policy Staff 12300 Twinbrook Parkway, Suite 625, Rockville, Maryland 20852 Phone: 301-443-6290

**Website Address:**

<http://www.ihs.gov> .

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Academic performance; (2) faculty recommendations; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions.

**93.975 NATIONAL ALL SCHEDULES PRESCRIPTION ELECTRONIC REPORTING GRANT**

NASPER

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 3, Part P, Public Law 109-60, 42 U.S.C 280g-3.

**OBJECTIVES:**

To foster the establishment of State-administered controlled substance monitoring programs (PMP) in order to ensure that health care providers have access to the accurate, timely prescription history information that they may use as a tool for the early identification of patients at risk for addiction in order to initiate appropriate medical interventions and avert the tragic personal, family, and community consequences of untreated addiction.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) are to be used for expense clearly related and necessary to carry out the establishment and implementation of a State PMP or to make improvements to an existing State PMP.

**Applicant Eligibility:**

State and District of Columbia.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. All applicants must use application HHS-5161-1. States, including the District of Columbia, must apply annually for an allotment, and are required to submit an application which contains a State response to how it would meet the requirements set forth in the Request for Application (RFA).

**Award Procedure:**

Application for grants recommended for approval by the review group and concurred by the Center Director (CSAT) are awarded directly by CSAT to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PHS Act Title III, Part P, Public Law 109-60; 42 USC 280g-3.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly report SF272 requires by the Division of Payment Management. Bi-annually. Bi-annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement. If any litigation, claim, negotiation, audit or other actions involving the records, records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$2,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$21,467 to \$113,129; \$33,779 (if all States apply and are approved by CSAT).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and 92 and the HHS Grant Policy Statement found at <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Fan, 1 Choke Cherry Rd., Room 2-1084, Rockville, Maryland 20857  
Email: [jennifer.fan@samhsa.hhs.gov](mailto:jennifer.fan@samhsa.hhs.gov) Phone: (240) 276-1759.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible applicants who submit an application for improving a State PMP must include a budget cost estimate and a plan for ensuring that the State controlled substance monitoring program is in compliance to the following criteria and penalty requirements: criteria for security information handling and for the database maintained by the State; an agreement to adopt interoperability standards, including health vocabulary and messaging standards, set by SAMHSA; criteria for meeting the uniform electronic format set by SAMHSA; criteria for availability of information and limitation on access to program personnel; criteria for access to the database and procedures to ensure that information in the database is accurate; criteria for the use and disclosure of information including the description of the certification process to be applied to requests for information; penalties for the unauthorized use and disclosure of information maintained in the monitoring program in violation of applicable State law or regulation. A plan is also needed to enable the State PMP to achieve interoperability with at least one other State PMP. Assurances of compliance must be made; however, if compliance is not feasible or is contrary to the best interests of public health in that state, a statement describing why must be submitted. In addition to the criteria mentioned above, applications for establishing and implementing a State PMP must also include information on the relevant State laws, policies, and procedures regarding purging of information from the database; and assurances of compliance with all requirements for this program.

**93.977 PREVENTIVE HEALTH SERVICES\_SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Public Law 100-202.

**OBJECTIVES:**

To reduce morbidity and mortality by preventing cases and complications of sexually transmitted diseases (STD). Project grants under Section 318c awarded to State and local health departments emphasize the development and implementation of nationally uniform prevention and control programs which focus on disease intervention activities designed to reduce the incidence of these diseases, with applied research, demonstration, and public and professional education activities supporting these basic program activities authorized under Section 318b of the Public Health Service Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) Sexually-transmitted disease (STD) surveillance activities, including reporting, screening, and follow-up of diagnostic tests for, and diagnosed cases of, STD; (2) STD case finding and case follow-up activities, including notification of sex partners to infectious cases of STD and follow-up systems; (3) interstate epidemiological referral and follow-up activities; (4) program-specific professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities as authorized under section 318(b) of the PHS Act; (5) program-specific STD education and information activities as authorized under Section 318b of the PHS Act; (6) special studies or demonstrations to evaluate or test STD prevention activities; and (7) control strategies and activities as may be prescribed by the Secretary. Grant funds may not be used for: (1) Supplanting funds supporting existing STD control services provided by a State or locality; or (2) unless specifically approved for that purpose, grant funds shall not be used for performing diagnostic tests (other than gonorrhea screening tests), maintaining central registries, providing diagnostic and treatment facilities and services, or purchasing automated data processing

equipment.

**Applicant Eligibility:**

Any State, and, in consultation with the appropriate State Health Authority, any political subdivision of a State, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State or authorized subdivision including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Telephone: (770) 488-2720. This program is subject to the provisions of 45 CFR, 92. The standard application forms, as furnished by PHS and required by 45 CFR, 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Bi-Annual and Annual performance reports. Financial status reports no later than 90 days after the end of each specified period. No expenditure reports are required. Bi-Annual and Annual.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$103,905,734; FY09 - est \$103,598,050; and FY10 - est \$103,291,277.

**Range and Average of Financial Assistance:**

\$43,000 to \$6,723,000; Average- \$1,345,429.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/std/>

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.260 Family Planning\_Personnel Training; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.865 Child Health and Human Development Extramural Research; 93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the magnitude of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element.

**93.978 PREVENTIVE HEALTH SERVICES, SEXUALLY TRANSMITTED DISEASES RESEARCH, DEMONSTRATIONS, AND PUBLIC INFORMATION AND EDUCATION GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 318b, Public Law 100-202.

**OBJECTIVES:**

To develop, improve, apply, and evaluate methods for the prevention and control of gonorrhea, chlamydia, syphilis, and other sexually-transmitted

diseases (STD) through demonstrations and applied research; to develop, improve, apply, and evaluate methods and strategies for public information and education about syphilis, gonorrhea, chlamydia and other STD, and to support professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) The costs associated with planning, organizing, and conducting applied research, demonstrations, and education programs; (2) professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities; and (3) to reimburse individuals asked to be participants in the applied research. Such reimbursements must be submitted for specific approval. Grant funds may not be used for supplanting funds supporting existing STD control services provided by a State or locality. Proposals for applied research involving human subjects must follow current Public Health Service (PHS) and Centers for Disease Control and Prevention (CDC) guidelines on human experimentation.

**Applicant Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria listed above. As part of the initial merit review, all applications may: 1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; 2) receive a written critique; and 3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the

Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as in Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 not reported.; FY 09 est not reported.; FY 10 est not reported. - FY08 - \$4,711,432; FY09 - est \$4,861,434; and FY10 - est \$4,861,434.

**Range and Average of Financial Assistance:**

\$242,921 to \$610,912; Average - \$358,572.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

**Website Address:**



<http://www.cdc.gov/std/>.

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.260 Family Planning\_Personnel Training; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.865 Child Health and Human Development Extramural Research; 93.977 Preventive Health Services\_Sexually Transmitted Diseases Control Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the need for the proposal and its potential benefit(s) to STD control; possible effects upon local STD control programs; consistency with national program goals; specific and measurable objectives; a workable and meaningful plan for evaluation; and a sound operational plan that ensures the proposal can be carried out to reach stated objectives.

**93.982 MENTAL HEALTH DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH**

(Mental Health Disaster Assistance)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act., Section 416, Public Law 100-707.

**OBJECTIVES:**

To provide supplemental emergency mental health counseling to individuals affected by major disasters, including the training of workers to provide such counseling.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funds for staff, travel, consultants and other expenses incident to the provision of mental health counseling to and referral of individuals in a disaster area. Funds may not be used for long-term treatment.

**Applicant Eligibility:**

Applicants may be State or local nonprofit agencies as recommended by the State Governor and accepted by the Secretary.

**Beneficiary Eligibility:**

Individuals who were victims of major disasters.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. Application form (PHS 5161-1) is submitted by the State Coordinating Officer to the Regional Director, Federal Emergency Management Agency, no later than 60 days following declaration of a disaster. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed by an objective review committee and recommended for approval or disapproval. Final determination for an award is made by Federal Emergency Management Agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. 30 to 60 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance may be for 9 months with a possible extension of up to 90 days as approved by FEMA Regional Director. See the following for information on how assistance is awarded/released: SAMHSA Grants Management Office notifies grantees through a Notice of Award (NoA).

**Reports:**

A final progress report is due 90 days after the end of the budget/project period. No cash reports are required. A final progress report is due 90 days after the end of the budget/project period. The project officer requires a quarterly budget expenditure report to determine the supplemental funding. The project officers monitors grantees progress through frequent site visits and request for budget changes, etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Project Grants (Special)) FY 08 \$38,667,953; FY 09 est \$29,754,402; FY 10 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2008, 10 disaster assistance awards were made. Fiscal Year 2009: In fiscal year 2009, 13 disaster assistance awards were made. Fiscal Year 2010: Unknown.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 44 CFR 205. Guidelines available in application kit. Disaster Assistance and Emergency Mental Health, DHHS Publication No. (ADM) 76-327. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Director, Federal Emergency Management Agency in the appropriate regional office. (See

Appendix IV of the Catalog.)

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

http://www.samhsa.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In fiscal year 2008, 10 disaster assistance awards were made.  
Fiscal Year 2009: In fiscal year 2009, 13 disaster assistance awards were made.  
Fiscal Year 2010: Unknown.

**CRITERIA FOR SELECTING PROPOSALS:**

Presidential declaration of the disaster area. Justified need for supplementary services.

**93.988 COOPERATIVE AGREEMENTS FOR STATE-BASED DIABETES CONTROL PROGRAMS AND EVALUATION OF SURVEILLANCE SYSTEMS**

(DPCPs)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a) 317(k)(3), Public Law USC-95-626.

**OBJECTIVES:**

Provide resources to state health departments to: 1) Determine the size and nature of diabetes-related problems and why they exist; 2) develop and evaluate new strategies for diabetes prevention; 3) establish partnerships to prevent diabetes problems; 4) increase awareness of diabetes prevention and control opportunities among the public, the health care and business communities, and people with diabetes; 5) improve access to quality care in order to prevent, detect and treat diabetes complications; 6) emphasize prevention of complications and premature mortality among people with diabetes; and 7) utilize a model of influence by linking new programs and existing programs that support social and environmental policies for the promotion of wellness in both people with diabetes and those at risk for diabetes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used for costs associated with planning, implementing, and evaluating State based diabetes control programs. Cooperative Agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

State health agencies will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Matching funds are required from non-federal sources in the amount of not less than \$1 for each \$4 federal funds awarded to grantees.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For 5 years. Budget period: Approximately 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. A plan of action is required annually. Special studies will require protocols, subject to approval. Cash reports are not applicable. Progress reports are required annually. A plan of action is required annually. Special studies will require protocols, subject to approval. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required annually. A plan of action is required annually. Special studies will require protocols, subject to approval.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 08 \$27,984,359; FY 09 est \$27,434,043; FY 10 est \$27,434,043

**Range and Average of Financial Assistance:**

FY 09 range is \$202,000 to \$1,043,922.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Barbara Park, Program Development Branch, Division of Diabetes Translation, National Center for Chronic Disease Prevention and Health Promotion, Centers for Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (770) 488-1094. Grants Management Contact: Hector Buitrago, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488- 2921.

**Headquarters Office:**

Barbara Z Park, 2877 Brandywine Road  
Williams Building, Atlanta, Georgia 30341 Email: BPark@cdc.gov Phone:  
(770) 488-1094 Fax: (770) 488-5966.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Background and Need - the extent to which the applicant justifies the need for this program, including whether sufficient information is provided to describe the diabetes burden in the state, the state's environment, anticipated barriers to reducing the burden of diabetes, and plans to overcome barriers.  
Project Work Plan 1) Administration, Management, and Leadership - the extent to which the applicant describes plans to address recipient activities in the following categories that are realistic and feasible given the time and resources allocated: a) Five-year Strategic Plan, b) Leadership and Collaboration/Partnership, c) Training, Technical Assistance, and Consultation, d) Coordination of Efforts among Chronic Disease Prevention and Health Promotion Programs, e) Information Exchange, f) Sustainability, and g) Program Management, including the extent to which the staffing number and qualifications will support the objectives and activities of the program. 2) Surveillance, Analyses, and Evaluation - the extent to which the applicant describes plans to address recipient activities in these three categories that are realistic and feasible given the time and resources allocated.  
Accomplishments - the extent to which the applicant describes the program accomplishments within the past five and a half years, including the program's contributions to improving the current national objectives.  
Proven Capacity - the extent to which the applicant's narrative description of its past performance demonstrates its ability to manage fiscal resources, implement an effective management plan, and maintain and develop adequate leadership and staffing capacity to carry out the program objectives/activities.

**93.989 INTERNATIONAL RESEARCH AND RESEARCH TRAINING**

Global Health Research and Research Training

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301 and 405, as amended; 42 U.S.C. 241 and 284.

**OBJECTIVES:**

The John E. Fogarty International Center (FIC) supports research and research training to reduce disparities in global health and to foster partnerships between

U.S. scientists and their counterparts abroad. FIC supports basic biological, behavioral, and social science research, as well as related research training. The research portfolio is divided into several programs that support a wide variety of funding mechanisms to meet programmatic objectives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Grants and Research Training Grants provide funds for salaries, equipment, supplies, travel, tuition, and other expenses associated with research training and scientific investigation concerning global health issues. These grants are awarded to universities; colleges; medical, nursing and dental schools; hospitals; and other non-profit and for-profit institutions. Awards include grants, cooperative agreements, international research training grants, and career development awards.

**Applicant Eligibility:**

In general, universities, colleges, hospitals, laboratories, Federal institutions and other public or private non-profit and for-profit domestic and foreign institutions, and State and local units of government are eligible to submit applications for research grants, research training grants, cooperative agreements, and career development awards. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. The eligibility requirements may differ amongst FIC programs, based on the eligibility section found in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/funding/index.htm>.

**Beneficiary Eligibility:**

Any non-profit or for-profit organization, company or institution engaged in health and biomedical research.

**Credentials/Documentation:**

Applications for research grants must present the objectives, methodology, and resources for the specific research project, and must demonstrate the applicant's competence and interest. For training grants, the applicant's academic record, research experience, and the proposed area and plan of training must be included in the application. The applicant institution must present the objectives, training program, and resources for the research-training program, the research qualifications and experience of directing staff in training students (the criteria to be used in selecting individuals for awards), a detailed budget, and justification for the amount of grants funds requested. Costs will be determined in accordance with OMB Circular A-21 - Cost Principles for Educational Institutions, Circular A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, OMB Circular A-122 for Nonprofit Organizations, Circular A-102 - Grants and Cooperative Agreements with State and Local Governments, and Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and local government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Detailed instructions for submitting applications to our programs are provided in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/funding/index.htm>.

**Award Procedure:**

Applications are reviewed initially for scientific and technical merit. This is followed by a second level review by the Fogarty International Center's Advisory Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants: From six to nine months.

**Appeals:**

A Principal Investigator (PI) may question the substantive or procedural aspects of the initial scientific review of his or her application by communicating with FIC staff.

**Renewals:**

Non-competing renewal applications may be made for all multi-year awards. Applicants must submit their request on form PHS 2590 two months before the end of the last budget period. Competing renewal applications may be submitted only if allowed in the RFA or PA.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Approval of a project includes determination of support for the authorized project period (not to exceed five years). Awards to support the project are made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period. Funds are disbursed via the PMS Electronic Transfer System for domestic grantees, and by U.S. Treasury Check or Direct Deposit for foreign grantees. Loan Repayment Program Awards are for two years with the opportunity for renewal. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Cash reports are not applicable. The grantee is responsible for annual progress reports. These reports are required for program analysis as part of all continuation applications. In addition, a final report must be filed within 90 days of the termination of the grant. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the significant results; and a list of publications resulting from the projects. For most projects, a financial status report must be filed 90 days after each competitive segment. Reports must be provided to FIC staff in accordance with the CFR Title 42 Part 52 - Grants for Research Projects and the CFR Title 45 Part 74 - Uniform Administrative Requirements for grants and cooperative agreements. Annually for training grants, research grants, direct foreign awards not under SNAP. SNAP grantees guidelines requires a final projects report at the end of the project period. Performance is monitored annually by the NIH/Fogarty Center program staff.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or

2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0819-0-1-552.

**Obligations:**

(Salaries) FY 08 \$66,912,000; FY 09 est \$68,691,000; FY 10 est \$69,227,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: AIDS International Training and Research Program: 27 awards  
Brain Disorders in the Developing World: 9 awards  
Ecology of Infectious Diseases Program: 6 awards  
Fogarty International Clinical Research Scholars Resource and Support Center: Fogarty International Research Collaboration Award: 87 awards  
Framework Programs for Global Health: 19 awards  
Global Health Research Initiative Program for New Foreign Investigators: 37 awards  
Global Infectious Disease Research Training Program: 11 awards  
Informatics Training for Global Health Program: 48 awards  
International Clinical, Operational and Health Services Research and Training Award: 14 awards  
International Clinical, Operational and Health Services Research and Training Award for HIV/AIDS and Tuberculosis: 15 awards  
International Cooperative Biodiversity Groups Program: 17 awards  
International Malaria Clinical, Operational and Health Services Research Training Program Planning Grants:  
International Research Ethics Education and Curriculum Development Award: 15 awards  
International Research Scientist Development Award: 10 awards  
International Tobacco and Health Research and Capacity Building Program: 8 awards  
International Training and Research in Environmental and Occupational Health Program: 15 awards  
International Training and Research in Population and Health Program: 10 awards

Bioengagement: 1 award

International Clinical, Operational and Health Services Research and Training Award:: 1 award

International Studies on Health and Economic Development: 1 award. Fiscal Year 2009: AIDS International Training and Research Program: 27 awards

Brain Disorders in the Developing World: 9 awards

Ecology of Infectious Diseases Program: 2 awards

Fogarty International Research Collaboration Award - Basic Biomedical: 19 awards

Fogarty International Research Collaboration Award - Behavioral and Social Sciences: 5 awards

Framework Programs for Global Health: 19 awards

Global Health Research Initiative Program for New Foreign Investigators: 6 awards

Global Infectious Disease Research Training Program: 5 awards

Informatics Training for Global Health Program: 7 awards

International Clinical, Operational and Health Services Research and Training Award: 2 awards

International Clinical, Operational and Health Services Research and Training Award for HIV/AIDS and Tuberculosis: 2 awards

International Cooperative Biodiversity Groups Program: 2 awards

International Malaria Clinical, Operational and Health Services Research Training Program Planning Grants:

International Research Ethics Education and Curriculum Development Award: 15 awards

International Research Scientist Development Award: 10 awards

International Tobacco and Health Research and Capacity Building Program: 8 awards

International Training and Research in Environmental and Occupational Health Program: 15 awards

International Training and Research in Population and Health Program: 10 awards

Bioengagement: 1 award

Millennium Promise Awards: Non-communicable Chronic Diseases Research Training Program: 8 awards. Fiscal Year 2010: Fogarty expects to continue to operate on a Zero Based budget. Our plans are to award at the same funding as we did in FY 2009.

AAIDS International Training and Research Program: 27 awards

Brain Disorders in the Developing World: 9 awards

Ecology of Infectious Diseases Program: 2 awards

Fogarty International Research Collaboration Award - Basic Biomedical: 19 awards

Fogarty International Research Collaboration Award - Behavioral and Social Sciences: 5 awards

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Global Health Research Initiative Program for New Foreign Investigators: 6 awards

Global Infectious Disease Research Training Program: 5 awards

Informatics Training for Global Health Program: 7 awards

International Clinical, Operational and Health Services Research and Training Award: 2 awards

International Clinical, Operational and Health Services Research and Training Award for HIV/AIDS and Tuberculosis: 2 awards

International Cooperative Biodiversity Groups Program: 2 awards

International Malaria Clinical, Operational and Health Services Research Training Program Planning Grants:

International Research Ethics Education and Curriculum Development Award: 15 awards

International Research Scientist Development Award: 10 awards

International Tobacco and Health Research and Capacity Building Program: 8 awards

International Training and Research in Environmental and Occupational Health Program: 15 awards

International Training and Research in Population and Health Program: 10 awards

Bioengagement: 1 award

Millennium Promise Awards: Non-communicable Chronic Diseases Research Training Program: 8 awards.

## REGULATIONS, GUIDELINES, AND LITERATURE:

The grant program legislation and program regulations cited in the Notice of Grant Award, the restrictions on the expenditure of Federal funds in appropriations acts, to the extent those restrictions are pertinent to the award, 45 CFR Part 74 or 45 CFR Part 92, as applicable, the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the terms and conditions on the notice of grant award. Information regarding FIC programs can be found at: <http://www.nih.gov/fic/programs.html>.

### Regional or Local Office:

None.

### Headquarters Office:

Kathleen M. Blair, M.A., Fogarty International Center, Division of International Training and Research, 31 Center Drive, MSC 2022, Building 31, Room B2-C39, Bethesda, Maryland 20892-2022 Email: [blairk@nih.gov](mailto:blairk@nih.gov) Phone: (301) 451-9713. Fax: (301) 402-0779

### Website Address:

<http://www.fic.nih.gov> .

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Given the interdisciplinary nature of global health challenges, the FIC systematically seeks alliances with other Federal agencies, international organizations, development agencies, and non-government organizations. The AIDS International Training and Research Program (AITRP), led by FIC and in partnership with nine NIH institutes, supports research training that is critical to advancing the AIDS research agenda abroad. For example, with FIC support, investigators at the University of Nairobi and University of Washington have evaluated the rates of HIV transmission to infants through breastfeeding. In the new study, pregnant HIV-infected women joined groups that would either breastfeed or formula feed their infants. Among infants born to mothers in the breast-feeding group the risk of becoming HIV-infected increased by 76% in contrast to the formula fed group. Overall, 44 % of the HIV infections in infants born to mothers in the breastfeeding group were due to breast milk. This study clearly shows the need to prevent breast milk transmission and has major implications for development and deployment of public health interventions in resource-poor settings. Additional studies are now underway to address the related and complex social and economic implications on infant feeding. The International Cooperative Biodiversity Groups (ICBG) program is a unique effort, administered by the FIC, to integrate improvement of human health through drug discovery, incentives for ecological conservation, and new models of sustainable economic activity that focus on the environment, health, and equity. This program is based on the belief that the discovery and development of pharmaceutical and other useful agents from natural products can, under appropriate circumstances, promote sustained economic growth in developing countries while conserving the biological habitats from which these products are derived. The ICBG program is a partnership amongst nine Institutes and Centers of the National Institutes of Health (NIH), as well as the National Science Foundation (NSF) and the U.S. Department of Agriculture (USDA). Seven ICBGs are currently working in nine countries across Latin America, Africa and Asia, building research capacity in more than 16 different institutions and training hundreds of individuals. To date, over 5,000 species of plants, animals and microorganisms have been examined for biological activity in more than 22 different therapeutic areas. Numerous publications in chemistry, biodiversity policy, conservation and ethnobiology have emerged from the funded ICBG groups. An example of such accomplishment includes efforts by researchers at Walter Reed Army Institute of Research to characterize a new mode of action for treatments against leishmaniasis and related parasitic diseases, and isolate promising lead compounds for this and other areas from traditional plant use in West Africa. Another example can be found in the stimulus and coordination of efforts for a new marine and terrestrial national park in Panama to protect 2600 square kilometers containing high biodiversity and many endemic species that will preserve the habitat for research projects like the ICBG, as well as other non-destructive activities. ICBG research and conservation initiatives are partially credited for this government's decision to establish Coiba National Park. In 2005, this park was designated a UNESCO

World Heritage Site. FIC established an interagency, interdisciplinary research program in FY 2000 on ecology and infectious diseases. The first 12 projects supported by this interdisciplinary program will assess how large-scale man-made environmental events, such as habitat destruction, urban sprawl, water pollution, introduced species and agricultural intensification, all contribute to the emergence and spread of emerging infectious diseases in animals and humans. With FIC support, scientists at Case Western Reserve University and the Institute of Medical Research in Papua New Guinea have discovered a new mutation in a gene for the Duffy blood group that reduces susceptibility of red blood cells to malaria caused by *Plasmodium vivax* (P.vivax). This parasite must interact with the Duffy blood group factor on cells in order to infect them. Genetic epidemiologists have demonstrated that individuals with two copies of the mutant gene are resistant to P.vivax infection. Targeting the parasite's Duffy-binding protein and its interaction with the Duffy blood group may be a productive strategy for developing a vaccine for vivax malaria. The insights from this study not only suggest that it is feasible, but represent a conceptual model for addressing the more virulent malaria parasite, *Plasmodium falciparum*. Fiscal Year 2009: Funded projects for FY 2009 provided important support to the following goals in the Fogarty International Center's Strategic Plan for 2008-2012. " Goal I: Mobilize the scientific community to address the shifting global burden of disease and disability. Goal II: Bridge the training gap in implementation research. Goal III: Develop human capital to meet global health challenges. Goal IV: Foster a sustainable research environment in low- and middle-income countries. and Goal V: Build strategic alliances and partnerships in global health research and training.. Fiscal Year 2010: Examples of funded projects for FY 2010 will focus on projects which provides important support to the following goals in the Fogarty International Center's Strategic Plan for 2008-2012. " Goal I: Mobilize the scientific community to address the shifting global burden of disease and disability. Goal II: Bridge the training gap in implementation research. Goal III: Develop human capital to meet global health challenges. Goal IV: Foster a sustainable research environment in low- and middle-income countries. and Goal V: Build strategic alliances and partnerships in global health research and training..

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessment of: (1) the scientific merit and general significance of the proposed study or research training program and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to the announced program objectives. All pertinent evaluation criteria are provided in the RFAs and PAs.

**93.991 PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT**

(PHHS Block Grants)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 1905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531.

**OBJECTIVES:**

To provide States with the resources to improve the health status of the population of each grantee by: (A) conducting activities leading to the accomplishment of the year 2010 objectives for the nation; (B) rapidly responding to emerging health threats; (C) providing emergency medical services excluding most equipment purchases; (D) providing services for sex offense victims including prevention activities; and (E) coordinating related administration, education, monitoring and evaluation activities.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Except as described below, Block Grant funds may be used for preventive health service programs for: (A) Activities to achieve improvements in the health status of populations through achievement of the year 2000/2010 health objectives for the nation; (B) preventive health service programs for the control of rodents and for community and school-based fluoridation programs; (C) feasibility studies and planning for emergency medical services systems and the establishment, expansion, and improvement of such systems; Funds may not be used to operate emergency medical services systems or to purchase more than 50 percent of the cost of communications equipment for such systems.(D) providing services to victims of sex offenses and prevention of sex offenses; (E) the establishment, operation, and coordination of effective and cost-efficient systems to reduce the prevalence of asthma and asthma related illnesses, especially among children; (F) related planning, administration, and educational activities; and (G) monitoring and evaluation activities related to (A) through (F).

**Applicant Eligibility:**

Only State and U.S. Pacific Territorial governments, the District of Columbia, the Kickapoo Tribe of Kansas and the Sante Sioux Tribe of Nebraska are eligible for Preventive Health and Health Services Block Grants.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program with special attention to disparately affected populations.

**Credentials/Documentation:**

Applications shall contain certification by the CEO of the State that the State has complied with provisions of and will meet the requirements of PHS Act, Title XIX, Section 1905, and Title XVII, Chapter 2 of the Omnibus Reconciliation Act of 1981. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State shall submit an application to the funding agency. Specific format is required, and forms are provided.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Award is made to the applicant by the Centers for Disease Control and Prevention.

**Deadlines:**

Oct 01, 2009 Applications will be accepted beginning on October 1 of the eligible fiscal year.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. About 3 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System. See the following for information on how assistance is awarded/released: Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Formula Grants) FY 08 \$91,651,300; FY 09 est \$95,892,759; FY 10 est not reported. - FY10 est. not available.

**Range and Average of Financial Assistance:**

\$21,258 to \$7,026,219; \$1,572,013. (Note: A formula based on fiscal year 1981 allocations to States is used for the annual basic grant allocation.)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Indiana, PHHSBG funds were used to support the School Physical Activity and Nutrition Survey to obtain baseline data on nutrition and physical activity habits of children. In Illinois, PHHSBG funds are supporting a new program called HI TRACK to screen all newborns for congenital hearing loss before they leave the hospital. In Kansas, the Center for Health and Wellness in northeast Wichita used PHHSBG funds to provide 9,649 blood pressure checks and referred 1,328 people for follow-up. In New York, PHHSBG funds support the Childhood Lead Poisoning Program, which found 2,568 children to have elevated blood lead levels. In Iowa, PHHSBG funds helped develop Lighten Up Iowa to encourage people to adopt better nutrition and physical activity habits. In Texas, PHHSBG funds were used to establish a Hearne Community Garden in Robertson County to increase awareness of the importance of eating fruits and vegetables. In Wisconsin, PHHSBG funds are helping rural health departments develop multiconditional environmental coalitions to eliminate food and water contamination, radon, asbestos, and other human health hazards. In Nebraska, only 22 (24%) of the 93 counties have a local health department. PHHSBG funds were used to develop a strategic plan to increase awareness of the benefits of a strong public health system. As a result, the state legislature allocated funding to establish district health departments to provide services to the 71 counties that did not have a health department. In Ohio, PHHSBG funds launched 21 cardiovascular health projects to increase the number of heart-healthy communities in areas of Ohio at high risk for heart disease. In California, PHHSBG funds helped to create The California Asthma Among School-Aged Children Project. In Florida, the PHHSBG funds the Pasco Community Intervention Program, which provides health screenings to migrant farm workers of Mexican descent and promotes physical activity through programs such as Folklórico, an intergenerational dance program. In Minnesota, PHHSBG funds were used to develop teaching modules called the Core Essentials of Public Health: Applications for Public Health Nursing. CDC and PHHS Block Grantees worked cooperatively to develop the Grant Application and Reporting System (GARS). GARS is a dynamic accountability tool that formats basic PHHSBG information to identify the role that block grant dollars play in addressing health problems at state and local levels. GARS helps grantees establish health priorities and tie essential program activities to PHHSBG dollars that are spent on public health programs. The GARS applications and reports are submitted electronically to CDC via E-mail or a direct Internet connection. Fiscal Year 2009: Texas  
Williamson County, Texas, faces a sizeable health crisis that puts a large portion of its residents at risk for developing life threatening diseases such as diabetes and heart disease. Community nutrition surveys show that residents of Williamson County are eating foods that are low in nutrition and high in calories. In addition to a higher risk of premature death, an unhealthy diet is also associated with the burden of high costs on the medical care system.

To promote a healthy diet, PHHS Block Grant funds were used to develop and implement the Community Garden and Nutrition Program, which encourages participants to grow and eat their own fresh seasonal fruits and vegetables. Williamson County and Cities Health District (WCCHD) formed partnerships with local volunteer organizations, cities, and school districts to establish the gardening program. Using PHHS Block Grant funds, WCCHD hired a horticulturalist to lead the Community Garden and Nutrition Program. Since 2005, the horticulturalist has designed the first Expert Gardener Certification course, created a gardening education curriculum, and developed and taught, From the Garden to the Table/Del Jard a la Mesa cooking and nutrition classes for both English- and Spanish-speaking participants. Participants are also benefiting from low impact physical activity through their gardening activities.

The Community Garden and Nutrition Program has been successful in raising awareness among county residents about community gardening, improving nutrition, and increasing physical activity. Additionally, the program has Certified 165 Expert Gardener volunteer; Provided gardening, cooking, and nutrition classes to more than 400 participants; Donated more than 5,000 pounds of fresh, organic produce to local food pantries, Meals on Wheels, nursing homes, retirement facilities, and free lunch programs at the senior center; and, Hosted fieldtrips for about 1,700 preschool children and 650 older children.

**Virginia**

Chronic diseases are the leading causes of death for Virginians. It is estimated that 2.2 million Virginians live with one or more of the following chronic diseases: heart disease, stroke, cancer, asthma, diabetes, and arthritis. In addition, chronic diseases account for approximately 75% of the nation's \$1.4 trillion health care costs each year; which is approximately \$24.6 billion for Virginia.

Virginia is proactive about chronic disease prevention and control. Programs such as the Chronic Disease Self-Management Program (CDSMP) are devoted to providing the information and resources needed to develop skills that reduce risks and promote healthier lifestyles. Since 2005, PHHS Block Grant funds have supported the delivery of this program to areas of the state that have a higher prevalence of heart disease, stroke, high blood pressure, and diabetes. In multiple health districts, the CDSMP coordinator recruits adults living with chronic diseases as well as persons caring for an adult who has a chronic disease. Program participants complete a six week course that teaches them self-management strategies such as medication management, pain management, and relaxation techniques.

Because the program offers strategies that promote self-management techniques, participants are reporting an increase in their skills and ability to manage their chronic diseases, utilization of self-management strategies, healthy lifestyle behaviors (e.g., more walking, better diet, and proper use of medications). Furthermore, participants are reporting a decrease in hospital visits, which could potentially save Virginia thousands of dollars in healthcare costs.

In 2006, CDSMP completed three leader trainings that resulted in 25 new leaders who are teaching CDSMP in two health districts. Some program participants have become leaders. With continued support, CDSMP will help Virginians spend less time in the hospital and more time practicing self-management strategies to improve their health.

**Kansas**

Lawrence and Douglas County in Kansas are working to reduce the number of overweight and inactive children and adolescents. In 2001, Wakarusa Valley Elementary school in Lawrence became the first Douglas County school to launch the Get Moving! Program. With PHHS Block Grant funds, the Get Moving! Program encourages additional exercise outside of the regular physical education program in schools, encourages families to exercise together, especially during the winter months, and increases the percentage of children and families who participate in regular physical activity. The program elements include

A supply of Get Moving! Cards. Participants use the cards to detail up to 12.5 hours of physical activity recorded in 30-minute increments.

Any type of physical activity done outside of school time may be recorded on the card.

Participants receive extra points for involving a buddy (family or friend) in the activity.

Participants record the days they consumed at least five fruits and vegetables.

Prizes are awarded for the first three cards returned during the year. A pool pass to the Indoor or Outdoor Lawrence Aquatic Center is awarded when the fourth card is turned in.

The class with the highest participation percentage wins a pool party.

Over the past five years, the Get Moving! Program has grown to include all 26 schools and educational service centers in Lawrence and 20 additional elementary schools in surrounding communities. Between the 2004 and 2005 school year, a number of successes were noted: the number of students completing at least four cards jumped from 256 to 753; there was an increase in over 6,000 hours of physical activity, recorded in 30-minute increments, among participants in 1st-6th grades; and the number of cards turned in increased by 2,312 in just one year..

What began as an idea in one Douglas county school has become an effective and fun way to combat the growing epidemic of childhood obesity and the chronic health issues attributable to this condition. To save lives and health care dollars, prevention needs to start early and Get Moving! is a step in the right direction. Fiscal Year 2010: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 Code of Federal Regulations, Part 96 (Published in the Federal Register on July 6, 1982 and revised in the Federal Register, October 13, 1987).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Sakeena Smith 3005 Chamblee Tucker Road #30, Chamblee, Georgia 30341  
Email: szs4@cdc.gov Phone: (770) 488-5426 Fax: (770) 488-5974

#### **Website Address:**

<http://www.cdc.gov/nccdp/blkgrant>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.993 PUBLIC HEALTH RESEARCH ACCREDITATION PROJECT FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Sections 301 and 317(k)(2) of the Public Health Service Act, 42 U.S.C 241 and 247.

#### **OBJECTIVES:**

To assess the role of accreditation of human research protection programs to enhance protections afforded to persons involved in the full-range of public health research programs, e.g., epidemiologic research, health services research, and social and behavioral intervention research, as well as traditional biomedical research and clinical trials. Voluntary accreditation is one component of a national oversight system for protection of human subjects.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

This project will result in the development of pilot measures that can be used to assess the improvement of the ability of the public health infrastructure (such as State and local public health departments, schools of public health, and other public health research partners) to assess and monitor research involving human

subjects. In year two, the pilot measures will be implemented in several locations, such as State or local health departments, schools of public health, or community-based organizations that engage in public health research, and will be evaluated for utility and feasibility in the public health setting. In year three, the measures will be refined and made available to public health research partners to document and evaluate the impact of accreditation as a process to improve protection of human subjects in public health research.

#### **Applicant Eligibility:**

Assistance will be provided only to a public, private, for-profit, or nonprofit organization that is currently actively engaged in the process of accrediting human research protection programs that represent the full range of activities, which are applicable to State, and local public health departments.

#### **Beneficiary Eligibility:**

Public, private, for-profit, or nonprofit organization that is currently actively engaged in the process of accrediting human research protection programs that represent the full-range of activities, which are applicable to State, and local public health departments.

#### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operating. Costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' cost are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is desired for research grants, but not required. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit the signed original and two copies of PHS form 398. (OMB Number 0925-0001); adhere to the instructions on the Errata Instruction Sheet for PHS 398. Submit the application to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341-4146. Applications may not be submitted electronically.

#### **Award Procedure:**

Approved grants are funded based on a priority score ranking from an independent review group as well as availability of funds, secondary review and such other significant programmatic factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period (usually three to five years), allocations for Federal funds by budget categories, and special conditions, if any.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Continuation awards within an approved project period will be made on the basis of satisfactory progress as evidenced by required reports and the availability of funds.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project





under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From one to two months.

**Appeals:**

Not Applicable.

**Renewals:**

Funds will be made available annually to any State submitting an acceptable application.

**Formula and Matching Requirements:**

Statutory Formula: Title Title V Section 502(c), Public Law Social Security Act. Subject to 45 CFR Part 96.

Matching Requirements: Percent: 45.%.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are awarded each fiscal year in quarterly installments and remain available for expenditure for the current and subsequent fiscal year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. FSR. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 08 \$556,580,363; FY 09 est \$559,170,000; FY 10 est \$559,170,000

**Range and Average of Financial Assistance:**

(FY 2009 Awards) \$149,560 to \$43,328,678; \$9,388,539.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All 59 States and jurisdictions were awarded grants in FY 08. The Maternal and Child Health Bureau has developed a web-based system of reporting that captures data contained in the States' Block Grant Application/Annual Reports. Designed initially to capture the qualitative programmatic information of the States, it has been modified according to the Bureau's performance measurement model to collect uniform quantitative data. Fiscal Year 2009: All 59 States and jurisdictions were awarded grants in FY 09. The Maternal and Child Health Bureau has developed a web-based system of reporting that captures data contained in the States' Block Grant Application/Annual Reports. Designed initially to capture the qualitative programmatic information of the States, it has been modified according to the Bureau's performance measurement model to collect uniform quantitative data. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 96 as applicable and individual State Regulations.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Division of State and Community Health, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-31, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2204.

**Headquarters Office:**

Division of State and Community Health 5600 Fishers Lane, Room 18-31, Rockville, Maryland 20857 Phone: (301) 443-2204

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Each of the 59 States and jurisdictions determines its individual program priorities under its Block grant. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**CORPORATION FOR NATIONAL AND COMMUNITY SERVICE**

**94.017 SENIOR DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended., 42 U.S.C 5028-5028(a).

**OBJECTIVES:**

To provide grants to qualified agencies for the purpose of conducting innovative activities involving older Americans as volunteers, including both volunteers receiving stipends and volunteers not receiving stipends.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The following are illustrative activities cited in the authorizing legislation: (1) linking youth groups and older American organizations in volunteer activities; (2) involving older volunteers in programs and activities different from existing programs and activities supported in the community; and (3) testing whether older American volunteer programs may contribute to new objectives or certain national priorities. Volunteers must be age 55 or older. Volunteers may not

supplant hiring or displace employed workers, or impair existing contracts for service. Volunteers may not be involved in and funds may not be used to support religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Beneficiaries, i.e., the volunteers enrolled in the program, must be age 55 or older.

**Credentials/Documentation:**

Documents required to be submitted are specified in the application instructions, posted at [www.seniorcorps.gov](http://www.seniorcorps.gov), and include the applicant's organization chart, a project director job description, a list of the current members of the Board of Directors, a roster of volunteer stations (placement sites), and a copy of articles of incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program currently receives no appropriated federal funds. Most grants awarded under the program are entirely funded from non-federal sources. From time to time the Corporation may receive appropriated funds transferred from another federal agency, which typically are targeted on specific populations for narrowly defined program purposes. Potential applicants are asked to contact the Corporation State Office serving their location (list available at <http://www.nationalservice.gov/about/contact/stateoffices.asp>) to determine whether the proposed program is consistent with current program priorities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted following the Senior Corps Grant Application instructions (OMB Control No. 3045-0035). Applications are submitted via the Corporation's eGrants system. For more information on eGrants go to <http://www.nationalservice.gov/eGrants/index.asp>.

**Award Procedure:**

Applications are reviewed by the applicable Corporation State Office, which then submits a recommendation for approval or disapproval to the Director of the Senior Corps.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 15 to 30 days. Grants entirely funded from non-federal sources may be renewed, subject to satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: At this time, this program is funded entirely from non-Corporation funds that are either transferred from other federal agencies to the Corporation or from funds raised locally by grantees. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are required for the HHS

Payment Management System for draw down of federal funds, when applicable. Annual or Semi-Annual progress reports are required on program inputs, accomplishments/outputs, and outcomes as well as on problems encountered and technical assistance desired. The Federal Financial Report must be submitted semi-annually for federally funded projects and annually for projects that are funded entirely from non-federal sources. The Corporation will monitor grantee performance in accordance with established policies, through desk reviews and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None. OMB Circular A-133 applies when total grantee federal funds expenditures meet or exceed \$500,000 per year.

**Records:**

All financial records for each budget period, including receipts, disbursements, and vouchers for federal and non-federal costs; copies of all contracts; personnel records; and job descriptions must be available for a period of 3 years from date of submission of the final Federal Financial Report.

**Account Identification:**

95-8981-0-0-000.

**Obligations:**

(Project Grants) FY 08 \$323,000; FY 09 est \$333,000; FY 10 est \$243,000 - FY 2008: Includes \$80,000 in grants made with funding from the Administration for Native Americans plus \$243,000, which represents the estimated value of the income disregard provision of the authorizing Act which accrues to Experience Corps members serving under \$0 grants. FY 2009: Includes \$90,000 in grants made with funding from the Administration for Native Americans plus \$243,000, which represents the estimated value of the income disregard provision of the authorizing Act which accrues to Experience Corps members serving under \$0 grants. FY 2010: \$243,000 represents the estimated value of the income disregard provision of the authorizing Act which accrues to Experience Corps members serving under \$0 grants. To arrive at this amount, it was assumed that 1000 Experience Corps members earn a stipend averaging \$2.77 per hour for an average of 15 hours/week, for a total of 39 weeks. Under the authorizing Act, this stipend is not subject to taxation. It was further assumed that the 1000 Experience Corps members are in the 15% tax bracket. Thus each of the 1000 Experience Corps members received a federal tax benefit worth \$243, for a total of \$243,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: With funding from the Administration for Native Americans, the Corporation awarded two demonstration grants to tribal organizations to support a program of grandparents caring for grandchildren. Fiscal Year 2009: 13 grants funded entirely from non-Corporation sources were awarded to local Experience Corps projects that provided senior volunteers to tutor children in local elementary schools in served cities. With local non-federal support, Experience Corps sponsors mobilized volunteers 55+, enrolled as Senior Demonstration Volunteers to tutor elementary school children. Fiscal Year 2010: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Senior Corps Grant Application (OMB Control No. 3045-0035). When federal funds are available for this program, specific guidelines will be developed.

**Regional or Local Office:**

See Regional Agency Offices. Senior Demonstration Program awards are administered by Corporation State Offices. For a list see <http://www.nationalservice.gov/about/contact/stateoffices.asp>.

**Headquarters Office:**

Linda Esah, 1201 New York Avenue, NW, Washington, District of Columbia

20525 Email: lesah@cns.gov Phone: (202) 606-7538.

**Website Address:**

<http://www.seniorcorps.gov>

**RELATED PROGRAMS:**

94.002 Retired and Senior Volunteer Program; 94.011 Foster Grandparent Program; 94.016 Senior Companion Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for federally funded programs are developed in cooperation with the funding agency, and may vary widely. For non-federally funded programs, selection criteria include:

- Sound outcome based work plans
- Evidence of organizational capacity to manage the proposed program and track results.
- Availability of sufficient funds to carry out the proposed program.
- Track record in mobilizing senior volunteers.
- Evidence of community support.

**94.018 LEARN AND SERVE AMERICA INNOVATIVE COMMUNITY-BASED SERVICE-LEARNING PROGRAMS**

Learn and Serve America Innovative Community-Based Service-Learning Programs

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

National and Community Service Act of 1990, as amended, 42 U.S.C 119.

**OBJECTIVES:**

For over fifteen years, the Corporation for National and Community Servicethrough its Senior Corps, AmeriCorps, and Learn and Serve America programshas mobilized a new generation of engaged citizens. This year, more than 1.8 million individuals of all ages and backgrounds will serve through these programs. They will help thousands of national and community non-profit organizations, faith-based groups, schools, and local agencies meet local needs. Learn and Serve America grants provide support to organizations that to involve young people in service-learning projects that simultaneously support student development and meet community needs in areas such as the environment, education, public safety, and other human needs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

For each grant competition, the Corporation will specify a focus on one or more of the following program models:

1. Integrating service-learning programs into the science, technology, engineering, and mathematics (referred to in this part as STEM) curricula at the elementary, secondary, postsecondary, or post baccalaureate levels in coordination with practicing or retired STEM professionals;
2. Involving students in service-learning programs focusing on energy conservation in their community, including conducting educational outreach on energy conservation and working to improve energy efficiency in low-income housing and in public spaces;
3. Involving students in service-learning programs to support emergency and disaster preparedness;
4. Involving students in service-learning programs aimed at improving access to and obtaining the benefits from computers and other emerging technologies, including improving such access for individuals with disabilities, in low-income or rural communities, in schools, in libraries, and in other public spaces;
5. Involving high school age youth in the mentoring of middle school youth while involving all participants in service-learning to address unmet human, educational, environmental, public safety, or emergency and disaster preparedness needs in their community;
6. Conducting research and evaluations on service-learning, including service-learning in middle schools, and disseminate such research and evaluations widely;

7. Conducting innovative and creative activities as described in section 112(a);
8. Establishing or implementing summer of service programs (giving priority to programs that enroll youth who will be enrolled in any of grades 6 through 9 at the end of the summer concerned) during the summer months (including recruiting, training, and placing service-learning coordinators). Program will engage middle school students in community-based service-learning projects that are intensive, structured, supervised, and designed to produce identifiable improvements to the community. Students who complete 100 hours of service as described in section 146(b)(2), shall be eligible for a summer of service educational award of \$500 or \$750;
9. Establishing or implementing youth engagement zone programs for students in secondary schools served by local educational agencies for which a majority of such students do not participate in service-learning activities. Eligible partnerships will design projects to involve all students in secondary schools served by the local educational agency in service-learning to address a specific community challenge; improve student engagement, including student attendance and student behavior, and student achievement, graduation rates, and college-going rates at secondary schools; and involve an increasing percentage of students in secondary school and out-of-school youth in the community in school-based or community-based service-learning activities each year;
10. Conducting semester of service programs that provide opportunities for secondary school students to participate in coordinated school-based or community-based service-learning opportunities for a minimum of 70 hours during a semester (of which at least a third will be spent participating in field-based activities), to address specific community challenges. Programs will engage high percentages or numbers of economically disadvantaged students as participants and ensure that the classroom-based instruction component of the program is integrated into the academic program of the local educational agency involved;
11. Carrying out any other innovative service-learning programs or research that the Corporation considers appropriate.

**Applicant Eligibility:**

See agency notice of funding opportunity.

**Beneficiary Eligibility:**

See agency notice of funding opportunity.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted using the Corporations electronic grants management system, eGrants. The system can be accessed at [www.nationalservice.gov](http://www.nationalservice.gov)

**Award Procedure:**

Selection Process: In evaluating applications for funding, reviewers will assess program design, organizational capacity, and cost-effectiveness and budget adequacy. The weights assigned to each category are listed in the chart below. Reviewers will assess application narratives against these criteria and weight them accordingly. Please read this guidance carefully to ensure that you are fully and appropriately responding to the information requested in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Corporation for specific details.

**Appeals:**

> 180 Days. Contact the Corporation for specific details.

**Renewals:**

Based on grantee progress, the quality of the renewal plans, and the availability

of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are for up to a 3- year period. Funding is awarded on an annual basis subject to annual review and the availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports should be made as required by grant provisions. HHS Payment Management System collects quarterly cash transaction reports on behalf of the Corporation for National and Community Service. Progress Reports are required as specified by the grant provisions. Federal Financial Status Reports are required as specified in the grant award provisions. Monitoring performed as required by grant provisions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None. OMB Circular A-133 applies when total grantee federal funds expenditures meet or exceed \$500,000 per year.

**Records:**

Records are required to be maintained as spelled out in the individual grant.

**Account Identification:**

95-2720-0-1-506.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$5,700,000 - This is a new program. There are no past year appropriations.

**Range and Average of Financial Assistance:**

A range has not been established.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In 2008-09, Learn and Serve America engaged over 1,200,000 participants in service-learning programs in communities nationwide. These programs provide opportunities for students to learn and develop while addressing unmet needs in the areas of education, public safety, health, and environment. To ensure the quality of Learn and Serve America programs, the Corporation provides guidance and technical assistance to funded agencies and organizations, and others interested in expanding service-learning opportunities. Fiscal Year 2009: Data available in June 2010. Fiscal Year 2010: Data available in June 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available at [www.nationalservice.gov](http://www.nationalservice.gov)

**Regional or Local Office:**

None.

**Headquarters Office:**

Cara Patrick 1201 New York Ave, NW, Washington, District of Columbia 20525 Email: [cpatrick@cns.gov](mailto:cpatrick@cns.gov) Phone: 202-606-6760

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications are reviewed against the following criteria: (1) Program design (2) organizational capacity, and (3) budget adequacy/cost-effectiveness.

**SOCIAL SECURITY ADMINISTRATION**

**96.021 SOCIAL SECURITY ECONOMIC RECOVERY ACT PAYMENTS**

Economic Recovery Act Payments

**FEDERAL AGENCY:**

Social Security Administration

**AUTHORIZATION:**

American Reinvestment and Recovery Act of 2009.

**OBJECTIVES:**

The new program is the \$13 billion in Economic Recovery Act payments that SSA will be paying recipients in May 2009.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

One-time cash payment paid to entitled claimants.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. None.  
This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

20-8007-0-7-651 - None.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$0; FY 09 est \$13,000,000,000; FY 10 est \$0 - None.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Daniel Knight, 6401 Security Blvd, Baltimore, Maryland 21235 Email: daniel.t.knight@ssa.gov Phone: (410) 965-3671.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF HOMELAND SECURITY**

**97.004 STATE DOMESTIC PREPAREDNESS EQUIPMENT SUPPORT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

USA Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

To enhance the capacity of State and local first responders to respond to terrorism incident involving chemical, biological, nuclear, radiological, incendiary, and explosive devices. The program was re-named as the State Homeland Security Grant Program (SHSGP) (97.073) and is one of the six (6) component programs which were merged or consolidated into the Homeland Security Grant Program (97.067).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States will receive an allocation of funds to purchase equipment for State and local first responders, in accordance with the authorized equipment list included in the Application Kit, and an allocation to support the planning and conduct of exercises. Administrative funds will be provided to conduct comprehensive threat and needs assessments and to develop and implement a Statewide Domestic Preparedness Strategy to enhance first responder capabilities to respond to a terrorist incident. Refer to program guidance document.

**Applicant Eligibility:**

Eligible applicants are the States, the District of Columbia, and the Territories of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands. References to "States" includes all eligible applicants.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

To qualify to apply for grant funds, States were required to conduct a comprehensive threat and needs assessment and to develop a Statewide Domestic Preparedness Strategy. Refer to program guidance document for further information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. . . Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States have completed risk and needs assessments and have developed Statewide Domestic Preparedness Strategies. States have identified equipment that is needed by first responders and have established priorities for the purchase and allocation of equipment. The strategies also identify the need for training, technical assistance, and exercises. ODP is working with the States to develop State Assistance Plans to allocate ODP resources to address the training, technical assistance, and exercise needs identified in the Statewide Domestic Preparedness Strategies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Office of Justice Programs Financial Guide and The State Domestic Preparedness Equipment and Exercise Program Guidelines and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: U.S Department of Homeland Security/FEMA Techworld, Control Desk, 4th Floor, Rm 427 500 C St., SW , Washington, District of Columbia 20472 Phone: (800) 368-6498.

**Website Address:**

<http://www.ojp.usdoj.gov> .

**RELATED PROGRAMS:**

16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program; 97.067 Homeland Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.005 STATE AND LOCAL HOMELAND SECURITY TRAINING PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

Cooperative agreements are awarded to eligible applicants to design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions in accordance with FEMA doctrine and approved Homeland Security Strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funding through cooperative and inter-agency agreements to the National Domestic Preparedness Consortium, Rural Domestic Preparedness Consortium, and Continuing and Emerging training providers for the purposes of the development and delivery of all-hazards training for Federal, State, local, and tribal emergency responders. Refer to program guidance for specific information on eligibility.

**Applicant Eligibility:**

This is a closed solicitation, available only to eligible organizations. There are two categories funded: 1) Non-Federal members that make up the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC) and consist of the following institutions: Louisiana State University, Texas A&M, New Mexico Institute of Mining and Technology, and Eastern Kentucky University; and 2) Continuing and Emerging Training Grant programs. These programs meet the continuing training needs of emergency responder communities and have received previous funding through a competitive process e.g., Competitive Training

Grant Program (CTGP) or national associations that represent key stakeholders.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

See program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the guidance and application kit.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Potential continuation or extensions of some awards.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Draw down of funds.

**Reports:**

semi-annual report. semi-annual report. semi-annual report. Grantees are a required to submit quarterly Financial Status Reports (FSR). The FSRs are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final FSR report is due 90 days after the expiration or termination of grant award, whichever occurs first. Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Final CAPR report is due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend

less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$84,076,692; FY 09 est \$89,091,550; FY 10 est \$90,000,000 - Includes non-Federal National Domestic Preparedness Consortium (NDPC) members, Continuing Training Grants, and other congressionally identified organizations.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Past training efforts have resulted in the training of over 390,000 first responders. Courses are designed to increase awareness of terrorism threats and weapons of mass destruction among public officials, public health and the medical community, public safety and public works personnel, as well as provide intensive technician and operations courses that demonstrate the effects of and response to live agents, explosives, and radiation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitations may be developed to solicit proposals for new activities.

**Regional or Local Office:**

None.

**Headquarters Office:**

FEMA Techworld, Control Desk  
4th Floor, Room 427  
500 C Street SW, Washington, District of Columbia 20472 Email:  
askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.007 Homeland Security Preparedness Technical Assistance Program; 97.068 Competitive Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Training courses for public officials and first responders to include fire fighters, law enforcement, emergency medical services, emergency management, public works, and public health. Training courses are divided into three categories: awareness level, performance level, and planning and management level. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.007 HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

To provide direct assistance to State, regional, Local and Tribal jurisdictions as well as other homeland security organizations, to improve their ability to prevent, protect against respond to, and recover from major events, including threats or acts of terrorism.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with developing and delivering technical assistance services to State and local homeland security personnel to address / support the full spectrum of mission areas, national priorities, and target capabilities as outlined in the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security. Refer to program guidance for complete information.

Restrictions: There are restrictions regarding usage of funds, compliance with program requirements, copyrights, patents, and other restrictions. Refer to program guidance for complete information. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Under this solicitation, The Governors Homeland Security Advisory Council (GHSAC) via its overarching parent organization, The National Governors Association (NGA), Center for Best Practices, is the only eligible applicant.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. The application submitted through Grants.gov must include the HSPTAP Program Narrative, Budget, and Budget Narrative. Incomplete applications will not be accepted. Refer to program guidance for additional information regarding application procedures and deadlines.

**Award Procedure:**

FEMA will review applications for completeness and soundness of proposed methodologies and pricing. An applicants approach to implementing and completing the projects outlined in the program guidance must be consistent with existing DHS / FEMA policy. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. Refer to program guidance for additional information regarding award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.



**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for additional information. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,000,000; FY 09 est \$11,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Past technical assistance efforts have focused on helping the

states to conduct threat and needs assessments and develop their Homeland Security Strategies, training on the use and maintenance of specialized equipment, development of resource materials on domestic preparedness, as well as responding to site-specific technical assistance needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/Techworld, Control Desk, 4th Floor, Rm 427 500 C St., SW Centralized Scheduling and Information Desk (CSID) CSID is open from 8:00 am to 7:00 pm., Eastern Standard Time, Monday through Friday, Washington, District of Columbia 20472 Phone: (1-800) 368-6498 Fax: askcsid@dhs.gov

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.067 Homeland Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Direct assistance to State and local jurisdictions in enhancing grants management technical assistance, Best Practice Support Technical Assistance, and Critical Asset Assessment Technical Assistance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.008 URBAN AREAS SECURITY INITIATIVE**

(UASI)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009 (Public Law 110-329); Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To support the unique multi-discipline planning, operations, equipment, training, and exercise needs of high threat, high density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds provided under this grant are designed to address the unique needs of large urban areas and mass transit authorities. Funds can be used for equipment, training, exercises and planning. Urban Areas must utilize their Urban Area Homeland Security Strategy and the State's Program and Capability Enhancement Plan as the basis for requesting funds. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and supportive of the State Homeland Security Strategy and the Program and Capability Enhancement Plan submitted by the State as part of the HSGP application. The UASI Nonprofit Security Grant Program (NSGP) provides funds to support security enhancements to property owned or leased by nonprofit organizations at high risk of attack from terrorist organizations. Refer to program guidance.

**Applicant Eligibility:**

Applicant Eligibility: Selected city or combined entities identified within the current year Homeland Security Grant Program guidance and application kit. States that contain the selected cities will be notified of their eligibility to apply

for this grant. The State agency with overall responsibility for developing the State Homeland Security Strategy and administering homeland security grant programs will be responsible for the administration of this program. In addition, Nonprofit, 501(c)(3) organizations that are at deemed high risk of a potential terrorist attack and are located within one of the specific UASI-eligible urban areas are eligible to submit applications through their State Administrative Agency (SAA) for (NSGP) funds.

**Beneficiary Eligibility:**

Local governments.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on program need.

**Reports:**

Refer to program guidance document. . Refer to program guidance document. Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit

requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-754.

**Obligations:**

(Formula Grants) FY 08 \$862,925,000; FY 09 est \$837,500,000; FY 10 est not reported. - FY 10 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the UASI section of the HSGP solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/Techworld, Control Desk, 4th Floor, Room 427 500 C. St., SW  
The Centralized Scheduling and Information Desk (CSID)  
CSID is open from 8:00 a.m to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP); 97.074 Law Enforcement Terrorism Prevention Program (LETPP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.009 CUBAN/HAITIAN ENTRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Refugee Education Assistance Act of 1980, Executive Order Executive Order 12341, January 21, 1982, Public Law 96-422; Economy Act of 1932, 31 U.S.C 1535.

**OBJECTIVES:**

(1) To provide primary resettlement services to Cubans and Haitians, paroled into the United States by the Department of Homeland Security (DHS) for humanitarian reasons and; (2) to provide secondary resettlement assistance to Cuban and Haitian entrants living in south Florida whose initial resettlement did not lead to their achievement of economic self-sufficiency.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is limited to Cuban and Haitian entrants as defined in the authorizing Act. Federal policy governs further eligibility factors. The scope of services for which funds are available to grantees, or cooperative agreement recipients, are defined in program announcements published in the Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, and January 5, 1995. see program announcement published in Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, January 5, 1995.

**Applicant Eligibility:**

Public or Private, nonprofit organizations or agencies, and under certain conditions for-profit organizations, agencies, or institutions.

**Beneficiary Eligibility:**

Cuban and Haitian nationals who meet the definition of entrant set forth in Title V, Section 501(e) of Public Law 96-422.

**Credentials/Documentation:**

Persons for whom assistance is authorized through resettlement programs are limited to Cuban and Haitian nationals who possess documentation as described in Title V of the Refugee Education Assistance Act of 1980 (Public Law 96-422). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A grant or cooperative agreement may be amended in order to extend the program and budgetary period if funds are available and the proposed amendment does not represent a substantive deviation from previous services or costs. Applications may also be renewed through the competitive process after the end of the program period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

See announcement. Cash reports are not applicable. See announcement. See

announcement. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0504-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,292,085; FY 09 est \$11,179,494; FY 10 est not reported. - FY 10 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In Fiscal year 2008, the Program served over 10,700 Cuban and Haitian entrants. Fiscal Year 2009: For Fiscal year 2009, it is estimated that 10,000 Cuban and Haitian entrants will be served. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Several regulations apply to the resettlement grants. Until further notice, these include but are not limited to: 28 CFR Part 42, Sub-parts C,G, H and OMB Circular Nos. A-110, A-122, A-133, and Federal Acquisition Regulation (FAR), Sub-part 32.1.

**Regional or Local Office:**

See Regional Agency Offices. DHS, ICE, OIA, PHAB Miami Office: Room 220, 51 SW 1st Ave., Miami, FL 33130. Telephone: (305) 536-4261.

**Headquarters Office:**

U.S. Department of Homeland Security 245 Murray Lane, Bldg 410, Washington, District of Columbia 20258. Phone: 202-447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Projects funded in the past have included services to eligible Cubans and Haitians paroled from DHS custody. These services include resettlement in various parts of the United States and assistance with housing, basic necessities and employment. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. The applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as



**Appeals:**

None.

**Renewals:**

One copy available per eligible organization per year. Requests for additional copies are available for purchase through the Government Printing Office at <http://bookstore.gpo.gov/collections/cis-toolkit.jsp>. For other projects, refer to the announcement or application guidance for further information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable for dissemination of technical information projects. For projects involving monetary assistance, refer to program guidance. Monetary awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None for dissemination of technical information projects. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

None for dissemination of technical information projects. For other projects, grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0300-0-1-751.

**Obligations:**

(Project Grants (Contracts)) FY 08 \$450,000; FY 09 est \$1,600,000; FY 10 est not reported. - FY 10 estimate not available.

**Range and Average of Financial Assistance:**

Not applicable for dissemination of technical information projects.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Approximately 13,000 copies of the package of citizenship educational materials have been distributed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

8 CFR 332 b. Literature. For other than dissemination of technical information projects, OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

See Regional Agency Offices. For more information, visit: [www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov).

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive, S.W, Washington, District of Columbia 20528 Phone: (202) 272-1310

**Website Address:**

[www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov). and [www.dhs.gov](http://www.dhs.gov).

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.011 BOATING SAFETY****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Coast Guard Auxiliary, 14 U.S.C 821-832; Coast Guard Auxiliary, 14 U.S.C 891-894; Coast Guard Auxiliary, Executive Order , 14 U.S.C 141.

**OBJECTIVES:**

To improve safe operations and uses of water craft.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

The Coast Guard Auxiliary is the uniformed volunteer workforce element of the U.S. Coast Guard. It provides a wide variety of boating safety services to the public. Auxiliarists deliver a diverse range of courses and training programs that educate boaters and help them achieve State boating safety certificates. The Auxiliary conducts free Vessel Safety Checks (VSC) to promote boating safety. Boats that pass the VSC are given a "Seal of Safety" decal that indicates the boat met Federal and pertinent State safety-related equipment requirements. If deficiencies are found, the owner is advised of such, but no report is made to any law enforcement authority and a decal is not issued. Auxiliarists also support virtually all Coast Guard missions except direct law enforcement and combat operations. They offer their personal boats, airplanes, radios, and vehicles to perform operational and support activities like marine safety patrols, public outreach, and other recreational boating safety missions.

**Applicant Eligibility:**

Any U.S. citizen, 17 years of age or older, is eligible to apply for membership in the Auxiliary. All Auxiliarists undergo a personal security investigation that serves as a key factor in the determination of their suitability for service.

**Beneficiary Eligibility:**

Boating public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the local Coast Guard District Director of Auxiliary or the local Coast Guard Auxiliary Flotilla which can be found at the "Join Us!" section of the Auxiliary web site, [www.cgaux.org](http://www.cgaux.org). This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
Salaries and Expenses.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

70-8149-0-1-403.

**Obligations:**

(Salaries) FY 08 \$15,893,000; FY 09 est \$16,999,838; FY 10 est \$18,256,444

**Range and Average of Financial Assistance:**

none.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In calendar year 2008, the Coast Guard Auxiliary conducted over 114,000 inspections, more than 78,000 marine dealer outreach visits, and about 45,000 hours of boating safety course instruction. Auxiliarists also performed over 352,000 hours of operational support, assisted over 4,800 people and more than \$52 million in property, and saved approximately 270 lives. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program literature available from agency.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Coast Guard District Offices: Persons are encouraged to communicate with the Director of Auxiliary in each district (see the Appendix IV of the Catalog for a list of the addresses of the district offices).

**Headquarters Office:**

Steve Minutolo (CG-54211) Auxiliary Division, Room 3501  
Coast Guard  
2100 Second Street, S.W.  
, Washington, District of Columbia 20593-0001 Phone: 202-372-1261

**Website Address:**

<http://www.cgaux.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.012 BOATING SAFETY FINANCIAL ASSISTANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Sportfishing and Recreational Boating Safety Act of 2005/State Boating Safety Financial Assistance, 46 U.S.C 13101-13109.

**OBJECTIVES:**

To encourage greater State participation and uniformity in boating safety, particularly to permit the States to assume the greater share of boating safety education, assistance, and enforcement activities, and to assist the States in developing, carrying out and financing their recreational boating safety programs. Awards are made available to national nonprofit public service organizations to support national recreational boating safety activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Acquisition, maintenance and operating costs of State boating safety program facilities, equipment, and supplies; personnel salaries and reimbursable expenses; costs of training personnel; public boating safety education; cost of acquiring, constructing and repairing public access sites; costs of administering the program; national boating safety activities of national nonprofit public service organizations; and other expenses which the Secretary considers appropriate. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year. States (includes Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) are eligible applicants.

**Applicant Eligibility:**

States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102(c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

**Beneficiary Eligibility:**

Nation's boating public.

**Credentials/Documentation:**

Applicant Eligibility: States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. states must have a boating safety program as described in 46 U.S.C. 13102 (c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

Cost of State programs will be determined in accordance with 46 U.S.C. 13107(b) and OMB Circular No. A-87. The Federal cost principles contained in OMB Circular No. A-122 shall be used in determining costs applicable to national nonprofit public service organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Will be considered.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Sportfishing and Recreational Boating Safety Act of 2005, Chapter 46, Part 13101-13109.

Matching Requirements: Percent: 50.%. One-third of the funds available to the States shall be divided equally among eligible States; one-third shall be divided among eligible States based on the ration of vessels numbered under approved State numbering systems; the remaining one-third shall be divided among eligible States based on the ratio of State funds spent for State boating safety programs in the previous fiscal year. The Federal share of funds expended on boating safety may not exceed 50 percent of total cost of a State Program. Funds remain available for obligation by the State for 3 years following date of allocation. Not more than 5 percent of the appropriation may be allocated to national nonprofit public service organizations. There is no matching requirement for grants to nonprofit organizations.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: allocation; request and receipt; lump sum.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8149-0-7-403.

**Obligations:**

(Project Grants) FY 08 \$128,384,934; FY 09 est \$131,064,857; FY 10 est \$122,820,668

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In the prior fiscal year, the Coast Guard entered into contractual obligations with 50 States, the District of Columbia, Puerto Rico,

the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and 15 national nonprofit public service organizations. Fiscal Year 2009: In the prior fiscal year, the Coast Guard entered into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and 15 national nonprofit public service organizations. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13 (States) and 49 CFR Part 19 (nonprofit organizations); Office of Management and Budget Circular Nos. A-87; A-102; A-110; A-122; A-133; "Grant Management Manual for the National Nonprofit Organization Recreational Boating Safety Grant Program (COMINST M16755.4);" and the State Recreational Boating Safety Program State Guide (COMDTPUB P16755.3).

**Regional or Local Office:**

None. None.

**Headquarters Office:**

W.Vann Burgess (State Grants)/Linda Gray-Broughton (NonProfit Organizations) 2100 Second Street, SW, Washington, District of Columbia 20593 Phone: 202-372-1071/202-372-1060

**Website Address:**

<http://www.uscgboating.org> <http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.011 Boating Safety

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance document.

**97.013 STATE ACCESS TO THE OIL SPILL LIABILITY TRUST FUND****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380.

**OBJECTIVES:**

To encourage greater State participation in response to actual or threatened discharges of oil.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used for immediate removal action costs that are directly related to a specific incident which occurs after August 18, 1990. Removal costs must generally be incurred at the site or in support of site removal activities (e.g., salary costs for State officials actually engaged in the removal actions, transportation costs for transporting persons and materials to the site, costs of equipment usage and consumable, contract costs, and administrative costs for preparing reports and documenting actions which occurred at the site). Limited to \$250,000 per incident. Removal actions must be consistent with the National Contingency Plan (40 CFR 300) and must be approved by the cognizant Coast Guard or Environmental Protection Agency (EPA) Federal On-Scene Coordinator (FOSC). Remedial actions and restorations are ineligible. Funds are to be used for immediate removal action costs that are directly related to a specific incident which occurs after August 18, 1990. Removal costs must generally be incurred at the site or in support of site removal activities (e.g., salary costs for State officials actually engaged in the removal actions, transportation costs for transporting persons and materials to the site, costs of equipment usage and consumable, contract costs, and administrative costs for preparing reports and documenting actions which occurred at the site). Limited to \$250,000 per incident. Removal actions must be consistent with the National Contingency Plan (40 CFR 300) and must be approved by the cognizant Coast Guard or Environmental Protection Agency (EPA) Federal On-Scene Coordinator (FOSC). Remedial actions and restorations are ineligible.

**Applicant Eligibility:**

The Governor (or his or her designated State official) of any State including Puerto Rico, Guam, American Samoa, U.S. Virgin Islands, Northern Marianas, and any other U.S. territory or possession may apply for financial assistance.

**Beneficiary Eligibility:**

State Governors.

**Credentials/Documentation:**

Applicant must either be the Governor of a State or have on file at the NPFC a letter signed by the Governor designating the applicant to be a State official authorized to make a request. The application must establish: (1) the incident is eligible for immediate removal under the Clean Water Act, as amended by OPA 90, (2) the substance discharged or threatening discharge is oil, (3) the incident occurred after August 18, 1990, (4) the aggregate amount of the request is equal to or less than \$250,000, (5) the proposed removal actions are consistent with the NCP (including 40 CFR 300,305(c)'s requirement that a reasonable effort is made to have the discharger voluntarily and promptly perform removal actions), (6) the proposed level of response, proposed actions, and money requested are appropriate for the circumstances, and (7) the State has the means to complete the immediate removal. Detailed application requirements are included in publication entitled Technical Operating Procedures for State Access under Section 1012(d) of OPA 90 (NPFCINST 16451.1). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is initiated when the Governor or his or her designated State official contacts the cognizant Federal On-Scene Coordinator (FOSC) and requests State access to the Oil Spill Liability Trust Fund (OSLTF, or "the Fund") under 33 CFR 133. This initial request may be made verbally. If the FOSC agrees that the incident is eligible for State Access funding and that State access to the Fund is the best method for addressing the incident, the FOSC will seek obligation of the Fund from the National Pollution Funds Center (NPFC). Since the approval of a request establishes a Cooperative Agreement between the Coast Guard and the State, the provisions of 49 CFR 18 apply to the State Access process.

**Award Procedure:**

The National Pollution Funds Center will notify the State via telephone and hard copy of the award approval and amount.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Due to the emergency nature of oil discharge incidents, an approval or disapproval decision will be made and communicated to the State as expeditiously as possible (considering the nature and scope of the incident and other operations) following receipt of the request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Please see guidance. See the following for information on how assistance is awarded/released: funds are used for immediate removal action costs that are

directly related to a specific incident.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Due to the need to recover removal costs from responsible parties and the possibility of protracted litigation that may be associated with specific oil discharge removal incidents, State records must be kept for 10 years following submission of the final documents to the Coast Guard, or until the completion of litigation for a specific case, whichever is longer.

**Account Identification:**

70-8185-0-7-403.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

\$250,000 maximum per oil discharge incident.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

33 CFR 133, 40 CFR 300, 49 CFR 18, 20, 29, and 90, and Technical Operating Procedures for State Access to OSLTF (NPFCINST 16451.1).

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS Coast Guard 245 Murray Lane, Washington, District of Columbia 20528  
Phone: 202-494-9118

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed immediate removal actions must be eligible under the Oil Pollution Act of 1990 (Public Law 101-380), consistent with the National Contingency Plan (40 CFR 300), appropriate for the amount requested, and within the capability of the State to perform.

**97.015 SECRET SERVICE\_TRAINING ACTIVITIES****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Powers, Authorities and Duties of the United States Secret Service, as amended, Public Law 95-81, 18 U.S.C 3056.

**OBJECTIVES:**

To acquaint local sworn law enforcement officials with the functions of the Secret Service, and the techniques of protecting dignitaries; to assist criminal investigators by training them in the basic examination of questioned documents, and brief law enforcement officials and money handlers in the



techniques used in detecting counterfeit documents and money.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

The Questioned Document Course is restricted to sworn law enforcement officers. Applicants are accepted in limited numbers upon the request of their departmental heads for training in the Secret Service Questioned Document Course. The training, while geared primarily to the Secret Service Special Agent, will provide introductory training in the fundamentals of document analysis with emphasis on handwriting examination and comparison. The Protective Operations Briefing is also restricted to sworn law enforcement officers and is provided for those officers who have the regular responsibility of protecting dignitaries which includes post assignments, use of follow-up vehicles, motorcade techniques, and advanced security arrangements. The Secret Service will provide the police officials with information which will assist them in helping the Secret Service carry out its protective responsibilities. (Upon request, regional Secret Service offices will brief bank tellers, department store cashiers, and other money handlers in the techniques of detecting counterfeit currency.)

**Applicant Eligibility:**

For training in Questioned Document Course and/or Protective Operations Briefing, applicant must be a sworn member of a law enforcement agency.

**Beneficiary Eligibility:**

Sworn members of police agencies.

**Credentials/Documentation:**

Beneficiaries are sworn members of police agencies and specialized groups. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the appropriate resident Secret Service office or the regional field office serving your jurisdiction, to apply for admission to Questioned Document Course and the Protective Operations Briefing. Also, contact the resident Secret Service office or the regional office for information concerning requests for lecture presentations to groups on the detection of counterfeit money. Headquarters contact information is also listed in this announcement.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Questioned Document Course lasts for two weeks; the Protective Operations Briefing is a four day course. See the following for information on how assistance is awarded/released: Questioned Document Course lasts for two

weeks; the Protective Operations Briefing is a four-day course.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

70-0403-0-1-751.

**Obligations:**

(Training) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year approximately 3,200 State and local polic officers attend protective briefings and questions document courses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Department of Homeland Security, U.S. Secret Service 245 Murray Drive SW, Washington, District of Columbia 20528 Phone: (202) 282-8000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

16.004 Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.300 Law Enforcement Assistance\_FBI Advanced Police Training; 16.302 Law Enforcement Assistance\_FBI Field Police Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.016 REIMBURSEMENT FOR FIREFIGHTING ON FEDERAL PROPERTY**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974 as amended, 15 U.S.C 2201 et seq.

**OBJECTIVES:**

To provide that each fire service organization which engages in firefighting operations on Federal property may be reimbursed for their direct expenses and direct losses (those losses and expenses that are not considered normal operating expenses) incurred in firefighting.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Reimbursement is provided only for direct costs and losses over and above normal operating costs.

**Applicant Eligibility:**

Fire Departments, (volunteer and paid) of the States, District of Columbia, Commonwealths, Territories and Possessions of the United States, and Indian lands that the U.S. holds technical legal title to, are eligible to apply.

**Beneficiary Eligibility:**

Fire departments.

**Credentials/Documentation:**

See 44 CFR 151 for requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See 44 CFR 151 for details.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

30 days after receiving an initial notification of decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See Program Guidance. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:****Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$0; FY 09 est \$0; FY 10 est not reported. - FY 2010 Est not Avail.

**Range and Average of Financial Assistance:**

From a few dollars to \$500,000 (no stated limit).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 11 of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 44 CFR 151.11.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters: Dept of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane, Bldg 410, Washington, District of Columbia 20523 Phone: 866-927-5646

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Fire departments which fight fires on Federal property for which they are not otherwise reimbursed may be reimbursed under this program for direct losses and direct expenses over and above normal operating expenses. The amount of reimbursement is subject to availability of funds (see 44 CFR 151.12). All claims must be accompanied by sufficient supporting data to prove expenses and losses incurred in the amount claimed.

**97.018 NATIONAL FIRE ACADEMY TRAINING ASSISTANCE**

Student Stipend Reimbursement Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; the Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3CFR, 1979 Comp P 376; U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

To provide travel stipends to students attending Academy courses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Presently, the program covers reimbursement for the cost of a 21-day pre-purchase, nonrefundable ticket for round-trip transportation by common carrier, or privately owned vehicle mileage reimbursement not to exceed the cost of the airline ticket, for resident program courses at various locations and a limited stipend for selected regional delivery courses throughout the nation. For Resident Program courses, students are required to pay the cost of meals daily. For Regional Delivery courses, a limited stipend of up to \$100 for a one-week course and up to \$200 for a two-week course is provided to help offset students' transportation and lodging. Reimbursements are not made to Federal employees who are attending on behalf of their employer, employees from private industry, or foreign students. See Program Guidance.

**Applicant Eligibility:**

Any student who is a member of a fire department or has significant responsibility for fire prevention and control and has been accepted into an eligible course at the National Fire Academy may apply for stipend reimbursement. Federal or private industry employees or foreign students may be accepted into National Fire Academy courses but are not eligible for stipend reimbursement.

**Beneficiary Eligibility:**

Student or sponsoring organization.

**Credentials/Documentation:**

Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) accompanied by a copy of the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under

OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the National Emergency Training Center Admission's Office using the Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. The completed agreement package will be processed immediately.

**Award Procedure:**

The completed agreement package will be processed immediately. A U.S. Department of the Treasury payment schedule will be prepared and a reimbursement check issued directly to the beneficiary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy, or his designee.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
See Program Guidance.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

None.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Salaries) FY 08 \$1,489,932; FY 09 est \$1,600,000; FY 10 est \$1,600,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In previous fiscal years, assistance in the form of stipend funds were provided to over 4,200 participants in the National Fire Academy Program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog, course schedules.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Security, Federal Emergency Management Agency, C/O 245 Murray Lane, Bldg # 410, Washington, District of Columbia 20523 Email: FEMA-NIMS@dhs.gov Phone: 1-800-621-FEMA.

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.019 National Fire Academy Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Students are provided an opportunity to attend courses at the National Fire Academy resident facility with a minimal cost to the individual or the fire department represented. The increase in the number of students attending impacts on increasing the professional level of fire service personnel. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.019 NATIONAL FIRE ACADEMY EDUCATIONAL PROGRAM**

National Fire Academy Educational Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498; Federal Emergency Management Agency, Executive Order 12127 44FR 19367 3 CFR 1979 Comp P 376; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To provide professional development experience for fire service authorities who have demonstrated significant leadership accomplishment.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Uses: To fund fellowships for senior fire executives to attend and participate in the three-week Senior Executives in State & Local Government Program course that is held twice each year at the Kennedy School of Government-Harvard University in Cambridge, Massachusetts. Restrictions: Use of grant funds must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Federal employees may not receive funds under this award and are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program.

**Applicant Eligibility:**

This funding opportunity is restricted to Harvard University, Kennedy School of Government. There is no cost sharing or match funding requirement associated with this opportunity.

**Beneficiary Eligibility:**

Eligible beneficiaries are fire service authorities of States, Local governments, State-designated Indian tribes, qualified Civil Defense / Disaster Prevention and Relief / Emergency Preparedness organizations and other qualified groups / entities as authorized under the provisions of the program. For complete eligibility information, refer to program guidance.

**Credentials/Documentation:**

The individual may be required to provide documentation related to their roles and responsibilities in fire prevention and control. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For train-the-trainer and in-service instructor trainees, nominations are sought from State fire training directors and metropolitan fire department chiefs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Applications must include all forms and submissions as stipulated in the program announcement / guidance. Incomplete applications will not be accepted. For comprehensive application / submission information, refer to program guidance. Application for resident and regional courses is made to the National Emergency Training Center Admission's Office using the General Admission Application (FEMA Form 75-5). Application for weekend on-campus courses and off-campus courses is made through the appropriate State or metropolitan fire training agency.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA based on the program criteria identified in the announcement / program guidance. Notification of award approval is made through the electronic Grants Management System (GMS).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). For complete information regarding length and time phasing of assistance, refer to program guidance. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. There may be an evaluation of the benefit derived by the community as a result of attendance at a particular course.

**Records:**

Refer to program guidance.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Training) FY 08 \$7,025,019; FY 09 est \$6,600,000; FY 10 est \$6,600,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In prior fiscal years, approximately 5,239 students participated in the National Fire Academy resident program; 787 students participated in Regional Deliveries; and 2,872 individuals participated in the State Weekend program. An estimated 60,000 individuals participated in

educational opportunities through other Academy off-campus and train-the-trainer program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Security, Federal Emergency Management Agency, C/O 245 Murray Lane, Bldg # 410, Washington, District of Columbia 20523 Email: FEMA-NIMS@dhs.gov Phone: 1-800-621-FEMA.

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Students are provided an opportunity to attend courses at the National Fire Academy resident facility or at a convenient off-campus location with a minimal cost to the individual or the fire department represented. The increase in the number of students attending increases the professional level of the fire service personnel. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.020 HAZARDOUS MATERIALS TRAINING PROGRAM**

(SARA Title III Training Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C 9615 et seq.; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C 9662 et seq.

**OBJECTIVES:**

To make funding available to provide training in support of Tribal governments emergency planning, preparedness, mitigation, response, and recovery capabilities. These programs must provide special emphasis on emergencies associated with hazardous chemicals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are authorized to provide education and training programs for tribal personnel with special emphasis on hazardous chemicals and related chemical emergencies. The funds are intended to improve emergency planning, emergency notification, hazardous chemical reporting, preparedness, mitigation, response and recovery capabilities in support of Title III. Possible sources for this program include Federal training activities and conferences, State training programs, private sector training, university training centers, and other training sources. Funding may also be used to pay contractual services acquired for the specific purpose of training and educating the tribes. In FY 2000, State grants under this authority were incorporated into FEMA's Emergency Management Performance Grant (EMPG).

**Applicant Eligibility:**

These funds are available to Federally-recognized Indian Tribal governments. States and U.S. territories must apply for Emergency Management Performance Grants.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

These funds are available to Federally-recognized Indian Tribal governments.

States and U.S. territories must apply for Emergency Management Performance Grants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. The matching requirement is 20 percent that may be satisfied with cash or third party in-kind contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The assistance is normally available for one year. The assistance is awarded in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Under Performance Partnership Agreements, States have been given additional flexibility to meet their hazardous materials risk requirements. No quantitative data is available. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FY 2000 Hazardous Materials Training Program Guidance for Tribal Nations; Implementation of SARA Title III.

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional Training Officer.

**Headquarters Office:**

Tom Smith 245 Murray Lane  
Building #410, Washington, District of Columbia 20528 Phone: 202-646-4542

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: OSHA required hazardous materials training, training for LEPC planning and prevention activities, training to conduct hazard analyses, training for exercises in evaluation activities, and training for local response agencies in planning and standard operating procedures (SOP) development. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.021 HAZARDOUS MATERIALS ASSISTANCE PROGRAM**

(CERCLA Implementation)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C 9601 et seq.; Superfund Amendments and Reauthorization Act of 1986, Executive Order 12148, Federal Emergency Management; Executive Order 12580, Superfund Implementation, 42 U.S.C 9662 et seq.

**OBJECTIVES:**

To support States, local and Indian tribal governments in oil and hazardous materials emergency planning and exercises and enhance their capabilities to interact with the National Response System (NRS); through the States, provide technical and financial assistance to support activities under the Comprehensive Hazardous Materials (Hazmat) Emergency Response - Capability Assessment Program (CHER-C).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding must be used for planning, exercising and educational projects that will serve to enhance emergency management capabilities for dealing with oil and hazardous materials releases. Certain equipment purchases are not authorized: such as automated data processing and facsimile machines and any other equipment acquired for the sole purpose of carrying out the day-to-day work activities. However, equipment purchased exclusively for the implementation of exercises and/or CHER-CAP activities (disposable personal protective equipment, simulated emergency response equipment used only for training) are authorized. Reimbursement of salaries and benefits is restricted, and funding for contractual support is permitted. Funding for training and educational programs are limited, and may not be used to supplement the

nonfederal matching requirements associated with Hazardous Materials Transportation Act (HMTA), or SARA Title III funds, nor used to attend courses available under any other FEMA programs when separate funds are available for that training.

**Applicant Eligibility:**

The funds are available to States, locals, tribes, U.S. territories, State Emergency Response Committees (SERCs), and Local Emergency Planning Commissions (LEPCs).

**Beneficiary Eligibility:**

States, locals, tribes, U.S. territories, State Emergency Response Committees (SERCs), and Local Emergency Planning Commissions (LEPCs).

**Credentials/Documentation:**

Applicant must submit to the FEMA Regional Office a work plan describing the proposal.

Funds are available to States, locals, tribes, U.S. territories, State Emergency Response Committees (SERCs), and Local Emergency Planning Commissions (LEPCs). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants or cooperative agreements are awarded for a period of one year. Exceptions may be granted at the discretion of the Region PT Division Director refer to the program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. The FEMA Regional PT Office determines the allocation for each applicant based on the proposal, the FEMA/EPA Interagency Agency Agreement and previous funding and accomplishments. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FEMA regional office responsible for coordinating program activities.

**Headquarters Office:**

Tom Smith 245 Murray Lane, Building #410, Washington, District of Columbia 20528 Phone: 202-646-4542

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.020 Hazardous Materials Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Planning and/or exercise projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.022 FLOOD INSURANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq.

**OBJECTIVES:**

To enable persons to purchase insurance against physical damage to or loss of buildings and/or contents therein caused by floods, mudslide (i.e., mudflow), or flood-related erosion, thereby reducing Federal disaster assistance payments, and to promote wise floodplain management practices in the Nation's flood-prone and mudflow-prone areas.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Under the Emergency Program of the National Flood Insurance Program (NFIP), property owners may buy flood insurance at a chargeable premium rate that is generally lower than a normal actuarial rate. Maximum amounts of such

coverage available under the Emergency Program of the NFIP are: \$35,000 for a single-family home (higher limits are available in Hawaii, Alaska, Guam and the U.S. Virgin Islands), \$100,000 for all other residential structures, plus \$10,000 per dwelling unit for any contents; for nonresidential structures, an aggregate liability for any single structure of \$100,000 and for contents, \$100,000 per unit. Once a detailed flood insurance risk study has been completed and the community enters the Regular Program, additional coverage on existing properties may be purchased at actuarial rates. As of March 1, 1995, the maximum coverage available under the Regular Program is: \$250,000 for single-family residential structures; 250,000 times this number of condominium units for a residential condominium building, \$250,000 for all other residential structures; \$100,000 for contents per dwelling unit; \$500,000 for non-residential structures; \$500,000 for contents of non-residential structures. Effective October 1, 1983, coverage is no longer available for finished portions of basements with the exception of equipment necessary to make the building habitable, (e.g., furnaces). Properties built within identified special flood hazard areas after the effective date of the Flood Insurance Rate Map are eligible for flood insurance only at actuarial rates. Under the Flood Disaster Protection Act of 1973, effective March 2, 1974, flood insurance must be purchased as a condition of any form of Federal or federally-related financial assistance, including Federal grants, disaster assistance, and mortgage loans from federally regulated lending institutions and FHA, Farmers Home Administration, VA or guaranteed mortgages when the improved real property to which the transaction applies is located within identified special flood hazard areas where flood insurance is available. Communities having one or more identified special flood hazard areas must enter into the National Flood Insurance Program within 1 year of the official identification of their special flood hazard areas or be denied Federal financial assistance for acquisition or construction purposes within those areas. Federally regulated conventional sources (i.e., banks, savings and loan associations, or similar lending institutions) are permitted to make loans secured by improved real estate or Manufactured Housing located or to be located in the identified special flood hazard area of a nonparticipating community which has been formally identified as flood-prone for more than 1 year, but Federal disaster assistance for acquisition or construction purposes will not be available in the event of flood or flood-related property damage. The conventional lender is statutorily required to notify the borrower, before making a loan in such an area, whether Federal disaster assistance will be available to the property. The Coastal Barrier Improvement Act of 1990 amended the Coastal Barrier Resources Act of 1982 by greatly enlarging the acreage included in the designated coastal barrier resources system unit. The 1990 Act also added "otherwise protected areas." "Otherwise protected areas" are defined as an undeveloped coastal barrier within the boundaries of an area established under Federal, State, or local law, or held by a qualified organization, primarily for wildlife refuge, sanctuary, recreational or natural resource conservation purposes. The 1982 Act prohibits the sale of new flood insurance on or after October 1, 1983 for new construction or substantial improvements of structures located on any coastal barrier with the Coastal Barrier Resources System designated by this Act. The 1990 Act prohibits the sale of new flood insurance on or after November 16, 1990 for new construction or substantial improvements of structures located on any new coastal barrier within the Coastal Barrier Resources System designated or modified by this Act. It also prohibits the sale of new flood insurance on or after November 16, 1991 for new construction or substantial improvements of structures located in an otherwise protected area that are not used in a manner consistent with the purpose of the otherwise protected area. Subsequent pieces of legislation have added or deleted areas. Also, the Secretary of the Interior is authorized to make technical revisions and modifications to the boundaries of such units as may be necessary.

**Applicant Eligibility:**

Flood insurance can be made available in any community (a State or political subdivision thereof with authority to adopt and enforce floodplain management measures for the areas within its jurisdiction) that submits a properly completed application to FEMA including copies of enacted floodplain management measures consistent with the National Flood Insurance Program regulations.

**Beneficiary Eligibility:**

Residents, business, and property owners in applicant community, in which like States can insure municipal structures.

**Credentials/Documentation:**

Same as Applicant Eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Community officials must submit an NFIP eligibility application form, which is available from the FEMA, together with: copies of adopted floodplain management measures meeting the minimum standards of 44 CFR Section 60.3(a), 60.3(b), 60.3(c), 60.3(d), and/or 60.3(e), as appropriate for the type of flood hazards identified; a list of any incorporated communities within the applicant's boundaries; and estimates of population and, by kind, of buildings situated in the known flood-prone areas of the community. Such Applications should be submitted to the Mitigation Directorate, FEMA, Washington, DC 20472. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

FEMA reviews the application and if complete, designates the community as participating. The community is informed of its admission, and notice is published in the Federal Register. Residents and property owners may then purchase flood insurance through any property insurance agent or broker.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For complete applications, a maximum of 10 working days is allowed for review and notification.

Communities with one or more identified special flood hazard areas must enter the program within 1 year after the identification of those areas or else prohibitions against Federally related financial assistance for acquisition or construction purposes in identified special flood hazard areas take force. Once the community does qualify, after the prescribed date, these prohibitions are removed. Adequate floodplain management measures must be in effect within 6 months of the date that the special flood hazard area is identified and within 6 months of the date flood water surface elevations are provided.

**Appeals:**

Communities are allowed to appeal flood-prone identification and are also given an opportunity to appeal proposed flood elevation determinations for new construction and substantial improvement of existing structures in the special flood hazard areas. Notice of the proposed elevations is published in the Federal Register and is sent directly to the local governments. Following notification to the local government, the notice of proposed flood elevation determinations is published twice during a 10-day period in a prominent newspaper. The local community and its individual residents then have 90 days following the second newspaper notice to submit any scientific or technical data that tend to negate or contradict FEMA's findings. If a conflict in data exists and cannot be resolved at the community level, the community consolidates all individual appeals for review by FEMA. FEMA shall resolve the appeals by consultation with officials of the local government, or by submission of conflicting data to an independent scientific body, or by administrative hearings.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Every two years to FEMA on progress of the floodplain management program.

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Specific elevation information on proposed new construction or substantial improvements in the area of special flood hazard. Backup data for biennial report.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Insurance) FY 08 \$129,215,961; FY 09 est \$142,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Claims paid: \$1 to \$1,900,000; \$39,154.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: As of December 2008, 20,727 communities participated; 5,604,771 policies in force; and \$1,181,651,150,200 insurance in force. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 44 CFR 59 et seq. Publication, "Answers to Questions About the National Flood Insurance Program," "Mandatory Purchase of Flood Insurance Guidelines," "Elevated Residential Structures," "Guide To Flood Insurance Rate Maps," "Flood Insurance Manual" (agents manual), "National Flood Insurance Program. Application Forms," "Manufactured Home Installation in Flood Hazard Areas," "Coastal Construction Manual," "Alluvial Fans: Hazards and Management," "Floodplain Management in the United States: An Assessment Report," "Design Guidelines for Flood Damage Reduction" and "Repairing Your Flooded Home," "Technical Bulletin Series (FIA-TB)" "Answers to Questions About Substantially Damaged Buildings," "Reducing Losses in High Risk Flood Hazard Areas," "Design Manual for Retrofitting Flood- Prone Residential Structures" and "Flood Proofing Non-Residential Structures."

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FEMA regional office, or the State office responsible for coordinating the program's activities.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Techworld, Control Desk 4th Floor, Room 427, 500 C St. S.W., Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

10.450 Crop Insurance; 59.008 Disaster Assistance Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.023 COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Flood Disaster Protection Act of 1973, as amended, 42 U.S.C 4002 et seq; National Flood Insurance Act of 1968, as amended and 44 CFR Parts 59 and 60, 42 U.S.C 4001 et seq.

**OBJECTIVES:**

The purpose of this program is to provide, through a State grant mechanism, a means to ensure that communities participating in the National Flood Insurance Program (NFIP) are achieving flood loss reduction goals of the NFIP. CAP-SSSE funds are to be used by States to provide technical assistance to NFIP communities, to evaluate community implementation/performance of NFIP floodplain management activities, and to build State and community floodplain management expertise and capacity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: CAP-SSSE funds are used for activities that support the NFIP. Such activities include the fostering of effective floodplain management programs in participating communities and assisting non-participating communities in enrolling in the NFIP. Restrictions: CAP-SSSE funds cannot be used for conducting floodplain studies or developing floodplain maps. Further, if a State does not have the necessary expertise and capability to conduct CAP-SSSE activities, the Region and State must develop a remedial plan. If the necessary expertise and capability does not develop in accordance with the remedial plan, the following year's CAP-SSSE funding may be reduced or withheld. For complete information on Uses and Restrictions, refer to program guidance. Applicants must be a qualified State that intends to provide technical assistance to NFIP communities. Refer to program guidance for complete information on applicant eligibility.

**Applicant Eligibility:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the SSSE is voluntary and is contingent upon need and skill level capability.

**Beneficiary Eligibility:**

The direct beneficiary of the CAP-SSSE is the individual State receiving financial assistance. In addition, participating NFIP communities and local governments which receive flood plain management and flood loss reduction assistance provided by the State are also (indirect) beneficiaries as a consequence of the services they receive.

**Credentials/Documentation:**

A State's participation in the CAP-SSSE is voluntary and is contingent upon need and skill level capability as determined by FEMA. In addition, applicant states are required to provide any relevant documentation contained in the grant agreement package provided by FEMA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The CAP-SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the CAP-SSSE is voluntary and contingent upon need and skill level capability. Need and skill level will be determined through consultation with States and FEMA Regional Office Mitigation Division points of contact. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals can be made to the appropriate FEMA Regional Office.

**Renewals:**

Participation in the CAP-SSSE can be renewed each year contingent upon meeting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Funding is provided on a 75 percent maximum Federal, 25 percent minimum State cost-sharing basis. Both cash and in-kind resources may meet the 25 percent cost-share.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to Program Guidance.

**Reports:**

States must report at least semi-annually to the Regions to demonstrate progress in meeting agreed upon performance measures (as outlined in the State's Five-Year Plan). Some Regions may require quarterly reporting to satisfy Regional grants management requirements. States are expected to cooperate with Regions by submitting documentation or other evidence that demonstrates completion of approved activities. States must provide a final status report on meeting their performance measures to the Region by December 30th of each year in which the state was granted CAP-SSSE funds. For complete reporting requirement information, refer to program guidance. . . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Project Grants) FY 08 \$7,637,500; FY 09 est \$8,600,000; FY 10 est

\$8,600,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In preceding fiscal years, approximately 50 applications have been awarded. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to program guidance.

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional office information is available on the Internet at <http://www.fema.gov/about/structure>. Information may also be obtained by contacting the State office responsible for coordinating CAP-SSSE activities.

**Headquarters Office:**

Department of Homeland Security/FEMA 500 C St., SW, Washington, District of Columbia 20472 Phone: 1-800-621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.022 Flood Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Community Assistance Visits/Contacts (CAV/CAC), Floodplain Management, Ordinance Assistance, Coordination Meeting with Regional Office, Community Rating System Application Assistance and Review/Workshops, Flood Loss Reduction Assistance and Publications, General Technical Assistance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.024 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM**

(Emergency Food and Shelter)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title 3, Section 301, Public Law 100-77, 42 U.S.C 11331-11346.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them. To conduct minimum rehabilitation of existing mass shelter or mass feeding facilities, but only to the extent necessary to make facilities safe, sanitary and bring them into compliance with local building codes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one month; and limited repairs to feeding and sheltering facilities. Emergency Food and Shelter (EFS) National Board Program (EFSP) funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year): Responsibilities and Requirements, issued by the Emergency Food and Shelter

Program National Board.

**Applicant Eligibility:**

Since funds are initially distributed to jurisdictions based on either a National Board formula or recommendations from State Set-Aside Committees, there is no application process for jurisdictions. All jurisdictions are considered within the National Board formula and all jurisdictions in an individual State may be considered by the State Set-Aside Committee for either initial or additional (if the jurisdiction had previously been selected by the National Board) funding.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of local participant groups includes the affiliates of the National Board membership which consists of the American Red Cross, Catholic Charities, USA, United Jewish Communities, National Council of Churches of Christ in the USA, The Salvation Army and United Way of America, with a local government representative replacing FEMA. Also participating are thousands of independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) and that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

At the local level, following award notification, a Local Board is formed. That board then advertises the availability of the funds to local nonprofit agencies and governments. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notification to local jurisdictions is based on either a National Board formula or recommendations from State Set-Aside Committees.

**Award Procedure:**

Applications or plans are submitted to the National Board and reviewed by the National Board program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Refer to the Emergency Food and Shelter National Board Program, "Phase 27: Responsibilities and Requirements" document for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

See program guidance. . See program guidance. . See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0707-0-1-605.

**Obligations:**

(Project Grants) FY 08 \$153,000,135; FY 09 est \$200,000,000; FY 10 est not reported. - FY 2010 Estimate: No available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: During the most recent phase for which final data is available (phase 25 or FY 07), over 12,000 social service agencies (both nonprofit and governmental) in more than 2,500 jurisdictions received nearly \$151,470 million. This resulted in the provision of more than 56,112,548 million additional meals and 4.1 million additional nights of shelter, payout of approximately 248,869 rent/mortgage and utility bills to keep people in their homes, as well as supplies and minimal repairs for shelters. Web training, called Webinars, was also conducted by program staff for local boards and agencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Food and Shelter National Board Program, "Phase 27: Responsibilities and Requirements" document.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, S.W., Room 619, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363).

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

10.568 Emergency Food Assistance Program (Administrative Costs); 14.231 Emergency Shelter Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Some local providers have used EFSP Program funds in the following ways: (1) A drop-in center, available for homeless individuals during daytime hours when shelters are closed, used EFSP funds to begin a lunch program; (2) A family shelter used EFS funds to increase the quality of the diet available to mothers and children and added a morning meal; (3) A shelter used funds to purchase additional cots and beddings, and thus increase shelter capacity; (4) A food bank used EFSP funds to increase the amount of food and the protein quality it distributed to its pantry system; and (5) A shelter organization used EFSP funds to make one-month mortgage and rent payments to prevent evictions which kept families in their own homes and lightened the shelter population. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.025 NATIONAL URBAN SEARCH AND RESCUE (US&R) RESPONSE SYSTEM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; National Defense Authorization Act of FY 1997, as amended by Robert T. Stafford Disaster Relief and Emergency Assistance Act, Title 44, Part 208, 42 U.S.C 5121-5206; Defense Against Weapons of mass Destruction Act of 1966; Earthquake Hazard Reduction Act of 1977, as amended by ,, 42 U.S.C 7701 et seq.

**OBJECTIVES:**

Develop, maintain, deploy, coordinate, and support National Urban Search and Rescue resources on-scene to locate, provide initial medical treatment, and extricate victims of incidents requiring specialized search and rescue operations while simultaneously enhancing the US&R response capabilities of State and local governments.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local emergency management agencies may jointly develop one or more US&R Task Force(s), as defined in the National US&R Response System Operation Manual. Use of cooperative agreement funding is restricted to program management/administration, training, equipment acquisition, and storage and maintenance of equipment, to meet task force position criteria, and conduct and participate in meetings within the National US&R Response System. Equipment acquisitions are limited to those included in FEMA's approved equipment cache list, including equipment for management/administration and other items approved by the FEMA US&R Program Office. Training requirements as included in the Operation Manual and including Grants Management and Financial Training. See Guidance. See Guidance. See Guidance.

**Applicant Eligibility:**

Only the 28 sponsoring jurisdictions who are currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for operations and maintenance cooperative agreements.

**Beneficiary Eligibility:**

Only the 28 State and local government sponsoring organizations formally accepted by FEMA for participation in the National US&R Response System.

**Credentials/Documentation:**

State and/or local government applicants must verify that all personnel recommended for a task force meet the personnel qualifications as listed in the National US&R Response System Operation Manual. In addition, equipment

needs must be verified as being on the approved equipment cache list or as approved by the Program Office. Grant awards/administration will be in accordance with the following: The Grantee shall comply with all applicable laws and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the yearly application/program guidance.

**Award Procedure:**

Applications and budget plans are reviewed by DHS Program Office and Grants Management Office. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals must be made in writing and submitted within thirty (30) days from the date of disapproval. The appeal will be submitted through the appropriate FEMA Regional Office, to the Director for the Response Directorate. Within thirty days following the receipt of an appeal, the Response Director will provide the applicant, in writing, a determination on the appeal.

**Renewals:**

Annual applications must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Refer to Program Guidance. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on Program need.

**Reports:**

Refer to Program Guidance. . Semi-annual Progress Reports. Quarterly Financial Status Reports. Refer to Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$28,982,012; FY 09 est \$28,629,280; FY 10 est not reported. - estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: To continue to provide funding for equipment, training, and related activities for the 28 grantees comprising the National US&R Response System in order to assist them in achieving full operational readiness, as determined by FEMA. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Federal Rule 44 CFR Part 208, guidelines outlined in the annual statement of work for task force preparedness cooperative agreements. In addition, the requirements for establishing a standardized US&R Task Force are contained in the National US&R Response System Sponsoring Organization Capability Criteria manual, as amended by FEMA. The Grantee shall comply with all applicable laws and regulations. In addition a non-exclusive list of regulations commonly applicable to DHS grants are listed below:

Administrative Requirements OMB Circular A-102, State and Local Governments (10/07/94, amended 08/29/97) (44 CFR Part 13) OMB Circular A-110, Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (11/19/93, amended 09/30/99) (2 CFR Part 215) Cost Principles, 2 CFR Part 225, (OMB Circular A-87), State and Local Governments 2 CFR Part 205, (OMB Circular A-21), Educational Institutions, 2 CFR Part 230, (OMB Circular A-122), Nonprofit Organizations Audit Requirements. OMB Circular A-133, States, Local Governments, and Nonprofit Organizations (06/24/97, includes revisions published in the Federal Register 06/27/03).

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security, Federal Emergency Management Agency (FEMA), Grant Programs Directorate 500 C Street, SW Attn: Tech World/Room 411; , Washington, District of Columbia 20472 Phone: (202) 786-9458

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Program Management to ensure day to day operations of the US&R taskforce. Acquisition of tools and equipment identified in the current US&R equipment cache list. Development and delivery of training needed to fulfill task force missions. Lease of or modifications to existing buildings (not to change the building existing footprint) cache storage space. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.026 EMERGENCY MANAGEMENT INSTITUTE\_TRAINING ASSISTANCE**

(Student Stipend Reimbursement Program (SEP))

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Defense Production Act of 1950, as amended, 50 U.S.C App. 2061; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq; National Security Act of 1947, 50 U.S.C 401 et seq.; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq.

**OBJECTIVES:**

To defray travel and per diem expenses of State, local, and tribal emergency management personnel who attend training courses conducted by the Emergency Management Institute, at the Emmitsburg, Maryland facility; Nobel Training Center at the Center for Domestic Preparedness in Anniston, Alabama; and selected off-site locations. Its purpose is to improve emergency management practices among State, local, and tribal government managers, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

State (includes territories), local, and tribal emergency management officials, who have been accepted for emergency management training by the Emergency Management Institute, Emmitsburg, Maryland. Reimbursement may be made for a portion of student's travel, but attendees are required to pay for meals. Refer to program guidance document or contact administering program office for additional information.

**Applicant Eligibility:**

Individuals who are assigned to an emergency management position in State, local or tribal government are eligible. Some restrictions apply, refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

Specialized Group.

**Credentials/Documentation:**

Individuals who are assigned to an emergency management position in State, local, or tribal government are eligible. Some restrictions apply, refer to program guidance document or contact administering program office for additional information. Individuals must first be accepted/approved by EMI, to attend the training course. Student Stipend Agreement (FEMA 75-3) accompanied by required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications for admission to training course are processed/coordinated through county, State, tribal, and regional emergency management entities. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the Admissions Office, Management Operations and Support Services Division at the National Emergency Training Center using the Student Stipend Agreement after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation.

**Award Procedure:**

The completed agreement will be processed immediately. If reimbursement is to be made a U.S. Department of Treasury payment schedule is prepared and a reimbursement check is issued directly to the beneficiary within 60 days.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance document or contact administering program office for additional information. Certain match requirements (payment of meals by attendees) apply to all participants. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$1,308,223; FY 09 est \$1,300,000; FY 10 est \$1,300,000

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 14,551 students attended courses and 2,860 of those students received a stipend by Emergency Management Institute Resident Program.  
Fiscal Year 2009: Approximately the same level of activity is estimated for the current fiscal year. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute  
<http://training.fema.gov/EMIWeb/contactus.asp>

16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1286

**Website Address:**

<http://www.training.fema.gov>

**RELATED PROGRAMS:**

97.027 Emergency Management Institute (EMI)\_Independent Study Program;  
97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Students are provided an opportunity to attend courses at the Emergency Management Institute resident facility, Anniston facility, and selected off site locations. Cost to the individual or the organization represented include meals, travel to point of major embarkment and return, personnel replacement costs, and related expenses. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.027 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_INDEPENDENT STUDY PROGRAM**

EMI

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Defense Production Act of 1950 as amended, 50 U.S.C 2061; National Security Act of 1947, 50 U.S.C 401 et seq; Earthquake Hazards

Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq.

**OBJECTIVES:**

The program currently consists of 84 courses available to participants, with the objective of enhancing public and selected audience knowledge of emergency management practices among officials of Federal, State, local, and tribal governments and voluntary organizations in response to emergencies and disasters.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

State, local, Federally-recognized Tribal Government, U. S. Territory or possession; specialized group and general public. Refer to program guidance document or contact administering program office for course-specific eligibility requirements.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Course enrollment may be obtained by writing to the FEMA Independent Study Program, Administrative Office, Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 or electronic enrollment may be processed via the Internet at <http://www.training.fema.gov/IS>.

**Award Procedure:**

Independent study courses furnished directly to applicants meeting course-specific requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

An annual appropriation is anticipated for this program. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 08 \$2,200,000; FY 09 est \$2,400,000; FY 10 est \$2,500,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In the preceding fiscal year there were 1,996,188 individuals completing independent study courses. Fiscal Year 2009: Approximately 2,000,000 independent study course completions are anticipated by the end of the current fiscal year. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog or Independent Study Program Brochure found on the web at <http://www.training.fema.gov/IS/crslist.asp>.

**Regional or Local Office:**

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute (EMI) 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1200

**Website Address:**

<http://www.training.fema.gov/IS>

**RELATED PROGRAMS:**

97.026 Emergency Management Institute\_Training Assistance; 97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Individuals are provided an opportunity to learn more about a broad base of basic emergency management principles. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.028 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_RESIDENT EDUCATIONAL PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Defense Production Act of 1950, as amended,, 50 U.S.C App 2061 et; Earthquake Hazards Reduction of 1977, 42 U.S.C 7701 et seq; National Security Act of 1947, 50 U.S.C 401 et seq.

**OBJECTIVES:**

To improve emergency management practices among State, local and tribal government managers, and Federal officials as well, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

The primary audience is State, local and tribal government officials. Courses are not open to the general public. Acceptance into specific courses is based on a need to know the information and how it will be used for the benefit of the community.

**Applicant Eligibility:**

Individuals assigned to an emergency management position in State, local, or tribal government are eligible. Restrictions apply, however; refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applicants may be asked to verify their emergency management responsibilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to acceptance into the course.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indefinite. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. There may be an evaluation following completion of most courses to determine the application of the information and the benefit derived by the community.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 08 \$3,215,771; FY 09 est \$3,500,000; FY 10 est \$3,500,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In the preceding fiscal year, 14,551 individuals participated in the EMI resident program. The same level of participation is anticipated for the current and future fiscal year(s). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

Emergency Management Institute Course Catalog.

### Regional or Local Office:

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

### Headquarters Office:

Department of Homeland Security, Federal Emergency Management Agency (FEMA), Emergency Management Institute 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: 301-447-1286

### Website Address:

www.training.fema.gov

## RELATED PROGRAMS:

97.026 Emergency Management Institute\_Training Assistance; 97.027 Emergency Management Institute (EMI)\_Independent Study Program

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2008: Individuals are provided an opportunity to attend courses at the Emergency Management Institute resident facility. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on selection criteria.

## 97.029 FLOOD MITIGATION ASSISTANCE

(FMA)

### FEDERAL AGENCY:

Department of Homeland Security

### AUTHORIZATION:

National Flood Insurance Act of 1968, as amended by the Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, Public Law 108-264.

### OBJECTIVES:

To assist States, Indian tribal governments, and communities to reduce or eliminate the long-term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP).

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

States, Territories, local and Federally-recognized Indian tribal governments may apply for FMA funding to reduce or eliminate the long-term risk of flood damage to residential properties insured under the National Flood Insurance Program (NFIP). Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher; minor physical localized flood control projects; and dry-flood proofing (historic properties only).

### Applicant Eligibility:

Eligible applicants Technical Assistance Grants are State agencies or departments that are responsible for administering the FMA program. Eligible applicants for Planning Grants are States and communities participating in the NFIP. Suspended communities or communities on probation under the NFIP are not eligible. Eligible applicants for Project Grants are States and communities participating in the NFIP, and with a FEMA-approved Flood Mitigation Plan. Suspended communities or communities on probation under the NFIP are not eligible.

### Beneficiary Eligibility:

States and communities.

### Credentials/Documentation:

Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. Federally recognized Indian tribal governments and local governments that are sub-applicants must be participating in the NFIP.

Eligible applicants include State emergency management agencies or a similar office (i.e., the office that has primary emergency management or floodplain management responsibility) of the State; District of Columbia; U.S. Virgin Islands; the Commonwealth of Puerto Rico; American Samoa; Commonwealth of the Northern Mariana Islands; Guam; and Federally-recognized Indian tribal governments. Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided in the Severe Repetitive Loss program guidance. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

### Award Procedure:

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Not Applicable.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.

Matching Requirements: An applicant's FMA project and planning target allocation is based on the national percentage of NFIP policies present within the jurisdiction. An applicant may apply for funding up to or exceeding its target allocation.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

### Reports:

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter; January 30, April 30, July 30 and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0701-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$41,000,000; FY 09 est \$41,000,000; FY 10 est \$41,000,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Severe Repetitive Loss (SRL) and Flood Mitigation Assistance (FMA) Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the SRL program guidance. Other guidelines include OMB Circular No. A-102, Grants and Cooperative Agreements with State and local Governments, and OMB Circular No. A-87, Cost Principles for State, Local and Indian Tribal Governments. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Local Governments and Federally-recognized Indian Tribal (if applying through the State) sub-applicants should consult the office or officials designated as the single point of contact in his or her state for more information on the process that the State requires to be followed in applying for assistance. The Hazard Mitigation Assistance Unified grant program guidance, which is available to the public on the FEMA Internet site: <http://www.fema.gov/government/grant/fma/index.shtm>

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

**Headquarters Office:**

Lloyd Hake, Chief, Grants Implementation Branch, Risk Reduction Division, Mitigation Directorate, Federal Emergency Management Agency 1800 South Bell Street, Arlington, Virginia 20595-3015 Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: 202-646-3428

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Acquisition and relocation of structures from hazard-prone areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project Grants: Minimum Project Eligibility Criteria: The extent to which proposals are cost effective, conform with applicable Federal and State regulations and executive orders, are technically feasible, conform with the Flood Mitigation Plan, are physically located in an eligible community, or benefit such a community directly. Planning Grants are selected based on whether proposals are for eligible activities such as: conducting local planning discussions; contracting for consulting technical services such as engineering and planning; surveying structures at risk; and assessing structures subject to repetitive flood loss. Technical Assistance Grants are selected based on whether proposals are for eligible activities such as: conducting community site visits; reviewing draft applications and plans; participating in planning

meetings; providing planning workshops/materials; and, providing grants management workshops/materials.

**97.030 COMMUNITY DISASTER LOANS****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 417, 42 U.S.C 5184.

**OBJECTIVES:**

To provide loans subject to Congressional loan authority, to any local government that has suffered substantial loss of revenues in an area in which the President designates a major disaster exists. The funds can only be used to maintain existing functions of a municipal operating character and the local government must demonstrate a need for financial assistance.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans are made only to local governments or other political subdivisions of the State, and are based on need. The funds cannot be used to meet the non federal share of any Federal program, finance capital improvements, or repair or restore public facilities. Applicants must be in a designated major disaster area and must demonstrate that they meet the specific conditions of FEMA Disaster Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible, the applicant must demonstrate: 1) a substantial loss of revenues as a result of a major disaster; 2) a need for financial assistance to perform its governmental functions. The amount of the loan is based on the demonstrated need. The interest rate is the U.S. Treasury rate for 5-year maturities on the date the Promissory Note is executed, adjusted to the nearest 1/8th. When applicable, if an applicant can demonstrate unusual circumstances involving financial hardship, the Assistance Administrator of the Disaster Assistance Directorate may approve a rate equal to the 5-year maturity rate plus 1 per centum, adjusted to the nearest 1/8th, and further reduced by one-half. The term of the loan is usually 5 years, but may be extended. Interest accrues on the funds as they are disbursed. When applicable, the Assistance Administrator of the Disaster Assistance Directorate may cancel repayment of all or part of the loan if the revenues of the applicant in the 3 fiscal years following the financial year of the disaster are insufficient to meet the operating budget because of disaster related revenue losses and un-reimbursed disaster related operating expenses.

**Applicant Eligibility:**

Applicants must be in a designated major disaster area and must demonstrate that they meet the specific conditions of FEMA Disaster Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible the applicant must demonstrate: 1) a substantial loss of revenues as a result of a major disaster; 2) a need for financial assistance to perform its governmental functions.

**Beneficiary Eligibility:**

Local governments in a designated disaster area.

**Credentials/Documentation:**

The loan application is developed from financial information contained in the local government's published financial reports and current annual operating budget. Loan awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the FEMA Regional Director. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State



requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Upon declaration of a major disaster, application for a Community Disaster Loan is made through the Governor's Authorized Representative to the Regional Director of FEMA in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.364. The Assistant Administrator of the Disaster Assistance Directorate approves or disapproves the loan. The Designated Loan Officer will execute a Promissory Note with the applicant. The promissory note must be co-signed by the State, or if the State cannot legally co-sign the note, the local government must pledge collateral security.

**Award Procedure:**

Funds are disbursed to the local government when requested in accordance with the Schedule of Loan Increments in the Promissory Note. Funds awarded to Institutions of Education, Hospitals and Other Non-Profit Organizations will follow requirements of OMB Circulars No. A-110, No. A-21 and No. A-133.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 6 months. The loan must be approved in the fiscal year of the disaster or the financial year immediately following.

**Appeals:**

If a loan application is disapproved, in whole or in part, a revised application may be resubmitted by the local government within 60 days of the date of the disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the loan is generally 5 years, but may be extended. Funds are disbursed per the Schedule of Payments in the Promissory Note. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

The applicant must demonstrate a financial need prior to any incremental disbursement by submitting a copy of its most recent financial report as well as data on anticipated and actual revenues. The applicant annually must submit copies of its annual financial reports. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Annual Operating Budgets including revenue and expense and balance sheets must be retained for the duration of the loan. Additional record requirements are detailed in the Federal Disaster Assistance Regulations, 44 CFR 206, Subpart K.

**Account Identification:**

70-0703-0-1-453.

**Obligations:**

(Direct Loans) FY 08 \$4,400,000; FY 09 est \$32,000,000; FY 10 est not reported. - FY 2010 Budget Estimate: Not Available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 206, Subpart K.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security 245 Murray Lane, Washington, District of Columbia 20528 Email: john.wilmot@dhs.gov Phone: (202) 447-4000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.031 CORA BROWN FUND**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.

**OBJECTIVES:**

To use funds made possible by a bequest of funds from the late Cora C. Brown of Kansas City, Missouri, who left a portion of her estate to the United States for the purpose of helping victims of natural disasters not caused by or attributed to war.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To provide for disaster-related needs that have not been, or will not be met by government agencies or any other organizations which have programs to address such needs; however, the fund is not intended to replace or supersede these programs. The fund may not be used in a way that is inconsistent with other federally mandated disaster assistance or insurance programs. Money from the fund will not duplicate assistance for which a person is eligible from other sources.

**Applicant Eligibility:**

Individuals, families, and groups in need of (1) Disaster-related home repair and rebuilding; (2) disaster-related unmet needs; and (3) other services which alleviate human suffering and promote the well being of disaster victims.

**Beneficiary Eligibility:**

Individuals, families, and groups in need.

**Credentials/Documentation:**

Recommendation from Regional Director or his/her designee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Disaster victims do not apply for assistance from the fund, instead, they are identified and recommended by the Regional Director or his/her representatives, with assistance from other governmental agencies and voluntary disaster agencies.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

Payment based on Project need.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$15,191,984; FY 09 est not reported.; FY 10 est not reported. - FY 2009 Estimate: Not available  
FY 2010 Estimate: Not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.181; DOM Chapter 17; Cora Brown Fund Program.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Emergency Preparedness and Response, Federal Emergency Management Agency (FEMA) 245 Murray Lane - Bldg. #410, Washington, District of Columbia 20523 Phone: 202-646-4528

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.032 CRISIS COUNSELING**

Crisis Counseling Assistance and Training Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Crisis Counseling Assistance and Training Act, Public Law 100-707; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 93-288, as amended by Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5182.

**OBJECTIVES:**

To provide short-term crisis counseling services to people affected by a Presidentially-declared major disaster. The purpose of the program is to help relieve any grieving, stress, or mental health problems caused or aggravated by the disaster or its aftermath. Assistance is short-term in nature and provided at no cost to the disaster survivor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Crisis Counseling Assistance and Training Program (CCP) provides supplemental funding to States, U.S. Territories and Federally recognized tribes for technical assistance and training as well as short-term crisis counseling services to individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. CCP services involve the counseling goals of assisting disaster survivors in understanding their current situations and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or development of coping strategies, providing emotional support and encouraging linkages with other individuals and agencies who may help survivors recover to their pre-disaster level of functioning. The CCP is comprised of the Immediate Services Program (ISP) and the Regular Services Program (RSP). The Immediate Services Program enables the State or local agency to respond to the immediate mental health needs of people affected by the disaster. The Regular Services Program grant provides up to nine months of crisis counseling, outreach, consultation and education services to people affected by a disaster. Funding for the ISP and RSP programs is considered separate and distinct as these are two different grants.

**Applicant Eligibility:**

States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Director to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization.

**Beneficiary Eligibility:**

In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-87 for State and local governments. Grant awards will be determined in accordance with OMB Circulars A-102 and No. A-87 for State and local governments. States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Administrator to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization. In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal assistance for the Immediate Services Program must be submitted by the State to FEMA no later than 14 days after the Presidential declaration. Application for Federal assistance for the Regular Services Program must be submitted by the State to FEMA, along with a copy to SAMHSA CMHS, no later than 60 days after the Presidential declaration.

**Award Procedure:**

Immediate Services Crisis Counseling Program applications are reviewed by FEMA program staff in consultation with SAMHSA CMHS. Grant award is provided by FEMA to the State Emergency Management Agency. Regular Services Program applications are reviewed by FEMA with formal recommendation from SAMHSA CMHS. Grant funds are provided by FEMA to SAMHSA CMHS for award to the State's mental health agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Immediate Services Crisis Counseling Program - The State may appeal the Regional Administrator's decision in writing within 60 days of the date of notification of the application decision. The State may further appeal the Regional Administrator's decision to the Assistant Administrator, Disaster Assistance, within 60 days of the date of the Regional Administrator's notification of the application decision. Regular Services Crisis Counseling Program - The State may appeal FEMA's decision in writing within 60 days of the date of notification of the decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Final financial and program reports are due 90 days after the end of the grant's period of performance. Refer to program guidance. Refer to program

guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$13,828,309; FY 09 est not reported.; FY 10 est not reported. - FY 2009: Estimate not available  
FY 2010: Estimate not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: This program responded to 13 major disaster declarations in 10 States or Territories. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 206.171, Crisis Counseling Assistance and Training

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), Individual Assistance 245 Murray Lane - Bldg. #410, Washington, District of Columbia 20528 Phone: 202-447-4000

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

93.982 Mental Health Disaster Assistance and Emergency Mental Health

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.033 DISASTER LEGAL SERVICES**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 415, Public Law 93-288, 42 U.S.C 5182.

**OBJECTIVES:**

To provide legal assistance to low-income individuals affected by a Presidentially-declared major disaster.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Disaster Legal Services Program provides free legal advice for individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. Legal advice is limited to cases that do not produce a fee. This free legal advice includes assistance with insurance claims; counseling on landlord/tenant problems; assistance with home repair contracts; assistance in consumer protection matters; counseling on mortgage foreclosure problems; replacement of wills and other important legal documents; drafting powers of attorney; estate administration; preparation of guardianships and conservatorships; and referrals to local and State agencies for additional assistance.

**Applicant Eligibility:**

Low-income individuals, families, and groups.

**Beneficiary Eligibility:**

When the President declares a major disaster in which individual assistance programs are triggered, legal services and advice are made available to victims who are unable to secure such services as a result of the disaster.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEM makes a formal request to the National Director of the Disaster Legal Services (DLS) Program indicating the intent to implement the DLS program.

**Award Procedure:**

Administrative funds are made available through a contractual agreement as outlined in the Memorandum of Agreement between FEMA and the American Bar Association.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the program is generally tied to the need for services and varies with each disaster. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Volunterr attorneys submit reports on services and/or advice given to clients. Refer to Program guidance. Refer to Program guidance. Refer to Program guidance. Refer to Program guidance.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Provision of Specialized Services) FY 08 \$48,553; FY 09 est not reported.; FY 10 est not reported. - FY 2009: Estimate not available  
FY 2010: Estimate not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.164; and Disaster Legal Services Handbook.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA) Disaster Assistance Directorate 245 Murray Lane - Bldg. #410, Washington, District of Columbia 20528 Phone: (202) 447-4000

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.034 DISASTER UNEMPLOYMENT ASSISTANCE**

(DUA)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 410, Public Law 93-288, as amended by Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 100-707, 42 U.S.C 5178; FEMA has delegated to the Secretary of Labor the responsibility of administering Section 410.

**OBJECTIVES:**

To provide special Federally-funded weekly benefits and re-employment assistance to workers and self-employed individuals who are unemployed as a direct result of a Presidentially-declared major disaster, and who are not eligible for any other State or Federal Regular Unemployment Insurance benefits paid by States.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Disaster Unemployment Assistance Program (DUA) provides weekly benefits and re-employment assistance services to individuals unemployed as a direct result of a Presidentially-declared major disaster that includes Individual Assistance. Funds are used for benefit payments to individuals and project administrative costs to States. DUA weekly benefits and re-employment assistance require proof of employment eligibility, proof of employment or self-employment to assist in determining a Weekly Benefit Amount (WBA). Aliens must prove they are "qualified aliens" (as determined by the Immigration and Naturalization Service) in order to be eligible to receive a federal public benefit.

**Applicant Eligibility:**

Disaster victims who have experienced direct loss of employment as a result of a Presidentially-declared major disaster designated for DUA.

**Beneficiary Eligibility:**

Eligible disaster victims in designated major disaster areas.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations 44 CFR Part 206.141 and the DOL Regulations at 20 CFR Part 625. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the appropriate FEMA Regional Administrator having jurisdiction over the State. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206. An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State Workforce Agency (SWA) performs a needs assessment relating to potential eligible individual applicants for DUA. The State forwards this assessment to the Regional Department of Labor Administrator, which provides its recommendation to FEMA.

**Award Procedure:**

FEMA provides funding to the Department of Labor, which administers the DUA program on FEMA's behalf. Individual applicants for DUA assistance must apply through their local SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In general, individual applications are approved or denied within 1 to 2 weeks. Generally, applications for DUA must be filed within 30 days after the date of the SWA announcement regarding availability of DUA. When applicants have good cause, they may file claims after the 30-day deadline. However, no initial application will be considered if filed after the 26th week following the declaration date.

**Appeals:**

Appeals must be filed in accordance with DOL Regulation 20 CFR Part 625.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

DUA may be paid from the period beginning with the first week (as defined in State law) following the date the major disaster began, and extending up through, but no longer than, the 26th week following the Presidential major disaster declaration date. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

The SWA submits reports when requesting additional funding and at the close of the DUA program. Closeout reports must include the SF 269a and a narrative. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Internal program audits are conducted.

**Records:**

Record retention in accordance with DOL Regulation 20 CFR Part 625.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$16,036,057; FY 09 est not reported.; FY 10 est not reported. - FY 2009: Estimate not available FY 2010: Estimate not available.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Regulations at 44 CFR 206.8, 44 CFR 206.141, and DOL Regulations at 20 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Individual Assistance, 500 C Street, SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.036 DISASTER GRANTS - PUBLIC ASSISTANCE (PRESIDENTIALLY DECLARED DISASTERS)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.

**OBJECTIVES:**

To assist State and local governments in recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, or wildfire. Program activates only after issuance of a presidential declaration. Public Assistance is awarded in the form of cost-shared grants to States, local governments, other political subdivisions such as special districts, federally recognized Indian tribal governments and Alaska Native villages or organizations, and certain eligible Private Non-Profit organizations. A State is defined as any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Marianna Islands, the Marshall Islands and Micronesia. Following a Presidential declaration, grants may be made for: removal of wreckage and debris from private and public lands; performance of emergency protective measures; emergency transportation assistance; emergency communications; and permanent restoration of eligible facilities.

**Applicant Eligibility:**

State and local governments, other political subdivisions such as a special districts, federally recognized Indian tribal governments, Alaska Native villages or organizations, but not Alaska Native Corporations, and certain Private Non-Profit organizations in designated emergency or major disaster areas.

**Beneficiary Eligibility:**

Eligible work must be required as a result of the disasters; be located in a designated emergency or major disaster area; and be the legal responsibility of the applicant.

**Credentials/Documentation:**

Cost will be determined in accordance with FEMA Disaster Assistance Regulations, 44 CFR Part 206 and Part 13, and the FEMA Schedule of Equipment Rates. Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for States, local governments and Indian Tribes. Awards made to Institutions of Higher Education, Hospitals and other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.36, except as provided in Part 206.35(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Presidential Disaster or Emergency Declaration must be issued, which is then followed by an application for Public Assistance through the Governor's Authorized Representative to the Regional Director of FEMA.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. The FEMA Regional Director approves grants from this allocation on the basis of project applications for eligible applicants. States are responsible for distributing funds to applicants. As a condition of receiving assistance under the Stafford Act, applicants are encouraged to take mitigation measures to reduce future losses from natural hazards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 6 weeks. A Request for Assistance must be submitted by the applicant at the Applicants' Briefing or within 30 days of designation of an emergency declaration or major disaster declaration for the Public Assistance Program.

**Appeals:**

Any determination made under the Public Assistance Program may be appealed. All appeals must be made through the State and the appropriate FEMA Regional Office listed in Appendix IV of the Catalog. The appeal deadlines are: 60 days from receipt of notification of the action being appealed.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5121-5206, Public Law 93-288.  
Matching Requirements: Percent: 25.%. The Federal share of the grant is not less than 75 percent with the State and local governments responsible for the remainder.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the assistance period varies depending on the type of work or service. Reimbursement for small projects under \$60,900 is made based on the

Federal estimate of costs. For projects over the \$60,900, reimbursement of actual eligible costs is made as the costs are incurred. The \$60,900 limit is adjusted annually to reflect the Consumer Price Index. When purchase of insurance is required, the applicant is obliged to maintain the policy for the economic and useful life of the repairs or of the insured property, whichever is the lesser. Also, applicants must comply with Floodplain Management, Hazard Mitigation, Environmental, and Historic Preservation considerations. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress status reports are required quarterly. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records and related documents must be retained for 3 years from the date the applicant's project application is closed.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$3,124,128,957; FY 09 est not reported.; FY 10 est not reported. - FY 2009 estimate not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In fiscal year 2007, 63 disasters and 13 emergencies were declared. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 205 for disasters and emergencies declared prior to November 23, 1988; Federal Disaster Assistance Regulations, 44 CFR Part 206 for disasters declared on or after November 23, 1988; "Public Assistance Guide," FEMA 322 (formerly FEMA 286); "Public Assistance Policy Digest," FEMA 321; "Public Assistance Applicant Handbook," FEMA 323. See Public Assistance web page at <http://www.fema.gov/government/grant/pa/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), Disaster Assistance Directorate, Public Assistance Division 500 C Street, SW, Washington, District of Columbia 20472 Phone: 1-800-621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103 Emergency Operations Flood Response and Post Flood Response; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **97.039 HAZARD MITIGATION GRANT**

(HMGP)

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 404, 42 U.S.C 5170c.

### **OBJECTIVES:**

To provide States and local governments financial assistance to implement measures that will permanently reduce or eliminate future damages and losses from natural hazards through safer building practices and improving existing structures and supporting infrastructure.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Assistance can be used for the acquisition of real property, relocation, demolition of structures, seismic rehabilitation or retrofitting of existing structures; strengthening of existing structures, initial implementation of vegetation management programs, initial training of architects, engineers, building officials, and other professionals to facilitate the implementation of newly adopted State or local mitigation standards and codes; elevation of residential structures; elevation or dry flood-proofing of non-residential structures in accordance with 44 CFR 60.3, and other activities that bring a structure into compliance with the floodplain management requirements at 44 CFR 60.3, et al.

### **Applicant Eligibility:**

State agencies, local governments, public entities, private nonprofit organizations as defined in 44 CFR Section 206.433, Native American Tribes or authorized tribal organizations, and Alaskan Native villages or organizations, but not Alaskan native corporations with ownership vested in private individuals. States may elect to become Managing States. Managing States are delegated more authority in managing the HMGP. In order to be selected as a Managing State, the State must demonstrate the ability to manage the grant program, must have in effect an approved Enhanced mitigation plan and have a demonstrated commitment to mitigation activities.

### **Beneficiary Eligibility:**

States and communities.

### **Credentials/Documentation:**

Administrative and State, Tribal and Local Multihazard Mitigation Plans (Standard or Enhanced) must be Approved and reviewed by FEMA before funding can be awarded under the Hazard Mitigation Grant Program. States may elect to become Managing States. Managing States are delegated more authority in managing the HMGP. In order to be selected as a Managing State, the State must demonstrate the ability to manage the grant program, must have in effect an approved Enhanced mitigation plan and have a demonstrated commitment to mitigation activities. Alaskan native corporations with ownership vested in private individuals are not eligible. Private nonprofit organizations as defined in 44 CFR Section 206.433 are eligible to apply. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Rather than require applicants to submit a separate preapplication in order for FEMA and the State to identify the need for assistance, FEMA will employ the administrative and Mitigation plans in this manner. When States submit plans for review and indicate their intention to apply for assistance to implement one or more projects described in it, FEMA will use the plan to identify a need for funding assistance, and to discourage applications that are unlikely to be funded. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

### **Appeals:**

An eligible applicant, subgrantee, or State may appeal any determination previously made related to an application for or the provision of Federal assistance according to procedures set forth in Section 206.440.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: FEMA can fund up to 75 percent of the eligible costs of each project. The State or project applicant must provide a 25 percent match. The 25 percent nonfederal share can be a combination of cash, in-kind services, or materials. The amount of funding for the Program is based on 15 percent of all other disaster grants. States that meet planning requirements to be published as a result of the Disaster Mitigation Act of 2000, may receive an increased percentage (20 percent of all other disaster grants) of HMGP funds if, at the time of the declaration of a major disaster they have in effect an approved Enhanced State Mitigation Plan.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

### **Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award. FEMA is required to track the use of real property acquired with grant funds in order to ensure that the property is maintained for open space in perpetuity. Sub-grantees and State will need to retain real estate transaction and property tracking records indefinitely.

### **Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$1,015,000,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In prior fiscal years the program has funded over \$1.1 billion in mitigation projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended; Hazard Mitigation Grant Program Desk Reference FEMA 345 October 1999, Hazard Mitigation Grant Program, L-169, February 1996. Property acquisition handbook, FEMA-317.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of FEMA's Regional Offices.

**Headquarters Office:**

Lloyd Hake, Chief, Grants Implementation Branch, Risk Reduction Division, Mitigation Directorate, Federal Emergency Management Agency 1800 South Bell Street, Arlington, Virginia 20595-3015 Email: Lloyd.Hake@dhs.gov Phone: 202-646-3428.

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: (1) Acquisition and relocation of structures from hazard-prone areas; (2) strengthening structures against flood, high winds, wildfire, or other hazards to protect structures from future damages; (3) elevating structures; (4) developing State or local standards to protect new and substantially improved structures from disaster damage; (5) Drainage improvement projects; and (6) vegetation management projects. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.040 CHEMICAL STOCKPILE EMERGENCY PREPAREDNESS PROGRAM**

(CSEPP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Defense Authorization Act of 1986, Title 14, Part B, Section 1412, Public Law 99-145, 50 U.S.C 1521.

**OBJECTIVES:**

To enhance emergency preparedness capabilities of the States, local, and tribal communities at each of the six chemical agent stockpile storage facilities. The purpose of the program is to assist States and local communities in efforts to improve their capacity to plan for and respond to accidents associated with the storage and ultimate disposal of chemical warfare materials.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications are accepted from the States of Alabama, Arkansas, Colorado, Illinois, Indiana, Kentucky, Oregon, Utah, Washington, and the Confederated Tribes of the Umatilla Indian Reservation. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under

their State's application. In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the seven affected States, local, and tribal communities surrounding the six Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds.

**Applicant Eligibility:**

Applications are accepted from the States of Alabama, Arkansas, Colorado, Illinois, Indiana, Kentucky, Oregon, Utah, Washington, and the Confederated Tribes of the Umatilla Indian Reservation. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application.

**Beneficiary Eligibility:**

State, local and tribal governments, and general public.

**Credentials/Documentation:**

The budget worksheets used for CSEPP must be included in the official application package. These worksheets will be used for budget analysis by FEMA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A preapplication meeting between the FEMA Regional Offices and their respective States usually occurs to discuss the application and draft work plan. Technical assistance is available for application preparation from the FEMA Regional Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program staff. Any issues or concerns noted in the application will be negotiated with the State prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals may be submitted in writing by the authorized State official to the FEMA Regional Administrator.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999 - also 70 9 10 0715; 70 9 11 0715.

**Obligations:**

(Project Grants) FY 08 \$73,900,000; FY 09 est \$6,900,000; FY 10 est \$67,800,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In preceding fiscal years initiatives or projects such as: installation of operational siren systems, completion of demographic surveys of immediate response zones, improving emergency operating centers, procurement of dedicated radio and telephone systems, developed and conducted training courses, development of residential and business shelter-in-place guides, construction of over 30 collective protection projects, as well as conducting enhanced exercises and expanded public education/public affairs outreach programs, have occurred. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 13 and 14; Chemical Stockpile Emergency Preparedness Program Planning Guidance and CSEPP Policy Papers. All available, relevant guidance is routinely provided to all eligible State participants. State and local organizations desiring information about this program should contact their State Emergency Management Agencies or Departments.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA Regional Offices. State and local government officials and the public are encouraged to contact their State and Local Emergency Management Agencies or Departments.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate, Technological Hazards Division, Chemical Stockpile Emergency Preparedness Program 1800 South Bell , Crystal City, Virginia 22202 Phone: (703) 605-1370

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.020 Hazardous Materials Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.041 NATIONAL DAM SAFETY PROGRAM**

(Dam Safety State Assistance Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Dam Safety Act of 2006, Public Law 109-460 Dec. 2006.

**OBJECTIVES:**

To support State governments and the Commonwealth of Puerto Rico in the development and maintenance of dam safety programs. To enable States and the Commonwealth of Puerto Rico to take precautions that ensure the safety of the dams, such as the development of regulatory authority for the design, construction, operation, and maintenance of dams, the undertaking of dam inspections, and development of Emergency Action Plans (EAPs) for dams.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with the Establishment and maintenance of effective State/Commonwealth dam safety programs. Restrictions: Funds may only be used for the purposes set forth in the grant and must be consistent with the statutory authority for the award. Funds may not be used for matching funds for other Federal grants or cooperative agreements. Funds may not be used for lobbying, or intervention in federal regulatory or adjudicatory proceedings. Note that the FY 2009 grant funds may NOT be used to purchase equipment. In addition, funds may not be used to sue the Federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. Federal funds may not be comingled with State/Commonwealth funds. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. For complete information on Uses and Restrictions, refer to program guidance. Eligible applicants are 49 States (excludes the State of Alabama) and the Commonwealth of Puerto Rico (PR). The states and PR must be working toward and/or developing a State dam safety program that is 1) authorized and budgeted by State or Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information regarding applicant eligibility and the 10 specified criteria and budgeting requirements refer to program guidance.

**Applicant Eligibility:**

All States are eligible for the National Dam Safety Program Assistance for State Dam Safety Programs including the territory of Puerto Rico.

**Beneficiary Eligibility:**

The State Dam Safety Program Office of eligible States.

**Credentials/Documentation:**

The State/Commonwealth must be working toward and/or developing a dam safety program that 1) is authorized and budgeted by State/Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information, refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

FEMA makes the award to the State Dam Safety Program Office. Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Each subsequent fiscal year a State dam safety office must apply for financial assistance incentives. The amount of funding is contingent upon acceptability of the work plan in the application and the amounts made available for primary assistance to be allocated to the States using the one-third/two-third formula in Public Law 109-460, Section 8.

**Formula and Matching Requirements:**

Statutory Formula: Title Dam Safety Act of 2006, Public Law 109-460. This program has no matching requirements. Refer to program guidance. This program has MOE requirements, see funding agency for further details. Refer to program guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Generally, final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. . . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$3,212,000; FY 09 est \$7,550,000; FY 10 est not reported. - Budget Fiscal Year 2010 estimates unavailable.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Performance Office of Partnership Agreement and Cooperative Agreement guidance, Office of Financial Management Modular Instruction,

FEMA's National Dam Safety Program Implementation Plan (September 97).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Techworld Control Desk 4th Floor  
Room 427  
500 C St. SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.023 Community Assistance Program State Support Services Element (CAP-SSSE)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.042 EMERGENCY MANAGEMENT PERFORMANCE GRANTS (EMPG)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

To provide resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities. All hazards approach to emergency response, including the development of a comprehensive program, planning, training, exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern as identified in the National Priorities of National Preparedness Guidelines.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Each state shall obligate 100% of the total grant program amount to the designated state-level EMA. For more detailed guidance on the EMPG grant program please refer to the current Fiscal Year solicitation guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State Administration Agency (SAA) is the only agency eligible to apply for EMPG funds. Additionally, the Federated States of Micronesia and the Republic of the Marshall Islands are eligible to receive EMPG funding.

**Beneficiary Eligibility:**

Funding under this program is ultimately used by emergency management organizations and programs of States, the District of Columbia, territories and possessions of the United States, local, and Indian Tribal governments.

**Credentials/Documentation:**

Grantees must maintain and expand any necessary capabilities to sustain an effective emergency management program. These capabilities must be able to address all-hazards emergencies. To help assess these capabilities, all EMPG award recipients submit a narrative as a part of the application. Additionally, all EMPG award recipients are required to submit a budget and budget narrative.

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State Administration Agency (SAA) is the only agency eligible to apply for EMPG funds. Additionally, the Federated States of Micronesia and the Republic of the Marshall Islands are eligible to receive EMPG funding. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Technical assistance is available for application preparation from the FEMA Regional Offices. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.  
Matching Requirements: Pursuant to the Compact of Free Association, \$50,000 each may be available for the Federated States of Micronesia and the Republic of the Marshall Islands. The EMPG program has a 50% federal and 50% state cost-share cash or in-kind match requirement.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Categorical Assistance Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30 and Oct. 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the

cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0519-0-1-999.

**Obligations:**

(Formula Grants) FY 08 \$291,450,000; FY 09 est \$315,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: All States and eligible Territories have received EMPGs in fiscal year 2002. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more requirements and guidance, please refer to the current year EMPG program.

**Regional or Local Office:**

See Regional Agency Offices. The G&T Centralized Scheduling and Information Desk (CSID); Telephone: 1 (800)368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m.7:00 p.m. (EST), Monday - Friday.

**Headquarters Office:**

FEMA Techworld Control Desk, 4th Floor, Room 427  
500 C Street SW, Washington, District of Columbia 20472 Phone:  
800-368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.053 Citizen Corps; 97.067 Homeland Security Grant Program; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP); 97.074 Law Enforcement Terrorism Prevention Program (LETPP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.043 STATE FIRE TRAINING SYSTEMS GRANTS**

(National Fire Academy Training Grants)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498; Homeland Security Act of 2002, Public Law 107-296; Executive Order 12127.

**OBJECTIVES:**

To provide financial assistance to State Fire Training Systems for the delivery of a variety of National Fire Academy (NFA) courses/programs, administrative costs, and electronic student feedback.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Uses: Grant funds are to be used within each State to deliver NFA training courses/programs and for marketing, administrative costs, and electronic feedback of student data. Each State Fire Training System (State) will receive a total of \$28,000 with \$23,000 earmarked for delivery of NFA training programs and \$5,000 for marketing, administrative costs, and electronic feedback of student data.

Restrictions: DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. States must use funds for the purpose of delivering NFA- developed courses. Funds unused by a State may be reallocated to other States. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. See program guidance for information on eligibility. Applicant eligibility is restricted to the 50 State Fire Training Systems.

**Applicant Eligibility:**

Representatives from the 50 State Fire Training Systems.

**Beneficiary Eligibility:**

Specialized Group; fire and emergency response personnel.

**Credentials/Documentation:**

Credentials: Applicants must provide a work plan that includes a narrative project description along with the proposed costs for the project. (Allowable costs are determined by reference to OMB Circular No. A-87). The work plan will be used as a guide by the program office to approve / disapprove payment requests, therefore, the plan must be specific and must align with the amount of funding requested / received for the project description.

Documentation: All beneficiaries / students must submit the standard FEMA Form 75-5 (long form) to the State or sponsoring host organization prior to the start of the class. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted. The on-line application requires (among other documentation), the Standard Forms 424, Project Narrative, and Budget. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, refer to program guidance

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. Awards are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for this funding opportunity is twelve (12) months. Funds unused by a State may be reallocated to other States. See the following for information on how assistance is awarded/released: see program guidance.

**Reports:**

This program requires the submission of quarterly Performance Reports (PRs), quarterly Financial Status Reports (FSRs), and a Final FSR. PRs are due on July 30, October 30, January 30, and April 30. FSRs are due on July 30, October 30, January 30, and April 30. The Final FSR is due 90 days after the end of the performance period. Reporting requirements must be met throughout the life of the grant. The FEMA Payment and Reporting System (PARS) will prevent access to funds if reporting requirements are not met on a timely basis. For complete information on report submission requirements, refer to program guidance. . . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$1,400,000; FY 09 est \$1,400,000; FY 10 est \$1,400,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Fifty individual grants were issued. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. FEMA regional offices.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: 866-274-0960

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.044 ASSISTANCE TO FIREFIGHTERS GRANT**

(Fire Grants)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2229 et seq.

**OBJECTIVES:**

To provide financial assistance directly to fire departments and nonaffiliated EMS organizations to enhance their capabilities with respect to fire and fire-related hazards. To help fire departments and nonaffiliated EMS organizations meet their firefighting and emergency response needs. To support organizations that lack the tools and resources necessary to more effectively protect the health and safety of the public and their emergency response personnel with respect to fire and all other hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Firefighting Operations and Firefighter Safety, Eligible Uses: Training, Wellness and Fitness, Firefighting Equipment, Personal Protective Equipment, Modifications to Firefighting Facilities for Firefighter Safety, Other Equipment and Supplies; Restrictions: One-year Funds, Funding Restrictions and/or Limits on Certain Equipment, Personnel, Construction, Vehicles. Protecting the Public from Fire and Fire Related Hazards, Eligible Uses: Public Awareness, Public Education, Inspector Certifications, Building Code Development and Enforcement, Arson Prevention and Detection, Emergency Medical Services, Emergency Medical Vehicles, Training, Equipment/Props/Supplies, Transportation, Contracts/Consultants, Program Personnel; Restrictions: One-year Funds, Funding Limits on Certain Equipment, Construction. Firefighting Vehicles, Eligible Uses: Pumpers/Engines, Tankers/Tenders, Brush Trucks/Attack Pumpers, Rescue, Quints, Aerial Apparatus, Hazardous Material, Ambulance/Transport, Communications/Command, Foam Units, Boats, Equipment for the Vehicle; Restrictions: Aircraft, Hazardous Material, Construction, Personnel, 1-year Funding, Funding Limits on Certain Equipment.

**Applicant Eligibility:**

Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this program are the local or tribal communities serviced by the fire department including, but not limited to, local businesses, homeowners and property owners. Additionally, children under 16 years-of-age, seniors, and firefighters would be the beneficiaries since these

groups are the targeted "risk groups" for the fire prevention program.

**Credentials/Documentation:**

Each applicant must certify: 1) that they are an eligible applicant, i.e., a fire department, as defined above; 2) as to the characteristics of their community, i.e., Urban, Suburban, or Rural; 3) to the population size of the community served; and, 4) to the type of department, i.e., volunteer/combination or career. Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication form required under this grant program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that were denied grants can request a reconsideration of the decision. Such a request may be successful if it is determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

Grant period is 12 months for this program. In the event that the grantees are unable to fulfill their grant obligations within the 12-month grant period, they may request an extension of the performance period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Applicants who protect a population of over 50,000 are required to provide a nonfederal cost-share of not less than 20 percent of the total award. Applicants who protect a population between 20,000 and 50,000 are required to provide a nonfederal cost-share of not less than 10 percent of the total award. Applicants who protect a population of less than 20,000 are required to provide a nonfederal cost-share of not less than 5 percent of the total award. This program also has a Maintenance of Effort requirement intended to ensure that the Federal funds are used to supplement, not supplant, existing resources.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management

Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit semi-annual financial and performance reports. The "Progress Reports" must include a narrative statement that details the progress of each award. Reports are due 30 days after the end of the sixth month of the performance period. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$560,000,000; FY 09 est \$565,000,000; FY 10 est \$300,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since 2001, the grant program has awarded over 45,000 grants totaling over \$4.5 billion. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance, the FAQs, an applicant tutorial, and other program information can be found on the program's website at [www.firegrantsupport.com](http://www.firegrantsupport.com).

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered from the FEMA Headquarters Office. FEMA also has 10 regional offices which house Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, Tech World Bldg - South Tower, 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: (866) 274-0960.

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Training: A fire department where a high percentage of firefighting staff needs basic firefighting training. Wellness and Fitness: A fire department that wants to establish a wellness and fitness program that offers an entry-level physical and a job-related immunization program. Firefighting Vehicle: A fire department that has few or no vehicles of the type for which they are applying and whose existing fleet is old with high mileage and/or high volume of calls. Firefighting Equipment: A fire department that needs basic firefighting equipment to satisfy a statutory requirement but has never been able to purchase such equipment. Personal Protective Equipment: A fire department where a high percentage of firefighting staff has never had personal protective equipment and wants to purchase enough equipment to protect all of the firefighting staff. Fire Prevention Programs: A fire department that wants to establish a public education program that focuses on children under 16 years of age, seniors, and/or firefighters, in a community that has no such program. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.045 COOPERATING TECHNICAL PARTNERS (CTP)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, also known as National Flood Insurance Act of 1968, as amended

, 42 U.S.C 4101; the Housing and Urban Development Act of 1969; The Flood Disaster Protection Act of 1973, as amended; and National Flood Insurance Reform Act of 1994.

**OBJECTIVES:**

To increase local involvement in, and ownership of, the production development and maintenance of Digital Flood Insurance Rate Maps (DFIRMS) flood hazard maps produced for for the National Flood Insurance Program (NFIP). To build and maintain partner capabilities, continue to increase local ownership of data and processes, establish sound performance criteria for current Cooperating Technical Partners (CTPs), and to define a career path for potential CTPs to join the program. .

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with Program Management and Technical Mapping Activities as delineated in Tables 2-2 and 2-3 of the FY 2009 program guidance. Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. Use of funds must be consistent with the statutory authority for the award. Restrictions: The funds are authorized to supplement, not supplant, ongoing flood hazard mapping efforts by the recipient. The recipient must have in-house staff capabilities in the appropriate technical area for the activity approved in the award. If the work for any portion of a mapping activity is contracted, the recipient of the award must have in-house staff with the technical capability to monitor the contractor(s) and approve the product(s) developed by the contractor(s). Applicants must meet the six (6) eligibility

criteria outlined in section 2.3.1 of the FY 2009 program guidance. This criteria includes (but is not limited to) the requirement that potential partners have existing processes and / or systems in place to support mapping or data collection activities that contribute to flood hazard identification and that potential partners have the demonstrated capability and capacity to implement, or contract the activities for which funding is being sought.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. Applicants must be communities participating and in good standing in the NFIP or service participating NFIP communities.

**Beneficiary Eligibility:**

State, local, specialized group, small business, general public.

**Credentials/Documentation:**

Credentials: Potential partners / applicants must meet the criteria outlined in section 2.3.1 of the FY 2009 program guidance and Applicants must be communities participating and in good standing in the NFIP. Documentation: Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. For complete information on credentials and documentation, please refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants should consult with the FEMA Regional office for application information and technical assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, please refer to program guidance.

**Award Procedure:**

DHS/FEMA staff will review the submitted applications and make determinations about the potential applicant's capability, capacity, and experience with earned value management systems. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. For complete information regarding length and time phasing of assistance, refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress Reports and Financial Status Reports (FSRs) must be submitted quarterly. These reports are due on January 30, April 30, July 30, and October 30. Progress Reports must include the progress of each sub-grant award. Semi-annual reports are required twice within a year and the due dates are established by the FEMA Regional office. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Reports must be submitted to the FEMA Regional CTP Grant Officers. For complete information regarding report submission requirements, refer to program guidance. . . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

(Project Grants) FY 08 \$62,300,000; FY 09 est \$30,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: To date, approximately, 231 communities, regional agencies, and State agencies had signed Partnership Agreements with FEMA and are, therefore, active participants in the CTP program. Approximately 63 percent of these participants have undertaken specific mapping activities under Mapping Activity Statements. Current information on specific mapping activities undertaken by participants is available at [http://www.fema.gov/plan/prevent/fhm/ctp\\_main.shtm](http://www.fema.gov/plan/prevent/fhm/ctp_main.shtm). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance is available to all CTP initiative participants and the general public on the FEMA website at [www.fema.gov](http://www.fema.gov).

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional Offices will manage all program activities under the CTP initiative. See Appendix IV of the Catalog for a listing of FEMA Regional Offices and refer to section 2.7 (Contacts) of the program guidance.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane Bldg 410, Washington, District of Columbia 20523 Email: [askcsid@dhs.gov](mailto:askcsid@dhs.gov) Phone: (1-800) 368-6498.

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.022 Flood Insurance; 97.070 Map Modernization Management Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of funded projects include: (1) Refinement of Approximate Zone A Boundaries; (2) Hydrologic and Hydraulic Modeling and Floodplain Mapping; (3) Digital Flood Insurance Rate Map Preparation; (4) Re-delineation of Detailed Flood Hazard Information Using Updated Topographic Data. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.046 FIRE MANAGEMENT ASSISTANCE GRANT**

FMAG

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Act, Section 420, Public Law 93-288, 42 U.S.C 5187, as amended by disaster Mitigation Act of 2000. On October 30, 2001, the Fire Management Assistance Grant Program replaced the Fire Suppression Assistance Program.

**OBJECTIVES:**

To provide grants to States, Indian tribal governments and local governments for the mitigation, management and control of any fire burning on publicly (nonfederal) or privately owned forest or grassland that threatens such destruction as would constitute a major disaster.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Fire Management Assistance Grants are made in the form of cost-sharing grants for the mitigation, management, and control of any fire on publicly (nonfederal) or privately owned forestland or grassland that threatens such destruction as would constitute a major disaster. The Fire Management Assistance Grant Program, authorized by the Stafford Act and amended by the Disaster Mitigation Act of 2000, provides for the mitigation, management and control of fires that threaten such destruction as would constitute a major disaster.

**Applicant Eligibility:**

State governments and Indian tribal governments are eligible for fire management assistance grants. The State or Indian tribal government may be the Grantee. The Grantee is the government to which a grant is awarded, and is accountable for the use of funds provided.

**Beneficiary Eligibility:**

The State Government and/or Indian tribal government, acting as the Grantee, is the government to which the grant is awarded and which is accountable for the use of the funds provided. Other State entities, Indian tribal governments and local governments are eligible to apply for subgrants.

**Credentials/Documentation:**

Costs will be determined in accordance with FEMA Regulations, 44 CFR Part 204. Federal funds will be awarded to subgrantees in accordance with State law and procedure and in compliance with 44 CFR Part 13 and 204. Grant awards will be determined in accordance with OMB Circulars No. A-87 and No. A-102 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A FEMA-State Agreement and/or Indian tribal Agreement for the Fire Management Assistance Grant Program (the agreement) is signed by the Governor/Indian tribal government and the Regional Administrator at the beginning of the calendar year or after a State's first fire management assistance grant declaration in a calendar year. The agreement is amended for subsequent approvals of assistance for the remainder of the year. This agreement outlines the level of fire management assistance to be provided for all fires declared during the calendar year, and contains the necessary terms and conditions for requesting and receiving assistance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Governor, Governor's Authorized Representative, or Indian tribal government may request a fire management assistance declaration through the FEMA Regional Administrator. To expedite the request, the State or Indian tribal government may submit a telephone request to the Regional Administrator, promptly followed by a confirming message or letter. The Assistant Administrator of the Disaster Assistance Directorate, shall render a decision on the State's request and notify the Regional Administrator of this decision. This decision may be relayed by telephone, to be followed by a written determination.

**Award Procedure:**

Requests for fire management assistance declarations must be submitted while a fire is burning uncontrolled and threatens such destruction as would constitute a major disaster. The State should submit its grant application within nine (9) months of the declaration. Upon receipt of a written request from the State, the Regional Administrator may grant an extension for up to three (3) months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 hour to 72 hours.

**Appeals:**

States have the recourse to two types of appeals under the Fire Management Assistance Grant Program. Under the first type of appeal, a Governor, Governor's Authorized Representative, or Indian tribal government may appeal a denial of its request for a fire management assistance declaration. The State/Indian tribal government should submit this one-time request for reconsideration in writing, with additional information, to the Assistant Administrator of the Disaster Assistance Directorate through the Regional Administrator. The appeal must be submitted within 30 days of the date of the letter denying the State's/Indian tribal government's request. The Assistant Administrator will render the final determination on this type of appeal within 90 days of receipt of the appeal or receipt of the additional information requested. The Assistant Administrator may extend the 30-day period provided that the Governor, the Governor's Authorized Representative, or Indian tribal government submits a written request for a time extension within the 30-day period. The Assistant Administrator will evaluate the need for an extension based on the reasons cited in the request and either approve or deny the request for an extension. Under the second type of appeal, an applicant or subgrantee may appeal any determination FEMA makes under an approved fire management assistance declaration through a two level appeal process. Appellants must file appeals within 60 days after receipt of a notice of the action that is being appealed. The Grantee will review and forward appeals from an applicant or subgrantee, with a written recommendation, to the Regional Administrator within 60 days of receipt. The Regional Administrator will render a determination on first appeals for fire management assistance grant-related decisions within 90 days following receipt of the appeal or requested additional information. In the event the Regional Administrator denies the appeal, the applicant may submit a second-level appeal to the Assistant Administrator of the Disaster Assistance Directorate. Within 90 days following receipt of a second appeal, the Assistant Administrator, will notify the grantee in writing of the disposition of the appeal or of the need for additional information. If the decision is to grant the appeal, the Regional Administrator will take appropriate implementing action. The decision of the Assistant Administrator at the second appeal level shall be the final administrative decision of FEMA.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Fire Management Assistance Grants may be available to States on a 75 percent Federal/25 percent nonfederal cost-sharing basis when we determine that the State's application demonstrates either of the following: total eligible costs for the declared fire meet or exceed the individual fire cost threshold or total costs of all declared and non-declared fires in a given



calendar year meet the cumulative fire cost threshold. The individual fire cost threshold for a State for FY 2009 is the greater of \$100,000 or five percent x \$1.31 x state population. The cumulative fire cost threshold for a State FY 2009 is the greater of \$500,000 or three times the five percent x \$1.31 x State population. Both formulas are adjusted annually for inflation using the Consumer Price Index for All Urban Consumers published annually by the Department of Labor.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time interval during which a declared fire occurs is the incident period. Generally costs must be incurred during the incident period to be considered eligible. Pre-positioning of resources may be approved for Federal funding up to a maximum of 21 days before a declared fire. Mobilization and demobilization also occur outside the incident period and are eligible for Federal funding. Temporary repair work must be completed within 30 days of the close of the incident period for the declared fire. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Within 90 days of the Performance Period expiration date, the State must submit a Financial Status Report (FEMA Form 20-10) which reports all costs incurred within the incident period and all administrative costs incurred within the performance period. The performance period, defined on the SF-424, may be 9 months from the close of the incident period and may be extended for an additional 3 months by the Regional Administrator. During the performance period the Grantee will submit the subgrants, which document eligible costs; FEMA will review the eligibility of costs, and process, obligate, and close-out the grant. See program guidance. See program guidance. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$110,000,000; FY 09 est not reported.; FY 10 est not reported. - FY 2009: Estimate not available.  
FY 2010: Estimate not available.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: (FMAG Grants) FY 07: 49 Grants; FY 08: 51 Grants. Fiscal Year 2009: FY 09 est. unknown. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance, Fire Management Assistance Grant Program Regulations, 44 CFR Part 204. See the Fire Management Assistance Grant Program page at: <http://www.fema.gov/government/grant/fmagp/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

U.S. Department of Homeland Security / FEMA Techworld, Control Desk 4th Floor, Room 427  
500 C St. SW  
, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.047 PRE-DISASTER MITIGATION**

(PDM)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 203, 42 U.S.C 5133.

**OBJECTIVES:**

Provide funding support to states, tribes, territories, communities, and public colleges and universities for pre-disaster mitigation planning and projects primarily addressing natural hazards. This program promotes implementation of activities designed to reduce injuries, loss of life, and damage and destruction to property from natural hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mitigation Planning: Planning activities that develop state, Indian tribal, local, and university hazard mitigation plans that meet planning criteria outlined in 44 CFR Part 201 are eligible for the PDM program. Hazard mitigation planning activities must primarily focus on natural hazards but may also address hazards caused by manmade events. Plans may be either single or multi-jurisdictional and countywide or multi-jurisdictional hazard mitigation plans may be submitted for funding. Funding is restricted to a maximum of \$800,000 Federal share per planning sub-application. Mitigation Projects: Proposed multi-hazard mitigation projects must primarily focus on natural hazards. Funding is restricted to a maximum of \$3 million Federal share per project sub-application. Space limitations preclude a full listing of examples of eligible mitigation projects the following is partial listing: Voluntary acquisition of real property (i.e. structures and land, where necessary) for conversion to open space in perpetuity; Relocation of public and private structure ; Elevation of existing public or private structures to avoid coastal or riverine flooding; Structural retrofitting and non-structural retrofitting (e.g., storm shutters, hurricane clips, bracing systems) of existing public or private structures; Construction of safe rooms (tornado and severe wind shelters) for public and private structures that meet the FEMA construction criteria;Vegetation management for natural dune restoration, wildfire or snow avalanche; Protective measures for utilities water and sanitary sewer systems and/or infrastructure; Storm water management projects and localized flood control projects, such as certain ring levees, bank stabilization, and floodwall systems that are designed specifically to protect critical facilities that do not constitute a section of a larger flood control system. Projects submitted for consideration must be consistent with the goals and objectives in the State/Tribal Mitigation Plan. Tribal, local, and university projects also must be consistent with the goals and objectives in the Tribal/Local Mitigation Plan. For additional information concerning PDM uses and restrictions, please see the program guidance.

**Applicant Eligibility:**

Any State, including the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, the Trust Territories of the Pacific Islands, and the Mariana Islands, is eligible as well as Indian tribal governments.

**Beneficiary Eligibility:**

Grantee eligibility. State and Indian tribal governments are eligible to apply for assistance as a grantee under the PDM program. Sub-grantee eligibility. Local governments and Indian tribal governments are eligible to apply to the grantee for assistance as a sub-grantee under the PDM program. In order for floodprone communities to receive funds, applicants must be participating in the National Flood Insurance Program (if they have been mapped through the NFIP) and must be in good standing (not on probation or suspension).

**Credentials/Documentation:**

Grant awards will be determined in accordance with OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None. Refer to program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5133, Public Law 93-288. Matching Requirements: At most 25% nonfederal, 75% Federal. Grants awarded to small, impoverished communities may receive a Federal cost-share of up to 90%. Refer to program guidance for additional information. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0508-0-1-402.

**Obligations:**

(Project Grants) FY 08 \$114,000,000; FY 09 est \$90,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For current FY funds, awards will be governed by Sec. 203 of the Stafford Act; and the Hazard Mitigation Assistance Unified grant program guidance, which is available to the public on the FEMA internet site: <http://www.fema.gov/government/grant/pdm/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the list of addresses of Federal Emergency Management Agency Regional Offices. A list of FEMA regional offices also is available on the Internet at <http://www.fema.gov/about/contact/regions.shtm>.

**Headquarters Office:**

Mitigation Division, Emergency Preparedness and Response Directorate, Department of Homeland Security 1800 South Bell Street, Arlington, Virginia 20595-3015 Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: (202) 646-3428 Fax: 202-646-3104

**Website Address:**

<http://www.fema.gov/government/grant/pdm/index.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: State, Indian tribal, and local multi-hazard mitigation plans; wind retrofits; hurricane shutters; acquisition of flood prone homes; safe rooms; earthquake rehabilitation; and seismic upgrades. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.048 DISASTER HOUSING ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS IN PRESIDENTIAL DECLARED DISASTER AREAS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To provide financial assistance and, if necessary, direct assistance to individuals and households affected as a direct result of a Presidentially declared major disaster or emergency, who have uninsured or under-insured, necessary expenses and serious needs and are unable to meet such expenses or needs through other means.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. Program activates only after issuance of a presidential declaration. Housing Assistance, either Financial or Direct, may be provided for the following: (1) Temporary Housing, (2) Home Repair, (3) Home Replacement and (4) Permanent Housing Construction. Assistance not used for the specified purpose will be required to be returned. Other Needs Assistance may be provided for: (1) Medical, (2) Dental, (3) Funeral, (4) Personal Property, (5) Transportation, and (6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Individuals and households, in areas declared an emergency or major disaster by the President, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance, are eligible to apply for this program. All needs must be caused by the disaster. The individual or a member of the household must be a citizen of the United States, a non-citizen national, or a qualified alien. Housing Assistance: 1) Temporary Housing Assistance - proof of primary residence; disaster caused displacement, and/or paid receipts for Rent or Lodging Expenses; 2) Repair - primary residence, proof of residency and ownership; disaster related home damage; 3) Replacement - primary residence, proof of residency and ownership; home destroyed by the disaster; 4) Permanent Housing Construction - primary residence, proof of residency and ownership; disaster related home damage, home is located in an insular area outside the continental United States or in other remote locations. Alternative housing resources are unavailable, infeasible, or not cost-effective. Other Needs Assistance: 1) Medical-disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental-disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral - disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster related personal property damage; 5) Transportation, proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; 6) Other Necessary Expenses and Serious Needs Identified, the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual/Family; Homeowner (located within an area which has been designated as a disaster area, by Presidential declaration).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.110-120. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility.

Individuals and households, in areas declared an emergency or major disaster by the President, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance, are eligible to apply for this program. All needs must be caused by the disaster. The individual or a member of the household must be a citizen of the United States, a non-citizen national, or a qualified alien. Housing Assistance: 1) Temporary Housing Assistance-proof of primary residence; disaster caused displacement, and/or paid receipts for Rent or Lodging Expenses; 2) Repair-primary residence, proof

of residency and ownership; disaster related home damage; 3) Replacement-primary residence, proof of residency and ownership; home destroyed by the disaster; 4) Permanent Housing Construction-primary residence, proof of residency and ownership; disaster related home damage, home is located in an insular area outside the continental United States or in other remote locations. Alternative housing resources are unavailable, infeasible, or not cost-effective. Other Needs Assistance: 1) Medical-disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental-disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral-disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property-proof of ownership; disaster related personal property damage; 5) Transportation-proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; 6) Other Necessary Expenses and Serious Needs Identified-the expense or need must be caused by the disaster and approved by FEMA. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Presidential Disaster or Emergency Declaration must be issued, before individuals and households can register an application for assistance with FEMA via a toll-free number or FEMA's Internet Application or by visiting a Disaster Recovery Center. Applications will not be accepted from individuals residing outside of the area declared as a disaster.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies, in general 7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. Housing - not applicable. Other Needs - FEMA or the State may administer the Other Needs Assistance Program. State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the program. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, one time grant assistance with a total assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$364,673,014; FY 09 est \$731,803,861; FY 10 est not reported. - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

For FY 09 assistance ranges from \$50 - \$30,300.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, or flooding etc. For example, approximately 1.3 million households were approved for assistance in the aftermath of Hurricane Katrina. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane, Bldg. #410, Washington, District of Columbia 20523 Phone: 202-646-3943

**Website Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.049 PRESIDENTIAL DECLARED DISASTER ASSISTANCE - DISASTER HOUSING OPERATIONS FOR INDIVIDUALS AND HOUSEHOLDS****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To address disaster-related housing needs of individuals and households suffering hardship within an area which, by Presidential declaration, has been designated as a disaster area.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disaster or emergencies such as an earthquake, hurricane, tornado, floods, or wildfire, etc. Program activates only after issuance of a presidential declaration. Direct assistance under this program is used for temporarily housing disaster victims who lack available housing resources and would be unable to make use of potential financial assistance to rent an alternative place to live. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Individuals and households, in areas which have received a Presidential

emergency or major disaster declaration, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance are eligible to apply for this program. The individual or household member must be a citizen of the United States, a non-citizen national, or a qualified alien. Direct Assistance - proof of residency, displacement must be caused by the disaster; and financial assistance to rent an alternative place to live is determined not to be a feasible option by the Federal Emergency Management Agency (FEMA).

**Beneficiary Eligibility:**

Individual/Family (located within a Presidentially - declared emergency or disaster area).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility.

This program applies to individuals and households in areas which have received a Presidential emergency or major disaster declaration whose primary residence has been damaged or destroyed and whose losses are not covered by insurance are eligible to apply for this program. The individual or household member must be a citizen of the United States, a non-citizen national, or a qualified alien. Direct Assistance - proof of residency, displacement must be caused by the disaster; and financial assistance to rent an alternative place to live is determined not to be a feasible option by the Federal Emergency Management Agency (FEMA). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Presidential disaster or emergency declaration must first be issued. Afterwards, individuals and households within an area which has received a Presidential disaster or emergency declaration, may register an application for assistance with FEMA via a toll-free number, FEMA's online application, or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. Households receive assistance directly from FEMA or State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, limited to an assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Based on program need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$187,974,249; FY 09 est \$265,859,741; FY 10 est not reported. - FY 10 est not available.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.101.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane - Bldg #410, Washington, District of Columbia 20523 Phone: 202-646-3943

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas ; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.050 PRESIDENTIAL DECLARED DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS - OTHER NEEDS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by , Public Law 106-390; This CFDA is for when State receives a grant from FEMA under Section 408(f) to administer the other needs program. If a grant has not been requested by the State, the assistance is provided for under CFDA 97.048.

**OBJECTIVES:**

To provide assistance to individuals and households affected by a disaster or

emergency declared by the President, and enable them to address necessary expenses and serious needs, which cannot be met through other forms of disaster assistance or through other means such as insurance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. The Other Needs Assistance provision of the Individuals and Households Program activates only after issuance of a presidential declaration. "Other Needs Assistance" may be provided for the following: 1) Medical, 2) Dental, 3) Funeral, 4) Personal Property, 5) Transportation, and 6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Applicant Eligibility for individuals and households affected by a Presidential-declared disaster or emergency: 1) Medical disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster caused personal damage; 5) Transportation proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; and 6) Other Necessary Expenses and Serious Needs Identified the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual and family located within an area which, by Presidential declaration, has been designated as a disaster area.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA Regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Program. If the State has selected the program for Review, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Presidential Disaster or Emergency Declaration must first be issued. Afterwards, individuals and households located within a Presidentially-declared disaster area, may register an application for assistance with FEMA via a toll-free number or FEMA Internet application or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. The State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. The Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the provision. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, a one time assistance payment, with a total assistance period of no longer than 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for three years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$41,866,843; FY 09 est \$82,180,061; FY 10 est not reported. - FY 2010 Estimate not available.

**Range and Average of Financial Assistance:**

Currently ranges from \$50.00 to \$30,300.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, or flooding, etc. For example, approximately 1.3 million households were approved for assistance in the aftermath of Hurricane Katrina. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane - Bldg. #410, Washington, District of Columbia 20523 Phone: (202) 646-3943

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in

Presidential Declared Disaster Areas ; 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.052 EMERGENCY OPERATIONS CENTERS**

(EOC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42, U.S.C. Section 5196c, as amended by Section 614, Grants for Construction of Emergency Operations Centers, Public Law 93-288; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329; Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

The purpose of the Emergency Operations Center (EOC) Grant Program is to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, and interoperable EOCs with a focus on addressing identified deficiencies and needs. This program provides funding for construction or renovation of a state, local or tribal government's principal EOC. Fully capable emergency operations facilities at the state and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters caused by any hazard.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The EOC grant program supports EOC construction and renovation.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Funding under this program is ultimately to benefit States and local governments.

**Credentials/Documentation:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25%. The program will require a 75 percent Federal and 25 percent grantee cost share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-000.

**Obligations:**

(Project Grants) FY 08 \$15,000,000; FY 09 est \$35,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: It is anticipated that 56 States/Territories will apply for funding for all eligible State and local EOCs to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, and interoperable EOCs with a focus on addressing identified deficiencies and needs. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA regional offices.

**Headquarters Office:**

Department of Homeland Security /FEMA Grant Programs Directorate, 500 C street S.W., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.053 CITIZEN CORPS****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007 and the Department of Homeland Security Appropriation Act, 2008, Public Law 110-53; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

To bring together government and community leaders and involve citizens in all-hazards emergency preparedness and resilience. Citizen Corp strives to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to threats of terrorism, crime, public health issues, and disasters of all kinds. As a means of building law enforcement and community collaboration, Citizen Corp works closely with numerous partner organizations devoted to crime awareness and response, including the Department of Justice, the International Association of Chiefs of Police, the Volunteers in Police Service (VIPS) program, the National Sheriffs Association, and Neighborhood Watch programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with assisting The International Association of Chiefs of Police (IACP) in developing a national strategy to improve the public's response to witnessing suspicious behavior. The IACP will develop a strategy by (among other things) communicating and coordinating with the ongoing national Suspicious Activity Reporting Initiative (National Security Initiative) and appropriate representatives from the DHS Office of Intelligence and Analysis (I&A), the Department of Justice Bureau of Justice Assistance (BJA), and the Office of the Program Manager for the Information Sharing Environment (PM\_ISE). The intent of the strategy is to increase individual responsibility, vigilance, and police-community partnerships. Refer to program guidance.

**Applicant Eligibility:**

States are eligible to apply for the assistance under this program. For purposes of this program and consistent with the Stafford Act, 42 U.S.C. 5122(4), "State" means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Local governments may receive assistance as subgrantees to the States in which they are located. The term "local government" as used in this program has the meaning set forth in the Stafford Act, 42 U.S.C. 5122(6), and includes any county, city, village, town, district, or other political subdivision of any State, any Indian tribe or authorized tribal organization, or Alaska Native village or organization, including any rural community or unincorporated town or village or any other public entity for

which an application for assistance is made by a State or political subdivision thereof.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

**Credentials:** The applicant must clearly demonstrate the ability to conduct the necessary research, facilitate at least three focus group sessions, organize and manage the collection of information, evaluate information, and systematically develop a vetted strategy that can be utilized in communities across the nation.

**Documentation:** Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt of expected receipt of Federal funds (non-supplanting requirement). Allowable costs must be documented and are determined by reference to OMB Circular No. A-87. Refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For preapplication information, refer to program guidance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for this supplemental funding must be submitted using the Office of Justice Programs Grants Management System (GMS). To access GMS, go to <https://grants.ojp.usdoj.gov/>. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, please refer to program guidance

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. FEMA will verify compliance with all administrative and eligibility criteria identified in the grant announcement/program guidance. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. For complete information regarding the award procedure, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. None.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notification of award approval is made through the electronic Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. The period of performance of this grant is twelve (12) months. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

For complete information on report submission requirements, refer to program guidance. . . Obligations and expenditures must be reported on a quarterly basis

via the Financial Status Report (FSR). FSRs These reports are due on 30 days after the end of each quarter: January 30, April 30, July 30, and October 30.

Categorical Assistance Progress Reports (CAPRs) must be submitted semi-annually. The CAPR is due January 30 and July 30. Final FSR and financial, CAPR and BSIR reports are due 90 days after the expiration or termination of the grant award. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of the grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$14,572,500; FY 09 est \$15,000,000; FY 10 est not reported. - FY 10 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All available, relevant guidance is provided to the designated points of contact of all eligible State participants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/FEMA 500 C . St SW  
Techworld Control Desk  
4th Floor, Room 427, Washington, District of Columbia 20472 Phone: (202) 646-3640

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.025 National Urban Search and Rescue (US&R) Response System; 97.042 Emergency Management Performance Grants; 97.044 Assistance to Firefighters Grant; 97.052 Emergency Operations Centers; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP); 97.074 Law Enforcement Terrorism Prevention Program (LETPP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**



Refer to the program guidance for information on criteria for selecting proposals.

## **97.055 INTEROPERABLE COMMUNICATIONS EQUIPMENT**

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Consolidated Appropriations Resolution, Public Law 108-7; Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2201-2232; Emergency Wartime Supplemental Appropriations Act, Public Law 108-11; Homeland Security Act of 2002, Public Law 107-296.

### **OBJECTIVES:**

Provide funding to jurisdictions across the nation for demonstration projects that will explore uses of equipment and technologies to increase interoperability among the fire service, law enforcement, and emergency medical service communities. These projects will illustrate and encourage the acceptance of new technologies and operating methods to assist communities in achieving interoperability.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Designated jurisdictions will be invited to submit applications for interoperable communications projects that include the purchase of interoperable communications equipment components for multi-disciplinary and/or multi-jurisdictional public safety communications projects. Requests may provide local jurisdictions with equipment or services to participate on public safety, commercial, or other shared networks and portable gateway solutions. Applicants may request assistance for other technologies if the application demonstrates how the proposed technology will improve interoperability among the public safety community. If an interoperable communications plan has not been developed, the application should also include a description of how a plan will be established as part of the proposed project. Refer to program guidance document.

### **Applicant Eligibility:**

Local governments nominated by State or Territory government to submit an application.

### **Beneficiary Eligibility:**

Local governments.

### **Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Grant awards will require a 25 percent nonfederal cost share. The source of the match funds must be identified in the grant application. The match does not need to be a cash match. In-kind contributions are permitted and must be activities in direct support of and eligible under the project. The nonfederal share may not be funded by other federal funds unless permitted by Federal statute.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

### **Reports:**

Refer to program guidance document. Refer to program guidance document. Quarterly progress reports. Quarterly Financial Status Reports. .

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### **Account Identification:**

58-0101-0-1-999.

### **Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

### **Range and Average of Financial Assistance:**

Refer to program guidance document.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

### **Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), c/o 245 Murray Lane - Bldg # 410, Washington, District of Columbia 20523 Phone: (202) 646-3850 Fax: (202) 646-3061

### **Website Address:**

www.fema.gov .

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

Refer to the program guidance for information on criteria for selecting proposals.

### 97.056 PORT SECURITY GRANT PROGRAM

(Port Security Grants)

#### FEDERAL AGENCY:

Department of Homeland Security

#### AUTHORIZATION:

The Maritime Transportation Security Act of 2002 as amended, 46 U.S.C 70107.

#### OBJECTIVES:

To provide funds to port areas for the protection of critical port infrastructure from terrorism. To assist ports enhancing maritime domain awareness, improving risk management capabilities to prevent, detect, respond to and recover from attacks involving improvised explosive devices (IEDs) and other non-conventional weapons, as well as training and exercises and TWIC implementation. The Port Security Grant Program also provides funding to eligible ferry systems within eight specific priorities.

#### TYPES OF ASSISTANCE:

Cooperative Agreements

#### USES AND USE RESTRICTIONS:

All entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration of funding. However, Congress has also specifically directed DHS to apply these funds to the highest risk ports within the United States. In support of this, a total of 102 critical port areas, representing approximately 95 percent of the foreign waterborne commerce of the United States, have been specifically identified. In a number of cases, these port areas have also been grouped together to reflect geographic proximity, shared risk and a common waterway. The following three entities are specifically encouraged to apply: (1) owners/operators of federally regulated terminals, facilities, or U.S. inspected passenger vessels as defined in the Maritime Transportation Security Act (MTSA) 33 CFR Parts 101, 104, 105, and 106; (2) port authorities or other State and local agencies that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan; and (3) consortia composed of local stakeholder groups (e.g., river groups, ports, and terminal associations) representing federally regulated ports, terminals, U.S. inspected passenger vessels, or ferries that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan. Please refer to the program guidance and application kit for more details regarding applicant eligibility. Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; training and exercises; and management administration. The program guidance outlines uses and restrictions in detail. Refer to program guidance.

#### Applicant Eligibility:

All entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration of funding. However, Congress has also specifically directed DHS to apply these funds to the highest risk ports within the United States. In support of this, a total of 102 critical port areas, representing approximately 95 percent of the foreign waterborne commerce of the United States, have been specifically identified. In a number of cases, these port areas have also been grouped together to reflect geographic proximity, shared risk and a common waterway. The following three entities are specifically encouraged to apply: 1) owners/operators of federally regulated terminals, facilities, or U.S. inspected passenger vessels as defined in the Maritime Transportation Security Act (MTSA) 33 CFR Parts 101, 104, 105, and 106; 2) port authorities or other State and local agencies that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan; and 3) consortia composed of local stakeholder groups (e.g., river groups, ports, and terminal associations) representing federally regulated ports, terminals, U.S. inspected passenger vessels, or ferries that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan. Please refer to the program guidance and application kit for more details

regarding applicant eligibility.

#### Beneficiary Eligibility:

Critical national seaports and terminals.

#### Credentials/Documentation:

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

#### Award Procedure:

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Refer to program guidance document.

#### Appeals:

Refer to program guidance document.

#### Renewals:

Refer to program guidance document.

#### Formula and Matching Requirements:

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. There is a matching requirement of 25 percent of total project costs for public sector entities and 50 percent for private sector entities with the exception of grants under 25k, in which there is no match requirement. As of FY2009, the match may be cash or in-kind, with the exception of construction activities, in which the match must be cash.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

#### Reports:

Refer to program guidance document. . Semi-annual reports. Quarterly Financial Status Reports. Refer to program guidance document.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### Records:

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other

documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Cooperative Agreements) FY 08 \$388,600,000; FY 09 est \$388,600,000; FY 10 est \$388,600,000

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Enhancements of facility/terminal/vessel (commuter or ferry service) access control, physical security, cargo security and passenger security. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA echworld, control desk, 4th floor Room 427 500 C St., SW . The Centralized Scheduling and Information Desk (CSID). CSID is open from 8:00am to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498.

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.057 Intercity Bus Security Grants; 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program; 97.059 Truck Security Program; 97.067 Homeland Security Grant Program; 97.075 Rail and Transit Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Enhancements of facility/terminal/vessel (commuter or ferry service) access control, physical security, cargo security and passenger security. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.057 INTERCITY BUS SECURITY GRANTS**

(Intercity Bus Security)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329; 1532 of the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To create a sustainable program for the protection of intercity bus systems and the traveling public from terrorism. To assist operators of fixed-route intercity and charter bus services in obtaining the resources required to support security measures such as enhanced planning, facility security upgrades, exercises, improved communication capabilities, and vehicle and driver protection.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for vehicle security enhancements; emergency communication technology; coordinating with local police and emergency

responders; facility security enhancements; training and exercises; improvement of ticket identification and further implementation of passenger and baggage screening enhancements; and driver security enhancements. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

This program is limited to applicants meeting one or both of the following criteria: 1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or 2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

This program is limited to applicants meeting one or both of the following criteria: 1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or 2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Project Grants) FY 08 \$11,172,250; FY 09 est \$11,658,000; FY 10 est \$11,658,000 - FY 2010 Authorized Amount per P.L. 110-53, Section 1532 is \$25,000,000, Estimated Amount \$11,658,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In the preceding fiscal year \$9,603,000 was awarded to 27 intercity bus industry organizations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information on requirements and guidance please refer to the current FY Intercity Bus Security Grants Program Guide and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, Control Desk 4th Floor, Room 427, 500 C St., S.W., Washington,, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.059 Truck Security Program; 97.075 Rail and Transit Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects addressing: driver and vehicle security enhancements; emergency communications technology; coordination with local police and emergency responders; and training and exercises. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.058 OPERATION SAFE COMMERCE (OSC) COOPERATIVE AGREEMENT PROGRAM**

(Operation Safe Commerce)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

DHS Appropriations Act for Fiscal Year 2005, Public Law 108-334.

**OBJECTIVES:**

To explore commercially viable options to enhance cargo security, including business processes and technology prototypes, which support containerized cargo supply chain security management while facilitating the flow of trade.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the Request for Applications (RFA). Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In general, funds may be used for equipment, supplies, services or consultants, travel, audits, other direct costs, facilities and administrative costs (i.e., indirect costs), and other costs related to meeting the program objectives. Funds shall not be used for personnel. Refer to program guidance document.

**Applicant Eligibility:**

Applicants eligible for the most recent competition were Load Centers, defined as the Ports of Los Angeles/Long Beach, Seattle/Tacoma, and the Port Authority of New York/New Jersey.

**Beneficiary Eligibility:**

Immediate beneficiaries include applicable stakeholders in the supply chain. Applicable ports will benefit as designated in successful proposals.

**Credentials/Documentation:**

Stakeholder participation must be demonstrated through letter(s) of commitment. A copy of the applicant's Federally approved indirect cost rate agreement should be submitted. In addition, National Environmental Policy Act (NEPA) information is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. . . Financial Status Reports. Refer to

program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Transportation (DOT) grant related regulations include 49 CFR Parts 17-21, 26, 29, and 32. DOT regulations may be superseded by corresponding or applicable new regulations issued by the Department of Homeland Security for this program. Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In addition, the U.S. Customs Service operates related initiatives called the Customs-Trade Partnership Against Terrorism (C-TPAT) and the Container Security Initiative (CSI). See <http://www.customs.treas.gov/> for further information on those programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/Techworld, control desk, 4th floor, Rm 427 500 C St., SW, Washington, District of Columbia 20472 Phone: 8003686498

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.056 Port Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Security measures addressed 18 specified supply chain nodes, pilot use of commercial-off-the-shelf technology and emerging technologies; development and demonstration of a comprehensive supply chain security approach; and monitoring and warning about potential threats in supply chain logistics. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.059 TRUCK SECURITY PROGRAM**

(Truck Security Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

In FY 2009 the focus is on the adoption and implementation of the Transportation Security Administration's (TSA) voluntary security action items for transporting Tier I Security Sensitive materials; development of plans to improve effectiveness of transportation and distribution of supplies and commodities during catastrophic events; and the development of a system for DHS to monitor, collect, and analyze tractor trailer tracking information.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

In FY 2009 to implement security improvement measures and policies deemed valuable by DHS as indicated in the Security Action Items publication of June 26, 2008. These items are primarily focused on the purchase and installation or enhancement of equipment and systems related to tractor and trailer tracking systems. Funding will also be provided to develop a system for DHS to monitor, collect, and analyze tracking information, and to develop plans to improve the effectiveness of transportation and distribution of supplies and commodities during catastrophic events. See the appropriate year's program guidance for a detailed description of allowable uses and restrictions. Refer to program guidance.

**Applicant Eligibility:**

The American Trucking Associations (ATA) is the sole entity eligible to apply.

**Beneficiary Eligibility:**

Interstate, Intrastate, State, and local.

**Credentials/Documentation:**

In FY 2009 eligibility for funding under the Truck Security Action Item Implementation Initiative is limited to applicants meeting the following criteria: Have a current security plan subject to Title 49 CFR 172.800 Transport Tier I commodities as defined by TSA through the issuance of Highway Security-Sensitive Materials (HSSM) Security Action Items. There are no restrictions on who may apply for funding under the Monitoring and Analysis and Planning Priorities. Stakeholder participation must be demonstrated through letter(s) of commitment. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$15,544,000; FY 09 est \$7,772,000; FY 10 est \$7,772,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The First Observer Training Program, Call Center, and ISAC, funded via the 2008 TSP, continues to provide a sustainable national program to enhance security and overall preparedness on our Nation's highways. Its benefits and resources are now available to all professionals and operating entities throughout the highway sector, including private companies, public entities, and governmental operations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Techworld, Control Desk, 4th Floor,

Room: 427 500 C St. SW, Washington, District of Columbia 20427 Email: askesid@dhs.gov Phone: (800) 368-6498

**Website Address:**

www.fema.gov.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.057 Intercity Bus Security Grants; 97.075 Rail and Transit Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects have addressed identification and recruitment of appropriate training programs participants; conducting highway domain awareness security training; maintaining a Call Center; and information analysis and distribution. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.060 PORT SECURITY RESEARCH AND DEVELOPMENT GRANT  
FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Transportation, Maritime Transportation Security Act of 2002, Public Law 107-295; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To identify technology solutions for port security through research and development that will provide end products that meet or exceed the following four priorities: Cargo Information Action Center, Passengers and Vehicles Screening on Ferries, Transparency of Vessel Ownership, and Operation Restore.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in Request for Application (RFA) and are restricted to research and development activities.

**Applicant Eligibility:**

Research and Development activities at National Laboratories, private nonprofit organizations, institutions of higher education and other entities.

**Beneficiary Eligibility:**

Specialized Group; critical national seaports and terminals.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. This program has a statutory 75/25 match requirement. See 46 U.S.C. 70107 (c) (1).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance is up to 18 months. Funds will be made available upon award, however authorization will be provided based upon progress. See the following for information on how assistance is awarded/released: Funds will be made available upon award, however, authorization will be provided based upon progress.

**Reports:**

Quarterly Earned Value Management Reports and Quarterly Project Status Reports, Final Project Report and Final Financial Status Report are required. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0508-0-1-402.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost principles applicable to the awards are: OMB Circular No. A-21 for cost principles for educational institutions, OMB Circular No. A-87 for State and local governments, OMB Circular No. A-102 grants and cooperative agreements with state and local governments, A-110 uniform administrative requirements for grants and agreements with institutions of higher education, A-122 for nonprofit organizations, 48 CFR Part 31 for commercial organizations and A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pat Masterson 701 South 12th Street, Arlington, Virginia 22202 Phone: (571) 227-1587

**Website Address:**

<http://www.tsa.gov> (click on business opportunities).

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Regional Maritime Security Coalition's Cargo Information Action Center, Operation Restore's Dynamic Shipping Rerouting Decision Support Tool, <http://www.operationrestore.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.061 CENTERS FOR HOMELAND SECURITY**

Centers of Excellence

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 110-53, 6 U.S.C 188(b); Emergency Wartime Supplemental Appropriations Act of 2003, Public Law 108-7.

**OBJECTIVES:**

Establishment of a coordinated, university-based system to enhance the Nation's homeland security. The Department of Homeland Security Centers are envisioned to be an integral and critical component of the new homeland security complex that will provide the Nation with a robust, dedicated and enduring capability that will enhance our ability to anticipate, prevent, respond to, and recover from terrorist attacks. These Centers will also provide a locus to attract and retain the Nation's best and brightest academic scholars in pursuit of homeland security related disciplines. The DHS Centers will complement other programs within the Department (including the Homeland Security Advanced Research Projects Agency) and in other Federal agencies that fund projects-focused research aimed at the development and deployment of specific homeland security technologies and capabilities. DHS Centers may also include cooperative center arrangements with other Federal agencies, or national laboratories.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Universities selected by DHS, may use grant funds for: (1) targeted research areas that leverage the multidisciplinary capabilities of universities and fill gaps in our needed knowledge and our ability to counter terrorist attacks; and (2) involve U.S. undergraduate, graduate, and post-doctoral students who are interested, dedicated and committed to making important contributions in science and technology endeavors that will enhance the overall security of the nation. See Program Guidance.

**Applicant Eligibility:**

Eligible applicants are accredited U.S. institutions of higher education.

**Beneficiary Eligibility:**

Public and private colleges and universities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff for eligibility and responsiveness. Applications will undergo merit review by a panel of subject matter experts which may include federal and non-federal reviewers. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to announcement/program guidance or the award document.

**Reports:**

See Program Guidance. Required to submit a Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management with a copy of the SF 272 to the DHS Grants Officer. See Program Guidance. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 08 \$40,171,638; FY 09 est \$32,000,000; FY 10 est not reported. - FY 2010 Estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Support continues for the existing Centers of Excellence and five new Centers were funded in FY 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, Building 410, Washington, District of Columbia 20523 Email: [hsuniversityprograms@dhs.gov](mailto:hsuniversityprograms@dhs.gov) Phone: 202-447-4000

**Website Address:**

<http://www.sciencetosecurity.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Information on current DHS Centers of Excellence can be found at <http://www.sciencetosecurity.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.062 SCHOLARS AND FELLOWS, AND EDUCATIONAL PROGRAMS**

(DHS Scholars and Fellows)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

The objectives of this program are: (1) increase the intellectual capacity, skills and talents, especially those of U.S. citizens in areas of relevance to homeland security; (2) to attract undergraduate and graduate students to obtain advanced degrees in disciplines of importance to homeland security; (3) provide advanced professional and research development opportunities for fellows, scholars and faculty in targeted areas; and (4) to increase a diverse and highly talented cadre of new and emerging science and technology expertise working in areas of importance and need to homeland security.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants

**USES AND USE RESTRICTIONS:**

Individuals must be U.S. citizens and employed or enrolled in an accredited U.S. institution of higher learning, e.g., university, college, etc. Funding for faculty and curriculum development. see announcement.

**Applicant Eligibility:**

All applicants must be U.S. citizens. Applicants must be a rising college junior or first or second year graduate student, or postdoctoral fellow, studying in one of the following areas including: computer science, engineering, life sciences, math, physical sciences, psychology, social sciences, DVM/PhD, and certain humanities. Applicants must be enrolled in full-time at accredited U.S. institutions. Applicants should have career and employment goals aligned with the mission and objectives of the U.S. Department of Homeland Security. Postdoctoral scientists and engineers who have held the doctorate degree less than five years at the time of application. Summer faculty fellows must have tenure or be tenure-tracked and be from a minority serving institution.

**Beneficiary Eligibility:**

Undergraduate Student, Graduate Student, Postdoctoral Scholars, and Minority Serving Institution Faculty.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from



coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Based on availability of funding and academic progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Participant feedback and progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$3,370,338; FY 09 est \$3,500,000; FY 10 est not reported. - FY10 Estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The program succeeded in selecting 105 Scholars and Fellows in August of the preceding fiscal year. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, Building 410, Washington, District of Columbia 20523 Email: universityprograms@dhs.gov Phone: 202-447-4000

**Website Address:**

www.dhs.gov .

**RELATED PROGRAMS:**

15.059 Indian Graduate Student Scholarships; 47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.078 Polar Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Information on current DHS funding can be found at <http://www.hsuniversityprograms.org>. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.064 DEBRIS REMOVAL INSURANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Resolution, 2003, Public Law 108-7.

**OBJECTIVES:**

The project will consist of the incorporation of a captive insurance company by the City of New York in the State of New York to insure the City and its contractors for claims arising from debris removal at the World Trade Center following the terrorist attacks of September 11, 2001.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

The captive insurance company will provide insurance coverage exclusively for the City of New York and those contractors that were paid by the City to perform debris removal at the World Trade Center site. The insurance company will not provide insurance coverage to any other persons or entities. The grant is made available for the State of New York to insure the City of New York and its debris removal contractors.

**Applicant Eligibility:**

The grant is made available for the State of New York to insure the City of New York and its debris removal contractors.

**Beneficiary Eligibility:**

Insurance coverage obtained with grant funds shall be available solely for the City of New York and those contractors that were paid by the City to perform debris removal at the World Trade Center site.

**Credentials/Documentation:**

Costs determined in accordance with the Consolidated Appropriations Resolution, 2003, Public Law 108-7 and the Conference Report accompanying Public Law 108-7. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Following the Presidential declaration of a major disaster for the State of New York for the terrorist attacks of September 11, 2001, the Governor's Authorized Representative for the disaster made a written request for \$1 billion in funding from FEMA to establish a captive insurance company to insure the City of New York and its contractors for claims arising from debris removal at the World Trade Center. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. With authority provided to FEMA by the Consolidated Appropriations Resolution, 2003, Public Law 108-7, FEMA will accept application from the State and City of New York for funding to establish a captive insurance company in the State of New York with execution of an SF-424; FEMA Forms 20-16, 20-16A, 20-16C; Disclosure of Lobbying Activities Form LLL; and a grant agreement.

**Award Procedure:**

With authority provided by the Consolidated Appropriations Resolution, 2003, Public Law 108-7, FEMA will provide \$999.9 million to establish a captive insurance company or other appropriate insurance mechanism to insure the City and its contractors for claims arising from debris removal when the State and City have completed the application procedure and FEMA has agreed to and approved all terms, conditions and scope of insurance coverage. The Grant Award is the maximum award for which FEMA has authority and funding. Absent additional authority and funding from Congress, this Grant Agreement

is not subject to amendment for purposes of increasing the amount of the Award. The Award of Federal assistance in support of the Project described herein is effective on the date that the authorized FEMA official signs the Grant Agreement. Upon execution of the Grant Agreement by the Grantee, the Grantee affirms the Award in support of the said Project and enters into the Grant Agreement with FEMA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From three to four weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. The Federal Share is 100 of eligible work. There is no State or local government matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon transfer of the Grant Award to the Captive through the State and City, the Captive will use the Award for the purposes described in the Grant Agreement, with attachments, for an initial period of up to 25 years from the effective date of the Grant Agreement and will not use the Award for any other purpose. In the event the Captive is unable to terminate its liabilities within the 25 year period because it would not be commercially reasonable or cost effective to do so, a request to extend the Period of Performance will be considered. An extension request must be supported by adequate written justification. No extension requests will be processed if performance and financial status reports are not current. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

The Grantee shall submit to FEMA and the New York State Insurance Department (SID) the following reports: a) A report from the Captive 30 days after the Captive has reported to the Grantee, the City and the designate representative of the Contractors each calendar quarter of losses incurred, losses paid, changes in experience account balance, and changes in individual and aggregate case reserves and indicated reserves for losses incurred but not reported during the immediately preceding calendar quarter; b) The annual reports the Captive must submit to the Superintendent of SID (within 10 days of such submission); c) The annual financial statements (which shall be prepared no later than ninety days following the last day of each calendar year and audited by an independent auditor whose selection was made following 30 days notice to FEMA); and d) The minutes of all meetings of the Captive Board of Directors and Advisory Committee. The Grantee shall also report quarterly, beginning June 30, 2003, to the Committees on Appropriations of the U.S. Congress and FEMA, regarding the expenditure of and investment earnings from the Grant Award, utilizing information culled from the reporting requirements listed above. The Grantee shall submit a Financial Status Report, SF 269, within 30 days from the end of the federal quarter that the Grantee expends the funds. The financial and performance reports required by this Article will also be utilized to satisfy the after-the-grant requirements of 44 C.F.R. Sec. 13.50. The Grantee shall submit required reports to FEMA at: 500 C Street SW, Washington DC 20472. Attn: Assistance Officer, Administration and Resource Planning. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantee must follow the audit

requirements under OMB Circular No. A-133. Non-Federal entities that expend the amount listed in OMB Circular No. A-133 or more Federal funds in a year shall have a single or program-specific audit conducted for that year in accordance with the provisions of A-133.

**Records:**

Records shall be retained for 3 years (except in certain rare circumstances described in 44 C.F.R. Sec. 13.42) from the date the final financial status report is submitted to FEMA in compliance with 44 C.F.R. Sec. 13.42. The Captive's books and records shall be made available to FEMA and SEMO upon reasonable notice.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Insurance) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Consolidated Appropriations Resolution, 2003, Public Law 108-7 and the accompanying Conference Report directing FEMA to fund a captive insurance company or other appropriation insurance mechanism for the City of New York and its debris removal contractors have no implementing regulations or guidelines.

**Regional or Local Office:**

See Regional Agency Offices. Federal Emergency Management Agency, 26 Federal Plaza, New York, N.Y. 10278. Telephone: (212) 680-8518.

**Headquarters Office:**

Gerald Connolly 245 Murray Lane - Bldg. #410, Washington, District of Columbia 20523 Phone: 202-646-3587

**Website Address:**

<http://www.fema.gov/rrr/pa>.

**RELATED PROGRAMS:**

97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.065 HOMELAND SECURITY ADVANCED RESEARCH PROJECTS AGENCY**

(HSARPA)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Title 3, Section 307, Public Law 107-296.

**OBJECTIVES:**

To fund research and technology development in support of Homeland Security.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

HSARPA funds only project grants resulting from scientific and technical proposals for basic research, applied research and technology development in areas of science and technology to support homeland security research. These projects will promote revolutionary changes in technologies which would promote homeland security; advance the development, testing, and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities. All awards made under the affiliated Small Business

Innovation Research Program will be restricted as required by law and regulation. Funds provided for any other purpose will be specified explicitly in the award document.

**Applicant Eligibility:**

HSARPA performs its functions in part by awarding contracts, grants, cooperative agreements, or other transactions for prototypes or research to: public or private entities, public or private nonprofit institutions/organizations, businesses, profit organizations, Federally funded research and development centers, universities, individuals, specialized groups, and other private institutions/organizations.

**Beneficiary Eligibility:**

Beneficiaries are small and large businesses; public and private educational institutions, and profit and non-profit entities.

**Credentials/Documentation:**

One condition of HSARPA assistance will be acceptable professional qualifications and documented experience necessary to properly conduct the research solicited in the manner proposed. Another condition of assistance may be the ability of applicants to possess specified security clearances, processes and procedures. Applicants must not appear on the nonprocurement suspended or debarred list. In addition, the provisions of OMB Circulars Nos. A-21, A-87, A-88, A-110, A-122, and A-133 must be met, as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As required by solicitation. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

See program announcement. See program announcement. See program announcement. See program announcement. Refer to the program guidance or the award document for frequency of reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$3,061,453; FY 09 est not reported.; FY 10 est not reported. - FY10 est not available.

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Homeland Security Act of 2002, Title III, Sec. 307 and 831, Public Law 107-296, and information contained at <http://www.dhs.gov>, <http://www.fedbizopps.gov>, and <http://www.baa.st.dhs.gov>. FAR, OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations, Department of Homeland Security, Building 410, 245 Murray Lane SW, Washington, District of Columbia 20528 Phone: (202) 447-5589.

**Website Address:**

<http://www.dhs.gov>; <http://www.baa.st.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: None. Fiscal Year 2009: None. Fiscal Year 2010: None.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.066 HOMELAND SECURITY INFORMATION TECHNOLOGY RESEARCH, TESTING, EVALUATION AND DEMONSTRATION PROGRAM**

Homeland Security Information Technology Research and Demonstration Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To foster and identify novel uses of existing "state-of-the-art" information technology that will remove barriers and/or improve information sharing and

integration of State and local public safety interoperability communications.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable costs and any funding restrictions will be identified in the Program Announcement. No construction will be eligible for funding. This funding may only be used to supplement existing funding and not be used to supplant funding. See program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, U.S. Territories and local governments.

**Credentials/Documentation:**

The applicant must complete a proposal as outlined in the funding opportunity announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the funding opportunity announcement/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Extensions are at the discretion of DHS. Refer to the funding opportunity announcement or application guidance for information concerning renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: refer to program guidance.

**Reports:**

see program guidance. see program guidance. see program guidance. see program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$10,100,000; FY 09 est \$5,750,000; FY 10 est not reported. - FY10 \$ estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grants and Financial Assistance Division 245 Murray Lane, SW Bldg 410 Stop Code 0500, Washington, District of Columbia 20531 Phone: 202-447-4000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.067 HOMELAND SECURITY GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 (Public law 110 - 329); Implementing Recommendations of 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To enhance the ability of the State, local and tribal governments to prepare, prevent, respond to, and recover from terrorist attacks and other disasters. The Homeland Security Grant Program is the primary funding mechanism for building and sustaining national preparedness capabilities. HSGP is comprised of four separate grant programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The HSGP is comprised of four separate grant programs: State Homeland Security Program (SHSP), Urban Areas Security Initiative (UASI), Citizen Corps Program (CCP), and Metropolitan Medical Response System (MMRS). Funds will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 45 days of the receipt of funds. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For specific application instructions, please refer to current program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: For more detailed formula and matching requirements on each of the individual grant programs, please refer to the current HSGP solicitation guidance. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management

Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Categorical Assistance Progress Reports (CAPR) and Bi annual Strategy Implementation Reports (BSIR) are required semi-annually. The CAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR, BSIR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Formula Grants) FY 08 \$1,698,959,000; FY 09 est \$1,714,300,154; FY 10 est not reported. - FY 10 estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States have completed threat, vulnerability, capabilities, and needs assessments and have developed State Homeland Security Strategies. The strategies identify the needs for planning, organization, equipment, training, exercises, and technical assistance. G&T is working with the States to develop assistance plans to identify Department of Homeland Security resources that can assist them in accomplishing the goals and objectives identified in their strategies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Techworld Control Desk 4th Floor Room 427 500 C St. SW  
Centralized Scheduling and Information Desk (CSID) , Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (800)368-6498

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.068 COMPETITIVE TRAINING GRANTS**

Homeland Security National Training Program (HSNTP), Continuing Training Grant (CTG) Programs

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329; Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To support eligible organizations in designing, developing, and delivering homeland security preparedness training to first responders and / or citizens. The HSNTP supports objectives delineated in a series of post 9/11 laws, strategy documents, plans, and Homeland Security Presidential Directives (HSPDs), including the National Preparedness Guidelines. The Guidelines are an all-hazards vision regarding the Nations four core preparedness objectives: to prevent, protect against, respond to, and recover from acts of terrorism and / or catastrophic events.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with designing, developing, and delivering homeland security preparedness training to first responders and / or citizens in States and local / tribal jurisdictions. The Fiscal Year (FY) 2009 CTG programs address a distinct and diverse set of issue areas that primarily fall under the national priorities of: expanding regional collaboration, implementing the National Infrastructure Protection Plan (NIPP), strengthening information sharing and collaboration, strengthening chemical, biological, radiological, nuclear, and explosive (CBRNE) detection, response, and decontamination, and strengthening planning and citizen preparedness.

Restrictions Funds may not be used to replace (supplant) funds that have been appropriated for the same purpose. Construction costs are not allowable under this solicitation. Foreign travel is not allowable under this solicitation unless approved by DHS/FEMA. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. For complete information on uses and restrictions, refer to program guidance. For complete information on applicant eligibility, refer to program announcement/guidance.

**Applicant Eligibility:**

State, local, tribal, and territorial governments; national associations and organizations; higher education institutions; nonprofits, including community and faith-based organizations; and the private sector.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

Credentials: None identified.

Documentation: Proposals must clearly demonstrate the applicants ability to

design, develop, and deliver specialized training of national scope to first responders and / or citizens. Applications must include (among other required documentation) a Program Management Plan, Work Breakdown Structure, Program Narrative, and Detailed Budget. Allowable costs may be determined by reference to OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. For additional information on allowable costs, refer to program guidance. Applicants may be required to provide verification / certification that a reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds (non-supplanting requirement). For complete information on documentation requirements, refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal [www.grants.gov](http://www.grants.gov). Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted. The on-line application requires (among other documentation), the Standard Forms 424, Project Narrative, and Budget. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, refer to program guidance.

**Award Procedure:**

FEMA will evaluate and act on applications following the close of the application period, and will work with recipients to review / refine work plans to ensure that program goals and objectives can be effectively accomplished. Notification of award approval will be made electronically via the Grants Management System (GMS). The grant instrument will be a Cooperative Agreement between FEMA and the grantee. Awards are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, as well as CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notification of award approval is made through the electronic Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. The period of performance of this grant is twelve (12) months. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. For additional information, refer to program guidance. See the following for information on

how assistance is awarded/released: See program guidance.

**Reports:**

See program guidance for progress report information. . . This program requires the submission of quarterly Financial Status Reports (FSRs), and a Final FSR. FSRs are due on July 30, October 30, January 30, and April 30. The Final FSR is due 90 days after the end of the performance period. Reporting requirements must be met throughout the life of the Cooperative Agreement. Refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements. Note that the FEMA Payment and Reporting System (PARS) will prevent access to funds if reporting requirements are not met on a timely basis. For complete information on report submission requirements, refer to program guidance. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$27,202,000; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Previous efforts have resulted in over 910,000 first responders receiving training. Courses are designed to increase awareness of terrorism threats and weapons of mass destruction among public officials, public health personnel, the medical community, public safety and public works personnel; as well as provide intensive technician and operations courses that demonstrate the effects of and response to live agents, explosives, and radiation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance.

**Regional or Local Office:**

None. FEMA Call Center at (866) 927-5646 or via e-mail to ASK-GMD@dhs.gov.

**Headquarters Office:**

FEMA Grant Programs Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: askscid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.005 State and Local Homeland Security Training Program; 97.007 Homeland Security Preparedness Technical Assistance Program; 97.067 Homeland Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Training programs targeting areas like community outreach; vulnerable populations and special needs; intelligence, information sharing, and fusion centers; cyber-terrorism; agriculture; regional collaboration and continuity of operations planning; transit, port and infrastructure protection; rural communities; law enforcement; and mass casualty. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.069 AVIATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 188(b)(1)(c).

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation security.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Contracts); USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The grants may be used to support research and development projects at colleges, universities, nonprofit and forprofit institutions in the area of System Security Technology. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. see program guidance.

**Applicant Eligibility:**

Public and private nonprofit institutions/organizations, colleges and universities, State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Beneficiary Eligibility:**

Public and private nonprofit institutions/organizations (colleges and universities), State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Credentials/Documentation:**

May be required by U.S. Statute, regulation or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability by electronic posting on <http://www.grants.gov>. The applicant will be advised on how to apply for the funding through the funding opportunity announcement and program guidance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Multi-year grants or cooperative agreements are available; extensions are possible. No-cost extensions available upon request by the recipient and

approval by the Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

See program guidance. No cash reports are required. Frequency of interim reporting will be identified in the funding opportunity/program guidance document. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$9,691,029; FY 09 est \$6,000,000; FY 10 est not reported. - FY10 Estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Information available through the Grants Office located at the Transportation Security Laboratory. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-21, Cost Principles for Educational Institutions (relocated to 2 CFR, Part 220); A-87, Cost Principles for State, Local and Indian Tribal Governments (relocated to 2 CFR, Part 225); A-102, Grants and Cooperative Agreements with State and Local Governments; A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations (relocated to 2 CFR, Part 215); A-122, Cost Principles for Nonprofit Organizations (relocated to 2 CFR, Part 230); and A-133, Audits of States, Local Governments and Nonprofit Organizations. In addition to the OMB criteria, program regulations, guidelines, DHS policy and procedures will also apply.

**Regional or Local Office:**

See Regional Agency Offices. Office of Procurement Operations, Grants Office, Transportation Security Laboratory, W. J. Hughes Technical Center, Bldg 315, Atlantic City, NJ 08405. International Airport, Telephone: or (609) 813-2839. Fax:.

**Headquarters Office:**

Office of Procurement Operations, Grants Office, Transportation Security Laboratory, W. J. Hughes Technical Center Office of Procurement Operations, Grants Office, Transportation Security Laboratory, W. J. Hughes Technical Center, Bldg 315, , NJ 08405. International Airport, Telephone: or (609) 813-2839. Fax:., Atlantic City, New Jersey 08405 Phone: (609) 813-2834 Fax: (609) 383-1973.

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.070 MAP MODERNIZATION MANAGEMENT SUPPORT**

(MMMS)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The National Flood Insurance Reform Act of 1994, Public Law 103-325, 42 U.S.C 4001; Housing and Urban Development Act of 1968 (also known as the National Flood Insurance Act of 1968), as amended, 42 U.S.C 4101; The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C 5121-5202.

**OBJECTIVES:**

To increase local involvement in, and ownership of, management of, the development and maintenance of flood hazard maps produced for the National Flood Insurance Program (NFIP).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are authorized to supplement, not supplant (replace), ongoing flood hazard mapping management efforts by the local, regional, or State agency.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. All applicants must be communities participating and in good standing in the NFIP or agencies which service participating NFIP communities.

**Beneficiary Eligibility:**

State; local; U.S. Territory & Possession; other public institution/organization; small business; engineer/architect; builder, contractor, developer; land/property owner; general public.

**Credentials/Documentation:**

Proposed Business Plans must be pre-approved by the FEMA regional office and all approved activities must ultimately contribute to the achievement of four over-arching goals of the Map Modernization Program. Refer to program guidance document for further information.

All applicants must be communities participating and in good standing in the NFIP or agencies which service participating NFIP communities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are



contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: There are no matching requirements; however, Regional Directos shall determine individual levels of funding based upon the activities proposed and the level of commitment shown in the Business Plans, and how these activities will contribute toward the overall goals of map modernization. In addition applicants must be legislatively, administratively, and technically capable of providing proposed products or services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

(Salaries) FY 08 \$5,500,000; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In previous fiscal years, addition to the main goals of the MMMS program, support has been provided to staff scoping meetings, develop a web-based ordinance writing tool for adopting new maps, providing education for surveyors and engineers on the LOMC process, and the development of multi-lingual outreach materials. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance will be available to all MMMS participants and the general public on the FEMA website at <http://www.fema.gov>.

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional Offices will manage all program activities under the MMMS initiative. See Appendix IV of the Catalog.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA) 245 Murray Lane  
Building #410, Washington, District of Columbia 20523 Phone:  
1-800-621-3363

**Website Address:**

<http://www.dhs.gov/>.

**RELATED PROGRAMS:**

97.022 Flood Insurance; 97.045 Cooperating Technical Partners

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Examples of fundable projects include outreach efforts, coordinating mapping needs assessment, digital base map inventory, managing updates to national management information system, training efforts for State and local officials, coordination and effort in building partnerships, staffing, project scoping participation, compliance, map adoption management, management and map maintenance, program management planning for multiple flood mapping projects, hydrology and hydraulics review, DFIRM maintenance, technical standards agreement for state and/or local efforts, performing metrics and goals. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.071 METROPOLITAN MEDICAL RESPONSE SYSTEM**

(MMRS)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Appropriations, Section 635 a, b, and c, Metropolitan Medical Response System Grant Program, Public Law 109-295; Ongoing Congressional appropriations have funded contracts with 124 MMRS jurisdictions.

**OBJECTIVES:**

The MMRS program provides funding to designated localities to assist in maintaining and updating plans, delivering training, purchasing equipment and pharmaceuticals, and conducting exercises. The mission of MMRS is to enhance local medical incident management's ability to coordinate and respond to a mass casualty event during the crucial first hours, until significant external resources arrive and become operational.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Refer to grant program guidance document for specific use and use restriction information. MMR includes functional components which are closely related to ASPR (HPP), (EJAR-VHP), CDC (CRI-SNS), PHS (MRC), CCP.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth

of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

Local jurisdictions.

**Credentials/Documentation:**

Eligible States, as defined in the Homeland Security Act of 2002, refer to "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the

reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$39,831,404; FY 09 est \$39,831,404; FY 10 est not reported. - Obligations are included in 97.067.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more requirements and guidance, please refer to the MMRS section of the HSGP solicitation guidelines and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA Office of Grant Programs 500 C Street SW  
Centralized Scheduling and Information Desk (CSID), Washington, District of Columbia 20472-3625 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.073 State Homeland Security Program (SHSP); 97.074 Law Enforcement Terrorism Prevention Program (LETPP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Operations, Planning, Training, Exercises, Outreach and Inter-Agency Coordination. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.072 NATIONAL EXPLOSIVES DETECTION CANINE TEAM**

**PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Aviation Reauthorization Act of 1996, Public Law 104-264; Homeland Security Act of 2002, Public Law 107-296; Aviation and Transportation Security Act.

**OBJECTIVES:**

The National Explosives Detection Canine Program exists to deter and detect the introduction of explosives devices into the transportation system. In addition, bomb threats cause disruption of air, land and sea commerce and pose an unacceptable danger to the traveling public and should be resolved quickly. Explosives detection canine teams are a proven reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The use of highly trained explosives detection canine teams is also a proven deterrent to terrorism directed towards transportation systems and provides a timely and mobile response to support facilities, rail stations, airports, passenger terminals, seaports and surface carriers. Canine teams consist of a dog and a handler. There is a 3 team minimum.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the terms and conditions of each Cooperative Agreement award. Allowable costs are detailed in the terms and conditions of each Cooperative Agreement award.

**Applicant Eligibility:**

Designated Airport Authority or State and local law enforcement agencies having responsibility for ensuring passenger, cargo, and commerce security.

**Beneficiary Eligibility:**

Airports, Airlines, mass transit, passenger rail system passengers, airlines, and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. TSA will contact potential participants of the program based upon established criteria for the specific mode of transportation. Proposals are not sought. No unsolicited applications are accepted. All applicants are pre-selected by TSA.

**Award Procedure:**

Recipients are pre-selected based on airport/mass transit-passenger rail security needs. Negotiations determine the scope of the award and a cooperative agreement is awarded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See Program Guidance.

**Appeals:**

None.

**Renewals:**

Every five years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. . Quarterly progress reports. Quarterly financial reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-400.

**Obligations:**

(Cooperative Agreements) FY 08 \$30,473,383; FY 09 est \$21,959,450; FY 10 est \$27,204,500

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Transportation Security Administration has supported this public purpose of assuring traveler and cargo safety in expanding venues for over 30 years. Currently TSA works cooperatively with 79 recipients. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative Agreement and attachments, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, National Explosives Detection Canine Team Program Headquarters, Transportation Security Administration 601 South 12th Street, TSA-18 Room 8E18S, Arlington, Virginia 22202 Phone: N/A

**Website Address:**

<http://www.tsa.gov> (click Security and Law Enforcement then Canine and Explosives Program).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: TSA provides State and local law enforcement agencies with a comprehensive 10 week handler training course and a certified explosives detection canine. In addition, TSA provides funding to State and local law

enforcement agencies through partial reimbursements (\$40,000 - \$50,000 per team) for services provided to DHS/TSA for security of transportation systems. Teams must be available to the airports/mass transit-passenger rail 80% of the time but can be used to support other community security needs as well. Teams must re-certify annually and are subject to unannounced evaluations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.073 STATE HOMELAND SECURITY PROGRAM (SHSP)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A Patriot Act of 2001 , Public Law 107-56; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 , Public Law 110-329.

**OBJECTIVES:**

To build capabilities to prevent, deter, respond to, and recover from incidents of terrorism at the State and local levels through planning, equipment, training, and exercise activities and support the implementation of State homeland security strategies and key elements of the national preparedness architecture, including the National Preparedness Goal, the National Incident Management System and the National Response Plan.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, organization, equipment, training and exercises as related to the program objectives above, and will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 60 days of the receipt of funds. Refer to program guidance document.

**Applicant Eligibility:**

States, which includes any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The State Administering Agency (SAA), designated by the Governor to administer DHS grant funds, is the only agency eligible to apply for these funds and is responsible for obligating the funds to local units of government and other designated recipients. Local units of government and other designated recipients, as defined in the Conference Report accompanying the Department of Homeland Security Appropriations Act of 2006, refers to "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Refer to program guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other

information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory Formula: Title Homeland Security Act of 2002 as amended by the 9/11 Act.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. . . Financial Status Reports. . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Formula Grants) FY 08 not reported.; FY 09 est \$861,265,000; FY 10 est not reported. - FY09 Obligations Included in 97.067  
FY 10 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States have completed threat, vulnerability, capabilities, and needs assessments and have developed State Homeland Security Strategies. The strategies identify the needs for planning, organization, equipment, training, exercises, and technical assistance. OGP is working with the States to develop assistance plans and identify Department of Homeland Security resources that can assist them in accomplishing the goals and objectives identified in their strategies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No

Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the SHSP section of the HSGP solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs 245 Murray Lane - Bldg. #410, Washington, DC 20523. The Centralized Scheduling and Information Desk (CSID). CSID hours of operation are from 8:00 a.m. to 7:00 p.m. (Eastern Time), Monday through Friday., Washington, District of Columbia 20528 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.074 Law Enforcement Terrorism Prevention Program (LETTP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Equipment acquisition; Costs related to the design, development, and conduct of statewide chemical, biological, radiological, nuclear, and explosive (CBRNE) events and cyber security training programs; and costs related to the design, development, conduct, and evaluation of CBRNE and cyber security exercises. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.074 LAW ENFORCEMENT TERRORISM PREVENTION PROGRAM (LETTP)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

The Law Enforcement Terrorism Prevention Program (LETTP) seeks to provide law enforcement communities with enhanced capabilities for detecting, deterring, disrupting, and preventing acts of terrorism. LETTP is focusing on providing resources to law enforcement and public safety communities (working with their private partners) to support critical terrorism prevention activities such as establishing/enhancing fusion centers and collaborating with non-law enforcement partners, other government agencies, and the private sector.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, organization, equipment, training and exercises, as related to the program objectives, and will be administered by the respective State Administrative Agency (SAA). The SAA must coordinate the implementation of this program with the State's Lead Law Enforcement Agency. Refer to program guidance.

**Applicant Eligibility:**

States, which includes any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The State Administering Agency (SAA), designated by the Governor to administer DHS grant funds, is the only agency eligible to apply for these funds and is responsible for obligating the LETTP funds to local units of government and other designated recipients. Local units of government and other designated recipients, as defined in the Conference

Report accompanying the Department of Homeland Security Appropriations Act of 2006, refers to "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State".

**Beneficiary Eligibility:**

State and local governments as well as U.S. Territory/Possession governmental units.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory Formula: Title Patriot Act of 2001, Public Law 107-56.

Matching Requirements: Patriot Act allocation formula.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance. . Refer to program guidance. Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit,

or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Formula Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: States have developed State Homeland Security Strategies in accordance with the National Preparedness Goal and related national priorities. These strategies identify planning, organization, equipment, training, exercises, and technical assistance needs. The National Preparedness Directorate continues to assist states to identify and implement resources to accomplish goals and objectives identified in the respective state strategies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the LETPP section of the HSGP solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA, Grant Programs Directorate 245 Murray Lane Bldg. #410, The Centralized Scheduling and Information Desk (CSID) CSID is open from 8:00 a.m. to 7:00 p.m. (Eastern Time), Monday through Friday. , Washington, District of Columbia 20531 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Establish/enhance fusion centers, interoperable communications, information sharing to preempt terrorist attacks; target hardening to reduce vulnerability of selected high value targets, and recognition and mapping of potential or developing threats. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.075 RAIL AND TRANSIT SECURITY GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Emergency Wartime Supplemental Appropriations Act of 2003, Public Law 108-11; The U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; Implementing Recommendations of the 9/11 Commission Act of 2007, Section 1406, Public Law 110-53; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329.

**OBJECTIVES:**

To create sustainable programs for the protection of critical bus, rail, and ferry

system infrastructure from terrorism, with special emphasis on the use of explosives and non-conventional threats which would result in major loss of life and severe disruption.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the Transit Security Grant Program (TSGP), the TSGP Intercity Passenger Rail, and the TSGP Freight Rail Security Grant Program (FRSGP) Funds may be used for planning, organizational activities, equipment acquisitions, training, exercises, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

The Governor of each State and Territory has designated a State Administrative Agency (SAA) to apply for and administer funds under the TSGP. The SAA for each designated transit system is the only agency eligible to apply for transit mode (rail and bus transit and ferry service) funds and is responsible for obligating transit mode funds to local units of government and designated recipients. The SAA is responsible for obligating TSGP funds to the appropriate individual transit agencies within 60 days after receipt of funds. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the TSGP Intercity Passenger Rail Security Supplemental. Agencies eligible for the TSGP Ferry System Security Supplemental were identified using comprehensive, empirically grounded risk analysis modeling. The risk methodology for the IPP programs is consistent across the modes and is linked to the risk methodology used to determine eligibility for the core Department of Homeland Security State and local grant programs. The program guidance identifies the agencies eligible for funding.

**Beneficiary Eligibility:**

Specialized group; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Agencies eligible were identified using comprehensive, empirically grounded risk analysis modeling. The risk methodology for the Infrastructure Protection Activities is consistent across the modes and is linked to the risk methodology used to determine eligibility for the core Department of Homeland Security State and local grant programs. The program guidance identifies the agencies eligible for funding. Each designated transit system is the only agency eligible to apply for transit mode (rail and bus transit and ferry service) funds and is responsible for obligating transit mode funds. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the TSGP Intercity Passenger Rail. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$388,600,000; FY 09 est \$388,600,000; FY 10 est not reported. - FY 2010 Authorized \$900,000,000, est. Amount \$388,600,000.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Funding provided to enhance preparedness and security for America's Transit Systems. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Transportation Infrastructure Support Branch 800 K Street NW, Washington, District of Columbia 20472 Email: askesid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.056 Port Security Grant Program ; 97.057 Intercity Bus Security Grants; 97.059 Truck Security Program; 97.067 Homeland Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Projects addressing: protection of high risk/high consequence underwater and underground rail assets; protection of other high risk/high consequence assets and systems that have been identified through system-wide risk assessments; use of visible, unpredictable deterrence; targeted counter-terrorism training for key front-line staff; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and efforts in support of the national preparedness architecture. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.076 NATIONAL CENTER FOR MISSING AND EXPLOITED CHILDREN (NCMEC)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act.

**OBJECTIVES:**

To support investigative and forensics support activities related to investigations of missing and exploited children, promote awareness of the child pornography tip line and Project Alert; and, in conjunction with other Federal law enforcement agencies, support the establishment and maintenance of a national resource center and clearinghouse dedicated to missing and exploited children issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The NCMEC award is designated for a private, nonprofit organization (NPO) which meets Congress's objectives and programmatic criteria for preventing the abduction, abuse, and sexual exploitation of children; and/or assisting law enforcement agencies in the investigation and recovery of those children. See program guidance.

**Applicant Eligibility:**

Designated private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

see program guidance. Cash reports are not applicable. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. see program guidance. see program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0404-0-1-751.

**Obligations:**

(Project Grants) FY 08 \$203,000; FY 09 est \$203,000; FY 10 est \$203,000

**Range and Average of Financial Assistance:**

Amount may vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The NCMEC toll-free hotline has received more than 150,000 calls from parents, law enforcement, prosecutors and citizens seeking assistance or asking for information regarding missing children issues. NCMEC has also disseminated thousands of publications and provided training to several hundred law enforcement officers and prosecutors regarding online crime against children and child protection issues. NCMEC's Cyber Tip Line has received over 165,000 reports of child pornography and child sexual exploitation. NCMEC continues to receive hundreds of hits on their web page daily. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please contact the headquarters office at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

NCMEC/ David L. Schoonover, United States Secret Service Department of Homeland Security, 245 Murray Lane, Building #410, Washington,, District of Columbia 20523 Email: David.Schoonover@uss.s.dhs.gov Phone: (202) 406-9277

**Website Address:**

www.dhs.gov

**RELATED PROGRAMS:**

16.543 Missing Children's Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Application is reviewed by the U. S. Secret Service and subject-matter experts. Application is evaluated according to the program objectives and goals established by Congress.

**97.077 HOMELAND SECURITY RESEARCH TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES RELATED TO NUCLEAR DETECTION**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended by as amended by the SAFE Port Act, Title V, Section 501a, Public Law 109-347.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies related to nuclear detection intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. see program announcement.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are



contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment is determined based on projects need.

**Reports:**

see program announcement. see program announcement. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. see program announcement. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 08 \$15,069,588; FY 09 est \$15,000,000; FY 10 est not reported. - FY10 est not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since FY 07, 34 grants were awarded under the Academic Research Initiative (ARI) program to 31 different projects. These grants provide funding to support graduate students in nuclear and radiological research areas. In addition, an annual ARI grantees conference is held to promote information sharing and collaborations across the community. Funding has also supported basic and applied research in the radiological/nuclear detection and interstate transportation security. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations 245 Murray Lane, SW, Washington, District of Columbia 20528 Phone: 202-447-5589

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Awards made under the ARI program cover a wide range of research in nuclear and radiological detection. Projects include; advanced algorithms and detectors for used in gamma-ray imaging, nano-material applications in scintillator and semiconductor detectors, modeling to improve sensor management and port security, fieldable nuclear forensics systems for material identification, and measurement of fundamental nuclear data and cross-sections. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.078 BUFFER ZONE PROTECTION PROGRAM (BZPP) (BZPP)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

The Buffer Zone Protection Program (BZPP) provides funding for the planning, equipment, and management of protective actions, to support the objective of protecting, securing, and reducing vulnerabilities of identified critical infrastructure and key resource (CI/KR) sites.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

BZPP grant awards will be administered by the respective State Administrative Agency (SAA) and may be used for planning, equipment, and management of protective actions relating to the program objectives. The SAA will allocate program funds to the jurisdiction(s) responsible for the safety and security of the communities in which CI/KR sites are located. For additional information concerning BZPP grant award uses and restrictions, please refer to the program solicitation guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State's SAA is the only agency eligible to apply for BZPP grant funds and is responsible for obligating BZPP grant awards to the responsible jurisdiction(s) that have authority over the identified CI/KR sites. The term "responsible jurisdiction" as used in the BZPP program guidance and application kit, refers to the primary agency (i.e. State, local, or tribal entity or unit of government), that has authority over the DHS identified CI/KA facility, the facility's curtilage, adjacent grounds, and/or structures.

**Beneficiary Eligibility:**

State and local governmental jurisdiction(s) responsible for the CI/KR sites.

**Credentials/Documentation:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State's SAA is the only agency eligible to apply for BZPP grant funds and is responsible for obligating BZPP grant awards to the responsible jurisdiction(s) that have authority over the identified CI/KR sites. The term "responsible jurisdiction" as used in the BZPP program guidance and application kit, refers to the primary agency (i.e. State, local, or tribal entity or unit of government), that has authority over the DHS identified CI/KA facility, the facility's curtilage, adjacent grounds, and/or structures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

Funding is subject to reallocation each year, and may be consolidated with other programs.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Based on project need.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) and Biannual Strategy

Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly reports. These reports are due 30 days after the end of each quarter: January 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$50,000,000; FY 09 est \$50,000,000; FY 10 est not reported. - FY10 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please refer to the BZPP Program Guidelines and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grant Programs 245 Murray Lane, Bldg. #410, Washington, District of Columbia 20523 Email: askcsid@dhs.gov Phone: (800) 368-6498

**Website Address:**

<http://www.dhs.gov/xopnbiz/grants/index.shtm>

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.079 PUBLIC ALERT RADIOS FOR SCHOOLS****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act,

2009, Public Law 110-329.

**OBJECTIVES:**

To disseminate public alerts and warnings by providing Public Alert Radios to eligible schools. Public alerts and warnings can be disseminated nationwide, regionally, or locally. This program will: a) expand delivery of public alert services to designated schools; and b) enhance and strengthen the capability of designated schools to provide alert and warning information directly to students and the public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Property grants to provide Public Alert Radios to schools in designated geographic areas.

**Applicant Eligibility:**

Schools located in geographic locations identified by the Department of Homeland Security (DHS).

**Beneficiary Eligibility:**

Students (K-12).

**Credentials/Documentation:**

Schools located in geographic locations identified by the Department of Homeland Security (DHS). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public Alert Radios will be provided on the basis of available funding to the schools located in geographic locations identified by DHS.

**Award Procedure:**

Radios will be distributed to selected schools accompanied by a letter, and a brochure explaining the program's purpose and use of the radio. Recipients will be instructed to respond by e-mail to confirm receipt and acceptance of property, and to agree that the radios will be used to receive 'all hazards' public warnings.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance document. See the following for information on how assistance is awarded/released: Eligible schools receive a public alert radio.

**Reports:**

Eligible schools who receive a public alert radio, will respond by e-mail to the administering program office, confirming receipt of the Public Alert Radio and acceptance for its intended use. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

70-5609-1-1-000.

**Obligations:**

(Project Grants) FY 08 \$1,500,000; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mr. Brendan Shields, Alternate: Mark Paese 245 Murray Lane, Bldg #410, Washington, District of Columbia 20528 Phone: 202-282-8396 or 301-713-1824

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

DHS will determine the allocation of radios based on the funding and the schools located in the geographic areas designated by DHS, eligible to receive a public alert radio.

**97.080 INFORMATION ANALYSIS INFRASTRUCTURE PROTECTION (IAIP) AND CRITICAL INFRASTRUCTURE MONITORING AND PROTECTION**

Information Analysis and Infrastructure Protection Pilot Projects Critical Infrastructure Monitoring and Protection Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Act., Public Law 107-296; FY2008 Consolidated Appropriations Act, Public Law 110-161; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329.

**OBJECTIVES:**

To provide financial or nonfinancial support to explore the feasibility and viability of commercially available protective measure technology to nonfederal entities, through pilot or demonstration projects, or as directed by Congress, to support monitoring of critical infrastructure, initiatives, programs and projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to pilot or demonstration projects of commercially available protective measures technologies. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See program guidance.

**Applicant Eligibility:**

Funds are restricted to State, local government, private, public, profit or non-profit organization, Indian Tribal government or individuals specified by DHS program or Appropriation Statute, or guidance.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS Appropriation Statute.

**Credentials/Documentation:**

Please refer to the pertinent program announcement or solicitation guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The funding opportunity announcement will identify if the program is subject to Executive Order 12372. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future appropriations. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will vary by project. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

see program guidance. See Program Guidance. Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A110. The frequency of the reports will be identified in the Terms and Conditions of the award. See program guidance. see program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5609-1-1-000; 70-0565-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$0; FY 09 est \$4,000,000; FY 10 est not reported. - FY10 estimate not available.

**Range and Average of Financial Assistance:**

As specified in the program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with Stat, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grants and Financial Assistance Division, Office of Procurement Operations, Department of Homeland Security 245 Murray Lane, Bldg 410, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the program guidance document.

**97.081 LAW ENFORCEMENT TRAINING AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act, 2004, Public Law 108-90, 6 U.S.C 464d; Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351, 42 U.S.C 3771; Implementing Recommendations of the 9/11 Commission Act (9/11 Act), Section 513, Public Law 110-53; The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

The primary objective of the Federal Law Enforcement Training Center (FLETC) is to provide training to Federal law enforcement agencies; however, advanced and specialized training is also provided to state, local, tribal, and campus law enforcement agencies. FLETC's programs provide participants with specific investigative skills and techniques in a wide variety of topical areas to improve law enforcement agencies' enforcement capabilities. Many of FLETC's advanced and specialized training programs are exported to select sites throughout the country. Additionally, FLETC provides technical assistance to agencies upon request.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Appropriated funds for state and local law enforcement training and technical assistance are used to subsidize (either partially or wholly) the costs of state, local, campus, and tribal participants attending specialized or advanced training programs offered by FLETC; or, to provide technical assistance to those law enforcement agencies.

**Applicant Eligibility:**

Applicant Eligibility: State, local, tribal, and campus law enforcement; fire and emergency management specialists; prosecutors and attorneys; domestic violence advocates may also be eligible for participation. Applicants from private organizations must be sponsored by a law enforcement/public safety agency as described in this paragraph. To determine specific candidate eligibility and prerequisites for attendance, please refer to the contact and website information below.

**Beneficiary Eligibility:**

Trainees from State, local, tribal and campus law enforcement/public safety agencies in the United States and U.S. Territories.

**Credentials/Documentation:**

Varies by individual program. Restricted to sworn and non-sworn personnel from State, local, campus, and tribal law enforcement agencies; fire and emergency management specialists, prosecutors, and/or domestic violence advocates sponsored by a law enforcement agency or prosecutor's office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms and contact information for specialized and advanced training programs are available via the web site listed below. Technical assistance requests from State, local, campus, and tribal agencies must be submitted, in writing, on the agency's official letterhead addressed to the Deputy Assistant Director, Office of State and Local Training, Federal Law Enforcement Training Center, at the address listed below.

**Award Procedure:**

Training allocations for attendees from State, local, campus, and tribal law enforcement agencies, will be distributed based upon availability of training slots, date of application, and/or geographic disbursement. A confirmation notice with details of the training will be provided via e-mail or letter, upon the applicant's acceptance into a training class. Requests for technical assistance will be considered on a case-by-case basis; approval is contingent upon the circumstance surrounding the request, funding availability, and FLETC resources.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Registration requests for FLETC training programs are generally accepted or denied within 30 - 60 days prior to the training program start date.

**Appeals:**

Not Applicable.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Training and technical assistance is available for up to a 12-month period beginning October 1 - September 30. See the following for information on how

assistance is awarded/released: Paid directly to service providers.

**Reports:****Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

70-0509-0-1-751.

**Obligations:**

(Training) FY 08 \$1,687,300; FY 09 est \$2,950,544; FY 10 est \$3,498,056

**Range and Average of Financial Assistance:**

Assistance will vary depending upon the scope and objectives of each training program or technical assistance provided. Financial assistance may be provided to eligible student trainees, on a case-by-case basis, to wholly or partially offset the cost of attending training. The most common form of financial assistance is a subsidy to reduce, or in some cases eliminate, the attendee's tuition cost.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Each year FLETC delivers basic, advanced and specialized training to Federal law enforcement agencies at primary and field training facilities, as well as annually trains approximately 3000 State, local, tribal and campus law enforcement officers in the U.S. Many of these programs are offered at subsidized or no cost. Additionally, technical assistance such as: curriculum development/review; evaluation site visits to State and local law enforcement agencies, and law enforcement training academies, are provided upon request. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training program descriptions and related literature are available by contacting FLETC at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Law Enforcement Training Center 1131 Chapel Crossing Road  
Townhouse 393  
, Glynco, Georgia 31524 Email: stateandlocaltraining@dhs.gov Phone:  
1-800-74FLETC Fax: 912-267-2894

**Website Address:**

www.fletc.gov/osl .

**RELATED PROGRAMS:**

16.737 Gang Resistance Education and Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Advanced and specialized law enforcement training and technical assistance. FLETC delivers basic, advanced and specialized training at its headquarters facility in Glynco, Georgia, and field training facilities at other locations in the U.S. Training classes on: domestic violence, drug enforcement, first responder, domestic terrorism, intelligence analyst and awareness, driver and marine operators courses, forensic computer evidence recovery, etc. are provided to qualified student trainees. FLETC also provides technical assistance/expertise on law enforcement training and curriculum development to State, local, campus, and tribal law enforcement agencies. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Training allocations for applicants from State, local, campus, and tribal law enforcement agencies, are contingent upon available student training slots, date of application, and/or geographic disbursement. Applicants must meet all eligibility requirements pertaining to the specific training program for which they are applying. FLETC will review the circumstances and scope of technical assistance requests on a case-by case basis; approval is contingent upon available funding and FLETC resources.

## **97.082 EARTHQUAKE CONSORTIUM**

Earthquake Consortium and State Assistance

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Earthquake Hazards Reduction Act of 1977, as amended; The National Earthquake Hazards Reduction Act of 2004, as amended by P.L. 108-360, Public Law 95-124; The Homeland Security Act of 2002, Public Law 107-296.

### **OBJECTIVES:**

The purpose of this funding opportunity is to support the Central U.S. Earthquake Consortium (CUSEC), Northeast States Emergency Consortium (NESEC), Western States Seismic Policy Council (WSSPC), and the Cascadia Region Earthquake Workshop (CREW) in: delivering education and training to community and State officials; developing seismic policies, sharing information, and promoting programs to reduce earthquake-related losses; reducing the loss of life, injuries, property losses, and social and economic disruption that results from all hazards.

### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

### **USES AND USE RESTRICTIONS:**

Uses: For costs associated with providing guidance and assistance to States and local communities with earthquake mitigation activities. Restrictions: This program is non-competitive and restricted to certain specialized/qualified organizations designated by FEMA. DHS grants may only be used for the purpose set forth in the grant and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. All financial and progress reports must be current at the time of application. This funding opportunity is restricted to CUSEC, NESEC, WSSPC, and CREW.

### **Applicant Eligibility:**

Nonprofit Organizations designated by FEMA. The program is currently restricted to the following entities and organizations: Central US Earthquake Consortium, Western States Seismic Policy Council, Northeast States Emergency Consortium, and Cascadia Region Earthquake Workgroup.

### **Beneficiary Eligibility:**

States, locals, tribes, U.S. Territories, and general public.

### **Credentials/Documentation:**

Credentials: This funding opportunity program is restricted to the following non-profit organizations: Central US Earthquake Consortium (CUSEC), Western States Seismic Policy Council (WSSPC), Northeast States Emergency Consortium (NESEC), and Cascadia Region Earthquake Workgroup (CREW). Documentation: Allowable costs and administrative requirements are determined by reference to OMB Circulars A-110, A-122, and A-87. State and Local government Cooperative Agreement requirements are determined by reference to OMB Circular A-102. For complete information on credentials and documentation, please refer to program guidance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Applications must include all forms and submissions as stipulated in the program announcement / guidance. Refer to program guidance for complete information on application procedures.

### **Award Procedure:**

Applications will be reviewed by both the program office located in the FEMA Building Science Branch of the Risk Reduction Division within the Mitigation Directorate (DHS/FEMA/MT/RR/BS) and the Grants Program Directorate (GPD/OPS) for consistency with the goals and objectives stated in the guidance. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. All financial and progress reports must be current at the time of application. Refer to program guidance for complete information regarding award procedures.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

### **Appeals:**

Not Applicable.

### **Renewals:**

A new application is required for each federal fiscal year.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Notification of award approval is made through the electronic Grants Management System (GMS). A successful applicant will receive notification detailing award specifics within 60-90 days of application. Once an award has been approved, notice is sent to the authorized grantee official. The period of performance shall be a maximum of twelve (12) months from date of award. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. All extension requests must be submitted to FEMA at least sixty (60) days prior to the expiration of the grant period of performance. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. Awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: For additional information, refer to program guidance.

### **Reports:**

Grantees are required to submit semi-annual (quarterly if applicable) financial and performance reports. Semi-annual (Quarterly if applicable) Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each semi-annual or quarterly period: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. For additional information, refer to program guidance. . . .

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. For additional information regarding audit requirements, refer to program announcement/guidance.

### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and

program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 08 \$875,000; FY 09 est \$3,225,000; FY 10 est \$3,225,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: These consortia contribute to FEMA's mitigation goals of reducing deaths, injuries, damage to property and economic losses resulting from earthquakes. They work directly with public, private, professional, and research agencies and organizations that ultimately implement earthquake risk reduction programs (e.g., building code administrators, urban planners, elected officials, utility professionals, etc.). The consortium serves as a bridge between the Federal NEHRP agencies, and the organizations and individuals at the State and local level that translate policies into practice. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR, Part 361, National Earthquake Hazards Reduction Assistance to State and Local Governments and annual memorandum guidance issued by the FEMA Federal Insurance and Mitigation Directorate.

**Regional or Local Office:**

None.

**Headquarters Office:**

Larry Hultengren 500 C Street SW, Washington, District of Columbia 20472  
Phone: 202-646-3759

**Website Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: These multi-State groups have delivered education and training to community and State officials to develop seismic policies and share information to promote programs intended to reduce earthquake-related losses; and reduce the risk of loss of life, injuries, property losses and social and economic disruption that result from all hazards. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.083 STAFFING FOR ADEQUATE FIRE AND EMERGENCY RESPONSE (SAFER)**

(SAFER ACT)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2201 et seq.

**OBJECTIVES:**

To increase the number of firefighters in local communities and to help them meet industry minimum standards and attain 24/7 staffing for adequate protection against fire and fire-related hazards, and fulfill related roles associated with fire departments.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not all fire departments will be eligible to apply. Training, equipment, over-time, and administrative expenses are not eligible. Individuals seeking personal assistance are not eligible. This program is intended to assist fire

departments and recognized organizations as identified in the program guidance document and application package; and only those fire departments and organizations as specified in the program guidance, are eligible. Funds may be used to recruit, hire, and retain firefighters, but cannot supplant (replace) the applicants funds budgeted for that purpose. Recipients of funds for hiring of new firefighters must commit to maintaining their pre-existing (pre-grant) staffing level, and retaining personnel hired with grant funds, for at least one (1) year beyond the end of the four (4)-year grant period. Thus, recipients must maintain pre-existing staffing levels and retain grant funded personnel throughout the five year period of performance. Federal funds provided are limited for each position. From FY 05 through FY 08, the funds were provided on a sliding scale, recipients must initially match 10 percent of the Federal share the first year. Recipient match increases by certain percentages in the second, third, and fourth years, culminating in 100 percent of personnel costs (per position), in the fifth year and beyond. In FY 09 and FY 10, the grantees will be allowed to draw funds without complying with the preRefer to the program guidance for further information. This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Applicant Eligibility:**

This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Beneficiary Eligibility:**

Local or tribal communities serviced by the fire department including, local businesses, homeowners and property owners.

**Credentials/Documentation:**

Applicant must certify that they are an eligible applicant, i.e., a fire department, as described in the program guidance. Refer to program guidance document for specific information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed and subsequently also reviewed by

DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that receive an adverse decision or denial, can request reconsideration of the decision. Request for reconsideration must be submitted in writing, to the address contained on the program's website within 30 days of the notification of denial by the administering program office.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Any hiring grant made under this program has a match requirement. Refer to program guidance document for hiring grant match percentages in the first through and including the fifth year; recipient's match percentages increase each year. The recruitment and retention grants do not have any local match requirements. Refer to program guidance document for specific information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The hiring grants have a five-year performance period. The recruitment and retention grants are made in one-year increments up to a possible four-year period of performance. Refer to program guidance for further details. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. . Quarterly progress reports. Quarterly Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$180,500,000; FY 09 est \$200,000,000; FY 10 est \$200,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since the authorization of SAFER grants at the start of FY 2005, the hiring of over 2,300 firefighters has been supported under the first three years of grant awards. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S.C. 2201 et seq.; Fire Prevention and Control Act of 1974.

**Regional or Local Office:**

See Regional Agency Offices. SAFER grants are directed from the FEMA Headquarters Office. There are 10 regional offices in FEMA who provide monitoring and oversight of FEMA grantees.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/FEMA Techworld, Control Desk, 4th Floor Rm 427 500 C St., SW, , Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (1-866) 274-0960

**Website Address:**

<http://www.firegrantsupport.com/safer>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.084 HURRICANE KATRINA CASE MANAGEMENT INITIATIVE PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended, Title 1, Section 102; Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, including Section 701(b); Title 44 Code of Federal Regulations.

**OBJECTIVES:**

To provide case management services for displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This award is designated for a private, nonprofit organization (NPO) which meets FEMA's national programmatic criteria to act as a lead agency for 6-12 designated private nonprofit organizations, to provide leadership and management of a National Case Management Consortium (NCMC). This consortium will provide case management services to the affected population from Presidentially declared disaster areas affected by Hurricane Katrina.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Only the national-scope private nonprofit organization designated by FEMA to manage the NCMC is eligible.

**Beneficiary Eligibility:**

Displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**Credentials/Documentation:**

Unsolicited applications will not be accepted. Only the national-scope private nonprofit organization designated by FEMA to manage the NCMC is eligible. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. FEMA will accept an application from the designated Private Nonprofit Organization to fund and establish a National Case Management Consortium (NCMC) with execution of FEMA Form 20-16 and a grant proposal.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0 - This CFDA will remain open until closeout of all grants.

**Range and Average of Financial Assistance:**

66,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: New program. It is anticipated that recovery efforts for Hurricane Katrina survivors will be expedited by 1) use of case-management

trained personnel to provide long-term recovery assistance; 2) use of proper techniques to ensure that lapses in services do not occur; 3) avoidance of duplication of benefits for survivors; and 4) identification of the neediest survivors for assistance. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Coordinating Officer, DHS/FEMA 500 C Street, SW, Washington, District of Columbia 20472 Phone: (202) 646-3642. Fax: (202) 646-2730

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.085 9/11 HEROES STAMP PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The 9/11 Heroes Stamp Act of 2001, Public Law 107-67, 42 U.S.C 2218(b)(5).

**OBJECTIVES:**

Provide assistance, derived from proceeds of the Hero postal stamp sales, to the personal representatives of emergency relief personnel killed or those physically permanently disabled while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Restricted to the personal representatives of eligible claimants who were killed or claimants that were permanently physically disabled while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001. The Federal Emergency Management Agency (FEMA) will equally distribute assistance awards among all eligible claimants until the programs funds have been liquidated.

**Applicant Eligibility:**

Restricted to specialized group involved in a specific incident. Individuals eligible to submit a claim for assistance under the 9/11 Heroes Stamp Act of 2001 (the Act) are personal representatives of those emergency relief personnel who, while acting in their official capacity were killed; or those who were permanently physically disabled in the line of duty while serving at the World Trade Center, Pentagon, or Shanksville, Pennsylvania site in connection with the September 11, 2001 terrorist attacks against the United States. Refer to interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits forms for specific details pertaining to program eligibility requirements.

**Beneficiary Eligibility:**

Only personal representatives of emergency relief personnel killed, or emergency relief personnel permanently physically disabled, while serving in the line of duty in connection with the terrorist attacks against the United States on September 11, 2001, are eligible.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications submitted by facsimile or e-mail will not be accepted. Only eligible claimants may apply and only one application for each claimant may be submitted. An application must be submitted on the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form (FEMA Form 75-14, OMB No. 1660-0091). Refer to the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form for specific information about the application process and supporting documents which must accompany the application. The application may be downloaded from the following website: <http://www.usfa.fema.gov>. FEMA will review applications to determine eligibility and will furnish each applicant with a copy of the decision pertaining to their application. Application forms and supporting documents must be sent to Heroes Stamp, USFA, NETC, 16825 South Seton Avenue, Emmitsburg, MD 21727. An application is deemed filed on the date it is received by FEMA.

**Award Procedure:**

FEMA will not distribute funds until FEMA has made eligibility determinations on all applications. FEMA retains sole discretion as to the amount of assistance granted under the Act and will distribute funds equally, to the extent feasible, among eligible claimants until the fund has been liquidated. FEMA will not differentiate award amounts between eligible claimants who were killed, or those who were permanently physically disabled. Additional information concerning the award procedure can be obtained from the interim final rule, see 70 FR 43214, July 26, 2005.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Will vary with each application.

**Appeals:**

An applicant may appeal an adverse eligibility determination by FEMA. Facsimile or e-mail submissions will not be accepted; appeals and supporting documentation must be submitted by mail. There is a 15 day window for filing the notice of intent to appeal and a 60-day window for filing the actual appeal. Refer to the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form for further information. FEMA's decision concerning an award amount is final; award amounts are excluded from the appeal process and cannot be contested.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

FEMA will not distribute funds until an eligibility determination has been made on all applications. FEMA will distribute funds equally, to the extent feasible, among eligible claimants until the fund has been liquidated with no distinction in the award amount between eligible claimants who were killed or those who were permanently physically disabled. FEMA may make additional distribution to eligible claimants once all appeals have been settled. See the following for information on how assistance is awarded/released: see guidance.

**Reports:**

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: It is anticipated that the funds derived from the sales of Hero semipostal stamps will be awarded to the personal representatives of the emergency relief personnel killed or those permanently physically disabled in the line of duty, as a result of the September 11, 2001 terrorist attacks against the United States, at the World Trade Center, the Pentagon, or Shanksville, Pennsylvania. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 652 of Public Law 107-67, 115 Stat. 514; 42 U.S.C. 2218(b)(5), 5 U.S.C. 301, 6 U.S.C. 112(a)(3) & (b)(1), 44 CFR Part 153.

**Regional or Local Office:**

None.

**Headquarters Office:**

USFA, NETC 16825 South Seton Ave, Emmitsburg, Maryland 21727 Phone: 866-887-9107

**Website Address:**

[www.usfa.fema.gov](http://www.usfa.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

USFA/FEMA will review the submitted applications and supporting documentation to ensure eligibility requirements have been met. Information concerning an applicant's eligibility, application process, and selection criteria, has been partially summarized in this CFDA program description. Complete, detailed, information may be found in the interim rule and the 9/11 Heroes Stamp Act of 2001 Eligibility and Application for Benefits form.

**97.086 HOMELAND SECURITY OUTREACH, EDUCATION, AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 101 et. seq.

**OBJECTIVES:**

To provide funding for outreach, education, and technical assistance in order to raise public awareness of homeland security issues and to work with communities to help them forge partnerships across agencies and disciplines to address preparedness and response. Outreach and technical assistance may take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any

other government entity. Refer to program guidance document.

**Applicant Eligibility:**

In general, States, local governments, institutions of high education, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

"Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the funding opportunity announcement.

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: The recipient shall be paid in advance by electronic payments through the U.S. Department of Health and Human Services (HHS) Payment Management System (SMARTLINK), provided it maintains or demonstrates the willingness and ability to minimize the time elapsing between the transfer of funds and disbursement of expenditures. When these requirements are not met, the recipient will be required to use the reimbursement method of payment processing.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program

guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office 425 Murray Drive  
, Washington, District of Columbia 20528 Phone: 202-447-5689

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.087 ALTERNATIVE HOUSING PILOT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Hurricane Recovery, 2006, Public Law 109-234.

**OBJECTIVES:**

Evaluate the efficacy of non-traditional short and intermediate-term housing

alternatives for potential future use in a catastrophic disaster environment. Identify, develop and evaluate alternatives to and alternative forms of FEMA Disaster Housing to assist victims of the 2005 hurricanes in the Gulf Coast. Consider the feasibility of these options as part of the standard package of housing assistance that could be made available by Federal government agencies or State agencies for other disasters of various sizes, locations and impacts. Assure that pilot projects address the needs of a variety of populations, such as persons with disabilities and the elderly, historically underserved populations as well as renters, homeowners, single-family dwelling occupants and multi-family dwelling occupants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program restricted to the State agency designated by the governor to apply and administer funds. The Alternative Housing Pilot Program funds will be used to fund pilot housing projects in the Gulf Coast Region. Projects funded by this pilot program, should be alternatives to and alternative forms of FEMA Disaster Housing projects. Restricted to eligible States from the Gulf Coast States affected by Hurricane Katrina (Alabama, Florida, Louisiana, Mississippi, and Texas).

**Applicant Eligibility:**

Restricted to eligible States from the Gulf Coast States affected by Hurricane Katrina (Alabama, Florida, Louisiana, Mississippi, and Texas). Refer to program guidance document for additional information.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Section 102 (2) (C) of the National Environmental Policy Act of 1969, Public Law 91-190, 42 U.S.C. 4332 (2) (C), Executive Order 11514 (34 FR 4247) of March 4, 1970, 44 CFR part 9, Floodplain Management and Protection of Wetlands, 44 CFR part 10, Environmental Considerations, the National Historic Preservation Act, and Executive Order 11988 requires environmental and historic preservation impact statements to be prepared for certain projects funded under various Federal programs as a prerequisite to a grant/project award. In the event construction is anticipated as one of the project activities, an environmental and historic preservation impact statement or assessment may be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

At its discretion, FEMA may review a decision regarding a proposal that does not meet the Alternative Housing Pilot program's requirements only where there is an indication of material, technical, or procedural error that may have

influenced FEMA's decision. Refer to program guidance for further information.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See program guidance on how funds are released.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. In addition, the Department of Housing and Urban Development (HUD) will be conducting an evaluation of the alternative housing pilot projects. Applicants should respond to reporting requests from HUD and anticipate a requirement for reporting costs, production, installation, location, resident information, and community information as part of these reports. See program guidance. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$0; FY 10 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

See Regional Agency Offices. Department of Homeland Security, Federal Emergency Management Agency, Gulf Coast Recovery Office (3rd Floor), 1

Seine Court, Suite 109, New Orleans, LA 70114.

**Headquarters Office:**

U.S. Department of Homeland Security/FEMA, Grant Programs Directorate  
245 Murray Lane SW

, Washington, District of Columbia 20258 Email: askcsid@dhs.gov Phone:  
1-800-368-6498

**Website Address:**

www.fema.gov.

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in  
Presidential Declared Disaster Areas ; 97.049 Presidential Declared Disaster  
Assistance - Disaster Housing Operations for Individuals and Households

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: In prior fiscal years four funded projects. The City of Bayou  
La Batre (for the State of Alabama); the Louisiana Recovery Authority (for the  
State of LA), the Mississippi Emergency Management Agency (for the State of  
MS) and the Texas Department of Housing and Community Affairs (on behalf  
of the State of Texas). Fiscal Year 2009: No Current Data Available Fiscal Year  
2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting  
proposals.

**97.088 DISASTER ASSISTANCE PROJECTS**

(Earmarked Projects or Limited Scope Disaster Projects.

Restricted to entities designated by DHS or congressional statute.)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act, Public Law 107-296, as amended by Consolidated  
Appropriations Resolution, 2003, Public Law 108-7; Public Health  
Bioterrorism and Public Health Emergencies Act of 2002, Public Law 107-188;  
Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law  
93-288.

**OBJECTIVES:**

This category is not for unsolicited proposals. Provides funding that has been  
designated by Congressionally appropriated authorization, generally for a  
specified project, or to provide unique or limited scope funding for certain  
Disaster Assistance Projects identified by congress or a DHS program office.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified  
in DHS Appropriation Statute.

**Applicant Eligibility:**

Funds are restricted to nonfederal entities, e.g. State, local government, private,  
public, profit or nonprofit organization, Indian Tribal government or individual  
specified by DHS or U.S. Appropriation Statute.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian  
Tribal government or individual specified by U.S. Appropriation Statute.

**Credentials/Documentation:**

Credentials or other documentation may be required by the U.S. Appropriation  
Statute or other statute by project.

Funds are restricted to nonfederal entities, e.g. State, local government, private,  
public, profit or nonprofit organization, Indian Tribal government or individual  
specified by DHS or U.S. Appropriation Statute. OMB Circular No. A-87  
applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter or electronic mail  
communication. The applicant will be advised on how to apply for the funding

through this notification. Environmental impact information is not required for  
this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. An application (SF 424, budget, program or project  
narrative and assurances) or plan must be submitted that outlines the  
implementation of the project and expenditure of funds in response to the  
project identified by the U.S. Appropriation Statute.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff,  
concerns negotiated with the applicant and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

The range of approval time depends on the type of project to be funded.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding amounts and match requirements are  
specified in the program guidance document.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Mandated in the appropriation or identified in the application or plan  
submission. See the following for information on how assistance is  
awarded/released: Refer to program guidance.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB  
Circular A-102 or A-110. The frequency of the reports will be identified in the  
"Terms and Conditions" of the award. Refer to program guidance. Refer to  
program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit  
conducted for that year. Nonfederal entities that expend less than \$500,000 a  
year in Federal awards are exempt from Federal audit requirements for that  
year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate  
the performance of the grant or cooperative agreement must be retained for  
three years from the date the final financial status report is submitted to the  
DHS.

**Account Identification:**

70-0702-0-1-760.

**Obligations:**

(Project Grants) FY 08 \$4,820,000; FY 09 est \$10,696,650; FY 10 est not  
reported.

**Range and Average of Financial Assistance:**

Each "earmark" or project funding is designated by the appropriation statute or  
identified by the program office.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost  
Principles for State, Local and Indian Tribal Governments, A-102 Grants and  
Cooperative Agreements with Stat, and Local Governments, A-110, Uniform

Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Department of Homeland Security/FEMA echworld, control desk, 4th floor Room 427 500 C St., SW . The Centralized Scheduling and Information Desk (CSID). CSID is open from 8:00am to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askesid@dhs.gov Phone: (1-800) 368-6498.

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Varies by project, or the objective(s) stated within the congressional funding designation. For example, earmark funding was used to assist New York City in the recovery from the 9/11/2001 Terrorist Attack. Funding was also made available to support the delivery of pilot State-led disaster case management programs following Hurricanes Katrina and Rita (2005) as well as Hurricane Ike (2008). Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.089 REAL ID PROGRAM**

Driver's License Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act, Public Law 107-296; Real ID Act, Public Law 109-13; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

This program will provide funding for projects on integrating hardware, software, and information management systems to implement the REAL ID Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to State/U.S. Territorial agencies that are responsible for issuing driver's licenses. Funds may be used in accordance with uses defined in the program guidance document/application kit. Allowable funding categories include: planning and equipment.

**Applicant Eligibility:**

The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Real ID Grant funds.

**Beneficiary Eligibility:**

State, U.S. Territory and local governments, intrastate, interstate, small business, general public, other public institution/organizations.

**Credentials/Documentation:**

If required, will be identified in the program guidance/solicitation. The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Real ID Grant funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Unsolicited applications from entities other than those listed in the "Applicant Eligibility" above, will not be accepted. Eligible applicants must apply on-line using Grants.gov. The REAL ID Grant Program application process will require: Narrative to include a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with REAL ID funding; a proposed work plan; a budget and budget narrative addressing REAL ID project related costs and expenses. Applications submitted online must contain information and meet the requirements outlined in the Real ID solicitation and program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The program and administrative office will evaluate applications and award funds within 60 days of receipt of applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for Real ID Grants is 12 months. See the following for information on how assistance is awarded/released: Pyament based on Project need.

**Reports:**

Progress Reports are due semi-annually within 30 days after the end of the reporting periods. Reports are due: July 30 and January 30. The Final Progress Report is due 90 days after the expiration date of the award period. These reports should consist of a brief narrative discussing achievements to date, and progress towards annual goals, and any issues which may need to be addressed. Required Financial Status Reports (SF 269A) are due quarterly after the end of the reporting period. Reports are due: April 30, July 30, October 30, and January 30. The Final Financial Report is due 90 days after the expiration date of the award period. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency no later than 9 months after the end of the grantees fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least 3 years after the grant has been closed or until an audit has been conducted that does not show any questionable costs.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$50,000,000; FY 09 est \$50,000,000; FY 10 est not reported. - Budget Fiscal Year 2010 estimate not available.

**Range and Average of Financial Assistance:**

Will be identified in the solicitation/program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: It is anticipated that recipients will demonstrate viable projects related to integrating hardware, software, and information management systems to assist with the implementation of the national standards for drivers' licenses. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA Techworld, Control Desk 4th floor, Room 427, 500 C St. SW, Wasington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be identified in the solicitation/program guidance.

**97.090 LAW ENFORCEMENT OFFICER REIMBURSEMENT AGREEMENT PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

6 U.S.C. 203; 49 U.S.C. 106(m) and 114(m); 49 U.S.C. 114(g), 44901(g), 44903(e) and 44922(f).

**OBJECTIVES:**

To support deployment of local law enforcement officers at airport screening checkpoints in accordance with C.F.R. 1542.215 and 217.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Airports are partially reimbursed for the costs of local law enforcement officers deployed to airport passenger screening checkpoints. Refer to program guidance document or contact the administering program office for specific information. Restricted to state, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction. Refer to program guidance document or contact the administering program office for specific information.

**Applicant Eligibility:**

State, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction, as specified in U.S. statute or TSA program guidance document and regulations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The airport operator contacts the Federal Security Director (FSD) responsible for their airport to request a cooperative agreement. The FSD gathers information from the airport, and local law enforcement agencies, regarding passenger checkpoint staffing, flexible response time, checkpoint hours, number and size of checkpoints, current hourly rate of officers, existing resources, and other factors that could help determine the need for financial assistance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. . See Program Guidance. . Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-402.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$65,027,814; FY 09 est \$62,949,907; FY 10 est \$63,000,000

**Range and Average of Financial Assistance:**

Varies by airport category, checkpoint operation hours, geographical location, and other factors.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: More than 350 agreements have been executed with U.S. commercial airports to support deployment of local law enforcement officers to passenger screening checkpoints. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative Agreement, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Transportation Security Administration, LEO RA Program Manager, TSA-18 E-8 206S 601 S. 12th Street, Arlington, Virginia 22203 Phone: (571) 227-1532

**Website Address:**

www.tsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.091 HOMELAND SECURITY BIOWATCH PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c).

**OBJECTIVES:**

To provide funding and/or property for the conduct of operations and other related activities intended to identify, counter, or respond to biological and chemical threats.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement, program guidance, and award provisions. See program announcement.

**Applicant Eligibility:**

Generally, State and local governments or as specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application (SF-424, Budget, program or project narrative and assurances) must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified through the announcement.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval depends on the type of project to be funded.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Specified in the funding opportunity announcement. See the following for information on how assistance is awarded/released: See program announcement.

**Reports:**

Program and progress reports must be submitted and are identified in the Terms and Conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Program and progress reports must be submitted and are identified in the Terms and Conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Requirements are identified in the Terms and Conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for 3 years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 08 \$17,553,379; FY 09 est \$21,000,000; FY 10 est not reported. - 2010 estimate not available.

**Range and Average of Financial Assistance:**

Specified in the announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110,



Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

CDR Dan Yereb Early Detection Division, Office of Health Affairs,  
Department of Homeland Security, Washington, District of Columbia 20528  
Phone: (202) 254-6712.

**Website Address:**

www.dhs.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the funding opportunity announcement or program guidance.

**97.092 REPETITIVE FLOOD CLAIMS**

(RFC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Flood Insurance Act of 1968, 42 U.S.C 4001 et seq., as amended by Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, Public Law 108-264.

**OBJECTIVES:**

To assist States, Indian tribal governments, and communities to reduce or eliminate the long-term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP) that have had one or more claims for flood damages through mitigation activities that are in the best interest of the National Flood Insurance Fund (NFIF).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Indian tribal governments, and communities may apply for RFC project grants for activities that reduce or eliminate the long - term risk of flood damage to structures, insured under the National Flood Insurance Program (NFIP), that have had one or more claims for flood damages. This may include the acquisition of insured structures for the purpose of converting flood-prone land back to open space use; elevation of existing structures; dry floodproofing; and minor localized flood reduction projects.

**Applicant Eligibility:**

State emergency management agencies or a similar office (i.e., the office that has primary emergency management or floodplain management responsibility) of the State; the District of Columbia; the U.S. Virgin Islands; the Commonwealth of Puerto Rico; American Samoa; the Commonwealth of the Northern Mariana Islands; and Federally - recognized Indian tribal governments. Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided on the SRL program guidance.

**Beneficiary Eligibility:**

States, communities, and land/property owners.

**Credentials/Documentation:**

Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided in the Severe Repetitive Loss (SRL) program guidance.

Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be

required to follow the requirements of OMB Circulars No. A-110 and No. A-21.

Federally-recognized Indian tribal governments and local governments that are sub-applicants must be participating in the NFIP. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: DHS FEMA may contribute up to 100 percent of the eligible costs of activities that target eligible properties.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular

3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 08 \$10,000,000; FY 09 est \$10,000,000; FY 10 est \$10,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: In prior fiscal years the program has funded more than \$19 million in mitigation projects. Fiscal Year 2009: No Current Data Available  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Hazard Mitigation Assistance Unified grant program guidance, which is available to the public on the FEMA internet site:

<http://www.fema.gov/government/grant/rfc/index.shtm>

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

<http://www.fema.gov/government/mitigation.shtm>.

**Headquarters Office:**

Lloyd Hake, 1800 South Bell Street, Arlington, Virginia 20595-3015 Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: (202) 646-3428.

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Acquisition and relocation of structures from hazard-prone areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.093 FIRE SERVICE HAZARDOUS MATERIALS PREPAREDNESS AND RESPONSE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Executive Order 12127; The Federal Fire Prevention and Control Act of 1974; U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

Provide information to the fire and emergency services community, emergency managers, and other local government officials concerning issues related to the planning, mitigation, prevention, and response to hazardous materials incidents which includes acts of terrorism.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to recipient designated by Congressional Statute or DHS, and limited in scope to the project description for the purpose of information sharing related to Hazardous Materials and acts of terrorism. Refer to project description or administering program office for specific information. Unsolicited applications for this program will not be accepted. Restricted to recipient designated by Congressional statute or DHS, and limited in scope to the project description

for the purpose of information sharing related to Hazardous Materials and acts of terrorism. Refer to project description or administering program office for specific information. Unsolicited applications for this program will not be accepted.

**Applicant Eligibility:**

Designated Private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for grant extensions must be adequately justified, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration program office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: see program guidance.

**Reports:**

see program guidance. . Quarterly progress reports. quarterly Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$50,000; FY 09 est \$50,000; FY 10 est \$50,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A clearinghouse of information is maintained by the designated non-profit organization regarding hazardous materials (HAZMAT)/terrorism preparedness and response issues. This information is provided to local first responders to support and assist in planning, training, exercises, and sustaining emergency response capabilities. A Homeland Protection & Security Weekly publication, detailing HAZMAT and Terrorism-related incidents and information is distributed to fire/emergency services, local officials, Federal and state agencies, and the public. Support is also provided to defray participant's attendance costs to Hazardous Materials Conferences. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

US Fire Administration 245 Murray Lane, Washington, District of Columbia 20523 Phone: 800-238-3358

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.094 PREVENTION ADVOCACY RESOURCES AND DATA EXCHANGE PROGRAM**

(PARADE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498; Federal Emergency Management Agency, Executive Order 12127; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To assist State and local fire marshals to implement prevention programs and conduct other networking activities with their counterparts. Provide financial assistance to the Prevention Advocacy Resources and Data Exchange

(PARADE) regional networks to support exchange and sharing of fire prevention/protection related materials, risk analysis, hazard reduction, best practices, trend analysis, and related information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to the 10 PARADE Regions to support the exchange and sharing of fire prevention/protection materials and information. Refer to program guidance document or administering program office for specific information.

**Applicant Eligibility:**

A State or metropolitan fire department fire marshal or appointed International Fire Marshal's Association (IFMA) representative in each of the regions served by the program.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for extension to the grant award must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration Program Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of the each quarter; January 30, April 30, July 30, October 30. Final financial and performance reports are due 90 days after the expiration or termination of the grant award. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$30,000; FY 09 est \$30,000; FY 10 est \$30,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: Anticipate 10 grants will be issued. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program, Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: 800-238-3358

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. Only a single proposal from each of the 10 regions will be accepted for review.

**97.095 SAFE KIDS WORLDWIDE**

Safe Kids Worldwide

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Emergency Management Agency, Executive Order 12127; U.S.A. Patriot Act of 2001, Public Law 107-56; the Federal Fire Prevention and Control Act of 1974, Public Law 100-476; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

Provide financial assistance to reduce fire deaths and injuries among children under the age 14 by educating them in fire safety awareness, fire safety techniques, and providing fire safety equipment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to support local coalitions and their high-risk communities and to develop fire and burn education and prevention materials targeting high-risk populations.

**Applicant Eligibility:**

Qualified nonprofit organization designated by DHS, statutes, and regulations. Unsolicited applications will not be accepted.

**Beneficiary Eligibility:**

Individual/family; minority group.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Salaries) FY 08 \$200,000; FY 09 est \$200,000; FY 10 est \$200,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Annual leadership conference is held for participating coalitions to showcase/demonstrate skill building tools relating to the fire prevention/awareness program. Web site, media guides, and related fire safety materials are continuously refined and updated. Through partnership with local coalitions and fire departments, smoke alarms are provided to high-risk populations. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program, Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: 866-274-0960

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.096 COMMERCIAL EQUIPMENT DIRECT ASSISTANCE PROGRAM (CEDAP)**

(CEDAP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2009, House Report 110-862.

**OBJECTIVES:**

To provide direct assistance to State, Regional, local and tribal jurisdictions to improve their ability to prevent, protect against, respond to, and recover from various types of emergency situations and major events, including threats or acts of terrorism.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Restricted to public and non-profit emergency response agencies in State, Local, tribal, and U.S. Territory possessions in smaller rural communities and jurisdictions that have not received technology funding through the Urban Area Security Initiative (UASI), or Assistance to Firefighter Grants (AFG) after October 1, 2005. Awardees that have received grant assistance from FEMA under FEMA's Interoperable Communications Equipment (ICE) program are not eligible for interoperable communications equipment under CEDAP. Refer to program guidance document.

**Applicant Eligibility:**

Law enforcement agencies, fire, and other emergency responders who demonstrate the equipment will be used to improve their ability and capacity to respond to a major critical incident or work with other first responders. Awardees must not have received technology funding under the Urban Areas Security Initiative, or the Assistance to Firefighters Grants program since October 1, 2005. Awardees that have received grant assistance from FEMA under FEMA's Interoperable Communications Equipment (ICE) program are not eligible for interoperable communications equipment under CEDAP.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Due to limited funding in FY 2009, there will not be an open application period. Qualified FY 2008 applicants that did not receive an award will be re-evaluated for selection in FY 2009.

**Award Procedure:**

Due to limited funding in FY 2009, there will not be an open application period. Qualified FY 2008 applicants that did not receive an award will be re-evaluated for selection in FY 2009.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
Based on project need.

**Reports:**

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-754.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 08 \$25,000,000; FY 09 est \$8,000,000; FY 10 est not reported. - est. not available. The CEDAP program is congressionally directed and funded from year to year.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Since its inception in FY 05, and including the FY07 awards, the Department of Homeland Security has awarded over \$104 million in equipment and training to law enforcement and fire departments through CEDAP. The program is highly competitive. In FY 08, over 3,500 organizations requested roughly \$53 million. Of those requests, only 1,045 awards were made to allocation the \$16.3 million of the available funding. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance and the CEDAP program at [www.rkb.mipt.org](http://www.rkb.mipt.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office Department of Homeland Security/FEMA, Grant Programs Directorate

245 Murray Lane, Bldg. #410

The Centralized Scheduling and Information Desk (CSID)

CSID is open from 8:00 am to 7:00 p.m., Eastern Standard Time, Monday

through Friday., Washington, District of Columbia 20523 Email:

[askcsid@dhs.gov](mailto:askcsid@dhs.gov) Phone: 1-800-368-6498

**Website Address:**

[www.rkb.mipt.org](http://www.rkb.mipt.org).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting

proposals.

**97.097 TRAINING RESOURCE AND DATA EXCHANGE**

(TRADE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498; U.S.A. Patriot Act of 2001, Public Law 107-56; Executive Order 12127.

**OBJECTIVES:**

Support the national exchange and sharing of fire/emergency service training related materials and information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are to be used within the TRADE regions to support the exchange and sharing of training related materials and information. Refer to program guidance document or administering program office for specific information. Eligibility is restricted to TRADE network participants consisting of the directors of the 50 State fire service training systems and senior executive training officers from the Nation's largest fire departments.

**Applicant Eligibility:**

Specialized group; TRADE network participants consisting of the directors of the 50 State fire service training systems and senior executive training officers from the Nation's largest fire departments.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

One grant will be issued to each of the TRADE Regions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

See program guidance. . Quarterly progress reports. Quarterly Financial Status

Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$93,000; FY 09 est \$93,000; FY 10 est \$93,000

**Range and Average of Financial Assistance:**

\$5,340 to \$17,255 per Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Various regional training classes and seminars have been sponsored for fire/emergency service personnel within each of the TRADE regions. This program supports a national conference as well as development of regional training catalogues and materials, and non-copyrighted fire-service-related information sharing activities which includes the virtual TRADing Post and TRADENET system. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Fund Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMC Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate , Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: 866-274-0960

**Website Address:**

<http://www.usfa.fema.gov/training/nfa/trade/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in program guidance.

**97.098 DISASTER DONATIONS MANAGEMENT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Homeland Security Act of 2002, 6 U.S.C 111 et seq., as amended by Federal Grant and Cooperative Act, 41 U.S.C 501 et seq.; Federal Financial Assistance Management Improvement Act of 1999, Public Law 106-107, 31 U.S.C 6101; Federal Program Information Act, 31 U.S.C 6101-6104.

**OBJECTIVES:**

To distribute technology solutions to State government and Non-profit Organizations throughout the country prior, to a major event, through the

Aidmatrix Foundation/FEMA. This will allow end-users to incorporate technology solutions into their planning, increasing their capacity to respond quickly and effectively once a disaster occurs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The program will enable government and voluntary agencies to create visibility and establish logistical tracking resources/source locations for donated items, services, and volunteers; and facilitate a match between those resources and needed assistance. Program is restricted to government and voluntary/nonprofit agencies described in the announcement/program guidance document. Refer to announcement or program guidance for further information. The program will enable government and voluntary agencies to create visibility and establish logistical tracking resources/source locations for donated items, services, and volunteers; and facilitate a match between those resources and needed assistance. Program is restricted to government and voluntary/nonprofit agencies described in the announcement/program guidance document. Refer to announcement or program guidance for further information.

**Applicant Eligibility:**

Refer to announcement or program guidance for further information.

**Beneficiary Eligibility:**

State and local governments and Public Nonprofit Institution/Organization, Quasi-public Nonprofit Organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Unsolicited applications will not be accepted. Refer to announcement and/or program guidance for further information.

**Award Procedure:**

Application is reviewed by FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

Refer to program guidance.

**Renewals:**

Refer to announcement or program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for the total dollar amount, but the release of the funds is on an as needed basis. The initial performance period shall not exceed 12 months. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for further information. See the following for information on how assistance is awarded/released: Payment is based on Project need.

**Reports:**

See program guidance. . Quarterly progress reports. Quarterly financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records include financial and programmatic records, supporting documents, statistical records, and other records of recipient which are required to be maintained by 44 CFR Part 13.42, program regulations or the grant agreement. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

70-0700-0-1-453.

**Obligations:**

(Cooperative Agreements) FY 08 \$375,000; FY 09 est \$515,425; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive, SW., Bldg # 410 , Washington, District of Columbia 20528 Phone: 202-212-1074

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.099 RESIDENTIAL FIRE SAFETY & FIRE SPRINKLER INITIATIVES**

Residential Fire Safety & Fire Sprinkler Initiatives

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974; Federal Emergency Management Agency, Executive Order 12127; U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To support residential fire safety initiatives such as: promoting public awareness of fire protection systems e.g., smoke alarms, and automatic sprinklers; supporting consumer awareness of residential fire sprinkler systems through provision of educational materials, public service announcement (PSA) kits, and newsletters/media releases to the public, home building, and fire

protection industry.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute. Refer to program guidance or announcement for further information. See Program Guidance.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Forms 424 (Application for Federal Assistance) and 424A (Budget Information: Non-Construction Programs) must be completed and returned by the recipient. In addition, the following forms must be completed: SF1199A (Direct Deposit Sign-up Form); FEMA Form 20-16 (Summary Sheet for Assurances and Certifications); FEMA Form 20-16A and 16A (Back) (Assurances for Non- Construction Program); FEMA Form 20-16C (Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters); and Drug-Free Workplace Requirements, and SFLLL (Disclosure of Lobbying Activities).

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: reimbursement and/or draw down.

**Reports:**

See program guidance. See program guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final



financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$170,000; FY 09 est \$130,000; FY 10 est \$170,000

**Range and Average of Financial Assistance:**

See program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: Information pertaining to residential fire sprinkler systems has been developed and showcased at various venues and homebuilding/contracting industry association events. newsletters, web site development and outreach material for national, regional, and local homebuilder/fire protection industry associations, and fire services have been developed. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program  
Tech World Bldg - South Tower 5th Floor  
500 C Street, SW, Washington, District of Columbia 20472 Email:  
firegrants@dhs.gov Phone: 866-274-0960

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in the program guidance.

**97.100 AIRPORT CHECKED BAGGAGE SCREENING PROGRAM**

(Airport LOI Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Aviation and Transportation Security Act of 2001 (Public Law 107-71); Annual Appropriation and Authorization Acts.

**OBJECTIVES:**

The TSA Electronic Baggage Screening Program (EBSP) is responsible for the deployment and installation of Explosive Detection Systems (EDS) at airports across the nation. EBSP provides support to U.S. commercial airports in implementing and maintaining security compliance requirements and capabilities for Checked Baggage Inspection Screening systems at airports as mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71) to provide 100% screening of checked baggage.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

TSA funding is restricted to those airport facility and baggage handling system modifications/reconfigurations required for the installation of TSA EDS equipment to screen checked baggage. TSA also provides, installs and tests the EDS equipment in addition to providing project funding towards required airport facility and baggage handling modifications.

Wage Rate Requirements; all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to this award shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of Chapter 31 of title 40, United States Code.

**Applicant Eligibility:**

Specified in U.S. Appropriation Statute or program guidance document; state, local, or other public entities/agencies responsible for commercial airport operations within their jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Airports interested in obtaining funding to support implementation of a Checked Baggage Inspection System (CBIS) are to submit an application via their local TSA Federal Security Director to the Transportation Security Administration no later than March 3, 2009, with a complete set of associated documents supporting their application no later than March 18, 2009. Submission of the application by the airport requires the following supporting documents: Rough Order of Magnitude and O&M Cost Estimate Detailed Program Requirements Document High Level Flow based modeling assumptions and results Schematic Design Plans Preliminary Alternative Analysis Report Preferred Alternative Analysis Report Preliminary Milestone Project Schedule Phase and Constructability Technical Memoranda (as defined in the Planning Guidelines and Design Standards for Checked Baggage Inspection Systems). The documents listed above are identified in the TSA Planning Guidelines and Design Standards (PGDS) at [http://www.tsa.gov/research/checked\\_baggage\\_material.shtm](http://www.tsa.gov/research/checked_baggage_material.shtm)

**Award Procedure:**

Airport applications are reviewed and prioritized by the TSA to mitigate the risk in the aviation system. Awards are in the form of an Other Transaction

Agreement (OTA) executed between the TSA and the Airport. TSA funding and the terms and conditions of the OTA are negotiated between the TSA and the Airport.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Application submitted by airports for FY 10 funding considerations are due no later than March 3, 2009. Airports are to submit their associated documents supporting the application no later than March 18, 2009. Range of Approval/Disapproval time varies and is dependent upon Congressional approval of the annual TSA SPend Plan for airport baggage screening project.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: TSA utilizes a cost sharing scenario based on the cost share ratio defined in the annual appropriation legislation. TSA provides funding for a specific share of the project costs and the airport contributes the remaining share of the funding. The cost share ratio varies depending on the annual appropriation legislation. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The funding provided by TSA is obligated in the current TSA fiscal year and is available for expenditure by the airport within five years. See the following for information on how assistance is awarded/released: Based on Project Need.

**Reports:**

The Airport is also required to submit monthly milestone project reports, small business/disadvantaged business enterprise reports, construction schedule and associated schedule of values. The recipient airport must agree to separately account and identify the expenditures for each TSA funded project. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The airport is subject to the Office of Management Budget, A-133 Audits of States, Local Governments, and Nonprofit Organizations, reporting requirement.

The Federal Government, including the Comptroller General of the United States, has the right to examine or audit relevant financial records for a period not to exceed three (3) years after expiration of the terms of this Agreement. The airport and its contractors must maintain an established accounting system that complies with generally accepted accounting principles. The TSA Contracting Officer or the authorized representative of the TSA Contracting Officer shall have the right to examine and audit those records at any time, or from time to time. The Airport will be required to submit cost or pricing data and supporting information in connection with any invoice relating to this Agreement if requested by the TSA Contracting Officer.

**Records:**

Records shall be retained for a period of three years from the day the recipient submits its final invoice. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is alter. Records include financial and program/progress reports, support documents, statistical records and other documents that support

the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-402.

**Obligations:**

(Direct Payments for Specified Use) FY 08 \$500,000,000; FY 09 est \$82,000,000; FY 10 est not reported. - FY 10 Obligations: Dependent upon FY 10 Appropriation and Authorization Acts.

**Range and Average of Financial Assistance:**

Will vary by airport project and airport category and hub size. Per congressional legislation, funding is allocated between a wide variety of airports. The financial assistance provided by TSA is not a grant. TSA utilizes Other Transaction Agreements as the method of providing funding for airport baggage screening projects.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: A number of baggage screening airport projects have been accomplished at U.S. commercial airports to expand or enhance screening of airline checked baggage. Airport projects entail modification of baggage conveyor components and reconfiguration of terminal areas to facilitate the installation of TSA EDS equipment to screen checked baggage. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. TSA Planning Guidelines and Design Standards available at <http://www.tsa.gov/research/asac/index.shtm>. TSA White Paper on Checked Baggage Reimbursable and Non-reimbursable costs .

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Transportation Security Administration, Office of Security Technology (TSA-16), 601 South 12 Street, Arlington, Virginia 20598-601 Phone: (571) 227-1587

**Website Address:**

Not applicable.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: TSA has supplied over sixty airports with full optimal systems. Each airport baggage screening system is configured differently according to the uniqueness of the airport terminal operation. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TSA evaluates the airport projects against a model incorporating risk and the readiness of the airport to start the project. TSA reviews predicted airport growth rates, numbers of bags and total project costs to include the TSA investment costs associated with its EDS equipment, installing, integrating and testing the EDS in the airport project and the and associated airport facility cost modifications.

**97.103 DEGREES AT A DISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Executive Order 12127; The Federal Fire Prevention and Control Act of 1974; Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

To support curriculum development, regional meeting support, program marketing, course material printing and publications and initiation of institutional agreements with local two-year college degree programs and colleges/universities, designated by the National Fire Academy, to participate in the Degrees at a Distance Program (DDP). To provide an alternative means for

fire service personnel to earn a bachelor's degree or to pursue college-level learning in a fire related course concentration without the requirement of having to attend on-campus classes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to colleges/universities designated by the National Fire Academy, to support curriculum development, regional meeting support, program marketing, course material printing and publications; and initiation of institutional agreements with local two-year colleges.

**Applicant Eligibility:**

Only colleges/universities designated by U. S. Fire Administration (USFA) are eligible, unsolicited applications will not be accepted Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the administering program office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

. . Quarterly progress reports. Quarterly Financial Status Reports. .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$70,000; FY 09 est \$70,000; FY 10 est \$70,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: The Degrees at a Distance Program continues to enroll new students and produce new graduates with bachelor's degrees in fire administration and fire prevention technology. The 13-course upper-level independent study curriculum was converted from a printed format to a web-based format so that future courses will be available via the internet. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

U.S. Fire Administration 16825 South Seton Ave, Emmitsburg, Maryland 21727 Phone: 800-238-3358

**Website Address:**

www.usfa.dhs.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.104 HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM**

(HS-STEM Career Development Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 182, 188.

**OBJECTIVES:**

To provide funding for the establishment of scientific career development program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support is provided to colleges and universities who, in turn, provide scholarships and fellowships. Refer to the program guidance document for

additional information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Other Public Institution/Organizations; Other Private Institution/Organizations; (Colleges and Universities).

**Credentials/Documentation:**

Refer to program guidance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewals or extensions to awards are at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit annual financial and performance reports. Annual Progress Reports must include the progress of each sub-grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award. . See Guidance. Financial Status Reports. see program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$3,000,000; FY 09 est \$3,500,000; FY 10 est not reported. - FY10 Estimate not available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization., A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Grants and Financial Assistance Division, Office of Procurement Operations, Office of the Chief Procurement Officer 245 Murray Lane, SW., Building 410,, Washington, District of Columbia 20523  
Phone: (202) 447-5589

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.062 Scholars and Fellows, and Educational Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.105 FIREFIGHTER/EMERGENCY MEDICAL SERVICES (EMS) OUTREACH, TECHNOLOGY TRANSFER, INFORMATION DISSEMINATION, AND TECHNICAL ASSISTANCE**

Firefighter Health and Safety

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974; Homeland Security Act of 2002,, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Executive Order 12127.

**OBJECTIVES:**

To support firefighter/emergency medical service (EMS)health and safety issues, technology transfer, technical assistance, and information dissemination/outreach efforts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support educational outreach, technology transfer, information dissemination, and technical assistance to the fire service/EMS concerning emergency/first responder issues including communications operability and interoperability, and to enhance operational safety.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Specialized group; General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See program guidance.

**Reports:**

see program guidance. . . .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other

documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 08 \$150,000; FY 09 est \$46,000; FY 10 est \$75,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Procedures for Funds Transfers, 31 CFR 205; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: 866-274-0960

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.106 SECURING THE CITIES**

Pilot Project - Securing the cities Initiative

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended by SAFE Port Act, Title V, Section 501, Public Law 109-347.

**OBJECTIVES:**

The overall goal of the Securing the Cities (STC) initiative is to prevent a Radiological/Nuclear (RN) attack on high risk urban areas by enhancing regional capabilities to detect, identify, and interdict illicit radioactive materials in and around urban areas. One aspect of addressing this goal is providing assistance to State and local jurisdictions in and around major urban areas that will enable these entities to build capabilities by: Leveraging current technologies and deploying them regionally in a coordinated manner; Designing, acquiring, and deploying the components of an operationally viable regional architecture for radiological/nuclear detection, focused on State and local jurisdictions; Developing and implementing a common, multi-agency Concept of Operations (CONOPS) for sharing sensor data and resolving hits within the sensor architecture; Training and exercising by the regional agencies to execute this CONOPS to a high level of proficiency.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions, if any, will be identified in the announcement, program guidance and award provisions. See Program Guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance, or as specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, Interstate or intrastate governmental organizations, private, or public organizations, nonprofit organizations, and Indian tribal governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. The recipient is required to submit a quarterly Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0862-0-1-999.

**Obligations:**

(Salaries) FY 08 \$29,500,000; FY 09 est \$12,000,000; FY 10 est not reported. - FY 2010 Est not available.

**Range and Average of Financial Assistance:**

See Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: 2007 one award for a pilot implementation of a regional preventive radiological and nuclear detection architecture was funded and ongoing in the NYC metropolitan area; anticipate one award in 2008. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 44 CFR 13. OMB Circular A-87, Cost Principles for State, Local, and Tribal Governments, Relocated to 2 CFR Part 225; OMB Circular A-110, relocated to 2 CFR Part 215. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. OMB Circular A-122, relocated to 2 CFR Part 230. Cost Principles for NonProfit Organizations. OMB Circular A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew Barton 245 Murray Lane, Building 410  
Mail stop 7100, Washington, District of Columbia 20528 Email:  
matthew.barton@dhs.gov Phone: 202-254-7412

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Pilot implementation of a regional preventive radiological and nuclear detection architecture is funded and ongoing in the NYC metropolitan area. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.107 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Department of Homeland Security Appropriations Act of 2007, Public Law 109-295; Homeland Security Presidential Directive HSPD-5.

**OBJECTIVES:**

To support the development, integration, and deployment of incident management systems. This includes operational, technical and programmatic standards in support of nationwide implementation of the NIMS model; establish a unified approach to incident management as well as standard command and management structures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding will support implementation of the National Incident Management System (NIMS) which includes incident management standards, related projects, and program support. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local, Public Nonprofit Institution/Organization, Federal Recognized Indian Tribal Government, U.S. Territory/Possession, Private Organization, Other Public Institution/Organization.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed and approved for award by DHS program and administrative staff in accordance with program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April

30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 31, April 30, July 31, and Oct. 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 08 \$12,648,000; FY 09 est \$10,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available  
Fiscal Year 2009: Funding has been provided to State, local emergency management entities, private sector, educational institutions and non-governmental organization in support for the nationwide implementation of the National Incident Management System.  
Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Security, Federal Emergency Management Agency, C/O 245 Murray Lane, Bldg # 410, Washington, District of Columbia 20523 Email: FEMA-NIMS@dhs.gov Phone: 1-800-621-FEMA.

**Website Address:**

<http://www.fema.gov/emergency/nims/index.shtm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: As specified within the cooperative agreements. Please see specific cooperative agreements for further guidance. Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance.

**97.108 HOMELAND SECURITY, RESEARCH, TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES**

Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c); Implementing Recommendation of the 9/11 Commission Act of 2007, Section 1901, Public Law 110-53.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. See Program Guidance.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute, including U. S. and international institutions of higher education and educational laboratories.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: "Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 08 \$1,207,801; FY 09 est not reported.; FY 10 est not reported. - FY 2009 Estimate not available.

**Range and Average of Financial Assistance:**

See Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos. A-21, Cost Principles for Educational Institutions, A-87, Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Melanie Bales 245 Murray Lane, S.W., Washington, District of Columbia 20548 Email: melanie.bales@dhs.gov Phone: (202) 447-5522

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.



**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.109 DISASTER HOUSING ASSISTANCE GRANT****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act); Sections 408(b)(1); and 306(a), Title 42, Section 5149, 5189; Economy Act, Title 31, Section 1535; Homeland Security Act, Title 6, Section 112, Public Law 107-296, 6 U.S.C 102.

**OBJECTIVES:**

To provide resources for rental assistance, security and utility deposits, and case management services for families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike. The Disaster Housing Assistance Program ( DHAP) would be implemented in the form of a rental assistance program that would continue providing housing subsidies for families determined to be eligible for the program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Housing and Urban Development's (HUD) Public Housing Agencies (PHAs) will use the assistance to provide eligible families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike with monthly rent subsidies. Families are either receiving or are eligible to receive rental assistance administered by FEMA. PHAs will administer the DHAP to families that have been determined eligible by FEMA through HUD's web-based Disaster Information System. The assistance must be used by PHAs to provide rental assistance to families determined eligible by FEMA. In addition to rental assistance, grant funds shall be used to provide case management services to eligible families and to pay for costs associated with PHA administration of the program.

**Applicant Eligibility:**

Individuals and families determined eligible for FEMA housing assistance. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

All Public Housing Agencies with jurisdiction over areas where eligible families reside that administer the Housing Choice Voucher Program are invited to apply provided they have the administrative capacity to assume responsibility for the DHAP.

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

none.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Both quarterly reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 08 \$365,000,000; FY 09 est not reported.; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fair Housing Act, Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II of the Americans with Disabilities Act; 24 CFR 982.352; 982.401; 982.555 ; PIH Notice 2007-26. Full text may be obtained at the following website:  
<http://www.hud.gov/offices/pih/publications/hurricane.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Federal Emergency Management Agency-Individual Assistance 500 C St S.W., Washington DC 20472.

**Headquarters Office:**

Department of Homeland Security, FEMA 245 Murray Lane, Building 410, Washington, District of Columbia 20472 Phone: (202) 646-3943.

**Website Address:**

www.fema.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.110 SEVERE LOSS REPETITIVE PROGRAM**

(SRL)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Flood Insurance Act of 1968, as amended by the Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, Public Law 108-264.

**OBJECTIVES:**

To assist States and local governments in supporting actions that reduce or eliminate the long-term risk of flood damage to residential properties insured under the National Flood Insurance Program (NFIP) that meet the definition of severe repetitive loss property, and to reduce losses to the National Flood Insurance Fund (NFIF) by funding projects that result in the greatest savings to the NFIF in the shortest time period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, local and Federally - recognized Indian tribal governments may apply for SRL funding to reduce or eliminate the long-term risk of flood damage to residential properties insured under the NFIP that meet severe repetitive loss property eligibility criteria. Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher (for the SRL program Mitigation Reconstruction is only permitted when traditional elevation cannot be implemented); minor physical localized flood control projects; and dry-flood proofing (historic properties only).

**Applicant Eligibility:**

State emergency management agencies or a similar office (i.e., the office that has primary emergency management or floodplain management responsibility) of the State; District of Columbia; U.S. Virgin Islands; the Commonwealth of Puerto Rico; American Samoa; Commonwealth of the Northern Mariana Islands; Guam; and Federally-recognized Indian tribal governments. Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided in the SRL program guidance.

**Beneficiary Eligibility:**

States, Territories, local governments, Federally-recognized Indian tribal governments, and homeowners.

**Credentials/Documentation:**

Specific information on sub-applicant eligibility, and application procedures for Federally-recognized Indian tribal governments, is provided in the Severe Repetitive Loss (SRL) program guidance.

Federally-recognized Indian tribal governments and local governments that are sub-applicants must be participating in the NFIP. Properties included in project sub-applications must meet the SRL property definition. SRL properties are

residential properties that are covered under an NFIP flood insurance policy and: (a) that have at least 4 NFIP claim payments (including building and contents) over \$5,000 each, and the cumulative amount of such claims payments exceeds \$20,000; or (b) for which at least two separate claims payments (building payments only) have been made with the cumulative amount of the building portion of such claims exceeding the market value of the building. For both scenarios (a) and (b), at least two of the referenced claims must have occurred within any ten-year period, and must be greater than 10 days apart. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

DHS FEMA will identify the location of severe repetitive loss properties and furnish that information to the relevant States, Territories, local governments, and Federally-recognized Indian tribal governments. FEMA will also notify owners of severe repetitive loss properties that may be eligible to receive SRL or other FEMA mitigation assistance; that their NFIP insurance premium rates may increase upon declining offers of SRL Program mitigation assistance only (such insurance consequences do not apply to other FEMA mitigation assistance programs); and, that they have the right to appeal such premium rate increases. Further, States, Territories, local governments, and Federally-recognized Indian tribal governments will, to the best extent practicable, consult with SRL property owners to select the most appropriate mitigation activity, prior to submitting SRL grant applications. To be eligible for a SRL grant, Applicants must have a FEMA approved State Mitigation Plan (Standard or Enhanced) or Tribal Mitigation Plan in compliance with 44 CFR Part 201 by the application deadline. In addition, Sub-applicants must have a FEMA approved local mitigation plan in accordance with 44 CFR Part 201, by the application deadline that, at a minimum, addresses flood hazards to be eligible to receive project grant funding under the SRL program. Establishment of this program through regulation is categorically excluded from the requirement of the preparation of an environmental assessment or an environmental impact statement in accordance with 44 CFR 10.8(d)(2)(ii). This NEPA category excludes the preparation, revision, and adoption of regulations where the rule regulates to actions that qualify for other NEPA categorical exclusions in 44 CFR 10.8(d)(2). This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the announcement or application /program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Property owners who refuse an SRL mitigation offer may become subject to increases of their NFIP insurance premium rates, and have the right to appeal such rate increases. Refer to SRL program guidance or the administering program office for further information.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** DHS FEMA will allocate the available SRL funds to states each fiscal year based upon the percentage of the total number of severe repetitive loss properties located within the State. Ten percent of the total funds made available in any fiscal year will be available to States, Territories, and Federally-recognized Indian tribal governments that have at least one SRL property and that receive little or no allocation. NFIP severe repetitive loss property records are maintained and updated monthly by the FEMA Bureau and Statistical Agent. NFIP severe repetitive loss property records are protected by the Privacy Act, and are only made available to the States, Territories, local governments, and Indian tribal governments eligible to apply for SRL grants. DHS FEMA may contribute up to 75 percent of the eligible costs of activities that target SRL properties. The SRL program offers up to 90 percent Federal cost share funding for projects approved in States, Territories, and Federally-recognized Indian Tribal Plans that include a strategy for mitigating existing and future SRL properties. For further information refer to DHS FEMA SRL and Flood Mitigation Assistance (FMA) program regulations at 44 CFR Part 79, the SRL program guidance, or contact the administering program office.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 08 \$35,000,000; FY 09 est \$35,000,000; FY 10 est not reported. - FY10 est 35000000.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The SRL and FMA Program Regulations at 44 CFR Part 79; the DHS FEMA

Real Property Acquisition Regulations at 44 CFR Part 80, and the SRL program guidance. Other guidelines include OMB Circular No. A-102, Grants and Cooperative Agreements with State and local Governments, and OMB Circular No. A-87, Cost Principles for State, Local and Indian Tribal Governments. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Local Governments and Federally-recognized Indian Tribal (if applying through the State) sub-applicants should consult the office or officials designated as the single point of contact in his or her state for more information on the process that the State requires to be followed in applying for assistance. The Hazard Mitigation Assistance Unified grant program guidance, which is available to the public on the FEMA Internet site: <http://www.fema.gov/government/grant/srl/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of addresses of the DHS FEMA Regional Offices.

**Headquarters Office:**

Lloyd Hake 1800 South Bell Street , Arlington, Virginia 20595-3015 Email: [lloyd.hake@dhs.gov](mailto:lloyd.hake@dhs.gov) Phone: (202)646-3428

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>.

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2008: Acquisition and relocation of structures from hazard-prone areas. Fiscal Year 2009: No Current Data Available Fiscal Year 2010: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.111 REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPGP)**

(RCPGP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; Consolidated Appropriations Act of 2008, Public Law 110-161; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

The goal of RCPGP is to support an integrated planning system that provides for regional all-hazard planning for catastrophic events and the development of necessary plans, protocols, and procedures to manage a catastrophic event. Objectives include, creating regional planning processes and planning communities through the establishment of a Catastrophic Planning Working Group; Identifying and assessing priority areas of concern using both capabilities-based and scenario-based planning models; Developing enhanced regional plans and addressing shortcomings in jurisdiction plans to support both the management of a catastrophic incident and to enable enduring government; and linking planning efforts to resource allocations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The RCPGP is comprised of funding for fiscal years 2007, 2008, and 2009. Funds will be allocated to Tier I Urban Areas and designated Tier II Urban Areas are eligible for funding under the RCPGP.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. The program will require a soft match of non-Federal funds totaling 25 per cent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Allocation and draw down of funds.

**Reports:**

Quarterly reports. Quarterly reports. Quarterly reports. Quarterly reports. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and

program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 08 \$35,000,000; FY 09 est \$35,000,000; FY 10 est not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: It is anticipated that 10 applications will be received and 10 awards will be granted in the current fiscal year. Awards include funding from fiscal years 2007, 2008 and 2009. It is expected that the program will result in fixing shortcomings in existing all-hazard regional catastrophic event plans, building regional planning process, and communities, and linking operation needs identified in plans to resource allocation, including homeland security grant programs. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

FEMA Grant Programs Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov/government/grant/index/shtm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.112 BORDER INFRASTRUCTURE IMPROVEMENT PROJECTS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, as amended, Public Law 107-296.

**OBJECTIVES:**

The U.S. Department of Homeland Security will be implementing border security infrastructure improvement projects and initiatives by providing funding, technical assistance and other resources to border communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Use and restrictions will be identified in the funding opportunity announcements and program guidance.

**Applicant Eligibility:**

Applicant eligibility will be identified in the funding opportunity announcements and program guidance.

**Beneficiary Eligibility:**

States, local governments, territories, nonprofits and private organizations.

**Credentials/Documentation:**

Applicant eligibility will be identified in the funding opportunity announcements and program guidance. Specific information will be identified in the funding opportunity announcements and program guidance. OMB Circular

No. A-87 applies to this program.

**Preapplication Coordination:**

Will be addressed depending on geographic location of the projects in response to E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information will be identified in the funding opportunity announcements and program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Issues or concerns will be negotiated with the successful applicant prior to the award execution.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Application deadlines and other information will be identified in the funding opportunity announcements and program guidance. Approval/Disapproval Time information will be identified in the funding opportunity announcements and program guidance.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Specific information is identified in the funding opportunity announcements and program guidance. See the following for information on how assistance is awarded/released: Specific information is identified in the funding opportunity announcements and program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular

3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0533-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 08 \$134,740,248; FY 09 est \$39,733,814; FY 10 est \$0

**Range and Average of Financial Assistance:**

Specific information is identified in the funding opportunity announcement and program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tiffany Hixon, 245 Murray Lane, Bldg 410, Washington, District of Columbia 20528 Email: Tiffany.Hixon@dhs.gov Phone: (202) 344-2500

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific information will be identified in the funding opportunity announcement and program guidance.

**97.113 RAIL AND TRANSIT SECURITY GRANT PROGRAM (ARRA)**

Transit Security Grant Program (American Recovery and Reinvestment Act of 2009)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, sections 1406 and 1513 (P.L. 110-53; 6 USC 1135 and 1136); P.L. 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create sustainable programs for the protection of critical bus and infrastructure from terrorism, with special emphasis on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the ARRA Transit Security Grant Program (TSGP), Consistent with sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1135 and 1163, funds may be used for planning, organizational activities, equipment acquisition, training, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. Priority will be given to operational packages and capital projects which address the most significant risks and can

also be completed in a timely fashion.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

P.L. 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the

infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Financial Status Reports. Progress Reports. Financial Status Reports

Recovery Act funding reports. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-999 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$150,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld Building, Suite 400, Attention:&#65533; Control Desk, 400 C St SW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.114 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM (ARRA)**

ARRA Emergency Food and Shelter National Board Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended, 42 U.S.C. 11331-11346; Public Law 111-5 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them. To conduct minimum rehabilitation of existing mass shelter or mass feeding facilities, but only to the extent necessary to make facilities safe, sanitary and bring them into compliance with local building codes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one (1) month; and limited repairs to feeding and sheltering facilities. Emergency Food and Shelter National Board Program funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year) manual: Responsibilities and Requirements, issued by the Emergency Food and Shelter Program National Board.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notifications to local jurisdictions are based on either a National Board formula or recommendations from State Set-Aside Committees.

**Award Procedure:**

Applications or plans are submitted to the National Board and reviewed by the National Board program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Refer to the Emergency Food and Shelter National Board Program, "Phase 27: Responsibilities and Requirements" document for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Local Boards are expected to monitor the expenditure of funds in their respective jurisdictions. It is for that reason that requests for second checks (all awards are divided into two payments) must be made by the Local Boards. Along with the request for the second payment, the National Board receives an interim report on eligible spending during that phase. A Final Report also must be filed by each LRO with its Local Board. The Local Board then compiles all the Final Reports within its jurisdiction and submits them (along with any requested documentation) to the National Board. Failure of an LRO to file a Final Report will result in its award being held in escrow the succeeding year. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity (Not Applicable to Emergency Food and Shelter); and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment (Not Applicable to Emergency Food and Shelter). (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. see guidance. see guidance. see guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0708-0-1-605 - TAFS: 70 0708.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$100,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EFS National Board Program, "Phase 27: Responsibilities and Requirements." OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA) 500 C Street, SW, Room 619,, Washington, District of Columbia 20472 Email: poc@dhs.gov Phone: 800-621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.115 ASSISTANCE TO FIREFIGHTERS GRANT (ARRA)**

ARRA Fire Station Construction

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To provide financial assistance directly to fire departments to enhance their capabilities with respect to fire and fire-related hazards. To provide financial assistance in the construction, upgrading or rehabilitation of fire stations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Fire station construction. (Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511); Eligible Uses: new station construction, existing station upgrading or rehabilitation; up to 5 percent shall be for program administration and no grant shall exceed \$15,000,000. Restrictions: certification as cited below in 083 Credentials/Documentation; funded only under Public Law 111-5.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Each applicant must certify: (1) that they are an eligible applicant, i.e., a fire department as defined above; (2) as to the characteristics of their community, i.e., Urban, Suburban, or Rural; (3) to the population size of the community served; and (4) to the type of department, i.e., volunteer/combination or career. Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an

appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed, and reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

From 15 to 30 days. Applicants that were denied grants can request a reconsideration of the decision. Such a request may be successful if it is determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

> 180 Days. Grant period is 36 months for this program. In the event that the grantees are unable to fulfill their grant obligations within the 36-month grant period, they may request an extension of the performance period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Grantees are required to submit Progress Reports which will include a narrative statement that details the progress of each award. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds



made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Final financial and performance reports are due 90 days after the expiration or termination of grant award. see guidance. see guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0567-0-1-999 - TAFS: 70 0567.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$210,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance, the FAQs, an applicant tutorial, and other program information can be found on the programs website at [www.firegrantsupport.com](http://www.firegrantsupport.com). OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered from the FEMA Headquarters Office. FEMA also has 10 regional offices which house Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program, Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: 866-274-0960

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants; 97.044 Assistance to Firefighters Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.116 PORT SECURITY GRANT PROGRAM (ARRA)**

ARRA Port Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Maritime Transportation Security Act (46 U.S.C .Section 70107); Public Law 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create a sustainable program for the protection of regulated ports from terrorism, with one priority on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; and management and administration. The program guidance outlines uses and restrictions in detail. One of the priorities for the American Recovery and Reinvestment Act (ARRA) Port Security Grant Program (PSGP) is construction projects which address the most significant risks and can also be completed in a timely fashion.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Public Law 111-5, American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. Financial Status Reports. Program Progress Reports. Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-402 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$150,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld Building, Suite 400, Attention: Control Desk, 500 C St SW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.117 TSA AIRPORT CHECKED BAGGAGE INSPECTION SYSTEM PROGRAM (ARRA)**

ARRA TSA Checked Baggage Inspection System Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5); Aviation and Transportation Security Act of 2001 (Public Law 107-71). 49 U.S.C Section 114(m)(l) and 106(l)(6), Public Law 107-71.

**OBJECTIVES:**

The TSA Electronic Baggage System Program (EBSP) is responsible for the deployment and installation of Explosive Detection Systems (EDS) at airports across the nation. EBSP provides support to U.S. commercial airports in implementing and maintaining security compliance requirements and capabilities for Checked Baggage Detection Inspection Screening Systems at airports as mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71) to provide 100 percent screening of checked baggage.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

TSA funding is restricted to those airport facility and baggage handling system modifications/ reconfigurations required for the installation of TSA EDS equipment to screen checked baggage. TSA provides, installs and tests the EDS equipment in addition to providing project funding towards required airport facility and baggage handling system modifications. DUNS/CCR - Recipients must either obtain a DUNS number (or update the existing DUNS record), as well as register with the Central Contractor Registration (CCR).

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Airports are required to submit a complete application package.

**Award Procedure:**

Airports will be selected to mitigate the risk in the aviation system and consistent with the intent of the law to fund projects most ready for execution. TSA evaluates airport applications against a model incorporating risk and readiness of the airport to start the project. Awards are in the form of an Other Transaction Agreement (OTA). TSA funding and the terms and conditions of the OTA are negotiated between the TSA and the Airport.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications submitted by airports for TSA funding are being reviewed. Range of approval/disapproval time varies.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: TSA utilizes a cost sharing scenario based on the cost share ratio defined in the annual appropriation legislation. TSA provides funding for a specific share of the project costs and the airport contributes the remaining share of the funding.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding provided by TSA is obligated in the current TSA fiscal year and is available for expenditure to the airport within five years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations. A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(a) The name of the project or activity; (b) A description of the project or activity. Financial Status Reports. Progress Reports. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. An estimate of the number of jobs created and the number of jobs retained by the project or activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records shall be retained for a period of three years from the day the recipient submits its final invoice. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0556-0-1-402 - Treasury Account Symbol for the Recovery Act is 70 9/0 0556.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$300,000,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Will vary by airport project and airport category and hub size. Per Congressional legislation, funding is allocated among a wide variety of airports. The financial assistance provided by TSA is effectuated through Other Transactional Authority agreements as the method of providing funding for airport baggage screening projects.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

\* OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009. \* Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. \* Single Audit reports as required by the Single Audit Act Amendments of 1996 \* TSA Planning Guidelines and Design Standards available at <http://www.tsa.gov/research/asac/index.shtm>. \* TSA White Paper on Checked Baggage Reimbursable and Non-Reimbursable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Transportation Security Administration 601 South 12th Street, Arlington, Virginia 20598-6016 Email: [POC@DHS.gov](mailto:POC@DHS.gov) Phone: (555) 555-1212

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

TSA utilizes an airport prioritization model for airport baggage screening projects based on a risk assessment that identifies operational risks. This overall approach is used to determine the impact of risk and cost analysis to address predicted airport growth rates, numbers of bags and the total project costs to include TSA capital investment in EDS equipment and the TSA costs associated with installation, integration, testing the EDS equipment within the airport facility modification.

**97.118 ADVANCED SURVEILLANCE PROGRAM (ASP)**

ARRA TSA OST Advanced Surveillance Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5); Aviation and Transportation Security Act of 2001 (Public Law 107-71), 49 U.S.C. Section 114(m)(l) and 106(l)(6) .

**OBJECTIVES:**

To provide enhanced remote security and surveillance capability of passenger/baggage screening areas and airport perimeter areas.

The ASP partners with airport authorities to enable Transportation Security

Officers with real-time access to, as well as, recorded camera views of, critical passenger and baggage screening areas. ASP provides the additional equipment necessary to achieve the TSA-mandated security recordation requirements of Checkpoint, Checked Baggage and Airport Perimeter, thereby enabling and enhancing the Airport Authority's current/existing system. The ASP Program increases the local Airport Authority's capability to remotely monitor, detect and assess all types of threats, including explosive threats and their resolution. Remote monitoring has the potential to detect and prevent the placement or transport of explosives/devices and other threats by increasing situational awareness in the areas of Checkpoint, Checked Baggage and Airport Perimeter. Activities performed under ASP are authorized and mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Transportation Security Administration (TSA) funding is restricted to the purchase and installation of Checkpoint, Checked Baggage and Airport Perimeter surveillance threat detection systems, including explosive detection at the Airport Authority's facilities. The Checkpoint surveillance area is defined as the area in which TSA employees screen people, carry-on baggage, and other items at security checkpoints. The Checked Baggage Surveillance area is defined as the area in which TSA employees screen baggage requiring threat resolution in the Baggage Handling System (BHS) operation following an alarm alert. The use of funding for Airport Perimeter Surveillance is restricted to address airport identified perimeter security vulnerabilities which can be mitigated through the use of applied security technologies. DUNS/CCR - Recipients must obtain a DUNS number (or update the existing DUNS record), as well as register with the Central Contractor Registration (CCR).

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Airports are required to submit a complete application package.

**Award Procedure:**

Airports will be selected to mitigate the risk in the aviation system and consistent with the intent of the law to fund projects most ready for execution. TSA evaluates airport applications against a model incorporating risk and the readiness of the airport to start the project. TSA funding and the terms and conditions of the award are negotiated between the TSA and the Airport.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding provided by TSA is obligated in the current TSA fiscal year and is available for expenditure by the airport within five years. See the following for information on how assistance is awarded/released: Information not provided.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Financial Status Reports. Progress Reports. Financial Status Reports. Project Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The airport is also subject to the Office of Management Budget, A-133 Audits of States, Local Governments, and Nonprofit Organizations, Reporting requirement.

**Records:**

Records shall be retained for a period of three years from the day the recipient submits its final invoice. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0556-0-1-402 - Treasury Account Symbol for the Recovery Act is 70 9/0 0556.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$7,800,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Will vary by airport project, airport category and hub size. According to congressional legislation, funding is allocated across a wide variety of airports. The financial assistance provided by TSA is effectuated through Other Transactional Authority agreements as the method of providing funding for airport baggage screening projects.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

\* OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

\* Office of Management and Budget Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

\* Single Audit reports as required by the Single Audit Act Amendments of 1996

\* TSA Planning Guidelines and Design Standards available at

<http://www.tsa.gov/research/asac/index.shtml>

\* TSA White Paper on Checked Baggage Reimbursable and Non-Reimbursable

**Regional or Local Office:**

None.

**Headquarters Office:**

Transportation Security Administration 601 South 12 Street, Arlington, Virginia 20598-6016 Email: POC@DHS.gov Phone: 555551212

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

TSA utilizes an airport prioritization model for airport baggage screening projects based on a risk assessment that identifies operational risks. The overall approach balances an analysis of total project cost with the impact of risk, while factoring in the predicted airport growth rate, (e.g., Numbers of people and bags). Total project costs include TSA capital investment in EDS equipment and the TSA costs associated with installation, integration, and testing of the EDS equipment within the airport facility modification.

**97.119 2010 OLYMPICS FIRST RESPONDER TRAINING****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 , Public Law 110-329.

**OBJECTIVES:**

This program will provide funding for training activities for Washington State and local Whatcom County, Washington first responders in preparation for the 2010 Winter Olympics. Efforts funded by the grant will be coordinated with Department of Homeland Security (DHS) U.S. Customs and Border Protection (CBP) Security Training and Exercise Support for the 2010 Olympics.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible activities include training for: Volunteer and Reserve Medical Services; Maritime Interdiction Training; Explosive Breaching Training; Advanced Law Enforcement Rapid Response Training; Advanced Hostage Negotiations; Coordination Center Joint Training/National Incident Management System (NIMS) courses.

**Applicant Eligibility:**

None

**Beneficiary Eligibility:**

None

**Credentials/Documentation:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications for an extension.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. see above. see above. see above. see above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 08 \$0; FY 09 est \$157,000; FY 10 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2008: No Current Data Available Fiscal Year 2009: It is anticipated that the State of Washington will apply for funding for eligible State and local first responders in preparation for the 2010 Winter Olympics. It is further anticipated that these efforts will be coordinated with DHS CBP Security Training and Exercise Support for the 2010 Olympics. Fiscal Year 2010: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

FEMA Grant Programs Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: askscid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov/grants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance for information on criteria for selecting proposals.

# Appendix I: Programs Requiring Executive Order 12372 Review

This appendix lists programs requiring Executive Order 12372 review. Executive Order 12372 "Intergovernmental Review of Federal Programs," structures the Federal government's system of consultation with State and local governments on its decisions involving grants, other forms of financial assistance, and direct development. Under E.O. 12372, States, in consultation with their local governments, design their own review processes and select those Federal financial assistance and direct development activities they wish to review.

Since October 1, 1983 most States have acted to establish a review and comment system in response to E.O. 12372. In such cases, applicants for grants will need to meet the requirements of the intergovernmental consultation process established by a particular State and its local governments before Federal agencies take action on an application.

For more information on the process a particular State requires to be followed, an applicant should contact the office or official designated as the single point of contact in his or her State. Consult the individual program description in the Catalog to determine whether the programs under which he/she plans to apply is subject to E.O. 12372. Consult the Federal agency's application package for instructions on State notification.

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## DEPARTMENT OF AGRICULTURE

|        |  |        |  |
|--------|--|--------|--|
| 10.156 | Federal-State Marketing Improvement Program (B)  | 11.400 | Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)       |
| 10.164 | Wholesale Farmers and Alternative Market Development (K,M)                                 | 11.407 | Interjurisdictional Fisheries Act of 1986 (A)  |
| 10.168 | Farmers' Market Promotion Program (B)  | 11.419 | Coastal Zone Management Administration Awards (A,B)  |
| 10.411 | Rural Housing Site Loans and Self_Help Housing Land Development Loans (E)                  | 11.420 | Coastal Zone Management Estuarine Research Reserves (B)  |
| 10.420 | Rural Self-Help Housing Technical Assistance (B)   | 11.426 | Financial Assistance for National Centers for Coastal Ocean Science (B)                                      |
| 10.427 | Rural Rental Assistance Payments (C)   | 11.427 | Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B) |
| 10.433 | Rural Housing Preservation Grants (B)  | 11.433 | Marine Fisheries Initiative (B)  |
| 10.553 | School Breakfast Program (A)   | 11.434 | Cooperative Fishery Statistics (B)   |
| 10.555 | National School Lunch Program (A)  | 11.435 | Southeast Area Monitoring and Assessment Program (B)   |
| 10.556 | Special Milk Program for Children (A)  | 11.436 | Columbia River Fisheries Development Program (B)   |
| 10.557 | Special Supplemental Nutrition Program for Women, Infants, and Children (A)                | 11.437 | Pacific Fisheries Data Program (B)   |
| 10.558 | Child and Adult Care Food Program (A)  | 11.438 | Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)  |
| 10.559 | Summer Food Service Program for Children (A)   | 11.439 | Marine Mammal Data Program (B)   |
| 10.560 | State Administrative Expenses for Child Nutrition (A)                                      | 11.443 | Short Term Climate Fluctuations (B)  |
| 10.561 | State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A) | 11.452 | Unallied Industry Projects (B)   |
| 10.565 | Commodity Supplemental Food Program (A,H)  | 11.454 | Unallied Management Projects (B)   |
| 10.566 | Nutrition Assistance For Puerto Rico (C)   | 11.455 | Cooperative Science and Education Program (B)  |
| 10.567 | Food Distribution Program on Indian Reservations (B,H)                                     | 11.457 | Chesapeake Bay Studies (B)   |
| 10.568 | Emergency Food Assistance Program (Administrative Costs) (A)                               | 11.463 | Habitat Conservation (B)   |
| 10.569 | Emergency Food Assistance Program (Food Commodities) (A)                                   | 11.467 | Meteorologic and Hydrologic Modernization Development (B,D,L,M)  |
| 10.760 | Water and Waste Disposal Systems for Rural Communities (B,E,F)                             | 11.472 | Unallied Science Program (B)   |
| 10.763 | Emergency Community Water Assistance Grants (B)  | 11.473 | Coastal Services Center (B)  |
| 10.766 | Community Facilities Loans and Grants (B,E,F)  | 11.474 | Atlantic Coastal Fisheries Cooperative Management Act (B)  |
| 10.770 | Water and Waste Disposal Loans and Grants (Section 306C) (B,E)                             | 11.557 | Broadband Technology Opportunities Program (BTOP) (B)  |
| 10.780 | Community Facilities Loans and Grants (B,E)  | 11.558 | State Broadband Data and Development Grant Program (B)   |
| 10.781 | Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)                        |        |  |
| 10.783 | Rural Business Enterprise Grants - ARRA (B)  |        |  |
| 10.787 | Broadband Initiatives Program (B,E)  |        |  |
| 10.855 | Distance Learning and Telemedicine Loans and Grants (B,E)                                  |        |  |
| 10.901 | Resource Conservation and Development (K)  |        |  |
| 10.904 | Watershed Protection and Flood Prevention (K)  |        |  |
| 10.916 | Watershed Rehabilitation Program (K)   |        |  |

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## DEPARTMENT OF COMMERCE

|        |  |        |   |
|--------|--|--------|---|
| 11.010 | Community Trade Adjustment Assistance (B)                            | 14.112 | Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)                           |
| 11.012 | Integrated Ocean Observing System (IOOS) (B)                         | 14.123 | Mortgage Insurance_Housing in Older, Declining Areas (F)  |
| 11.013 | Education Quality Award Ambassadorship (B)                           | 14.126 | Mortgage Insurance_Cooperative Projects (F)   |
| 11.300 | Investments for Public Works and Economic Development Facilities (B) | 14.127 | Mortgage Insurance_Manufactured Home Parks (F)  |
| 11.302 | Economic Development_Support for Planning Organizations (B)          | 14.128 | Mortgage Insurance_Hospitals (F)  |
| 11.303 | Economic Development_Technical Assistance (B)                        | 14.129 | Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F) |
|        |  | 14.134 | Mortgage Insurance_Rental Housing (F)   |
|        |  | 14.135 | Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)    |
|        |  | 14.138 | Mortgage Insurance_Rental Housing for the Elderly (F)   |
|        |  | 14.139 | Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)  |
|        |  | 14.151 | Supplemental Loan Insurance_Multifamily Rental Housing (F)  |
|        |  | 14.157 | Supportive Housing for the Elderly (C)  |
|        |  | 14.181 | Supportive Housing for Persons with Disabilities (C)  |
|        |  | 14.184 | Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)  |

# Appendix I: Programs Requiring Executive Order 12372 Review

|        |   |        |   |
|--------|---|--------|---|
| 14.218 | Community Development Block Grants/Entitlement Grants (A)   | 16.529 | Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B) |
| 14.246 | Community Development Block Grants/Brownfields Economic Development Initiative (B)                                | 16.540 | Juvenile Justice and Delinquency Prevention_Allocation to States (A,B)                                      |
| 14.253 | Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (A)                       | 16.544 | Gang-Free Schools and Communities_Community-Based Gang Intervention (B)                                     |
| 14.255 | Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A) | 16.548 | Title V_Delinquency Prevention Program (A)  |
| 14.256 | Neighborhood Stabilization Program (Recovery Act Funded) (B)  | 16.550 | State Justice Statistics Program for Statistical Analysis Centers (B)                                       |
| 14.257 | Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (A)                                    | 16.554 | National Criminal History Improvement Program (NCHIP) (B)   |
| 14.258 | Tax Credit Assistance Program (Recovery Act Funded) (A)   | 16.556 | State Domestic Violence and Sexual Assault Coalitions (A)   |
| 14.314 | Assisted Living Conversion for Eligible Multifamily Housing Projects (B)  | 16.557 | Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)                                    |
| 14.850 | Public and Indian Housing (C)   | 16.578 | Federal Surplus Property Transfer Program (H)   |
| 14.866 | Demolition and Revitalization of Severely Distressed Public Housing (B)   | 16.579 | Edward Byrne Memorial Formula Grant Program (A)   |
| 14.872 | Public Housing Capital Fund (A)   | 16.580 | Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)           |
| 14.878 | Affordable Housing Development in Main Street Rejuvenation Projects (B)   | 16.586 | Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)                                 |
| 14.884 | Public Housing Capital Fund Competitive (Recovery Act Funded) (B)   | 16.587 | Violence Against Women Discretionary Grants for Indian Tribal Governments (B)                               |
| 14.885 | Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (A)  | 16.588 | Violence Against Women Formula Grants (A)   |

## DEPARTMENT OF THE INTERIOR

|        |   |
|--------|---|
| 15.252 | Abandoned Mine Land Reclamation (AMLR) Program (A,B)                      |
| 15.253 | Not-for-Profit AMD Reclamation (B)  |
| 15.423 | Minerals Management Service (MMS) Environmental Studies Program (ESP) (B) |
| 15.424 | Marine Minerals Activities (B)  |
| 15.427 | Federal Oil and Gas Royalty Management (B)                                |
| 15.506 | Water Desalination Research and Development Program (B)                   |
| 15.509 | Colorado River Basin Salinity Control Program (B)                         |
| 15.512 | Central Valley Project Improvement Act, Title XXXIV (B)                   |
| 15.514 | Reclamation States Emergency Drought Relief (B,J,K)                       |
| 15.517 | Fish and Wildlife Coordination Act (B)                                    |
| 15.524 | Recreation Resources Management (B)                                       |
| 15.538 | Lower Colorado River Multi-Species Conservation Program. (B)              |
| 15.605 | Sport Fish Restoration Program (A)  |
| 15.611 | Wildlife Restoration (A)  |
| 15.615 | Cooperative Endangered Species Conservation Fund (B)                      |
| 15.622 | Sportfishing and Boating Safety Act (B)                                   |
| 15.626 | Firearm and Bow Hunter Education and Safety Program (A)                   |
| 15.628 | Multistate Conservation Grant Program (B)                                 |
| 15.636 | Alaska Subsistence Management (B)   |

## DEPARTMENT OF JUSTICE

|        |   |
|--------|---|
| 16.013 | Violence Against Women Act Court Training and Improvement Grants (B)                                      |
| 16.014 | Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B) |
| 16.016 | Culturally and Linguistically Specific Services Program (B)   |
| 16.017 | Sexual Assault Services Formula Program (A,B)   |
| 16.019 | Tribal Registry (B)   |
| 16.202 | Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)  |
| 16.524 | Legal Assistance for Victims (B)  |
| 16.525 | Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)           |
| 16.526 | OVW Technical Assistance Initiative (B)   |
| 16.527 | Supervised Visitation, Safe Havens for Children (B)   |
| 16.528 | Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)                       |

|        |   |
|--------|---|
| 16.529 | Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)             |
| 16.540 | Juvenile Justice and Delinquency Prevention_Allocation to States (A,B)  |
| 16.544 | Gang-Free Schools and Communities_Community-Based Gang Intervention (B)   |
| 16.548 | Title V_Delinquency Prevention Program (A)  |
| 16.550 | State Justice Statistics Program for Statistical Analysis Centers (B)   |
| 16.554 | National Criminal History Improvement Program (NCHIP) (B)   |
| 16.556 | State Domestic Violence and Sexual Assault Coalitions (A)   |
| 16.557 | Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)  |
| 16.578 | Federal Surplus Property Transfer Program (H)   |
| 16.579 | Edward Byrne Memorial Formula Grant Program (A)   |
| 16.580 | Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)                       |
| 16.586 | Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)   |
| 16.587 | Violence Against Women Discretionary Grants for Indian Tribal Governments (B)   |
| 16.588 | Violence Against Women Formula Grants (A)   |
| 16.589 | Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)                           |
| 16.590 | Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)  |
| 16.593 | Residential Substance Abuse Treatment for State Prisoners (A)   |
| 16.595 | Community Capacity Development Office (B,J)   |
| 16.606 | State Criminal Alien Assistance Program (D)   |
| 16.609 | Community Prosecution and Project Safe Neighborhoods (B)  |
| 16.610 | Regional Information Sharing Systems (B)  |
| 16.611 | Closed-Circuit Televising of Child Victims of Abuse (B)   |
| 16.614 | State and Local Anti-Terrorism Training (K,L,M)   |
| 16.710 | Public Safety Partnership and Community Policing Grants (B)   |
| 16.726 | Juvenile Mentoring Program (B)  |
| 16.727 | Enforcing Underage Drinking Laws Program (B)  |
| 16.736 | Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)      |
| 16.738 | Edward Byrne Memorial Justice Assistance Grant Program (A,B)  |
| 16.741 | Forensic DNA Backlog Reduction Program (A)  |
| 16.742 | Paul Coverdell Forensic Sciences Improvement Grant Program (A)  |
| 16.744 | Anti-Gang Initiative (B)  |
| 16.750 | Support for Adam Walsh Act Implementation Grant Program (B)   |
| 16.752 | Economic High-Tech and Cyber Crime Prevention (B)   |
| 16.753 | Congressionally Recommended Awards (B)  |
| 16.803 | Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (A,B)     |
| 16.804 | Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (A,B) |
| 16.805 | Recovery Act Transitional Housing (B)   |
| 16.806 | Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)                            |
| 16.807 | Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (B,C)   |

## DEPARTMENT OF LABOR

|        |  |
|--------|--|
| 17.207 | Employment Service/Wagner-Peyser Funded Activities (A,B) |
| 17.235 | Senior Community Service Employment Program (A,B)        |
| 17.258 | WIA Adult Program (A)                                    |
| 17.259 | WIA Youth Activities (A)                                 |
| 17.260 | WIA Dislocated Workers (A,B)                             |



# Appendix I: Programs Requiring Executive Order 12372 Review

- 17.264 National Farmworker Jobs Program (A)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.278 WIA Dislocated Worker Formula Grants (A)
- 17.600 Mine Health and Safety Grants (B)
- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.802 Veterans' Employment Program (B)
- 17.804 Local Veterans' Employment Representative Program (A)
- 17.807 Transition Assistance Program (B)

## DEPARTMENT OF TRANSPORTATION

- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.205 Highway Planning and Construction (A,B)
- 20.219 Recreational Trails Program (A,B)
- 20.231 Performance and Registration Information Systems Management (A)
- 20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)
- 20.318 Maglev Project Selection Program - SAFETEA-LU (B)
- 20.500 Federal Transit\_Capital Investment Grants (A,B)
- 20.505 Federal Transit\_Metropolitan Planning Grants (A)
- 20.507 Federal Transit\_Formula Grants (A)
- 20.509 Formula Grants for Other Than Urbanized Areas (A)
- 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
- 20.514 Public Transportation Research (B,L,M)
- 20.515 State Planning and Research (A)
- 20.516 Job Access\_Reverse Commute (B)
- 20.520 Paul S. Sarbanes Transit in the Parks (B)
- 20.521 New Freedom Program (A)
- 20.600 State and Community Highway Safety (A)
- 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)
- 20.602 Occupant Protection Incentive Grants (B)
- 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)
- 20.610 State Traffic Safety Information System Improvement Grants (B)
- 20.611 Incentive Grant Program to Prohibit Racial Profiling (B)
- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)
- 20.613 Child Safety and Child Booster Seats Incentive Grants (B)
- 20.615 E-911 Grant Program (A)
- 20.700 Pipeline Safety Program Base Grants (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 20.907 Pilot Entrepreneurial Training and Technical Assistance Women and Girls Program (B)
- 20.932 Surface Transportation \_ Discretionary Grants for Capital Investment. (B)

## NATIONAL ENDOWMENT FOR THE ARTS

- 45.025 Promotion of the Arts\_Partnership Agreements (B,K)

## NATIONAL ENDOWMENT FOR THE HUMANITIES

- 45.168 Promotion of the Humanities\_We the People (B)

## SMALL BUSINESS ADMINISTRATION

- 59.037 Small Business Development Centers (B,J,K,L)

## DEPARTMENT OF VETERANS AFFAIRS

- 64.005 Grants to States for Construction of State Home Facilities (B)
- 64.201 National Cemeteries (J)
- 64.203 State Cemetery Grants (B)

## ENVIRONMENTAL PROTECTION AGENCY

- 66.001 Air Pollution Control Program Support (B)
- 66.032 State Indoor Radon Grants (B)
- 66.033 Ozone Transport Commission (B)
- 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)
- 66.035 Community Action for a Renewed Environment (CARE) Program (B)
- 66.036 Clean School Bus USA (B)
- 66.039 National Clean Diesel Funding Assistance Program (B)
- 66.040 State Clean Diesel Grant Program (A)
- 66.041 Climate Showcase Communities Grant Program (B)
- 66.110 Healthy Communities Grant Program (B)
- 66.111 Regional Environmental Priority Projects (B)
- 66.113 Region 3 Environmental Priority Projects (B)
- 66.117 Region 9 Multi-Media and Geographic Priority Projects (B)
- 66.119 West Coast Estuaries Initiative (B)
- 66.202 Congressionally Mandated Projects (B)
- 66.203 Environmental Finance Center Grants (B)
- 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)
- 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)
- 66.312 State Environmental Justice Cooperative Agreement Program (B)
- 66.418 Construction Grants for Wastewater Treatment Works (B)
- 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)
- 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)
- 66.432 State Public Water System Supervision (A)
- 66.433 State Underground Water Source Protection (A)
- 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)
- 66.437 Long Island Sound Program (B)
- 66.439 Targeted Watersheds Grants (B)
- 66.454 Water Quality Management Planning (A)
- 66.456 National Estuary Program (B)
- 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)
- 66.460 Nonpoint Source Implementation Grants (A)
- 66.461 Regional Wetland Program Development Grants (B)
- 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)
- 66.463 Water Quality Cooperative Agreements (B)
- 66.466 Chesapeake Bay Program (B)
- 66.467 Wastewater Operator Training Grant Program (B)
- 66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)
- 66.469 Great Lakes Program (B,I,L)
- 66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)
- 66.472 Beach Monitoring and Notification Program Implementation Grants (A)
- 66.474 Water Protection Grants to the States (A)
- 66.475 Gulf of Mexico Program (B)
- 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)
- 66.480 Assessment and Watershed Protection Program Grants (B)
- 66.481 Lake Champlain Basin Program (B)
- 66.509 Science To Achieve Results (STAR) Research Program (B)
- 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)

# Appendix I: Programs Requiring Executive Order 12372 Review

|                                |  |        |  |
|--------------------------------|--|--------|--|
| 66.511                         | Office of Research and Development Consolidated Research/Training/Fellowships (B)  | 84.002 | Adult Education - Basic Grants to States (A)   |
| 66.512                         | Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)   | 84.004 | Civil Rights Training and Advisory Services (B)  |
| 66.516                         | P3 Award: National Student Design Competition for Sustainability (B)   | 84.011 | Migrant Education_State Grant Program (A)  |
| 66.517                         | Regional Applied Research Efforts (RARE) (B)   | 84.015 | National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B) |
| 66.604                         | Environmental Justice Small Grant Program (B)  | 84.016 | Undergraduate International Studies and Foreign Language Programs (B)  |
| 66.605                         | Performance Partnership Grants (A,B)   | 84.027 | Special Education_Grants to States (A)   |
| 66.609                         | Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)  | 84.031 | Higher Education_Institutional Aid (B)   |
| 66.610                         | Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)   | 84.042 | TRIO_Student Support Services (B)  |
| 66.611                         | Environmental Policy and Innovation Grants (B)   | 84.044 | TRIO_Talent Search (B)   |
| 66.612                         | Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B) | 84.047 | TRIO_Upward Bound (B)  |
| 66.707                         | TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  | 84.048 | Career and Technical Education -- Basic Grants to States (A)   |
| 66.708                         | Pollution Prevention Grants Program (B)  | 84.060 | Indian Education_Grants to Local Educational Agencies (A)  |
| 66.709                         | Multi-Media Capacity Building Grants for States and Tribes (B)   | 84.066 | TRIO_Educational Opportunity Centers (B)   |
| 66.715                         | Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)   | 84.083 | Women's Educational Equity Act Program (B)   |
| 66.716                         | Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)   | 84.103 | TRIO Staff Training Program (B)  |
| 66.717                         | Source Reduction Assistance (B)  | 84.116 | Fund for the Improvement of Postsecondary Education (B)  |
| 66.801                         | Hazardous Waste Management State Program Support (A)   | 84.120 | Minority Science and Engineering Improvement (B)   |
| 66.802                         | Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  | 84.126 | Rehabilitation Services_Vocational Rehabilitation Grants to States (A)   |
| 66.804                         | Underground Storage Tank Prevention, Detection and Compliance Program (A)  | 84.128 | Rehabilitation Services_Service Projects (B)   |
| 66.805                         | Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  | 84.129 | Rehabilitation Long-Term Training (B)  |
| 66.806                         | Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)   | 84.132 | Centers for Independent Living (B)   |
| 66.808                         | Solid Waste Management Assistance Grants (B)   | 84.141 | Migrant Education_High School Equivalency Program (B)  |
| 66.809                         | Superfund State and Indian Tribe Core Program Cooperative Agreements (B)   | 84.144 | Migrant Education_Coordination Program (B)   |
| 66.810                         | Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)  | 84.145 | Federal Real Property Assistance Program (H)   |
| 66.812                         | Hazardous Waste Management Grant Program for Tribes (B)  | 84.149 | Migrant Education_College Assistance Migrant Program (B)   |
| 66.813                         | Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)                                  | 84.153 | Business and International Education Projects (B)  |
| 66.814                         | Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)   | 84.160 | Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)  |
| 66.816                         | Headquarters and Regional Underground Storage Tanks Program (B)  | 84.161 | Rehabilitation Services_Client Assistance Program (A)  |
| 66.817                         | State and Tribal Response Program Grants (A)   | 84.165 | Magnet Schools Assistance (B)  |
| 66.818                         | Brownfields Assessment and Cleanup Cooperative Agreements (B)  | 84.169 | Independent Living_State Grants (A)  |
| 66.931                         | International Financial Assistance Projects Sponsored by the Office of International Affairs (B)   | 84.173 | Special Education_Preschool Grants (A)   |
| 66.940                         | Environmental Policy and State Innovation Grants (B)   | 84.177 | Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)  |
| <b>DEPARTMENT OF ENERGY</b>    |  | 84.181 | Special Education-Grants for Infants and Families (A)  |
| 81.041                         | State Energy Program (A,B,L)   | 84.184 | Safe and Drug-Free Schools and Communities_National Programs (B)   |
| 81.042                         | Weatherization Assistance for Low-Income Persons (A,L)   | 84.186 | Safe and Drug-Free Schools and Communities_State Grants (A)  |
| 81.127                         | Energy Efficient Appliance Rebate Program (EEARP) (A)  | 84.187 | Supported Employment Services for Individuals with Significant Disabilities (A)  |
| 81.128                         | Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)   | 84.191 | Adult Education_National Leadership Activities (B,C)   |
| 81.131                         | Expand and Extend Clean Coal Power Initiative (B)  | 84.196 | Education for Homeless Children and Youth (A)  |
| <b>DEPARTMENT OF EDUCATION</b> |  | 84.200 | Graduate Assistance in Areas of National Need (B)  |
|                                |  | 84.206 | Javits Gifted and Talented Students Education Grant Program (B)  |
|                                |  | 84.214 | Even Start_Migrant Education (B)   |
|                                |  | 84.217 | TRIO_McNair Post-Baccalaureate Achievement (B)   |
|                                |  | 84.220 | Centers for International Business Education (B)   |
|                                |  | 84.224 | Assistive Technology (A)   |
|                                |  | 84.234 | Projects with Industry (B)   |
|                                |  | 84.235 | Rehabilitation Services Demonstration and Training Programs (B)  |
|                                |  | 84.240 | Program of Protection and Advocacy of Individual Rights (B)  |
|                                |  | 84.243 | Tech-Prep Education (A)  |
|                                |  | 84.246 | Rehabilitation Short-Term Training (B)   |
|                                |  | 84.263 | Rehabilitation Training_Experimental and Innovative Training (B)   |
|                                |  | 84.264 | Rehabilitation Training_Continuing Education (B)   |
|                                |  | 84.265 | Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)   |

## Appendix I: Programs Requiring Executive Order 12372 Review

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|--------|--|---|--|
| 84.269 | Institute for International Public Policy (B)  | 84.405  | Teacher Quality Partnerships, Recovery Act (B)   |
| 84.274 | American Overseas Research Centers (B)   | 84.406  | Capacity Building for Traditionally Underserved Populations, Recovery Act. (B)   |
| 84.275 | Rehabilitation Training_General Training (B)   | <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b> |  |
| 84.286 | Ready to Teach (B)   | 89.003  | National Historical Publications and Records Grants (B)  |
| 84.287 | Twenty-First Century Community Learning Centers (A)  | <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>      |  |
| 84.293 | Foreign Language Assistance (B)  | 93.009  | Compassion Capital Fund (B)  |
| 84.295 | Ready-To-Learn Television (B)  | 93.010  | Community-Based Abstinence Education (CBAE) (B)  |
| 84.299 | Indian Education -- Special Programs for Indian Children (B)   | 93.062  | Biomonitoring Programs for State Public Health Laboratories (B)  |
| 84.304 | Civic Education - Cooperative Education Exchange Program (B)   | 93.063  | Centers for Genomics and Public Health (B)   |
| 84.310 | Parental Information and Resource Centers (B)  | 93.068  | Chronic Diseases: Research, Control, and Prevention (B)  |
| 84.315 | Capacity Building for Traditionally Underserved Populations (B)  | 93.069  | Public Health Emergency Preparedness (B)   |
| 84.323 | Special Education - State Personnel Development (B)  | 93.070  | Environmental Public Health and Emergency Response (B)   |
| 84.324 | Research in Special Education (B)  | 93.086  | Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)   |
| 84.325 | Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)   | 93.087  | Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)   |
| 84.326 | Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)  | 93.104  | Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)  |
| 84.327 | Special Education_Technology and Media Services for Individuals with Disabilities (B)  | 93.116  | Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)  |
| 84.328 | Special Education_Parent Information Centers (B)   | 93.118  | Acquired Immunodeficiency Syndrome (AIDS) Activity (B)   |
| 84.329 | Special Education_Studies and Evaluations (B)  | 93.129  | Technical and Non-Financial Assistance to Health Centers (B)   |
| 84.330 | Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)  | 93.134  | Grants to Increase Organ Donations (B)   |
| 84.333 | Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)  | 93.145  | AIDS Education and Training Centers (B)  |
| 84.334 | Gaining Early Awareness and Readiness for Undergraduate Programs (B)   | 93.153  | Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)  |
| 84.335 | Child Care Access Means Parents in School (B)  | 93.155  | Rural Health Research Centers (B)  |
| 84.336 | Teacher Quality Partnership Grants (B)   | 93.161  | Health Program for Toxic Substances and Disease Registry (B)   |
| 84.337 | International Education_Technological Innovation and Cooperation for Foreign Information Access (B)  | 93.165  | Grants to States for Loan Repayment Program (B)  |
| 84.343 | Assistive Technology_State Grants for Protection and Advocacy (A)  | 93.184  | Disabilities Prevention (B)  |
| 84.350 | Transition to Teaching (B)   | 93.185  | Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)   |
| 84.351 | Arts in Education (B)  | 93.186  | National Research Service Award in Primary Care Medicine (M)   |
| 84.354 | Credit Enhancement for Charter School Facilities (B)   | 93.197  | Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)                                 |
| 84.356 | Alaska Native Educational Programs (B)   | 93.204  | Surveillance of Hazardous Substance Emergency Events (B)   |
| 84.357 | Reading First State Grants (A)   | 93.211  | Telehealth Network Grants (B)  |
| 84.359 | Early Reading First (B)  | 93.223  | Development and Coordination of Rural Health Services (B)  |
| 84.360 | School Dropout Prevention Program (B)  | 93.224  | Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)         |
| 84.361 | Voluntary Public School Choice (B)   | 93.234  | Traumatic Brain Injury State Demonstration Grant Program (B)   |
| 84.363 | School Leadership (B)  | 93.240  | State Capacity Building (B)  |
| 84.364 | Literacy through School Libraries (B)  | 93.243  | Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)  |
| 84.370 | DC School Choice Incentive Program (B)   | 93.257  | Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)   |
| 84.371 | Striving Readers (B)   | 93.266  | Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B) |
| 84.373 | Special Education_Technical Assistance on State Data Collection (B)  | 93.268  | Immunization Grants (B)  |
| 84.378 | College Access Challenge Grant Program (A)   | 93.269  | Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)   |
| 84.381 | Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) | 93.270  | Adult Viral Hepatitis Prevention and Control (B)   |
| 84.382 | Strengthening Minority-Serving Institutions (B)  | 93.276  | Drug-Free Communities Support Program Grants (B)   |
| 84.390 | Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)   | 93.283  | Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)   |
| 84.392 | Special Education - Preschool Grants, Recovery Act (A)   | 93.389  | National Center for Research Resources (B)   |
| 84.393 | Special Education - Grants for Infants and Families, Recovery Act (A)  |   |  |
| 84.398 | Independent Living State Grants, Recovery Act (A)  |   |  |
| 84.399 | Independent Living Services for Older Individuals Who are Blind, Recovery Act (A)  |   |  |
| 84.400 | Centers for Independent Living, Recovery Act. (B)  |   |  |

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|--------|---|---|---|
| 93.418 | ARRA - Emergency Medical Services for Children (B)  | 93.946  | Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)         |
| 93.448 | Food Safety and Security Monitoring Project (B)   | 93.947  | Tuberculosis Demonstration, Research, Public and Professional Education (B)                                     |
| 93.449 | Ruminant Feed Ban Support Project (B)   | 93.965  | Coal Miners Respiratory Impairment Treatment Clinics and Services (B)   |
| 93.550 | Transitional Living for Homeless Youth (B)  | 93.977  | Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)                                     |
| 93.551 | Abandoned Infants (B)   | 93.988  | Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)     |
| 93.557 | Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)  | <b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b> |   |
| 93.563 | Child Support Enforcement (A)   | 94.017  | Senior Demonstration Program (B)  |
| 93.570 | Community Services Block Grant_Discretionary Awards (B)   | <b>DEPARTMENT OF HOMELAND SECURITY</b>                |   |
| 93.576 | Refugee and Entrant Assistance_Discretionary Grants (B)   | 97.004  | State Domestic Preparedness Equipment Support Program (B)   |
| 93.593 | Job Opportunities for Low-Income Individuals (B)  | 97.005  | State and Local Homeland Security Training Program (B)  |
| 93.595 | Welfare Reform Research, Evaluations and National Studies (B)   | 97.007  | Homeland Security Preparedness Technical Assistance Program (B)   |
| 93.598 | Services to Victims of a Severe Form of Trafficking (B)   | 97.008  | Urban Areas Security Initiative (B)   |
| 93.600 | Head Start (B)  | 97.009  | Cuban/Haitian Entrant Program (B)   |
| 93.601 | Child Support Enforcement Demonstrations and Special Projects (B)   | 97.012  | Boating Safety Financial Assistance (A)   |
| 93.602 | Assets for Independence Demonstration Program (B)   | 97.013  | State Access to the Oil Spill Liability Trust Fund (B)  |
| 93.604 | Assistance for Torture Victims (B)  | 97.015  | Secret Service_Training Activities (M)  |
| 93.616 | Mentoring Children of Prisoners (B)   | 97.029  | Flood Mitigation Assistance (B)   |
| 93.617 | Voting Access for Individuals with Disabilities_Grants to States (A)  | 97.030  | Community Disaster Loans (E)  |
| 93.618 | Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)  | 97.036  | Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)                                     |
| 93.623 | Basic Center Grant (B)  | 97.042  | Emergency Management Performance Grants (A)   |
| 93.631 | Developmental Disabilities Projects of National Significance (B)  | 97.045  | Cooperating Technical Partners (B)  |
| 93.643 | Children's Justice Grants to States (A)   | 97.048  | Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)         |
| 93.645 | Child Welfare Services_State Grants (A)   | 97.049  | Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)      |
| 93.647 | Social Services Research and Demonstration (B)  | 97.052  | Emergency Operations Centers (B)  |
| 93.669 | Child Abuse and Neglect State Grants (A)  | 97.067  | Homeland Security Grant Program (A)   |
| 93.670 | Child Abuse and Neglect Discretionary Activities (B)  | 97.068  | Competitive Training Grants (B)   |
| 93.671 | Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)                         | 97.070  | Map Modernization Management Support (B)  |
| 93.702 | National Center for Research Resources, Recovery Act Construction Support (B)   | 97.071  | Metropolitan Medical Response System (B)  |
| 93.705 | Aging Home-Delivered Nutrition Services for States (A)  | 97.072  | National Explosives Detection Canine Team Program (B)   |
| 93.708 | ARRA - Head Start (B)   | 97.073  | State Homeland Security Program (SHSP) (A)  |
| 93.711 | ARRA Strengthening Communities Fund (B)   | 97.074  | Law Enforcement Terrorism Prevention Program (LETPP) (A)  |
| 93.717 | ARRA - Preventing Healthcare-Associated Infections (B)  | 97.075  | Rail and Transit Security Grant Program (B)   |
| 93.768 | Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)  | 97.078  | Buffer Zone Protection Program (BZPP) (B)   |
| 93.912 | Rural Health Care Services Outreach and Rural Health Network Development Program (B)  | 97.080  | Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B) |
| 93.913 | Grants to States for Operation of Offices of Rural Health (B)   | 97.083  | Staffing for Adequate Fire and Emergency Response (SAFER) (B)   |
| 93.914 | HIV Emergency Relief Project Grants (B)   | 97.086  | Homeland Security Outreach, Education, and Technical Assistance (B,L)   |
| 93.918 | Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)  | 97.087  | Alternative Housing Pilot Program (B)   |
| 93.919 | Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)                                | 97.089  | Real ID Program (B)   |
| 93.926 | Healthy Start Initiative (B)  | 97.092  | Repetitive Flood Claims (B)   |
| 93.928 | Special Projects of National Significance (B)   | 97.106  | Securing the Cities (B,H,I,L)   |
| 93.938 | Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B) | 97.107  | National Incident Management System (NIMS) (B)  |
| 93.939 | HIV Prevention Activities_Non-Governmental Organization Based (B)   | 97.110  | Severe Loss Repetitive Program (B)  |
| 93.940 | HIV Prevention Activities_Health Department Based (B)   | 97.111  | Regional Catastrophic Preparedness Grant Program (RCPGP) (B)  |
| 93.941 | HIV Demonstration, Research, Public and Professional Education Projects (B)   | 97.112  | Border Infrastructure Improvement Projects (B)  |
| 93.942 | Research, Treatment and Education Programs on Lyme Disease in the United States (B)   | 97.113  | Rail and Transit Security Grant Program (ARRA) (B)  |
| 93.944 | Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)   | 97.116  | Port Security Grant Program (ARRA) (B)  |
| 93.945 | Assistance Programs for Chronic Disease Prevention and Control (B)  | 97.119  | 2010 Olympics First Responder Training (B)  |

## Appendix II: Authorization Appendix

### Acts and Executive Orders

#### A

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Act to Prevent Pollution from Ships-- 11.463  
Adam Walsh Child Protection and Safety Act of 2006 (AWA)-- 16.750  
Administrative Dispute Resolution Act of 1996-- 33.001  
Adult Education and Family Literacy Act-- 17.267, 84.257  
Adult Education and Family Literacy Act, as amended-- 84.191  
Adult Education and Family Literacy Act; 20 U.S.C. 1209 et seq.-- 84.002  
African Elephant Conservation Act, Title II Section 2001 et seq., Public Law 100-478, 102 Stat. 2315 et seq., 16 U.S.C. 201 et seq., 4211 et seq., 4221 et seq., 4241 et seq., and 1538.-- 15.620  
Age Discrimination in Employment Act of 1967-- 30.008  
Agricultural Adjustment Act of 1938-- 10.167  
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Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627, 7 U.S.C. 2101-2119;  
Egg Research and Consumer Information Act, 7 U.S.C. 2701-2718; Export Apple and Pear Act, 7 U.S.C. 581-590; Export Grape and Plum Act, 7 U.S.C. 591-599; Federal Seed Act, 7 U.S.C. 1551-1611; National Wool Act of 1954, as amended, 7 U.S.C. 1787; Plant Variety Protection Act, 7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401- 2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583; 7 U.S.C. 4301-4319; Cotton Research and Promotion Act, 7 U.S.C. 2101-2118; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 5111; Agricultural Fair Practices Act, 7 U.S.C. 2301-2306; Capper Volstead Act, 7 U.S.C. 291-292; Potato Research and Promotion Act, 7 U.S.C. 2611-2627; Beef Promotion and Research Act of 1985, 7 U.S.C. 2901-2911; Pork Promotion, Research, and Consumer Information Act of 1985, 7 U.S.C. 1612-1631; Dairy Research and Promotion Act, 7 U.S.C. 4501-4513, 4532; Watermelon Research and Promotion Act, 7 U.S.C. 4901-4916; Honey Research Promotion and Consumer Information Act, 7 U.S.C. 4601-4612; Soybean Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6301-6311; Mushroom Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6101- 6112; Fluid Milk Promotion Act of 1990, 7 U.S.C. 6401-6417; Organic Foods Production Act of 1990, 7 U.S.C. 6501-6522; Fresh Cut Flowers and Fresh Cut Greens Promotion and Information Act of 1993, 7 U.S.C. 6801- 6814; Popcorn Promotion Research, and Consumer Information Act, 7 U.S.C. 7481-7491; National Kiwifruit Research, Promotion, and Consumer Information Act, 7 U.S.C. 7461-7473.-- 10.163  
Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d; Cotton Futures Act, 7 U.S.C. 15b; Cotton Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99; Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 4501-4513; Tobacco Statistics Act, 7 U.S.C. 501-508; Food Security Act of 1985, as amended.-- 10.162  
Agricultural Marketing Act of 1946, Section 204b, 7 U.S.C. 1623(b)-- 10.156  
Agricultural Marketing Act of 1946.-- 10.164  
Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203, 7 U.S.C. 4501- 4513; Agriculture and Food Act of 1981, 7 U.S.C. 2242a.-- 10.155  
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Agriculture and Consumer Protection Act of 1973, Sections 4(a) and 5, as amended, Public Law 93-86, 7 U.S.C. 612c (note); Food and Agriculture Act of 1977, as amended, Public Law 95-113, 91 Stat. 980 (7 U.S.C. 612c note);

Public Law 97-98, 95 Stat. 1293 (7 U.S.C. 612c note); Public Law 98-8, 97 Stat. 35 (7 U.S.C. 612c note); Public Law 98-92, 97 Stat. 611 (7 U.S.C. 612c note); Public Law 99-198, 99 Stat. 1590 (7 U.S.C. 612c note); Public Law 100-202; Public Law 101-624, 101 Stat. 3806 (7 U.S.C. 612c note); Public Law 104-127, 110 Stat. 1028 (7 U.S.C. 612c note); Public Law 107-171, 116 Stat. 134 (7 U.S.C. 7901 note); Public Law 110-246, 122 Stat. 1886 (7 U.S.C. 612c note)-- 10.565  
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Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001-- 10.072  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2005.-- 10.446  
Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006; Title III, Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 109-97.-- 10.861  
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American Recovery and Reinvestment Act of 2009 (ARRA), Division A, Title XIV-- 84.394, 84.397  
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American Recovery and Reinvestment Act of 2009 (ARRA); Public Law 111-5-- 81.122

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White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements: Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D)-- 10.687 American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act)

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Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D)-- 10.688 American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act) in (040) Authorization Section.-- 47.082 American Recovery and Reinvestment Act of 2009, Public Law 111-5 Stat. 123, Section 3001(5). Section 3001(a)(5) of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 Stat. 123-- 17.151 American Recovery and Reinvestment Act of 2009, Public Law 111-5, (Recovery Act)-- 81.049

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Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392-- 93.364  
Public Health Service Act, Title VIII, Section 846A, 42 U.S.C. 297n-1, as amended; Nurse Reinvestment Act of 2002, Public Law 107-205-- 93.264  
Public Health Service Act, Title VIII, Section 855, Nurse Reinvestment Act, Public Law 107-205-- 93.265  
Public Health Service Act, Title XXVI, Part A, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006-- 93.914  
Public Health Service Act, Title XXVI, Part B, as amended, Public Law 106-415, Ryan White HIV/AIDS Treatment Modernization Act of 2006-- 93.917  
Public Health Service Act, Title XXVI, Part C, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006-- 93.918  
Public Health Service Act, Title XXVI, Part D, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006-- 93.153  
Public Health Service Act, Title XXVI, Part F, Subpart II, Public Law 106-345; Ryan White HIV/AIDS Treatment Modernization Act of 2006-- 93.145  
Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415, Ryan White Care HIV/AIDS Treatment Modernization Act of 2006-- 93.924  
Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006-- 93.928  
Public Health Service Act, as amended, Sections 301 and 412, Public Law 78-410; 42 U.S.C. 241; Public Law 100-607; 42 U.S.C. 285a-1; Public Law 99-500-- 93.399  
Public Health Service Act, as amended, Sections 301 and 464H, Public Law 78-410, 42 U.S.C. 241, and 42 U.S.C. 290Gb; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564-- 93.273  
Public Health Service Act, as amended, Sections 301 and 464j; 42 U.S.C. 241 and 42 U.S.C. 285n-2-- 93.891  
Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564-- 93.867  
Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531-- 93.991  
Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5-- 93.308  
Public Health Services Act-- 93.104, 93.138  
Public Health Service Act-- 93.069  
Public Health and Welfare-- 15.819  
Public Lands-- 15.819  
Public Lands Corps Healthy Forests Restoration Act of 2005-- 15.931  
Public Law 100-370, Section 1(g)(3), 1023 Stat. 846, 10 U.S.C. 2368(a); Public Law 100-456, Division A, Title II, Section 204; 84 Stat. 908, 10 U.S.C. 2358(b)(1), (c); 95 Stat. 1404, 1405, 10 U.S.C. 2361; Includes American Recovery and Reinvestment (ARRA) funds-- 12.800  
Public Law 101-218-- 81.087  
Public Law 103-325, 12 U.S.C. 1834a; 12 U.S.C. 4713-- 21.021  
Public Law 103-399; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164-- 15.052  
Public Law 105-277-- 16.730  
Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 USC 2101 et. seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 USC 1600-1614-- 10.681  
Public Law 106-246, as amended by Public Law 106-554, authorizes the reimbursement of county and municipal governments in the States of California, Texas, Arizona, and the New Mexico state government, for specific categories of expenses associated with the handling and processing of federally initiated controlled substances cases along the Southwest Border. In FY 2000, \$12 million was made available until expended and divided equally among the States of Arizona, Southern California, New Mexico, and Southern and Western Texas. For FY 2001, another \$12 million has been made available. This additional \$12 million must be used during this Fiscal Year. Of this amount, \$10 million is for Texas and \$2 million in for Arizona-- 16.755  
Public Law 106-65; National Defense Authorization Act of 2000-- 81.113  
Public Law 107-273-- 16.523  
Public Law 108-414, Mentally Ill Offender Treatment and Crime Reduction Act; Public Law 110-416, Mentally Ill Offender Treatment and Crime Reduction Reauthorization and Improvement Act of 2008-- 16.745  
Public Law 109-236, Mine Improvement and New Emergency Response Act of 2006 (MINER Act)-- 17.604  
Public Law 110-161, 121 Stat. 1909; Public Law 110-329-- 16.754  
Public Law 111-5 American Recovery and Reinvestment Act of 2009-- 97.115  
Public Law 111-8-- 93.887  
Public Law 66-259; 29 U.S.C. 11-16-- 17.700  
Public Law 75-210, 7 U.S.C. 1010-1012, Bankhead-Jones Farm Tenant Act-- 10.666  
Public Law 81-152, 63 Stat. 377, 40 U.S.C. 541 et. seq-- 39.007  
Public Law 83-568, 42 U.S.C. 2001-2004a; Indian Self-Determination and Education Assistance Act, Section 104 (b), Public Law 93-638, 25 U.S.C. 450, Section 9, Public Law 98-250; Public Law 100 - 472-- 93.228  
Public Law 87-778 (76 Stat. 806, 16 U.S.C. 582a, et seq.) signed into law on October 10, 1962 is also known as the McIntire-Stennis Cooperative Forestry Research Act-- 10.202  
Public Law 94-118-- 90.300  
Public Law 95-238, Section 207-- 81.087  
Public Law 95-266; Public Law 100-294; Public Law 102-295; Public Law 104-234-- 93.652  
Public Law 95-600, 92 Stat. 2810-- 21.006

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- Public Law 95-91 DOE Organization Act of 1977, as amended by Public Law 109-58 Energy Policy Act 2005. Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-557; Energy Policy and Conservation Act, Public Law 94-163.-- 81.089
- Public Law 95-911 and Public Law 97-377-- 81.086
- Public Law 96-517, 35 U.S.C. 207, 208, 209-- 81.003
- Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.-- 15.053
- Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101 et seq.; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.-- 15.036
- Public Law 99-591-- 85.500
- Public Law No. 111-8, 123 Stat. 524, 580 authorizes the reimbursement of county and municipal governments in Alaska, Idaho, Maine, Michigan, Minnesota, Montana, New Hampshire, New York, North Dakota, Ohio, Pennsylvania, Vermont, Washington, and Wisconsin for specific categories of expenses associated with the handling and processing of federally initiated cases along the Northern Border.-- 16.814
- Public Laws 54-249, 62-426, 71-537, 76-77, and 94-206, 29 U.S.C. 1, 29 U.S.C. 2b.-- 17.004
- Public Laws 58-57, 62-426, 71-537, 82-203, 93-203, 93-567, 94-206, 94-311, and 94-369; 29 U.S.C. 1, 2, 2b, 5, 8, 882, 1601-- 17.002
- Public Laws 62-426, 71-537, 91-596 and 94-206, 29 U.S.C. 1-2; 29 U.S.C. 2b; 29 U.S.C. 4; 5 U.S.C. 5305; 29 U.S.C. 651; 29 U.S.C. 673.-- 17.005
- Public Laws 62-426, 71-537, and 94-206, 29 U.S.C. 1-2.-- 17.003
- Public Laws 88-450, 89-311, 90-432, 91-178, 93-82, 94-581, 95-62, 96-151, 96-330, 97-251, 97-295, 98-528, 99-166, 99-576, and 100-322, 38 U.S.C. 8131-8137.-- 64.005
- Public Safety Officers' Benefits Act of 1976, as amended (42 U.S.C. 3796, Section 1201, Public Law No. 90-351, part L of Title I of the Omnibus Crime Control and Safe Streets Act of 1968).-- 16.571
- Public Works and Economic Development Act of 1965, as amended (42 U.S.C. Section 3121 et seq.)-- 11.300, 11.312
- Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3121 et seq.)-- 11.302, 11.303
- Public Health Service Act, Title VII; Section 761; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.-- 93.300
- Public Health Service Act-- 93.220, 93.936
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- Radiation Control for health Safety Act of 1968-- 93.103
- Rail Safety Improvement Act of 2008-- 20.313
- Railroad Retirement Act of 1974-- 57.001
- Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 821, et seq.)-- 20.316
- Railroad Unemployment Insurance Act-- 57.001
- Real ID Act-- 97.089
- Reauthorized by Public Law 107-82-- 93.276
- Reclamation Projects Authorization and Adjustment Act of 1992-- 15.535
- Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV, Central Valley Project Improvement Act, Public Law 102-575.-- 15.512
- Reclamation States Emergency Drought Relief Act of 1991, Title II, Public Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566.-- 15.514
- Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70.-- 15.504
- Reconnecting Homeless Youth Act-- 93.623
- Reconnecting Homeless Youth Act of 2008-- 93.557
- Refuge Revenue Sharing Act-- 15.659
- Refuge Revenue Sharing Act of 1978-- 15.659
- Refugee Act of 1980-- 93.566, 93.567, 93.576, 93.583, 93.584
- Refugee Assistance Amendments of 1982-- 93.583, 93.584
- Refugee Assistance Extension Act of 1986-- 93.583, 93.584
- Refugee Education Assistance Act of 1980-- 93.566, 93.576, 93.583, 93.584, 97.009
- Rehabilitation Act of 1973-- 84.126, 84.133, 84.250
- Rehabilitation Act of 1973,-- 84.234
- Rehabilitation Act of 1973, Title I, Parts A and B, Sections 100-111; and the American Recovery and Reinvestment Act of 2009 (ARRA).-- 84.390
- Rehabilitation Act of 1973, as amended-- 17.301, 84.129, 84.132, 84.160, 84.161, 84.169, 84.177, 84.187, 84.235, 84.240, 84.246, 84.263, 84.264, 84.265, 84.275, 84.315
- Rehabilitation Act of 1973, as amended,-- 84.406
- Rehabilitation Act of 1973, as amended, Title II-- 84.128
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- Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C-- 84.400
- Rehabilitation Act of 1973, as amended, Title VII, Chapter 2.-- 84.399
- Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Section 377 of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. State Donor Registry Support Program and Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1. Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, 42 U.S.C. Section 274f-1.-- 93.134
- Reorganization Plan No. 4, 1970.-- 11.413
- Residential Lead-Based Paint Hazard Reduction Act of 1992-- 14.900, 14.905, 14.912
- Resource Conservation and Recovery Act-- 66.117, 66.202
- Resource Conservation and Recovery Act (RCRA), Public Law 95-480-- 81.136
- Resource Conservation and Recovery Act of 1976-- 66.305, 66.510, 66.511, 66.517, 66.808, 66.816
- Revenue Act of 1978-- 21.006
- Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.-- 15.619
- Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as amended, 42 U.S.C. 1758, 1761 and 1762a.-- 10.559
- Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition

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Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP)-- 10.579

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.-- 10.558

Riegle Community Development and Regulatory Improvement Act of 1994-- 59.050

Robert T. Stafford Disaster Relief and Emergency Act-- 97.046

Robert T. Stafford Disaster Relief and Emergency Assistance Act-- 17.225, 97.025, 97.026, 97.027, 97.028, 97.030, 97.032, 97.033, 97.034, 97.039, 97.047, 97.088

Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act); Sections 408(b)(1); and 306(a)-- 97.109

Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, including Section 701(b); Title 44 Code of Federal Regulations.-- 97.084

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42, U.S.C. Section 5196c, as amended by Section 614, Grants for Construction of Emergency Operations Centers-- 97.052

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.-- 97.031

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.-- 97.036

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by-- 97.050

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.-- 97.048, 97.049

Robert T. Stafford Disaster Relief and Emergency Assistance Act.-- 93.982

Rocky Boy's North Central Montana Regional Water System Act of 2002-- 15.525

Rural Development Act of 1972-- 10.167

Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.-- 10.850

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.-- 10.857, 10.858, 10.859

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb-- 10.886

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.-- 10.851

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SAFE Port Act-- 97.106

SAFETEA-LU Technical Corrections Act-- 20.318

#### SPECIAL NOTES:

(1) Numerous Programs are funded under CFDA 10.500.

(2) Listed below are several programs, which are indicative of the types of projects currently funded under CFDA 10.500. However, the listing is not exhaustive.

#### 1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Sections 3(b)(1) and 8 of the Smith-Lever Act provide the basis of funding special needs agricultural extension programs at 1862 Land-grant institutions.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Section 7129 of the Food, Conservation, and Energy Act of 2008 (FCEA), re-authorizes Section 3(b) & (c) of the Smith-Lever Act, allowing the Secretary of Agriculture, acting through the Director of the National Institute of Food and Agriculture (NIFA), to conduct competitive grant programs to State Extension Services at 1862 Land-Grant Institutions to support innovative, education-based approaches to addressing emergency preparedness and specific responses related

to natural and man-made disasters.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1949, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

Section 1444 of the National Agricultural Research, Extension, and Teaching Policy Act Of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977, is also known as the Section 1444 Program. This law provides the basis for Federal funding for agricultural extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

#### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

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Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by the U.S. Department of Agriculture to enable low-income individuals and families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University. Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish various goals as indicated in Part I.A. of the Formula Grant Opportunity (FGO).

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life Represents a new program; pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act (FORMULA)

The Renewable Resources Extension Act of 1978 (P.L. 95-306, 92 Stat. 349, 16 U.S.C. 1671 et seq.) provides for an expanded and comprehensive extension program for forest and rangeland renewable resources. The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The authority for this program is under Section 502 (i) of Title V of the Rural Development Act of 1972, as amended (7 U.S.C. 2662). The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A,

Title I. The Rural Health and Safety Education Competitive Program addresses the Individual and Family Health Education component of the authorization.

(c) Extension Services at the 1994 Institutions

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 201 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act) (7 U.S.C. 341 et seq.), as amended. Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 institutions) for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Title VI Section 604 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7642) states that -The Secretary of Agriculture shall continue operation of the Food Animal Residue Avoidance Database program (referred to in this section as the FARAD program) through contracts, grants, or cooperative agreements with appropriate colleges or universities.

(f) Federal Administration

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Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447) (FORMULA)

Pursuant to the authority contained in Section 1447 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) [7 U.S.C. 3222b], and reauthorized by Section 7123 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246) grants will be awarded under the Facilities Grants Program to the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. The Omnibus Appropriations Act, 2009 appropriates funds under Division A, Title I-- 10.500

Safe Drinking Water Act-- 66.035, 66.110, 66.111, 66.113, 66.117, 66.202, 66.203, 66.309, 66.310, 66.312, 66.424, 66.474, 66.478, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517, 66.600, 66.604, 66.608, 66.610, 66.611, 66.612, 66.709, 66.717, 66.931, 66.940, 66.952

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Safe Drinking Water Act Amendments of 1986-- 66.432, 66.433, 66.816

Safe Drinking Water Act Amendments of 1996-- 66.432, 66.433

Safe Drinking Water Act of 1974-- 66.432, 66.433

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU)-- 20.521

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU)-- 20.516

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for



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- Users-- 20.513, 20.514
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.200, 20.215, 20.235, 20.240, 20.314, 20.320, 20.519, 20.522
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) and American Recovery and Reinvestment Act of 2009 (ARRA)-- 20.505
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.205, 20.219
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA LU)-- 20.237
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA LU)-- 20.762
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004-- 20.701
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA- LU)-- 20.761
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.518
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) 2005-- 20.704
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007-- 20.601
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005-- 20.602, 20.610, 20.763
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906-- 20.611
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010-- 20.612
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011-- 20.613
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406-- 20.609
- Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA-LU)-- 20.764
- Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users-- 20.233
- Saltonstall-Kennedy Act-- 11.427, 11.433, 11.452
- Science, State, Justice, Commerce, and Related Agencies Appropriations Act-- 16.748
- Sea Grant College Program Improvement Act of 1976-- 11.417
- Second Chance Act of 2007 (H.R. 1593/S. 1060)-- 16.812
- Section 1003(g)-- 84.377
- Section 1003(g) of the Elementary and Secondary Education Act (ESEA), as amended (Public Law 107-110)(115 Stat. 1442, 20 USC 6303(g)) and the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.-- 84.388
- Section 102(b)(6)-- 84.019, 84.021, 84.022
- Section 102(b)(6)-- 84.018
- Section 104(i)(14)(15) and (17) of the Comprehensive Environmental Response, Compensation and Liability Act; 42 U.S.C. 9604; Sections (i)(14)(15), and (17), as amended.-- 93.202
- Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004.-- 93.009
- Section 116(b)-- 84.101
- Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance.-- 10.227
- Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)).-- 10.226
- Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom, in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences.-- 10.226
- Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185.-- 10.205
- Section 150 - 1990-1991 Department of State Authorization Bill-- 19.013
- Section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), P.L. No. 101-624 (7 U.S.C. 5801).-- 10.215
- Section 1622 of FACTA (7 U.S.C. 5812), and for selected national projects.-- 10.215
- Section 1820(g)(3) of Social Security Act, as amended.-- 93.301
- Section 2 (c), Public Law 89-106, 7 U.S.C. 450i(c), as amended-- 10.200
- Section 2(b)(2) of Public Law 98-244-- 10.683
- Section 2(c)(1)(B) of Public Law 89106, as amended.-- 10.303
- Section 202b of Title II of the Housing Act of 1959, 12 U.S.C. 1701q-2 and Consolidated Appropriations Act, 2008 (Public Law 110-161).-- 14.315
- Section 202b of the Housing Act of 1959, as amended and the Consolidated Appropriations Act, 2008 (Public Law 110-161; approved December 26, 2007).-- 14.314
- Section 209 of the Public Works and Economic development Act of 1965, as amended (PWEDA), (42 U.S.C. 3149)-- 11.307
- Section 216 of the Flood Control Act of 1950-- 10.923
- Section 229 of the Agricultural Research, Extension and Education Reform Act

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of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

Section 7141 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8701 note) authorized the International Science and Education Competitive Grants Program (ISE).-- 10.305

Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246), Section (h) (9) (A).-- 10.316

Section 301-- 93.268

Section 301 and Title IV of the Public Health Service Act, as amended.-- 93.859  
Section 301(a) and 307 of the Public Health Service Act, 42 U.S.C. Sections 241 (a) and 2421, as amended, Public Law 108-25, United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, 22 U.S.C. 7601.-- 93.266

Section 3012(c) of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 (ARRA)-- 93.718

Section 3016 of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5-- 93.721

Section 3021 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU) enacted August 10, 2005 [Public Law 109-59], established a new program called the Alternative Transportation in Parks and Public Lands program. The name of the program was changed to the Paul S. Sarbanes Transit in the Parks under the SAFETEA-LU Technical Corrections Act, 2008.-- 20.520

Section 317 (k)(2) and 3171 of the Public Health Service Act, [42 U.S.C. Sections 247b and 247b-10], as amended.-- 93.197

Section 317(k)(3) of the Public Health Service Act, [42 U.S.C. 247b (k)(3), as amended.-- 93.065

Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.-- 93.889

Section 3508 National Defense Authorization Act-- 20.814

Section 399M of the Public Health Service Act-- 93.251

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information).-- 10.303

Section 413 of the Cardiac Arrest Survival Act of 2000; Public Law 106-505-- 93.259

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>)-- 93.616

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural

Investment Act of 2002, Public Law 107-171.-- 10.168

Section 5 of the Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006-- 20.710

Section 574 (d) of P.L. 109-364, as amended by Section 553 of P.L. 110-417; Title 10 U.S.C. Section 2192(b) and Title 10 U.S.C. Section 2193a-- 12.556

Section 574(d) of Public Law 109-364, as amended by Section 553 of Public Law 110-417; Title 10 U.S.C. Section 2192(b) and Title 10 U.S.C. Section 2193a-- 12.557

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.-- 93.790

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.-- 93.789

Section 6071, Public Law Deficit Reduction Act of 2005, Public Law 109-171.-- 93.791

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;-- 16.736, 16.805

Section 614. Powers of the Corporation Related Provisions(a) The Corporation may make and perform such contracts, grants, and other agreements with any person or government however designated and wherever situated, as may be necessary for carrying out the functions of the Corporation; Section 614(d) of the Millennium Challenge Act of 2003 (Public Law 108-199, Division D), the Millennium Challenge Corporation (MCC), the Foreign Assistance Act of 1961, as amended and the Federal Grant and Cooperative Agreement Act. MCC Grants and Cooperative Agreement Manual, paragraph 6.3 (c)-- 85.111

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant.-- 10.210

Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003-- 93.155

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357-- 93.365

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details.-- 10.307

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].-- 10.311

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009-- 14.880

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903.-- 10.306

Section, 17a(1), Food Stamp Act of 1977, 7 U.S.C. 2026(a)(a); Section 17(b)(1),

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- 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171.-- 10.580
- Sections 1253, 300d-531, of the Public Health Service Act, Title V, 42 U.S.C. 290aa, et seq.-- 93.267
- Sections 301 and 317(k)(2) of the Public Health Service Act-- 93.993
- Sections 304 and 305-- 84.128
- Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 2421 and 247b(k)(2)], as amended.-- 93.269
- Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and 247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601-- 93.067
- Sections 501 and 502 of the Housing and Urban Development Act of 1970 Public Law 110-161; American Recovery and Reinvestment Act of 2009, Public Law 111-5-- 14.910
- Sections 501 and 502 of the Housing and Urban Development Act of 1970; Public Law 110-161; American Recovery and Reinvestment Act of 2009, Public Law 111-5-- 14.908
- Sections 503-- 93.193
- Sections 611-618-- 84.027
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- Shenandoah Valley Battlefields National Historic District and Commission Act of 1996-- 15.936
- Shipping Act of 1984, as amended-- 33.001
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- Small Business Act of 1958-- 59.011
- Small Business Innovation Research Program Reauthorization Act of 1992 as amended-- 93.103
- Small Business Innovation Research Program Reauthorization Act of 2000, Public Law 106-554-- 81.049
- Small Business Investment Act of 1958-- 59.016, 59.041, 59.051
- Small Business Job Protection Act of 1996, as amended-- 17.271
- Small Business Liability Relief and Brownfields Revitalization Act-- 66.817
- Small Business Regulatory Enforcement Fairness Act of 1996-- 59.053
- Small Business Research and Development Enhancement Act of 1992-- 93.121, 93.389, 93.853, 93.855, 93.856, 93.866, 93.879
- Small Business Research and Development Enhancement Act of 2000-- 93.242
- Small Business Technology Transfer Program Reauthorization Act of 2001, Public Law 107-50-- 81.049
- Smith Mundt Act - The United States Information and Education Exchange Act of 1948-- 19.501
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- Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended.-- 15.026
- Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13.-- 15.114
- Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.-- 15.108
- Social Security-- 93.563, 93.564, 93.601
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- Social Security Act (Titles III, IX, XI, XII) 42 USC 501-504; 1101-1110; 1320b-7; 1321-1324-- 17.225
- Social Security Act of 1935-- 57.001
- Social Security Act, Section 1113-- 93.579
- Social Security Act, Section 426, [42 U.S.C. 626], as amended including Section 429, 42 U.S.C., 628B-- 93.648
- Social Security Act, Section 711, as amended, (42 U.S.C. 912)-- 93.223
- Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII, as amended.-- 93.777
- Social Security Act, Title V, Section 501(a) (1), as amended.-- 93.994
- Social Security Act, Title V, Section 502(a)(1) and (b)(1) and 501(c)(1), as amended; 42 U.S.C. 702.; Section 399BB of the Public Health service Act; Section 1109, 1111 and 1112 of the Public Health Service Act and Section 399R of the Public Health Service Act.-- 93.110
- Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603; Small Business Innovation Development Act of 1982; Public Law 97-219, as amended; Small Business Innovation Research Program Extension, Public Law 99-443.-- 93.779
- Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208,104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5.-- 93.778
- Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended-- 93.667
- Social Security Act, as amended-- 93.556
- Social Security online verification; covert and overt monitoring operations for third party testers and State examiners; automated knowledge tests; conviction automation projects; examiner and third party tester education and training .-- 20.231
- Soil Conservation and Domestic Allotment Act of 1935-- 10.903
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- Soil Moisture Conservation Act of 1935-- 15.540
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- Solid Waste Disposal Act-- 66.035, 66.110, 66.111, 66.113, 66.117, 66.202, 66.203, 66.309, 66.310, 66.312, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517, 66.600, 66.604, 66.608, 66.609, 66.610, 66.611, 66.612, 66.709, 66.717, 66.801, 66.808, 66.931, 66.940, 66.952
- Solid Waste Disposal Act (SWDA) of 1976-- 66.804
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- Special Olympic Sports and Empowerment Act-- 84.380
- Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note.-- 10.169
- Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).-- 10.170
- Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-1, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.-- 15.622
- Sportfishing and Recreational Boating Safety Act of 2005/State Boating Safety Financial Assistance-- 97.012
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Stewart B. McKinney Homeless Assistance Amendments Act of 1990-- 93.150

Subpart 2-- 84.047

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Subtitle C of Title 1 of the Trade Adjustment Assistance Reform Act of 2002 (Public Law 107-210), amended the Trade Act of 1974 (Public Law 93-618) establishing the Trade Adjustment Assistance for Farmers (TAAF) program. The American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) reauthorizes and amends the TAAF Program to provide both technical assistance and cash benefits to eligible producers of raw agricultural commodities and fishermen impacted by increased imports contributing to a specific decrease in the national average price, or quantity of production, or value of production of, or cash receipts for the agricultural commodity or fishery products compared to the average of the three (3) preceding marketing years. ARRA amendments to the TAAF program add certain classes of fisherman, increase the reporting requirements and overall transparency of the program, clarify eligibility determinations and associated processes, and clarify the roles and responsibilities of the applicants and the Federal partners.-- 10.315

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403-- 14.238

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319e)-- 10.314

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Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.-- 93.142

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The American Recovery and Reinvestment Act of 2009 (ICAC Initiatives) Public Law No. 111-5; 42 U.S.C. .17601 42 U.S.C .17617; Title I, Section 102 of the Protect Our Children Act of 2008, Public Law 110-40.-- 16.800

The American Recovery and Reinvestment Act of 2009 (Recovery Act), Title XII Transportation and Housing and Urban Development, and Related Agencies, Department of Transportation, Office of the Secretary, Supplemental Discretionary Grants for a National Surface Transportation System.-- 20.932

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, (the Recovery Act); Section 20109 of the Violent Crime Control and Law Enforcement Act of 1994 (42 U.S.C. 13709)-- 16.811

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, (the Recovery Act); Subpart 1 of Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3750-3758)-- 16.804

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115 (the Recovery Act); Subpart 1 of Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3750-3758);-- 16.803

The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.-- 11.557

The American Recovery and Reinvestment Act of 2009-- 10.787

The American Reinvestment and Recovery Act of 2009-- 17.207, 17.260, 17.278

The Broadband Data Services Improvement Act, Public Law No. 110-385, 122 Stat. 4100 (October 10, 2008) and The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.-- 11.558

The Community Food Projects Competitive Grants Program (CFPCGP) legislative authority is located in Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Pub. L. 110-246), which authorizes a program of federal grants to establish and carry out Community Food Projects.-- 10.225

The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended-- 66.815

The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009-- 97.057

The Consolidated Appropriations Act 2004, Public Law 108-109-- 16.737

The Consolidated Appropriations Act 2008-- 14.870, 14.877

The Consolidated Appropriations Act, 2001-- 17.720

The Consolidated Appropriations Act, 2008, Public Law 110-161.-- 16.744

The Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329-- 97.059

The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009-- 97.081

The Deficit Reduction Act of 2005 (DRA)-- 93.086

The Drug Court Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351d, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Public Law 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002).-- 16.585

The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security Act (EISA), signed into Public Law 110-140 on December 19, 2007.-- 81.128

The Energy Policy Act of 2005-- 66.039, 66.040, 77.006

The Export-Import Bank Act of 1945, as amended, 12 U.S.C. 635 et seq.-- 31.007

The Fair Housing Act 42 U.S.C. 3600 et seq.-- 14.401

The Fair Housing Act, 42 U.S.C. 3600 et seq.-- 14.400

The Farm Security and Rural Investment Act of 2002-- 10.055

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- The Federal Agriculture Improvement and Reform Act of 1996-- 10.923
- The Federal Fire Prevention and Control Act of 1974-- 97.018, 97.019, 97.043, 97.044, 97.093, 97.094, 97.095, 97.097, 97.103, 97.105
- The Flexible, Efficient Transportation Equity Act of 2006-- 20.231
- The Flood Disaster Protection Act of 1973, as amended-- 97.045, 97.070
- The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)).-- 10.759
- The Food, Conservation, and Energy Act of 2008-- 10.913, 10.920
- The Fulbright-Hays Act of 1961-- 19.009, 19.010, 19.011, 19.012, 19.014, 19.015, 19.400, 19.401, 19.402, 19.408, 19.415, 19.421, 19.432
- The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188.-- 15.875
- The Homeland Security Act of 2002-- 97.082, 97.098
- The Housing and Economic Recovery Act of 2008-- 21.010
- The Housing and Urban Development Act of 1969-- 97.045
- The Immigration and Nationality Act (INA), as amended and the Refugee Migration and Assistance Act, as amended (MRA).-- 19.510
- The Immigration and Nationality Act, as amended by the Refugee Act of 1980.-- 19.018
- The Lifespan Respite Care Act of 2006-- 93.072
- The Maritime Security Act of 2003-- 20.813
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- The Migration and Refugee Assistance Act of 1962, as amended (MRA), 22 U.S.C. 2601 et seq.-- 19.511, 19.517, 19.519, 19.520
- The Migration and Refugee Assistance Act of 1962, as amended, (MRA) and 22 U.S.C 2601 et seq.-- 19.518
- The Migration and Refugee Assistance Act of 1962, as amended; (MRA) and 22 U.S.C. 2601 et seq.-- 19.522
- The Multifamily Assisted Housing Reform and Affordability Act of 1997 (Title V of Public Law No. 105-65, October 27, 1997, 111 Stat. 1384ff), as amended by section 531 of the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 2000, (Public Law 106-74, October 20, 1999, 113 Stat. 1109ff), as amended by the Mark-to-Market Extension Act of 2001 (Title VI of Public Law No. 107-166, January 10, 2002, 115 Stat. 2177), and as further amended by H.R. 20 (Public Law 110-5) Revised Continuing Appropriations Resolution, 2007 Section 21043, which made changes to Section 579 to extend the statute and allow new referrals until October 1, 2011. The Office of Affordable Housing Preservation (OAHP) administers the Mark-to-Market program (M2M).-- 14.197
- The NICS Improvement Amendments Act of 2007-- 16.813
- The National Earthquake Hazards Reduction Act of 2004, as amended by P.L. 108-360-- 97.082
- The National Flood Insurance Reform Act of 1994-- 97.070
- The National Trails System Act-- 15.935
- The Omnibus Appropriations Act, 2009-- 11.618
- The Omnibus Budget Reconciliation Act of 1981-- 93.568
- The Public Health Act-- 93.275
- The Public Health Security and Bioterrorism Preparedness and Response Act of 2002-- 66.478
- The Reconnecting Homeless Youth Act of 2008-- 93.550
- The Runaway and Homeless Youth Act-- 93.550
- The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.238, 20.318
- The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.234
- The Small Business Act and the Small Business Investment Act of 1958-- 20.910
- The Small Business Liability Relief and Brownfields Revitalization Act of 2002-- 66.818
- The Small Business and Work Opportunity Tax Act of 2007-- 17.271
- The Soil Information Assistance for Community Planning and Resource Development Act of 1966-- 10.903
- The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions.-- 10.309
- The Telehealth Network Grant Program (TNGP) and the Telehealth Resource Center Grant Program (TRCGP) is authorized by Section 330I of the Public Health Service Act. (The Telehomecare provision of the TNGP is authorized by the Conference Report on Appropriations for the Departments of Labor, Health and Human Services, and Education and Related Agencies for the Fiscal Year ending September 30, 2006).
- The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of the Public Health Service Act, 42 USC 254c-18.-- 93.211
- The Transportation Equity Act for the 21st Century of 1998-- 20.231
- The Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008-- 20.315
- The U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007-- 97.075
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.-- 16.525
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g.-- 16.587
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10. Funding was provided by the American Recovery and Reinvestment Act of 2009 (Recovery Act).-- 16.806
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.-- 16.736, 16.805
- The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.-- 15.628
- The statutory authority for cooperative agreements under this program announcement is contained in Division A, Title VIII of the American Recovery and Reinvestment Act (Recovery Act) of 2009 (Public Law 111.5).-- 93.725
- The statutory authority for the EUDL Block Grant Program may be found within Section 504 of the Juvenile Justice and Delinquency Prevention Act, 42 U.S.C. 5783. Congress has delegated the authority to administer the EUDL Program to the Office of Juvenile Justice and Delinquency Prevention (OJJDP), in the U. S. Department of Justice's (DOJ's) Office of Justice Programs (OJP) under the Consolidated Appropriations Act, 2008, P.L. 110-161.-- 16.727
- Third Continuing Resolution for Fiscal Year 1986 Funds, as amended-- 17.245
- This CFDA is for when State receives a grant from FEMA under Section 408(f) to administer the other needs program. If a grant has not been requested by the State, the assistance is provided for under CFDA 97.048-- 97.050
- This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69).-- 81.135
- This program is administered under the provisions of section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) (7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law 110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening

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the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs.-- 10.223

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii.-- 10.228

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences.-- 10.308

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended.-- 93.062

This program is authorized under section 301(a) and 317(k)

2) American Recovery and Reinvestment Act of 2009, Public Health Service Act,

42 U.S. Code 241(a) and 247b (k) 2

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This program is authorized under sections 301(a), 307, 310, 3111 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.-- 93.723

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341.-- 10.212

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Ticket to Work and Work Incentives Improvement Act of 1999; Public Law 106-170.-- 93.769

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Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits.-- 10.222

Title V, Part D, Subpart 1-- 84.374

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# Appendix III: Budget Functional Code Appendix

## FINANCIAL INFORMATION

Account Identification - This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the appropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

- 0: Regular budget schedules
- 1: Supplemental appropriation
- 2: Legislative proposal, not subject to PAYGO
- 3: Appropriations language to be transmitted later
- 4: Legislative proposal, subject to PAYGO
- 5: Recission proposal
- 6: Adjustments to 1996 continuing resolution levels

The eighth digit identifies the type of government fund involved:

1: General fund - General Fund Appropriation Accounts - Accounts established to record amounts appropriated by law to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

2: Special fund - Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law. Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3: Public Enterprise Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4: Intragovernmental Revolving or Management Fund Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds. Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7: Trust Fund (non-revolving) - Trust funds are established to account for the receipt and expenditure of monies by the Government for carrying out specific purposes and programs in accordance with the terms of a statute that designates the fund as a trust fund (such as the Highway Trust Fund) or for carrying out the stipulations of a trust agreement (such as any of several trust funds for gifts and donations for specific purposes). In a trust non-revolving fund, the receipts designated for the trust fund are in a separate account.

8: Trust Fund (revolving) - In a trust revolving fund, the fund is credited with collections earmarked by law to carry out a cycle of business-type operations.

9: For use when account consolidations cross fund types. The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used. (Example: 75-1361-0-1-550)

Listed below are major functions and subfunctions as used in the budget document to show allocations of budget authority and outlays according to end purposes without regard to agency jurisdiction. The central nature of each major function is identified and defined. Catalog programs are listed following each applicable subfunction (or major function). Note that some subfunctions are not applicable to Catalog programs.

The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

# Appendix III: Budget Functional Code Appendix

## **(050) NATIONAL DEFENSE**

This function includes those programs directly related to the common defense and security of the United States. It includes the raising, equipping, and maintaining of armed forces (including civilian supporting activities), development and utilization of weapons systems (including nuclear weapons), and related programs. National defense includes direct compensation and benefits paid to active military and civilian personnel; contributions to their retirement, health, and life insurance funds; the conduct of defense research, development, testing, and evaluation; and procurement, construction, stockpiling, and other activities undertaken with the direct object of fostering our national security. Excluded from national defense are benefits or compensation to veterans and their dependents (veterans benefits are generally available to personnel who served the country in national emergencies; benefits for career military personnel are generally charged as a cost to the national defense function) and military retired pay, which is included in the income security function. Also excluded from national defense is the peaceful conduct of foreign relations; foreign military, economic, and humanitarian assistance; subsidies to business by civilian agencies (such as maritime subsidies) that may be partially justified as promoting national security; and research and operations of agencies (such as space research) whose program mission is not directly designed to promote national defense but which could result in some significant benefits to our national security.

81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)

## **(051) Department of Defense - Military**

The entire agency is included in this subfunction. Because of the method of funding and accounting in the Defense Department no further subdivisions on a program basis are available in terms of outlays.

12.400 Military Construction, National Guard (B)

12.401 National Guard Military Operations and Maintenance (O&M) Projects (B)

12.800 Air Force Defense Research Sciences Program (B)

## **(053) Atomic Energy Defense Activities**

Those programs of the Department of Energy devoted to national defense activities, such as naval ship reactors and nuclear weapons.

17.310 Energy Employees Occupational Illness Compensation (D)

81.104 Office of Environmental Waste Processing (B)

81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)

81.112 Stewardship Science Grant Program (B)

81.113 Defense Nuclear Nonproliferation Research (B)

81.124 Predictive Science Academic Alliance Program (B)

## **(054) Defense-Related Activities**

Miscellaneous defense activities such as the expenses connected with selective service and civil defense activities in the Federal Emergency Management Agency.

20.813 Maritime Security Fleet Program (C)

## **(150) INTERNATIONAL AFFAIRS**

This function is concerned with the maintenance of peaceful relations, commerce, and travel between the United States and the remainder of the world, and with the promotion of international security and economic development abroad. It includes the conduct of foreign affairs; cost of membership in international organizations; foreign information and exchange activities; foreign military, economic, and humanitarian assistance programs; and loan programs designed to foster U.S. exports. Excluded from international affairs are outlays from domestic programs that may tangentially affect foreign relations or citizens of other nations.

## **(151) International Development and Humanitarian Assistance**

This includes humanitarian assistance, development assistance, security supporting assistance, grants to and investments in international financial and development institutions, and the costs associated with concessionary agricultural exports.

19.018 Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement (B)

19.510 U.S. Refugee Admissions Program (B)

19.511 Overseas Refugee Assistance Programs for East Asia (B)

19.517 Overseas Refugee Assistance Programs for Africa (B)

19.518 Overseas Refugee Assistance Programs for Western Hemisphere (B)

19.519 Overseas Refugee Assistance Program for Near East and South Asia (B)

19.520 Overseas Refugee Assistance Programs for Europe (B)

19.522 Overseas Refugee Assistance Programs for Strategic Global Priorities (B)

70.002 Foreign Investment Financing (E,F)

85.111 Rural Water Investment Evaluations (MOZMBIQUE) (C)

## **(152) International Security Assistance**

This includes all of international security assistance. It involves the transfer of defense articles and services to foreign governments through grants, credit sales, and training.

## **(153) Conduct of Foreign Affairs**

This includes the diplomatic and consular operations of the Department of State and closely-related activities in other agencies (such as the Arms Control and Disarmament Agency).

91.001 Annual Grant Competition (B)

91.002 Priority Grant Competition (B)

## **(154) Foreign Information and Exchange Activities**

This includes student and cultural exchange programs and foreign library, radio, or other media information activities designed to promote mutual understanding between the people of the United States and other Nations.

19.009 Academic Exchange Programs - Undergraduate Programs (B)

19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)

19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)

19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B)

19.014 One-Time International Exchange Grant Program (B)

19.015 Cultural, Technical and Educational Centers (B)

19.400 Academic Exchange Programs - Graduate Students (B)

19.401 Academic Exchange Programs - Scholars (B)

19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)

19.408 Academic Exchange Programs - Teachers (B)

19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)

19.421 Academic Exchange Programs - English Language Programs (B)

19.432 Academic Exchange Programs - Educational Advising and Student Services (B)

## **(155) International Financial Programs**

This includes export credit, the military sales trust fund, international commodity agreements, international monetary programs, and other programs designed to improve the functioning of the international financial system.

31.007 Export - Loan Guarantee/Insured Loans (E,F)

## **(250) GENERAL SCIENCE, SPACE AND TECHNOLOGY**

This function shows budget resources allocated to science and research activities of the Federal Government to meet the national need to advance knowledge in this area. In addition, research and technology programs that have diverse goals and cannot readily be classified into one specific function are also placed here to

## Appendix III: Budget Functional Code Appendix

avoid detailed splitting of accounts. Included in this function are general scientific research and civilian space programs that are not an integral part of the programs conducted under any other function. This includes the research conducted by the National Aeronautics and Space Administration, and general science research supported by the Department of Energy. As is noted above, research programs that are an integral part of the achievement of other major functions \_ e.g., health, national defense, energy \_ are excluded from this function. Only if a research program cannot readily be included in other functions is it classified in this function.

81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)

### **(251) General Science and Basic Research**

This includes the expenses of conducting the National Science Foundation programs and the general science activities of the Department of Energy.

47.082 Trans-NSF Recovery Act Research Support (B)  
81.049 Office of Science Financial Assistance Program (B)  
81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)

### **(252) Space Flight, Research, and Supporting Activities**

This subfunction is devoted to the development and operation of space transportation systems, basic scientific research connected with outer space, research and demonstrations designed to provide terrestrial applications of technology developed through space research, and development of new space technologies for future missions. Also included are the costs of tracking and data relay support for NASA space science and applications for flight missions.

43.005 Exploration, Recovery Act (B)  
43.006 Science, Recovery Act (B)

### **(270) ENERGY**

The energy function includes those programs designed to promote an adequate supply and appropriate use of energy to serve the needs of the economy. It includes most of those programs operated by the Department of Energy and its predecessor agencies except for atomic energy defense activities and for general science research not closely related to energy.

81.041 State Energy Program (A,B,L)  
81.042 Weatherization Assistance for Low-Income Persons (A,L)  
81.064 Office of Scientific and Technical Information (L)  
81.086 Conservation Research and Development (B)  
81.087 Renewable Energy Research and Development (B)  
81.119 State Energy Program Special Projects (B)  
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)  
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)  
81.136 Long-Term Surveillance and Maintenance (B)

### **(271) Energy Supply**

This includes those programs designed to increase the supply of energy through the development of domestic resources and systems capable of using them. Included in energy supply are the costs of research and demonstration of supply systems.

10.850 Rural Electrification Loans and Loan Guarantees (E)  
10.851 Rural Telephone Loans and Loan Guarantees (E,F)  
81.022 Used Energy-Related Laboratory Equipment Grants (B)  
81.049 Office of Science Financial Assistance Program (B)  
81.057 University Coal Research (B)  
81.065 Nuclear Waste Disposal Siting (B,C)  
81.086 Conservation Research and Development (B)  
81.087 Renewable Energy Research and Development (B)  
81.089 Fossil Energy Research and Development (B)  
81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)

81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)  
81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)  
81.131 Expand and Extend Clean Coal Power Initiative (B)  
81.132 Geologic Sequestration Site Characterization (B)  
81.133 Geologic Sequestration Training and Research Grant Program (B)  
81.134 Industrial Carbon Capture and Storage (CCS) Application (B)

### **(272) Energy Conservation**

Programs in this subfunction are designed to encourage the prudent use of energy resources.

81.041 State Energy Program (A,B,L)  
81.042 Weatherization Assistance for Low-Income Persons (A,L)  
81.086 Conservation Research and Development (B)  
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)  
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)  
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)

### **(274) Emergency Energy Preparedness**

This includes the programs associated with developing and maintaining a stockpile of energy resources (currently confined to petroleum) to meet emergency needs and associated contingency planning activities.

### **(276) Energy Information, Policy, and Regulation**

This includes the unallocable overhead activities of the Department of Energy plus the costs of energy information and regulation activities.

77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)  
77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)  
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)  
77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)  
81.003 Granting of Patent Licenses (L)

### **(300) NATURAL RESOURCES AND ENVIRONMENT**

This function includes those programs whose primary purpose is to develop, manage, and maintain the Nation's natural resources and environment. It encompasses development and management of water resources; protection and enhancement of environmental quality; development and maintenance of recreational resources; promotion of the prudent use of forest and mineral resources; the fostering of conservation practices on both public and private lands; marine, earth, and atmospheric -related research, and the management of the public domain. Excluded from this function are the outlays for community water supply programs, basic sewer system, and waste treatment plants, which are part of a community or regional development (rather than an environmental enhancement) program or are part of the cost of operating a Federal facility (such as a military installation).

15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)  
15.536 Deschutes River Conservancy (DRC) (B)  
90.300 Japan-U.S. Friendship Commission Grants (B)

### **(301) Water Resources**

This includes water protection, conservation, irrigation, and related activities including the total costs of multipurpose water projects where it is not feasible to separate out the transportation (navigation) or energy (power) segments of these projects.

10.904 Watershed Protection and Flood Prevention (K)  
10.916 Watershed Rehabilitation Program (K)

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- 10.923 Emergency Watershed Protection Program (B)
- 15.504 Water Reclamation and Reuse Program (A)
- 15.506 Water Desalination Research and Development Program (B)
- 15.507 Water 2025 (B)
- 15.509 Colorado River Basin Salinity Control Program (B)
- 15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.514 Reclamation States Emergency Drought Relief (B,J,K)
- 15.516 Fort Peck Reservation Rural Water System (B)
- 15.517 Fish and Wildlife Coordination Act (B)
- 15.518 Garrison Diversion Unit (B)
- 15.520 Lewis and Clark Rural Water System (B)
- 15.522 Mni Wiconi Rural Water Supply Project (B)
- 15.523 Perkins County Rural Water System (B)
- 15.524 Recreation Resources Management (B)
- 15.525 Rocky Boy's/North Central Montana Regional Water System (B)
- 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)
- 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)
- 15.533 California Water Security and Environmental Enhancement (B)
- 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)
- 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)
- 15.537 Middle Rio Grande Endangered Species Collaborative Program (B)
- 15.538 Lower Colorado River Multi-Species Conservation Program. (B)
- 15.539 Equus Beds Division Aquifer Storage Recharge Project (B)
- 15.540 Lake Mead/Las Vegas Wash Program (B)
- 15.541 Colorado River Basin Projects Act of 1968 (B)
- 15.661 Lower Snake River Compensation Plan (B)
- 15.037 Water Resources on Indian Lands (C,J,K)
- 15.051 Endangered Species on Indian Lands (C,K,L)
- 15.065 Safety of Dams on Indian Lands (C)
- 15.225 Recreation Resource Management (B,I,J,K,L,M)
- 15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)
- 15.233 Forests and Woodlands Resource Management (B,K,M)
- 15.236 Environmental Quality and Protection Resource Management (B,K,L,M)
- 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)
- 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)
- 15.253 Not-for-Profit AMD Reclamation (B)
- 15.254 Summer Watershed Intern (C)
- 15.421 Alaska Coastal Marine Institute (B)
- 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)
- 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)
- 15.427 Federal Oil and Gas Royalty Management (B)
- 15.615 Cooperative Endangered Species Conservation Fund (B)
- 15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)
- 15.657 Endangered Species Conservation Recovery Implementation Funds (B)
- 15.660 Endangered Species - Candidate Conservation Action Funds (B)

### **(303) Recreational Resources**

These are programs involving the acquisition, improvement, and operation of recreational lands and facilities including fish and wildlife and parks. It also includes outlays for the preservation of historic areas.

### **(302) Conservation and Land Management**

This includes the costs of operating the public domain (including national forests), payments to encourage private land conservation activities, and surface mining reclamation efforts.

- 10.072 Wetlands Reserve Program (C)
- 10.675 Urban and Community Forestry Program (B)
- 10.681 Wood Education and Resource Center (WERC) (B)
- 10.682 National Forest Foundation (C)
- 10.683 National Fish and Wildlife Foundation (C)
- 10.685 Community Wood Energy Program (B)
- 10.686 Forest Biomass for Energy (B)
- 10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)
- 10.688 Recovery Act of 2009: Wildland Fire Management (B)
- 10.689 Community Forest and Open Space Conservation Program (CFP) (B)
- 10.690 Lake Tahoe Erosion Control Grant Program (B)
- 10.691 Good Neighbor Authority (B)
- 10.901 Resource Conservation and Development (K)
- 10.902 Soil and Water Conservation (K)
- 10.903 Soil Survey (L)
- 10.905 Plant Materials for Conservation (J)
- 10.907 Snow Survey and Water Supply Forecasting (L)
- 10.912 Environmental Quality Incentives Program (C)
- 10.913 Farm and Ranch Lands Protection Program (C)
- 10.914 Wildlife Habitat Incentive Program (C)
- 10.917 Agricultural Management Assistance (C)
- 10.920 Grassland Reserve Program (C)
- 10.921 Conservation Security Program (C)
- 10.922 Healthy Forests Reserve Program (HFRP) (C)
- 15.035 Forestry on Indian Lands (C,J,K)
- 15.605 Sport Fish Restoration Program (A)
- 15.608 Fish and Wildlife Management Assistance (J)
- 15.611 Wildlife Restoration (A)
- 15.619 Rhinoceros and Tiger Conservation Fund (B)
- 15.620 African Elephant Conservation Fund (B)
- 15.621 Asian Elephant Conservation Fund (B)
- 15.622 Sportfishing and Boating Safety Act (B)
- 15.623 North American Wetlands Conservation Fund (B)
- 15.626 Firearm and Bow Hunter Education and Safety Program (A)
- 15.628 Multistate Conservation Grant Program (B)
- 15.629 Great Apes Conservation Fund (B)
- 15.630 Coastal Program (C)
- 15.631 Partners for Fish and Wildlife (C)
- 15.634 State Wildlife Grants (A,B)
- 15.635 Neotropical Migratory Bird Conservation (B)
- 15.636 Alaska Subsistence Management (B)
- 15.637 Migratory Bird Joint Ventures (B)
- 15.639 Tribal Wildlife Grants Program (B)
- 15.640 Wildlife Without Borders- Latin America and the Caribbean (B)
- 15.641 Wildlife Without Borders-Mexico (B)
- 15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)
- 15.931 Conservation Activities by Youth Service Organizations (B)
- 15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)
- 15.933 Preservation of Japanese American Confinement Sites (B)
- 15.934 Abandoned Mine Hazard Mitigation (B,C)
- 15.935 National Trails System Projects (B)
- 15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (B)

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### **(304) Pollution Control and Abatement**

This includes outlays for controlling and reducing air, water, and land pollution or that are specifically funded as an environmental enhancement program. It excludes water resources programs, water treatment plants, and similar programs that are not funded as part of an environmental enhancement activity.

|        |   |        |  |
|--------|---|--------|--|
| 66.001 | Air Pollution Control Program Support (B)   | 66.462 | National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)   |
| 66.032 | State Indoor Radon Grants (B)   | 66.463 | Water Quality Cooperative Agreements (B)   |
| 66.033 | Ozone Transport Commission (B)  | 66.466 | Chesapeake Bay Program (B)   |
| 66.034 | Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)  | 66.467 | Wastewater Operator Training Grant Program (B)   |
| 66.035 | Community Action for a Renewed Environment (CARE) Program (B)   | 66.468 | Capitalization Grants for Drinking Water State Revolving Funds (A)   |
| 66.036 | Clean School Bus USA (B)  | 66.469 | Great Lakes Program (B,I,L)  |
| 66.037 | Internships, Training and Workshops for the Office of Air and Radiation (B)   | 66.471 | State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)  |
| 66.038 | Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B) | 66.472 | Beach Monitoring and Notification Program Implementation Grants (A)  |
| 66.039 | National Clean Diesel Funding Assistance Program (B)  | 66.473 | Direct Implementation Tribal Cooperative Agreements (B)  |
| 66.040 | State Clean Diesel Grant Program (A)  | 66.474 | Water Protection Grants to the States (A)  |
| 66.041 | Climate Showcase Communities Grant Program (B)  | 66.475 | Gulf of Mexico Program (B)   |
| 66.110 | Healthy Communities Grant Program (B)   | 66.478 | Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)   |
| 66.111 | Regional Environmental Priority Projects (B)  | 66.479 | Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)  |
| 66.113 | Region 3 Environmental Priority Projects (B)  | 66.480 | Assessment and Watershed Protection Program Grants (B)   |
| 66.117 | Region 9 Multi-Media and Geographic Priority Projects (B)   | 66.481 | Lake Champlain Basin Program (B)   |
| 66.119 | West Coast Estuaries Initiative (B)   | 66.508 | Senior Environmental Employment Program (B)  |
| 66.120 | Puget Sound Watershed Management Assistance (B)   | 66.509 | Science To Achieve Results (STAR) Research Program (B)   |
| 66.121 | Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)  | 66.510 | Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)  |
| 66.122 | Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)   | 66.511 | Office of Research and Development Consolidated Research/Training/Fellowships (B)  |
| 66.123 | Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)   | 66.512 | Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (B)   |
| 66.202 | Congressionally Mandated Projects (B)   | 66.513 | Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)   |
| 66.203 | Environmental Finance Center Grants (B)   | 66.514 | Science To Achieve Results (STAR) Fellowship Program (B)   |
| 66.305 | Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)  | 66.516 | P3 Award: National Student Design Competition for Sustainability (B)   |
| 66.309 | Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (B)   | 66.517 | Regional Applied Research Efforts (RARE) (B)   |
| 66.310 | Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)  | 66.518 | State Senior Environmental Employment Program (B)  |
| 66.312 | State Environmental Justice Cooperative Agreement Program (B)   | 66.600 | Environmental Protection Consolidated Grants for the Insular Areas - Program Support (B)   |
| 66.418 | Construction Grants for Wastewater Treatment Works (B)  | 66.604 | Environmental Justice Small Grant Program (B)  |
| 66.419 | Water Pollution Control State, Interstate, and Tribal Program Support (A)   | 66.605 | Performance Partnership Grants (A,B)   |
| 66.424 | Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)   | 66.608 | Environmental Information Exchange Network Grant Program and Related Assistance (B)  |
| 66.432 | State Public Water System Supervision (A)   | 66.609 | Protection of Children and Older Adults (Elderly) from Environmental Health Risks (B)  |
| 66.433 | State Underground Water Source Protection (A)   | 66.610 | Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)   |
| 66.436 | Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)   | 66.611 | Environmental Policy and Innovation Grants (B)   |
| 66.437 | Long Island Sound Program (B)   | 66.612 | Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B) |
| 66.439 | Targeted Watersheds Grants (B)  | 66.700 | Consolidated Pesticide Enforcement Cooperative Agreements (B)  |
| 66.454 | Water Quality Management Planning (A)   | 66.701 | Toxic Substances Compliance Monitoring Cooperative Agreements (B)  |
| 66.456 | National Estuary Program (B)  | 66.707 | TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  |
| 66.458 | Capitalization Grants for Clean Water State Revolving Funds (A)   | 66.708 | Pollution Prevention Grants Program (B)  |
| 66.460 | Nonpoint Source Implementation Grants (A)   | 66.709 | Multi-Media Capacity Building Grants for States and Tribes (B)   |
| 66.461 | Regional Wetland Program Development Grants (B)   | 66.714 | Pesticide Environmental Stewardship Regional Grants (B)  |
|        |   | 66.715 | Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)   |
|        |   | 66.716 | Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)   |

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|--------|---|--------|--|
| 66.717 | Source Reduction Assistance (B)   | 11.437 | Pacific Fisheries Data Program (B)   |
| 66.718 | National Community-Based Lead Outreach and Training Grant Program (B)   | 11.438 | Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)                    |
| 66.801 | Hazardous Waste Management State Program Support (A)  | 11.439 | Marine Mammal Data Program (B)   |
| 66.802 | Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)                             | 11.440 | Environmental Sciences, Applications, Data, and Education (B)                      |
| 66.804 | Underground Storage Tank Prevention, Detection and Compliance Program (A)   | 11.441 | Regional Fishery Management Councils (B)   |
| 66.805 | Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)   | 11.443 | Short Term Climate Fluctuations (B)  |
| 66.806 | Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)                    | 11.444 | Hawaii Sustainable Fisheries Development (Aquaculture Program) (B)                 |
| 66.809 | Superfund State and Indian Tribe Core Program Cooperative Agreements (B)  | 11.445 | Hawaii Stock Management Program (B)  |
| 66.810 | Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)                                 | 11.450 | Automated Flood Warning Systems (AFWS) (B)   |
| 66.812 | Hazardous Waste Management Grant Program for Tribes (B)   | 11.452 | Unallied Industry Projects (B)   |
| 66.813 | Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B) | 11.454 | Unallied Management Projects (B)   |
| 66.814 | Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)                                | 11.455 | Cooperative Science and Education Program (B)                                      |
| 66.815 | Brownfield Job Training Cooperative Agreements (B)  | 11.457 | Chesapeake Bay Studies (B)   |
| 66.816 | Headquarters and Regional Underground Storage Tanks Program (B)   | 11.459 | Weather and Air Quality Research (B)   |
| 66.817 | State and Tribal Response Program Grants (A)  | 11.460 | Special Oceanic and Atmospheric Projects (B)                                       |
| 66.818 | Brownfields Assessment and Cleanup Cooperative Agreements (B)   | 11.462 | Hydrologic Research (B)  |
| 66.926 | Indian Environmental General Assistance Program (GAP) (B)   | 11.463 | Habitat Conservation (B)   |
| 66.931 | International Financial Assistance Projects Sponsored by the Office of International Affairs (B)                              | 11.467 | Meteorologic and Hydrologic Modernization Development (B,D,L,M)                    |
| 66.940 | Environmental Policy and State Innovation Grants (B)  | 11.468 | Applied Meteorological Research (B)  |
| 66.950 | Environmental Education Training Program (B)  | 11.469 | Congressionally Identified Awards and Projects (B)                                 |
| 66.951 | Environmental Education Grants (B)  | 11.472 | Unallied Science Program (B)   |
| 66.952 | National Network for Environmental Management Studies Fellowship Program (B)  | 11.473 | Coastal Services Center (B)  |
|        |   | 11.474 | Atlantic Coastal Fisheries Cooperative Management Act (B)                          |
|        |   | 11.478 | Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)              |
|        |   | 11.481 | Educational Partnership Program (B)  |
|        |   | 15.424 | Marine Minerals Activities (B)   |
|        |   | 15.426 | Coastal Impact Assistance Program (CIAP) (A)                                       |
|        |   | 15.817 | National Geospatial Program: Building The National Map (B)                         |
|        |   | 15.818 | Volcano Hazards Program Research and Monitoring. (B)                               |
|        |   | 15.819 | Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B) |
|        |   | 15.820 | National Climate Change and Wildlife Service Center (B)                            |

### **(306) Other Natural Resources**

This includes miscellaneous natural resources programs not classified in other subfunctions, such as marine, earth, and atmosphere-related research, and the cost of geological surveys and mapping.

|        |  |
|--------|--|
| 11.008 | NOAA Mission-Related Education Awards (B)  |
| 11.011 | Ocean Exploration (B)  |
| 11.012 | Integrated Ocean Observing System (IOOS) (B)   |
| 11.400 | Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B) |
| 11.407 | Interjurisdictional Fisheries Act of 1986 (A)  |
| 11.413 | Fishery Products Inspection and Certification (J)  |
| 11.417 | Sea Grant Support (B)  |
| 11.419 | Coastal Zone Management Administration Awards (A,B)  |
| 11.420 | Coastal Zone Management Estuarine Research Reserves (B)  |
| 11.426 | Financial Assistance for National Centers for Coastal Ocean Science (B)                                |
| 11.429 | Marine Sanctuary Program (B)   |
| 11.430 | Undersea Research (B)  |
| 11.431 | Climate and Atmospheric Research (B)   |
| 11.432 | Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (B)                  |
| 11.433 | Marine Fisheries Initiative (B)  |
| 11.434 | Cooperative Fishery Statistics (B)   |
| 11.435 | Southeast Area Monitoring and Assessment Program (B)   |
| 11.436 | Columbia River Fisheries Development Program (B)   |

### **(350) AGRICULTURE**

This function includes those programs that promote the economic stability of agriculture and the Nation's capability to maintain and increase agricultural production. These objectives are accomplished through farm income stabilization programs, research and educational activities, programs that maintain agricultural markets, regulation of agricultural markets and practices, and maintenance of an adequate stockpile of agricultural commodities. This function does not include programs which, though related to rural development, are not directly related to agriculture, such as rural environmental and conservation programs that are classified in the natural resources function. In addition, it excludes the costs connected with concessionary food export sales or food donations whether overseas or for domestic income support purposes.

#### **(351) Farm Income Stabilization**

Loans, subsidies, and other payments for purposes of stabilizing agricultural prices at an equitable level. This includes the cost of acquisition and storage of agricultural commodity stockpiles but does not include the cost of foreign agricultural export losses (which are classified in the international affairs function) or domestic donations of food (which are part of an income support, rather than a farm price support, program).

|        |  |
|--------|--|
| 10.051 | Commodity Loans and Loan Deficiency Payments (D,E) |
| 10.055 | Direct and Counter-cyclical Payments Program (C)   |
| 10.086 | Aquaculture Grants Program (AGP) (A)               |

#### **(352) Agricultural Research and Services**

This includes all other costs of agricultural programs including expenses for programs such as agricultural research and extension services.

|        |  |
|--------|--|
| 10.001 | Agricultural Research_Basic and Applied Research (B) |
|--------|--|

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- 10.153 Market News (L)
- 10.156 Federal-State Marketing Improvement Program (B)
- 10.162 Inspection Grading and Standardization (J)
- 10.163 Market Protection and Promotion (J,K,M)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
- 10.165 Perishable Agricultural Commodities Act (N)
- 10.167 Transportation Services (K,M)
- 10.168 Farmers' Market Promotion Program (B)
- 10.169 Specialty Crop Block Grant Program (B)
- 10.170 Specialty Crop Block Grant Program - Farm Bill (B)
- 10.200 Grants for Agricultural Research, Special Research Grants (B)
- 10.202 Cooperative Forestry Research (A)
- 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)
- 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
- 10.206 Grants for Agricultural Research\_Competitive Research Grants (B)
- 10.207 Animal Health and Disease Research (A)
- 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)
- 10.212 Small Business Innovation Research (B)
- 10.215 Sustainable Agriculture Research and Education (B)
- 10.216 1890 Institution Capacity Building Grants (B)
- 10.217 Higher Education Challenge Grants (B)
- 10.219 Biotechnology Risk Assessment Research (B)
- 10.220 Higher Education Multicultural Scholars Program (B)
- 10.221 Tribal Colleges Education Equity Grants (B)
- 10.222 Tribal Colleges Endowment Program (A)
- 10.223 Hispanic Serving Institutions Education Grants (B)
- 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)
- 10.227 1994 Institutions Research Program (B)
- 10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)
- 10.303 Integrated Programs (B)
- 10.304 Homeland Security\_Agricultural (B)
- 10.305 International Science and Education Grants (B)
- 10.306 Biodiesel (B)
- 10.307 Organic Agriculture Research and Extension Initiative (B)
- 10.308 Resident Instruction Grants for Insular Area Activities (B)
- 10.309 Specialty Crop Research Initiative (B)
- 10.310 Agriculture and Food Research Initiative (AFRI) (B)
- 10.311 Beginning Farmer and Rancher Development Program (B)
- 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)
- 10.314 New ERA Rural Technology Competitive Grants Program (B)
- 10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)
- 10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)
- 10.500 Cooperative Extension Service (A,B)
- 10.700 National Agricultural Library (L)

### **(370) COMMERCE AND HOUSING CREDIT**

This function includes the promotion and regulation of commerce and the housing and thrift insurance industries. Commerce includes the collection and dissemination of social and economic data unless they are an integral part of another function (such as health). This function includes general purpose loans and subsidies to business and to the housing industry. In general, credit and insurance programs are included in this function; however, if such programs are a means of achieving the basic objectives of another function and are an integral part of the programs of that function they are classified in the other function.

### **(371) Mortgage Credit**

Includes homeownership and related loan and insurance programs.

- 10.410 Very Low to Moderate Income Housing Loans (E,F)
- 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans (E)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.444 Direct Housing\_Natural Disaster Loans and Grants (B,E)
- 10.445 Direct Housing\_Natural Disaster (E)
- 10.446 Rural Community Development Initiative (B)
- 10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)
- 10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)
- 10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)
- 14.108 Rehabilitation Mortgage Insurance (F)
- 14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)
- 14.112 Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (F)
- 14.117 Mortgage Insurance\_Homes (F)
- 14.119 Mortgage Insurance\_Homes for Disaster Victims (F)
- 14.122 Mortgage Insurance\_Homes in Urban Renewal Areas (F)
- 14.123 Mortgage Insurance\_Housing in Older, Declining Areas (F)
- 14.126 Mortgage Insurance\_Cooperative Projects (F)
- 14.127 Mortgage Insurance\_Manufactured Home Parks (F)
- 14.128 Mortgage Insurance\_Hospitals (F)
- 14.129 Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
- 14.133 Mortgage Insurance\_Purchase of Units in Condominiums (F)
- 14.134 Mortgage Insurance\_Rental Housing (F)
- 14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
- 14.138 Mortgage Insurance\_Rental Housing for the Elderly (F)
- 14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas (F)
- 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
- 14.151 Supplemental Loan Insurance\_Multifamily Rental Housing (F)
- 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
- 14.157 Supportive Housing for the Elderly (C)
- 14.159 Section 245 Graduated Payment Mortgage Program (F)
- 14.162 Mortgage Insurance\_Combination and Manufactured Home Lot Loans (F)
- 14.163 Mortgage Insurance\_Single Family Cooperative Housing (F)
- 14.167 Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d) (F)
- 14.172 Mortgage Insurance\_Growing Equity Mortgages (F)
- 14.175 Adjustable Rate Mortgages (F)
- 14.181 Supportive Housing for Persons with Disabilities (C)
- 14.183 Home Equity Conversion Mortgages (F)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
- 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)
- 14.189 Qualified Participating Entities (QPE) Risk Sharing (F)
- 14.197 Multifamily Assisted Housing Reform and Affordability Act (C)
- 14.198 Good Neighbor Next Door Sales Program (H)
- 14.199 Multifamily Property Disposition (H)
- 14.311 Single Family Property Disposition (H)
- 14.313 Dollar Home Sales (H)
- 14.865 Public and Indian Housing\_Indian Loan Guarantee Program (F)

### **(372) Postal Service**



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Any net outlays of the postal service included in the budget (or off-budget).

## **(373) Deposit Insurance**

Includes insurance programs protecting depository thrift institutions.

- 44.001 Credit Union Charter, Examination, Supervision, and Insurance (G,J,K)
- 44.002 Community Development Revolving Loan Fund Program for Credit Unions (E)

## **(376) Other Advancement of Commerce**

This includes loan programs designed to aid specialized forms of business (such as small business) that are not included elsewhere in the functional structure. It also includes the costs of collection and dissemination of economic and demographic statistics (such as census data) and of regulation of business.

- 11.009 TV Converter Box Coupon Program Consumer Education and Technical Assistance (B)
- 11.013 Education Quality Award Ambassadorship (B)
- 11.408 Fishermen's Contingency Fund (D)
- 11.415 Fisheries Finance Program (E)
- 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)
- 11.553 Special Projects (B)
- 11.557 Broadband Technology Opportunities Program (BTOP) (B)
- 11.558 State Broadband Data and Development Grant Program (B)
- 11.559 Low-Power Television and Translator Upgrade Program (B)
- 11.609 Measurement and Engineering Research and Standards (B)
- 11.611 Manufacturing Extension Partnership (B,L)
- 11.616 Technology Innovation Program (TIP) (B)
- 11.618 National Institute of Standards and Technology Construction Grant Program (B)
- 14.168 Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (L,N)
- 14.171 Manufactured Home Construction and Safety Standards (L,N)
- 39.009 Federal Citizen Information Center (L)
- 59.006 8(a) Business Development Program (J)
- 59.007 7(j) Technical Assistance (B)
- 59.009 Procurement Assistance to Small Businesses (J)
- 59.011 Small Business Investment Companies (E,F,K)
- 59.012 7(a) Loan Guarantees (F)
- 59.016 Surety Bond Guarantees (G)
- 59.026 Service Corps of Retired Executives (K,M)
- 59.037 Small Business Development Centers (B,J,K,L)
- 59.041 504 Certified Development Loans (F)
- 59.043 Women's Business Ownership Assistance (B)
- 59.044 Veterans Business Development (B)
- 59.046 Microloan Program (A,E)
- 59.049 Small Disadvantaged Businesses (E)
- 59.050 Prime Technical Assistance (B)
- 59.051 New Markets Venture Capital Program (B,F)
- 59.052 Native American Outreach (B)
- 59.053 Ombudsman and Regulatory Fairness Boards (N)
- 59.054 7(a)Export Loan Guarantees (F)
- 59.055 HUBZone Program (B)
- 59.056 Secondary Market Lending Authority (E)
- 59.057 America's Recovery Capital Loans (E)
- 59.070 Drug-Free Workplace Program (B)

## **(400) TRANSPORTATION**

This function includes all programs with the primary aim of providing for the transportation of the general public and/or their property, regardless of whether local or national and regardless of the particular mode of transportation. It

includes the construction of facilities; purchase of equipment; research, testing, and evaluation; provision of communications directly related to transportation (for example, air traffic control by the FAA); and operating subsidies for transportation facilities (such as mass transit) and industries (such as railroads). Transportation includes regulatory activities directed toward transportation. Excluded from this function are the costs of moving personnel or equipment as part of the operation of other government services; the provision of foreign economic assistance which may take the course of assisting transportation facilities or programs abroad; the construction of roads, trails, etc., as an integral part of the operation of public lands, parks, forests, or military reservations, unless they are specifically funded as a part of a broader transportation program; the construction of roads or other transportation facilities as an integral part of a broad community facility or regional development program where the clear intent of the program is regional development and the provisions of transportation facilities is only an incidental by-product or means to attain the objective of regional development. Also excluded from transportation are research and technology activities devoted to space research, except for aeronautical technology, even though this research may eventually redound to the advantage of general transportation.

- 97.072 National Explosives Detection Canine Team Program (B)

## **(401) Ground Transportation**

Outlays to aid and/or regulate the various modes of ground transportation, such as roads and highways, railroads, and urban mass transit.

- 20.200 Highway Research and Development Program (B)
- 20.205 Highway Planning and Construction (A,B)
- 20.215 Highway Training and Education (B,M)
- 20.218 National Motor Carrier Safety (A)
- 20.219 Recreational Trails Program (A,B)
- 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
- 20.231 Performance and Registration Information Systems Management (A)
- 20.232 Commercial Driver License State Programs (B)
- 20.233 Border Enforcement Grants (B)
- 20.234 Safety Data Improvement Program (B)
- 20.235 Commercial Motor Vehicle Operator Training Grants (B)
- 20.238 Commercial Drivers License Information System (B)
- 20.239 Motor Carrier Research and Technology Programs (B)
- 20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)
- 20.241 Federal Motor Carrier Safety Administration National Training Center (A)
- 20.301 Railroad Safety (N)
- 20.313 Railroad Research and Development (B)
- 20.314 Railroad Development (B)
- 20.315 National Railroad Passenger Corporation Grants (B)
- 20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)
- 20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)
- 20.318 Maglev Project Selection Program - SAFETEA-LU (B)
- 20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)
- 20.320 Rail Line Relocation and Improvement (B)
- 20.500 Federal Transit\_Capital Investment Grants (A,B)
- 20.505 Federal Transit\_Metropolitan Planning Grants (A)
- 20.507 Federal Transit\_Formula Grants (A)
- 20.509 Formula Grants for Other Than Urbanized Areas (A)
- 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
- 20.514 Public Transportation Research (B,L,M)
- 20.515 State Planning and Research (A)
- 20.516 Job Access\_Reverse Commute (B)
- 20.518 Capital and Training Assistance Program for Over-the-Road Bus

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Accessibility (B)

- 20.519 Clean Fuels (B)
- 20.521 New Freedom Program (A)
- 20.522 Alternatives Analysis (B)
- 20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)
- 20.600 State and Community Highway Safety (A)
- 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)
- 20.602 Occupant Protection Incentive Grants (B)
- 20.607 Alcohol Open Container Requirements (B)
- 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)
- 20.609 Safety Belt Performance Grants (B)
- 20.610 State Traffic Safety Information System Improvement Grants (B)
- 20.611 Incentive Grant Program to Prohibit Racial Profiling (B)
- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (B)
- 20.613 Child Safety and Child Booster Seats Incentive Grants (B)
- 20.614 National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (B)
- 20.615 E-911 Grant Program (A)
- 20.701 University Transportation Centers Program (B)
- 20.704 RITA Hydrogen (B)
- 20.761 Biobased Transportation Research (B)
- 20.762 Research Grants (B)

## **(402) Air Transportation**

Outlays to aid and/or regulate air transportation, including aeronautical research conducted by the National Aeronautics and Space Administration.

- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.901 Payments for Essential Air Services (C)
- 20.930 Payments for Small Community Air Service Development (B)
- 43.004 Aeronautics, Recovery Act (B)
- 97.047 Pre-Disaster Mitigation (B)
- 97.056 Port Security Grant Program (B)
- 97.057 Intercity Bus Security Grants (B)
- 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)
- 97.060 Port Security Research and Development Grant (B)
- 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)
- 97.100 Airport Checked Baggage Screening Program (C)
- 97.116 Port Security Grant Program (ARRA) (B)
- 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)
- 97.118 Advanced Surveillance Program (ASP) (B)

## **(403) Water Transportation**

Outlays to aid and/or regulate maritime commerce. (To the extent that the data can readily be segregated, this should extend to include inland and deep draft navigation facilities of water resources projects.)

- 20.802 Federal Ship Financing Guarantees (F)
- 20.803 Maritime War Risk Insurance (G)
- 20.806 State Maritime Schools (C,I)
- 20.807 U.S. Merchant Marine Academy (M)
- 20.808 Capital Construction Fund (C)
- 20.812 Construction Reserve Fund (C)
- 33.001 Shipping Dispute Resolution and Investigation of Complaints (N)
- 97.011 Boating Safety (J,K,L,M)
- 97.012 Boating Safety Financial Assistance (A)

97.013 State Access to the Oil Spill Liability Trust Fund (B)

## **(407) Other Transportation**

Outlays for general transportation programs and overhead not readily allocable into any of the preceding subfunctions.

- 20.520 Paul S. Sarbanes Transit in the Parks (B)
- 20.700 Pipeline Safety Program Base Grants (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.710 Technical Assistance Grants (B)
- 20.720 State Damage Prevention Program Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 20.722 Technology Development Grant (B)
- 20.763 Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (B)
- 20.764 Hydrogen Storage Research and Development (B)
- 20.900 Transportation\_Consumer Affairs (N)
- 20.905 Disadvantaged Business Enterprises\_Short Term Lending Program (F)
- 20.907 Pilot Entrepreneurial Training and Technical Assistance Women and Girls Program (B)
- 20.910 Assistance to small and disadvantaged businesses (B)
- 20.932 Surface Transportation\_Discretionary Grants for Capital Investment. (B)

## **(450) COMMUNITY AND REGIONAL DEVELOPMENT**

This function consists of broad-based community, regional, urban and rural renewal and development programs. It includes grants and loans for water supply and sewer systems (except those specifically funded as environmental protection programs), urban community and economic development programs, regional economic development programs, broad-based public facility construction programs, and relief and rehabilitation of private and public facilities in the event of natural disasters. Aids to businesses such as loans, loan guarantees, and subsidies are not normally included in this function unless such aids are a means of economic development to aid restricted (generally depressed) areas and are not designed to promote particular lines of business for their own sake. Transportation facilities developed as an integral part of a community development (rather than transportation) program are also included in this function. As a normal rule, human development and services programs are excluded from this function (and included in the education, training, employment, and social services function). This function is confined to development of physical facilities or financial infrastructures designed to promote viable community economies.

## **(451) Community Development**

This subfunction includes grants and related programs designed to aid community (largely urban) development. It includes community development block grants and predecessor activities such as the urban renewal and model cities programs. Community development programs are generally carried out by the Department of Housing and Urban Development.

- 10.868 Rural Energy for America Program (F)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)
- 14.227 Community Development Block Grants/Technical Assistance Program (B)
- 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)
- 14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)
- 14.247 Self-Help Homeownership Opportunity Program (B)
- 14.248 Community Development Block Grants\_Section 108 Loan Guarantees (F)

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|--|---|---|
| 14.251   | Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)             | Wastewater Projects (B)   |
| 14.253   | Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (A)                       | 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)   |
| 14.254   | Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (B)                 | 11.010 Community Trade Adjustment Assistance (B)  |
| 14.255   | Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (A) | 11.300 Investments for Public Works and Economic Development Facilities (B)   |
| 14.256   | Neighborhood Stabilization Program (Recovery Act Funded) (B)  | 11.302 Economic Development_Support for Planning Organizations (B)  |
| 14.506   | General Research and Technology Activity (J)  | 11.303 Economic Development_Technical Assistance (B)  |
| 14.514   | Hispanic-Serving Institutions Assisting Communities (B)   | 11.307 Economic Adjustment Assistance (B)   |
| 14.515   | Alaska Native/Native Hawaiian Institutions Assisting Communities (B)  | 11.312 Research and Evaluation Program (B)  |
| 14.516   | Doctoral Dissertation Research Grants (B)   | 11.313 Trade Adjustment Assistance for Firms (B)  |
| 14.517   | Early Doctoral Student Research Grants (B)  | 15.020 Aid To Tribal Governments (C)  |
| 14.519   | Tribal Colleges and Universities Program (B)  | 15.033 Road Maintenance_Indian Roads (C)  |
| 14.520   | Historically Black Colleges and Universities Program (B)  | 15.036 Indian Rights Protection (C)   |
| 14.862   | Indian Community Development Block Grant Program (B)  | 15.040 Real Estate Programs_Indian Lands (C)  |
| 14.886   | Indian Community Development Block Grant Program (Recovery Act Funded) (B)  | 15.041 Environmental Management_Indian Programs (C)   |
| 14.900   | Lead-Based Paint Hazard Control in Privately-Owned Housing (B)  | 15.052 Litigation Support for Indian Rights (C)   |
| 14.901   | Healthy Homes Demonstration Grants (B)  | 15.053 Attorney Fees_Indian Rights (C)  |
| 14.905   | Lead Hazard Reduction Demonstration Grant Program (B)   | 15.108 Indian Employment Assistance (C)   |
| 14.906   | Healthy Homes Technical Studies Grants (B)  | 15.141 Indian Housing Assistance (B,L)  |
| 14.907   | Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (B)                              | 23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)   |
| 14.908   | Healthy Homes Demonstration Grants (Recovery Act Funded) (B)  | 23.002 Appalachian Area Development (B)   |
| 14.909   | Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (B)                                       | 23.003 Appalachian Development Highway System (B)   |
| 14.910   | Healthy Homes Technical Studies Grants (Recovery Act Funded) (B)  | 23.009 Appalachian Local Development District Assistance (B)  |
| 14.911   | Green and Healthy Housing Technical Studies Grants (B)  | 23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)   |
| 14.912   | Lead Hazard Control Capacity Building (B)   | 90.100 Denali Commission Program (B)  |
| 21.010   | Financial Education and Counseling Pilot Program (B)  |   |
| 21.020   | Community Development Financial Institutions Program (B)  |   |
| 21.021   | Bank Enterprise Award Program (B)   |   |
| <b>(452) Area and Regional Development</b>   |   | <b>(453) Disaster Relief and Insurance</b>  |
| Grants, loans, subsidies, and related aids to economic development or depressed areas that are generally either primarily for rural areas or else are more regional in nature or purpose than the community development programs. Area and regional development programs are generally carried out by agencies other than the Department of Housing and Urban Development, such as the Departments of Agriculture, Commerce, and Interior. |   | This subfunction includes those Federal programs uniquely devoted to assist communities to recover from natural disasters and assist families on an emergency basis when they are adversely affected by such disasters. |
| 10.760   | Water and Waste Disposal Systems for Rural Communities (B,E,F)  | 59.008 Disaster Assistance Loans (E)  |
| 10.761   | Technical Assistance and Training Grants (B)  | 97.022 Flood Insurance (G)  |
| 10.763   | Emergency Community Water Assistance Grants (B)   | 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)   |
| 10.766   | Community Facilities Loans and Grants (B,E,F)   | 97.029 Flood Mitigation Assistance (B)  |
| 10.770   | Water and Waste Disposal Loans and Grants (Section 306C) (B,E)  | 97.030 Community Disaster Loans (E)   |
| 10.780   | Community Facilities Loans and Grants (B,E)   | 97.031 Cora Brown Fund (C)  |
| 10.781   | Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)   | 97.032 Crisis Counseling (B)  |
| 10.783   | Rural Business Enterprise Grants - ARRA (B)   | 97.033 Disaster Legal Services (C)  |
| 10.787   | Broadband Initiatives Program (B,E)   | 97.034 Disaster Unemployment Assistance (C,J)   |
| 10.855   | Distance Learning and Telemedicine Loans and Grants (B,E)   | 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)  |
| 10.857   | State Bulk Fuel Revolving Fund Grants (B)   | 97.041 National Dam Safety Program (B)  |
| 10.858   | Denali Commission Grants and Loans (B,E)  | 97.045 Cooperating Technical Partners (B)   |
| 10.859   | Assistance to High Energy Cost Rural Communities (B,E)  | 97.046 Fire Management Assistance Grant (B,J)   |
| 10.861   | Public Television Station Digital Transition Grant Program (B)  | 97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)  |
| 10.863   | Community Connect Grant Program (B)   | 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)   |
| 10.864   | Grant Program to Establish a Fund for Financing Water and   | 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)  |
|  |   | 97.064 Debris Removal Insurance (G)   |
|  |   | 97.070 Map Modernization Management Support (B)   |
|  |   | 97.082 Earthquake Consortium (B)  |
|  |   | 97.084 Hurricane Katrina Case Management Initiative Program (B)   |
|  |   | 97.085 9/11 Heroes Stamp Program (D)  |
|  |   | 97.087 Alternative Housing Pilot Program (B)  |
|  |   | 97.092 Repetitive Flood Claims (B)  |

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- 97.098 Disaster Donations Management Program (B)
- 97.109 Disaster Housing Assistance Grant (B)
- 97.110 Severe Loss Repetitive Program (B)

### **(500) EDUCATION, TRAINING, EMPLOYMENT, AND SOCIAL SERVICES**

This function includes those outlays designed to promote the general extension of knowledge and skills, to provide public services to needy individuals, and/or to assist individuals to become self-supporting members of society. It includes the provision of education or training child care services, employment counselling, vocational rehabilitation, and other social services provided to individuals and families. It also includes cash payments (scholarships, loans, or stipends) to persons when such payments are provided to enable a person to participate in education or training programs; it includes programs designed to provide services to the poor (such as community services) that are not an integral part of some other function, and also includes the costs of research directly related to the programs in this function. This function excludes education or training undertaken as an integral part of the achievement of another functional end (such as training of military personnel; veterans education, training, and rehabilitation; or training of health workers in a health program) and also excludes general purpose scientific research. Nutrition or food service programs that are funded separately from social services or education shall be included as income security rather than being included in this function.

- 84.323 Special Education - State Personnel Development (B)
- 84.324 Research in Special Education (B)
- 84.329 Special Education\_Studies and Evaluations (B)

### **(501) Elementary, Secondary, and Vocational Education**

This includes pre-school, elementary, secondary and vocational education programs.

- 15.026 Indian Adult Education (C)
- 15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)
- 15.028 Tribally Controlled Community College Endowments (B)
- 15.042 Indian School Equalization Program (C)
- 15.043 Indian Child and Family Education (B,M)
- 15.044 Indian Schools\_Student Transportation (C)
- 15.045 Assistance for Indian Children with Severe Disabilities (C)
- 15.046 Administrative Cost Grants for Indian Schools (B)
- 15.047 Indian Education Facilities, Operations, and Maintenance (C)
- 15.048 Bureau of Indian Affairs Facilities\_Operations and Maintenance (C)
- 15.059 Indian Graduate Student Scholarships (B)
- 15.114 Indian Education\_Higher Education Grant Program (B)
- 15.130 Indian Education\_Assistance to Schools (C)
- 17.267 Incentive Grants - WIA Section 503 (A,B)
- 84.002 Adult Education - Basic Grants to States (A)
- 84.004 Civil Rights Training and Advisory Services (B)
- 84.010 Title I Grants to Local Educational Agencies (A)
- 84.011 Migrant Education\_State Grant Program (A)
- 84.013 Title I Program for Neglected and Delinquent Children (A)
- 84.027 Special Education\_Grants to States (A)
- 84.040 Impact Aid\_Facilities Maintenance (B)
- 84.041 Impact Aid (A,B)
- 84.048 Career and Technical Education -- Basic Grants to States (A)
- 84.051 Career and Technical Education -- National Programs (B)
- 84.060 Indian Education\_Grants to Local Educational Agencies (A)
- 84.083 Women's Educational Equity Act Program (B)
- 84.101 Career and Technical Education - Indian Set-aside (B)
- 84.141 Migrant Education\_High School Equivalency Program (B)
- 84.144 Migrant Education\_Coordination Program (B)
- 84.149 Migrant Education\_College Assistance Migrant Program (B)

- 84.165 Magnet Schools Assistance (B)
- 84.173 Special Education\_Preschool Grants (A)
- 84.181 Special Education-Grants for Infants and Families (A)
- 84.184 Safe and Drug-Free Schools and Communities\_National Programs (B)
- 84.186 Safe and Drug-Free Schools and Communities\_State Grants (A)
- 84.191 Adult Education\_National Leadership Activities (B,C)
- 84.196 Education for Homeless Children and Youth (A)
- 84.213 Even Start\_State Educational Agencies (A)
- 84.214 Even Start\_Migrant Education (B)
- 84.215 Fund for the Improvement of Education (B)
- 84.243 Tech-Prep Education (A)
- 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)
- 84.256 Freely Associated States\_Education Grant Program (B)
- 84.257 National Institute for Literacy (B,C)
- 84.258 Even Start\_Indian Tribes and Tribal Organizations (B)
- 84.259 Native Hawaiian Career and Technical Education (B)
- 84.282 Charter Schools (B)
- 84.283 Comprehensive Centers (B)
- 84.286 Ready to Teach (B)
- 84.287 Twenty-First Century Community Learning Centers (A)
- 84.293 Foreign Language Assistance (B)
- 84.295 Ready-To-Learn Television (B)
- 84.299 Indian Education -- Special Programs for Indian Children (B)
- 84.304 Civic Education - Cooperative Education Exchange Program (B)
- 84.310 Parental Information and Resource Centers (B)
- 84.318 Education Technology State Grants (A)
- 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)
- 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)
- 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities (B)
- 84.328 Special Education\_Parent Information Centers (B)
- 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)
- 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)
- 84.332 Comprehensive School Reform Demonstration (B)
- 84.336 Teacher Quality Partnership Grants (B)
- 84.350 Transition to Teaching (B)
- 84.351 Arts in Education (B)
- 84.354 Credit Enhancement for Charter School Facilities (B)
- 84.356 Alaska Native Educational Programs (B)
- 84.357 Reading First State Grants (A)
- 84.358 Rural Education (A)
- 84.359 Early Reading First (B)
- 84.360 School Dropout Prevention Program (B)
- 84.361 Voluntary Public School Choice (B)
- 84.362 Native Hawaiian Education (B)
- 84.363 School Leadership (B)
- 84.364 Literacy through School Libraries (B)
- 84.365 English Language Acquisition Grants (A,B)
- 84.366 Mathematics and Science Partnerships (B)
- 84.367 Improving Teacher Quality State Grants (A)
- 84.369 Grants for State Assessments and Related Activities (A)
- 84.370 DC School Choice Incentive Program (B)
- 84.371 Striving Readers (B)
- 84.373 Special Education\_Technical Assistance on State Data Collection (B)

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| 84.374 | Teacher Incentive Fund (B)  | 84.268 | Federal Direct Student Loans (E)   |
| 84.377 | School Improvement Grants (A)   | 84.269 | Institute for International Public Policy (B)  |
| 84.380 | Special Education -- Olympic Education Programs (B)   | 84.274 | American Overseas Research Centers (B)   |
| 84.383 | Homeless Education Disaster Assistance Program (A)  | 84.333 | Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)  |
| 84.385 | Teacher Incentive Fund, Recovery Act (B)  | 84.334 | Gaining Early Awareness and Readiness for Undergraduate Programs (B)   |
| 84.386 | Education Technology State Grants, Recovery Act (A)   | 84.335 | Child Care Access Means Parents in School (B)  |
| 84.387 | Education for Homeless Children and Youth, Recovery Act (A)                                 | 84.336 | Teacher Quality Partnership Grants (B)   |
| 84.388 | School Improvement Grants, Recovery Act (A)   | 84.337 | International Education_Technological Innovation and Cooperation for Foreign Information Access (B)  |
| 84.389 | Title I Grants to Local Educational Agencies, Recovery Act (A)                              | 84.345 | Underground Railroad Educational and Cultural Program (B)  |
| 84.391 | Special Education Grants to States, Recovery Act (A)  | 84.375 | Academic Competitiveness Grants (C)  |
| 84.392 | Special Education - Preschool Grants, Recovery Act (A)                                      | 84.376 | National Science and Mathematics Access to Retain Talent (SMART) Grants (C)  |
| 84.393 | Special Education - Grants for Infants and Families, Recovery Act (A)                       | 84.378 | College Access Challenge Grant Program (A)   |
| 84.394 | State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (A)           | 84.379 | Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)  |
| 84.395 | State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (B) | 84.381 | Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) |
| 84.396 | State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (B)   | 84.382 | Strengthening Minority-Serving Institutions (B)  |
| 84.397 | State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (A)              | 84.405 | Teacher Quality Partnerships, Recovery Act (B)   |
| 84.401 | Impact Aid School Construction, Recovery Act (B)  | 85.101 | Homeland Security Award (D)  |
| 84.402 | Consolidated Grants to the Outlying Areas, Recovery Act (A)                                 | 85.102 | Christopher Columbus Awards (B)  |
| 84.403 | Consolidated Grant to the Outlying Areas (A)  | 85.103 | Freida J. Riley Teacher Award (D)  |
| 84.404 | Impact Aid -- School Construction Formula Grants, Recovery Act (A)                          | 85.104 | Life Sciences Awards (D)   |

### **(502) Higher Education**

This includes postsecondary, college level and graduate school education programs.

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| 84.007 | Federal Supplemental Educational Opportunity Grants (C)  |
| 84.015 | National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B) |
| 84.016 | Undergraduate International Studies and Foreign Language Programs (B)  |
| 84.017 | International Research and Studies (B)   |
| 84.018 | Overseas Programs_Special Bilateral Projects (B)   |
| 84.019 | Overseas Programs - Faculty Research Abroad (B)  |
| 84.021 | Overseas Programs - Group Projects Abroad (B)  |
| 84.022 | Overseas Programs - Doctoral Dissertation Research Abroad (B)  |
| 84.031 | Higher Education_Institutional Aid (B)   |
| 84.032 | Federal Family Education Loans (F)   |
| 84.033 | Federal Work-Study Program (C)   |
| 84.037 | Perkins Loan Cancellations (C,D)   |
| 84.038 | Federal Perkins Loan Program_Federal Capital Contributions (C)   |
| 84.042 | TRIO_Student Support Services (B)  |
| 84.044 | TRIO_Talent Search (B)   |
| 84.047 | TRIO_Upward Bound (B)  |
| 84.063 | Federal Pell Grant Program (C)   |
| 84.066 | TRIO_Educational Opportunity Centers (B)   |
| 84.069 | Leveraging Educational Assistance Partnership (A)  |
| 84.103 | TRIO Staff Training Program (B)  |
| 84.116 | Fund for the Improvement of Postsecondary Education (B)  |
| 84.120 | Minority Science and Engineering Improvement (B)   |
| 84.153 | Business and International Education Projects (B)  |
| 84.170 | Javits Fellowships (B)   |
| 84.185 | Byrd Honors Scholarships (A)   |
| 84.200 | Graduate Assistance in Areas of National Need (B)  |
| 84.217 | TRIO_McNair Post-Baccalaureate Achievement (B)   |
| 84.220 | Centers for International Business Education (B)   |
| 84.229 | Language Resource Centers (B)  |

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| 84.268 | Federal Direct Student Loans (E)   |
| 84.269 | Institute for International Public Policy (B)  |
| 84.274 | American Overseas Research Centers (B)   |
| 84.333 | Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)  |
| 84.334 | Gaining Early Awareness and Readiness for Undergraduate Programs (B)   |
| 84.335 | Child Care Access Means Parents in School (B)  |
| 84.336 | Teacher Quality Partnership Grants (B)   |
| 84.337 | International Education_Technological Innovation and Cooperation for Foreign Information Access (B)  |
| 84.345 | Underground Railroad Educational and Cultural Program (B)  |
| 84.375 | Academic Competitiveness Grants (C)  |
| 84.376 | National Science and Mathematics Access to Retain Talent (SMART) Grants (C)  |
| 84.378 | College Access Challenge Grant Program (A)   |
| 84.379 | Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)  |
| 84.381 | Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B) |
| 84.382 | Strengthening Minority-Serving Institutions (B)  |
| 84.405 | Teacher Quality Partnerships, Recovery Act (B)   |
| 85.101 | Homeland Security Award (D)  |
| 85.102 | Christopher Columbus Awards (B)  |
| 85.103 | Freida J. Riley Teacher Award (D)  |
| 85.104 | Life Sciences Awards (D)   |
| 85.400 | Morris K. Udall Scholarship Program (C)  |
| 85.401 | Morris K. Udall Fellowship Program (C)   |
| 85.402 | Morris K. Udall Native American Congressional Internship Program (C)   |
| 85.500 | James Madison Memorial Fellowship Program (B)  |

### **(503) Research and General Education Aids**

This includes assistance for the arts, the humanities, educational radio and television, public libraries, and museums.

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| 45.024 | Promotion of the Arts_Grants to Organizations and Individuals (B)                          |
| 45.025 | Promotion of the Arts_Partnership Agreements (B,K)   |
| 45.129 | Promotion of the Humanities_Federal/State Partnership (A)                                  |
| 45.130 | Promotion of the Humanities_Challenge Grants (B)   |
| 45.149 | Promotion of the Humanities_Division of Preservation and Access (B)                        |
| 45.160 | Promotion of the Humanities_Fellowships and Stipends (B)                                   |
| 45.161 | Promotion of the Humanities_Research (B)   |
| 45.162 | Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B) |
| 45.163 | Promotion of the Humanities_Professional Development (B)                                   |
| 45.164 | Promotion of the Humanities_Public Programs (B)  |
| 45.168 | Promotion of the Humanities_We the People (B)  |
| 45.169 | Promotion of the Humanities_Office of Digital Humanities (B)                               |
| 45.201 | Arts and Artifacts Indemnity (G)   |
| 84.145 | Federal Real Property Assistance Program (H)   |
| 84.206 | Javits Gifted and Talented Students Education Grant Program (B)                            |
| 84.305 | Education Research, Development and Dissemination (B)                                      |
| 84.372 | Statewide Data Systems (B)   |
| 84.384 | Statewide Data Systems, Recovery Act (B)   |

### **(504) Training and Employment**

This includes programs of job or skill training, employment services and placement, and payments to employers to subsidize employment of marginal, unemployed, or low income workers.

## Appendix III: Budget Functional Code Appendix

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| 17.201   | Registered Apprenticeship and Other Training (M)   | Disabilities (A)  |
| 17.235   | Senior Community Service Employment Program (A,B)  | 84.224 Assistive Technology (A)   |
| 17.258   | WIA Adult Program (A)  | 84.234 Projects with Industry (B)   |
| 17.259   | WIA Youth Activities (A)   | 84.235 Rehabilitation Services Demonstration and Training Programs (B)  |
| 17.260   | WIA Dislocated Workers (A,B)   | 84.240 Program of Protection and Advocacy of Individual Rights (B)  |
| 17.261   | WIA Pilots, Demonstrations, and Research Projects (B)  | 84.246 Rehabilitation Short-Term Training (B)   |
| 17.264   | National Farmworker Jobs Program (A)   | 84.250 Rehabilitation Services_ American Indians with Disabilities (B)  |
| 17.265   | Native American Employment and Training (B)  | 84.263 Rehabilitation Training_ Experimental and Innovative Training (B)  |
| 17.268   | H-1B Job Training Grants (B)   | 84.264 Rehabilitation Training_ Continuing Education (B)  |
| 17.269   | Community Based Job Training Grants (B)  | 84.265 Rehabilitation Training_ State Vocational Rehabilitation Unit In-Service Training (B)  |
| 17.270   | Reintegration of Ex-Offenders (B)  | 84.275 Rehabilitation Training_ General Training (B)  |
| 17.272   | Permanent Labor Certification for Foreign Workers (J)  | 84.315 Capacity Building for Traditionally Underserved Populations (B)  |
| 17.273   | Temporary Labor Certification for Foreign Workers (A,J)  | 84.343 Assistive Technology_ State Grants for Protection and Advocacy (A)   |
| 17.274   | Youthbuild (B)   | 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)   |
| 17.275   | Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)     | 84.398 Independent Living State Grants, Recovery Act (A)  |
| 17.276   | Health Coverage Tax Credit (HCTC) (B)  | 84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act (A)  |
| 17.277   | Workforce Investment Act (WIA) National Emergency Grants (B)   | 84.400 Centers for Independent Living, Recovery Act. (B)  |
| 17.278   | WIA Dislocated Worker Formula Grants (A)   | 84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act. (B)   |
| 17.802   | Veterans' Employment Program (B)   | 93.009 Compassion Capital Fund (B)  |
| <b>(505) Other Labor Services</b>  |  | 93.010 Community-Based Abstinence Education (CBAE) (B)  |
| This includes aids to or regulation of the labor market (including gathering labor statistics and mediation and conciliation services) other than employment and training programs, and other than occupational safety and health programs.  |  | 93.072 Lifespan Respite Care Program (B)  |
| 17.002   | Labor Force Statistics (B,L)   | 93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)   |
| 17.003   | Prices and Cost of Living Data (L)   | 93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)                               |
| 17.004   | Productivity and Technology Data (L)   | 93.235 Abstinence Education Program (A)   |
| 17.005   | Compensation and Working Conditions (B,L)  | 93.254 Infant Adoption Awareness Training (B)   |
| 17.301   | Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (N) | 93.550 Transitional Living for Homeless Youth (B)   |
| 17.303   | Wage and Hour Standards (K,N)  | 93.551 Abandoned Infants (B)  |
| 17.306   | Consumer Credit Protection (K,N)   | 93.556 Promoting Safe and Stable Families (A,B)   |
| 17.308   | Farm Labor Contractor Registration (K,N)   | 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)                               |
| 17.309   | Labor Organization Reports (K,L,N)   | 93.569 Community Services Block Grant (A)   |
| 17.311   | Federal Transit Employee Protection Certifications: Office of Labor-Management Standards (B)                         | 93.570 Community Services Block Grant_ Discretionary Awards (B)   |
| 17.700   | Women's Bureau (K)   | 93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)                                    |
| 17.720   | Disability Employment Policy Development (B)   | 93.586 State Court Improvement Program (A)  |
| 34.002   | Labor Management Cooperation (B)   | 93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)  |
| 46.001   | Labor-Management Relations (J,N)   | 93.590 Community-Based Child Abuse Prevention Grants (A)  |
| <b>(506) Social Services</b>   |  | 93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_ Grants to State Domestic Violence Coalitions (A) |
| This is composed of two forms of activities: (a) programs involving the provision of a broad range of services to individuals to assist them to improve their vocational capabilities (vocational rehabilitation) or family status, and (b) provision of services to the poor and elderly that are not primarily for income support and that are not an integral part of some other function (for example, community action programs). |  | 93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_ Discretionary Grants (B)                         |
| 84.126   | Rehabilitation Services_ Vocational Rehabilitation Grants to States (A)  | 93.593 Job Opportunities for Low-Income Individuals (B)   |
| 84.128   | Rehabilitation Services_ Service Projects (B)  | 93.599 Chafee Education and Training Vouchers Program (ETV) (A)   |
| 84.129   | Rehabilitation Long-Term Training (B)  | 93.600 Head Start (B)   |
| 84.132   | Centers for Independent Living (B)   | 93.602 Assets for Independence Demonstration Program (B)  |
| 84.133   | National Institute on Disability and Rehabilitation Research (B)   | 93.603 Adoption Incentive Payments (A)  |
| 84.160   | Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)                            | 93.612 Native American Programs (B)   |
| 84.161   | Rehabilitation Services_ Client Assistance Program (A)   | 93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)  |
| 84.169   | Independent Living_ State Grants (A)   | 93.616 Mentoring Children of Prisoners (B)  |
| 84.177   | Rehabilitation Services_ Independent Living Services for Older Individuals Who are Blind (B)                         | 93.617 Voting Access for Individuals with Disabilities_ Grants to States (A)  |
| 84.187   | Supported Employment Services for Individuals with Significant   | 93.618 Voting Access for Individuals with Disabilities_ Grants for Protection and Advocacy Systems (A)                                |
|  |  | 93.623 Basic Center Grant (B)   |

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| 93.630   | Developmental Disabilities Basic Support and Advocacy Grants (A)  | 93.118 | Acquired Immunodeficiency Syndrome (AIDS) Activity (B)   |
| 93.631   | Developmental Disabilities Projects of National Significance (B)  | 93.121 | Oral Diseases and Disorders Research (B)   |
| 93.632   | University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)                        | 93.124 | Nurse Anesthetist Traineeships (A)   |
| 93.645   | Child Welfare Services_State Grants (A)   | 93.127 | Emergency Medical Services for Children (B)  |
| 93.647   | Social Services Research and Demonstration (B)  | 93.129 | Technical and Non-Financial Assistance to Health Centers (B)   |
| 93.648   | Child Welfare Research Training or Demonstration (B)  | 93.134 | Grants to Increase Organ Donations (B)   |
| 93.652   | Adoption Opportunities (B)  | 93.135 | Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)   |
| 93.667   | Social Services Block Grant (A)   | 93.136 | Injury Prevention and Control Research and State and Community Based Programs (B)  |
| 93.669   | Child Abuse and Neglect State Grants (A)  | 93.138 | Protection and Advocacy for Individuals with Mental Illness (A)  |
| 93.670   | Child Abuse and Neglect Discretionary Activities (B)  | 93.145 | AIDS Education and Training Centers (B)  |
| 93.671   | Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)         | 93.150 | Projects for Assistance in Transition from Homelessness (PATH) (A)   |
| 93.676   | Unaccompanied Alien Children Program (B)  | 93.153 | Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)  |
| 93.705   | Aging Home-Delivered Nutrition Services for States (A)  | 93.155 | Rural Health Research Centers (B)  |
| 93.706   | Aging Nutrition Services for Native Americans (B)   | 93.156 | Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B)   |
| 93.707   | Aging Congregate Nutrition Services for States (A)  | 93.157 | Centers of Excellence (B)  |
| 93.708   | ARRA - Head Start (B)   | 93.162 | National Health Service Corps Loan Repayment Program (C)   |
| 93.709   | ARRA - Early Head Start (B)   | 93.165 | Grants to States for Loan Repayment Program (B)  |
| 93.710   | ARRA - Community Services Block Grant (A)   | 93.178 | Nursing Workforce Diversity (B)  |
| 93.711   | ARRA Strengthening Communities Fund (B)   | 93.184 | Disabilities Prevention (B)  |
| 93.714   | ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)                        | 93.185 | Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)   |
| 93.716   | ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)   | 93.186 | National Research Service Award in Primary Care Medicine (M)   |
| 93.725   | ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)                                  | 93.191 | Allied Health Special Projects (B)   |
| 94.018   | Learn and Serve America Innovative Community-Based Service-Learning Programs (B)  | 93.197 | Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)                                 |
| <b>(550) HEALTH</b>  |   | 93.211 | Telehealth Network Grants (B)  |
| This function includes those programs that have as their basic purpose the promotion of the physical and mental health of the nation's population, including the prevention of illness and accidents. It includes planning, financing, and provision of medical care; research into the causes and cure of disease; the financing of specialized programs for training of health workers and researchers; and promotion of consumer and occupational health and safety. Excluded from the health function are Federal health care costs that are an integral part of another function, such as medicare and medical care for military personnel and for veterans. General scientific research that has medical applications (such as that conducted by the National Science Foundation) and health programs financed through foreign assistance programs are also excluded from the health function. |   | 93.212 | Chiropractic Demonstration Project Grants (B)  |
| 93.061   | Innovations in Applied Public Health Research (B)   | 93.223 | Development and Coordination of Rural Health Services (B)  |
| 93.062   | Biomonitoring Programs for State Public Health Laboratories (B)   | 93.224 | Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)         |
| 93.063   | Centers for Genomics and Public Health (B)  | 93.234 | Traumatic Brain Injury State Demonstration Grant Program (B)   |
| 93.064   | Laboratory Training, Evaluation, and Quality Assurance Programs (B)   | 93.241 | State Rural Hospital Flexibility Program (B)   |
| 93.065   | Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B) | 93.243 | Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)  |
| 93.066   | State Vital Statistics Improvement Program (B)  | 93.250 | Geriatric Academic Career Awards (C)   |
| 93.067   | Global AIDS (B)   | 93.251 | Universal Newborn Hearing Screening (B)  |
| 93.068   | Chronic Diseases: Research, Control, and Prevention (B)   | 93.253 | Poison Control Stabilization and Enhancement Grants (B)  |
| 93.069   | Public Health Emergency Preparedness (B)  | 93.255 | Children's Hospitals Graduate Medical Education Payment (C)  |
| 93.070   | Environmental Public Health and Emergency Response (B)  | 93.257 | Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)   |
| 93.104   | Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)                   | 93.259 | Rural Access to Emergency Devices Grant (B)  |
| 93.107   | Model State-Supported Area Health Education Centers (B)   | 93.262 | Occupational Safety and Health Program (B,M)   |
| 93.110   | Maternal and Child Health Federal Consolidated Programs (B)   | 93.264 | Nurse Faculty Loan Program (NFLP) (E)  |
| 93.116   | Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)   | 93.265 | Comprehensive Geriatric Education Program(CGEP) (B)  |
| 93.117   | Grants for Preventive Medicine (B)  | 93.266 | Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B) |
|  |   | 93.267 | State Grants for Protection and Advocacy Services (A)  |
|  |   | 93.268 | Immunization Grants (B)  |
|  |   | 93.269 | Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)   |
|  |   | 93.270 | Adult Viral Hepatitis Prevention and Control (B)   |
|  |   | 93.275 | Substance Abuse and Mental Health Services-Access to Recovery (B)  |
|  |   | 93.283 | Centers for Disease Control and Prevention_Investigations and  |

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| Technical Assistance (B)  | 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)   |
| 93.288 National Health Service Corps Scholarship Program (C)  | 93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)   |
| 93.300 National Center for Health Workforce Analysis (B)  | 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)  |
| 93.301 Small Rural Hospital Improvement Grant Program (B)   | 93.924 Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership (B,C)   |
| 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (E)                | 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)  |
| 93.359 Nurse Education, Practice and Retention Grants (B)   | 93.926 Healthy Start Initiative (B)   |
| 93.364 Nursing Student Loans (E)  | 93.928 Special Projects of National Significance (B)  |
| 93.365 Sickle Cell Treatment Demonstration Program (B)  | 93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)  |
| 93.393 Cancer Cause and Prevention Research (B)   | 93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)  |
| 93.394 Cancer Detection and Diagnosis Research (B)  | 93.940 HIV Prevention Activities_Health Department Based (B)  |
| 93.395 Cancer Treatment Research (B)  | 93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)  |
| 93.396 Cancer Biology Research (B)  | 93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)  |
| 93.397 Cancer Centers Support Grants (B)  | 93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)   |
| 93.398 Cancer Research Manpower (B)   | 93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)  |
| 93.399 Cancer Control (B)   | 93.945 Assistance Programs for Chronic Disease Prevention and Control (B)   |
| 93.400 National Health Service Corps Scholarship Program (C)  | 93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)  |
| 93.401 ARRA - National Health Service Corps Loan Repayment (C)  | 93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)  |
| 93.402 ARRA - State Loan Repayment Program (C)  | 93.958 Block Grants for Community Mental Health Services (A)  |
| 93.403 ARRA - Training in Primary Care Medicine and Dentistry (B)   | 93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)   |
| 93.404 ARRA Dental Public Health Residency Training Grants (B)  | 93.964 Public Health Traineeships (A)   |
| 93.405 ARRA - Public Health Traineeship Program (A)   | 93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)  |
| 93.406 Nursing Education Loan Repayment Program (NELRP) (C)   | 93.975 National All Schedules Prescription Electronic Reporting Grant (A)   |
| 93.407 ARRA - Scholarships for Disadvantaged Students (B)   | 93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)  |
| 93.408 ARRA - Nurse Faculty Loan Program (B)  | 93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)   |
| 93.409 Faculty Loan Repayment Programs (C)  | 93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)  |
| 93.410 ARRA Licensure Portability Grant Program (B)   | 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)  |
| 93.411 ARRA Equipment to Enhance Training for Health Professionals (B)  | 93.993 Public Health Research Accreditation Project (B)   |
| 93.412 ARRA - Preventive Medicine Residency Program (B)   | 93.994 Maternal and Child Health Services Block Grant to the States (A)   |
| 93.414 ARRA - State Primary Care Offices (B)  |   |
| 93.415 ARRA - Centers of Excellence (B)   |   |
| 93.416 ARRA - Health Careers Opportunity Program (B)  |   |
| 93.417 ARRA - Nursing Workforce Diversity (B)   |   |
| 93.418 ARRA - Emergency Medical Services for Children (B)   |   |
| 93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)                                      |   |
| 93.703 ARRA Health Center Integrated Services Development Initiative[g1] (B)  |   |
| 93.712 ARRA - Immunization (B)  |   |
| 93.717 ARRA - Preventing Healthcare-Associated Infections (B)   |   |
| 93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)  |   |
| 93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B) |   |
| 93.777 State Survey and Certification of Health Care Providers and Suppliers (A)  |   |
| 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)                      |   |
| 93.822 Health Careers Opportunity Program (B)   |   |
| 93.824 Basic/Core Area Health Education Centers (B)   |   |
| 93.884 Grants for Training in Primary Care Medicine and Dentistry (B)   |   |
| 93.887 Health Care and Other Facilities (B)   |   |
| 93.888 Specially Selected Health Projects (B)   |   |
| 93.908 Nursing Education Loan Repayment Program (C)   |   |
| 93.912 Rural Health Care Services Outreach and Rural Health Network Development Program (B)                               |   |
| 93.913 Grants to States for Operation of Offices of Rural Health (B)  |   |
| 93.914 HIV Emergency Relief Project Grants (B)  |   |
| 93.917 HIV Care Formula Grants (A)  |   |
|   | <b>(551) Health Care Services</b>   |
|   | This includes the costs of financing the provision of medical services to individuals and families whether such services are provided directly by the Federal Government or financed through grants, contracts, insurance, or reimbursements. |
|   | 93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)  |
|   | 93.123 Health Professions Pregraduate Scholarship Program for Indians (M)   |
|   | 93.161 Health Program for Toxic Substances and Disease Registry (B)   |
|   | 93.164 Indian Health Service Educational Loan Repayment (C)   |
|   | 93.193 Urban Indian Health Services (B)   |
|   | 93.202 Capacity Building Among American Indian Tribes (B)   |
|   | 93.204 Surveillance of Hazardous Substance Emergency Events (B)   |
|   | 93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements  |



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|  |   |
|--|---|
| (C)  | Education (B)   |
| 93.228 Indian Health Service_Health Management Development Program (B)   | 93.172 Human Genome Research (B)  |
| 93.231 Epidemiology Cooperative Agreements (B)   | 93.173 Research Related to Deafness and Communication Disorders (B)   |
| 93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)   | 93.209 Contraception and Infertility Research Loan Repayment Program (C)  |
| 93.240 State Capacity Building (B)   | 93.213 Research and Training in Complementary and Alternative Medicine (B,M)  |
| 93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)   | 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)                                      |
| 93.289 President's Council on Physical Fitness and Sports (K)  | 93.225 National Research Service Awards_Health Services Research Training (B)   |
| 93.291 Surplus Property Utilization (H)  | 93.226 Research on Healthcare Costs, Quality and Outcomes (B)   |
| 93.358 Advanced Education Nursing Traineeships (B)   | 93.232 Loan Repayment Program for General Research (B)  |
| 93.441 Indian Self-Determination (C)   | 93.233 National Center on Sleep Disorders Research (B)  |
| 93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)   | 93.242 Mental Health Research Grants (B)  |
| 93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)   | 93.271 Alcohol Research Career Development Awards for Scientists and Clinicians (B)   |
| 93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)  | 93.272 Alcohol National Research Service Awards for Research Training (B)   |
| 93.718 Health Information Technology Regional Extension Centers Program (B)  | 93.273 Alcohol Research Programs (B)  |
| 93.719 ARRA - State Grants to Promote Health Information Technology (B)  | 93.279 Drug Abuse and Addiction Research Programs (B,M)   |
| 93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (A)  | 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)  |
| 93.721 ARRA - Health Information Technology Professionals in Health Care (B)   | 93.281 Mental Health Research Career/Scientist Development Awards (B)   |
| 93.727 ARRA - Health Information Technology - Beacon Communities (B)   | 93.282 Mental Health National Research Service Awards for Research Training (M)   |
| 93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)   | 93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)  |
| 93.767 Children's Health Insurance Program (A)   | 93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)   |
| 93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)  | 93.307 Minority Health and Health Disparities Research (B)  |
| 93.769 Demonstration to Maintain Independence and Employment (B)   | 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research (C)                        |
| 93.777 State Survey and Certification of Health Care Providers and Suppliers (A)   | 93.310 Trans-NIH Research Support (B,M)   |
| 93.778 Medical Assistance Program (A)  | 93.361 Nursing Research (B)   |
| 93.780 Grants to States for Operation of Qualified High-Risk Pools (A)   | 93.389 National Center for Research Resources (B)   |
| 93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)   | 93.701 Trans-NIH Recovery Act Research Support (B)  |
| 93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)   | 93.702 National Center for Research Resources, Recovery Act Construction Support (B)  |
| 93.790 Alternate Non-Emergency Service Providers or Networks (B)   | 93.704 Trans-NIH Recovery Act Loan Repayment Support (C)  |
| 93.791 Money Follows the Person Rebalancing Demonstration (B)  | 93.837 Cardiovascular Diseases Research (B)   |
| 93.793 Medicaid Transformation Grants (B)  | 93.838 Lung Diseases Research (B)   |
| 93.889 National Bioterrorism Hospital Preparedness Program (B)   | 93.839 Blood Diseases and Resources Research (B)  |
| 93.933 Demonstration Projects for Indian Health (B)  | 93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)  |
| 93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)  | 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)   |
| 93.970 Health Professions Recruitment Program for Indians (M)  | 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)   |
| 93.971 Health Professions Preparatory Scholarship Program for Indians (M)  | 93.855 Allergy, Immunology and Transplantation Research (B)   |
| 93.972 Health Professions Scholarship Program (M)  | 93.856 Microbiology and Infectious Diseases Research (B)  |
| 93.991 Preventive Health and Health Services Block Grant (A)   | 93.859 Biomedical Research and Research Training (B)  |
|  | 93.865 Child Health and Human Development Extramural Research (B)   |
|  | 93.866 Aging Research (B)   |
|  | 93.867 Vision Research (B)  |
|  | 93.879 Medical Library Assistance (B)   |
|  | 93.891 Alcohol Research Center Grants (B)   |
|  | 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)                             |
|  | 93.989 International Research and Research Training (B,M)   |
| <b>(552) Health Research and Training</b>  | <b>(554) Consumer and Occupational Health and Safety</b>  |
| This includes the cost of all research programs _ whether basic or applied _ that are financed specifically as health or medical research. It excludes research that is an integral part of other functions (such as biomedical research in the space program). It also includes programs specifically funded as health training programs. | This includes such programs as meat and poultry inspection, food and drug inspection, consumer product safety, and occupational safety. |
| 93.113 Environmental Health (B)  |   |
| 93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)   |   |
| 93.143 NIEHS Superfund Hazardous Substances_Basic Research and   |   |

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- 17.502 Occupational Safety and Health\_Susan Harwood Training Grants (B)
- 17.503 Occupational Safety and Health\_State Program (B)
- 17.504 Consultation Agreements (B)
- 17.505 OSHA Data Initiative (B)
- 17.600 Mine Health and Safety Grants (B)
- 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
- 17.602 Mine Health and Safety Education and Training (M)
- 17.603 Brookwood-Sago Grant (B)
- 17.604 Safety and Health Grants (B)
- 93.103 Food and Drug Administration\_Research (B)
- 93.448 Food Safety and Security Monitoring Project (B)
- 93.449 Ruminant Feed Ban Support Project (B)

## **(570) MEDICARE**

### **(571) Medicare**

Medicare is composed of the Federal Hospital Insurance and Federal Supplementary Medical Insurance trust funds. This includes all off-setting collections to these two funds, except for employers share and employee retirement (subfunction\_951) and net interest (interest received by on\_budget trust funds\_902). Also includes trust funds and general funds payments to those funds.

- 93.770 Medicare\_Prescription Drug Coverage (C)
- 93.773 Medicare\_Hospital Insurance (C)
- 93.774 Medicare\_Supplementary Medical Insurance (C)

### **(600) INCOME SECURITY**

This function includes payments for or to persons for which no current service is rendered. It includes military and civilian retirement, disability, unemployment, and welfare payments and the associated administrative costs. Also included in income security are the food stamp, special milk, and child nutrition programs (whether the benefits are in cash or kind); both Federal and trust fund unemployment compensation and workmen's compensation; public assistance cash payments; benefits to coal miners; and low and moderate-income housing aids. Excluded from this function are social security, financial assistance for educational purposes, provision or reimbursement for child care services and stipends, medical care (whether in cash or kind), and subsidies to businesses (such as farm price supports) even though they may end up as income to persons. Also excluded are income security programs restricted to veterans and their dependents.

### **(601) General Retirement and Disability Insurance (excluding Social Security)**

This includes non-needs-tested retirement and disability programs except for those specifically restricted to Federal employees and social security. Most programs in this subfunction are financed through trust fund mechanisms but it includes some Federal funds programs such as payments to coal miners. The subfunction is composed mainly of the railroad retirement fund and special benefits for coal miners.

- 17.150 Employee Benefits Security Administration (L)
- 17.151 Employee Benefits Security Administration (EBSA) (G)
- 17.302 Longshore and Harbor Workers' Compensation (D)
- 17.307 Coal Mine Workers' Compensation (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.005 Economic Recovery Payments (D)

### **(602) Federal Employee Retirement and Disability**

Includes all funded retirement and disability programs restricted to Federal employees. In those cases where there are no retirement funds (such as the Coast Guard retired pay) the case benefits are included in the function where the employees were employed (in this case transportation).

### **(603) Unemployment Compensation**

Benefits for unemployed workers that are not conditioned by needs tests. This subfunction does not include other benefits (such as food stamps) that an unemployed person might be eligible for under any other program.

- 57.001 Social Insurance for Railroad Workers (D)

### **(604) Housing Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing housing for individuals and families.

- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.420 Rural Self-Help Housing Technical Assistance (B)
- 10.427 Rural Rental Assistance Payments (C)
- 10.433 Rural Housing Preservation Grants (B)
- 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)
- 10.442 Housing Application Packaging Grants (B)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 14.149 Rent Supplements\_Rental Housing for Lower Income Families (C)
- 14.169 Housing Counseling Assistance Program (B)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.195 Section 8 Housing Assistance Payments Program (C)
- 14.231 Emergency Shelter Grants Program (A)
- 14.235 Supportive Housing Program (B,C)
- 14.238 Shelter Plus Care (B)
- 14.239 Home Investment Partnerships Program (A)
- 14.241 Housing Opportunities for Persons with AIDS (A,B)
- 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)
- 14.250 Rural Housing and Economic Development (B)
- 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)
- 14.257 Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (A)
- 14.258 Tax Credit Assistance Program (Recovery Act Funded) (A)
- 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)
- 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)
- 14.316 Housing Counseling Training Program (B)
- 14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (C)
- 14.318 Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (B)
- 14.400 Equal Opportunity in Housing (N)
- 14.850 Public and Indian Housing (C)
- 14.856 Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (C)
- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.867 Indian Housing Block Grants (A)
- 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)
- 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)
- 14.871 Section 8 Housing Choice Vouchers (C)
- 14.872 Public Housing Capital Fund (A)
- 14.873 Native Hawaiian Housing Block Grants (B)
- 14.874 Loan Guarantees for Native Hawaiian Housing (F)
- 14.876 Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (B)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)

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- 14.879 Mainstream Vouchers (C)
- 14.880 Family Unification Program (FUP) (C)
- 14.881 Moving to Work Demonstration Program (A)
- 14.882 Native American Housing Block Grants (Formula) Recovery Act Funded (B)
- 14.883 Native Hawaiian Housing Block Grants (Recovery Act Funded) (B)
- 14.884 Public Housing Capital Fund Competitive (Recovery Act Funded) (B)
- 14.885 Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (A)
- 14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)

### **(605) Food and Nutrition Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing food or nutritional assistance to individuals and families.

- 10.155 Marketing Agreements and Orders (J,K)
- 10.225 Community Food Projects (B)
- 10.551 Supplemental Nutrition Assistance Program (C)
- 10.553 School Breakfast Program (A)
- 10.555 National School Lunch Program (A)
- 10.556 Special Milk Program for Children (A)
- 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)
- 10.558 Child and Adult Care Food Program (A)
- 10.559 Summer Food Service Program for Children (A)
- 10.560 State Administrative Expenses for Child Nutrition (A)
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)
- 10.565 Commodity Supplemental Food Program (A,H)
- 10.566 Nutrition Assistance For Puerto Rico (C)
- 10.567 Food Distribution Program on Indian Reservations (B,H)
- 10.568 Emergency Food Assistance Program (Administrative Costs) (A)
- 10.569 Emergency Food Assistance Program (Food Commodities) (A)
- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 10.574 Team Nutrition Grants (B)
- 10.576 Senior Farmers Market Nutrition Program (B)
- 10.578 WIC Grants To States (WGS) (B)
- 10.579 Child Nutrition Discretionary Grants Limited Availability (B)
- 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)
- 10.582 Fresh Fruit and Vegetable Program (B)
- 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)
- 97.024 Emergency Food and Shelter National Board Program (B)
- 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)

### **(609) Other income security**

Income security programs that are not included in any other subfunction. This is composed primarily of either direct payments or grants-in-aid to finance direct payments that constitute cash income to low-income individuals and families, but it also includes refugee assistance and both administrative expenses and offsetting collections in the income security function that are not part of any other subfunction.

- 93.090 Guardianship Assistance (A)
- 93.558 Temporary Assistance for Needy Families (A)
- 93.560 Family Support Payments to States\_Assistance Payments (A)
- 93.563 Child Support Enforcement (A)
- 93.564 Child Support Enforcement Research (B)
- 93.566 Refugee and Entrant Assistance\_State Administered Programs (A)
- 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs (B)

- 93.568 Low-Income Home Energy Assistance (A)
- 93.575 Child Care and Development Block Grant (A)
- 93.576 Refugee and Entrant Assistance\_Discretionary Grants (B)
- 93.579 U.S. Repatriation (B)
- 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program (B)
- 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants (A)
- 93.594 Tribal Work Grants (A)
- 93.595 Welfare Reform Research, Evaluations and National Studies (B)
- 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)
- 93.597 Grants to States for Access and Visitation Programs (B)
- 93.598 Services to Victims of a Severe Form of Trafficking (B)
- 93.601 Child Support Enforcement Demonstrations and Special Projects (B)
- 93.604 Assistance for Torture Victims (B)
- 93.605 Family Connection Grants (B)
- 93.658 Foster Care\_Title IV-E (A,B)
- 93.659 Adoption Assistance (A)
- 93.674 Chafee Foster Care Independence Program (A)
- 93.713 ARRA Child Care and Development Block Grant (A)

### **(650) SOCIAL SECURITY**

Social Security is composed of the Federal Old\_Age and Survivors Insurance and Federal Disability Insurance trust funds and general funds payments to those funds, all offsetting receipts by those trust funds, except those classified in subfunction 903 - interest received by off-budget trust funds.

#### **(651) Social Security**

This includes the Old Age and Survivors Insurance (OASI) and Disability Insurance (DI) trust funds and related intergovernmental payments and off\_setting collections.

- 96.021 Social Security Economic Recovery Act Payments (D)

### **(700) VETERANS BENEFITS AND SERVICES**

This function consists of programs providing benefits and services, the eligibility for which is related to prior military service but the financing of which is not an integral part of the costs of national defense. It includes veterans service-connected compensation; veterans non-service connected pensions; and veterans readjustment benefits, housing, and medical care programs. As a normal rule, the outlays in this function are similar to those in the broader general purpose functions (such as income security or health) but are restricted to veterans, their dependents, and their survivors. Earned rights of career military personnel that are a cost of the defense budget (such as military retired pay or medical care) are excluded from this function. The subfunctions of this function are so structured that they are readily additive to analogous major functions for the general population.

#### **(701) Income Security for Veterans**

Includes veterans compensation, pensions, burial benefits and life insurance.

- 64.101 Burial Expenses Allowance for Veterans (C)
- 64.104 Pension for Non-Service-Connected Disability for Veterans (D)
- 64.202 Procurement of Headstones and Markers and/or Presidential Memorial Certificates (C,J)

#### **(702) Veterans Education, Training, and Rehabilitation**

Composed primarily of the "GI bill" readjustment benefits.

- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.803 Uniformed Services Employment and Reemployment Rights (K,L,N)
- 17.804 Local Veterans' Employment Representative Program (A)
- 17.805 Homeless Veterans Reintegration Project (B)
- 17.806 Veteran's Preference in Federal Employment (O)
- 17.807 Transition Assistance Program (B)
- 64.116 Vocational Rehabilitation for Disabled Veterans (C,D,E,K)
- 64.125 Vocational and Educational Counseling for Servicemembers and

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Veterans (K)

## **(703) Hospital and Medical Care for Veterans**

Composed of medical care and research financed by the Veterans Administration.

64.005 Grants to States for Construction of State Home Facilities (B)

64.203 State Cemetery Grants (B)

## **(704) Veterans Housing**

Composed of housing loan and guarantee programs for, and restricted to, veterans and dependents.

## **(705) Other Veterans Benefits and Services**

Mainly the administrative expenses of the Veterans Administration.

64.201 National Cemeteries (J)

## **(750) ADMINISTRATION OF JUSTICE**

This function includes those programs designed to provide judicial services, police protection, law enforcement (including civil rights), rehabilitation, and incarceration of criminals, and promotion of the general maintenance of domestic order. It includes the provision of court appointed counsel or other legal services to individuals. This function excludes the costs of the legislative branch, the narrow-purpose police or guard activities providing protection to Federal property, or activities which are an integral part of a broader function (such as postal inspectors, tax collection agents, and Park Service Rangers). The costs of National Guard personnel who are called upon occasionally to provide general public safety protection and military police costs are included under the national defense function rather than in this function.

## **(751) Federal Law Enforcement Activities**

Includes Customs, the Immigration and Naturalization Service, the Drug Enforcement Administration, and police and crime prevention activities in other programs. This subfunction also includes the readily identifiable enforcement costs of civil rights activities.

14.400 Equal Opportunity in Housing (N)

14.401 Fair Housing Assistance Program\_State and Local (B)

14.408 Fair Housing Initiatives Program (B)

14.416 Education and Outreach Initiatives (B)

14.417 Fair Housing Organization Initiatives (B)

14.418 Private Enforcement Initiatives (B)

16.001 Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Analysis (J)

16.003 Law Enforcement Assistance\_Narcotics and Dangerous Drugs Technical Laboratory Publications (L)

16.004 Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training (M)

16.300 Law Enforcement Assistance\_FBI Advanced Police Training (M)

16.301 Law Enforcement Assistance\_FBI Crime Laboratory Support (J,M)

16.302 Law Enforcement Assistance\_FBI Field Police Training (M)

16.303 Law Enforcement Assistance\_FBI Fingerprint Identification (J)

16.304 Law Enforcement Assistance\_National Crime Information Center (J)

16.305 Law Enforcement Assistance\_Uniform Crime Reports (L)

16.307 Combined DNA Index System (B)

16.308 Indian Country Investigations (M)

16.309 Law Enforcement Assistance\_National Instant Criminal Background Check System (J)

16.595 Community Capacity Development Office (B,J)

30.001 Employment Discrimination\_Title VII of the Civil Rights Act of 1964 (K,N)

30.002 Employment Discrimination\_State and Local Fair Employment Practices Agency Contracts (C)

30.005 Employment Discrimination\_Private Bar Program (J)

30.008 Employment Discrimination\_Age Discrimination in Employment

(K,N)

30.009 Employment Discrimination Project Contracts\_Indian Tribes (C)

30.010 Employment Discrimination Equal Pay Act (K,N)

30.011 Employment Discrimination\_Title I of The Americans with Disabilities Act (K,N)

93.001 Civil Rights and Privacy Rule Compliance Activities (K,N)

97.010 Citizenship Education and Training (B)

97.015 Secret Service\_Training Activities (M)

97.076 National Center for Missing and Exploited Children (NCMEC) (B)

97.081 Law Enforcement Training and Technical Assistance (J,M)

97.112 Border Infrastructure Improvement Projects (B)

## **(752) Federal Litigative and Judicial Activities**

Includes the cost of the judiciary, the cost of prosecution and Federal expenses connected with financing legal defense activities.

## **(753) Federal Correctional Activities**

Covers the cost of incarceration, supervision, parole, and rehabilitation of Federal prisoners.

## **(754) Criminal Justice Assistance**

Includes the cost of grants to State and local governments to assist them in operating and improving their law enforcement and justice system.

16.013 Violence Against Women Act Court Training and Improvement Grants (B)

16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)

16.015 Missing Alzheimer's Disease Patient Assistance Program (B)

16.016 Culturally and Linguistically Specific Services Program (B)

16.017 Sexual Assault Services Formula Program (A,B)

16.019 Tribal Registry (B)

16.202 Prisoner Reentry Initiative Demonstration (Offender Reentry) (B)

16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)

16.320 Services for Trafficking Victims (B,C)

16.321 Antiterrorism Emergency Reserve (B,C)

16.523 Juvenile Accountability Block Grants (A,B)

16.524 Legal Assistance for Victims (B)

16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)

16.526 OVW Technical Assistance Initiative (B)

16.527 Supervised Visitation, Safe Havens for Children (B)

16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)

16.540 Juvenile Justice and Delinquency Prevention\_Allocation to States (A,B)

16.541 Part E - Developing, Testing and Demonstrating Promising New Programs (B,J)

16.543 Missing Children's Assistance (B)

16.544 Gang-Free Schools and Communities\_Community-Based Gang Intervention (B)

16.547 Victims of Child Abuse (B)

16.548 Title V\_Delinquency Prevention Program (A)

16.550 State Justice Statistics Program for Statistical Analysis Centers (B)

16.554 National Criminal History Improvement Program (NCHIP) (B)

16.556 State Domestic Violence and Sexual Assault Coalitions (A)

16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)

16.560 National Institute of Justice Research, Evaluation, and Development

## Appendix III: Budget Functional Code Appendix

|   |  |
|---|--|
| Project Grants (B,L)  | 16.752 Economic High-Tech and Cyber Crime Prevention (B)   |
| 16.562 Criminal Justice Research and Development_ Graduate Research Fellowships (B)                                       | 16.753 Congressionally Recommended Awards (B)  |
| 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program (B)   | 16.754 Harold Rogers Prescription Drug Monitoring Program (B)  |
| 16.571 Public Safety Officers' Benefits Program (D)   | 16.755 Southwest Border Prosecution Initiative Program (D)   |
| 16.575 Crime Victim Assistance (A)  | 16.756 Court Appointed Special Advocates (B)   |
| 16.576 Crime Victim Compensation (A)  | 16.757 Judicial Training on Child Maltreatment for Court Personnel Juvenile Justice Programs (B)   |
| 16.578 Federal Surplus Property Transfer Program (H)  | 16.758 Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (B)   |
| 16.579 Edward Byrne Memorial Formula Grant Program (A)  | 16.800 Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (B)   |
| 16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (B)                  | 16.801 Recovery Act - State Victim Assistance Formula Grant Program (B)  |
| 16.582 Crime Victim Assistance/Discretionary Grants (B,C)   | 16.802 Recovery Act - State Victim Compensation Formula Grant Program (B)  |
| 16.583 Children's Justice Act Partnerships for Indian Communities (B,C)   | 16.803 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (A,B)   |
| 16.585 Drug Court Discretionary Grant Program (B)   | 16.804 Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (A,B)   |
| 16.586 Violent Offender Incarceration and Truth in Sentencing Incentive Grants (A)  | 16.805 Recovery Act Transitional Housing (B)   |
| 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)                                      | 16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)  |
| 16.588 Violence Against Women Formula Grants (A)  | 16.807 Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (B,C)   |
| 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)                      | 16.808 Recovery Act - Edward Byrne Memorial Competitive Grant Program (B)  |
| 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders (B)                                       | 16.809 Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (B) |
| 16.593 Residential Substance Abuse Treatment for State Prisoners (A)  | 16.810 Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (B)  |
| 16.596 Correctional Grant Program for Indian Tribes (B)   | 16.811 Recovery Act - Correctional Facilities On Tribal Lands (B)  |
| 16.606 State Criminal Alien Assistance Program (D)  | 16.812 Second Chance Act Prisoner Reentry Initiative (B)   |
| 16.607 Bulletproof Vest Partnership Program (C)   | 16.813 NICS Act Record Improvement Program (B)   |
| 16.608 Tribal Court Assistance Program (B)  | 16.814 Northern Border Prosecution Initiative Program (D)  |
| 16.609 Community Prosecution and Project Safe Neighborhoods (B)   | 93.276 Drug-Free Communities Support Program Grants (B)  |
| 16.610 Regional Information Sharing Systems (B)   | 93.643 Children's Justice Grants to States (A)   |
| 16.611 Closed-Circuit Televising of Child Victims of Abuse (B)  | 97.008 Urban Areas Security Initiative (B)   |
| 16.614 State and Local Anti-Terrorism Training (K,L,M)  | 97.096 Commercial Equipment Direct Assistance Program (CEDAP) (H)  |
| 16.615 Public Safety Officers' Educational Assistance (D)   |  |
| 16.616 Indian Country Alcohol and Drug Prevention (B)   |  |
| 16.710 Public Safety Partnership and Community Policing Grants (B)  |  |
| 16.726 Juvenile Mentoring Program (B)   |  |
| 16.727 Enforcing Underage Drinking Laws Program (B)   |  |
| 16.730 Reduction and Prevention of Children's Exposure to Violence (B)  |  |
| 16.731 Tribal Youth Program (B)   |  |
| 16.734 Special Data Collections and Statistical Studies (B)   |  |
| 16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)                                    |  |
| 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B) |  |
| 16.737 Gang Resistance Education and Training (B)   |  |
| 16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)   |  |
| 16.739 National Prison Rape Statistics Program (B)  |  |
| 16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)  |  |
| 16.741 Forensic DNA Backlog Reduction Program (A)   |  |
| 16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)   |  |
| 16.744 Anti-Gang Initiative (B)   |  |
| 16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)  |  |
| 16.746 Capital Case Litigation (B)  |  |
| 16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (A)           |  |
| 16.750 Support for Adam Walsh Act Implementation Grant Program (B)  |  |
| 16.751 Edward Byrne Memorial Competitive Grant Program (B)  |  |

### **(800) GENERAL GOVERNMENT**

This function includes the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other major function. As a normal rule, all activities reasonably or closely associated with other functions shall be included in those functions rather than listed as a part of general government.

|  |
|--|
| 97.018 National Fire Academy Training Assistance (C)   |
| 97.019 National Fire Academy Educational Program (M)   |
| 97.043 State Fire Training Systems Grants (B)  |
| 97.093 Fire Service Hazardous Materials Preparedness and Response (B)  |
| 97.094 Prevention Advocacy Resources and Data Exchange Program (B)   |
| 97.095 Safe Kids Worldwide (B)   |
| 97.097 Training Resource and Data Exchange (B)   |
| 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)  |
| 97.103 Degrees at a Distance Program (B)   |
| 97.105 Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (B) |

### **(801) Legislative Functions**

Includes most of the costs of the legislative branch except for the Tax Court, the Library of Congress, and the Government Printing Office revolving fund.

# Appendix III: Budget Functional Code Appendix

## **(802) Executive Direction and Management**

Includes the Executive Office of the President (unless some major grants or operating programs are included in the EOP); occasionally some closely related spending outside the EOP is also included in this subfunction.

## **(803) Central Fiscal Operations**

Includes the general tax collection and fiscal operations of the Treasury Department.

- 21.003 Taxpayer Service (K)
- 21.004 Exchange of Federal Tax Information With State Tax Agencies (J)
- 21.006 Tax Counseling for the Elderly (B)
- 21.008 Low Income Taxpayer Clinics (B)
- 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)

## **(804) General Property and Records Management**

Includes most of the operations of the General Services Administration (net of reimbursements from other agencies for services rendered).

- 39.002 Disposal of Federal Surplus Real Property (H)
- 39.003 Donation of Federal Surplus Personal Property (B)
- 39.007 Sale of Federal Surplus Personal Property (B)
- 89.001 National Archives Reference Services\_Historical Research (I,K,L)
- 89.003 National Historical Publications and Records Grants (B)
- 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)

## **(805) Central Personnel Management**

Includes most of the operating costs of the Office of Personnel Management (formerly the Civil Service Commission) and related agencies (net of reimbursements from other agencies for services rendered).

## **(806) General Purpose Fiscal Assistance**

Includes Federal aid to State, local, and territorial governments that is available for general fiscal support. It includes payments in lieu of taxes, grants from Forest Service and Interior Department rents, payments to territories and Puerto Rico, and the Federal payment to the District of Columbia.

- 10.666 Schools and Roads - Grants to Counties (A)
- 15.659 National Wildlife Refuge Fund (D)
- 15.875 Economic, Social, and Political Development of the Territories (B)

## **(808) Other General Government**

Includes miscellaneous other costs such as Federal costs of territorial governments.

## **(999) MULTIPLE FUNCTIONS**

This function code is used where two or more accounts with different Treasury basic account symbols are included in a consolidated program.

- 10.444 Direct Housing\_Natural Disaster Loans and Grants (B,E)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)
- 17.225 Unemployment Insurance (A,D)
- 17.245 Trade Adjustment Assistance (B)
- 17.266 Work Incentive Grants (B)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.272 Permanent Labor Certification for Foreign Workers (J)
- 17.273 Temporary Labor Certification for Foreign Workers (A,J)
- 66.808 Solid Waste Management Assistance Grants (B)
- 81.086 Conservation Research and Development (B)
- 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)
- 97.004 State Domestic Preparedness Equipment Support Program (B)
- 97.005 State and Local Homeland Security Training Program (B)

- 97.007 Homeland Security Preparedness Technical Assistance Program (B)
- 97.009 Cuban/Haitian Entrant Program (B)
- 97.016 Reimbursement for Firefighting on Federal Property (C)
- 97.020 Hazardous Materials Training Program (B)
- 97.021 Hazardous Materials Assistance Program (B)
- 97.025 National Urban Search and Rescue (US&R) Response System (B)
- 97.026 Emergency Management Institute\_Training Assistance (C)
- 97.027 Emergency Management Institute (EMI)\_Independent Study Program (M)
- 97.028 Emergency Management Institute (EMI)\_Resident Educational Program (M)
- 97.039 Hazard Mitigation Grant (B)
- 97.040 Chemical Stockpile Emergency Preparedness Program (B)
- 97.042 Emergency Management Performance Grants (A)
- 97.044 Assistance to Firefighters Grant (B)
- 97.053 Citizen Corps (B)
- 97.055 Interoperable Communications Equipment (B)
- 97.059 Truck Security Program (B)
- 97.061 Centers for Homeland Security (B)
- 97.062 Scholars and Fellows, and Educational Programs (B,C)
- 97.065 Homeland Security Advanced Research Projects Agency (B)
- 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)
- 97.067 Homeland Security Grant Program (A)
- 97.068 Competitive Training Grants (B)
- 97.069 Aviation Research Grants (B,I)
- 97.071 Metropolitan Medical Response System (B)
- 97.073 State Homeland Security Program (SHSP) (A)
- 97.074 Law Enforcement Terrorism Prevention Program (LETPP) (A)
- 97.075 Rail and Transit Security Grant Program (B)
- 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)
- 97.078 Buffer Zone Protection Program (BZPP) (B)
- 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)
- 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)
- 97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)
- 97.089 Real ID Program (B)
- 97.091 Homeland Security Biowatch Program (B,I)
- 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)
- 97.106 Securing the Cities (B,H,I,L)
- 97.107 National Incident Management System (NIMS) (B)
- 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)
- 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)
- 97.113 Rail and Transit Security Grant Program (ARRA) (B)
- 97.115 Assistance to Firefighters Grant (ARRA) (B)
- 97.119 2010 Olympics First Responder Training (B)

# Appendix IV: Agency Regional and Local Office Addresses

## DEPARTMENT OF AGRICULTURE

### AGRICULTURAL MARKETING SERVICE

#### COTTON DIVISION

##### Tennessee

(Grading, Marketing Services including Market News)

Nationwide: Alabama, Arizona, Arkansas, California, Georgia, Kansas, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia)

J. Jerome Boyd  
3275 Appling Road  
Memphis, TN 38133  
(901) 384-3000

Standardization and Quality Assurance Branch

Don West, Chief  
3275 Appling Road  
Memphis, TN 38133  
(901) 384-3015

#### DAIRY DIVISION

##### Illinois

National Field Director, Dairy Grading Section,  
Dairy Division  
800 Roosevelt Road, Building A, Suite 370  
Glen Ellyn, IL 60137  
(708) 790-6920

USDA, AMS, Dairy Division, Marketing Division  
2811 Agricultural Drive  
Madison, WI 53704-6777  
(608) 224-5080

#### FRUIT AND VEGETABLE DIVISION

##### Alabama

Robert Spann, Federal Supervisor, In-Charge  
1557 Reeves Street  
For Mail: P.O. Box 1368  
Dothan, AL 36302  
(334) 792-5185

##### Arizona

Stephen Skuba, In-Charge  
522 North Central Avenue, Room 106  
Phoenix, AZ 85004  
(602) 379-3066

James E. Nowlin  
1688 W. Adams, Room 415  
Phoenix, AZ 85007  
(602) 542-0880

Jerry W. Taylor, Regional Director  
Tucson Federal Building, Box FB30  
300 West Congress Street, Room 7  
Tucson, AZ 85701-1319  
(520) 670-4793

##### Baltimore/Washington

Nathaniel Taylor IV, In-Charge  
USDA, AMS, F&VD  
Baltimore-Washington Terminal Market Office

8610 Baltimore-Washington Boulevard, Suite 212  
Jessup, MD 20794  
(301) 317-4387 and 4587

##### California

Kurt J. Kimmel, In-Charge  
USDA, AMS, MFO  
2202 Monterey Street, Suite 102-B  
Fresno, CA 93721  
(209) 487-5901

Michael V. Morrelli, Federal Supervisor,  
In-Charge

1220 N Street, Room A-270  
For Mail: P.O. 942871  
Sacramento, CA 94271-0001  
(916) 654-0810, 13,15

Frederick Teensma, In-Charge  
630 Sansome Street, Room 727  
San Francisco, CA 94111  
(415) 705-1300

Clifton Harada, In-Charge  
1320 East Olympic Avenue, Room 212  
Los Angeles, CA 90021  
(213) 894-2489, 6553

Dale I. Scarborough, Inspector  
Inspection Point of Fresno, CA  
45-116 Commerce Street, Suite 15  
Indio, CA 92201-3440  
(619) 347-1057

Yoshiki (Junior) Kagawa, In-Charge  
2202 Monterey Street, Suite 102-A  
Fresno, CA 93721-3129  
(209) 487-5210

Michael Shine, In-Charge  
1320 East Olympic Boulevard, Suite 212  
Los Angeles, CA 90021-1907  
(213) 894-3077

Kevin Morris, In-Charge  
2202 Monterey Street, Suite 104-A  
Fresno, CA 93721  
(209) 487-5178

John Henry, In-Charge  
1320 East Olympic Boulevard, Room 212  
Los Angeles, CA 90021-1948  
(213) 894-3173

##### Colorado

Tom Gutierrez, In-Charge  
Greeley Producers Building  
711 "O" Street  
Greeley, CO 80631  
(970) 351-7097, 351-8256

Ronald D. Nightengale, Federal Supervisor,  
In-Charge  
2331 West 31st Avenue  
Denver, CO 80211  
(303) 844-4570  
(303) 477-0093

##### Connecticut

Peter Bucci, Federal Supervisor, In-Charge

Connecticut Regional Market  
101 Reserve Road, Room 5  
Hartford, CT 06114  
(860) 240-3446

##### Delaware

Clifford W. Hudson, In-Charge  
State of Delaware Department of Agriculture  
2320 South DuPont Highway  
Dover, DE 19901  
(302) 736-4811

##### Eastern Region

Terry B. Bane, Director  
800 Roosevelt Road, Building A, Suite 380  
Glen Ellyn, IL 60137-5875  
(630) 790-6957

##### Florida

James Dunn, In-Charge  
Techniport Building, Room 556  
5600 N.W. 36 Street  
Miami, FL 33122  
(305) 870-9542

Christian Nissen, In-Charge  
For mail: P.O. Box 2276  
301 3rd Street, N.W., Suite 206  
Winterhaven, FL 33881  
(941) 299-4770, 4886

Jim Cunningham, In-Charge  
Brickell Plaza Building  
909 S.E. 1st Avenue, Suite 424  
Miami, FL 33131  
(305) 373-2955

(Seasonal)

Vacant  
775 Warner Lane  
Orlando, FL 32803  
(407) 897-5950

Ann S. Pinner, In-Charge  
98 Third Street, SW  
Winter Haven, FL 33880-2909  
(941) 294-7416

Clyde Thornhill, In-Charge  
6966 NW 36th Avenue  
Miami, FL 33147-6506  
(305) 835-7626

##### Georgia

John Kerrens, In-Charge  
203 Administration Building  
16 Forest Parkway  
Forest Park, GA 30050  
(404) 763-7297  
(404) 361-1376

Larry Ivaska, In-Charge  
Administration Building, Room 205  
16 Forest Parkway  
Forest Park, GA 30050  
(404) 366-7522

John Pollard, In-Charge  
1555 St. Joseph Avenue

# Appendix IV: Agency Regional and Local Office Addresses

East Point, GA 30344-2591  
(404) 763-7495

Richard DeMenna, In-Charge  
For mail: P.O. Box 1447  
Georgia State Farmers Market, Stall 39  
502 Smith Avenue, U.S. Highway 84  
Thomasville, GA 31799  
(912) 228-1208

## Hawaii

Warren Maeda, Assistant Federal Supervisor,  
In-Charge  
1428 South King Street  
For mail: P.O. Box 22159  
Honolulu, HI 96823-2159  
(808) 973-9566

Walter T. Mitsui, Federal Supervisory Inspector  
State of Hawaii Department of Agriculture  
1428 South King Street  
For mail: P.O. Box 22159  
Honolulu, HI 96823-2159  
(808) 973-9566

## Idaho

Scott P. Brubaker, Federal Supervisor, In-Charge  
Idaho State Department of Agriculture  
2270 Old Penitentiary Road  
Boise, ID 83712  
(208) 332-8670

Thomas L. Cooper, In-Charge  
1820 East 17th Street, Suite 130  
Idaho Falls, ID 83404  
(208) 526-0166

## Illinois

Greg Braun, Regional Director  
USDA, AMS, F&V PACA Branch  
800 Roosevelt Road, Building A, Suite 360  
Glen Ellyn, IL 60137-5832  
(630) 790-6929

Steven D. Dailey, In-Charge  
J.C. Kluczynski Building  
230 South Dearborn Street, Room 512  
Chicago, IL 60604  
(312) 353-0111

## Indiana

Anthony Chartrand, In-Charge  
4318 Technology Drive  
South Bend, IN 46628-9752  
(219) 287-5407

Use the same number for FTS

Richard Barlow, Federal Supervisor, In-Charge  
P.O. Box 427  
Greenfield, IN 46140-0427  
(317) 462-5897

## Kentucky

Jesse M. Stockton, Federal Supervisor, In-Charge  
No. 1 Produce Terminal  
Louisville, KY 40218  
(502) 595-4266, 4278

John Crose, Federal Supervisor, In-Charge

U.S. Postal Service Building  
701 Loyola Avenue, Room 11036  
New Orleans, LA 70113  
(504) 589-6741, 6742

## Louisiana

Thomas Clominger, USDA Inspector  
(Inspection Point of East Point, GA)  
Commerce Building, Suite 3  
1942 Williams Boulevard  
Kenner, LA 70062-6285  
(504) 466-0343

## Maine

Wallace Fengler, In-Charge  
165 Lancaster Street  
Portland, ME 04101-2499  
(207) 772-1588

Ed Margeson, Federal Supervisor, In-Charge  
For mail: P.O. Box 1058  
744 Main Street, Suite 4  
Presque Isle, ME 04769  
(207) 764-2100

## Maryland

Holly R. Mozal, In-Charge  
Maryland Wholesale Produce Market  
Building B, Room 101  
7460 Conowingo Avenue  
Jessup, MD 20794  
Washington only can call (301) 621-1261  
(410) 799-4840, 4841

Norman Upton, In-Charge  
Hunt Valley Professional Building  
9 Schilling Road  
Hunt Valley, MD 21031-1106  
FTS (410) 962-4946

William V. Kaier, Inspector  
(Inspector Point of Hunt Valley, MD)  
102 Maryland Avenue  
Easton, MD 21601-3409  
(410) 822-3383

## Massachusetts

James Calnan, In-Charge  
Boston Market Terminal  
34 Market Street, Room 10  
Everett, MA 02149  
(617) 387-4498, 4615, 4681

Susan Taylor, Federal Supervisor, In-Charge  
Boston Market Terminal Building  
34 Market Street, Room 1  
Everett, MA 02149  
(617) 389-2480, 2481

## Michigan

Charles W. Hackensmith II, In-Charge  
For mail: P.O. Box 1204  
Federal Building  
175 Territorial Road, Room 201  
Benton Harbor, MI 49023  
(616) 925-3270, 3271

Gary Reij, USDA Inspector

(Inspection Point of South Bend, IN)  
c/o Vroom Cold Storage  
Russell Road  
Hart, MI 49420-0113  
(616) 873-5654

Michael W. Moore, Federal Supervisor  
90 Detroit Union Produce Terminal  
7201 West Fort Street  
Detroit, MI 48209  
(313) 226-6059, 6225

Michael Rann, In-Charge  
Union Produce Terminal  
7201 West Fort Street, Room 53  
Detroit, MI 48209  
(313) 841-1111

## Minnesota

Gregory Stevens, USDA Inspector  
(Inspection Point of Ripon, WI)  
2126 Hoffman Road  
Mankato, MN 56001-5863  
(507) 387-6101

Mark Inverson, Federal Supervisor, In-Charge  
90 West Plato Boulevard  
St. Paul, MN 55107  
(612) 296-8557, 0593

## Missouri

Francis Allard, Federal Supervisor, In-Charge  
Fresh Fruit & Vegetable Division  
Ohio Dept. of Agriculture  
Division of Food, Dairy & Drugs  
8995 East Main Street, Bldg. 2  
Reynoldsburg, OH 43068  
(614) 728-6350

Randall T. Edwards, In-Charge  
3716 Croton Avenue  
Cleveland, OH 44115  
(216) 522-2135

Larry Wenger, In-Charge  
Unit 1 Produce Row, 1st Floor, Room 100  
St. Louis, MO 63102  
(314) 425-4514, 4515

Charles M. Gore, In-Charge  
Unit 1, Produce Row, Room 101  
St. Louis, MO 63102-1418  
(314) 425-4520

Arne Stokke, In-Charge  
Gumble Building, Room 502  
801 Walnut Street  
Kansas City, MO 64106  
(816) 374-6273

## New Jersey

Tom Robertson, In-Charge  
Federal Building  
970 Broad Street, Room 1430  
Newark, NJ 07102  
(201) 645-2636

Vacant

Park Plaza, Professional Building, Suite 304  
622 Georges Road



## Appendix IV: Agency Regional and Local Office Addresses

North Brunswick, NJ 08902-3313  
(908) 545-0939

Use the same number for FTS

Michiko F. Shaw, Regional Director  
PACA Branch  
USDA, AMS, F&V, Division  
622 Georges Road, Suite 303  
North Brunswick, NJ 08902-3303  
(908) 846-8222

### New York

C. Michael Wells, In-Charge  
465B Hunts Point Market  
Bronx, NY 10474  
(718) 991-7665, 7669

Bruce Copeland  
(Inspection Point of North Brunswick, NJ)  
Genesee Valley Regional Market  
900 Jefferson Road, Room 110  
Rochester, NY 14623-3289  
(716) 424-2092, 2096

Philip H. Montgomery, In-Charge  
5A NYC Terminal Market  
Halleck Street at Edgewater Road  
Bronx, NY 10474-7355  
(718) 542-2225

Paul Beattie, Federal Supervisor, In-Charge  
Division of Food Safety & Inspection Service  
Department of Agriculture  
Capital Plaza, 1 Winners Circle  
Building No. 2, Second Floor  
Albany, NY 12235  
(518) 457-1211, 457-2090, 457-1982

### Oklahoma

James W. Goodson, In-Charge  
2800 North Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 521-3864  
(Inspection Point of Weslaco, TX)  
USDA Inspector  
716 South 2nd Street, Suite 106  
Stilwell, OK 74960-4806  
(918) 696-6333  
Use the same number for FTS

### Oregon

Gary Olson, In-Charge  
1220 S.W. 3rd Avenue, Room 369  
Portland, OR 97204  
(503) 326-2724, 2725

Jack Whitt, In-Charge  
340 High Street, NE  
Salem, OR 97301-3631  
(503) 399-5761

Gary Sheltor, USDA Inspector  
(Inspection Point of Yakima, WA)  
111 South Main Street  
Milton-Freewater, OR 97862-1342  
(541) 938-3251

Dick C. Harms, Federal Supervisor, In-Charge  
635 Capitol Street, NE

Salem, OR 97310-0110  
(503) 986-4629

### Pennsylvania

James Prady, In-Charge  
Pittsburgh Produce Terminal Building, Room 206  
2100 Smallman Street  
Pittsburgh, PA 15222  
(412) 261-6435

Thomas Yawman, Federal Supervisor, In-Charge  
2301 North Cameron Street, Room 112  
Harrisburg, PA 17110  
(717) 787-5107, 5108

Dennis Jemmerson, In-Charge  
2100 Smallman Street, Room 207  
Pittsburgh, PA 15222  
(412) 644-5847

Michael Cramer, In-Charge  
Room 261  
3301 South Galloway Street  
Philadelphia, PA 19148  
(215) 597-4536

Armia Lawandy, In-Charge  
210 Produce Building  
3301 South Galloway Street  
Philadelphia, PA 19148  
(215) 336-0845, 0846

### Puerto Rico

Luis Aponte, In-Charge  
Federal State Inspection Service  
GSA Center  
651 Federal Drive, Suite 103-05  
Guaynabo, PR 00965-1030  
(809) 783-2230, 4116

Luis Aponte, Federal Supervisor, In-Charge  
Federal-State Inspection, GSA Service Center  
651 Federal Drive, Suite 103-05  
Guaynabo, PR 00965  
(787) 783-2230, 4116

### Tennessee

Jerry L. Cook, In-Charge  
3211 Alcoa Highway  
Knoxville, TN 37920  
(423) 577-2633

Michael W. Golightly, Federal Supervisor,  
In-Charge  
For mail: P.O. Box 40627  
Melrose Station  
Nashville, TN 37204  
(615) 360-0169

### Texas

Belinda G. Garza, In-Charge  
McAllen Marketing Field Office  
Fruit & Vegetable Division  
Agricultural Marketing Services, USDA  
1313 East Hackberry  
McAllen, TX 78501  
(956) 682-2833

Desiree Shaw, In-Charge

1406 Parker Street, Room 201  
Dallas, TX 75215  
(214) 767-5375, 5376 and 5377

Byron E. White, Regional Director  
PACA Branch  
USDA, AMS, F&U  
1200 E. Copeland Road, Suite 404  
Arlington, TX 76011-4938  
(817) 885-7805

Calvin Harvey, In-Charge  
8001 E.N. Mesa, Suite 303  
El Paso, TX 79932  
(505) 589-3753

Ken Edwards, In-Charge  
3100 Produce Row, Room 1A  
Houston, TX 77023  
(713) 923-2557, 2558

(Inspection Point of Weslaco, TX)  
Alfonso T. Briones, USDA Inspector  
319 Market Street  
Laredo, TX 78040-8529  
(210) 726-2258

Timothy J. Peppel, In-Charge  
1406 Parker Street, Suite 203  
Dallas, TX 75215  
(214) 767-5337, 5338

Daniel Frey, Inspector  
2320 La Branch Street  
Federal Building, Room 1011  
Houston, TX 77004-1036  
(713) 659-3836

D.C. Benavides, Jr., In-Charge  
Administration Building, Room 244  
1500 South Zarzamora Street  
San Antonio, TX 78207  
(210) 222-2751

Dwain Parrish, In-Charge  
117 So. Westgate  
Weslaco, TX 78596-2701  
(210) 968-2772 or 2126

Gary Verheek, Federal Supervisor, In-Charge  
1301 West Expressway  
PO Box 107  
San Juan, TX 78589  
(210) 787-4091, 6881

### Utah

State Supervisor  
350 North Redwood Road  
Room 217  
Salt Lake City, UT 84116  
(801) 538-7187

### Virginia

Vacant  
8700 Centerville Road, Suite 206  
Manassas, VA 22110  
(703) 330-4455

Raymond Oliver, In-Charge  
No. 1 North 14th Street, Room 332  
Richmond, VA 23219-3691

# Appendix IV: Agency Regional and Local Office Addresses

(804) 786-0930

## Washington

Jeffrey Main, In-Charge  
Agricultural Service Center  
2015 South 1st Street, Room 4  
Yakima, WA 98903  
(509) 575-2492, 2493

Peter Echanove, In-Charge  
Interwest Savings Bank  
15111 8th Avenue, S.W., Suite 302  
P.O. Box 48099  
Seattle, WA 98148-0099  
(206) 764-3804, 3753

Dale Guyant, Federal Supervisor, In-Charge  
For Mail: P.O. Box 42560  
National Resources Building, 2nd Floor  
1111 Washington Street  
Olympia, WA 98504-2560  
(360) 902-1831  
Use the same number for FTS

Frank V. Warren, In-Charge  
32 North 3rd Street, Room 212  
Yakima, WA 98901-2791  
(509) 575-5869

## Western Region

Romeo V. Villaluz, Regional Director  
2202 Monterey Street, Suite 102-C  
Fresno, CA 93721-3175  
(209) 487-5891

## Wisconsin

Milborn Beaty, In-Charge  
742 East Fond du Lac Street  
Ripon, WI 54971-9555  
(414) 748-2287

## LIVESTOCK DIVISION

### Alabama

F. David Gonsoulin  
P.O. Box 3336  
1445 Federal Drive, Room 107  
Montgomery, AL 36109-0336  
(334) 223-7488

### Arizona

Donald W. Perkins  
Stockyards Building  
5001 East Washington Street, Room 102  
Phoenix, AZ 85034-2010  
(602) 379-4376

### Arkansas

Steve R. Cheney  
P.O. Box 391  
2301 S. University, Room 110-B  
Little Rock, AR 72203-3910  
(501) 671-2203

### Colorado

Keith L. Padgett  
711 "O" Street  
Greeley, CO 80631-9540

(970) 353-9750

Dale Krows  
400 Livestock Exchange Building  
Denver, CO 80216-2139  
(303) 294-7676

## Florida

Ronald Carpenter  
775 Warner Lane  
Orlando, FL 32803  
(407) 897-2708

## Georgia

Terry Harris  
Georgia State Farmers Market  
P.O. Box 86  
502 Smith Avenue, Stall 38  
Thomasville, GA 31792-0086  
(912) 226-2198

## Illinois

Richard Johnson  
800 Roosevelt Road  
Building A, Suite 330  
Glen Ellyn, IL 60137-5832  
(708) 790-6905

James Epstein  
Illinois Department of Agriculture  
Division of Marketing  
State Fairgrounds, Box 19281  
Springfield, IL 62794-9281  
(217) 782-4925

## Iowa

Michael Sheats  
210 Walnut Street, Room 767  
Des Moines, IA 50309-2106  
(515) 284-4460  
Use the same number for FTS

C. Thomas Sandau  
P.O. Box 2437  
800 Cunningham Drive, Room 225  
Sioux City, IA 51107-2437  
(712) 252-3286

Richard Jones  
210 Walnut Street, Room 575-A  
Des Moines, IA 50309-2106  
(515) 284-7166

## Kansas

R. Gary Mills  
100 Military Avenue, Suite 217  
Dodge City, KS 67801-4945  
(316) 227-8881

## Kentucky

Jack L. Colley  
1321 Story Avenue  
Louisville, KY 40206-1884  
(502) 582-5287

## Louisiana

David H. Foster  
P.O. Box 3334, Capitol Station

5825 Florida Boulevard  
Baton Rouge, LA 70821-3334  
(504) 922-1328

## Minnesota

Robert Brommer  
New Livestock Exchange Building, Suite 208  
South St. Paul, MN 55075-5598  
(612) 451-1565

## Missouri

Phil B. McFall  
601 Illinois Avenue, Room 210  
St. Joseph, MO 64504-1396  
(816) 238-0678

## Montana

Russ Travelute  
P.O. Box 1191  
Public Auction Yards Building  
112 South 18th & Minnesota Avenue, Room 206  
Billings, MT 59103-1191  
(406) 657-6285

## Nebraska

Gary R. Kinder  
213 Livestock Exchange Building  
29th & "O" Street  
Omaha, NE 68107-2603  
(402) 731-4520

Evan Stachowicz  
204 Livestock Exchange Building  
29th & O Streets  
Omaha, NE 68107-2603  
(402) 733-4833

## Oklahoma

Robert P. Miles  
Livestock Exchange Building, Room 140  
2501 Exchange Avenue  
Oklahoma City, OK 73108-2477  
(405) 232-5425

## Oregon

Lowell C. Serfling  
1220 S.W., 3rd Avenue, Room 1772  
Portland, OR 97204-2899  
(503) 326-2237

## Pennsylvania

James L. Anderson  
c/o New Holland Sales Stables  
101 W. Fulton Street, P.O. Box 155  
New Holland, PA 17557  
(717) 354-2391

## South Carolina

Daniel Schussler  
P.O. Box 13405  
Youngblood Building  
1001 Bluff Road  
Columbia, SC 29201-3405  
(803) 737-4491

## South Dakota

Charles E. McIntyre

# Appendix IV: Agency Regional and Local Office Addresses

803 East Rice Street, Room 103  
Sioux Falls, SD 57103-0193  
(605) 338-4061

## Tennessee

Lewis Langell  
P.O. Box 40627  
Melrose Station, Ellington Agriculture Center,  
Hogan Road  
Nashville, TN 37204-0627  
(615) 781-5406

## Texas

Cecil R. Rains  
P.O. Box 30217  
Livestock Exchange Building  
101 South Manhattan Street  
Amarillo, TX 79104  
(806) 373-7111

Rebecca Saunder  
Producer's Livestock Auction Building  
P.O. Box 30160  
San Angelo, TX 76903-0160  
(915) 653-1778

Kenneth Gladney  
Livestock Exchange Building  
P.O. Box 30217  
101 South Manhattan Street, 1st Floor  
Amarillo, TX 79104-0217  
(806) 372-6361

John Langenegger  
2507 N. Telshor Boulevard, Suite 4  
Las Cruces, NM 88001  
(505) 521-4928

## Virginia

## Washington

Vern Larson  
988 Juniper Street  
Moses Lake, WA 98837-2250  
(509) 765-3611

## Wyoming

Ray Leach  
1834 East A Street  
Torrington, WY 82240-1813  
(307) 532-4146

## POULTRY DIVISION

## Arkansas

(East Midwest Region: Alabama, Arkansas,  
Louisiana, Mississippi, Oklahoma, Tennessee,  
Texas)

Larry Poldrack  
1 Natural Resources Drive, Room 110  
P. O. Box 8521  
Little Rock, AR 72215-8521  
(501) 324-5955

## California

(Western Region: Alaska, Arizona, California,  
Colorado, Hawaii, Idaho, Montana, New Mexico,

Nevada, Oregon, Washington, Utah, Wyoming)

Gerald Brockman  
2909 Coffee Road, Suite 4  
Modesto, CA 95355-3188  
(209) 522-5251

James Derby  
5600 Rickenbacker Road  
Building 6 Section E  
Bell, CA 90201-6418  
(213) 269-4154  
(213) 260-4676 (Provides recorded messages 24  
hrs

## Connecticut

Patricia Bussy, Administrative Assistant  
Connecticut Department of Agriculture  
Marketing Division, 165 Capital Avenue  
State Office Building, Room 263  
Hartford, CT 06106-1688  
(860) 566-3671

## District of Columbia

AMS, PY Division  
USDA National Poultry Supervisor/National Egg  
Supervisor  
Richard Parsons/David Bowden, Jr.  
South Building, Room 3960  
P.O. Box 96456  
Washington, DC 20090-6456  
(202) 720-6911  
Use the same number for FTS

## Georgia

Johnny Freeman  
60 Forsyth Street, S.W., Room 6M80  
Atlanta, GA 30303  
FTS (404) 562-5830, 5856

## Iowa

Mary Adkins  
210 Walnut Street, Room 951  
Des Moines, IA 50309-2103  
(515) 284-4545 (Provides recorded messages 24  
hrs. a day)

(West-Midwest Region: Illinois, Iowa, Kansas,  
Minnesota, Indiana, Kentucky, Missouri,  
Nebraska, North Dakota, Michigan, Ohio, South  
Dakota, Wisconsin)

Jerry Mason  
Room 777, Federal Building  
210 Walnut Street  
Des Moines, IA 50309-2100  
(515) 284-4581

## Louisiana

Dave Foster, Director  
Louisiana Department of Agriculture  
P.O. Box 3334, H.J. Wilson Building  
Baton Rouge, LA 70821-3334  
(504) 922-1328

## Mississippi

Gary Brown  
352 East Woodrow Wilson  
P. O. Box 4629

Jackson, MS 39296-4629  
(601) 965-4662

## North Carolina

Spurgeon Hyder, Manager  
North Carolina Department of Agriculture  
P.O. Box 27647  
State Agriculture Building, Room 402  
2 West Edenton Street  
Raleigh, NC 27611-7647  
(919) 733-7252

(Eastern Region: Connecticut, Delaware, District  
of Columbia, Florida, Georgia, Maine, Maryland,  
Massachusetts, New Hampshire, New Jersey, New  
York, North Carolina, Pennsylvania, Puerto Rico,  
Rhode Island, South Carolina, Vermont, Virgin  
Islands, Virginia, West Virginia)

Douglas N. Lecher  
635 Cox Road, Suite G  
Gastonia, NC 28054-3441  
(704) 867-3871

## Texas

Neal Alexander, Director of Market Information  
Texas Department of Agriculture  
P.O. Box 12847, Capitol Station  
1700 North Congress Avenue  
Austin, TX 78711-2847  
(512) 463-7628  
1-800-252-3407 (Watts toll free within State)

## Virginia

Linda M. Kelley, Reporter  
Virginia Department of Agriculture and Consumer  
Services, Market News  
116 Reservoir Street  
Harrisonburg, VA 22801-4232  
(540) 434-0779

## SCIENCE DIVISION

## Alabama

Bobby L. Joyner, Supervisory Chemist  
Aflatoxin Laboratories  
3119 Wesley Way  
Dothan, AL 36301-2020  
(334) 794-5070

Melvin C. Ginn, Laboratory Supervisor  
For mail: P.O. Box 1368  
1557 Reeves Street  
Dothan, AL 36302  
(334) 792-5185

## Florida

James Carson, Supervisory Chemist  
Eastern Laboratories  
98 Third Street, S.W., Suite 211  
Winter Haven, FL 33880-2909  
(941) 299-7958

## Georgia

Thomas E. Parris, Laboratory Supervisor  
1211 Schley Avenue  
Albany, GA 31707  
(912) 430-8490

## Appendix IV: Agency Regional and Local Office Addresses

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Lorine Lewis, Laboratory Supervisor  
For mail: P.O. Box 488  
Ashburn, GA 31714  
(912) 567-3703

Walter K. Wills, Jr., Laboratory Supervisor  
For mail: P.O. Box 272  
Dawson, GA 31742  
(912) 995-7257

Donald Johnson, Laboratory Supervisor  
610 North Main Street  
Blakely, GA 31723  
(912) 723-4570

### Illinois

Dr. Fred Pepper, Laboratory Director  
Midwestern Laboratory  
3570 No. Avondale Avenue  
Chicago, IL 60618-5391  
(312) 353-6525

### North Carolina

Michael S. Lyons, Laboratory Supervisor  
For mail: P.O. Box 279  
301 West Pearl Street  
Aulander, NC 27805  
(919)345-1661, Ext 156

James G. Hess, Laboratory Director  
Eastern Laboratory  
2311-B Aberdeen Boulevard  
Gastonia, NC 28054-0614  
(704) 867-3873

Laboratory Address  
645 Cox Road  
Gastonia, NC 28054-0614  
(704) 867-1882

### Oklahoma

John Mangham, Laboratory Supervisor  
107 South 4th Street  
Madill, OK 73446  
(405) 795-5615

### Virginia

Bonnie Poli, Branch Chief  
Pesticide Records Branch  
8700 Centreville Road, Suite 200  
Manassas, VA 22110-0031  
(703) 330-7826

Virginia L. Meeks, Laboratory Supervisor  
For mail: P.O. Box 1130  
308 Culloden Street  
Suffolk, VA 23434  
(757) 925-2286

Robert L. Epstein, Acting Branch Chief  
Residue Branch  
8700 Centreville Road, Suite 200  
Manassas, VA 22110-0031  
(703) 330-2300

### TOBACCO DIVISION

#### Kentucky

Everette B. Mace  
(Lexington Region: Indiana, Kentucky, Maryland,

Missouri, North Carolina, Ohio, Tennessee,  
Virginia, West Virginia (burley), and Connecticut,  
Massachusetts, Pennsylvania, Wisconsin cigar  
areas)  
771 Corporate Drive, Suite 500  
Lexington, KY 40503  
(606) 224-1088

#### North Carolina

Ralph W. Lowery  
(Raleigh Region: Alabama, Florida, Georgia,  
North Carolina, South Carolina, Virginia  
(Flue-cured, Tobacco and Naval Stores Inspection)  
1306 Annapolis Drive, Room 205  
Raleigh, NC 27608-0001  
(919) 856-4584

### AGRICULTURAL RESEARCH SERVICE

---

#### Beltsville Area

Procurement Assistance Officer  
Building 003, Room 203, BARC-West  
Beltsville, MD 20705  
FTS (301) 504-7019

#### Midsouth Area

Area Budget and Fiscal Officer  
Delta States Research Center  
P.O. Box 225  
Stoneville, MS 38776  
FTS (601) 686-5345

#### Midwest Area

Area Budget and Fiscal Officer  
Northern Regional Research Center  
1815 North University Street  
Peoria, IL 61604  
FTS (700) 360-4618

#### North Atlantic Area

Procurement Assistance Officer  
Eastern Regional Research Center  
600 E. Mermaid Lane  
Philadelphia, PA 19118  
FTS (215) 233-6551

#### Northern Plains Area

Procurement Assistance Officer  
1201 Oakridge Drive, Suite 150  
Fort Collins, CO 80525-5526  
FTS (303) 229-5513

#### Pacific West Area

Procurement Assistance Officer  
Western Regional Research Center  
800 Buchanan Street  
Albany, CA 94710  
FTS (510) 559-6016

#### South Atlantic Area

Area Administrative Officer  
Richard B. Russell Research Center  
College Station Road  
P.O. Box 5677  
Athens, GA 30604-5677  
FTS (706) 546-3532

#### Southern Plains Area

Procurement Assistance Officer  
7607 Eastmark Drive, Suite 230  
College Station, TX 77840  
FTS (979) 960-9444

#### Virginia

Headquarters, Extramural Agreements Division  
Director  
5601 Sunnyside Avenue, Room 3-2172C  
Mail Stop 5110  
Beltsville, MD 20705-5110  
(301) 504-1147

### ANIMAL AND PLANT HEALTH INSPECTION SERVICE

---

#### REGIONAL OFFICES

##### Central Region

(Texas, Oklahoma, Louisiana, Arkansas, Missouri,  
Kansas, Iowa, Nebraska, North Dakota, South  
Dakota)  
Vacant  
3505 Boca Chica Boulevard, Suite 360  
Brownsville, TX 78521-4065  
(956) 504-4150

(Arkansas, Iowa, Kansas, Louisiana, Missouri,  
Nebraska, North Dakota, Oklahoma, South  
Dakota, Texas)  
Dr. R. Harrington, Jr., Regional Director  
100 West Pioneer Parkway, Suite 100  
Arlington, TX 76010  
(817) 276-2201

##### Eastern Region

(Alabama, Arkansas, Connecticut, Delaware,  
District of Columbia, Florida, Georgia, Illinois,  
Indiana, Iowa, Louisiana, Kentucky, Maine,  
Maryland, Massachusetts, Minnesota, Michigan,  
Mississippi, Missouri, New Hampshire, New  
Jersey, New York, North Carolina, Ohio,  
Pennsylvania, Puerto Rico, Rhode Island, South  
Carolina, Tennessee, Vermont, Virginia, Virgin  
Islands, West Virginia, Wisconsin)  
Gary E. Larson, Regional Director  
3322 West End Avenue, Suite 301  
Nashville, TN 37203  
(615) 736-2007

(Connecticut, Maine, Massachusetts, New  
Hampshire, New Jersey, Rhode Island, Vermont,  
New York, Delaware, Pennsylvania, Wisconsin,  
Minnesota, Illinois, Indiana, Ohio, Michigan,  
District of Columbia, Maryland, Virginia, West  
Virginia)  
Jerry L. Fowler, Regional Director  
Blason II, Second Floor  
505 South Lenola Road  
Moorestown, NJ 08057-1549  
(609) 968-4970

##### Northern Region

Illinois, Indiana, Maryland, Massachusetts,  
Michigan, Minnesota, New Jersey, New York,  
Ohio, Pennsylvania, Virginia, West Virginia,

# Appendix IV: Agency Regional and Local Office Addresses

Wisconsin)

Thomas Holt, Acting Regional Director  
1 Winner's Circle, Suite 100  
Albany, NY 12205  
(518) 453-0103

## **Southeastern Region**

(Florida, Georgia, Alabama, Kentucky, Mississippi, Tennessee, North Carolina, South Carolina, Puerto Rico, and Virgin Islands)  
Jerry L. Fowler, Regional Director  
3505 25th Avenue  
Building 1  
Gulfport, MS 39501  
(601) 863-1813

Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)  
Harold McCoy, Assistant Regional Director  
500 E. Zack Street, Suite 410  
Tampa, FL 33602-3945  
(813) 228-2952

## **Western Region**

(Arizona, Alaska, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming)  
W.W. Buisch, Acting Regional Director  
384 Inverness Drive South, Suite 150  
Englewood, CO 80112  
(303) 784-6202

(Alaska, Arizona, California, Colorado, Guam, Hawaii, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming)  
Michael Worthen, Regional Director  
12345 West Alameda Parkway, Suite 204  
Lakewood, CO 80228  
(303) 969-6560

(Hawaii, Washington, Oregon, California, Alaska, Arizona, Colorado, Guam, Idaho, Montana, Nevada, New Mexico, Utah, Wyoming)  
James R. Reynolds, Regional Director  
9580 Micron Avenue, Suite I  
Sacramento, CA 95827  
(916) 857-6065

National Wildlife Research Center  
Richard Curnow  
1201 Oakridge Drive  
Ft. Collins, CO 80525  
(970) 223-1588

## **FARM SERVICE AGENCY**

SERVICE CENTER

### **Alabama**

Daniel Robinson  
Alabama State FSA Office  
For letter mail: P.O. Box 235013  
4121 Carmichael Road, Suite 600  
Montgomery, AL 36106-5013  
(334) 279-3500

### **Alaska**

Karen Olson  
Alaska State FSA Office  
800 West Evergreen, Suite 216  
Palmer, AK 99645-6389  
(907) 745-7982

### **Arizona**

George Arrendondo  
Arizona State FSA Office  
77 East Thomas Road, Suite 240  
Phoenix, AZ 85012-3318  
(602) 640-5200

### **Arkansas**

Mike Dunaway  
Arkansas State FSA Office  
Federal Building, Room 5416  
700 West Capitol Avenue  
Little Rock, AR 72201-3225  
(501) 301-3000

### **California**

Valente Dolcini, Acting  
California State FSA Office  
430 G Street, Suite 4161  
Davis, CA 95616-4161  
(530) 792-5538

### **Colorado**

Robert Eisenach  
Colorado State FSA Office  
655 Parfet Street  
Suite E 305  
Lakewood, CO 80215-5517  
(303) 236-2866

### **Connecticut**

Harvey Polinsky  
Connecticut State FSA Office  
88 Day Hill Road  
Windsor, CT 06095  
(860) 285-8483

### **Delaware**

William Donald Clifton II  
Delaware State FSA Office  
1201 College Park Drive, Suite 101  
Dover, DE 19904-8713  
(302) 678-2547

### **Florida**

Kevin L. Kelley  
Florida State FSA Office  
440 N.W. 25th Place, Suite 1  
Gainesville, FL 32606  
(352) 379-4500

### **Georgia**

Hanson Carter  
Georgia State FSA Office  
For letter mail: P.O. Box 1907  
Federal Building, Room 102  
355 East Hancock Avenue  
Athens, GA 30603-1907

(706) 546-2266

### **Hawaii**

Jo-Anna Nakata  
Hawaii State FSA Office  
300 Ala Moana Boulevard, Room 5106  
For letter mail: P.O. Box 50008  
Honolulu, HI 96850  
(808) 541-2644

### **Idaho**

Richard R. Rush  
Idaho State FSA Office  
9173 W. Barners, Suite B  
Boise, ID 83705-1511  
(208) 378-5650

### **Illinois**

Stephen Scates  
Illinois State FSA Office  
For letter mail: P.O. Box 19273  
3500 W Avenue  
Springfield, IL 62794-9273  
(217) 241-6600

### **Indiana**

Robert D. Peacock  
Indiana State FSA Office  
5981 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3030, Ext. 317

### **Iowa**

Robert Soukup  
Iowa State FSA Office  
10500 Buena Vista Court  
Des Moines, IA 50322  
(515) 254-1540, Ext. 600

### **Kansas**

Adrian J. Polansky  
Kansas State FSA Office  
3600 Anderson Avenue  
Manhattan, KS 66502-2511  
(785) 539-3531

### **Kentucky**

Hampton (Hoppy) Henton  
Kentucky State FSA Office  
771 Corporate Drive, Suite 100  
Lexington, KY 40503-5478  
(606) 224-7601

### **Louisiana**

Willie F. Cooper  
Louisiana State FSA Office  
3737 Government Street  
Alexandria, LA 71302-3395  
(318) 473-7721

### **Maine**

G.Arnold Roach  
Maine State FSA Office  
444 Stillwater Avenue, Suite 1  
P.O. Box 406  
Bangor, ME 04402-0406

## Appendix IV: Agency Regional and Local Office Addresses

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(207) 990-9140

### **Maryland**

James M. Voss  
Maryland State FSA Office  
River Center  
8335 Guilford Road, Suite E  
Columbia, MD 21046  
(410) 381-4550

### **Massachusetts**

Charles A. Costa  
Massachusetts State FSA Office  
445 West Street  
Amherst, MA 01002-2957  
(413) 256-0232  
Use the same number for FTS

### **Michigan**

Chris White  
Michigan State FSA Office  
3001 Coolidge Road, Suite 100  
East Lansing, MI 48823-6321  
(517) 337-6659, Ext. 1201

### **Minnesota**

Linda Hennen, Acting  
Minnesota State FSA Office  
400 Farm Credit Service Building  
375 Jackson Street  
St. Paul, MN 55101-1852  
(612) 602-7700

### **Mississippi**

David Warrington  
Mississippi State FSA Office  
P.O. Box 14995  
6310 I-55 North  
Jackson, MS 39211  
(601) 965-4300

### **Missouri**

Brad Epperson  
Missouri State FSA Office  
601 Business Loop 70 West  
Suite 225, Parkade Plaza  
Columbia, MO 65203  
(573) 876-0925

### **Montana**

Bruce E. Nelson  
Montana State FSA Office  
For letter mail: P.O. Box 670  
10 East Babcock Street, Room 557  
Bozeman, MT 59715  
(406) 587-6872

### **Nebraska**

Mark Bowen  
Nebraska State FSA Office  
For letter mail: P.O. Box 57975  
7131 A Street  
Lincoln, NE 68510-7975  
(402) 437-5581

### **Nevada**

Wendell K. Newman  
Nevada State FSA Office  
1755 East Plumb Lane, Suite 202  
Reno, NV 89502-3207  
(775) 784-5411

### **New Hampshire**

James McConaha  
USDA-New Hampshire State FSA Office  
22 Bridge Street, 4th Floor  
P.O. Box 1388  
Concord, NH 03302-1338  
(603) 224-7941

### **New Jersey**

Debbie Borie Holtz  
New Jersey State FSA Office  
Mastoris Professional Plaza  
163 Route 130  
Building 2, Suite E  
Bordentown, NJ 08505-2249  
(609) 298-3446  
Use the same number for FTS

### **New Mexico**

Larry Burnett  
New Mexico State FSA Office  
6200 Jefferson Street, N.E.  
Albuquerque, NM 87109  
(505) 761-4900

### **New York**

Marc A. Smith  
New York State FSA Office  
441 South Salina Street, Suite 356, 5th Floor  
Syracuse, NY 13202-2455  
(315) 477-6303

### **North Carolina**

Phillip Farland  
North Carolina State FSA Office  
4407 Bland Road, Suite 175  
Raleigh, NC 27609-6296  
(919) 875-4800

### **North Dakota**

Scott Stofferahn  
North Dakota State FSA Office  
1025 28th Street, SW  
For letter mail:  
P. O. Box 3046  
Fargo, ND 58108  
(701) 239-5205

### **Ohio**

Steve Maurer  
Ohio State FSA Office  
Federal Building, Room 540  
200 North High Street  
Columbus, OH 43215  
(614) 469-6735

### **Oklahoma**

Terry L. Peach  
Oklahoma State FSA Office  
100 USDA, Suite 102

Farm Road & McFarland Street  
Stillwater, OK 74074-2653  
(405) 742-1130

### **Oregon**

Jack L. Sainsbury  
Oregon State FSA Office  
7620 SW Mohawk  
For Letter Mail: P.O. Box 1300  
Tualatin, OR 97062-8121  
(503) 692-6830

### **Pennsylvania**

William H. Baumgartner  
Pennsylvania State FSA Office  
One Credit Union Place, Suite 320  
Harrisburg, PA 17110-2994  
(717) 237-2113

### **Puerto Rico**

Heriberto J. Martinez  
P.O. Box 11188  
Fernandez Junzos Station  
Suite 309, Cobian's Plaza  
1607 Ponce DeLeon Avenue  
Santurce, PR 00909-0001  
(809) 729-6872

### **Rhode Island**

Paul E. Brule  
Rhode Island State FSA Office  
60 Quaker Lane  
West Bay Office Complex, Room 40  
Warwick, RI 02886-0111  
(401) 828-8232

### **South Carolina**

Laurie C. Lawson  
South Carolina State FSA Office  
1927 Thurmond Mall, Suite 100  
Columbia, SC 29201-2375  
(803) 806-3830

### **South Dakota**

Michael O'Connor  
South Dakota State FSA Office  
200 Fourth Street, S.W., Room 308  
Federal Building  
Huron, SD 57350-2478  
(605) 352-1160

### **Tennessee**

David McDole  
Tennessee State FSA Office  
579 U.S. Courthouse  
801 Broadway  
Nashville, TN 37203-3816  
(615) 736-5555

### **Texas**

Wayland Shurley, Acting  
Texas State FSA Office  
Commerce National Bank Building, 2nd Floor  
2405 Texas Avenue South, 77840  
For letter mail: P.O. Box 2900  
College Station, TX 77841-0001

# Appendix IV: Agency Regional and Local Office Addresses

(409) 260-9207

## Utah

James L. Humlicek  
Utah State FSA Office  
125 South State Street, Room 4239  
For letter mail: P.O. Box 11350  
Salt Lake City, UT 84147-0350  
(801) 524-5013

## Vermont

Ronald Allbee, Acting  
Vermont State FSA Office  
Executive Square Office Building  
346 Shelburne Street  
Burlington, VT 05401-4995  
(802) 658-2803

## Virginia

Donald Davis  
Virginia State FSA Office  
Culpeper Building, Suite 138  
1606 Santa Rosa Road  
Richmond, VA 23229  
(804) 287-1500

## Washington

Larry R. Albin  
Washington State FSA Office  
Rock Pointe Tower, Suite 568  
316 West Boone Avenue  
Spokane, WA 99201-2350  
(509) 323-3000

## West Virginia

Billy B. Burke  
West Virginia State FSA Office  
New Federal Building  
75 High Street, Room 239  
For letter mail: P. O. Box 1049  
Morgantown, WV 26507-1049  
(304) 291-4351

## Wisconsin

Douglas J. Caruso  
Wisconsin State FSA Office  
6515 Watts Road, Room 100  
Madison, WI 53719-2797  
(608) 276-8732, Ext. 100

## Wyoming

Carl Jensen  
Wyoming State FSA Office  
951 Werner Court, Suite 130  
Casper, WY 82601-1307  
(307) 261-5231

## FOOD AND NUTRITION SERVICE

### REGIONAL OFFICES

#### California

(Western: Alaska, American Samoa, Arizona, California, Commonwealth of the Northern Marianas, Guam, Hawaii, Idaho, Nevada, Oregon, Washington, Freely Associated States of the Pacific)

Dick Montoya  
550 Kearny Street, Room 400  
San Francisco, CA 94108  
(415) 705-1310  
Use the same number for FTS

#### Colorado

(Mountain Plains: Colorado, Iowa, Kansas, Missouri, Montana Nebraska, North Dakota, South Dakota, Utah, Wyoming)  
Craig Forman  
1244 Speer Boulevard, Suite 903  
Denver, CO 80204  
(303) 844-0300  
Use the same number for FTS

#### Georgia

(Southeast: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Jerry Redding  
First Floor, Martin Luther King, Jr. Federal Annex  
77 Forsythe Street, S.W., Suite 112  
Atlanta, GA 30303  
(404) 730-2565  
Use the same number for FTS

#### Illinois

(Midwest: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Lawrence Rudmann  
77 West Jackson Boulevard, 20th Floor  
Chicago, IL 60604-3507  
(312) 353-6664  
Use the same number for FTS

#### Massachusetts

(Northeast: Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont)  
Charles DeJulius  
10 Causeway Street, Room 501  
Boston, MA 02222-1068  
(617) 565-6370  
Use the same number for FTS

#### New Jersey

(Mid-Atlantic: Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Puerto Rico, Virgin Islands, Virginia, West Virginia)  
Walt Haake  
Mercer Corporate Park  
Corporate Boulevard  
CN 02150  
Trenton, NJ 08650  
(609) 259-5025  
Use the same number for FTS

#### Texas

(Southwest: Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Judy Snow  
1100 Commerce Street, Room 5-C-30  
Dallas, TX 75242  
(214) 767-0222

Use the same number for FTS

## FOOD SAFETY AND INSPECTION SERVICE

### WAGE AND HOUR DIVISION

#### Kansas

(District 30: Kansas, Missouri)  
Dr. William M. Walker  
4920 W. 15th Street  
Lawrence, KS 66049  
(785) 841-5600

#### Arkansas

(District 35: Arkansas, Louisiana, Oklahoma)  
Dr. Cordell H. Schilmoeller  
Country Club Center  
4700 South Thompson Building B, Suite 201  
Springdale, AR 72764  
(501) 751-8412

#### California

(District 05: California)  
Dr. Murli Prasad  
620 Central Avenue, Building 2C  
Alameda, CA 94501  
(303) 497-5411

#### Colorado

(District 15: Arizona, Colorado, New Mexico, Nevada, Utah)  
Dr. Ronald K. Jones  
665 South Broadway, Suite B  
Boulder, CO 80303  
(303) 497-5411

#### Georgia

(District 85: Florida, Georgia)  
Dr. Lewis Burgman  
100 Alabama Street, S.W., Building 1924, Suite 3R90  
Atlanta, GA 30303  
(404) 562-5900

#### Illinois

(District 50: Illinois, Indian)  
Mr. David E. Green  
1919 South Highland Avenue, Suite 115C  
Lombard, IL 60148  
(630) 620-7474

#### Iowa

(District 25: Iowa, Nebraska)  
Dr. Dennis Greening  
11338 Auroa Avenue  
Des Moines, IA 50322  
(515) 727-8960

#### Maryland

(District 75: Delaware, Washington DC, Maryland, Virginia)  
Dr. Perfecto Santiago  
5601 Sunnyside Avenue, Suite 1-2288B  
Beltsville, MD 20705-5200  
(301) 504-2136

#### Massachusetts

# Appendix IV: Agency Regional and Local Office Addresses

(District 50: Connecticut, Maine, Massachusetts, New Hampshire, Puerto Rico, Rhode Island, Vermont, Virgin Islands)  
Mr. Jan T. Behney  
411 Waverley Oaks Road, Building 3, Suite 331  
Waltham, MA 02452-8405  
(781) 736-1843

## Minnesota

(District 20: Minnesota, Montana, North Dakota)  
Dr. Nathaniel Clark  
Butler Square West, Suite 989C  
100 N. 6th Street  
Minneapolis, MN 55403  
(612) 370-2400

## Mississippi

(District 90: Alabama, Mississippi, Tennessee)  
Dr. Mariano-Loret de Mola  
715 S. Pear Orchard Road, Suite 101  
Ridgeland, MS 39157  
(601) 965-4312

## New York

(District 65: New Jersey, New York)  
Mr. George Puchta  
230 Washington Avenue  
Albany, NY 12203-6870  
(518) 452-6870

## North Carolina

(District 80: North Carolina, South Carolina)  
Dr. Karen W. Henderson  
6020 Six Forks Road  
Raleigh, NC 27609  
(919) 844-8400

## Ohio

(District 55: Kentucky, Ohio, West Virginia)  
Dr. Ellis L. Jones  
155 East Columbus Street  
Pickerton, OH 43147  
(614) 833-1045

## Oregon

(District 10: Alaska, American Samoa, Guam, Hawaii, Idaho, Oregon, Washington)  
Dr. Helmut W. Blume  
530 Center Street NW  
Salem, OR 97301  
(503) 399-5831

## Pennsylvania

(District 60: Pennsylvania)  
Mr. Joseph Priore  
Mellon Independence Center  
701 Market Street, 2-B South  
Philadelphia, PA 19106-1576  
(215) 597-4219, Ext. 104

## Texas

(District 40: Texas)  
Dr. Alan Knox  
1100 Commerce, Room 5F41  
Dallas, TX 75242-0598  
(214) 767-9124

## Wisconsin

(District 45: Michigan, Wisconsin)  
Mr. James W. Blank  
2810 Crossroads Drive, Suite 3500  
Madison, WI 53718-7969  
(608) 240-4080

## FOREST SERVICE

### DIVISION OF FEDERAL EMPLOYEES COMPENSATION

#### Pennsylvania

Northeastern Area: Covers same States as listed under Region 9 above)  
Michael T. Rains  
5 Radnor Corporate Center  
P.O. Box 6775  
Radnor, PA 19087-8775  
(610) 975-4103

#### REGIONAL OFFICES

##### Alaska

(Region 10: Alaska)  
Steve Bush  
3301 C Street, Suite 522  
Anchorage, AK 99503-3956  
(907) 271-2519

##### California

(Region 5: California, Hawaii)  
Bruce Goines  
1323 Club Drive  
Vallejo, CA 94592  
(707) 562-8910

##### Colorado

(Region 2: Colorado, Kansas, Nebraska, South Dakota, except Northwestern Corner, Eastern two-thirds of Wyoming)  
Bob Dettman  
740 Simms Street  
P.O. Box 25127  
Lakewood, CO 80255  
(303) 275-5741

##### Georgia

(Region 8: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, Virgin Islands)  
Alan Pigg  
1720 Peachtree Road, N.W.  
Atlanta, GA 30367  
(404) 347-7486

##### Montana

(Region 1: Montana, Northern Idaho, North Dakota, Northwestern corner of South Dakota)  
William Boettcher  
Federal Building  
P.O. Box 7669  
Missoula, MT 59807  
(406) 329-3280

##### New Mexico

(Region 3: Arizona, New Mexico)  
Larry Roybal  
P.O. Box 1689  
Santa Fe, NM 87504  
(505) 842-3344

##### Oregon

(Region 6: Oregon, Washington)  
Raymond Abriel  
Bill Von Segen  
333 S.W. First Street, P.O. Box 3623  
Portland, OR 97208-3623  
(503) 808-2355  
(503) 808-2348

##### Utah

(Region 4: Southern Idaho, Nevada, Utah, western one-third of Wyoming)  
Wes Harvey  
Federal Office Building, 324 25th Street  
Ogden, UT 84401  
(801) 625-5239

##### Wisconsin

(Region 9: Connecticut, Delaware, Illinois, Indiana, Iowa, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, West Virginia, Wisconsin)  
Michael T. Rains (see Northeast Area)  
5 Radnor Corporate Center, Suite 200  
P.O. Box 6775  
Radnor, PA 19087-4555  
(610) 975-4103

To locate Forest Supervisor and Ranger District Offices, consult your local telephone directory under U.S. Department of Agriculture, or the regional offices listed above.

#### RESEARCH HEADQUARTERS

##### California

(Pacific Southwest: California, Hawaii)  
Hal Salwasser  
For letter mail: P.O. Box 245  
Berkley, CA 94701-0245  
(510) 559-6317

##### Colorado

(Rocky Mountain: Arizona, Colorado, New Mexico, Kansas, Nebraska, North Dakota, Panhandle, South Dakota, Western Texas, Eastern two-thirds of Wyoming)  
Jim Haskell  
240 West Prospect Road  
Fort Collins, CO 80526-2098  
(970) 498-1139

##### Minnesota

(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Wisconsin)  
Pamela A. Day  
1992 Folwell Avenue  
St. Paul, MN 55108  
(612) 649-5252



# Appendix IV: Agency Regional and Local Office Addresses

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## North Carolina

(Southern: Florida, Georgia, North Carolina, South Carolina, Virginia, Alabama, Arkansas, Louisiana, Mississippi, Oklahoma, except Panhandle, Puerto Rico, Tennessee, eastern Texas)  
Thelma Floyd  
200 Weaver Boulevard  
P.O. Box 2680  
Asheville, NC 28802  
(704) 257-4301

## Oregon

(Pacific Northwest: Alaska, Oregon, Washington)  
Tom Mills  
P.O. Box 3890  
Portland, OR 97208-3890  
(503) 326-5644

## Pennsylvania

(Northeastern: Connecticut, Kentucky, Maine, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Vermont, West Virginia)  
Station Director  
5 Radnor Corporate Center, Suite 200  
Radnor, PA 19087-4585  
(610) 975-4207

## Utah

(Intermountain: Idaho, Montana, Nevada, Utah, western one-third of Wyoming)  
Denver P. Burns  
324 25th Street  
Ogden, UT 84401  
(801) 625-5421

## Wisconsin

Tom Hamilton  
Forest Products Laboratory  
One Gifford Pinchot Drive  
Madison, WI 53705-2398  
(608) 231-9315

## NATIONAL AGRICULTURAL STATISTICS SERVICE

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### SERVICE CENTER

#### Alabama

Sterling Center, Suite 601  
4121 Carmichael Road  
Montgomery, AL 36106-3683  
(334) 279-3400

#### Alaska

800 West Evergreen, Suite 201  
Palmer, AK 99645-6539  
(907) 745-2176

#### Arizona

3003 North Central Avenue, Suite 900  
Phoenix, AZ 85012-2906  
(602) 280-8700

#### Arkansas

700 W. Capitol Avenue, Room 3416

For letter mail: P.O. Box 2778  
Little Rock, AR 72201-3225  
(501) 301-3200

#### California

430 G Street, Agency 4169  
Davis, CA 95616-4169  
(530) 792-5800

#### Colorado

655 Parfet Street, Room E-100  
Lakewood, CO 80215  
(303) 236-2801

#### Delaware

(Delaware, Maryland)  
5201 South Dupont Highway  
P.O. Box 400  
Camden, DE 19934-9998  
(302) 697-4300

#### Florida

(Florida, Virgin Islands)  
Federal Building  
4440 N.W. 25th Place  
P.O. Box 147010  
Gainesville, FL 32614-7010  
(352) 338-3400

#### Georgia

355 East Hancock Avenue  
Stephens Federal Building  
Athens, GA 30601-2768  
(706) 546-2162

#### Hawaii

Federal Building, Room 311  
154 Waianuenue Avenue  
Hilo, HI 96720  
(808) 933-3000

#### Idaho

9173 West Barnes Drive, Suite A1  
Boise, ID 83709  
(208) 378-5600

#### Illinois

Illini Plaza, Suite 103  
1817 South Neil Street  
Champaign, IL 61820  
(217) 398-5235

#### Indiana

5975 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3100

#### Iowa

Room 873, Federal Building  
210 Walnut Street  
Des Moines, IA 50309  
(515) 284-4663

#### Kansas

1200 SW Executive Drive  
P.O. Box 4653

Topeka, KS 66605  
(785) 271-2700

#### Kentucky

771 Corporate Drive, Suite 200  
Lexington, KY 40503  
(606) 224-7300

#### Louisiana

3727 Government Street  
Alexandria, LA 71302  
(318) 473-7920

#### Maine

444 Stillwater Avenue, Suite 2  
P.O. Box 405  
Bangor, ME 04402-0405  
(207) 990-9106

#### Massachusetts

(Connecticut, Massachusetts, Rhode Island)  
451 West Street  
Amherst, MA 01002  
(413) 253-4300

#### Michigan

3001 Coolidge Road, Suite 200  
East Lansing, MI 48823  
(517) 337-6635

#### Minnesota

410 Agribank Building  
375 Jackson Street  
St. Paul, MN 55101-1853  
(651) 602-7800

#### Mississippi

Suite 831, Federal Building  
100 West Capitol Street  
Jackson, MS 39269  
(601) 965-4316

#### Missouri

601 Business Loop, 70 West  
Parkade Center, Suite 235  
Columbia, MO 65203  
(573) 876-0976

#### Montana

Unit 1, Suite B  
P.O. Box 850  
900 Technology Boulevard  
Bozeman, MT 59715  
(406) 585-2580

#### Nebraska

Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508  
(402) 437-5551

#### Nevada

1390 South Curry Street  
Carson City, NV 89703-9910  
(702) 887-1222

#### New Jersey

# Appendix IV: Agency Regional and Local Office Addresses

Tarnsfield Plaza, Suite 22  
790 Woodland Road  
Mt. Holly, NJ 08060  
(609) 265-3600

## **New Mexico**

6200 Jefferson Street, N.E., Room 255  
Albuquerque, NM 87109  
(505) 761-4950

## **New York**

The Galleries of Syracuse  
441 South Salina Street, Suite 357  
Syracuse, NY 13202-2541  
(315) 477-6400

## **North Carolina**

4405 Bland Road, Suite 260  
Raleigh, NC 27609  
(919) 873-2000

## **North Dakota**

Federal Building, Room 208  
220 E. Rosser  
For Letter mail: P.O. Box 1737  
Bismarck, ND 58502-1737  
(701) 250-4781

## **Ohio**

Federal Building, Room 507  
200 North High Street  
Columbus, OH 43215-2477  
(614) 469-5606

## **Oklahoma**

100 USDA, Suite 108  
Stillwater, OK 74074-2654  
(405) 742-1000

## **Oregon**

101 SW Main Street, Suite 1410  
Portland, OR 97204-3222  
(503) 414-3300

## **Pennsylvania**

One Credit Union Place, Suite 330  
Harrisburg, PA 17110-2996  
(717) 237-2299

## **Puerto Rico**

New San Juan Office Building, Room 501  
159 Carlos E. Chardon Street  
Hato Rey, PR 00918-5481  
(787) 766-5095

## **South Carolina**

Strom Thurmond Federal Building  
1835 Assembly Street  
Room 1007  
Columbia, SC 29201  
(803) 765-5163

## **South Dakota**

Federal Building, Room 210  
200 Fourth Street, S.W.  
Huron, SD 57350

(605) 352-1100

## **Tennessee**

3322 West End Avenue, Suite 300  
Nashville, TN 37203-1084  
(615) 783-1300

## **Texas**

Federal Building, Suite 102  
101 S. Main  
Temple, TX 76501  
(254) 742-9700

## **Utah**

Wallace F. Bennett  
Federal Building, Room 4311  
125 South State Street  
P.O. Box 11350  
Salt Lake City, UT 84147-0350  
(801) 524-4063

## **Vermont**

(New Hampshire, Vermont)  
City Center, 3rd Floor  
89 Main Street  
Montpelier, VT 05602  
(802) 828-6010

## **Virginia**

Culpeper Building, Suite 238  
1606 Santa Rosa Road  
Richmond, VA 23229  
(804) 287-1550

## **Washington**

1835 Black Lake Boulevard, S.W., Suite B  
Olympia, WA 98512-5715  
(360) 704-7740

## **West Virginia**

Federal Building  
75 High Street, Room 320  
Morgantown, WV 26505-7500  
(304) 291-4791

## **Wisconsin**

4949 Kirschling Court  
Stevens Point, WI 54481  
(715) 345-7600

## **Wyoming**

To locate County Rural Development Officers,  
consult your telephone directory under U.S.  
Department of Agriculture, or the State Office of  
the Rural Development listed above.

Federal Building, Room 1005  
100 East B Street  
For letter mail: P.O. Box 820  
Casper, WY 82602  
(307) 261-6300

## **STATE EMPLOYMENT SECURITY AGENCIES**

### **Alabama**

Vacant  
State Statistician  
Sterling Center, Suite 200

4121 Carmichael Road  
For letter mail: P.O. Box 240578  
Montgomery, AL 36124-0578  
(334) 279-3555  
Use the same number for FTS  
(800) 832-4181 TOLL F

### **Alaska**

State Statistician  
809 South Chugach Street, Suite 4  
Palmer, AK 99645

For letter mail: P.O. Box 799  
Palmer, AK 99645  
(907) 745-4272  
(800) 478-6079 TOLL FREE

### **Arizona**

State Statistician  
3003 North Central Avenue, Suite 950  
Phoenix, AZ 85012  
(602) 280-8850  
Use the same number for FTS  
(800) 645-7286 TOLL F

### **Arkansas**

State Statistician  
2301 South University Avenue, Room 103  
Little Rock, AR 72204  
(501) 296-9926  
Use the same number for FTS  
(800) 327-2970 TOLL F

### **California**

State Statistician  
1220 "N" Street, Room 243  
For letter mail: P.O. Box 1258  
Sacramento, CA 95812  
(916) 498-5161  
Use the same number for FTS  
(800) 851-1127 TOLL F

### **Colorado**

State Statistician  
645 Parfet Street, Suite W-201  
For letter mail: P.O. Box 150969  
Lakewood, CO 80215-0969  
(303) 236-2300  
Use the same number for FTS  
(800) 392-3202 TOLL F

### **Delaware**

State Statistician  
Delaware Department of Agriculture Building  
2320 South DuPont Highway  
Dover, DE 19901  
(302) 739-4811  
(800) 282-8685 TOLL FREE (Within State Only)

### **Florida**

Vacant  
State Statistician  
1222 Woodward Street  
For letter mail: P.O. Box 530105  
Orlando, FL 32853-0105  
(407) 648-6013

# Appendix IV: Agency Regional and Local Office Addresses

Use the same number for FTS  
(800) 344-6277 TOLL F

## Georgia

State Statistician  
Stephens Federal Building, Suite 320  
Athens, GA 30613  
(706) 546-2236  
Use the same number for FTS  
(800) 253-4419 TOLL F

## Hawaii

State Statistician  
State Department of Agriculture Building  
1428 South King Street  
For letter mail: P.O. Box 22159  
Honolulu, HI 96823-2159  
(808) 973-2907  
Use the same number for FTS  
(800) 804-9514 TOLL F

## Idaho

State Statistician  
2224 Old Penitentiary Road  
For letter mail: P.O. Box 1699  
Boise, ID 83701-1699  
(208) 334-1507  
Use the same number for FTS  
(800) 691-9987 TOLL F

## Illinois

State Statistician  
Illinois Department of Agriculture Building  
801 Sangamon Avenue, Room 54  
For letter mail: P.O. Box 19283  
Springfield, IL 62794-9283  
(217) 492-4295  
Use the same number for FTS  
(800) 622-9865 TOLL F

## Indiana

State Statistician  
1148 AGAD Building, Room 223  
Purdue University  
West Lafayette, IN 47907-1148  
(765) 494-8371  
(800) 363-0469 TOLL FREE

## Iowa

State Statistician  
Federal Building  
210 Walnut Street, Room 833  
Des Moines, IA 50309  
(515) 284-4340  
Use the same number for FTS  
(800) 772-0825 TOLL F

## Kansas

State Statistician  
632 S.W. Van Buren, Room 200  
For letter mail: P.O. Box 3534  
Topeka, KS 66601-3534  
(785) 233-2230  
Use the same number for FTS  
(800) 258-4564 TOLL F

## Kentucky

Vacant  
State Statistician  
Gene Snyder and Courthouse Building  
601 W. Broadway, Room 645  
For letter mail: P.O. Box 1120  
Louisville, KY 40201-1120  
(502) 582-5293  
Use the same number for FTS  
(800) 928-5277 TOLL F

## Louisiana

State Statistician  
5825 Florida Boulevard  
For letter mail: P.O. Box 65038  
Baton Rouge, LA 70896-5038  
(225) 922-1362  
(800) 256-4485 TOLL FREE

## Maryland

State Statistician  
50 Harry S Truman Parkway, Suite 202  
Annapolis, MD 21401  
(410) 841-5740  
(800) 675-0295 TOLL FREE

## Michigan

Vacant  
State Statistician  
201 Federal Building  
For letter mail: P.O. Box 20008  
Lansing, MI 48901-0008  
(517) 377-1831  
Use the same number for FTS  
(800) 453-7501 TOLL F

## Minnesota

State Statistician  
8 East 4th Street, Suite 500  
For letter Mail: P.O. Box 7068  
St. Paul, MN 55107-7068  
(651) 296-2230  
Use the same number for FTS  
(800) 453-7502 TOLL F

## Mississippi

State Statistician  
121 North Jefferson Street, Suite 230  
For letter mail: P.O. Box 980  
Jackson, MS 39205-0980  
(601) 965-4575  
Use the same number for FTS  
(800) 535-9609 TOLL F

## Missouri

State Statistician  
601 Business Loop West, Suite 240  
For letter mail: P.O. Box L  
Columbia, MO 65205  
(573) 876-0950  
Use the same number for FTS  
(800) 551-1014 TOLL F

## Montana

State Statistician

301 South Park, Federal Building, Room 398  
For Letter Mail: Drawer 10033  
Helena, MT 59626  
(406) 441-1240  
Use the same number for FTS  
(800) 835-2612 TOLL F

## Nebraska

State Statistician  
100 Centennial Mall North, Room 273, Federal Building  
For letter mail: P.O. Box 81069  
Lincoln, NE 68501-1069  
(402) 437-5541  
Use the same number for FTS  
(800) 582-6443 TOLL F

## Nevada

State Statistician  
Max C. Fleischmann Agriculture Building, Room 232  
University of Nevada  
For letter mail: P.O. Box 8880  
Reno, NV 89507-8880  
(702) 784-5584  
(888) 456-7211 TOLL FREE

## New England

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
State Statistician  
22 Bridge Street, 3rd Floor  
For letter mail: P.O. Box 1444  
Concord, NH 03302-1444  
(603) 224-9639  
Use the same number for FTS  
(800) 642-9571 TOLL F

## New Jersey

Vacant  
State Statistician  
Health and Agriculture Building, Room 205  
CN-330, New Warren Street  
Trenton, NJ 08625  
(609) 292-6385  
(800) 328-0179 TOLL FREE

## New Mexico

State Statistician  
2507 North Telshor Boulevard, Suite 4  
For letter mail: P.O. Box 1809  
Las Cruces, NM 88004-1809  
(505) 522-6023  
(800) 530-8810 TOLL FREE

## New York

State Statistician  
Department of Agriculture and Markets  
1 Winner's Circle  
Albany, NY 12235  
(518) 457-5570  
(800) 821-1276 TOLL FREE

## North Carolina

State Statistician  
2 W. Edenton Street

# Appendix IV: Agency Regional and Local Office Addresses

P.O. Box 27767  
Raleigh, NC 27611-7767  
(919) 856-4394  
Use the same number for FTS  
(800) 437-8451 TOLL F

## North Dakota

State Statistician In Charge  
NDSU, Room 448  
1250 Albrecht Boulevard  
For letter mail: P.O. Box 3166  
Fargo, ND 58108-3166  
(701) 239-5306  
Use the same number for FTS  
(800) 626-3134 TOLL F

## Ohio

State Statistician  
Bromfield Administration Building, Room 103  
8995 East Main Street  
For Letter Mail: P.O. Box 686  
Reynoldsburg, OH 43068-0686  
(614) 728-2100  
Use the same number for FTS  
(800) 858-8144 TOLL F

## Oklahoma

State Statistician  
2800 North Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 525-9226  
(888) 525-9226 TOLL FREE

## Oregon

State Statistician  
1220 S.W. 3rd Avenue  
Room 1735, Federal Building  
Portland, OR 97204  
(503) 326-2131  
Use the same number for FTS  
(800) 338-2157 TOLL F

## Pennsylvania

State Statistician  
2301 North Cameron Street, Room G-19  
Harrisburg, PA 17110  
(717) 787-3904  
Use the same number for FTS  
(800) 498-1518 TOLL F

## South Carolina

State Statistician  
1835 Assembly Street, Room 1008  
For letter mail: P.O. Box 1911  
Columbia, SC 29202-1911  
(803) 765-5333  
Use the same number for FTS  
(800) 424-9406 TOLL F

## South Dakota

William G. Hamlin  
State Statistician  
3528 South Western Avenue  
For letter mail: P.O. Box 5068  
Sioux Falls, SD 57117-5068  
(605) 330-4235

Use the same number for FTS  
(800) 338-2557 TOLL F

## Tennessee

State Statistician  
440 Hogan Road  
Holeman Office Building  
Ellington Agricultural Center  
For letter mail: P.O. Box 41505  
Nashville, TN 37204-1505  
(615) 781-5300  
Use the same number for FTS  
(800) 626-0987 TOLL F

## Texas

State Statistician  
300 East 8th Street  
Room 500, Federal Building  
For letter mail: P.O. Box 70  
Austin, TX 78767-0700  
(512) 916-5581  
Use the same number for FTS  
(800) 626-3142 TOLL F

## Utah

State Statistician  
176 N. 2200 West, Suite 260  
For letter mail:  
P.O. Box 25007  
Salt Lake City, UT 84125-5007  
(801) 524-5003  
(800) 747-8522

## Virginia

State Statistician  
1100 Bank Street, Room 706  
For letter mail: P.O. Box 1659  
Richmond, VA 23218-1659  
(804) 771-2493  
Use the same number for FTS  
(800) 772-0670 TOLL F

## Washington

State Statistician  
1111 Washington Street, SE  
For letter mail: P.O. Box 609  
Olympia, WA 98507-0609  
(360) 902-1940  
(800) 435-5883 TOLL FREE

## West Virginia

State Statistician  
1900 Kanawha Boulevard E  
For FEDEX/UPS 4720 Brenda Lane, Building 2,  
Room 203  
Charleston, WV 25312  
(304) 345-5958  
Use the same number for FTS  
(800) 535-7088 TOLL F

## Wisconsin

Vacant  
State Statistician  
2811 Agriculture Drive  
For letter mail: P.O. Box 8934  
Madison, WI 53708-8934

(608) 224-4848  
Use the same number for FTS  
(800) 789-9277 TOLL F

## Wyoming

State Statistician  
504 West 17th Street, Suite 250  
For letter mail: P.O. Box 1148  
Cheyenne, WY 82003-1148  
(307) 772-2181  
Use the same number for FTS  
(800) 892-1660 TOLL F

## NATURAL RESOURCES CONSERVATION SERVICE

LONGSHORE AND HARBOR WORKERS'  
COMPENSATION

Phillip Jones, Head  
National Soil Mechanics Center  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5318

Carolyn Adams, Director  
Watershed Sciences Institute  
101 SW Main Street, Suite 1700  
Portland, OR 97204-3225  
(502) 414-3001

National Employee Development Center  
501 Felix Street, Building 23  
Ft. Worth, TX 76115

Dean M. Thompson, Director  
NRI&A Institute  
Statistical Laboratory  
202 Snedecor Hall  
Iowa State University  
Ames, IA 50011  
(515) 294-8177

Frank Clearfield, Director  
Social Sciences Institute  
North Carolina A&T State University  
Applied Survey Research Laboratory  
Charles H. Moore Building  
Beech & Lindsay Streets  
Greensboro, NC 27411  
(202) 720-1511

Billy Teels, Director  
Wetlands Science Institute  
Snowden Hall  
11400 American Holy Drive  
Laurel, MD 20708-4014  
(301) 497-5911

Wildon Fontenot, Co-Director  
P.O. Box 2890  
Washington, DC 20013-2890  
(202) 720-4909

Maurice Mausbach, Director  
Soil Quality Institute  
14th & Independence Avenue, N.W.  
Washington, DC 20250

## Appendix IV: Agency Regional and Local Office Addresses

---

(202) 720-4525

Scott Peterson, Director  
National Plant Data Center  
P.O. Box 74490  
Baton Rouge, LA 70874  
(504) 775-6280

John Werner, Co-Director  
National Water & Climate Center  
101 SW Main Street  
Portland, OR 97204-3225  
(503) 414-3107

Dennis Lytle, Chair  
National Soil Survey Center  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5499

Richard Folsche, Director  
National Carto & Geospatial Database Center  
501 Felix street, Building 23  
Ft. Worth, TX 76115  
(817) 334-5292, Ext. 3031

Rhett Johnson, Director  
Grazing Lands Institute  
501 Felix Street, Building 23  
P.O. Box 6567  
Ft. Worth, TX 76115  
(817) 334-5282, Ext. 3510

### REGIONAL OFFICES

Diane Gelburd  
East Regional Office  
1400 Wilson Boulevard, Suite 1100  
Arlington, VA 22209  
(703) 312-7282

Judy Johnson  
South Central Regional Office  
501 W. Felix Street, Building 23  
P.O. Box 6459  
Ft. Worth, TX 76115  
(817) 334-5224, Ext. 3700

Charles Adams, Acting  
Southeast Regional Office  
1720 Peachtree Road, N.W., Suite 716-N  
Atlanta, GA 30367  
(404) 347-6105

Jeffery Vonk  
Northern Plains Regional Office  
100 Centennial Mall North, Room 152  
Lincoln, NE 68508  
(402) 437-5315

Charles Whitmore  
Midwest Regional Office  
One Gifford Pinchot Drive, Room 204  
Madison, WI 53705-3210  
(608) 264-5281

Rosendo Trevino III, Acting  
West Regional Office  
650 Capitol Mall, Room 6072  
Sacramento, CA 95814  
(916) 498-5284

### SERVICE CENTER

#### Alabama

Ronnie D. Murphy  
3381 Skyway Drive  
Auburn, AL 36830  
(334) 887-4500

#### Alaska

Charles W. Bell  
949 East 36th Avenue  
Suite 400  
Anchorage, AK 99508-4302  
(907) 271-2424

#### Arizona

Michael Somerville  
3003 North Central Avenue, Suite 800  
Phoenix, AZ 85012-2945  
(602) 280-8808

#### Arkansas

Kalvin L. Trice  
700 W. Capitol Avenue  
Federal Building, Room 5404  
P.O. Box 2323  
Little Rock, AR 72201-3228  
(501) 324-5445

#### California

Henry Wyman, Acting  
2121-C 2nd Street, Suite 102  
Davis, CA 95616-5475  
(916) 757-8215

#### Colorado

Leroy Stokes, Acting  
655 Parfet Street, Room E200C  
Lakewood, CO 80215-5517  
(303) 236-2886, Ext. 202

#### Connecticut

Margo L. Wallace  
16 Professional Park Road  
Storrs, CT 06268-1299  
(203) 487-4014

#### Delaware

Elesa K. Cottrell  
1203 College Park Drive, Suite 101  
Dover, DE 19904-8713  
(302) 678-4160

#### Florida

T. Niles Glasgow  
2614 Northwest 43rd Street  
Box 141510  
Gainesville, FL 32606-6611  
(904) 338-9500

#### Georgia

Earl Cosby  
Federal Building  
P.O. Box 13  
355 East Hancock Avenue  
Athens, GA 30601-2769

(706) 546-2272

#### Hawaii

Kenneth M. Kaneshiro  
300 Ala Moana Boulevard, Room 4316  
P.O. Box 50004  
Honolulu, HI 96850-0002  
(808) 541-2601

#### Idaho

Luana E. Kiger  
3244 Elder Street, Room 124  
Boise, ID 83705-4711  
(208) 378-5700

#### Illinois

William J. Gradle  
1902 Fox Drive  
Champaign, IL 61820-7335  
(217) 398-5267

#### Indiana

Robert L. Eddleman  
6013 Lakeside Boulevard  
Indianapolis, IN 46278-2933  
(317) 290-3200

#### Iowa

LeRoy Brown  
210 Walnut Street, Suite 693  
Federal Building  
Des Moines, IA 50309-2180  
(515) 284-6655

#### Kansas

Tomas M. Dominguez  
760 South Broadway  
Salina, KS 67401  
(913) 823-4565

#### Kentucky

David G. Sawyer  
771 Corporate Drive, Suite 110  
Lexington, KY 40503-5479  
(606) 224-7350

#### Louisiana

Donald W. Gohmert  
3737 Government Street  
Alexandria, LA 71302-3727  
(318) 473-7751

#### Maine

Darrel Dominick  
5 Godfrey Drive  
Orono, ME 04473  
(207) 866-7241

#### Maryland

David P. Doss  
John Hansen Business Center, Suite 301  
339 Busch's Frontage Road  
Annapolis, MD 21401-5534  
(410) 757-0861

#### Massachusetts

# Appendix IV: Agency Regional and Local Office Addresses

---

Cecil B. Currin  
451 West Street  
Amherst, MA 01002-2995  
(413) 253-4351

## Michigan

Jane E. Hardisty  
1405 South Harrison Road, Room 101  
East Lansing, MI 48823-5243  
(517) 337-6701, Ext. 1201

## Minnesota

William Hunt  
600 Farm Credit Building  
375 Jackson Street  
St. Paul, MN 55101-1854  
(612) 290-3675

## Mississippi

Homer L. Wilkes  
Suite 1321, Federal Building  
100 West Capital Street  
Jackson, MS 39269-1399  
(601) 965-5205

## Missouri

Roger A. Hansen  
Parkade Center, Suite 250  
601 Business Loop, 70 West  
Columbia, MO 65203-2546  
(573) 876-0901

## Montana

Shirley Gammon, Acting  
Federal Building, Room 443  
10 East Babcock Street  
Bozeman, MT 59715-4704  
(406) 587-6813

## Nebraska

Stephen K. Chick  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5327

## Nevada

William D. Goddard  
5301 Longley Lane  
Building F, Suite 201  
Reno, NV 89511-1805  
(702) 784-5863

## New Hampshire

Dawn W. Genes  
Federal Building, 2 Madbury Road  
Durham, NH 03824-1499  
(603) 433-0505

## New Jersey

Wayne Maresch  
1370 Hamilton Street  
Somerset, NJ 08873-3157  
(908) 246-1205

## New Mexico

Rosendo Trevino, III  
6200 Jefferson Northeast, Room 305  
Albuquerque, NM 87109-3734  
(505) 761-4400

## New York

Richard D. Swenson  
441 South Salina Street, Suite 354, Room 520  
Syracuse, NY 13202-2450  
(315) 477-6504

## North Carolina

Mary T. Kollstedt  
4405 Bland Road, Suite 205  
Raleigh, NC 27609-6293  
(919) 873-2102

## North Dakota

Scott Hoag, Jr.  
Federal Building  
P.O. Box 1458  
220 East Rosser Avenue & 3rd Street, Room 270  
Bismarck, ND 58502-1458  
(701) 250-4421

## Ohio

Patricia K. Wolf  
Federal Building  
200 North High Street, Room 522  
Columbus, OH 43215-2478  
(614) 469-6962

## Oklahoma

Ronnie L. Clarke  
100 USDA, Suite 203  
Stillwater, OK 74074-2624  
(405) 742-1204

## Oregon

Robert J. Graham  
Federal Building, 16th Floor  
101 S.W. Main Street, Suite 1300  
Portland, OR 97204-3221  
(503) 414-3201

## Pacific Basin Area

Joan B. Perry  
Suite 301, FHB Building  
400 Route 9  
Guam, GU 96927  
(9-011-671) 472-7490

## Pennsylvania

Janet L. Oertly  
One Credit Union Place, Suite 340  
Harrisburg, PA 17110-2993  
(717) 782-2202

## Puerto Rico

Juan Martinez, Director  
IBM Building, Suite 604  
654 Munoz Rivera Avenue  
Hato Rey, PR 00918-4123

## Rhode Island

Denis G. Nickel

60 Quaker Lane, Suite 46  
Warwick, RI 02886-0111  
(401) 828-1300

## South Carolina

Mark W. Berkland  
Strom Thurmond Federal Building  
1835 Assembly Street, Room 950  
Columbia, SC 29201-2489  
(803) 765-5681

## South Dakota

Dean F. Fisher  
Federal Building  
200 4th Street, S.W.  
Huron, SD 57350-2475  
(605) 352-1200

## Tennessee

James W. Ford  
801 Broadway  
675 U.S. Courthouse  
Nashville, TN 37203-3878  
(615) 736-5471

## Texas

John P. Burt  
W. R. Poage Federal Building  
101 South Main Street  
Temple, TX 76501-7682  
(817) 774-1214

## Utah

Phillip J. Nelson, Jr.  
Wallace F. Bennett Federal Building  
125 South State Street, Room 4402  
Salt Lake City, UT 84147  
(801) 524-5050

## Vermont

John C. Titchner  
69 Union Street  
Winooski, VT 05404-1999  
(802) 951-6795

## Virginia

M. Denise Doetzer  
Culpeper Building  
1606 Santa Rosa Road, Suite 209  
Richmond, VA 23229-5014  
(804) 287-1691

## Washington

Lynn A. Brown  
USDA, Natural Resources Conservation Service  
W. 316 Boone Avenue, Suite 450  
Spokane, WA 99201-2348  
(509) 323-2900

## West Virginia

William J. Hartman  
75 High Street  
Room 301  
Morgantown, WV 26505  
(304) 291-4153

## Wisconsin

# Appendix IV: Agency Regional and Local Office Addresses

Patricia S. Leavenworth  
6515 Watts Road, Suite 200  
Madison, WI 53719-2726  
(608) 264-5577

## Wyoming

Lincoln E. Burton  
Federal Office Building  
100 East B Street, Room 3124  
Casper, WY 82601  
(307) 261-5201-1911

## RISK MANAGEMENT AGENCY

### REGIONAL OFFICES

#### Billings

(Montana, Wyoming, North Dakota, South Dakota)  
Doug Hagel, Director  
3490 Gabel Rd, Suite 100  
Billings, MT 59102-6440  
(406) 657-6447

#### Davis

(Arizona, California, Nevada, Utah, Hawaii)  
William Murphy, Director  
430 G Street, Suite 4168  
Davis, CA 95616-4168  
(530) 792-5870

#### Jackson

(Louisiana, Mississippi, Arkansas, Tennessee, Kentucky)  
Rock Davis, Director  
8 River Bend Place  
Jackson, MS 39208  
(601) 965-4771

#### Oklahoma City

(New Mexico, Oklahoma, Texas)  
Ronald Berryhill, Director  
205 NW 63rd Street, Suite 170  
Oklahoma City, OK 73116-8209  
(405) 879-2700

#### Raleigh

(North Carolina, Virginia, West Virginia, Delaware, Maryland, New Jersey, Pennsylvania, Connecticut, Rhode Island, Massachusetts, New York, New Hampshire, Vermont, Maine)  
Larry Atkinson, Director  
4407 Bland Road, Suite 160  
Raleigh, NC 27609  
(919) 875-4880

#### Spokane

(Idaho, Oregon, Washington, Alaska)  
Dave Paul, Director  
112 N. University Road, Suite 205  
Spokane, WA 99206-5295  
(509) 353-2147

#### Springfield

(Illinois, Indiana, Michigan, Ohio)  
Mike Alston, Director  
3500 West Wabash, Suite B

Springfield, IL 62707  
(217) 241-6601

#### St. Paul

(Minnesota, Wisconsin, Iowa)  
Craig Rice, Director  
910 MN World Trade Center  
30 East Seventh Street, suite 910  
St. Paul, MN 55101-4901  
(651) 290-3304

#### Topeka

(Colorado, Kansas, Nebraska, Missouri)  
Rebecca Davis, Director  
3401 SW Van Buren Street  
Topeka, KS 66611-2227  
(785) 266-0248

#### Valdosta

(Florida, Georgia, South Carolina, Alabama, Puerto Rico, Virgin Islands)  
Michael Moore, Director  
106 South Patterson Street, Suite 250  
Valdosta, GA 31601-5609  
(912) 242-3044

#### Central

(Colorado, Kansas, Missouri, Nebraska)  
Alvin Gilmore, Director  
6501 Beacon Dr  
Kansas City, MO 64131  
(816) 926-7963

#### Eastern

(Alabama, Connecticut, Delaware, Florida, Georgia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Vermont, Virginia, and West Virginia)  
Johnnie Perdue, Director  
4407 Bland Road, Suite 280  
Raleigh, NC 27609  
(919) 875-4930

#### Midwest

(Illinois, Indiana, Ohio, and Michigan)  
Ronie Griffin, Director  
6045 Lakeside Blvd  
Indianapolis, IN 46278  
(317) 290-3050

#### Northern

(Iowa, Minnesota, Montana, North Dakota, South Dakota, Wisconsin, Wyoming)  
Mark Huber, Director  
3440 Federal Drive, Suite 200  
Eagan, MN 55122-1301  
(612) 725-3730

#### Southern

(Kentucky, Louisiana, Mississippi, New Mexico, Oklahoma, Tennessee, Texas)  
Billy M. Pryor, Director  
1111 West Mockingbird Lane, Suite 280  
Dallas, TX 75247-5016

(214) 767-7700

#### Western

(Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, and Washington)  
Susan Choy, Director  
430 G Street, Suite 4167  
Davis, CA 95616-4167  
(530) 792-5850

## DEPARTMENT OF COMMERCE

### ECONOMIC DEVELOPMENT ADMINISTRATION

#### Atlanta Regional Office

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
William J. Day, Jr., Regional Director  
401 West Peachtree Street, N.W., Suite 1820  
Atlanta, GA 30308-3510  
(404) 730-3002 Use the same number for FTS

#### Austin Regional Office

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Pedro R. Garza, Regional Director  
327 Congress Avenue Suite 200  
Austin, TX 78701-5595  
(512) 381-8144 Use the same number for FTS

#### Chicago Regional Office

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
C. Robert Sawyer, Regional Director  
111 North Canal Street Suite 855  
Chicago, IL 60606-7204  
(312) 353-8143 Use the same number for FTS

#### Denver Regional Office

(Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)  
Robert Olsen, Regional Director  
1244 Speer Boulevard Room 670  
Denver, CO 80204  
(303) 844-4715 Use the same number for FTS

#### Philadelphia Regional Office

(Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virgin Islands, Virginia, West Virginia)  
Paul M. Raetsch, Regional Director  
Curtis Center, Independence Square West Suite 140 South  
Philadelphia, PA 19106  
(215) 597-4603 Use the same number for FTS

#### Seattle Regional Office

(Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Marshall Islands, Micronesia, Nevada, Northern Mariana Islands, Oregon, Washington)

# Appendix IV: Agency Regional and Local Office Addresses

A. Leonard Smith, Regional Director  
915 Second Avenue  
Jackson Federal Building, Suite 1856  
Seattle, WA 98174  
(206) 220-7660 Use the same number for FTS

## INTERNATIONAL TRADE ADMINISTRATION

### RESEARCH HEADQUARTERS

#### Alabama

George Norton, Director  
Medical Forum Building, Room 707  
950 22nd Street, North  
Birmingham, AL 35203  
(205) 731-1331  
(205) 731-0076 FAX

#### Alaska

Charles Becker, Director  
550 West 7th Avenue, Suite 1770  
Anchorage, AK 99501  
(907) 271-6237  
(907) 271-6242 FAX

#### Arizona

Frank Woods, Director  
2901 N. Central Avenue, Suite 970  
Phoenix, AZ 85012  
(602) 640-2513  
(602) 640-2518 FAX

Eric Nielsen, Manager  
166 West Alameda  
Tucson, AZ 85701  
(520) 670-5540  
(520) 791-5413 FAX

#### Arkansas

Lon J. Hardin, Director  
425 West Capitol Avenue, Suite 700  
Little Rock, AR 72201  
(501) 324-5794  
(501) 324-7380 FAX

#### California

Elizabeth Krauth, Manager  
330 Ignacio Boulevard, Suite 102  
Novato, CA 94949  
(415) 883-1966  
(415) 883-2711 FAX

Greg Mignano, Director  
101 Park Center Plaza, Suite 1001  
San Jose, CA 95113  
(408) 271-7300  
(408) 271-7307 FAX

Julie Anne Hennessey, Acting Manager  
350 S. Figueroa Street, Suite 509  
Los Angeles, CA 90071  
(213) 894-4022  
(213) 894-8789 FAX

Matt Andersen, Director  
6363 Greenwich Drive, Suite 230  
San Diego, CA 92122  
(619) 557-5395

(619) 557-6176 FAX

Fred Latuperissa, Manager  
Inland Empire Export Assistance Center  
2940 Inland Empire Boulevard, Suite 121  
Ontario, CA 91764  
(909) 466-4134  
(909) 466-4140 FAX

Dale Wright, Manager  
917 7th Street, 2nd Floor  
Sacramento, CA 95814  
(916) 498-5155  
(916) 498-5923 FAX

R.J. Donovan, Manager  
5201 Great America Parkway, Suite 456  
Santa Clara, CA 95054  
(408) 970-4610  
(408) 970-4618 FAX

Vacant  
530 Water Street, Suite 740  
Oakland, CA 94607  
(510) 273-7350  
(510) 251-7352 FAX

Julie Anne Hennessey, Manager  
11150 Olympic Boulevard, Suite 975  
Los Angeles, CA 90064  
(310) 235-7104  
(310) 235-7220 FAX

Paul Tambakis, Director  
Orange County Export Assistance Center  
3300 Irvine Avenue, Suite 305  
Newport Beach, CA 92660  
(949) 660-1688  
(949) 660-8039 FAX

Stephen Crawford, Manager  
250 Montgomery Street, 14th Floor  
San Francisco, CA 94104  
(415) 705-2300  
(415) 705-2297 FAX

Eduardo Torres, Manager  
390-B Fir Avenue  
Clovis, CA 93611  
(559) 325-1619  
(559) 325-1647 FAX

Mary Boscia, Director  
One World Trade Center, Suite 1670  
Long Beach, CA 90831  
(562) 980-4550  
(562) 980-4561 FAX

Mark A. Weaver, Manager  
c/o Monterey Institute of International Studies  
411 Pacific Street, Suite 320  
Monterey, CA 93940  
(831) 641-9850  
(831) 641-9849 FAX

#### Colorado

Isabella Cascarano, Acting Director  
1625 Broadway, Suite 680  
Denver, CO 80202  
(303) 844-6623

(303) 844-5651 FAX

#### Connecticut

Carl Jacobsen, Director  
213 Court Street, Suite 903  
Middletown, CT 06457-3346  
(860) 638-6950  
(860) 638-6970 FAX

#### Delaware

(see Philadelphia Export Assistance Center)

#### Florida

John McCartney, Director  
Miami, USEAC  
777 North West 72nd Avenue  
Mail Box: 3L2  
Miami, FL 33126-3009  
(305) 526-7425  
(305) 526-7434 FAX

John McCartney, Manager  
200 E. Las Olas Boulevard, Suite 1600  
Ft. Lauderdale, FL 33301  
(954) 356-6640  
(954) 356-6644 FAX

Philip A. Ouzts, Manager  
Eola Park Centre  
200 East Robinson Street, Suite 1270  
Orlando, FL 32801  
(407) 648-6235  
(407) 648-6756 FAX

Michael E. Higgins, Manager  
325 John Knox Road, Suite 201  
Tallahassee, FL 32303  
(850) 942-9635  
(850) 922-9595 FAX

George L. Martinez, Manager  
1130 Cleveland Street  
Clearwater, FL 33755  
(727) 893-3738  
(727) 449-2889 FAX

#### Georgia

Barbara Myrick, Manager  
6001 Chatham Center Drive, Suite 100  
Savannah, GA 31405  
(912) 652-4204  
(912) 652-4241 FAX

Samuel P. Troy, Director  
285 Peachtree Center Avenue NE, Suite 200  
Atlanta, GA 30303-1229  
(404) 657-1900  
(404) 657-1970 FAX

#### Hawaii

Vacant  
1001 Bishop Street, Bishop Square, Pacific Tower  
P.O. Box 50026, Suite 1140  
Honolulu, HI 96813  
(808) 522-8040  
(808) 522-8045 FAX

#### Idaho



# Appendix IV: Agency Regional and Local Office Addresses

(Portland, Oregon District)

James Hellwig, Manager  
700 West State Street, 2nd Floor  
Boise, ID 83720  
(208) 334-3857  
(208) 334-2783 FAX

## Illinois

James Mied, Manager  
515 North Court Street  
P.O. Box 1747  
Rockford, IL 61103  
(815) 987-8123  
(815) 963-7943 FAX

Robin F. Mugford, Manager  
610 Central Avenue, Suite 150  
Highland Park, IL 60035  
(847) 681-8010  
(847) 681-8012 FAX

Mary N. Joyce, Director  
Chicago USEAC  
Xerox Center  
55 West Monroe Street, Room 2440  
Chicago, IL 60603  
(312) 353-8045  
(312) 353-8120 FAX

## Indiana

Dan Swart, Manager  
Indianapolis Export Assistance Center  
Pennwood One, Suite 106  
11405 North Pennsylvania Street  
Carmel, IN 46032  
(317) 582-2300  
(317) 582-2301 FAX

## Iowa

Allen Patch, Director  
700 Locust Street, Suite 100  
Des Moines, IA 50309-3739  
(515) 288-8614  
(515) 288-1437 FAX

## Kansas (Kansas City, Missouri District)

George D. Lavid, Manager  
209 East William, Suite 300  
Wichita, KS 67202-4012  
(316) 263-4067  
(316) 263-8306 FAX

## Kentucky

Vacant  
2292 S. Highway 27, Suite 240  
Somerset, KY 42501  
(606) 677-6160  
(606) 677-6161 FAX  
  
John Autin, Director  
601 West Broadway, Room 634B  
Louisville, KY 40202  
(502) 582-5066  
(502) 582-6573 FAX

## Louisiana

Donald Van de Werken, Director

Delta Export Assistance Center  
365 Canal Street, Suite 1170  
New Orleans, LA 70130  
(504) 589-6546  
(504) 589-2337 FAX

Patricia Holt, Manager  
7100 West Park Drive  
Shreveport, LA 71129  
(318) 676-3064  
(318) 676-3063 FAX

## Maine (Boston, Massachusetts District)

Jeffrey Porter, Manager  
511 Congress Street  
Portland, ME 04101  
(207) 541-7400  
(207) 541-7420 FAX

## Maryland

Thomas Cox, Director  
Baltimore USEAC  
World Trade Center, Suite 2432  
401 E. Pratt Street  
Baltimore, MD 21202  
(410) 962-4539  
(410) 962-4529 FAX

## Massachusetts

Frank J. O'Connor, Director  
164 Northern Avenue, Suite 307  
World Trade Center  
Boston, MA 02210-2071  
(617) 424-5990  
(617) 424-5992 FAX

## Michigan

Paul Litton, Manager  
425 S. Main Street, Suite 103  
Ann Arbor, MI 48104  
(734) 741-2430  
(734) 741-2432 FAX

Neil Hesse, Director  
211 W. Fort Street, Suite 2220  
Detroit, MI 48226  
(313) 226-3650  
(313) 226-3657 FAX

Thomas J. Maquire, Manager  
301 West Fulton Street, Suite 718-S  
Grand Rapids, MI 49504  
(616) 458-3564  
(616) 458-3872 FAX

Richard Corson, Manager  
Oakland Pointe Office Building, Suite 1300 West  
250 Elizabeth Lake Road  
Pontiac, MI 48341  
(248) 975-9600  
(248) 975-9606 FAX

## Minnesota

Ronald E. Kramer, Director  
45 South 7th Street, Suite 2240  
Minneapolis, MN 55402  
(612) 348-1638  
(612) 348-1650 FAX

## Mississippi

Harrison Ford, Director  
704 East Main Street  
Raymond, MS 39154  
(601) 857-0128  
(601) 857-0026 FAX

## Missouri

Randall J. LaBounty, Director  
8182 Maryland Avenue, Suite 303  
St. Louis, MO 63105  
(314) 425-3302  
(314) 425-3381 FAX

Frank Spector, Acting Director  
2345 Grand, Suite 650  
Kansas City, MO 64108  
(816) 410-9201  
(816) 410-9208 FAX

## Montana

Mark Peters, Manager  
c/o Montana World Trade Center  
Gallagher Business Building  
Suite 257  
Missoula, MT 59812  
(406) 243-2098  
(406) 243-5259 FAX

## Nebraska

Meredith Bond, Manager  
11135 "O" Street  
Omaha, NE 68137  
(402) 221-3664  
(402) 221-3668 FAX

## Nevada

Jere Dabbs, Manager  
1755 East Plumb Lane, Suite 152  
Reno, NV 89502  
(775) 784-5203  
(775) 784-5343 FAX

## New Hampshire

(Boston, Massachusetts District)  
Susan Berry, Manager  
17 New Hampshire Avenue  
Portsmouth, NH 03801-2838  
(603) 334-6074  
(603) 334-6110 FAX

## New Jersey

William Spittler, Director  
One Gateway Center, 9th Floor  
Newark, NJ 07102  
(973) 645-4682  
(973) 645-4783 FAX

Rod Stuart, Director  
3131 Princeton Pike  
Building #4, Suite 105  
Trenton, NJ 08648  
(609) 989-2100  
(609) 989-2395 FAX

## New Mexico

# Appendix IV: Agency Regional and Local Office Addresses

(Dallas, Texas District)  
Sandy Necessary, Manager  
c/o New Mexico Department of Economic  
Development  
1100 St. Francis Drive  
Santa Fe, NM 87503  
(505) 827-0350  
(505) 827-0263 FAX

## New York

George Soteris, Manager  
Long Island Export Assistance Center  
1550 Franklin Avenue, Room 207  
Mineola, NY 11501  
(516) 739-1765  
(516) 739-3310 FAX

K.L. Fredericks, Manager  
Harlem Export Assistance Center  
163 West 125th Street, Suite 904  
New York, NY 10027  
(212) 860-6200  
(212) 860-6203 FAX

James Mariano, Director  
111 West Huron Street, Room 1304  
Buffalo, NY 14202  
(716) 551-4191  
(716) 551-5290 FAX

John Lavelle, Acting Director  
6 World Trade Center, Room 635  
New York, NY 10048  
(212) 466-5222  
(212) 264-1356 FAX

Joan Kanlian, Manager  
Westchester Export Assistance Center  
707 Westchester Avenue, Suite 209  
White Plains, NY 10604  
(914) 682-6712  
(914) 682-6698 FAX

## North Carolina

Roger Fortner, Director  
521 E. Morehead Street, Suite 435  
Charlotte, NC 28202  
(704) 333-4886  
(704) 332-2681 FAX

Roger Fortner, Acting Manager  
400 West Market Street, Suite 102  
Greensboro, NC 27401  
(336) 333-5345  
(336) 333-5158 FAX

## North Dakota

(see Minneapolis, MN EAC)

## Northern Virginia

Ellen Moore, Acting Manager  
1911 N. Ft. Myer Drive, Suite 601  
Arlington, VA 22209  
(703) 524-2885  
(703) 524-2649 FAX

## Ohio

Michael Miller, Director

Bank One Center  
600 Superior Avenue, East, Suite 700  
Cleveland, OH 44114  
(216) 522-4750  
(216) 522-2235 FAX

Robert Abrahams, Manager  
300 Madison Avenue  
Toledo, OH 43604  
(419) 241-0683  
(419) 241-0684 FAX

Mary Beth Double, Manager  
Two Nationwide Plaza, Suite 1400  
Columbus, OH 43215  
(614) 365-9510  
(614) 365-9598 FAX

Dao Le, Director  
36 E. 7th Street, Suite 2650  
Cincinnati, OH 45202  
(513) 684-2944  
(513) 684-3227 FAX

## Oklahoma

Jimmy Williams, Manager  
700 N. Greenwood Avenue, Suite 1400  
Tulsa, OK 74106  
(918) 581-7650  
(918) 581-6263 FAX

Ronald L. Wilson, Director  
301 N.W. 63rd Street, Suite 330  
Oklahoma City, OK 73116  
(405) 608-5302  
(405) 608-4211 FAX

## Oregon

John O'Connell, Manager  
1401 Willamette Street  
Eugene, OR 97401-4003  
(541) 465-6575  
(541) 465-6704 FAX

Scott Goddin, Director  
One World Trade Center, Suite 242  
121 S.W. Salmon Street  
Portland, OR 97204  
(503) 326-3001  
(503) 326-6351 FAX

## Pennsylvania

Deborah Doherty, Manager  
One Commerce Square  
228 Walnut Street, Suite 850  
P.O. Box 11698  
Harrisburg, PA 17108-1698  
(717) 221-4510  
(717) 221-4505 FAX

Edward Burton, Director  
The Curtis Center, Suite 580 West  
Independence Square West  
Philadelphia, PA 19106  
(215) 597-6101  
(215) 597-6123 FAX

Ted Arnn, Manager  
Federal Building, Room 2002

1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-5050  
(412) 395-4875 FAX

## Puerto Rico

(Hato Rey)  
Vacant  
525 F.D. Roosevelt Avenue, Suite 905  
San Juan, PR 00918  
(787) 766-5555  
(787) 766-5692 FAX

## Rhode Island (Hartford, Connecticut District)

Keith Yatsushashi, Manager  
One West Exchange Street  
Providence, RI 02903  
(401) 528-5104  
(401) 528-5067 FAX

## South Carolina

Vacant  
5300 International Boulevard, Suite 201-C  
North Charleston, SC 29418  
(843) 760-3794  
(843) 760-3798 FAX

Ann Watts, Director  
Strom Thurmond Federal Building, Suite 172  
1835 Assembly Street  
Columbia, SC 29201  
(803) 765-5345  
(803) 253-3614 FAX

Denis Csizmedia, Manager  
Upstate Export Assistance Center  
Park Central Office Park, Building 1, Suite 109  
555 N. Pleasantburg Drive  
Greenville, SC 29607  
(864) 271-1976  
(864) 271-4171 FAX

## South Dakota

Cinnamon King, Manager  
Siouxland Export Assistance Center  
Augustana College  
2001 S. Summit Avenue, Room 122  
Sioux Falls, SD 57197  
(605) 330-4264  
(605) 330-4266 FAX

## Tennessee

George Frank, Manager  
Old Historic City Hall  
601 West Summit Hill Drive, Suite 300  
Knoxville, TN 37902-2011  
(865) 545-4637  
(865) 545-4435 FAX

Michael Speck, Director  
211 Commerce Street  
3rd Floor, Suite 100  
Nashville, TN 37201  
(615) 736-5161  
(615) 736-2454 FAX

Ree Russell, Manager  
c/o Centre For Enterprise, Buckman Hall 3rd Floor

# Appendix IV: Agency Regional and Local Office Addresses

---

650 E. Parkway South, Suite 348  
Memphis, TN 38104  
(901) 323-1543  
(901) 320-9128 FAX

## Texas

Loree Silloway, Director  
P.O. Box 420069, Zip: 75342-0069  
2050 North Stemmons Freeway, Suite 170  
Dallas, TX 75207  
(214) 767-0542  
(214) 767-8240 FAX

James D. Cook, Director  
500 Dallas, Suite 1160  
Houston, TX 77002  
(713) 718-3062  
(713) 718-3060 FAX

Daniel G. Rodriguez, Manager  
203 South St. Mary Street, Suite 360  
San Antonio, TX 78205  
(210) 228-9878  
(210) 228-9874 FAX

Karen Parker, Manager  
1700 Congress, 2nd Floor  
P.O. Box 12728, Zip 78711  
Austin, TX 78701  
(512) 916-5939  
(512) 916-5940 FAX

Vavie Sellschopp, Manager  
711 Houston Street  
Fort Worth, TX 76102  
(817) 212-2673  
(817) 978-0178 FAX

## Utah

Stanley Rees, Director  
324 South State Street, Suite 221  
Salt Lake City, UT 84111  
(801) 524-5116  
(801) 524-5886 FAX

## Vermont

Susan Murray, Manager  
National Life Building, Drawer 20, 6th Floor  
Montpelier, VT 05620-0501  
(802) 828-4508  
(802) 828-3258 FAX

## Virginia

Helen D. Lee Hwang, Director  
400 N. 8th Street, Suite 540  
P.O. Box 10026  
Richmond, VA 23240  
(804) 771-2246  
(804) 771-2390 FAX

## Washington

Janet Dauble  
801 West Riverside Avenue, Suite 400  
Spokane, WA 99201  
(509) 353-2625  
(509) 353-2449 FAX  
  
Vacant

950 Pacific Avenue, Suite 410  
Tacoma, WA 98402  
(253) 593-6736  
(253) 383-4676 FAX

David Spann, Director  
2001 6th Avenue, Suite 650  
Seattle, WA 98121  
(206) 553-5615  
(206) 553-7253 FAX

## West Virginia

Harvey Timberlake, Director  
405 Capitol Street, Suite 807  
Charleston, WV 25301  
(304) 347-5123  
(304) 347-5408 FAX

David Kotler, Manager  
Wheeling Jesuit University/NTTC  
316 Washington Avenue  
Wheeling, WV 26003  
(304) 243-5493  
(304) 243-5494 FAX

## Wisconsin

Paul D. Churchill, Director  
517 East Wisconsin Avenue, Room 596  
Milwaukee, WI 53202  
(414) 297-3473  
(414) 297-3470 FAX

## Wyoming

California  
San Jose Office  
JoAllyn Scott  
101 Park Center Plaza, Suite 1001  
San Jose, CA 95113  
(408) 998-7402  
  
(See Denver, CO Export Assistance Center)

Michael Hoffman  
3300 Irvine Avenue, Suite 345  
Newport Beach, CA 92660-3198  
(714) 660-0144

## MINORITY BUSINESS DEVELOPMENT AGENCY

---

### California

(Federal Regions IX and X: Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, and Washington)  
Melda Cabrera, Director  
221 Main Street, Room 1280  
San Francisco, CA 94105  
(415) 744-3001  
Use the same number for FTS

Rudy Guerra, District Officer  
9660 Flair Drive, Suite 455  
El Monte, CA 91731  
(818) 453-8636  
Use the same number for FTS

### Florida

Rudy Suarez, District Officer

Federal Building, Room 1314  
51 S.W. First Avenue  
Box 25  
Miami, FL 33130  
(305) 536-5054  
Use the same number for FTS

## Georgia

(Federal Region IV: Alabama, Florida, Georgia, Kentucky, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee)  
Robert M. Henderson, Director  
401 West Peachtree Street, N.W., Room 1715  
Atlanta, GA 30308-3516  
(404) 730-3300  
Use the same number for FTS

## Illinois

(Federal Regions V and VII: Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, and Wisconsin)  
Carlos Guzman, Director  
55 East Monroe Street, Suite 1406  
Chicago, IL 60603  
(312) 353-0182  
Use the same number for FTS

## Massachusetts

R. K. Schwartz, District Officer  
10 Causeway Street, Room 418  
Boston, MA 02222-1041  
(617) 565-6850  
Use the same number for FTS

## New York

(Federal Regions I, II and III: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, the Virgin Islands, and West Virginia)  
Heyward Davenport, Director  
26 Federal Plaza, Room 3720  
New York, NY 10278  
(212) 264-3262  
Use the same number for FTS

## Pennsylvania

Alfonso Jackson, District Officer  
Federal Office Building  
600 Arch Street, Room 10128  
Philadelphia, PA 19106  
(215) 597-9236  
Use the same number for FTS

## Texas

(Federal Regions VI and VIII: Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah and Wyoming)  
John F. Iglehart, Director  
1100 Commerce Street, Room 7B23  
Dallas, TX 75242  
(214) 767-8001  
Use the same number for FTS

## NATIONAL OCEANIC AND

# Appendix IV: Agency Regional and Local Office Addresses

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## ATMOSPHERIC ADMINISTRATION (NOAA)

### Alaska Region

Steven Pennoyer, Regional Administrator  
P.O. Box 21668  
Juneau, AK 99802-1668  
(907) 586-7221

### Northeast Region

Patricia Kurkul, Acting Regional Administrator  
One Blackburn Drive  
Gloucester, MA 01930  
(978) 281-9250

### Northwest Region

William Stelle, Jr., Regional Administrator  
7600 Sand Point Way N.E.  
Seattle, WA 98115  
(206) 526-6150

### Southeast Region

William T. Hogarth, Regional Administrator  
9721 Executive Center Drive, North Suite 201  
St. Petersburg, FL 33702  
(727) 570-5301

### Southwest Fisheries Science Center

Dr. Michael F. Tillman, Science Director  
P.O. Box 271  
LaJolla, CA 92038-0271  
(619) 546-7081

### Southwest Region

Rodney R. McInnis, Acting Regional  
Administrator  
501 West Ocean Boulevard, Suite 4200  
Long Beach, CA 90802-4213  
(562) 980-4001

### Virginia

Atlantic Marine Center, RADM Nicholas A. Prah,  
Director  
Pacific Marine Center, RADM Nicholas A. Prah,  
Director  
439 West York Street  
Norfolk, VA 23510-1114  
(757) 441-6776

### Washington

Pacific Marine Center  
RADM Nicholas A. Prah  
1801 Fairview Avenue East  
Seattle, WA 98102  
(206) 553-7656

## OFFICE OF THE SECRETARY

---

### Region I - Boston

Regional Manager  
J.F. Kennedy Federal Building, Room 1875  
Boston, MA 02203  
(617) 565-1340; (617) 565-1343 TDD

### Region II - New York

Regional Manager

Jacob Javits Federal Building  
26 Federal Plaza, Suite 3312  
New York, NY 10278  
(212) 264-3313; (212) 264-2355 TDD

### Region III - Philadelphia

Regional Manager  
150 S. Independence Mall, Suite 372  
Philadelphia, PA 19101  
(215) 861-4441; (215) 861-4440 TDD

### Region IV - Atlanta

Regional Manager  
61 Forsyth Street, SW. - Suite 3B70  
Atlanta, GA 30323  
(404) 562-7858; (404) 562-7884 TDD

### Region IX - San Francisco

Regional Manager  
50 United Nations Plaza, Room 322  
San Francisco, CA 94103  
(415) 437-8310; (415) 437-8311 TDD

### Region V - Chicago

Regional Manager  
233 N. Michigan Ave. - Suite 240  
Chicago, IL 60601  
(312) 886-2359; (312) 353-5693 TDD

### Region VI - Dallas

Regional Manager  
1301 Young Street, Suite 1169  
Dallas, TX 75202  
(214) 767-4056; (214) 767-8940 TDD

### Region VII - Kansas City

Regional Manager  
601 East 12th Street, Room 248  
Kansas City, MO 64106  
(816) 426-7278; (816) 426-7065 TDD

### Region VIII - Denver

Regional Manager  
1961 Stout Street, Room 1426  
Denver, CO 80294  
(303) 844-2024; (303) 844-3439 TDD

### Region X - Seattle

Regional Manager  
2201 Sixth Avenue, Suite 900  
Seattle, WA 98121  
(206) 615-2290; (206) 615-2296 TDD

## U.S. CENSUS BUREAU

---

### California

James T. Christy  
Regional Director, Census Bureau  
15350 Sherman Way, Suite 300  
Van Nuys, CA 91406-4224  
(818) 904-6393

### Colorado

Susan A. Lavin  
Regional Director, Census Bureau  
6900 West Jefferson Avenue  
Suite 100

Denver, CO 80235-2032  
(303) 969-6750

### Georgia

James F. Holmes  
Regional Director, Census Bureau  
101 Marietta Street, N.W., Suite 3200  
Atlanta, GA 30303-2700  
(404) 730-3832

### Illinois

Stanley D. Moore  
Regional Director, Census Bureau  
2255 Enterprise Drive, Suite 5501  
Westchester, IL 60154-5800  
(708) 562-1376

### Indiana

Jean Ann Banet  
Technical Services Supervisor  
Bureau of the Census  
P.O. Box 1545  
Jeffersonville, IN 47131  
(812) 218-3046

### Kansas

Henry Palacios  
Regional Director, Census Bureau  
1211 North 8th Street  
Kansas City, KS 66101-2129  
(913) 551-6728

### Massachusetts

Arthur G. Dukakis  
Regional Director, Census Bureau  
2 Copley Place, Suite 301  
P.O. Box 9108  
Boston, MA 02117-9108  
(617) 424-0500

### Michigan

Dwight P. Dean  
Regional Director, Census Bureau  
1395 Brewery Park Boulevard  
Detroit, MI 48207-5405  
(313) 259-1158

### New York

Lester A. Farthing  
Regional Director, Census Bureau  
395 Hudson Street, Suite 800  
New York, NY 10014  
(212) 264-3860

### North Carolina

Susan B. Hardy  
Regional Director, Census Bureau  
901 Center Park Drive, Suite 106  
Charlotte, NC 28217-2935  
(704) 344-6142

### Pennsylvania

Fernando E. Armstrong  
Regional Director, Census Bureau  
1601 Market Street, 21st Floor  
Philadelphia, PA 19103-2395

# Appendix IV: Agency Regional and Local Office Addresses

(215) 656-7550

## Texas

Alfonso E. Mirabal  
Regional Director, Census Bureau  
8585 North Stemmons Fwy, Suite 800S  
Dallas, TX 75247-3841  
(214) 640-4400

## Washington

Ralph J. Lee  
Regional Director, Census Bureau  
Key Tower  
700 5th Avenue, Suite 5100  
Seattle, WA 98104-5018  
(206) 553-5837

## DEPARTMENT OF DEFENSE

### ADVANCED RESEARCH PROJECTS AGENCY

#### USA Cold Regions Research and Engineering Laboratory

Mr. Peter Smallidge  
72 Lynn Road  
Hanover, NH 03755-1290  
(603) 646-4445

#### USA Construction Engineering Research Laboratories

Ms. Bea Shahim  
2902 Newmark Drive  
Champaign, IL 61821-1075  
(800) 872-2375  
(800) 252-7122

#### USA Topographic Engineering Center

Mr. Charles McKenna  
Cude Building No. 2592  
Ft. Belvoir, VA 22060-5546  
(703) 355-3133

#### USAE Hydrologic Engineering Center

Mr. Arlen Feldman  
609 Second Street  
Davis, CA 95616-4887  
(916) 756-1104

#### USAE Institute for Water Resources

Casey Building No. 2594  
Ft. Belvoir, VA 22060-5586  
(703) 355-3084

#### USAE Waterways Experiment Station

Mr. William McGleese  
3909 Falls Ferry Road  
Vicksburg, MI 39180-6199  
(601) 634-2512  
(800) 522-6937

### DEFENSE LOGISTICS AGENCY

#### Commander, Defense General Supply Center

Richmond, VA 23297-5100  
(804) 275-3801

#### DCMD Mid-Atlantic

2800 South 20th Street  
P.O. Box 7479  
Philadelphia, PA 19101-7478  
(215) 737-4006

#### DCMD North Central

O'Hare International Airport  
10601 West Higgins Road  
P.O. Box 66926  
Chicago, IL 60666-0926  
(312) 825-6020

#### DCMD Northeast

495 Summer Street  
Boston, MA 02210-2184  
(617) 451-4317/8

#### DCMD South

805 Walker Street  
Marietta, GA 30060-2789  
(404) 590-6196

#### DCMD West

222 North Sepulveda Boulevard  
El Segundo, CA 90245-4320  
(310) 335-3260

#### Defense Logistics Agency

Small and Disadvantaged Business Utilization  
(DLA-U)  
Room 4B130, Cameron Station  
Alexandria, VA 22304-6100  
(202) 274-6471

Defense Contract Management District (DCMD)  
Contact: Associate Directors for Small Business

Defense Logistics Agency  
Directorate of Supply Operations  
Alexandria, VA 22304-6100  
(202) 274-6253

### DEPARTMENT OF THE AIR FORCE, MATERIEL COMMAND

#### Air Force Office of Scientific Research

110 Duncan Avenue, Suite B115  
Bolling Air Force Base  
Washington, DC 20332-4990

#### Armstrong Laboratory

8005 Ninth Street  
Brooks Air Force Base, TX 78325-5353

#### Phillips Laboratory

3651 Lowry Avenue SE  
Kirtland Air Force Base, NM 87117-5777  
(505) 846-4979

#### Rome Laboratory

26 Electronics Parkway  
Griffins Air Force Base, NY 13441-4514  
(315) 330-7746

#### Wright Laboratory

2530 C Street, Building #7

Wright Patterson Air Force Base, OH 45433-7607  
(513) 255-4813

### DEPARTMENT OF THE ARMY, AVIATION APPLIED TECHNOLOGY DIRECTORATE

#### RESEARCH HEADQUARTERS

#### Alabama

Col. Larry Bonine  
Mobile District  
P.O. Box 2288  
Mobile, AL 36628  
(205) 690-2511

#### Alaska

Col. William W. Kakel  
Alaska District  
P.O. Box 898  
Anchorage, AK 99506  
(907) 752-5233

#### Arkansas

Col. Charles McClosky  
Little Rock District  
P.O. Box 867  
Little Rock, AR 72203  
(501) 378-5531

#### California

BG John F. Sobke  
South Pacific Division  
630 Sansome Street, Room 720  
San Francisco, CA 94111  
(415) 556-0914

Col. Charles S. Thomas  
Los Angeles District  
P.O. Box 2711  
Los Angeles, CA 90053  
(213) 688-5300

Col. Galen Yanagihara  
San Francisco District  
211 Main Street  
San Francisco, CA 94105  
(415) 974-0358

Col. Jack A. LeCuyer  
Sacramento District  
650 Capitol Mall  
Sacramento, CA 95814  
(916) 448-2232

#### Florida

Col. Bruce A. Malson  
Jacksonville District  
P.O. Box 4970  
Jacksonville, FL 32232  
(904) 791-2241

#### Georgia

Col. Ralph V. Locurcio  
Savannah District  
P.O. Box 889  
Savannah, GA 31402  
(912) 944-5224, Ext. 224

# Appendix IV: Agency Regional and Local Office Addresses

MG Robert M. Bunker  
South Atlantic Division  
510 Title Building  
30 Pryor Street S.W.  
Atlanta, GA 30335  
(404) 221-6711

## Hawaii

Col. Jack Clifton  
Pacific Ocean Division  
Ft. Shafter, HI 96858  
(808) 438-1500

## Illinois

LTC Jess J. Franco  
Chicago District  
219 South Dearborn Street  
Chicago, IL 60604  
(312) 353-6400

Col. John R. Brown  
Rock Island District  
Clock Tower Building, P.O. Box 2004  
Rock Island, IL 61204  
(309) 788-6361

BG Jude Patin  
North Central Division  
536 South Clark Street  
Chicago, IL 60605  
(312) 353-6310

Hugh V. Roberts  
Constitution Engineering Research Laboratory  
Champaign, IL 61820-1305  
(217) 373-6789

## Kentucky

Col. David Peixotto  
Louisville District  
P.O. Box 59  
Louisville, KY 40201  
(502) 582-5601

## Louisiana

Col. Richard V. Gorski  
New Orleans District  
P.O. Box 60267  
New Orleans, LA 70160  
(504) 838-1121

## Maryland

Col. Bernard B. Stalman  
Baltimore District  
P.O. Box 1715  
Baltimore, MD 21203  
(301) 962-4545

## Massachusetts

Col. Daniel M. Wilson  
New England Division  
424 Trapelo Road  
Waltham, MA 02254  
(617) 647-8220

## Michigan

Col. John D. Glass

Detroit District  
P.O. Box 1027  
Detroit, MI 48231  
(313) 226-6762

## Minnesota

Col. Roger L. Baldwin  
St. Paul District  
1135 USPO and Custom House  
St. Paul, MN 55101  
(612) 725-7501

## Mississippi

Col. Frank Skidmore  
Vicksburg District  
P.O. Box 60  
Vicksburg, MS 39180  
(601) 634-5010  
BG Arthur E. Williams  
Lower Mississippi Valley Division  
P.O. Box 80  
Vicksburg, MS 39180  
(601) 634-5750  
A.J. Breithaupt  
Waterways Experiment Station  
Vicksburg, MS 39180-0631  
(601) 634-2424

## Missouri

Col. John H. Atkinson  
Kansas City District  
700 Federal Building  
Kansas City, MO 64106  
(816) 374-3201

Col. James E. Corbin  
St. Louis District  
210 North Tucker Boulevard  
St. Louis, MO 63101  
(314) 263-5660

## Nebraska

BG Robert H. Ryan  
Missouri River Division  
P. O. Box 103, Downtown Station  
Omaha, NE 68101  
(402) 221-7201

Col. Donald E. Hazen  
Omaha District  
Room 6014, USPO and Courthouse  
Omaha, NE 68102  
(402) 221-3900

## New Hampshire

Charles P. Zdunczyk  
Cold Regions Research and Engineering  
Laboratory  
Hanover, NH 03755-1290  
(603) 646-4390

## New Mexico

LTC Steven M. Dougan  
Albuquerque District  
P.O. Box 1580  
Albuquerque, NM 87103

(505) 766-2732

## New York

Col. Hugh Boyd  
Buffalo District  
1776 Niagara Street  
Buffalo, NY 14207  
(716) 876-5454, Ext. 2200

Col. Ralph M. Danielson  
New York District  
26 Federal Plaza  
New York, NY 10278  
(212) 264-0100

BG Gerald C. Brown  
North Atlantic Division  
90 Church Street  
New York, NY 10007  
(212) 264-7101

## North Carolina

Lt. Col. Thomas C. Suermann  
Wilmington District  
P.O. Box 1890  
Wilmington, NC 28402  
(919) 343-4501

## Ohio

BG Paul Y. Chinen  
Ohio River Division  
P.O. Box 1159  
Cincinnati, OH 45201  
(513) 221-6000

## Oklahoma

Col. Francis L. Smith  
Tulsa District  
P.O. Box 61  
Tulsa, OK 74121  
(918) 581-7311

## Oregon

Col. Charles E. Cowan  
Portland District  
P.O. Box 2946  
Portland, OR 97208  
(503) 221-6000

BG Pat Stevens IV  
North Pacific Division  
P. O. Box 2870  
Portland, OR 97208  
(503) 221-3700

## Pennsylvania

Col. George M. Miller, Jr.  
Pittsburgh District  
Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 644-6800

LTC George W. Quinby  
Philadelphia District  
U.S. Custom House  
2nd and Chestnut Streets  
Philadelphia, PA 19106

# Appendix IV: Agency Regional and Local Office Addresses

(215) 597-4848

## **Robert Lubbert**

CDR, USACA/CEMP-RI  
20 Massachusetts Avenue, NW  
Washington, DC 20314  
(202) 504-4950

## **South Carolina**

Lt. Col. James T. Scott  
Charleston District  
P. O. Box 919  
Charleston, SC 29402  
(803) 724-4229

## **Tennessee**

Col. Paul J. King  
Nashville District  
P.O. Box 1070  
Nashville, TN 37202  
(615) 251-5626

Col. Obrene Richardson  
Memphis District  
B-202 Clifford Davis Federal Building  
Memphis, TN 38103  
(901) 521-3221

## **Texas**

BG Robert C. Lee  
Southwestern Division  
1114 Commerce Street  
Dallas, TX 75242  
(214) 767-2500

Col. Brink P. Miller  
Galveston District  
P.O. Box 1229  
Galveston, TX 77553  
(409) 766-3006

Col. William D. Brown  
Fort Worth District  
P.O. Box 17300  
Fort Worth, TX 76102  
(817) 334-2300

## **Virginia**

John F. Carpenter  
Humphreys Engineer Center Support Activity  
Ft. Belvoir, VA 22060-5580  
(202) 355-2153

Col. Joseph J. Thomas  
Norfolk District  
803 Front Street  
Norfolk, VA 23510  
(804) 441-3601

Mary Lu Williams  
Topographic Engineering Center  
Ft. Belvoir, VA 22060-5546  
(202) 355-2659

## **Washington**

Col. Milton Hunter  
Seattle District  
P.O. Box C-3755

Seattle, WA 98124  
(206) 764-3690

LTC James A. Walter  
Walla Walla District  
Building 602, City-County Airport  
Walla Walla, WA 99362  
(509) 522-6506

## **West Virginia**

Col. Thomas Farewell  
Huntington District  
502 8th Street  
Huntington, WV 25721  
(304) 529-5395

## **DEPARTMENT OF THE NAVY, OFFICE OF THE CHIEF OF NAVAL RESEARCH**

875 N. Randolph Street  
Arlington, VA 22203 United States  
703-696-2570

## **NATIONAL GUARD BUREAU**

ARNG Anti-Terrorism Program  
NGB-ARO-FP, Ms. Deidra Wallace  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1302 United States  
(703) 607-7353

ARNG Distributive Learning Program  
NGB-ART-DL, MAJ James Briggs  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 607-ART-L

ANG Natural & Cultural Resources Mgt  
NGB/A7CV, Mr. Ken Caliguiri  
3500 Fetchel Ave  
Andrews AFB, MD 20762-5157 United States  
(301) 836-8140

ANG Fire Protection  
NGB/A7CXF Mr. Steve Waldelich  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 278-8170

ARNG Reimbursable Maintenance Operations  
NGB-AVS-A, MAJ David Cooper  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 607-7721

State Family Program Activities  
NGB-FP, Mr. Ron Lacasse  
1411 Jefferson Davis Highway  
Alexandria, VA 22202-3231 United States  
(703) 607-5407

ANG Logistics Facilities  
NGB/A4P, Maj Joseph Foster  
3500 Fetchet Ave.  
Andrews AFB, MD 20762-5157 United States  
(301) 836-7372

ARNG Aviation Operations

NGB-AVS-O, CW5 Bob Fleming  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7752

ARNG Full Time Dining Facility Operations  
NGB-ARL-E CW3 Stanley Jung  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7344

ARNG Electronic Security System  
NGB-ARI-FM, Mr. Mark Brown  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7956

ARNG Real Property O&M Projects (RPOMA)  
NGB-ARI-FM, MAJ Reggie Maddox  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7916

ARNG Environmental Resources Management  
NGB-ARE, MAJ Donovan Fontenot  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7794

ANG Services Resources Mgt  
NGB/A7V, Maj Gerald Cullens  
3500 Fetchet Ave.  
Andrews AFB, MD 20762-5157 United States  
(301) 836-8162

ARNG Security Guard Activities  
NGB-ARO-FP, Ms. Deidra Wallace  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7353

ANG Environmental  
NGB/A7CV, Mr. Ken Caliguiri  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 836-8140

ARNG Sustainable Range Program  
NGB-ART-S, Mr. Nick Long  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7884

ANG Security Guard  
NGB/A7SX, Mr. Kevin Leary  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 836-7809

ANG Facilities O&M  
NGB/A7CCM, SMSGT Tony Latuff  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States

# Appendix IV: Agency Regional and Local Office Addresses

(301) 836-8194

ARNG Admin Services  
NGB-AIP-A, Ms. Rene Nowak  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 607-4300

ARNG Telecommunications  
NGB-AIS-CP, Ms. Freida Parks  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7654

## OFFICE OF THE SECRETARY OF DEFENSE

### OASD (FM&P)

Office of Economic Adjustment  
Western Region  
1325 J Street, Suite 1500  
Sacramento, CA 95814  
(916) 567-7365

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### Alabama

Birmingham Field Office  
950 22nd Street North  
Suite 900  
Birmingham, AL 35203-5302  
(205) 731-2617 (205) 731-2593 FAX

### Alaska

3000 C Street, Suite 401  
Anchorage, AK 99503  
(907) 677-9800(907) 667-9807 FAX

### Alaska

Anchorage Field Office  
3000 C. Street  
Suite 401  
Anchorage, AK 99503  
(907) 677-9800(907) 677-9825 FAX

### Arizona

Tucson Field Office  
160 North Stone Avenue  
Tucson, AZ 85701-1467  
(520) 670-6000(520) 670-6207 FAX

Phoenix Field Office  
One N. Central Avenue  
Suite 600  
Phoenix, AZ 85004  
(602) 379-7100(602) 379-3985 FAX

### Arkansas

Little Rock Field Office  
TCBY Tower  
425 West Capitol Avenue, Suite 900  
Little Rock, AR 72201-3488  
(501) 324-5931(501) 324-6142 FAX

### California

Fresno Field Office  
Suite 100  
2135 Fresno Street  
Fresno, CA 93721-1718  
(559) 487-5033, Ext. 232(559) 487-5191 FAX

San Francisco Regional Office  
Phillip Burton Federal Building and U.S.  
Courthouse  
450 Golden Gate Avenue  
San Francisco, CA 94102-3448  
(415) 436-6532(415) 436-6446 FAX

Sacramento Field Office  
925 L Street  
Sacramento, CA 95814-2601  
(916) 498-5220, Ext. 322(916) 498-5262 FAX

Santa Ana Field Office  
World Trade Tower  
1600 North Broadway Suite 101  
Santa Ana, CA 92706-3927  
(714) 796-5577(714) 796-1285 FAX

Los Angeles Field Office  
Suite 800  
AT&T Center  
611 West 6th Street  
Los Angeles, CA 90017-3127  
(213) 894-8007(213) 894-8110 FAX

San Diego Field Office  
Symphony Towers  
750 B Street, Suite 1600  
San Diego, CA 92101-8131  
(619) 557-5310(619) 557-5312 FAX

### Colorado

Denver Regional Office  
1600 Broadway  
Denver, CO 80202  
(303) 672-5440(303) 672-5004 FAX

### Connecticut

Hartford Field Office  
One Corporate Center  
20 Church Street 19th Floor  
Hartford, CT 06103-3220  
(860) 240-8000(860) 240-4850 FAX

### Delaware

Wilmington Field Office  
920 King Street Suite 404  
Wilmington, DE 19801-3016  
(302) 573-6300(302) 573-6259

Wilmington Field Office  
One Rodney Square  
920 King Street, Suite 404  
Wilmington, DE 19801  
(302) 573-6300(302) 573-6259 FAX

### District of Columbia

Washington, D.C. Field Office  
820 First Street, N.E., Suite 300  
Washington, DC 20002-4205  
(202) 275-9200 (202) 523-9212 FAX

### Eastern/Woodlands

77 W. Jackson Boulevard, Room 2404  
Chicago, IL 60604-3507  
(800) 735-3239(312) 353-8936 FAX

### Florida

Orlando Field Office  
Langley Building  
3751 Maguire Boulevard, Suite 270  
Orlando, FL 32803-3032  
(407) 648-6441(407) 648-6310 FAX

Jacksonville Field Office  
Southern Bell Tower  
301 West Bay Street, Suite 2200  
Jacksonville, FL 32202-5121  
(904) 232-2627(904) 232-3759 FAX

Tampa Field Office  
Timberlake Federal Building Annex  
500 Zack Street, Suite 402  
Tampa, FL 33602-3945  
(813) 228-2026(813) 228-2431 FAX

Miami Field Office  
Brickell Plaza Building  
909 Southeast First Avenue  
Miami, FL 33131-3028  
(305) 536-4456(305) 536-5765 FAX

### Georgia

Atlanta Regional Office  
Five Points Plaza  
40 Marietta Street  
Atlanta, GA 30303-2806  
(404) 331-4111(404) 730-2392 FAX

### Great Plains Field Offices

(Iowa, Kansas, Missouri, Nebraska)

### Hawaii

Honolulu Field Office  
Three Waterfront Plaza  
500 Ala Moana Boulevard, Suite 3A  
Honolulu, HI 96813-4918  
(808) 522-8175, Ext. 256 or 259(808) 522-8194 FAX

### Idaho

Boise Field Office  
Plaza IV, Suite 220  
800 Park Boulevard  
Boise, ID 83712-7743  
(208) 334-1990, Ext. 3007(208) 334-9648 FAX

### Illinois

Springfield Field Office  
320 West Washington 7th Floor  
Springfield, IL 62701  
(217) 492-4120(217) 492-4154 FAX

Chicago Regional Office  
Ralph H. Metcalfe Federal Building  
77 West Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 353-5680(312) 886-2729 FAX

### Indiana

Indianapolis Field Office



# Appendix IV: Agency Regional and Local Office Addresses

151 North Delaware Street, Suite 1200  
Indianapolis, IN 46204-2526  
(317) 226-6303(317) 226-6317 FAX

## Iowa

Des Moines Field Office  
Federal Building  
210 Walnut Street, Room 239  
Des Moines, IA 50309-2155  
(515) 284-4512(515) 284-4743 FAX

## Kansas

Kansas City Regional Office  
Gateway Tower II  
400 State Avenue, Room 200  
Kansas City, KS 66101-2406  
(913) 551-5462, Ext. 4(913) 551-5469 FAX

## Kentucky

Louisville Field Office  
601 West Broadway  
Post Office Box 1044  
Louisville, KY 40202  
(502) 582-5251(502) 582-6074 FAX

## Louisiana

New Orleans Field Office  
Hale Boggs Federal Building  
501 Magazine Street, 9th Floor  
New Orleans, LA 70130-3099  
(504) 589-7201(504) 589-6619 FAX

Shreveport Field Office

401 Edwards Street, Suite 1510  
Shreveport, LA 71101-5513  
(318) 676-3440(318) 676-3407 FAX

## Maine

Bangor Field Office  
Margaret Chase Smith Federal Building  
Room 101  
202 Harlow Street  
Bangor, ME 04402-1384  
(207) 945-0467(207) 945-0533 FAX

## Maryland

Baltimore Field Office  
City Crescent Building  
10 South Howard Street, Fifth Floor  
Baltimore, MD 21201-2505  
(410) 962-2520, Ext. 3474(410) 962-1849 FAX

## Massachusetts

Boston Regional Office  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 301  
Boston, MA 02222-1092  
(617) 994-8200(617) 565-5257 FAX

## Michigan

Detroit Field Office  
Patrick V. McNamara Federal Building  
477 Michigan Avenue  
Detroit, MI 48226-2592  
(313) 226-7900(313) 226-5611 FAX

Grand Rapids Field Office

Trade Center Building  
50 Louis Street, N.W.  
Grand Rapids, MI 49503-2633  
(616) 456-2100(616) 456-2114 FAX

Flint Field Office  
Municipal Center  
1101 S. Saginaw Street  
Flint, MI 48502-1953  
(810) 766-5112(810) 766-5122 FAX

## Mid Atlantic Field Offices

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

## Midwest Field Offices

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

## Minnesota

Minneapolis Field Office  
220 Second Street, South  
Minneapolis, MN 55401-2195  
(612) 370-3000, Ext. 2045(612) 370-3220 FAX

## Mississippi

Jackson Field Office  
Doctor A. H. McCoy Federal Building  
100 West Capitol Street, Room 910  
Jackson, MS 39269-1096  
(601) 965-4757(601) 965-4773 FAX

## Missouri

St. Louis Field Office  
Robert A. Young Federal Building  
1222 Spruce Street, Suite 3207  
St. Louis, MO 63103-2836  
(314) 539-6583(314) 539-6384 FAX

## Montana

Helena Field Office  
Power Block Building  
7 West Sixth Avenue  
Helena, MT 59601  
(406) 449-5050(406) 449-5052 FAX

## Nebraska

Omaha Field Office  
Executive Tower Centre  
10909 Mill Valley Road, Suite 100  
Omaha, NE 68154-3955  
(402) 492-3101(402) 492-3150 FAX

## Nevada

Las Vegas Field Office  
Atrium Building  
333 North Rancho Drive, Suite 700  
Las Vegas, NV 89106-3714  
(702) 388-6500(702) 388-6244 FAX

Reno Field Office  
3702 South Virginia Avenue  
Reno, NV 89502-6581  
(775) 784-5383(775) 784-5005 FAX

## New England Field Offices

(Connecticut, Maine, Massachusetts, New

Hampshire, Rhode Island, Vermont)  
Connecticut State Office  
One Corporate Center, 19th Floor  
Hartford, CT 06103-3220  
(860) 240-4844  
(860) 240-4850 FAX

## New Hampshire

Manchester Field Office  
Norris Cotton Federal Building  
275 Chestnut Street  
Manchester, NH 03103-2487  
(603) 666-7510(603) 666-7667 FAX

## New Jersey

Camden Field Office  
Hudson Building  
800 Hudson Square, Second Floor  
Camden, NJ 08102-1156  
(856) 757-5081(856) 757-5373 FAX

Newark Field Office  
One Newark Center, 13th Floor  
Newark, NJ 07102-5260  
(973) 622-7900(973) 645-2323 FAX

## New Mexico

Albuquerque Field Office  
625 Silver Avenue S.W., Suite 100  
Albuquerque, NM 87102-3185  
(505) 346-7320, Ext. 7332(505) 346-6704 FAX

## New York

Albany Field Office  
52 Corporate Circle  
Albany, NY 12203-5121  
(518) 464-4200, Ext. 4204(518) 464-4300 FAX

New York Regional Office  
26 Federal Plaza, Suite 3541  
New York, NY 10278-0068  
(212) 264-8000(212) 264-3068 FAX

Syracuse Field Office  
128 Jefferson Street  
Syracuse, NY 13202  
(315) 477-0616(315) 477-0196 FAX

Buffalo Field Office  
Lafayette Court  
465 Main Street, Second Floor  
Buffalo, NY 14203-1780  
(716) 551-5755, Ext. 5000(716) 551-5752 FAX

## New York/New Jersey Field Offices

(New York, New Jersey)]

## North Carolina

Greensboro Field Office  
Asheville Building  
1500 Pinemcroft Road  
Suite 401  
Greensboro, NC 27407-3838  
(336) 547-4001(336) 547-4138 FAX

## North Dakota

Fargo Field Office  
Federal Building

# Appendix IV: Agency Regional and Local Office Addresses

657 2nd Avenue North, Room 366  
Fargo, ND 58108-2483  
(701) 239-5136(701) 239-5249 FAX

## Northern Plains

UMB Plaza  
1670 Broadway, 22nd Floor  
Denver, CO 80202-4801  
(303) 672-5465(303) 672-5003 FAX

## Northwest

Seattle Federal Office Building  
909 First Avenue, Suite 300  
Seattle, WA 98104-1000  
(206) 220-5270(206) 220-5234 FAX

## Northwest/Alaska Field Offices

(Idaho, Oregon, Washington, Alaska)

## Ohio

Cincinnati Field Office  
15 East Seventh Street  
Cincinnati, OH 45202-2401  
(513) 684-3451(513) 684-6224 FAX

Columbus Field Office  
200 North High Street  
Columbus, OH 43215-2463  
(614) 469-2540, Ext. 8116(614) 469-2432 FAX

Cleveland Field Office  
Renaissance Building  
1350 Euclid Avenue, Suite 500  
Cleveland, OH 44115-1815  
(216) 522-4058, Ext. 7102(216) 522-4067 FAX

## Oklahoma

Oklahoma City Field Office  
500 West Main Street, Suite 400  
Oklahoma City, OK 73102-2233  
(405) 553-7509(405) 553-7588 FAX

Tulsa Field Office  
1516 South Boston Street, Suite 100  
Tulsa, OK 74119-4030  
(918) 581-7434(918) 581-7440 FAX

## Oregon

Portland Field Office  
400 Southwest Sixth Avenue, Suite 700  
Portland, OR 97204-1632  
(503) 326-2561(503) 326-2568 FAX

## Pacific/Hawaii Field Offices

(Arizona, California, Nevada, Hawaii)

## Pennsylvania

Pittsburgh Field Office  
Sixth Floor  
339 Sixth Avenue  
Pittsburgh, PA 15222-2515  
(412) 644-6436(412) 644-4240 FAX

Philadelphia Regional Office  
The Wanamaker Building  
100 Penn Square East  
Philadelphia, PA 19107-3380  
(215) 656-0500(215) 656-3445 FAX

## Puerto Rico

San Juan Field Office  
New San Juan Office Building  
171 Carlos E. Chardon Avenue  
San Juan, PR 00918-0903  
(787) 766-5201(787) 766-5995 FAX

## Rhode Island

Providence Field Office  
Sixth Floor  
10 Weybosset Street  
Providence, RI 02903-2818  
(401) 528-5230(401) 528-5312 FAX

## Rocky Mountains Field Offices

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)

## South Carolina

Columbia Field Office  
Strom Thurmond Federal Building 13th Floor  
1835 Assembly Street  
Columbia, SC 29201-2480  
(803) 765-5592(803) 253-3043 FAX

## South Dakota

Sioux Falls Field Office  
2400 West 49th Street, Suite I-201  
Sioux Falls, SD 57105-6558  
(605) 330-4223(605) 330-4428 FAX

## Southeast/Caribbean Field Offices

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee, Caribbean, Panama Canal Zone, Puerto  
Rico, Virgin Islands)

## Southern Plains

301 N.W. 6th Street Suite 200  
Oklahoma City, OK 73102  
(405) 609-8532(405) 609-8403 FAX

## Southwest

One North Central Avenue Suite 600  
Phoenix, AZ 85004-2361  
(602) 379-7200(602) 379-3101 FAX

## Southwest Field Offices

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

## Tennessee

Nashville Field Office  
235 Cumberland Bend Drive, Suite 200  
Nashville, TN 37228-1803  
(615) 736-5213, Ext. 7120(615) 736-7848 FAX

Memphis Field Office  
One Memphis Place  
200 Jefferson Avenue, Suite 1200  
Memphis, TN 38103-2335  
(901) 544-3367(901) 544-3697 FAX

Knoxville Field Office  
John J. Duncan Federal Building  
710 Locust Street, Third Floor  
Knoxville, TN 37902-2526

(865) 545-4384(865) 545-4569 FAX

## Texas

San Antonio Field Office  
One Alamo Center  
106 South St. Mary's Street  
San Antonio, TX 78205  
(210) 475-6806(210) 472-6804 FAX

Lubbock Field Office  
George H. Mahon Federal Building and United  
States Courthouse  
1205 Texas Avenue, Room 511  
Lubbock, TX 79401-4093  
(806) 472-7265, Ext. 3030(806) 472-7275 FAX

Houston Field Office  
1301 Fannin Suite 2200  
Houston, TX 77002  
(713) 718-3199(713) 313-2319 FAX

Fort Worth Regional Office  
801 Cherry Street  
P.O. Box 2905  
Fort Worth, TX 76113-2905  
(817) 978-5965(817) 978-5567 FAX

Dallas Field Office  
525 Griffin Street, Room 860  
Dallas, TX 75202-5007  
(214) 767-8300(214) 767-8973 FAX

## Utah

Salt Lake City Field Office  
125 South State Street Suite 3001  
Salt Lake City, UT 84138  
(801) 524-6070(801) 524-3439 FAX

## Vermont

Burlington Field Office  
159 Bank Street, 2nd Floor  
Burlington, VT 05401-4410  
(802) 951-6290(802) 951-6298 FAX

## Virginia

Richmond Field Office  
The 3600 Centre  
600 East Broad Street, 3rd Floor  
Richmond, VA 23219-4920  
(804) 771-2100(804) 771-2090 FAX

## Washington

Spokane Field Office  
U.S. Courthouse Building  
920 West Riverside, Room 588  
Spokane, WA 99201-1010  
(509) 353-0674(509) 353-0682 FAX

Seattle Regional Office  
Seattle Federal Office Building  
909 1st Avenue, Suite 200  
Seattle, WA 98104-1000  
(206) 220-5101(206) 220-5108 FAX

## West Virginia

Charleston Field Office  
Kanawha Valley Building  
405 Capitol Street, Suite 708

# Appendix IV: Agency Regional and Local Office Addresses

Charleston, WV 25301-1795  
(304) 347-7000, Ext. 101(304)-347-7050 FAX

## Wisconsin

Milwaukee Field Office  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 1380  
Milwaukee, WI 53203-2289  
(414) 297-3214, Ext. 8001(414) 297-3947 FAX

## Wyoming

Casper Field Office  
Federal Office Building  
100 East B Street, Room 1010  
Casper, WY 82601-1969  
(307) 261-6250(307) 261-6245 FAX

## DEPARTMENT OF THE INTERIOR

### District I

All Indian Reservations in North Dakota, South Dakota, Nebraska, Wisconsin, Michigan and Minnesota  
Office of Law Enforcement  
Bureau of Indian Affairs  
115 4th Avenue, S.E., MC: 302  
Aberdeen, SD 57401

### District II

All Indian Tribes in Eastern Oklahoma, all Indian Reservations in Western Oklahoma, and Kansas  
Office Law Enforcement  
Bureau of Indian Affairs  
101 N. 5th Street  
Muskogee, OK 74401

### District III

All Indian Reservations in Arizona, Nevada, Utah (excluding Navajo) and Indian Reservations in Northern California  
Office of Law Enforcement  
Bureau of Indian Affairs  
N. 5th Street, Bldg 2  
Mailing Address:  
P.O. Box 10  
Phoenix, AZ 85001

### District IV

All Indian Reservations in Southern Colorado, New Mexico, and all Navajo Indian Reservations in Arizona, New Mexico and Utah  
Office of Law Enforcement  
Bureau of Indian Affairs  
P.O. Box 26567  
Albuquerque, NM 87125-6567

### District V

All Indian Reservations in Montana, Wyoming, Oregon, Washington, Idaho, and Alaska  
Office of Law Enforcement  
Bureau of Indian Affairs  
316 North 26th Street  
Billings, MT 59101

### Eastern Region

All Indian Reservations in Alabama, Connecticut,

Florida, Louisiana, Maine, Mississippi, New York, North Carolina and Rhode Island  
Office of Law Enforcement  
Bureau of Indian Affairs  
1849 C Street, NW., MS 4550 MIB  
Washington, DC 20240-0001

## BUREAU OF INDIAN AFFAIRS

### Deputy Commissioner of Indian Affairs

1849 C Street N.W., MS-4140 MIB  
Washington, DC 20240  
(202) 208-5116

### 101 12th Avenue, Room 16

Metlakatla Field Office  
P.O. Box 450  
Metlakatla, AK 99926  
(907) 886-3791

Fairbanks Agency  
Fairbanks, AK 99701-6270  
(907) 456-0222

### Alaska

Alaska Regional Office  
P.O. Box 25520  
Juneau, AK 99802-5520  
(907) 586-7177

Bethel Field Office  
1675 C Street, Suite 279  
Anchorage, AK 99501-5198  
(907) 271-4086

Anchorage Education Field Office  
1675 C Street  
Anchorage, AK 99501  
(907) 271-4115

Anchorage Field Office  
1675 C Street, Suite 211  
Anchorage, AK 99501-5198  
(907) 271-4088

### Arizona

Western Regional Office  
Two Arizona Center, 12th Floor  
P.O. Box 10, MS-100  
Phoenix, AZ 85001-0010  
(602) 379-6600

Pima Agency-Education  
400 North 5th Street  
PO Box 10  
Phoenix, AZ 85001  
(602) 379-3944

Western Navajo Agency-Education  
Highway 160 and Warrior Drive  
Building 407  
PO Box 746  
Tuba City, AZ 86045  
(520) 283-2218

Western Navajo Agency  
P.O. Box 127  
Tuba City, AZ 86045  
(520) 283-2254, 2252

Hopi Agency-Education  
Highway 264  
PO Box 568  
Keams Canyon, AZ 86034  
(520) 738-2262

Colorado River Agency, Route 1, Box 9-C  
Parker, AZ 85344  
(520) 669-7111

Fort Apache Agency  
P.O. Box 560  
Whiteriver, AZ 85941  
(520) 338-5353

Ft. Apache Agency-Education  
Highway 73 and Elm Street  
PO Box 920  
White River, AZ 85941  
(520) 338-5441

Fort Defiance Agency, P.O. Box 619  
Fort Defiance, AZ 86504  
(520) 729-7217, 7218

Chinle Agency  
P.O. Box 7H  
Chinle, AZ 86503  
(520) 674-5100

Papago Agency  
P.O. Box 578  
Sells, AZ 85634  
(520) 383-3286

Papago Agency-Education  
South Building #49  
PO Box 38  
Sells, AZ 85634  
(520) 383-3292

Fort Defiance Agency-Education  
Building 38, Blue Canyon Highway 110  
PO Box 110  
Fort Defiance, AZ 86504-0110  
(520) 729-7251

Pima Agency  
P.O. Box 8  
Sacaton, AZ 85247  
(520) 562-3326

Chinle Agency-Education  
Navjo Route 7  
PO Box 6003  
Chinle, AZ 86503  
(520) 674-5130 Ext. 201

Fort Yuma Field Office  
P.O. Box 11000  
Yuma, AZ 85366-1000  
(760) 572-0248

Truxton Canon Field Office  
P.O. Box 37  
Valentine, AZ 86437  
(520) 769-2286

Sacramento Area Education Office  
2800 Cottage Way  
Sacramento, CA 95825  
(916) 979-2560, Ext. 234

## Appendix IV: Agency Regional and Local Office Addresses

San Carlos Agency  
P.O. Box 209  
San Carlos, AZ 85550  
(520) 475-2321

Hopi Agency  
P.O. Box 158  
Keams Canyon, AZ 86034  
(520) 738-2228

Salt River Field Office  
10000 E. McDowell Road  
Scottsdale, AZ 85256  
(602) 640-2168

### California

Southern California Agency  
2038 Iowa Avenue, Suite 101  
Riverside, CA 92507-0001  
(909) 276-6624

Central California Agency  
1824 Tribute Road, Suite J  
Sacramento, CA 95815  
(916) 566-7121

Palm Springs Field Office  
P.O. Box 2245  
650 E. Tahquitz Canyon Way, Suite A  
Palm Springs, CA 92262  
(760) 416-2133

Northern California Field Office  
1900 Churn Creek Road, Suite 300  
Redding, CA 96002  
(530) 246-5141

(See also Arizona (Western)

Pacific Regional Office  
Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1846  
(916) 979-2600

### Colorado

Southern Ute Agency  
P.O. Box 315  
Ignacio, CO 81137  
(970) 563-4511

Ute Mountain Ute Field Office  
P.O. Box KK  
Towaoc, CO 81334  
(970) 565-8473

### Florida

Seminole Agency  
6075 Sterling Road  
Hollywood, FL 33024  
(954) 356-7288

### Idaho

Plummer Subagency  
P.O. Box 408  
850 A Street  
Plummer, ID 83851  
(208) 686-1887

Northern Idaho Agency  
P.O. Drawer 277

Lapwai, ID 83540  
(208) 843-2300

Fort Hall Agency  
P.O. Box 220  
Fort Hall, ID 83203  
(208) 238-2301

### Kansas

Haskell Indian Nations University  
155 Indian Avenue #1305  
Lawrence, KS 66046-4800  
(785) 749-8404

Haskell Indian Nations University  
155 Indian Avenue  
Lawrence, KS 66046  
(785) 749-8404

### Michigan

Michigan Field Office  
2901.5 I-75 Business Spur  
Sault Ste Marie, MI 49783  
(906) 632-6809

Horton Field Office  
P.O. Box 31  
Horton, KS 66439  
(785) 486-2161

### Minnesota

Minneapolis Area Education Office  
331 South Second Avenue  
Minneapolis, MN 55401-2241  
(612) 373-1000, Ext. 1090

Midwest Regional Office  
One Federal Drive, Room 550  
St. Snelling, MN 55111  
(612) 713-4400, Ext. 1020

Red Lake Field Office  
Red Lake, MN 56671  
(218) 679-3361

Minnesota Agency  
Room 418, Federal Building  
522 Minnesota Avenue, NW  
Bemidji, MN 56601-3062  
(218) 751-2011

### Mississippi

Choctaw Field Office  
421 Powell Street  
Philadelphia, MS 39350  
(601) 656-1522

### Montana

Northern Cheyenne Agency  
P.O. Box 40  
Lame Deer, MT 59043  
(406) 477-8242

Billings Area Education Office  
316 North 26th Street  
Billings, MT 59101-1397  
(406) 247-7953

Flathead Field Office  
P.O. Box 40

Pablo, MT 59855-5555  
(406) 675-0242

Rocky Mountain Regional Office  
316 North 26th Street  
Billings, MT 59101-1397  
(406) 247-7943

Crow Agency, MT 59022  
(406) 638-2672

Fort Belknap Agency  
RR 1, Box 980  
Harlem, MT 59526  
(406) 353-2901, Ext. 23

Rocky Boy's Field Office  
RR 1, Box 542  
Box Elder, MT 59521  
(406) 395-4476

Fort Peck Agency  
P.O. Box 637  
Poplar, MT 59255  
(406) 768-5312

Crow Agency  
Box 69

Blackfeet Agency  
P.O. Box 880  
Browning, MT 59417  
(406) 338-7544

### Navajo Regional Office

P.O. Box #1060  
Gallup, NM 87305  
(505) 863-8314

### Nebraska

Winnebago Agency  
P.O. Box 18  
Winnebago, NE 68071  
(402) 878-2502

### Nevada

Western Nevada Agency  
1677 Hot Springs Road  
Carson City, NV 89706  
(775) 887-3500

Eastern Nevada Field Office  
1555 Shoshone Circle  
Elko, NV 89801  
(775) 738-0569

### New Mexico

Northern Pueblos Agency  
P.O. Box 4269  
Fairview Station  
Española, NM 87533  
(505) 753-1400

Shiprock Agency  
P.O. Box 966  
Shiprock, NM 87420  
(505) 368-3300

Shiprock Agency-Education  
Highway 666N  
PO Box 3239

# Appendix IV: Agency Regional and Local Office Addresses

Shiprock, NM 87420-3239  
(505) 368-4427, Ext. 360  
FTS 8 (700) 479-4370

Zuni Agency  
P.O. Box 369  
Zuni, NM 87327  
(505) 782-5591

Laguna Agency  
P.O. Box 1448  
Laguna, NH 87026  
(505) 552-6001

Ramah-Navajo Agency  
Route 2, Box 14  
Ramah, NM 87321  
(505) 775-3235

Jicarilla Agency  
P.O. Box 167  
Dulce, NM 87528  
(505) 759-3951

Eastern Navajo Agency, P.O. Box 328  
Crownpoint, NM 87313  
(505) 786-6100

Southern Pueblos Agency-Education  
1000 Indian School Road NW  
PO Box 1667  
Albuquerque, NM 87103  
(505) 346-2431

Northern Pueblos Agency-Education  
1 Mile North of Espanola  
Highway 68  
PO Box 4269  
Fairview Station  
Espanola, NM 87533  
(505) 753-1465

Mescalero Agency  
P.O. Box 189  
Mescalero, NM 88340  
(505) 671-4423

Eastern Navajo Agency-Education  
1 Main Street, Building 222  
PO Box 328  
Crownpoint, NM 87313  
(505) 786-6150

(See also Arizona (Navajo)  
Southwest Regional Office  
615 1st Street, N.W.  
P.O. Box 26567  
Albuquerque, NM 87125-6567  
(505) 346-7590

Southern Pueblos Agency  
P.O. Box 1667  
Albuquerque, NM 87103  
(505) 346-2424

## New York

(See Virginia, Eastern Regional Office)

New York Field Office  
P.O. Box 7366  
Syracuse, NY 13261-7366  
(315) 448-0620

## North Carolina

Cherokee Agency  
Cherokee, NC 28719  
(704) 497-9131

(See Virginia, Eastern Regional Office)

## North Dakota

Standing Rock Agency-Education  
Main Street off Highway 106  
Agency Avenue  
PO Box E  
Fort Yates, ND 58538  
(701) 854-3497

Fort Berthold Agency  
P.O. Box 370  
New Town, ND 58763  
(701) 627-4707

Southwestern Indian Polytechnic Institute  
9169 Coors Road NW  
P.O. Box 10146-9196  
Albuquerque, NM 87184  
(505) 346-2343

Turtle Mountain Agency  
P.O. Box 60  
Belcourt, ND 58316  
(701) 477-3191

Fort Totten Agency  
P.O. Box 270  
Fort Totten, ND 58335  
(701) 766-4545

Standing Rock Agency  
P.O. Box E  
Fort Yates, ND 58538  
(701) 854-3433

Oklahoma Education Office  
4149 Highline Boulevard, Suite 380  
Oklahoma City, OK 73108  
(605) 945-6051 Ext. 301  
(405) 605-6057

Turtle Mountain Agency-Education  
School Street  
PO Box 30  
Belcourt, ND 58316  
(701) 477-6471 Ext. 211

(See South Dakota)

## Oklahoma

Concho Field Office  
P.O. Box 68  
El Reno, OK 73036-0068  
(405) 262-7481

Siletz Field Office  
P.O. Box 569  
Siletz, OR 97380  
(541) 444-2679

Wewoka Agency  
P.O. Box 1060  
Wewoka, OK 74884  
(405) 257-6259

Southern Plains Office  
P.O. Box 368  
Anadarko, OK 73005-0368  
(405) 247-6673, Ext. 257

Pawnee Agency, P.O. Box 440,  
Pawnee, OK 74058-0440  
(918) 762-2585

Miami Field Office  
P.O. Box 391  
Miami, OK 74355  
(918) 542-3396

Chickasaw Agency  
1500 N. Country Club Road  
P.O. Box 2240  
Ada, OK 74821  
(580) 436-0784

Shawnee Field Office  
624 West Independence, Suite 114  
Shawnee, OK 74801  
(405) 273-0317

Okmulgee Field Office  
P.O. Box 370  
Okmulgee, OK 74447  
(918) 756-3950

Anadarko Agency  
P.O. Box 309  
Anadarko, OK 73005  
(405) 247-6677

Talihina Office  
Drawer H  
Talihina, OK 74571  
(918) 567-2207

Eastern Oklahoma Regional Office  
Bureau of Indian Affairs  
101 North 5th Street  
Muskogee, OK 74401-6206  
(918) 687-2295

Osage Agency  
P.O. Box 1539  
Pawhuska, OK 74056  
(918) 287-1032

## Oregon

Portland Area Education Office  
911 North East 11 Avenue  
Portland, OR 97232-4169  
(503) 872-2743

Umatilla Agency  
P.O. Box 520  
Pendleton, OR 97801  
(541) 278-3786

Warm Springs Agency  
P.O. Box 1239  
Warm Springs, OR 97761  
(541) 553-2411

(See also Arizona (Western)  
Northwest Regional Office  
911 N.E. 11th Avenue  
Portland, OR 97232-4169

# Appendix IV: Agency Regional and Local Office Addresses

(503) 231-6702

## South Dakota

Cheyenne River Agency  
P.O. Box 325  
Eagle Butte, SD 57625  
(605) 964-6611

Lower Brule Agency  
P.O. Box 190  
Lower Brule, SD 57548  
(605) 473-5512

Great Plains Regional Office  
Bureau of Indian Affairs  
115 4th Avenue, SE  
Aberdeen, SD 57401-4382  
(605) 226-7343

Crow Creek Agency  
P.O. Box 139  
Ft. Thompson, SD 57339  
(605) 245-2311

Yankton Agency  
P.O. Box 577  
Wagner, SD 57380  
(605) 384-3651

Pine Ridge Agency  
P.O. Box 1203  
Pine Ridge, SD 57770  
(605) 867-5125

Crow Creek/Lower Brule Agency-Education  
140 Education Avenue  
PO Box 139  
Fort Thompson, SD 57339  
(605) 245-2398

Sisseton Agency  
P.O. Box 688  
Agency Village, SD 57262  
(605) 698-3001

Rosebud Agency-Education  
1001 Avenue D  
PO Box 669  
Mission, SD 57555  
(605) 856-4478 Ext. 261

Rosebud Agency  
P.O. Box 550  
Rosebud, SD 57570  
(605) 747-2224

Cheyenne River Agency-Education  
100 North Main  
PO Box 2020  
Eagle Butte, SD 51625  
(605) 964-8722

Pine Ridge Agency-Education  
101 Main Street  
PO Box 333  
Pine Ridge, SD 57770  
(605) 867-1306

## Utah

Southern Paiute  
Field Office

P.O. Box 720  
St. George, UT 84771  
(435) 674-9720

(see Arizona (Navajo and Western), and Oregon)

Uintah and Ouray Agency  
P.O. Box 130  
Fort Duchesne, UT 84026  
(435) 722-4300

## Virginia

South and Eastern States Agency-Education  
3701 North Fairfax Drive, Suite 260  
Arlington, VA 22203  
(703) 235-3233

Eastern Regional Office  
3701 North Fairfax Drive  
Suite 260  
Arlington, VA 22203  
(703) 235-3006

## Washington

Yakima Agency  
P.O. Box 151 (Tribal)  
P. O. Box 632 (BIA)  
Toppenish, WA 98948  
(509) 865-5121

(See Oregon)

Colville Agency  
P.O. Box 111  
Nespelem, WA 99155-0111  
(509) 634-2316

Olympic Peninsula Agency  
P.O. Box 48  
Aberdeen, WA 98520  
(360) 533-9100

Spokane Agency  
P.O. Box 389  
Wellpinit, WA 99040  
(509) 258-4561

Puget Field Office  
2707 Colby Avenue, Suite 1101  
Everett, WA 98201  
(425) 258-2651

Makah Field Office  
P.O. Box 115  
Neah Bay, WA 98357  
(360) 645-3232

## Wisconsin

Great Lakes Agency  
615 Main Street, West  
P.O. Box 273  
Ashland, WI 54806-0273  
(715)682-4527

(See Minnesota)

## Wyoming

(See Montana)

Cross-references denote which area or offices provide services to eligible Indians within the State.

Wind River Agency  
P.O. Box 158  
Fort Washakie, WY 82514  
(307) 332-7810

## BUREAU OF LAND MANAGEMENT

### RESEARCH HEADQUARTERS

#### Alaska (953 B)

6881 Abbott Loop Road  
Anchorage, AK 99507  
(907) 267-1323

#### Arizona

222 N. Central Avenue I04P.O. Box 16563  
Phoenix, AZ 95004-2203  
(602) 417-9266

#### Branch of Procurement Management

1849 C Streets, N.W., MS: 1075-LS  
(This office handles Bureau-wide inquiries)  
Washington, DC 20240  
(202) 452-5170

#### California

2800 Cottage Way, Suite W-1834  
Sacramento, CA 95825-1886  
(916) 978-4527

#### Colorado

2850 Youngfield Street  
Lakewood, CO 80215-7076  
(303) 239-3677

#### Eastern States Office

7450 Boston Boulevard  
Springfield, VA 22153  
(703) 440-1596

#### Idaho

1387 S. Vinnell Way  
Boise, ID 83709-1657  
(208) 373-3909

#### Montana

5001 Southgate Drive  
P.O. Box 36800  
Billings, MT 59107-6800  
(406) 896-5205

#### Nevada

1340 Financial Boulevard  
P.O. Box 12000  
Reno, NV 89520-0006  
(702) 861-6417

#### New Mexico

435 Montano NE  
Albuquerque, NM 87107  
(505) 761-8994

#### Oregon

1515 SW 5th Avenue  
P.O. Box 2965  
Portland, OR 97208  
(503) 952-6220

# Appendix IV: Agency Regional and Local Office Addresses

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## Utah

324 South State Street, Suite 301  
Salt Lake City, UT 84111-2303  
(801) 539-4172

## Wyoming

5353 Yellowstone Road  
P.O. Box 1828  
Cheyenne, WY 82005  
(307) 775-6058

## **BUREAU OF RECLAMATION**

---

### **Commissioner's Office, Denver, Colorado**

P.O. Box 25007  
Denver Federal Center  
Denver, CO 80225-0007  
(303) 445-2692

### **Great Plains Regional Office**

PO Box 36900  
Billings, MT 59107-6900  
(406) 247-7600

### **Lower Colorado Regional Office**

PO Box 61470  
Boulder City, NV 89006-1470  
(702) 293-8411

### **Mid-Pacific Regional Office**

Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1898  
(916) 978-5000

### **Pacific Northwest Regional Office**

1150 North Curtis Road, Suite 100  
Boise, ID 83706-1234  
(208) 378-5012

### **Upper Colorado Regional Office**

125 South State Street, Room 6107  
Salt Lake City, UT 84138-1102  
(801) 524-3600

## **FISH AND WILDLIFE SERVICE**

---

**(Region VI: Colorado, Kansas, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)**

Ralph O. Morgenweck  
P.O. Box 25486  
Denver Federal Center  
Denver, CO 80025  
Phone (303) 236-7920 Fax (303) 236-8295

**(Region VII: Alaska)**

Rowan Gould  
1011 E. Tudor Road  
Anchorage, AK 99503  
Phone (907) 786-3306, fax (907) 786-3542

### **California/Nevada**

Judy Frye  
2800 Cottage Way, Suite W2606  
Sacramento, CA 95825

Phone (916) 414-6486, fax (916) 414-6464

## **Georgia**

(Region IV: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Sam Hamilton  
1875 Century Boulevard  
Atlanta, GA 30345  
Phone (404) 679-4006, fax (404) 679-4000

## **Massachusetts**

(Region V: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Washington, District of Columbia)  
Marvin Moriarty  
300 Westgate Center Drive  
Hadley, MA 01035  
Phone (413) 253-8308, Fax (413) 253-8300

## **Minnesota**

(Region III: Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, Wisconsin)  
Robyn Thorson  
Federal Building, 1 Federal Drive  
Fort Snelling, MN 55111  
Phone (612) 713-5284, fax (612) 713-5301

## **New Mexico**

(Region II: Arizona, New Mexico, Oklahoma, Texas)  
Dale Hall  
P.O. Box 1306  
500 Gold Avenue, S.W., Room 3018  
Albuquerque, NM 87103  
Phone (505) 248-6910, fax (505) 248-6282

## **Oregon**

(Region I: California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Dave Allen  
911 N.E. 11th Avenue  
Portland, OR 97232-4181  
Phone (503) 872-2716, fax (503) 231-6118

## **NATIONAL PARK SERVICE**

---

### REGIONAL OFFICES

#### **Alaska Support Office**

National Park Service  
Robert D. Barbee, Regional Director  
2525 Gambell Street  
Anchorage, AK 99503-2892  
(907) 257-2690

#### **Intermountain Region**

National Park Service  
Karen Wade  
Intermountain Region  
12795 West Alameda Parkway  
P.O. Box 25287  
Denver, CO 80225-0287  
(303) 969-2503

## **Midwest Region**

Alan M. Hutchings, Associate Regional Director  
Professional Services and Legislation  
National Park Service  
1709 Jackson Street  
Omaha, NE 68102  
(402) 221-3084

## **National Capital Region**

National Park Service  
David Linderman, Chief  
Finance Management Officer  
1100 Ohio Drive, SW  
Washington, DC 20242  
(202) 619-7160

## **Northeast Region**

Marie Rust, Director  
National Park Service  
U.S. Custom House  
200 Chestnut Street, 3rd Floor  
Philadelphia, PA 19106  
(215) 597-7013

## **Pacific West Region**

National Park Service  
Vacant  
Resources, Stewardship and Partnership  
111 Jackson Street, Suite 700  
Oakland, CA 94607  
(415) 427-1321

## **Southeast Region**

Jerry Belson, Director  
National Park Service  
Atlanta Federal Center, 1924 Building  
100 Alabama Street, S.W.  
Atlanta, GA 30303  
(404) 562-3100

## SERVICE CENTER

### **Alabama**

Dr. Lee M. Warner, State Historical Preservation Office  
468 South Perry Street  
Montgomery, AL 36130-0900  
(334) 242-3184

### **Alaska**

Ms. Judith E. Bittner, Chief, History and Archeology  
Department of Natural Resources  
Division of Parks and Outdoor Recreation  
550 W. 7th Avenue, Suite 1310  
Anchorage, AK 99501-3565  
(907) 269-8908

### **American Samoa**

Mr. John Enright, Territorial Historic Preservation Officer  
American Samoa Historic Preservation Office  
American Samoa Government  
Pago Pago, AS 96799  
(684) 633-2384

### **Arizona**

# Appendix IV: Agency Regional and Local Office Addresses

---

Mr. James Garrison, State Historic Preservation Officer  
Office of Historic Preservation  
Arizona State Parks  
1300 W. Washington  
Phoenix, AZ 85007  
(602) 542-4174

## Arkansas

Vacant  
Arkansas Historic Preservation Program  
1500 Tower Building  
323 Center Street  
Little Rock, AR 72201  
(501) 324-9880

## California

Dr. W. Knox Mellon, Jr., State Historic Preservation Officer  
Office of Historic Preservation  
Department of Parks and Recreation  
P.O. Box 942896  
Sacramento, CA 94296-0001  
(916) 653-6624

## Colorado

Ms. Geogianna Contiguglia, State Historic Preservation Officer, Colorado Historical Society  
Colorado History Museum  
1300 Broadway  
Denver, CO 80203-2137  
(303) 866-3355

## Commonwealth of Puerto Rico

Ms. Lilliane D. Lopez, State Historic Preservation Officer  
La Fortaleza  
P.O. Box 82  
San Juan, PR 00901  
(787) 721-3737

## Commonwealth of the Northern Mariana Islands

Mr. Joseph P. Deleon Guerrero, Historic Preservation Officer  
Department of Community and Cultural Affairs  
Commonwealth of the Northern Mariana Islands  
Saipan, MP 96950  
(670) 664-2120

## Connecticut

Mr. John W. Shannahan, State Historic Preservation Officer and Director, Connecticut Historical Commission  
59 South Prospect Street  
Hartford, CT 06106  
(860) 566-3005

## Delaware

Mr. Daniel R. Griffith, Director  
Division of Historical and Cultural Affairs  
Halls of Records  
The Green  
Dover, DE 19901  
(302) 739-5685

## Denver Service Center

Manager, National Park Service  
P.O. Box 25287  
Denver, CO 80225  
(303) 969-2100

## District of Columbia

Mr. Gregory McCarthy, State Historic Preservation Officer  
Office of Policy & Program Evaluation  
441 4th Street, N.W., Suite 920-S  
Washington, DC 20002  
(202) 727-6979

## Federated States of Micronesia (FSM)

Dr. Rufino Mauricio, State Historic Preservation Officer  
Department of Health, Education & Social Affairs  
FSM National Government  
P.O. Box PS 70  
Palikir Pohnpei State, FM 96941  
(691) 320-2343 Overseas Operator

## Florida

Dr. Janet Snyder Matthews, State Historic Preservation Officer and Director  
Division of Historical Resources  
Department of State  
R.A. Gray Building  
500 S. Bronough Street  
Tallahassee, FL 32399-0250  
(850) 488-1480

## Georgia

Mr. Lonice Barrett, Commissioner and State Historic Preservation Officer  
Department of Natural Resources  
156 Trinity Avenue S.W., Suite 101  
Atlanta, GA 30333  
(404) 656-3500

## Guam

Ms. Lynda B. Aguon, State Historic Preservation Officer  
Department of Parks and Recreation  
Division of Historic Resources  
P.O. Box 2950  
Agana Heights, GU 96910  
011-671-475-6290

## Harpers Ferry Center

National Park Service  
Gary Cummins, Manager  
P.O. Box 50  
Harpers Ferry, WV 25425-0050  
(304) 535-6211

## Hawaii

Mr. Gilbert Coloma-Agaran, State Preservation Officer  
Department of Land and Natural Resources  
601 Komokila Boulevard, Room 555  
Honolulu, HI 96813  
(808) 587-0401

## Idaho

Mr. Steve Guerber, Interim State Historic Preservation Officer  
210 Main Street  
Boise, ID 83702-7264  
(208) 334-3890

## Illinois

Mr. William L. Wheeler, Associate Director  
Illinois Historic Preservation Agency  
Preservation Services Division  
One Old State Capitol  
Springfield, IL 62701  
(217) 785-9045

## Indiana

Indianapolis, IN 46204  
Mr. Larry D. Macklin, State Historic Preservation Officer and Director  
Department of Natural Resources  
402 West Washington Street, Room W274  
(317) 232-4020

## Iowa

Ms. Anita Walker, Acting State Historic Preservation Officer  
State Historical Society of Iowa  
600 East Locust Street  
Des Moines, IA 50319-0290  
(515) 281-8837

## Kansas

Mr. Ramon S. Powers, Executive Director  
Cultural Resources Division  
6425 Southwest 6th Avenue  
Topeka, KS 66615-1099  
(785) 272-8681, Ext. 205

## Kentucky

Mr. David Morgan, State Historic Preservation Officer and Director  
Kentucky Heritage Council  
300 Washington Street  
Frankfort, KY 40601  
(502) 564-7005, Ext. 11

## Louisiana

Ms. Laurel Wyckoff, Assistant Secretary  
Office of Cultural Development  
P.O. Box 44247  
Baton Rouge, LA 70804  
(225) 342-8160

## Maine

Mr. Earle G. Shettleworth, Jr., Director,  
Maine Historic Preservation Commission  
55 Capitol Street, Station 65  
Augusta, ME 04333-0065  
(207) 287-2132

## Maryland

Mr. J. Rodney Little, Executive Director  
Historical and Cultural Programs  
Department of Housing and Community Development  
Peoples Resource Center  
100 Community Place, 3rd Floor



## Appendix IV: Agency Regional and Local Office Addresses

---

Crownsville, MD 21032-2023  
(410) 514-7600

### Massachusetts

Ms. Brona Simon, Acting State Historic  
Preservation Officer  
Executive Director, Massachusetts Historical  
Commission  
220 Morrissey Boulevard  
Boston, MA 02125  
(617) 727-8470

### Michigan

Mr. Brian D. Conway  
State Historic Preservation Officer  
Bureau of Michigan History  
Department of State  
717 W. Allegan  
Lansing, MI 48918-0001  
(517) 373-0511

### Minnesota

Dr. Nina M. Archabal, Director  
Minnesota Historical Society  
State Historic Preservation Office  
345 Kellogg Boulevard West  
St. Paul, MN 55102  
(612) 296-2747

### Mississippi

Mr. Elbert Hilliard, Director  
Mississippi Department of Archives and History  
P.O. Box 571  
Jackson, MS 39205  
(601) 359-6850

### Missouri

Mr. Stephan Mahfood, Director  
Department of Natural Resources  
P.O. Box 176  
Jefferson City, MO 65102  
(573) 751-4732

### Montana

Dr. Mark Baumler, State Historic Preservation  
Officer  
Montana Historical Society  
1410 8th Avenue, P.O. Box 201202  
Helena, MT 59620-1202  
(406) 444-7715

### Nebraska

Mr. Lawrence J. Sommer, Director  
Nebraska State Historical Society  
1500 R Street  
P.O. Box 82554  
Lincoln, NE 68501  
(402) 471-4746

### Nevada

Mr. Ronald M. James, State Historic Preservation  
Officer  
Department of Museums, Library and Arts  
100 North Stewart Street  
Capitol Complex  
Carson City, NV 89710-4285

(775) 684-3440

### New Hampshire

Mrs. Nancy C. Dutton, Director  
Division of Historical Resources  
P.O. Box 2043  
Concord, NH 03302-2043  
(603) 271-6435

### New Jersey

Mr. Robert C. Shinn, Jr., Commissioner  
Department of Environmental Protection  
401 East State Street  
P.O. Box 304  
Trenton, NJ 08625  
(609) 292-2885

### New Mexico

Mr. Elmo Baca, State Historic Preservation  
Division  
Office of Cultural Affairs  
Villa Rivera Building, 3rd Floor  
228 E. Palace Avenue  
Santa Fe, NM 87503  
(505) 827-6320

### New York

Mrs. Bernadette Castro, Commissioner  
Office of Parks, Recreation and Historic  
Preservation  
Empire State Plaza  
Agency Building 1, 20th Floor  
Albany, NY 12238  
(518) 474-0443

### North Carolina

Dr. Jeffrey J. Crow, Director  
Department of Cultural Resources  
Division of Archives and History  
4617 Mail Service Center  
Raleigh, NC 27699-4617  
(919) 733-7305

### North Dakota

Mr. Merl Paaverud, Interim Superintendent  
State Historical Society of North Dakota  
ND Heritage Center  
612 East Boulevard Avenue  
Bismarck, ND 58505-0830  
(701) 328-2666

### Ohio

Dr. Amos J. Loveday, Jr., State Historic  
Preservation Officer  
Ohio Historic Preservation Office  
Ohio Historical Society  
567 E. Hudson Street  
Columbus, OH 43211-1030  
(614) 298-2000

### Oklahoma

Dr. Bob L. Blackburn  
State Historic Preservation Officer  
2100 N. Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 521-2491

### Oregon

Mr. Mike Carrier, Director  
Oregon Parks and Recreation Department  
1115 Commercial Street NE  
Salem, OR 97310-1001  
(503) 378-5019

### Pennsylvania

Dr. Brent D. Glass, State Historic Preservation  
Officer  
Pennsylvania Historical and Museum Commission  
400 North Street  
Harrisburg, PA 17108-1026  
(717) 787-2891

### Republic of Palau

Ms. Victoria N. Kanai, Historic Preservation  
Officer  
Ministry of Social Services  
Division of Cultural Affairs  
P.O. Box 100, Government of Palau  
Koror, PW 96940  
(680) 488-2489

### Republic of the Marshall Islands

Mr. Frederick deBrum, Secretary of Interior  
Affairs and Historic Preservation Officer, Republic  
of the Marshall Islands  
P.O. Box 1454  
Majuro, MH 96960  
(692) 625-4642

### Rhode Island

Mr. Frederick C. Williamson, State Historic  
Preservation Officer  
Historical Preservation and Heritage Commission  
Old State House  
150 Benefit Street  
Providence, RI 02903  
(401) 222-2678

### South Carolina

Dr. Rodger E. Stroup, Director  
Department of Archives and History  
8301 Parkland Road  
Columbia, SC 29223-4905  
(803) 896-6100

### South Dakota

Mr. Jay D. Vogt, State Historic Preservation  
Officer  
South Dakota State Historical Society  
900 Governors Drive  
Pierre, SD 57501-2217  
(605) 773-3458

### Tennessee

Mr. Milton H. Hamilton Jr., Commissioner and  
State Historic Preservation Officer  
Department of Environment and Conservation  
2941 Lebanon Road  
Nashville, TN 37243-0442  
(615) 532-0109

### Texas

# Appendix IV: Agency Regional and Local Office Addresses

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Mr. Lawrence Oaks, Executive Director  
Texas Historical Commission  
P.O. Box 12276, Capitol Station  
Austin, TX 78711-2276  
(512) 463-6100

## Utah

Mr. Max J. Evans, State Historic Preservation  
Officer and Director  
Utah State Historical Society  
300 Rio Grande  
Salt Lake City, UT 84101  
(801) 533-3551

## Vermont

Ms. Emily Wadhams  
State Historic Preservation Officer and Director  
Agency of Commerce and Community  
Development  
Vermont Division for Historic Preservation  
National Life Building, Drawer 20  
Montpelier, VT 05620-0501  
(802) 828-3056

## Virgin Islands

Mr. Dean C. Plaskett, Esq, Commissioner  
Department of Planning and Natural Resources  
Preservation  
Niskey Center, Suite 231  
Number 45A, Estate Nisky  
St. Thomas, VI 00802  
(340) 776-8605

## Virginia

Ms. Kathleen S. Kilpatrick, Director  
Department of Historic Resources  
2801 Kensington Avenue  
Richmond, VA 23221  
(340) 367-2323

## Washington

Dr. Allyson Brooks, State Historic Preservation  
Officer  
Office of Archaeology and Historic Preservation,  
Washington State  
Department of Community, Trade, and Economic  
Development  
P.O. Box 48343  
Olympia, WA 98504-8343  
(360) 407-0765

## West Virginia

Ms. Nancy Herholdt, State Historic Preservation  
Officer & Commissioner  
Division of Culture and History  
1900 Kanawha Boulevard East  
Capitol Complex  
Charleston, WV 25305-0300  
(304) 558-0220

## Wisconsin

Dr. George L. Vogt, Director and State Historic  
Preservation Officer  
State Historical Society  
816 State Street

Madison, WI 53706  
(608) 264-6500

## Wyoming

Mr. Richard Curritt, Director  
Wyoming State Historic Preservation Office  
2301 Central Avenue, 3rd Floor  
Cheyenne, WY 82002  
(307) 777-7697

## National Park Service

Terrel Emmons  
Professional Services  
1849 C Street N.W.  
Washington, DC 20240  
(202) 208-3264

## OFFICE OF SURFACE MINING

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### Office of Surface Mining

U.S. Department of the Interior  
Director, Knoxville Field Office  
530 Gay Street, S.W., Suite 500  
Knoxville, TN 37902  
(423) 545-4103

U.S. Department of the Interior  
Director, Big Stone Gap Field Office  
Powell Valley Square Shopping Center  
1941 Neeley Road, Suite 201  
Compartment 116  
Big Stone Gap, VA 24219  
(540) 523-4303

U.S. Department of the Interior  
Director, Harrisburg Field Office  
415 Market Street, Suite 3C  
Harrisburg Transportation Center  
Harrisburg, PA 17101  
(717) 782-4036

U.S. Department of the Interior  
Director, Charleston Field Office  
1027 Virginia Street, East  
Charleston, WV 25301  
(304) 347-7162

U.S. Department of the Interior  
Western Regional Coordinating Center  
1999 Broadway, Suite 3320  
Denver, CO 80202-5733  
(303) 844-1401

U.S. Department of the Interior  
Director, Birmingham Field Office  
135 Gemini Circle, Suite 215  
Homewood, AL 35209  
(205) 290-7282

U.S. Department of the Interior  
Mid-Continent Regional Coordinating Center  
Alton Federal Building  
501 Belle Street, Room 216  
Alton, IL 62002  
(618) 463-6460

U.S. Department of the Interior  
1951 Constitution Avenue N.W.  
Washington, DC 20240

(202) 208-4006

U.S. Department of the Interior  
Director, Indianapolis Field Office  
575 North Pennsylvania Street, Room 301  
Indianapolis, IN 46204  
(317) 226-6700

U.S. Department of the Interior  
Director, Lexington Field Office  
2675 Regency Road  
Lexington, KY 40503-2922  
(859) 233-2494

U.S. Department of the Interior  
Director, Casper Field Office  
Federal Building  
100 East "B" Street, Room 2128  
Casper, WY 82601-1918  
(307) 261-6555

U.S. Department of the Interior  
Director, Tulsa Field Office  
5100 East Skelly Drive, Suite 470  
Tulsa, OK 74135  
(918) 581-6431

U.S. Department of the Interior  
Director, Albuquerque Field Office  
505 Marquette Avenue N.W., Suite 1200  
Albuquerque, NM 87102  
(505) 248-5070

U.S. Department of the Interior  
Appalachian Regional Coordinating Center  
Three Parkway Center  
Pittsburgh, PA 15220  
(412) 937-2828

## U.S. GEOLOGICAL SURVEY

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### REGIONAL OFFICES

#### California

(Western Region)  
Administrative Officer, WR  
345 Middlefield Road, MS-919

(Western Mapping Center)  
Alan M. Mikuni  
345 Middlefield Road, MS-531  
Menlo Park, CA 94025-3591  
(415) 329-4254

Menlo Park, CA 94025  
(415) 650-5102

(Western Region: Alaska, American Samoa,  
Arizona, California, Guam, Hawaii, Idaho,  
Nevada, Oregon, other Pacific Islands, Utah,  
Washington)

T. John Conomos, Regional Hydrologist  
345 Middlefield Road, MS-470  
Menlo Park, CA 94025-3591  
(415) 329-4414

#### Colorado

(Rocky Mountain Mapping Center)  
Randle W. Olsen  
Denver Federal Center, Building 810, Mail Stop  
508, Box 25046

# Appendix IV: Agency Regional and Local Office Addresses

Denver, CO 80225-0046  
(303) 202-4040

(Central Region-Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Wyoming)  
Dr. J. Larry Ludke, Regional Chief Biologist  
DFC Building, 020, Room A1419  
P.O. Box 25046, MS 300  
Denver, CO 80225  
(303) 236-2739 x 238

(Central Region)  
Administrative Officer, CR  
Federal Center, MS 911  
Denver, CO 80225  
(303) 236-5435

(Central Region: Colorado, Iowa, Kansas, Minnesota, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Wyoming)  
Dave J. Lystrom, Regional Hydrologist  
Mail Stop 406, Box 25046  
Denver Federal Center, Building 25  
Lakewood, CO 80225-0046  
(303) 236-5950, Ext. 0

## Georgia

(Southeastern Region: Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, Missouri, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Wanda C. Meeks, Regional Hydrologist  
Spalding Woods Office Park, Suite 160  
3850 Holcomb Bridge Road  
Norcross, GA 30092-2202  
(404) 409-7701

## Missouri

(Midcontinent Mapping Center)  
Max Ethridge  
1400 Independence Road, Mail Stop 300  
Rolla, MO 65401  
(573) 308-3800

## South Dakota

Earth Resources Observation Systems Data Center  
Donald T. Lauer  
Mundt Federal Building  
Sioux Falls, SD 57198  
(605) 594-6123

## Virginia

(Eastern Region)  
Administrative Officer, ER  
953 National Center  
Reston, VA 20192  
(703) 648-6662

(Northeastern Region: Connecticut, Delaware, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Wisconsin)

William Carswell, Jr., Regional Hydrologist  
433 National Center, Mail Stop 433  
Reston, VA 22092  
(703) 648-5813

Mapping Application Center  
Pat Dunham  
National Center, MS-567  
Reston, VA 20192  
(703) 648-6002

## Washington

(Western Region-Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, Washington)  
Dr. John D. Buffington, Regional Chief Biologist  
909 First Avenue, Suite 800  
Seattle, WA 98104  
(206) 220-4600

## West Virginia

(Eastern Region-Alabama, Connecticut, Delaware, Florida, Georgia, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Tennessee, Vermont, Virgin Islands, Virginia, West Virginia, Wisconsin)

Mr. Gregory Smith, Acting Regional Chief Biologist  
National Center, Room 4A100  
12201 Sunrise Valley Drive, MS 300  
Reston, VA 20192  
(703) 648-4060

## DEPARTMENT OF JUSTICE

### Arizona

Special Agent-in-Charge, Investigations, OIG  
10 East Broadway, Suite 105  
For letter mail: P.O. Box 471  
Tucson, AZ 85702-0471  
(520) 670-5243(520) 670-5246 FAX Use the same number for FTS

### California

Regional Audit Manager, Audit, OIG  
1200 Bayhill Drive, Suite 201  
San Bruno, CA 94066  
(650) 876-9220  
(650) 876-0902 FAX  
Use the same number for FTS

Special Agent, Investigations, OIG  
321 South Waterman Avenue, Room 108  
El Centro, CA 92243  
(760) 335-3549(760) 335-3534 FAX

Special Agent-in-Charge, Investigations, OIG  
330 North Brand Street, Suite 655  
Glendale, CA 91203  
(818) 543-1172  
(818) 637-5082 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG

1200 Bayhill Drive, Suite 220  
San Bruno, CA 94066  
(650) 876-9058  
(650) 876-9083 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG  
701 B Street, Suite 560  
San Diego, CA 92101  
(619) 557-5970  
(619) 557-6518 FAX  
Use the same number for FTS

## Colorado

Special Agent, Investigation, OIG  
Plaza of the Rockies  
111 South Tejon Street, Suite 312  
Colorado Springs, CO 80903  
(719) 635-2366  
(719) 635-4769 FAX

Assistant Regional Audit Manager, Audit, OIG  
The Chancery Building, 1120 Lincoln Street, Suite 1603  
Denver, CO 80203  
(303) 864-2000  
(303) 864-2004 FAX  
Use the same number for FTS

## Florida

Special Agent-in-Charge, Investigations, OIG  
3800 Inverrary Boulevard, Suite 312  
Ft. Lauderdale, FL 33319  
(954) 535-2859  
(954) 535-5436 FAX  
Use the same number for FTS

## Georgia

Special Agent, Investigations, OIG  
60 Forsyth Street, S.W., Suite 8M45  
Atlanta, GA 30303  
(404) 562-1980  
(404) 562-1960 FAX

Regional Audit Manager, Audit, OIG  
Richard B. Russell Federal Building  
75 Spring Street, Suite 1130  
Atlanta, GA 30303  
(404) 331-5928  
Use the same number for FTS  
(404) 331-5046 FAX

## Illinois

Regional Audit Manager, Audit, OIG  
CitiCorp Center  
500 West Madison Street, Suite 3510  
Chicago, IL 60661  
(312) 353-1203  
(312) 886-0513 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations OIG  
Citicorp Center  
500 West Madison Street, Suite 3510B  
For letter mail: P.O. Box 1802  
Chicago, IL 60690-1802  
(312) 886-7050

# Appendix IV: Agency Regional and Local Office Addresses

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(312) 886-7065 FAX

Use the same number for FTS

## Massachusetts

Special Agent Investigations, OIG  
U.S. Attorneys Office

Mailing Address

P.O. Box 2134

1 Courthouse Way, Room 9200

Boston, MA 02210

(617) 748-3218

(617) 748-3965 FAX

## New York

Special Agent-in-Charge, Investigations, OIG  
JFK Airport, North Boundary Road, Building #77,  
Penthouse #2

For letter mail: JFK Airport, P.O. Box 300999

Jamaica, NY 11430-0999

FTS (718) 553-7520

(718) 553-7533 FAX

Use the same number for FT

## Pennsylvania

Regional Audit Manager, Audit, OIG

701 Market Street, Suite 201

Philadelphia, PA 19106

(215) 580-2111

(215) 597-1348 FAX

Use the same number for FTS

## Texas

Special Agent-in-Charge, Investigations, OIG  
Texas Commerce Center

1701 West Business Highway 83, Suite 510

Bentsen Tower

McAllen, TX 78501

(956) 618-8145

(956) 618-8151 FAX

Use the same number for FTS

Regional Audit Manager, Audit, OIG

207 S. Houston Street, Box 4, Room 575

Dallas, TX 75202-4724

(214) 655-5000

(214) 655-5025 FAX

Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG

Bob Casey Federal Courthouse

515 Rusk Avenue, Suite 3307

Letter mail:

P.O. Box 610071

Houston, TX 77208-9998

(713) 718-4888

(713) 718-4706 FAX

Special Agent-in-Charge, Investigations, OIG

4050 Rio Bravo, Suite 200

El Paso, TX 79902

(915) 577-0102

(915) 577-9012 FAX

Use the same number for FTS

Special Agent, Investigations, OIG

207 South Houston Street, Box 5, Room 551

Dallas, TX 75202-4724

(214) 655-5076

(214) 655-5071 FAX

## Washington

Special Agent, Investigations, OIG  
620 Kirkland Way, Suite 104

Kirkland, WA 98033-6021

(425) 828-3998

(425) 827-2183 FAX

Use the same number for FTS

## Washington, DC

Special Agent-in-Charge, Investigations, OIG  
1425 New York Avenue, N.W., Suite 7100

For letter mail: P.O. Box 27718

Washington, DC 20038-7718

(202) 616-4760

(202) 616-9881 FAX

Use the same number for FTS

Regional Audit Manager (Washington), Audit,  
OIG

1425 New York Avenue, N.W., Suite 6100

Washington, DC 20530

(202) 616-4688

(202) 616-4581 FAX

Use the same number for FTS

Fraud Detection Unit

Special Agent, Investigations, OIG

1425 New York Avenue, N.W., Suite 7100

Washington, DC 20530

(202) 616-4760

(202) 616-9881 FAX

## COMMUNITY RELATIONS SERVICE

---

### Detroit

(Michigan)

211 West Fort Street, Room 1404

Detroit, MI 48226

(313) 226-4010

### Houston

(Texas)

515 Rusk Avenue, Room 12605

Houston, TX 77002

(713) 718-4861

### Miami

(Florida)

51 First Avenue, S.W., Room 624

Miami, FL 33130

(305) 536-5206

### Region I

(Connecticut, Maine, Massachusetts, New

Hampshire, Rhode Island, Vermont)

408 Atlantic Avenue, Suite 222

Boston, MA 02110

(617) 424-5715

### Region II

(New Jersey, New York, Puerto Rico, Virgin  
Islands)

Room 36-118

26 Federal Plaza

New York, NY 10278

(212) 264-0700

### Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

2nd and Chestnut Street, Room 208

Philadelphia, PA 19106

(215) 597-2344

### Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)

75 Piedmont Avenue N.E., Room 900

Atlanta, GA 30303

(404) 331-6883

### Region IX

(Arizona, California, Guam, Hawaii, Nevada)

888 South Figueroa Street, Suite 1880

Los Angeles, CA 90017

(213) 894-2941

### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

55 West Monroe Street, Room 420

Chicago, IL 60603

(312) 353-4391

### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

1420 West Mockingbird Lane, Suite 250

Dallas, TX 75247

(214) 655-8175

### Region VII

(Iowa, Kansas, Missouri, Nebraska)

1100 Main Street, Suite 1320

Kansas City, MO 64105

(816) 426-7434

### Region VIII

(Colorado, Montana, North Dakota, South Dakota,  
Wyoming, Utah)

1244 Speer Boulevard, Suite 650

Denver, CO 80204-3584

(303) 844-2973

### Region X

(Alaska, Idaho, Oregon, Washington)

915 Second Avenue, Room 1808

Seattle, WA 98174

(206) 220-6700

### San Francisco

(California)

120 Howard Street, Suite 790

San Francisco, CA 94105

(415) 744-6565

## DRUG ENFORCEMENT ADMINISTRATION

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RESEARCH HEADQUARTERS

# Appendix IV: Agency Regional and Local Office Addresses

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## **Atlanta Field Division**

75 Spring Street, S.W., Room 740, A53  
Atlanta, GA 30303

## **Boston Field Division**

JFK Federal Bldg., Room E-400  
15 Sudbury Street  
Boston, MA 02203-0402

## **Caribbean Division**

Metro Office Park  
Building 17  
Guaynabo, PR 00968

## **Chicago Field Division**

230 South Dearborn Street, Suite 1200  
Chicago, IL 60604

## **Dallas Field Division**

10160 Technology Boulevard  
East Dallas, TX 75220-4343

## **DEA/EPIC**

11339 SSG Sims Street  
El Paso, TX 79908-8098

## **Denver Field Division**

115 Inverness Drive, East  
Englewood, CO 80112-5116

## **Detroit Field Division**

431 Howard Street  
Detroit, MI 48226

## **El Paso Division**

600 South Mesa Hills Drive  
El Paso, TX 79912

## **Houston Field Division**

1433 West Loop South, Suite 600  
Houston, TX 77027-9506

## **Los Angeles Field Division**

Edward Royal Federal Building  
225 East Temple Street, 20th Floor  
Los Angeles, CA 90012

## **Miami Field Division**

8400 N.W. 53rd Street  
Miami, FL 33166

## **Mid-Atlantic Laboratory**

460 New York Avenue NW  
Washington, DC 20532-0001

## **New Orleans Field Division**

3838 North Causeway Boulevard  
Three Lakeway Center, Suite 1800  
Metairie, LA 70002

## **New York Field Division**

99 10th Avenue  
New York, NY 10011

## **Newark Field Division**

80 Mulberry Street, 2nd Floor  
Newark, NJ 07102-4206

## **North Central Laboratory**

536 South Clark Street, Room 800  
Chicago, IL 60605

## **Northeast Laboratory**

99 Tenth Avenue, Room 721  
New York, NY 10011

## **Office of Training**

Drug Enforcement Administration  
FBI Academy, P.O. Box 1475  
Quantico, VA 22134-1475

## **Philadelphia Field Division**

600 Arch Street, Room 10224  
Philadelphia, PA 19106

## **Phoenix Field Division**

Westmount Place  
3010 North 2nd Street, Suite 301  
Phoenix, AZ 85012

## **San Diego Field Division**

4560 Viewridge Avenue  
San Diego, CA 92123-1672

## **San Francisco Field Division**

450 Golden Gate Avenue  
San Francisco, CA 94102

## **Seattle Field Division**

400 Second Avenue, West  
Seattle, WA 98119-4140

## **South Central Laboratory**

1880 Regal Row  
Dallas, TX 75235

## **Southeast Laboratory**

5205 N.W. 84th Avenue  
Miami, FL 33166

## **Southwest Laboratory**

410 West 35th Street  
National City, CA 91950

## **Special Testing & Research Laboratory**

3650 Concorde Parkway, Suite 200  
Chantilly, VA 20151

## **St. Louis Field Division**

7911 Forsythe Boulevard, Suite 500  
St. Louis, MO 63105

## **Washington, DC Field Division**

800 K Street, N.W., Suite 500  
Washington, DC 20001

## **Western Laboratory**

390 Main Street, Room 700  
San Francisco, CA 94105

## **FEDERAL BUREAU OF INVESTIGATION**

### **Region I**

(Connecticut, Maine, Massachusetts, New

Hampshire, Rhode Island, Vermont)

1 Center Plaza, Suite 600  
Boston, MA 02108-1801  
(617) 742-5533  
(617) 223-6000

Federal Office Building  
600 State Street  
New Haven, CT 06510-2020  
(203) 503-5000  
(203) 786-7000

### **Region II**

1 Gateway Center, 22nd Floor  
Newark, NJ 07102-9889  
(973) 792-3000  
(973) 792-3000

(New Jersey, New York, Puerto Rico, Virgin Islands)

James T. Foley Building  
200 McCarty Avenue  
Albany, NY 12209-2095  
(518) 465-7551  
(518) 431-7200

Jacob K. Javits, Federal Office Building  
26 Federal Plaza  
New York, NY 10278-0004  
(212) 384-1000  
(212) 384-1000

111 Greencourt Road  
Richmond, VA 23228-4948  
(804) 261-1044  
(700) 923-2000

FBI, Washington Metropolitan Field Office  
601 4th Street N.W.  
Washington, DC 20535-0002  
(202) 278-2000  
Use the same number for FTS

7142 Ambassador Road  
Baltimore, MD 21244-2754  
(410) 265-8080  
(410) 281-0198

U.S. Federal Office Building  
150 Carlos Chardon, Room 526  
Hato Rey, PR 00918-1716  
(787) 754-6000  
(787) 754-3292

William J. Green, Jr.  
Federal Office Building  
600 Arch Street, 8th Floor  
Philadelphia, PA 19106-1675  
(215) 418-4500  
(215) 418-4000

One FBI Plaza  
Buffalo, NY 14202-2698  
(716) 856-7800  
(716) 843-4300

150 Corporate Boulevard  
Norfolk, VA 23502-4999  
(757) 455-0100  
(757) 455-0123

# Appendix IV: Agency Regional and Local Office Addresses

United States Post Office  
700 Grant Street, Suite 300  
Pittsburgh, PA 15219-1906  
(412) 471-2000  
(412) 456-9100

## Region IV

St. Louis Centre  
1 St. Louis Street, 3rd Floor  
Mobile, AL 36602-3930  
(334) 438-3674  
(334) 219-3555

16320 N.W. Second Avenue  
North Miami Beach, FL 33169-6508  
(305) 944-9101  
(305) 787-6100

400 South Tyron, Suite 900  
Wachovia Building  
Charlotte, NC 28285-0001  
(704) 377-9200  
(704) 331-4500

John J. Duncan, FOB  
710 Locust Street, Suite 600  
Knoxville, TN 37902-2537  
(865) 544-0751  
(865) 544-3500

2121 8th Avenue North, Room 1400  
8th Avenue North  
Birmingham, AL 35203-2396  
(205) 715-0300-FTS  
(205) 326-6166-FAX

EagleCrest Building  
225 North Humphreys Boulevard, Suite 3000  
Memphis, TN 38120-2107  
(901) 747-4300  
(901) 747-9739

151 West Park Boulevard  
Columbia, SC 29210-3857  
(803) 551-4200  
(803) 551-4209

Federal Office Building  
600 Martin Luther King Place, Suite 500  
Louisville, KY 40202-2231  
(502) 583-3941  
Use the same number for FTS

7820 Arlington Expressway, Suite 200  
Jacksonville, FL 32211-7499  
(904) 721-1211

Federal Office Building, Suite 1553  
100 West Capitol Street  
Jackson, MS 39269-1601  
(601) 948-5000  
(601) 360-7550

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
2635 Century Parkway, NE, Suite 400  
Atlanta, GA 30345-3112  
(404) 679-9000  
(404) 679-6100

Federal Office Building  
500 E. Zack Street, Room 610  
Tampa, FL 33602-3917  
(813) 273-4566  
(813) 272-8000

## Region IX

450 Golden Gate Avenue, 13th Floor  
San Francisco, CA 94102-9523  
(415) 553-7400  
(415) 553-2000

Suite 400, 201 East Indianola Avenue  
Midtowne Business Centre II  
Phoenix, AZ 85012-2080  
(602) 279-5511  
(602) 650-3300

(American Samoa, Arizona, California, Guam,  
Hawaii, Nevada)  
Kalaniana'ole Federal Office Building  
300 Ala Moana Boulevard, Room 4-230  
Honolulu, HI 96850-0053  
(808) 566-4300  
(808) 566-4300

Federal Office Building  
9797 Aero Drive  
San Diego, CA 92123-1800  
(619) 565-1255  
(619) 514-5500

4500 Orange Grove Avenue  
Sacramento, CA 95841-4205  
(916) 481-9110  
(916) 977-2200

John Lawrence Bailey Building  
700 East Charleston Boulevard  
Las Vegas, NV 89101-1545  
(702) 385-1281  
(700) 545-0110

Federal Office Building  
11000 Wilshire Boulevard, Suite 1700  
Los Angeles, CA 90024-3672  
(858) 565-1255  
(858) 514-5500

## Region V

Federal Office Building  
1240 East 9th Street, Room 3005  
Cleveland, OH 44199-9912  
(216) 522-1400  
(216) 622-6600

575 North Pennsylvania Street, Room 679  
Federal Office Building  
Indianapolis, IN 46204-1585  
(317) 639-3301  
(317) 321-6100

Everett McKinley Dirksen Federal Office Building  
219 S. Dearborn Street, Room 905  
Chicago, IL 60604-1702  
(312) 431-1333  
(312) 786-2500  
111 Washington Avenue South S-1100  
Minneapolis, MN 55401-2176

(612) 376-3200

Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

FOB, 550 Main Street, Room 9000  
Cincinnati, OH 45202-8501  
(513) 421-4310  
(513) 562-5600

Patrick V. McNamara Federal Office Building  
477 Michigan Avenue, 26th Floor  
Detroit, MI 48226-2598  
(313) 965-2323  
(313) 237-4355

400 West Monroe Street, Suite 400  
Springfield, IL 62704-1800  
(217) 522-9675  
(217) 535-4400

330 East Kilbourn Avenue, Suite 600  
Milwaukee, WI 53202-6627  
(414) 276-4684  
(414) 291-4899

## Region VI

U.S. Post Office and Courthouse Building  
615 East Houston Street, Suite 200  
San Antonio, TX 78205-9998  
(210) 225-6741  
(210) 978-5400

2500 East T. C. Jester  
Houston, TX 77008-1300  
(713) 693-5000  
(713) 693-3800

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

415 Silver Avenue S.W., Suite 300  
Albuquerque, NM 87102  
(505) 224-2000

Use the same number for FTS

2901 Leon C. Simon Boulevard  
New Orleans, LA 70126-1061  
(504) 816-3000  
(504) 816-3000

Two Financial Centre, Suite 200  
10825 Financial Centre Parkway  
Little Rock, AR 72211-3552  
(501) 221-9100  
(501) 228-8400

1801 North Lamar, Suite 300  
Dallas, TX 75202-1795  
(214) 720-2200  
(214) 922-7475

600 South Mesa Hills Drive, Suite 3000  
El Paso, TX 79912-5533  
(915) 832-5000  
Use the same number for FTS

3301 W. Memorail Road  
Oklahoma City, OK 73134  
(405) 290-7770  
(405) 290-3875

## Region VII

# Appendix IV: Agency Regional and Local Office Addresses

(Iowa, Kansas, Missouri, Nebraska)  
2222 Market Street, Room 2704  
St. Louis, MO 63103-2516  
(314) 231-4324  
(314) 589-2500

Federal Office Building  
10755 Burt Street  
Omaha, NE 68114-2000  
(402) 493-8688  
(402) 492-3700

U.S. Courthouse, Room 300  
1300 Summitt  
Kansas City, MO 64105-1362  
(816) 221-6100  
(816) 512-8200

## Region VIII

(Colorado, North Dakota, South Dakota, Utah,  
Wyoming)  
Federal Office Building  
1961 Stout Street, Suite 1823, 18th Floor  
Denver, CO 80294-1823  
(303) 629-7171  
(303) 628-3000

257 East 200 South, Suite 1200  
257 Towers Building  
Salt Lake City, UT 84111-2048  
(801) 579-1400  
(801) 579-4400

## Region X

Crown Plaza Building  
1500 S.W. 1st Avenue, Suite 400  
Portland, OR 97201-5828  
(503) 224-4181  
(503) 552-5200

Federal Office Building  
915 Second Avenue, Room 710  
Seattle, WA 98101  
(206) 262-2000  
(700) 391-8760

(Alaska, Idaho, Oregon, Washington)  
101 East Sixth Avenue  
Anchorage, AK 99501-2523  
(907) 276-4441  
(907) 258-5322

## IMMIGRATION & NATURALIZATION SERVICE

### NATURALIZATION INFORMATION

#### Alabama

Mobile Port of Entry  
P.O. Box 1526  
Mobile, AL 36601  
(334) 441-5135

Mobile Border Patrol  
P.O. Box 1526  
Mobile, AL 36633  
(334) 441-6139

#### Alaska

Eagle Port of Entry

C/O Postmaster Box 1  
Eagle, AK 99738  
(907) 547-2211

Nome Port of Entry  
P.O. Box 281  
Nome, AK 99762  
(907) 443-2065

Anchorage International Airport P.O. Box 19068  
4601 Sattelite Drive  
Anchorage, AK 99519-0688  
(907) 243-1400

Ketchikan Port of Entry  
111 Main Street  
Ketchikan, AK 99840  
(907) 225-2380

Dutch Harbor Port of Entry  
2315 Airport Beach Road, Room 205  
P.O. Box 750  
Dutch Harbor, AK 99692  
(907) 581-4114

Anchorage District Office  
620 East 10th Avenue, Suite 102  
Anchorage, AK 99501-3701  
(907) 271-3524

Gambell Port of Entry  
P.O. Box 1  
Gambell, AK 99742  
(907) 985-5211

Skagway Port of Entry  
Klondike Highway Border Station  
P.O. Box 475  
Skagway, AK 99840-0475  
(907) 983-3144

Prince Rupert, BC Canada  
Alaska Marine Highway Terminal  
C/O 111 Main Street  
Ketchikan, AK 99840  
(604) 624-3833

Dalton's Cache Port of Entry  
Mile 40 Haines Highway  
P.O. Box 1509  
Haines, AK 99827-1509  
(907) 767-5580

Turner Port of Entry  
P.O. Box 1221  
Tok, AK 99780  
(907) 774-2242

Fairbanks Port of Entry  
6450 Old Airport Way  
Fairbanks, AK 99709  
(907) 474-0307

#### Arizona

Eloy Processing Center  
4465 E. Hanna Road, Suite 343  
Eloy, AZ 85231  
(520) 466-2000

San Luis Port of Entry  
Highway 95  
P.O. Box 448

San Luis, AZ 85349  
(520) 627-3591

Casa Grande Border Patrol  
396 Camino Mercado  
Casa Grande, AZ 85222  
(520) 836-7812

Florence Processing Center  
3250 North Pinal Parkway Avenue  
Florence, AZ 85232  
(520) 868-5862

Wellton Border Patrol  
29820 Frontage Road  
P.O. Box 128  
Wellton, AZ 85356  
(520) 785-9364

Naco Port of Entry  
106 "D" Street  
P.O. Box 277  
Naco, AZ 85620  
(520) 432-3111/2791

Lukeville Port of Entry  
Highway 85  
P.O. Box D  
Lukeville, AZ 85341  
(520) 387-6047

Naco Border Patrol  
2136 Naco Highway  
Bisbee, AZ 85603  
(520) 432-5121

Tucson Border Patrol Sector Headquarters  
1970 West Ajo Way  
Tucson, AZ 85713  
(520) 670-6871/6880

Douglas Border Patrol  
1051 Lawrence Street  
P.O. Box 1175  
Douglas, AZ 85608  
(520) 364-3991

Phoenix Border Patrol  
3006 W. Claredon Ave.  
Phoenix, AZ 85017  
(520) 670-6865

Yuma Border Patrol  
12122 S. Avenue A  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 726-8731

Douglas Port of Entry  
Pan American Ave. & First Street  
Douglas, AZ 85607  
(520) 364-5532/6479

Phoenix Sky Harbor Airport  
P.O. Box 63673  
Phoenix, AZ 85082-2673  
(602) 275-7745, 7763, 7785

Tucson Border Patrol  
2010 Ajo Way  
Tucson, AZ 85713  
(520) 670-6865

## Appendix IV: Agency Regional and Local Office Addresses

Willcox Border Patrol  
200 W. Downen St.  
P.O. Box 909  
Willcox, AZ 85644-0909  
(520) 384-2412

Sasabe Port of Entry  
Federal Inspection Building  
P.O. Box 326  
Sasabe, AZ 85633-0326  
(520) 823-4230

Ajo Border Patrol  
850 North Tucson - Ajo Hwy. 86  
P.O. Drawer "J"  
Ajo/Highway, AZ 85321  
(520) 387-7002

Phoenix District Office  
2035 North Central Avenue  
Phoenix, AZ 85004-1548  
(602) 514-7799

Nogales Border Patrol  
1500 W. La Quinta Road  
Nogales, AZ 85621  
(520) 377-6000

Sonoita Border Patrol  
Highway 82 and 83  
P.O. Box 37  
Sonoita, AZ 85637-0037  
(520) 455-5051

Yuma Border Patrol Sector Headquarters  
350 West 1st Street  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 782-9548

### **Bahamas**

Freeport Bahamas Sub-Office  
P.O. Box F-2664  
Freeport Grand Bahama, Bahamas  
(809) 352-5586

### **California**

Indio Border Patrol  
45-620 Commerce Street  
Indio, CA 92201  
(760) 347-3658

Fresno Border Patrol Station  
4367 North Golden State Boulevard  
Fresno, CA 93722  
(209) 487-5506

Campo Border Patrol  
3 Forest Gate Road  
P.O. Box 68  
Campo, CA 91906  
(619) 557-6144

Long Beach Seaport Unit  
501 W. Ocean Boulevard, Suite 6300  
Long Beach, CA 90802  
(310) 980-3400

Tecate Port of Entry  
P.O. Box 219

Tecate, CA 92080-0219  
(619) 478-5029

Fresno Sub-Office  
865 Fulton Mall  
Fresno, CA 93721-2816  
(209) 487-5126

Calexico Port of Entry  
200 East 1st Street  
P.O. Box 1780  
Calexico, CA 92231  
(619) 357-1189, 7968, 1143

San Francisco International Airport  
P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Francisco, CA 94128  
(415) 876-2876

Ota Mesa Port of Entry  
2500 Paseo International  
P.O. Box 439018  
San Diego, CA 92143-9018  
(619) 661-3249, 3231

Bakersfield Processing Center  
17635 Industrial Farm Road  
P.O. Box 81143  
Bakersfield, CA 93380  
(805) 861-4465

El Centro Border Patrol Sector Headquarters  
1111 North Imperial Ave.  
El Centro, CA 92243-1795  
(619) 352-3241

Oxnard Border Patrol  
275 Skyway Drive  
P.O. Box 88  
Camarillo, CA 93011  
(805) 482-8997

San Clemente Border Patrol  
I-5 Northbound Traffic Checkpoint  
P.O. Box 3188  
San Clemente, CA 92674  
(619) 557-5272

Boulevard Border Patrol  
39701 Avenue de Robles Verde  
P.O. Box 1320  
Boulevard, CA 92005  
(619) 766-4542

San Marcos Border Patrol  
126 South Pacific  
P.O. Box 5099  
San Marcos, CA 92069  
(619) 557-5589

San Ysidro Port of Entry  
720 San Ysidro Boulevard  
P.O. Box 439108  
San Diego, CA 92143-9018  
(619) 662-7314, 7240

Calexico East Port of Entry  
1699 E. Carr Road  
Calexico, CA 92231

(619) 768-2450

Ontario Airport  
222 E. Airport Drive  
Ontario, CA 91761  
(909) 395-8668, 8673

Oakland International Airport  
International Terminal  
1 Airport Drive  
Oakland, CA 94621  
(510) 273-7390

Riverside Border Patrol  
2060 Chicago Avenue, Suite A2  
Riverside, CA 92507  
(909) 686-4100

Stockton Border Patrol  
P.O. Box 2047  
Stockton, CA 95201  
(209) 946-6211, 6284

Sacramento Sub-Office  
650 Capital Mall  
Sacramento, CA 95814  
(916) 498-6460

San Jose International Airport  
C/O P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Jose, CA 95110  
(408) 291-7209

Long Angeles District Office  
300 North Los Angeles Street  
Los Angeles, CA 90012  
(213) 894-4627

Blythe Border Patrol  
16870 W. Hobsonway  
P.O. Box 836  
Blythe, CA 92226  
(619) 922-6715

Los Angeles International Airport  
380 Worldway, P.O. Box N-20  
Tom Bradley International Terminal, Lower Level  
Los Angeles, CA 90045  
(310) 215-2104, 2101 - Ext. #107, 103

Imperial Beach Border Patrol  
1802 Saturn Way  
P.O. Box 68  
Imperial Beach, CA 91933-0068  
(619) 662-7149

Andrade Port of Entry  
235 Andrade Road  
Winterhaven, CA 92283  
(619) 572-5350, 5184

Western Form Center  
5600 Rickenbacker Road  
Building 701 Bay A  
Bell, CA 90201  
(213) 526-7404

Temecula Border Patrol  
43136 Rancho Way  
P.O. Box 38



# Appendix IV: Agency Regional and Local Office Addresses

Temecula, CA 92593  
(909) 694-6871

Livermore Border Patrol Station  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-0371

San Jose Sub-Office  
280 S. First Street, Rm. 1150  
San Jose, CA 95113  
(408) 535-5174

Livermore Border Patrol Sector Headquarters  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-3770

Brown Field Border Patrol  
7560 Britannia Street  
San Diego, CA 92173  
(619) 661-3154

Salinas Border Patrol  
1636 East Alisal Street  
P.O. Box 218  
Salinas, CA 93902  
(408) 754-0633

Sacramento Border Patrol Station  
7000 Franklin Blvd.  
Bldg. 500, Suite 575  
Sacramento, CA 95823  
(916) 391-9087

Western Operations Region  
24000 Avila Road  
P.O. Box 30080  
Laguna Niguel, CA 92607-0080  
(714) 643-4236

San Pedro Processing Center  
2001 Seaside Avenue  
Terminal Island  
San Pedro, CA 90731  
(310) 732-0777

El Centro Border Patrol Station  
1081 North Imperial Avenue  
El Centro, CA 92243  
(760) 353-0541

Bakersfield Satellite Investigations  
800 Truxton Avenue, Room 317  
Bakersfield, CA 93301  
(805) 861-4478

El Centro Processing Center  
1115 North Imperial Ave.  
El Centro, CA 92243-1739  
(619) 353-2170

San Luis Obispo Border Patrol Station  
1170 Calle Joaquin  
P.O. Box 1486  
San Luis Obispo, CA 93406  
(805) 543-9490

San Francisco District Office  
630 Sansome Street  
San Francisco, CA 94111-2280  
(415) 705-3102

San Diego International Airport  
Lindbergh Field Airport  
3665 N. Harbor Drive  
San Diego, CA 92101  
(619) 298-2612

El Cajon Border Patrol  
225 Kenney Street  
El Cajon, CA 92020  
(619) 557-5072

San Diego District Office  
880 Front Street, Suite 1234  
San Diego, CA 92101-8834  
(619) 557-5645

## Colorado

Pueblo Port of Entry  
P.O. Box 1879  
Pueblo, CO 81002  
(719) 544-9369

Grand Junction Port of Entry  
255 Main Street  
Grand Junction, CO 81501  
(303) 243-5141

Denver District Office  
4730 Paris Street  
Albrook Center  
Denver, CO 80239-2804  
(303) 371-6213

## Connecticut

Hartford Sub-Office  
Ribicoff Federal Building  
450 Main Street  
Hartford, CT 06103-3060  
(203) 240-3052

## Florida

Orlando Border Patrol  
P.O. Box 440  
Winter Park, FL 32790-0440  
(407) 648-6081

Key West Sub-Office  
301 Simonton Street, Room 201  
Mail: P.O. Box 86  
Key West, FL 33041  
(305) 296-2233

Miami District Office  
7880 Biscayne Boulevard  
Miami, FL 33138  
(305) 762-3405

West Palm Beach Sub-Office  
301 N. Broadway  
Riviera Beach, FL 33404  
(561) 841-0498

Miami International Airport  
Concourse E, 3rd Floor  
P.O. Box 997895  
Miami, FL 33299-7895  
(305) 526-2612, 2626, 2851, 2930

Tampa Border Patrol  
1821B East Sahlman Drive

Tampa, FL 33605  
(813) 228-2156 or 2160

Miami Border Patrol Sector Headquarters  
7201 Pembroke Road  
Pembroke Pines, FL 33023  
(954) 963-9807

Key West Port of Entry  
Federal Building  
301 Simonton Street, Room 201  
Key West, FL 33040  
(305) 293-9150

Nassau, Bahamas Sub-Office, U.S. Immigration  
P.O. Box 599009  
Miami, FL 33159-9009  
(242) 377-7125

West Palm Beach Port of Entry  
4 East Port Road, Room 410  
Riviera Beach, FL 33419  
(407) 845-6898

Krome North Service Processing Center  
18201 S.W. 12th Street  
P.O. Box 160327, Snapper Creek Station  
Miami, FL 33194  
(305) 552-1845

Jacksonville Port of Entry  
Federal Building, G-18  
400 W. Bay Street  
Jacksonville, FL 32202  
(904) 232-2164

## Georgia

Atlanta District Office  
77 Forsyth Street S.W.  
Atlanta, GA 30303-0253  
(404) 331-0253

Savannah International Airport 33 Bull Street,  
Suite 505  
Savannah, GA 31401  
(912) 652-4460

Hartsfield International Airport Port of Entry  
P.O. Box 45527  
Atlanta, GA 30320  
(404) 763-7816

## Guam

Guam International Airport  
Sirena Plaza, Suite 100  
108 Hernan Cortez Avenue  
Agana, GU 96910  
(671) 642-7611

## Hawaii

Honolulu District Office  
595 Ala Moana Boulevard  
Honolulu, HI 96813  
(808) 532-3748/3746

Honolulu International Airport  
300 Rodgers Boulevard  
Terminal Box 50  
Honolulu, HI 96819  
(808) 861-8401, 8406, 8400, 8409

# Appendix IV: Agency Regional and Local Office Addresses

## Idaho

Eastport Port of Entry  
P.O. Box 8  
Highway 95  
Eastport, ID 83826  
(208) 267-2183, 3745

4620 Overland Road  
Room 108  
Boise, ID 83705  
(208) 334-1822

Porthill Port of Entry  
P.O. Box 40  
Porthill, ID 83853  
(208) 267-5309

## Illinois

Chicago District Office  
10 West Jackson Boulevard, Suite 600  
Chicago, IL 60604  
(312) 385-1900

## Indiana

Indianapolis Sub-Office  
Gateway Plaza, Room 400  
950 North Meridan Street  
Indianapolis, IN 46204  
(317) 226-6181

## Kansas

Garden City Port of Entry  
Box 1239  
1404 E. Fulton  
Garden City, KS 67846  
(316) 275-1054

Wichita Port of Entry  
625 North Winterset  
Wichita, KS 67212  
(316) 945-9741

## Kentucky

Louisville Sub-Office  
Room 604  
Gene Snyder Courthouse  
601 West Broadway  
Louisville, KY 40202  
(502) 582-6526

## Louisiana

New Orleans Border Patrol Sector Headquarters  
3819 Patterson Drive  
P.O. Box 6218  
New Orleans, LA 70174  
(504) 589-6107

New Orleans International Airport  
900 Airline Highway  
Kenner, LA 70062  
(504) 589-3949

New Orleans District Office  
Postal Services Building  
701 Loyola Avenue, Room T-8011  
New Orleans, LA 70113  
(504) 589-6521

Oakdale Processing Center  
207 E. 5th Avenue  
P.O. Box 5095  
Oakdale, LA 71463  
(318) 335-0713

Lake Charles Border Patrol  
P.O. Box 868  
Lake Charles, LA 70601  
(318) 477-9245

Baton Rouge Border Patrol  
P.O. Box 338  
9522 Brookline Drive  
Baton Rouge, LA 70821  
(504) 389-0231

## Maine

Houlton Border Patrol Station  
P.O. Box 706  
Houlton, ME 04730  
(207) 532-9061

Fort Fairfield Port of Entry  
RR #1, Box 217  
Fort Fairfield, ME 04742  
(207) 473-7396

Van Buren Port of Entry  
International Bridge  
Bridge Street, P.O. Box 116  
Van Buren, ME 04785  
(207) 868-2202/3900

Madawaska Port of Entry  
2 Bridge Street  
Madawaska, ME 04756-1230  
(207) 728-4565

Van Buren Border Patrol  
P.O. Box 26  
Main Street  
Van Buren, ME 04785  
(207) 868-3900

Bar Harbor Port of Entry  
Marine Atlantic Ferry Terminal  
Eden Street  
Bar Harbor, ME 04609  
(207) 288-4675

Fort Fairfield Border Patrol  
205 Main Street  
P.O. Box 410  
Fort Fairfield, ME 04742  
(207) 472-5041

Bridgewater Port of Entry  
RFD Rt. 1, Box 42  
Boundary Line Road  
Bridgewater, ME 04735  
(207) 425-4502

Calais Port of Entry  
Border Inspection Station  
1 Main Street  
P.O. Drawer 421  
Calais, ME 04619  
(207) 454-2546

Hamlin Port of Entry

H.C. 62, Box 63  
Van Buren, ME 04785  
(207) 868-0966

Lubec Port of Entry  
Federal Building  
U.S. Post Office & Border Station  
Washington Street & Campobello Bridge  
Lubec, ME 04652  
(207) 733-4960

Jackman Port of Entry  
Star Route 76  
Box 629  
Jackman, ME 04945  
(207) 668-3771

Limestone Port Of Entry  
R.F.D. 1, Box 258  
Limestone, ME 04750-9729  
(207) 325-4760

Vanceboro Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box C  
Water Street  
Vanceboro, ME 04491  
(207) 788-3813

Fort Kent Port of Entry  
98 West Main Street  
Fort Kent, ME 04743-1016  
(207) 834-3223

Coburn Gore Port of Entry  
Star Route 73  
P.O. Box 35  
Eustis, ME 04936  
(207) 297-2771

Calais Border Patrol  
One Main Street  
P.O. Box 245  
Calais, ME 04619  
(207) 454-3613

Bangor Port of Entry  
267A Godfrey Boulevard  
P.O. Box 677  
Bangor, ME 04402-0677  
(207) 945-0334

Jackman Border Patrol  
P.O. Box 608  
Nickels Road  
24 hours  
Jackman, ME 04945  
(207) 668-3151

Houlton Port of Entry  
P.O. Box 189  
Interstate 95  
Houlton, ME 04730  
(207) 532-2906

Houlton Border Patrol Sector Headquarters  
Route 1, Calais Road  
P.O. Box 706  
24 Hours  
Houlton, ME 04730  
(207) 532-6521/6522

# Appendix IV: Agency Regional and Local Office Addresses

## Maryland

Baltimore District Office  
Fallen Federal Building  
31 Hopkins Plaza  
Baltimore, MD 21201  
(410) 962-2010

## Massachusetts

Boston Service Processing Center  
427 Commercial Street  
Boston, MA 02109  
(617) 223-3090/3089/3088

Boston District Office  
John F. Kennedy Federal Building  
Government Center, Room 1700  
Boston, MA 02203  
(617) 565-4214

## Michigan

Port Huron Port of Entry  
2321 Pinegrove Avenue  
Port Huron, MI 48060  
(810) 982-0493

Port Huron Border Patrol  
2112 River Road  
Marysville, MI 48040  
(810) 364-6041

Sault Ste. Marie Port of Entry  
Immigration and Naturalization Service  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-8822

Algonac Port of Entry  
202 Fruit Street  
Algonac, MI 48001  
(810) 794-3321

Detroit City Airport  
11499 Conner  
Room 138C  
Detroit, MI 48213  
(313) 521-8430

Trenton Border Patrol  
23100 West Road  
P.O. Box 206  
Trenton, MI 48183  
(313) 676-2972

Grand Rapids Border Patrol  
P.O. Box 1678  
100 W. 7th St.  
Holland, MI 49422-1678  
(616) 392-4070

Detroit International Bridge  
3033 Porter  
Detroit, MI 48216  
(313) 963-4408

Detroit Metro Airport  
International Terminal  
Romulus, MI 48242  
(313) 955-6293

Sault Ste. Marie Border Patrol

P.O. Box 141  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-3383

District/Canada Tunnel  
150 E. Jefferson Avenue  
Detroit, MI 48226  
(313) 568-6019

## Minnesota

Grand Portage Port of Entry  
Highway 61  
Grand Portage, MN 55605  
(218) 475-2494

Warroad Border Patrol  
P.O. Box 24, Highway 11  
Warroad, MN 56763  
(218) 386-1802

Grand Marais Border Patrol  
P.O. Box 685, Highway 61 East  
Grand Marais, MN 55604  
(218) 387-1770

Pine Creek Port of Entry  
Highway 89  
Star Route 5  
Roseau, MN 56751  
(218) 463-1952

International Falls Border Patrol  
Immigration Naturalization Service  
1412 Hwy. 11-71 West  
International Falls, MN 56649  
(218) 283-2461

Ely Port of Entry  
P.O. Box 28  
Ely, MN 55731  
(218) 365-3262

St. Paul District Office  
2901 Metro Drive, Suite 100  
Bloomington, MN 55425  
(612) 335-2211

Noyes Port of Entry  
Immigration and Naturalization Service  
Rural Route 1, Box 110  
Noyes, MN 56740  
(218) 823-6291

Crane Lake Port of Entry  
7544 Gold Coast Road  
Crane Lake, MN 55725  
(218) 993-2321

Warroad Port Of Entry  
H.C. 02 P.O. Box 245  
Warroad, MN 56763  
(218) 386-1676

Duluth Port of Entry  
U.S. Courthouse & Custom House  
Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5207

Roseau Port of Entry

Route 1, Box 31 - Highway 310 N  
Roseau, MN 56751  
(218) 463-2054

International Falls  
2 Second Avenue  
International Falls, MN 56649-2328  
(218) 283-8611

Pembina Border Patrol  
Rural Route 1  
P.O. Box 106  
Noyes, MN 56740  
(218) 823-6528, 6594

Duluth Border Patrol  
114 Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5465

Lancaster Port of Entry  
Route 1 Box 138 - Highway 59  
Lancaster, MN 56735  
(218) 762-4100

Baudette Port of Entry  
International Bridge  
P.O. Box 487  
Baudette, MN 56623  
(218) 634-2661

## Mississippi

Gulfport Port of Entry  
P.O. Box 1120  
Gulfport, MS 39501  
(601) 864-3029

Gulfport Border Patrol  
P.O. Box 4273  
Gulfport, MS 39502  
(228) 863-3582

## Missouri

Kansas City District Office  
9747 North Conant Avenue  
Kansas City, MO 64153  
(816) 891-0864

St. Louis International Airport  
P.O. Box 10406  
Lambert Field  
St. Louis, MO 63145  
(314) 425-7179

St. Louis Sub-Office  
Robert A. Young Federal Building  
1222 Spruce Street, Room 100  
St. Louis, MO 63103-2815  
(314) 539-2516

## Montana

Billings Border Patrol  
2601 1st Ave. N.  
P.O. Box 2298  
Billings, MT 59103  
(406) 247-7563

Loring Port of Entry  
Port of Morgan

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HC82, Box 9250  
Loring, MT 59537-9600  
(406) 674-5248

Roosville Port of Entry  
Immigration and Naturalization Service  
8395 Highway 93 North  
Eureka, MT 59917-9331  
(406) 889-3737

Sweetgrass Port of Entry  
Immigration and Naturalization Service  
P.O. Box 165 - Interstate 15  
Sweetgrass, MT 59484  
(406) 335-2911

Raymond Port of Entry  
P.O. Box 158  
Raymond, MT 59256  
(406) 895-2620

Eureka Border Patrol  
Highway 93 (JB Shopping Center)  
P.O. Box 909  
Eureka, MT 59917  
(406) 296-2938

Montana Chief Mountain Port of Entry  
P.O. Box 376  
via Babb, MT 59411  
(406) 732-4576

Scobey Port of Entry  
P.O. Box 2300  
Scobey, MT 59263  
(406) 783-5372

Havre Border Patrol Sector Headquarters  
2605 5th Avenue S.E.  
P.O. Box 112  
Havre, MT 59501  
(406) 265-6781

Havre Port of Entry  
Immigration and Naturalization Service  
Simpson Route  
Willow Creek Station  
Havre, MT 59501  
(406) 265-6781

Whitetail Port of Entry  
P.O. Box 38 - US Border Inspection Station  
Whitetail, MT 59276  
(406) 779-3531

Wild Horse Port of Entry  
Immigration and Naturalization Service  
Havre, MT 59501  
(406) 394-2371

Shelby Border Patrol  
P.O. Box 653  
906 Oilfield Ave.  
Shelby, MT 59474  
(406) 434-5588

Scobey Border Patrol  
P.O. Box 820  
Scobey, MT 59263  
(406) 487-2621

Opheim Port of Entry

P.O. Box 317  
Opheim, MT 59250  
(406) 724-3212

Willow Creek Port of Entry  
Simpson Route  
Havre, MT 59501  
(406) 398-5512

Plentywood Border Patrol  
P.O. Box 434  
Plentywood, MT 59254  
(406) 765-1852

Malta Border Patrol  
P.O. Box 36  
Malta, MT 59538  
(406) 654-2711

Piegan Port of Entry  
Immigration and Naturalization Service  
P.O. Box 109  
Babb, MT 59411  
(406) 732-9297

Del Bonita Port of Entry  
Del Bonita Star Route  
Cut Bank, MT 59427  
(406) 336-2130

## Nebraska

Nebraska Service Center  
850 S. Street  
P.O. Box 82521  
Lincoln, NE 68501-2521  
(402) 437-5464

Omaha District Office  
3736 South 132nd Street  
Omaha, NE 68144  
(402) 697-9152

## Nevada

Las Vegas Mecarren International Airport  
5757 Wayne Newton Boulevard  
Las Vegas, NV 89111  
(702) 388-6024

Boulder City Border Patrol  
P.O. Box 60928  
Boulder City, NV 89006-0928  
(702) 293-8507

Las Vegas Sub-Office  
3373 Pepper Lane  
Las Vegas, NV 89120  
(702) 388-6640

Reno Sub-Office  
1351 Coporate Boulevard  
Reno, NV 89502  
(702) 784-5186

## New Hampshire

Pittsburg Port of Entry  
Route #3  
P.O. Box 277  
Pittsburg, NH 03592  
(819) 656-2261

## New Jersey

Newark District Office  
Federal Building  
970 Broad Street  
Newark, NJ 07102  
(201) 645-2298

Newark International Airport  
Terminal B, SAT 3  
Newark, NJ 07114  
(201) 645-6589

## New Mexico

Truth or Consequences Border Patrol  
P.O. Box 3310  
Truth or Consequences, NM 87901  
(505) 744-5235

Deming Border Patrol  
P.O. Box 230  
Deming, NM 88031  
(505) 546-9036

Alamagordo Border Patrol  
1997 Hwy 54 South  
Alamagordo, NM 88310-7377  
(505) 437-6960

Columbus Port of Entry  
P.O. Box 307, Pershing Road  
Columbus, NM 88029  
(505) 531-2694, 95, 96

Albuquerque Sub-Office  
517 Gold Avenue, S.W.  
Room: 1010  
P.O. Box 567  
Albuquerque, NM 87103  
(505) 248-7357

Las Cruces Border Patrol  
3120 North Main  
Las Cruces, NM 88001  
(505) 527-6895

Lordsburg Border Patrol  
441 Duncan Highway, P.O. Box 459  
Lordsburg, NM 88045  
(505) 542-3221

Las Cruces Patrol Training Office  
2320 Temple Street  
Las Cruces, NM 88001  
(505) 524-4730

## New York

Service Processing Center  
201 Varrick Street, 4th Floor  
New York, NY 10014  
(212) 620-3441

Massena Port of Entry  
P.O. Box 195  
Roosevelt, NY 13683  
(315) 764-0310  
(315) 764-0677

Mooers Port of Entry  
Border Inspection Station  
State Route 22  
Mooers, NY 12958

# Appendix IV: Agency Regional and Local Office Addresses

|   |   |   |
|---|---|---|
| (518) 236-7116<br>Rouse Point Port of Entry<br>US Route 9B<br>Rouse Point, NY 12979<br>(518) 297-7521<br>Lewiston Port of Entry<br>1 Lewiston Queenston Bridge<br>Lewistown, NY 14092-1980<br>(716) 285-1676<br>Fort Covington Port of Entry<br>Border Inspection Station<br>Water Street<br>Fort Covington, NY 12937<br>(518) 358-2231<br>Chateaugay Port of Entry<br>Border Inspection Station<br>Star Route 374<br>Chateaugay, NY 12920<br>(518) 497-6772<br>John F. Kennedy International Airport<br>International Arrivals Building #50<br>Jamaica, NY 11430<br>(718) 553-1688<br>(718) 553-1689<br>New York District Office<br>26 Federal Plaza<br>New York, NY 10278<br>(212) 264-3911<br>Champlain Border Patrol<br>P.O. Box 1228<br>Ridge Road<br>Champlain, NY 12919<br>(518) 298-2531<br>Ogdensburg Border Patrol<br>127 North Water Street<br>Ogdensburg, NY 13669<br>(315) 393-1150/0100<br>Office of Inspector General<br>JFK Airport Station<br>P.O. Box 999<br>Jamaica, NY 11430<br>(718) 553-7520<br>Thousand Island Bridge Port of Entry<br>U.S. Immigration and Naturalization Service<br>46735 U.S. Interstate Route 81<br>Alexandria Bay, NY 13607-9796<br>(315) 482-2681/2065<br>Watertown Border Patrol<br>Post Office Building<br>P.O. Box 280<br>153 Arsenal Street<br>Watertown, NY 13601-0280<br>(315) 482-7556<br>Albany Sub-Office<br>U.S. Post Office & Customhouse<br>Room 220<br>445 Broadway<br>Albany, NY 12207<br>(518) 431-0339 | Cape Vincent Port of Entry<br>46735 U.S. Int. Route 81<br>Alexandria Bay, NY 13607-9796<br>(315) 654-2781, Ext. 8<br>Buffalo District Office<br>130 Delaware Avenue<br>Buffalo, NY 14202<br>(716) 846-4741, Ext. 8<br>Champlain Port of Entry<br>Border Inspection Station<br>234 West Service Road<br>Champlain, NY 12919<br>(518) 298-3221, 8433, or 2526<br>Burke Border Patrol<br>P.O. Box 125<br>Burke, NY 12917-0125<br>(518) 483-5941<br>Niagara Falls Border Patrol<br>1708 Lafayette Avenue<br>P.O. Box 281<br>Niagara Falls, NY 14305-0281<br>(716) 285-6444<br>Fulton Border Patrol Station<br>215 South First Street<br>Room 228<br>P.O.Box 70<br>Fulton, NY 13069-0070<br>(315) 598-8510<br>Trout River Port of Entry<br>Trout River<br>State Route 30<br>Via Constable, NY 12926<br>(518) 483-5021<br>Buffalo Border Patrol Sector Headquarters<br>U.S. Border Patrol<br>231 Grand Island Boulevard<br>Tonawanda, NY 14150-6502<br>(716) 551-4101<br>Niagara Falls Port of Entry<br>Rainbow Bridge<br>Niagara Falls, NY 14303<br>(716) 282-3141<br><b>North Carolina</b><br>Raleigh-Durham International Airport Port of Entry<br>P.O. Box 80216<br>Raleigh, NC 27623<br>(919) 840-5577<br>Wilmington Port of Entry<br>Alton Lennon Federal Building<br>Room 105<br>2 Princess Street<br>Wilmington, NC 28401<br>(910) 343-4876<br>Charlotte Sub-Office<br>6 Woodlawn Green, Room 138<br>Charlotte, NC 28217<br>(704) 344-6313<br><b>North Dakota</b> | Portal Border Patrol<br>P.O. Box 298<br>Portal, ND 58772<br>(701) 926-4111<br>Carbury Port of Entry<br>RR #1 Souris, ND<br>Carbury, ND 58783<br>(701) 228-2540<br>Sarles Port of Entry<br>Immigration and Naturalization Service<br>P.O. Box 67, Route 1<br>6 miles from Village of Sarles, ND 58372<br>(701) 697-5177<br>Antler Port of Entry<br>Immigration and Naturalization Service<br>RRI - Box 7<br>Antler, ND 58711<br>(701) 267-3321<br>Fortuna Port of Entry<br>Immigration and Naturalization Service<br>Hwy 85N, P.O. Box #37<br>Fortuna, ND 58844<br>(701) 834-2493<br>Neché Port of Entry<br>Hwy 18<br>Neché, ND 58265<br>(701) 886-7744<br>Pembina Port of Entry<br>Rural Route 1, P.O. Box 110<br>Noyes Pembina, ND 58271<br>(701) 825-6722<br>Walhalla Port of Entry<br>RR2, Box 145<br>Walhalla, ND 58282-9459<br>(701) 549-3233<br>Noonan Port of Entry<br>Noonan, ND 58765<br>(701) 926-5615<br>Ambrose Port of Entry<br>Immigration and Naturalization Service<br>State Highway 42<br>Rt. HC-1 Box 202<br>Ambrose, ND 58833<br>(701) 982-3211<br>Dunseith Port of Entry<br>Immigration and Naturalization Service<br>R.R. 1, Box 117<br>Dunseith, ND 58329<br>(701) 263-4513, 4460<br>Grand Forks International Airport<br>RR #2, Box 72<br>2787 Airport Drive<br>Highway 2 West<br>Grand Forks, ND 58203<br>(701) 772-3301<br>Hansboro Port of Entry<br>Box 237<br>Hansboro, ND 58339<br>(701) 266-5633 |
|---|---|---|

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Maida Port of Entry  
Immigration and Naturalization Service  
Hwy #1  
Maida, ND 58255  
(701) 256-5087

Northgate Port of Entry  
Flaxton, ND 58737  
(701) 596-3805

Hannah Port of Entry  
Hannah, ND 58239  
(701) 283-5271

Bottineau Border Patrol  
P.O. Box 6  
Bottineau, ND 58318  
(701) 228-3179

Sherwood Port of Entry  
Rural Route 2, Box 1D  
Sherwood, ND 58782  
(701) 459-2250

St. John Port of Entry  
Box 15, Rt. 1  
St. John, ND 58369  
(701) 447-3140

Grand Forks Border Patrol Sector Headquarters  
P.O. Box 12669 Zip: 58208-2669  
2320 S. Washington Street  
Grand Forks, ND 58201  
(701) 775-6259

Portal Port of Entry  
P.O. Box 8  
Portal, ND 58772  
(701) 926-4221

## Ohio

Cleveland District Office  
Anthony J. Celebreeze Federal Building  
1240 E. 9th Street, Room 1917  
Cleveland, OH 44199  
(216) 522-4766

Toledo Port of Entry  
Federal Office Building, Room 713  
234 Summit Street  
Toledo, OH 43604-1536  
(419) 259-6474

## Oklahoma

Oklahoma Sub-Office  
4149 Highline Boulevard, Suite 300  
Oklahoma City, OK 73108  
(405) 231-5928

## Oregon

Portland District Office  
511 N.W. Broadway  
Portland, OR 97209  
(503) 326-3962

Roseburg Border Patrol  
1036 S.E. Douglas  
P.O. Box 1728  
Roseburg, OR 97470  
(503) 440-4518

Coos Bay Port of Entry  
P.O. Box 209  
Coos Bay, OR 97420  
(503) 242-4785

Astoria Port of Entry  
P.O. Box 236  
Astoria, OR 97103  
(503) 325-3054

Portland International Airport  
P.O. Box 55067  
Portland, OR 97238-5067  
(503) 326-3409

## Pennsylvania

Philadelphia District Office  
1600 Callowhill Street  
Philadelphia, PA 19130  
(215) 656-7150

Pittsburgh Sub-Office  
INS/Department of Justice  
2130 Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-4457

## Puerto Rico

San Juan District Office  
U.S. Immigration and Naturalization Service  
P.O. Box 365068  
San Juan, PR 00936  
(787) 766-5514

Deferred Inspections  
U.S. Federal Building  
Room 380  
Chardon Street  
Hato Rey, PR 00918  
(809) 766-5000

Aquadilla Service Processing Center  
P.O. Box 250480  
Aquadilla, PR 00604-0480  
(787) 882-3565/3567/3568

Mayaguez Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box 2990, Marina Station  
Mayaguez, PR 00709-2990  
(809) 831-3440

San Juan International Airport  
P.O. Box 37900  
Isle Verde, PR 00937-0900  
(809) 253-4525

Ponce Port of Entry  
Immigration and Naturalization Service  
P.O. Box 173  
Playa Station  
Ponce, PR 00734-3173  
(809) 843-3220

District Director's Office  
Immigration and Naturalization Service  
New Federal Building, 3rd Floor  
Carlos Chardon Street  
Hato Rey, PR 00918

## Rhode Island

Providence Sub-Office  
200 Dyer Street  
Providence, RI 02903-3993  
(401) 528-5528, 5323

## South Carolina

Charleston Port of Entry  
Federal Building, Room 110  
334 Meeting Street  
Charleston, SC 29403  
(803) 727-4421

## Tennessee

Memphis Sub-Office  
245 Wagner Place  
Suite 250  
Memphis, TN 38103-3815  
(901) 544-4108

## Texas

Port Isabel Port of Entry  
Alien Processing Center (PIC)  
Route 3, Box 341  
Buena Vista Road  
Los Fresnos, TX 78566  
(210) 233-4431

Progreso Port of Entry  
International Bridge Route 2, Box 600  
Westlaco, TX 78596  
(210) 565-6304

Dallas Border Patrol  
2800 South Pipeline Road  
Euless, TX 76040  
(817) 540-0150

Midland Border Patrol Station  
P.O. Box 60405  
Midland, TX 79711  
(915) 561-8911

Comstock Border Patrol  
P.O. Box 700, Highway 85 East  
Comstock, TX 78837  
(915) 292-4450, 4680

Corpus Christi Border Patrol  
6809 Leopard Street  
P.O. Box 10344  
Corpus Christi, TX 78460-0344  
(512) 289-0552

Marfa Border Patrol Sector Headquarters  
P.O. Box 1  
300 Madrid Street  
Marfa, TX 79843  
(915) 729-4353

Harlingen Border Patrol  
901 Rangerville Road  
P.O. Box 642  
Harlingen, TX 78551  
(956) 427-8511

Brackettville Border Patrol  
P.O. Box 216  
802 West Spring Street

# Appendix IV: Agency Regional and Local Office Addresses

|  |  |  |
|--|--|--|
| Brackettville, TX 78832<br>(830) 563-2477  | Los Fresnos, TX 78566<br>(210) 548-2530  | Fort Hancock Port of Entry<br>P.O. Box 235   |
| Hidalgo Port of Entry<br>International Bridge<br>Hidalgo, TX 78557-3019<br>(210) 843-2201, 2202                              | Galveston Port of Entry<br>P.O. Box 388<br>Galveston, TX 77550<br>(409) 766-3581                                     | Fort Hancock, TX 79839<br>(915) 769-3810   |
| San Antonio International Airport<br>9800 Airport Boulevard<br>Terminal No. 1<br>San Antonio, TX 78216<br>(210) 826-6261     | Dallas Forth Worth Port of Entry<br>P.O. Box 610365<br>Dallas-Fort Worth, TX 75261<br>(214) 574-2141                 | Laredo Administrative Offices, Building #2<br>700 Zaragoza Street<br>P.O. Box 179<br>Laredo, TX 78042-0179<br>(210) 722-3283                     |
| Port Arthur Port of Entry<br>4550 Jimmy Johnson Boulevard, Suite 3<br>Port Arthur, TX 77642<br>(409) 727-3375                | Falfurrias Border Patrol<br>P.O. Box 479<br>Falfurrias, TX 78355<br>(512) 325-5616                                   | San Angelo Border Patrol<br>P.O. Box 61106<br>San Angelo, TX 76906<br>(915) 949-0139   |
| Mercedes Border Patrol<br>P.O. Box 125<br>623 International Boulevard<br>Mercedes, TX 78570<br>(956) 968-0602                | El Paso District Office<br>1545 Hawkins, Suite 167<br>El Paso, TX 79925<br>(915) 540-1700, 1701                      | Big Bend Park Border Patrol<br>P.O. Box 67<br>Big Bend, TX 79834<br>(915) 477-2287   |
| Rio Grande City Port of Entry<br>International Bridge, P.O. Box 278<br>Roma, TX 78584<br>(210) 487-2200 or<br>(210) 849-1676 | Dallas District Office<br>8101 North Stemmons Freeway<br>Dallas, TX 75247<br>(214) 655-3011                          | McAllen Border Patrol Sector Headquarters<br>Mail: P.O. Box 1179 Zip Code 78502<br>2301 South Main Street<br>McAllen, TX 78503<br>(210) 686-5496 |
| Brownsville Border Patrol<br>P.O. Box 5076<br>Brownsville, TX 78520<br>(956) 542-3585  | Presidio Port of Entry<br>International Bridge, P.O. Box 937<br>Presidio, TX 79845<br>(915) 229-3265, 3663           | Falcon Heights Port of Entry<br>International Dam, P.O. Box 278<br>Roma, TX 78584<br>(210) 848-5221  |
| Gateway to the American International Bridge #1<br>100 Convent Street<br>Laredo, TX 78040<br>(210) 722-2484                  | El Paso Border Patrol Sector Headquarters<br>8901 Montana Ave., P.O. Box 9578<br>El Paso, TX 79986<br>(915) 834-8350 | Los Ebanos Port of Entry<br>International Ferry<br>P.O. Box 399<br>Los Ebanos, TX 78565<br>(512) 485-2721  |
| McAllen Border Patrol<br>4201 W. Military Highway<br>McAllen, TX 78503<br>(956) 618-8163                                     | Sanderson Border Patrol<br>P.O. Box 628<br>Sanderson, TX 78268<br>(915) 345-2972                                     | Pharr Port of Entry<br>9910 S. Cage Boulevard, Suite C<br>Pharr, TX 78557-9723<br>(956) 783-4739, 4758   |
| Amarillo Border Patrol<br>P.O. Box 2287<br>Amarillo, TX 79105<br>(806) 324-2278  | Fort Hancock Border Patrol<br>P.O. Box 218<br>Fort Hancock, TX 79839<br>(915) 769-3978                               | San Antonio Border Patrol<br>5000 North Industrial Drive<br>San Antonio, TX 78268<br>(210) 521-7926  |
| San Antonio District Office<br>8940 Four Winds Drive<br>San Antonio, TX 78239<br>(210) 967-7109                              | Carrizo Springs Border Patrol<br>P.O. Box 194<br>Highway 85 East<br>Carrizo Springs, TX 78834<br>(830) 876-3557      | Processing Center<br>8915 Montana Avenue<br>El Paso, TX 79925<br>(915) 225-1941  |
| Juarez-Lincoln International Bridge #2<br>700 Zaragoza Street, Building #3<br>Laredo, TX 78042<br>(512) 722-5440             | Houston Intercontinental Airport<br>P.O. Box 60457<br>Houston, TX 77205<br>(713) 233-3700                            | Office of Inspector General<br>3 Butterfield Trail Boulevard<br>Suite 120<br>El Paso, TX 79906<br>(915) 534-7370                                 |
| Fabens Border Patrol<br>802 East Main<br>P.O. Box 908<br>Fabens, TX 79838<br>(915) 764-2417                                  | Brownsville International Airport<br>Brownsville, TX 78520<br>(210) 542-8296   | Abilene Border Patrol<br>P.O. Box 3076<br>555 Walnut Street<br>Abilene, TX 79604-3076<br>(915) 673-3010  |
| Rocksprings Border Patrol P.O. Box 576<br>Rocksprings, TX 78880<br>(830) 683-2255  | Austin Sub-Office<br>3708 South Second Street<br>P.O. Box 6496<br>Austin, TX 78704<br>(512) 482-7901, 7904           | Kingsville Border Patrol<br>Navel Air Station, Building 3731<br>Kingsville, TX 78363<br>(512) 592-3284   |
| Port Isabel Service Processing Center<br>Route 3, Box 341  | El Paso Port of Entry<br>Paso Del Norte Bridge<br>El Paso, TX 79901<br>(915) 534-6767                                | Hebbronville Border Patrol<br>802 North Sigrid Street  |

# Appendix IV: Agency Regional and Local Office Addresses

Hebbronville, TX 78361  
(512) 527-3256

Intelligence Center  
11339 SSG Sims Street  
El Paso, TX 79908-8098  
(915) 760-2031

Lubbock Border Patrol  
P.O. Box 1632, 1205 Texas Avenue  
Lubbock, TX 79408  
(806) 472-7355

Port Arthur Port of Entry  
2875 75th Street, Room 106  
Port Arthur, TX 77640  
(409) 727-3375

Rio Grand City Border Patrol  
2230 East Highway  
P.O. Box 481  
Rio Grand City, TX 78582  
(956) 487-2700

Port Isabel Border Patrol  
Route 3, Box 340  
Los Fresnos, TX 78566  
(956) 233-9554

Uvalde Border Patrol  
Industrial Park #30  
Uvalde, TX 78801  
(830) 278-7133

Fabens Port of Entry  
P.O. Box 908  
Fabens, TX 79838  
(915) 764-2419

Van Horn Border Patrol  
700 N.W. Access Road  
P.O. Box 368  
Van Horn, TX 79854  
(915) 283-2795

Amistad Dam Port of Entry  
P.O. Box 4060  
Del Rio, TX 78841-4060  
(210) 775-7213

Laredo Border Patrol Sector Headquarter  
207 W. Del Mar Boulevard  
Laredo, TX 78041  
(956) 723-4367

Laredo South Border Patrol Station  
Rural Route 3, P.O. Box USBP-SLS/L  
Laredo, TX 78043  
(210) 727-0644

Del Rio Border Station  
P.O. Box 2020, Qualia Drive  
Del Rio, TX 78841-2020  
(830) 703-2100

Alpine Border Patrol  
P.O. Box 958  
Alpine, TX 79831  
(915) 837-3550

Freer Border Patrol  
P.O. Box "W"  
Freer, TX 78357

(512) 394-7613

Cotulla Border Patrol  
692 Main Street  
Cotulla, TX 78014  
(830) 879-3051

Presidio Border Patrol  
P.O. Box 929  
Presidio, TX 79845  
(915) 229-3330

Fort Stockton Border Patrol  
P.O. Box 607  
Fort Stockton, TX 79735  
(915) 336-2468

Del Rio Border Patrol Sector Headquarters  
P.O. Box 2020  
Del Rio, TX 78841-2020  
(210) 703-2100

Zapata Border Patrol  
Lot C-2015  
U.S. Hwy 83 South  
P.O. Box 685  
Zapata, TX 78076-0685  
(210) 765-6395

Eagle Pass Port of Entry  
International Bridge, P.O. Box 4280  
Eagle Pass, TX 78852  
(210) 773-9205, 9206

Harlingen District Office  
2102 Teege Road  
Harlingen, TX 78550  
(210) 427-8691

Llano Border Patrol  
P.O. Box 134, 211 East Tarrant  
Llano, TX 78643  
(915) 247-4912

Brownsville Port of Entry  
1500 East Elizabeth Street, Room 203  
Brownsville, TX 78520  
(210) 546-1675

## Utah

5272 South College Drive, Suite 100  
Salt Lake City, UT 84123  
(801) 265-8807

## Vermont

Norton Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 117  
Norton, VT 05907  
(802) 822-5222

West Berkshire Port of Entry  
RFD #1 Box 1110  
Enosburg Falls, VT 05450  
(802) 933-2301

St. Albans Sub-Office  
Federal Building  
P.O. Box 328  
St. Albans, VT 05478

(802) 527-3191

Beecher Falls Port of Entry  
Border Inspection  
Route 102  
Beecher Falls, VT 05902  
(802) 266-3320

Beebe Plain Port of Entry  
Beebe Plain, VT 05823  
(802) 873-3151

Highgate Springs Port of Entry  
Border Inspection Station  
U.S. Route 7  
RFD Swanton, VT 05488  
(802) 868-3349

Pinnacle Port of Entry  
R.D. #1, Box 300  
Richford, VT 05476  
(802) 848-3319

Derby Line Port of Entry  
Route 91  
P.O. Box 367  
Derby Line, VT 05830  
(802) 873-3316

Richford Border Patrol  
Main Street  
P.O. Box 67  
Richford, VT 05476  
(802) 848-7713

Alburg Springs Port of Entry  
Alburg Springs, RR#2  
Alburg, VT 05440  
(802) 796-3704

Eastern Region Operations  
70 Kimball Avenue  
South Burlington, VT 05403-6813  
(802) 660-5000

Eastern Service Center  
75 Lower Welden Street  
St. Albans, VT 05479-0001  
(802) 527-3100

Newport Border Patrol  
P.O. Box 815  
Newport, VT 05855  
(802)334-6722

Beecher Falls Border Patrol  
P.O. Box 215  
24 hours  
Beecher Falls, VT 05902  
(802) 266-3035

Administrative Center  
70 Kimball Avenue  
South Burlington, VT 05403-6813  
(802) 660-1111

Richford Port of Entry  
Border Inspection Station  
RFD #1, Box 40  
Richford, VT 05476  
(802) 848-7766

Morses Line Port of Entry



# Appendix IV: Agency Regional and Local Office Addresses

RFD #1  
Morses Line, VT 05457  
(802)285-2214

North Troy Port Of Entry  
State Route 105  
North Troy, VT 05859  
(802) 988-2633

Swanton Border Patrol Sector Headquarters  
Grand Ave  
P.O. Box 705  
Swanton, VT 05488  
(802) 868-3361

East Richford Port of Entry  
RFD #1  
P.O. Box 1690  
East Richford, VT 05476  
(802) 848-3001

Swanton Border Patrol Station  
Route 78  
P.O. Box 209  
24 Hours  
Swanton, VT 05488  
(802) 868-3229/3320

Alburg Port of Entry  
U.S. Border Station  
State Route 225  
Alburg, VT 05440  
(802)796-3703

Canaan Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 129  
Canaan, VT 05903  
(802) 266-8994

Eastern Form Center  
P.O. Box 567  
Williston, VT 05495-0567  
(802) 951-6225

## Virgin Islands

Cruz Bay Port of Entry  
P.O. Box 450  
Cruz Bay  
St. John, VI 00831  
(340) 776-6390

Christiansted St. Croix, Port of Entry  
P.O. Box 1270 Kingshill  
Christiansted St. Croix, VI 00851  
(809) 778-6559/6300

Charlotte Amalie, St. Thomas, VI Sub-Office  
Nisky Center, First Floor, Suite 1A  
Charlotte Amalie St. Thomas, VI 00801  
(809) 774-1390

## Virginia

Norfolk Sub-Office  
5Norfolk Federal Building  
200 Granby Mall, Room 439  
Norfolk, VA 23510-1882  
(804) 441-3095

Washington District Office

4420 North Fairfax Drive  
Arlington, VA 22203  
(202) 307-1504

## Washington

Nighthawk Port of Entry  
Star Route  
Loomis, WA 98827  
(509) 476-2125

Lynden Border Patrol  
8334 Guide Meridian Road  
P.O. Box 708  
Lynden, WA 98264  
(360) 354-4118

Friday Harbor Port of Entry  
202 Front Street North  
Staff by Customs  
P.O. Box 1907  
Friday Harbor, WA 98250  
(206) 378-2080

Wenatchee Border Patrol  
93 Eastmont, McQuaig Bldg.  
P.O. Box 1825  
Wenatchee, WA 98807  
(509) 884-8893

Spokane Border Patrol  
N. 10710 Newport Highway  
Spokane, WA 99218

Seattle Sea Inspections  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-1246

Laurier Port of Entry  
Immigration and Naturalization Service  
Highway 395  
P.O. Box 40  
Laurier, WA 99146  
(509) 684-2100

Seattle District Office  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-0070

Sumas Port of Entry  
109 Cherry Street  
P.O. Box 99  
Sumas, WA 98295  
(360) 988-4781

Port Townsend Port of Entry  
Staffed by Customs)  
1322 Washington  
P.O. Box 951  
Port Townsend, WA 98368-0004  
(360) 385-3777

Longview Port of Entry  
P.O. Box 1027  
Longview, WA 98632  
(206) 423-5550

Bellingham Port of Entry  
104 W. Magnolia and Cornall Street, Room 207  
P.O. Box 2055

Bellingham, WA 98227  
(360) 676-8411 (Downtown)  
(360) 734-3520 (Airport)

Vancouver-BC Candada  
P.O. Box 450  
Point Roberts, WA 98281-0450  
(604) 278-3360, 3986, 2520

Boundary Port of Entry  
5338 North Port Juanita Road  
Colville, WA 99114  
(509) 732-4470

Oroville Border Patrol  
1105 Main Street  
P.O. Box 99  
Oroville, WA 98844-9726  
(509) 476-3622

Lynden Port of Entry  
9949 Guide Meridian Road  
Lynden, WA 98264  
(206) 354-6661

Blaine Port of Entry  
Immigration and Naturalization Service  
Peace Arch POE  
100 Peace Portal Drive  
Blaine, WA 98230  
(360) 332-8511

Blaine Border Patrol  
1580 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-4205

Oroville Port of Entry  
Route 1, Box 130  
Oroville, WA 98844  
(509) 476-2454, 3132

Spokane Airport  
691 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-4699

Ferry Port of Entry  
3559 Toroda Customs Bridge Road  
Curlw, WA 99118-9715  
(509) 779-4655 (Customs)

Bellingham Border Patrol  
2745 McLeod Rd.  
P.O. Box 31428  
Bellingham, WA 98228-3428  
(360) 733-8420

Frontier Port of Entry  
Immigration and Naturalization Service  
4939 Highway 25 North  
Northport, WA 99157  
(509) 732-4418

Port Angeles Border Patrol  
138 West First Street  
Port Angeles, WA 98362  
(360) 452-5970

Danville Port of Entry  
19130 North Highway 21

# Appendix IV: Agency Regional and Local Office Addresses

Danville, WA 99121-9704  
(509) 779-4860

Tacoma Port of Entry  
3600 Port Tacoma Road  
Suite 303  
P.O. Box 1296  
Tacoma, WA 98401  
(206) 922-0848

Yakima Port of Entry  
417 E. Chestnut  
P.O. Box 49  
Yakima, WA 98907  
(509) 575-5944

Blaine Border Patrol Sector Headquarters  
1590 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-7707, 7919

Spokane Sub-Office  
619 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-2761

Colville Border Patrol  
209 East Juniper Ave.  
P.O. Box 146  
Colville, WA 99114  
(509) 684-6272

Pacific Highway Port of Entry  
9950 Pacific Highway  
Blaine, WA 98230  
(360) 332-6091, 7237

Seattle Tacoma International Airport  
S. 178 and Pacific Highway  
Seattle, WA 98158  
(206) 553-0466, 2299

Metaline Falls Port of Entry  
P.O. Box 631  
Metaline Falls, WA 99153  
(509) 446-2572

## Washington, DC

Dulles International Airport  
P.O. Box 17775  
Washington, DC 20041  
(703) 661-5100

Immigration and Naturalization Service  
Headquarters  
425 I Street, NW  
Washington, DC 20536  
(202) 514-4316

## Wisconsin

Milwaukee Sub-Office  
Federal Building, Room 186  
517 East Wisconsin Avenue  
Milwaukee, WI 53202  
(414) 297-3161

## DEPARTMENT OF LABOR

DIVISION OF COAL MINE WORKERS'  
COMPENSATION

## Colorado

(Western United States)  
Kevin Peterson, DD  
1801 California Street, Suite 925  
Denver, CO 80202-2614  
(720) 264-3100

## Kentucky

(Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Tennessee)  
Brenda Jamison, SCE  
402 Campbell Way  
Spring Street  
Mt. Sterling, KY 40353  
(1-800-366-4628)

Harry Skidmore, DD  
334 Main Street, 5th Floor  
Pikeville, KY 41501  
(1-800-366-4599)

## Ohio

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Donald Dopps, Jr., DD  
1160 Dublin Road, Suite 300  
Columbus, OH 43215  
(1-800-347-3771)

## Pennsylvania

(Western Pennsylvania and Maryland)  
Colleen Smalley, DD  
1225 South Main Street  
Wellington Square, Suite 405  
Greensburg, PA 15601  
(1-800-347-3753)

(Central Pennsylvania and Virginia)  
Stuart Glassman, DD  
Penn Traffic Building, 2nd Floor  
319 Washington Street  
Johnstown, PA 15901  
(1-800-347-3754)

(Connecticut, Delaware, District of Columbia, Eastern Pennsylvania, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont)  
Maribeth Girton, DD  
S. Main Towers  
105 North Main Street, Suite 100  
Wilkes-Barre, PA 18701  
(1-800-347-3755)

## West Virginia

(Northern West Virginia)  
Loretta Bird, Supervisory CE  
Federal Building, Suite 3116  
425 Juliana Street  
Parkersburg, WV 26101  
(1-800-347-3751)

(Southern West Virginia)  
Robert Hardesty, DD  
Charleston Federal Center  
500 Quarrier Street, Suite 110  
Charleston, WV 25301

(1-800-347-3749)

DIVISION OF FEDERAL EMPLOYEES  
COMPENSATION

## Region I-Boston

Michael Harvill, DD  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2129

## Region II-New York

Jonathan Lawrence, DD  
201 Varick Street, Room 750  
New York, NY 10014  
(212) 337-2044

## Region III-Philadelphia

William J. Staarman, DD  
Curtis Center, Suite 715 East  
170 South Independence Mall West  
Philadelphia, PA 19106-3308  
(215) 861-5481

## Region IV-Jacksonville

William C. Franson, DD  
214 North Hogan Street, Suite 1006  
Jacksonville, FL 32202  
(904) 357-4725

## Region IX-San Francisco

Sharon Tyler, DD  
71 Stevenson Street, Suite 305  
San Francisco, CA 94105  
(415) 975-4162

## Region V-Chicago

Robert Sullivan, DD  
1240 East Ninth Street, Room 851  
Cleveland, OH 44199  
(216) 522-2092

Johnny Dawkins, DD  
230 Dearborn Street, 8th Floor  
Chicago, IL 60604  
(312) 596-7133

## Region VI-Dallas

Frances Memmolo, DD  
Federal Building  
525 South Griffin Street, Room 100  
Dallas, TX 75202  
(214) 767-2580

## Region VII-Kansas City

Charles O. Ketcham, Jr, DD  
City Center Square Building  
1100 Main Street, Suite 750  
Kansas City, MO 64105  
(816) 426-2195

## Region VIII-Denver

Shirley Bridge, DD  
1801 California Street, Suite 915  
Denver, CO 80202  
(720) 264-3007

## Region X - Seattle

# Appendix IV: Agency Regional and Local Office Addresses

Doris Carender, DD  
Federal Office Building  
1111 Third Avenue, Suite 615  
Seattle, WA 98101-3212  
(206) 553-5255

## Washington

LONGSHORE AND HARBOR WORKERS'  
COMPENSATION

### California

(District 18: Southern California)  
Eric Richardson, DD  
401 E. Ocean Boulevard, Suite 720  
Long Beach, CA 90802  
(562) 980-3578

(District 13: Arizona, Northern California,  
Nevada)  
Philip Williams, DD  
71 Stevenson Street, Room 1705, MA:  
P.O. Box 3770  
San Francisco, CA 94119-3770  
(415) 975-4274

### Florida

(District 6: Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Chris Gleasman, DD  
214 N. Hogan Street, Suite 1040  
Jacksonville, FL 32202  
(904) 357-4757

### Hawaii

(District 15: Hawaii, Pacific Area to 60 east  
longitude)  
Vacant  
300 Ala Moana Boulevard, Room 5-135  
P.O. Box 50209  
Honolulu, HI 96850  
(808) 541-1983

### Illinois

(District 10: Illinois, Indiana, Michigan,  
Minnesota, Ohio, Wisconsin, Iowa, Missouri,  
Nebraska, Kansas)  
Thomas C. Hunter, DD  
230 South Dearborn Street, Room 578  
Chicago, IL 60604  
(312) 596-7153

### Louisiana

(District 7: Arkansas, Louisiana)  
Michael Brewer, DD  
701 Loyola Avenue, Room 13032  
New Orleans, LA 70113  
(504) 589-2671

### Maryland

(District 4: District of Columbia, Maryland)  
John McTaggart, Acting DD  
31 Hopkins Plaza, Room 410-B  
Baltimore, MD 21201  
(410) 962-3677

### Massachusetts

(District 1: Connecticut, Maine, Massachusetts,  
New Hampshire, Rhode Island, Vermont)  
Marcia Finn, DD  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2103

### New York

(District 2: New Jersey, New York, Puerto Rico,  
Virgin Islands)  
Richard Robilotti, DD  
201 Varick Street, Room 750  
P.O. Box 249  
New York, NY 10014-0249  
(212) 337-2030

### Pennsylvania

(District 3: Delaware, Pennsylvania, West  
Virginia)  
John McTaggart, DD  
Curtis Center, Suite 790 West  
170 South Independence Mall West  
Philadelphia, PA 19106-3313  
(215) 861-5459

### Region X - Seattle

### Texas

(District 8: Oklahoma, New Mexico, Texas)  
Charles Lee  
8866 Gulf Freeway, Suite 140  
Houston, TX 77017  
(713) 943-1605

### Virginia

(District 5: Virginia)  
Basil Voultsides, DD  
200 Granby Mall  
Room 212  
Norfolk, VA 23510  
(757) 441-3071

### Washington

(District 14: Alaska, Colorado, Idaho, Oregon,  
Montana, North Dakota, South Dakota, Utah,  
Washington, Wyoming)  
Karen Staats, DD  
1111 3rd Avenue, Suite 620  
Seattle, WA 98101-3212  
(206) 553-4471

### Alabama

Linda Henderson  
Medical Forum Building  
950 22nd St North, Suite 660  
Birmingham, AL 35203  
(205) 731-0820

### Arizona

Sarah Nelson  
3221 N. 16th St., Suite 303  
Phoenix, AZ 85016

(602) 640-2960

### Arkansas

Joel Maltbia  
TCBY Tower, Suite 735  
425 West Capitol Avenue  
Little Rock, AR 72201  
(501) 324-5436

### California

Hector Sanchez  
34 Civic Center Plaza, Suite 406  
P.O. Box 12800  
Santa Ana, CA 92712  
(714) 836-2784

Vacant

Federal Building  
11000 Wilshire Boulevard, Suite 8103  
Los Angeles, CA 90024  
(310) 235-6800

Donna Onodera, RD  
U.S. Department of Labor, ESA/OWCP  
71 Stevenson Street, Suite 1705  
San Francisco, CA 94105  
(415) 975-4160

Angel Luevano  
1301 Clay Street, Suite 1080N  
Oakland, CA 94612  
(510) 637-2938

Vacant

5675 Ruffin Road, Suite 320  
San Diego, CA 92123  
(619) 557-6489

Alice Young  
60 South Market Street, Suite 410  
San Jose, CA 95113  
(408) 291-7384

### California/Los Angeles

Billy F. Beaver  
1055 E. Colorado Boulevard  
Suite 200  
Pasadena, CA 91106  
(626) 229-1000 (626) 229-1098 FAX

### Colorado

Robert Mansanares, RD  
U.S. Department of Labor, ESA/OWCP  
1801 California Street, Suite 920  
Denver, CO 80202-2614  
(720) 264-3160

### Connecticut

Jacqueline Currie  
135 High Street, Room 311  
Hartford, CT 06103  
(860) 240-4277

### District of Columbia

Betty Sledd-Stewart  
Riddell Building, Suite 422  
1730 K Street, N.W.  
Washington, DC 20006

# Appendix IV: Agency Regional and Local Office Addresses

---

(202) 254-2501

## Florida

Celso Peruyera  
Brickell Plaza Federal Building  
909 S.E. 1st Avenue, Suite 722  
Miami, FL 33131  
(305) 536-5670

Ronald Bailey  
1851 Executive Center Drive, Suite 200  
Jacksonville, FL 32207  
(904) 232-3073

Alice Webster  
Commodore Building, Suite 160  
3444 McCrory Place  
Orlando, FL 32803  
(407) 648-6181

Nancy Ricker, RD  
U.S. Department of Labor, ESA/OWCP  
214 North Hogan Street, Suite 1026  
Jacksonville, FL 32202  
(904) 357-4725

## Georgia

Millard Rutherford  
61 Forsyth Street., Room 7B65  
Atlanta, GA 30303  
(404) 562-2444

## Hawaii

Trent Williams  
300 Ala Moana Boulevard, Room 7326  
P.O. Box 50149  
Honolulu, HI 96850  
(808) 541-2933

## Illinois

Nancy Jenson, Acting RD  
U.S. Department of Labor, ESA/OWCP  
230 South Dearborn Street, Room 800  
Chicago, IL 60604  
(312) 596-7131

Patrick Nutter  
230 South Dearborn, Room 434  
Chicago, IL 60604  
(312) 596-7046

## Indiana

Phillip M. Stepteau  
429 N. Pennsylvania St., Room 308  
Indianapolis, IN 46204  
(317) 226-5860

## Kentucky

Carmen Rendon  
Mazzoli Federal Building, Room 185  
600 Martin Luther King Place  
Louisville, KY 40202  
(502) 582-6275

## Louisiana

Elizabeth Laiche  
701 Loyola Avenue, Room 13029  
New Orleans, LA 70113

(504) 589-6575

## Maryland

Victor S. Rodriguez  
Appraisers' Stores Building  
103 South Gay Street, Room 202  
Baltimore, MD 21202  
(410) 962-3572

## Massachusetts

Roger O'Campo  
JFK Federal Building, Room E-235  
Boston, MA 02203  
(617) 565-2055

Dorothy Reed, Deputy Regional Director  
U.S. Department of Labor, ESA/OWCP  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2130

## Michigan

Christopher S. Edwards  
Patrick V. McNamara Federal Building  
211 West Fort St., Room 1320  
Detroit, MI 48226  
(313) 226-3728

Christopher S. Edwards, Acting  
50 Louis Street N.W.  
2nd Floor, NW-c/o, Suite 300-HUD  
Grand Rapids, MI 49503  
(616) 456-2144

## Minnesota

Patricia Simpson  
Bridgeplace Building, Room 102  
220 Second Street South  
Minneapolis, MN 55401  
(612) 370-3177

## Mississippi

Vacant  
Millsaps Building, Suite 700  
201 West Capitol Street  
Jackson, MS 39201  
(601) 965-4668

## Missouri

Charles O. Ketcham, Jr. RD  
U.S. Department of Labor, ESA/OWCP  
City Center Square  
1100 Main Street, Suite 750  
Kansas City, MO 64105  
(816) 426-2196

## New Jersey

Dianne Robinson, Acting  
Diamond Head Building  
200 Sheffield Street, Room 102  
Mountainside, NJ 07092  
(201) 645-6104

Michele Hodge  
3131 Princeton Pike, Building 5, Room 203  
Lawrenceville, NJ 08648  
(609) 989-2380

## New Mexico

Ms. Terri Molina  
505 Marquette Avenue, N.W., Suite 810  
Albuquerque, NM 87102  
(505) 248-5015

## New York

Kenneth Hamlett, RD  
U.S. Department of Labor, ESA/OWCP  
201 Varick Street, Room 750  
New York, NY 10014  
(212) 337-2033

Ms. Mary Ellen Bentivogli  
Six Fountain Plaza, Suite 300  
Buffalo, NY 14202  
(716) 551-5065

Jacqueline Currie, Acting  
Leo W. O'Brien Federal Building, Room 740  
19 Aviation Road  
Albany, NY 12205  
(518) 435-0326

Stanley Wishnick  
26 Federal Plaza, Room 36-116  
New York, NY 10278  
(212) 264-7742

## North Carolina

Jerome Geathers  
800 Briar Creek Road  
Mart Office Building, Room BB-401  
Charlotte, NC 28205  
(704) 344-6113

Mary E. Akinkuotu  
300 Fayetteville Street Mall, Suite 121  
Raleigh, NC 27601  
(919) 856-4058

## Ohio

Ms. Sharon Barstow  
200 North High Street, Room 409  
Columbus, OH 43215  
(614) 469-5831

George Opsincs  
55 Renaissance Center  
1350 Euclid Street, Suite 350  
Cleveland, OH 44114  
(216) 522-7472

## Oklahoma

Richard Hernandez  
51 Yale Building  
5110 South Yale Avenue, Room 304  
Tulsa, OK 74135  
(918) 496-6772

## Oregon

Laura L. Worden  
Federal Office Building, Suite 1030  
1515 S.W. 5th Avenue  
Portland, OR 97201  
(503) 326-4112

## Pennsylvania

# Appendix IV: Agency Regional and Local Office Addresses

Jacqueline Bell  
Robert N.C. Nix Sr. Federal Building  
9th & Market Streets, Room 311  
Philadelphia, PA 19107  
(215) 597-4122

Mary Ann Sedlacek  
Federal Building, Room 1132  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-6330

R. David Lotz, RD  
U.S. Department of Labor, ESA/OWCP  
Curtis Center, Suite 780 West  
170 South Independence Mall West  
Philadelphia, PA 19106-3313  
(215) 861-5406

## **Puerto Rico**

Hernan Rivera  
San Patricio Office Center  
7 Tabonuco Street, 4th Floor  
Guaynabo, PR 00968  
(787) 775-1901

## **Region I**

Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island and Vermont  
John M. Griffin, Jr.

JFK Federal Building, Room E-370  
Boston, MA 02203  
(617) 565-2288  
(617) 565-9171 FAX  
E-Mail: griffin.@doleta.gov

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)

James R. Turner, Acting  
JFK Federal Building, Room E-235  
One Congress Street  
Boston, MA 02203  
(617) 565-2055

## **Region II**

(New Jersey, New York, Puerto Rico, Virgin  
Islands)

James R. Turner  
201 Varick Street, Room 750  
New York, NY 10014  
(212) 337-2007

New Jersey, New York, Puerto Rico and the  
Virgin Islands

Mr. Albert Hudanish  
201 Varick Street, Room 602  
New York, NY 10014  
(212) 337-2313  
(212) 337-2317 FAX  
E-Mail: ahudanish@doleta.gov

## **Region III**

Delaware, Maryland, Pennsylvania, Virginia and  
West Virginia

John T. Hersh  
3535 Market Street, Room 13240  
Philadelphia, PA 19104

(215) 596-6417  
(215) 596-0192 FAX  
E-Mail: hershj@doleta.gov

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

Joseph J. DuBray, Jr.  
Curtis Center, Suite 750 West  
170 South Independence Mall West  
Philadelphia, PA 19106-3309  
(215) 861-5763

## **Region IV**

Alabama, Florida, Georgia, Kentucky, Mississippi,  
North Carolina, South Carolina, and Tennessee

Julian S. Palmer, Jr.  
61 Forsyth Street, N.W., Room 6T71  
Atlanta, GA 30303  
(404) 562-2335  
(404) 562-2329  
E-Mail: palmerj@doleta.gov

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)

Carol A. Gaudin  
Atlanta Federal Center  
61 Forsyth Street, S.W., Room 7B75  
Atlanta, GA 30303  
(404) 562-2424

## **Region IX**

(Arizona, California, Guam, Hawaii, Nevada)  
Woodrow Gilliland  
71 Stevenson Street, Suite 1700  
San Francisco, CA 94105  
(415) 975-4720

Arizona, California, Hawaii, and Nevada

George F. Jones  
Federal Building, Room 815  
71 Stevenson Street  
San Francisco, CA 94105  
(415) 975-4007  
(415) 975-4010 FAX  
E-Mail: gjones@doleta.gov

## **Region V**

(Illinois, Indiana, Iowa, Kansas, Michigan,  
Minnesota, Missouri, Nebraska, Ohio, Wisconsin)

Sandra S. Zeigler  
H. Kluczynski Federal Building, Room 570  
230 South Dearborn Street  
Chicago, IL 60604  
(312) 596-7010

Illinois, Indiana, Michigan, Minnesota, Ohio and  
Wisconsin

Terrence V. Benewich  
230 South Dearborn Street, Room 708  
Chicago, IL 60604  
(312) 353-7205  
(312) 353-5506 FAX  
E-Mail: benewicht@doleta.gov

## **Region VI**

Arkansas, Louisiana, New Mexico, Oklahoma and

Texas  
Sally S. Uber  
Federal Building  
525 Griffin Street, Room 311  
Dallas, TX 75202  
(214) 767-4993  
(214) 767-4995 FAX  
E-Mail: ubers@doleta.gov

(Arkansas, Colorado, Louisiana, Montana, New  
Mexico, North Dakota, Oklahoma, South Dakota,  
Texas, Utah, Wyoming)

Fred Azua, Jr.  
Federal Building  
525 South Griffin Street, Suite 840  
Dallas, TX 75202  
(214) 767-2804

## **Region VII**

Iowa, Kansas, Missouri, and Nebraska

Isidore H. Gross, Jr.  
1100 Main Street, Suite 1040  
Kansas City, MO 64105-2112  
(816) 426-3856  
(816) 246-3664 FAX  
E-Mail: grossi@doleta.gov

## **Region VIII**

Colorado, Montana, North Dakota, South Dakota,  
Utah, and Wyoming

Carl K. Heninger  
U.S. Custom House  
721 19th Street, Room 465  
Denver, CO 80202  
(303) 844-4791  
(303) 844-4701  
E-Mail: cheninger@doleta.gov

## **Region X**

Alaska, Idaho, Oregon and Washington

William F. Wadsworth  
1111 Third Avenue, Room 925  
Seattle, WA 98101-3212  
(206) 553-5286  
(206) 553-1689 FAX  
E-Mail: wwadsworth@doleta.gov

(Alaska, Idaho, Oregon, Washington)

Woodrow Gilliland, Acting  
1111 Third Avenue, Suite 745  
Seattle, WA 98101  
(206) 553-7182

## **South Carolina**

Vacant  
Strom Thurmond Federal Building  
1835 Assembly Street, Suite 608  
Columbia, SC 29201  
(803) 765-5244

## **Tennessee**

Frederick W. Norton  
167 North Main Street, Suite 201  
Memphis, TN 38103  
(901) 544-3458

Larry E. Stanley

# Appendix IV: Agency Regional and Local Office Addresses

---

1321 Murfreesboro Road, Suite 301  
Nashville, TN 37217  
(615) 781-5395

## Texas

Ronald D. Lipscomb  
525 South Griffin Street, Room 512  
Federal Office Building  
Dallas, TX 75202  
(214) 767-2911

E. Martin Walker, RD  
U.S. Department of Labor, ESA/OWCP  
525 South Griffin Street, Room 407  
Dallas, TX 75202  
(214) 767-4713

Lorenzo Garza  
800 Dolorosa Street, Suite 200  
San Antonio, TX 78207  
(210) 472-5835

Vacant  
2320 La Branch Street, Room 1103  
Houston, TX 77004  
(713) 718-3800

## Utah

Normando R. DeHalle  
Gateway Tower East 10 E. South Temple, Suite  
1690  
Salt Lake City, UT 84101  
(801) 524-4470

## Virginia

William Thorpe  
400 North 8th Street, Room 552  
Richmond, VA 23240  
(804) 771-2136

## Washington

Donna Onodera, Acting RD  
U.S. Department of Labor, ESA/OWCP  
1111 Third Avenue, Suite 615  
Seattle, WA 98101-3212  
(206) 553-5508

Walt Trimble  
1111 Third Avenue, Suite 745  
Federal Office Building  
Seattle, WA 98101  
(206) 553-7182

## Wisconsin

John Hertz  
106 S. 15th Street, Room 808  
Omaha, NE 68116  
(402) 221-3381

Hector Sanchez  
34 Civic Center Plaza, Room 406  
Santa Ana, CA 92712  
(714) 836-2784

Robert Potter  
Federal Building, Suite 1115  
310 West Wisconsin Avenue

Milwaukee, WI 53203  
(414) 297-3821

Shirley E. Oderkirk  
1100 Main Street, Room 860  
Kansas City, MO 64105  
(816) 426-3860

Maxine Karr, Acting  
1222 Spruce Street, Room 10207  
St. Louis, MO 63103  
(314) 539-6394

Robert Gnidziejko  
1244 Spee Boulevard, Room 620  
Denver, CO 80204-3584  
(303) 844-4481

## BUREAU OF LABOR STATISTICS

### NATURALIZATION INFORMATION

#### Atlanta

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Mike Wald  
Bureau of Labor Statistics  
AFC, Room 7T50  
61 Forsyth Street, SW  
Atlanta, GA 30303  
(404) 331-3446

#### Boston/New York

(Connecticut, Maine, Massachusetts, New  
Hampshire, New York, Puerto Rico, Virgin  
Islands, Rhode Island, Vermont)  
Walter Marshall  
Bureau of Labor Statistics  
JFK Federal Building, E310  
Boston, MA 02203  
(617) 565-2324

Pat Bommicino  
Bureau of Labor Statistics  
201 Varick Street, Room 808  
New York, NY 10014-4811  
(212) 337-2420

#### Chicago

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin, Nebraska, Iowa, North Dakota, South  
Dakota)  
Ronald Guzicki  
Bureau of Labor Statistics  
Federal Office Building, 9th Floor  
230 South Dearborn Street  
Chicago, IL 60604-1595  
(312) 353-7200 ext.229

#### Dallas/Kansas City

Dave McDermott  
Bureau of Labor Statistics  
City Center Square  
1100 Main Street, Suite 600  
Kansas City, MO 64105-2112  
(816) 426-3176

(Arkansas, Louisiana, New Mexico, Oklahoma,

Texas, Colorado, Kansas, Missouri, Montana,  
Utah, Wyoming)

Jerome Watters  
Bureau of Labor Statistics  
A. Maceo Federal Building  
525 Griffin Street, Suite 221  
Dallas, TX 75202-5028  
(214) 767-9379

#### Philadelphia

(Delaware, District of Columbia, Maryland,  
Pennsylvania, New Jersey, Virginia, West  
Virginia)  
Gerald Perrins  
Bureau of Labor Statistics  
The Curtis Center, Suite 610 East  
170 South Independence Mall West  
Philadelphia, PA 19106-3305  
(215) 861-5603

#### San Francisco

P.O. Box 193766  
For FEDEX Street Address  
Bureau of Labor Statistics  
71 Stevenson Street, 6th Floor  
San Francisco, CA 94105  
(415) 975-4403

(Alaska, Arizona, American Samoa, California,  
Guam, Hawaii, Idaho, Nevada, Oregon,  
Washington, Trust Territory of the Pacific Islands)  
Nancy Treadwell  
For letter mail:  
Bureau of Labor Statistics

## EMPLOYEE BENEFITS SECURITY ADMINISTRATION

#### California

Bette Briggs  
71 Stevenson Street  
Suite 915  
San Francisco, CA 94105  
(415)975-4600 (415)975-4589 FAX

Billy Beaver  
1055 E. Colorado Blvd.  
Suite 200  
Pasadena, CA 91106  
(626)229-1000 (626)229-1098 FAX

#### District of Columbia

Caroline Sullivan  
1335 East-West Highway  
Suite 200  
Silver Spring, MD 20910-3225  
(301)713-2000 (301)713-2008 FAX

#### Florida

Isabel Colon  
8040 Peters Road  
Building H, Site 104  
Plantation, FL 33324  
(954)424-4022 (954)424-0548 FAX

#### Georgia

Howard Marsh

# Appendix IV: Agency Regional and Local Office Addresses

---

61 Forsyth Street, SW  
Suite 7B54  
Atlanta, GA 30303  
(404)562-2156 (404)562-2168 FAX

## Illinois

Kenneth M. Bazar  
200 West Adams Street  
Suite 1600  
Chicago, IL 60606  
(312)353-0900 (312)353-1023 FAX

## Kentucky

Joseph Menez  
1885 Dixie Highway  
Suite 210  
Fort Wright, KY 41011-2664  
(859)578-4680 (859)578-4688 FAX

## Massachusetts

James Benages  
J.F.K. Building  
Room 575  
Boston, MA 02203  
(617)565-9600 (617)565-9666 FAX

## Michigan

Edward Schutzman  
211 West Fort Street  
Suite 1310  
Detroit, MI 48226-3211  
(313)226-7450 (313)226-4257 FAX

## Missouri

Robert Webber  
1100 Main Street  
Suite 1200  
Kansas City, MO 64105-5148  
(816)426-5131 (816)426-5511 FAX

Gary Newman  
Robert A. Young Federal Building  
1222 Spruce Street  
Room 6310  
St. Louis, MO 63103-2818  
(314)539-2693 (314) 539-2697 FAX

## New York

Frank Clisham  
33 Whitehall Street  
12th Floor, Suite 1200  
New York, NY 10004  
(212)607-8600 (212)607-8681FAX

## Pennsylvania

Mabel Capolongo  
170 S. Independence Mall West  
Suite 870 West  
Philadelphia, PA 19106-3317  
(215)861-5300 (215)861-5347 FAX

## Texas

Steve Eischen  
525 Griffin Street  
Room 900  
Dallas, TX 75202-5025

(214)767-6831 (214)767-1055 FAX

## Washington

John Scanlon  
1111 Third Avenue  
Suite 860  
Seattle, WA 98101-3212  
(206)553-4244 (206)553-0913 FAX

## EMPLOYMENT STANDARDS ADMINISTRATION

---

### WAGE AND HOUR DIVISION

#### Alabama

James Gaut, Assistant District Director  
Aronov Building, Room 708  
474 South Court Street  
Montgomery, AL 36104-4158  
(304) 223-7641

Diane Dawson, District Director,  
Medical Forum Bldg., Suite 656,  
950 North 22nd Street,  
Birmingham, AL 35203 United States  
(205) 397-7100

#### Arizona

Eric P. Murray, District Director,  
230 N. First Avenue, Suite 402,  
Phoenix, AZ 85003-1725 United States  
(602) 514-7100

#### Arkansas

Christine M. Schott, District Director,  
Danville Building #2, Suite 220,  
10810 Executive Center Drive,  
Little Rock, AR 72211 United States  
(501) 223-9114

#### California

Kenneth Morrison, District Director,  
5675 Ruffin Road, Suite 310,  
San Diego, CA 92123-1362 United States  
(858) 467-7015

Susanna Rincon, District Director,  
90 7th Street, Suite 18-300,  
San Francisco, CA 94103 United States  
(415) 625-7720

Anthony M. Perrou, District Director,  
2800 Cottage Way, Room W-1836,  
Sacramento, CA 95825 United States  
(916) 978-6123

Donald J. Wiley, District Director,  
100 N. Barranca St., Suite 850,  
West Covina, CA 91791 United States  
(626) 966-0478

#### California-Los Angeles

Brian Taverner, District Director,  
915 Wilshire Blvd., Suite 960,  
Los Angeles, CA 90017 United States  
(213) 894-6375

#### Colorado

Charles L. Frasier, District Director,

1999 Broadway, Suite 2445,  
P.O. Box 46550,  
Denver, CO 80202 United States  
(720) 264-3250

## Connecticut

Dianne M. Miller, District Director  
135 High Street, Room 210,  
Hartford, CT 06103 United States  
(860) 240-4160

## Florida

James M. Schmidt, District Director,  
Austin Laurel Building, Suite 300,  
4905 West Laurel Street,  
Tampa, FL 33607-3838 United States  
(813) 288-1242

Will W. Garnitz, District Director,  
10300 SW Sunset Drive,  
Sunset Center, Room 255,  
Miami, FL 33173-3038 United States  
(305) 598-6607

Mack Casey, Assistant District Director  
Federal Building, Room 408  
299 East Broward Boulevard  
Fort Lauderdale, FL 33301-1976  
(954) 356-6896

Michael D. Young, District Director,  
400 West Bay Street, Room 956,  
Jacksonville, FL 32202 United States  
(904) 359-9292

## Georgia

Jeffrey Genkos, Assistant District Director  
Juliette Gordon Low Federal Building Complex  
124 Barnard Street, Suite B-210  
Savannah, GA 31401-3648  
(912) 652-4221, 4229

Janet Campbell, District Director,  
Atlanta Federal Center,  
61 Forsyth Street, S.W., Room 7M10,  
Atlanta, GA 30303 United States  
(404) 893-4600

## Illinois

Thomas A. Gauza, District Director,  
230 South Dearborn, Room 412,  
Chicago, IL 60604 United States  
(312) 596-7230

Henry Rodriguez, District Director  
509 West Capitol Avenue, Suite 205  
Springfield, IL 62704-1929  
(217) 492-4060

## Indiana

Donald J. Laurent, District Director  
River Glen Plaza, Suite 160  
501 East Monroe Street  
South Bend, IN 46601-1615  
(219) 236-8331, 8332

Patricia A. Lewis, District Director,  
U.S. Courthouse, Room 413,  
46 East Ohio Street,

# Appendix IV: Agency Regional and Local Office Addresses

Indianapolis, IN 46204 United States  
(317) 226-6801

## Iowa

Percella Maupins, District Director,  
Federal Building, Room 643,  
210 Walnut Street,  
Des Moines, IA 50309 United States  
(515) 284-4625

## Kansas

James F. Koren, District Director,  
Gateway Tower II,  
400 State Avenue, Suite 1010,  
Kansas City, KS 66101 United States  
(913) 551-5721

## Kentucky

James F. Karn, District Director,  
Gene Snyder U.S. Courthouse and Custom House,  
601 West Broadway, Room 31,  
Louisville, KY 40202-9570 United States  
(502) 582-5226

## Louisiana

Frank McGriggs, District Director,  
F. Edward Hebert Bldg., Room 615,  
600 S. Maestri Place,  
New Orleans, LA 70130 United States  
(504) 589-6172

## Maryland

Bezarah Gaither, District Director,  
Appraisers Stores Building,  
103 South Gay Street, Room 207,  
Baltimore, MD 21202 United States  
(410) 962-6211

## Massachusetts

George A. Rioux, District Director,  
John F. Kennedy Federal Building, Room 525,  
15 Sudbury St.,  
Boston, MA 02203 United States  
(617) 624-6700

## Michigan

Radames Delago, Assistant District Director  
2920 Fuller Avenue, N.E., Suite 100  
Grand Rapids, MI 49505-3409  
(616) 456-2004

James R. Smith, District Director,  
211 W. Fort Street, Room 1317,  
Detroit, MI 48226-2799 United States  
(313) 226-7447

## Midwest Region

Karen Chaikin, Acting Regional Administrator,  
230 South Dearborn Street, Room 530,  
Chicago, IL 60604 United States  
(312) 596-7180

## Minnesota

Jose Luis Medina, District Director,  
TriTech Office Center, Suite 920,  
331 Second Avenue South,  
Minneapolis, MN 55401-2233 United States

(612) 370-3341

## Mississippi

Billy R. Jones, District Director  
One Jackson Place, Suite 1020  
188 East Capitol Street  
Jackson, MS 39201-2126  
(601) 965-4347,4348

## Missouri

Vacant, District Director,  
1222 Spruce Street, Room 9102 B,  
St. Louis, MO 63103 United States  
(314) 539-2706

## Nebraska

Richard Tesarek, Assistant District Director  
Federal Building, Room 715  
106 South 15th Street  
Omaha, NE 68102  
(402) 221-4682

## New Hampshire

George A. Rioux, District Director  
2 Wall Street, 1st Floor  
Manchester, NH 03101  
(603) 666-7716  
(603) 666-7600 FAX

## New Jersey

Patrick E. Reilly, District Director,  
3131 Princeton Pike, Building 5, Room 216,  
Lawrenceville, NJ 08648 United States  
(609) 538-8310

Joseph Petrecca, District Director,  
200 Sheffield Street, Suite 102,  
Mountainside, NJ 07092 United States  
(908) 317-8611

## New Mexico

Patricia Davidson, District Director,  
500 Gold, SW, Suite 12000  
Albuquerque, NM 87103 United States  
(505) 248-6100

## New York

Christopher Martin, District Director  
Leo W. O'Brien Federal Building  
Room 822  
Albany, NY 12207 United States  
(518) 431-4278

Irving Miljoiner, District Director,  
1400 Old Country Road, Suite 410,  
Westbury, NY 11590-5119 United States  
(516) 338-1890

Philip A. Jacobson, District Director,  
26 Federal Plaza, Room 3700,  
New York, NY 10278 United States  
(212) 264-8185

## North Carolina

John Blaine, District Director  
800 Briar Creek Road, Suite CC-412  
Charlotte, NC 28205-6903  
(704) 344-6298

Richard E. Blaylock, District Director,  
4407 Bland Road, Suite 260,  
Somerset Park Building,  
Raleigh, NC 27609-6296 United States  
(919) 790-2741, 2742

## Northeast Region

Corlis L. Sellers, Regional Administrator,  
Northeast Regional Office,  
The Curtis Center, Suite 850 West,  
170 S. Independence Mall West,  
Philadelphia, PA 19106-3317 United States  
(215) 861-5800

## Ohio

Donald Harrison, Assistant District Director  
525 Vine Street, Suite 880  
Cincinnati, OH 45202-3268  
(513) 684-2908

George L. Victory, District Director,  
646 Federal Office Building,  
200 North High Street,  
Columbus, OH 43215-2475 United States  
(614) 469-5677

Barry J. Haber, District Director  
Federal Office Building, Room 817  
1240 East Ninth Street  
Cleveland, OH 44199-2054  
(216) 522-3892, 3893

## Oregon

Jeffrey J. Genkos, District Director,  
620 SW Main Street, Room 423,  
Portland, OR 97205 United States  
(503) 326-3057

## Pennsylvania

Alfonso J. Gristina, District Director,  
Stegmaier Building, Suite 373-M,  
7 North Wilkes-Barre Boulevard,  
Wilkes-Barre, PA 18702-3594 United States  
(570) 826-6316

Stewart C. Bostic, District Director,  
U.S. Custom House, Room 400,  
Second and Chestnut Streets,  
Philadelphia, PA 19106 United States  
(215) 597-4950

John E. DuMont, District Director,  
Federal Building, Suite 1416,  
1000 Liberty Avenue,  
Pittsburgh, PA 15222 United States  
(412) 395-4996

## Puerto Rico

Jose R. Vasquez, District Director,  
7 Tabonuco Street,  
San Patricio Office Center, Suite 402,  
Guaynabo, PR 00968 United States  
(787) 775-1924

## South Carolina

Scott K. Gear, District Director,  
Federal Building, Room 1072,  
1835 Assembly Street,



# Appendix IV: Agency Regional and Local Office Addresses

Columbia, SC 29201-9863 United States  
(803) 765-5981

## **Southeast Region**

Oliver Peebles, Acting Regional Administrator,  
Atlanta Federal Center,  
61 Forsyth Street, S.W., Room 7M40,  
Atlanta, GA 30303 United States  
(404) 893-4531

## **Southwest Region**

Cynthia Watson, Regional Administrator,  
Federal Building, Suite 800,  
525 South Griffin Street,  
Dallas, TX 75202-5007 United States  
(972) 850-2600

## **Tennessee**

Marcia Collins, District Director,  
Executive Plaza,  
1321 Murfreesboro Road, Suite 511,  
Nashville, TN 37217-2626 United States  
(615) 781-5344

## **Texas**

Curtis L. Poer, District Director,  
The Offices @ Brookhollow, Suite 270, Box 22,  
1701 East Lamar Blvd.,  
Arlington, TX 76006-7303 United States  
(817) 861-2150

Juan G. Coria, District Director,  
Northchase I Office Building, Suite 140,  
10127 Morocco Street,  
San Antonio, TX 78216 United States  
(210) 308-4515

Robin R. Mallett, District Director,  
South Building, Suite 1164,  
8701 S. Gessner Drive,  
Houston, TX 77074-2944 United States  
(713) 339-5500

## **Utah**

Lee Ann Dunbar, District Director,  
150 E. Social Hall Avenue, Suite 695  
Salt Lake City, UT 84111 United States  
(801) 524-5706

## **Virginia**

Bruce Clark, District Director,  
Federal Building, Suite 416,  
400 N. Eighth Street  
Richmond, VA 23219 United States  
(804) 771-2995

## **Washington**

Donna M. Hart, District Director,  
1111 Third Avenue, Suite 755,  
Seattle, WA 98101-3212 United States  
(206) 398-8039

## **West Virginia**

Danny Short, Assistant District Director  
500 Quarrier Street, Suite 720  
Charleston, WV 25301  
(304) 347-5206

## **Western Region**

George Friday, Regional Administrator,  
90 7th Street, Suite 13-100,  
San Francisco, CA 94103-6714 United States  
(415) 625-7700

## **Wisconsin**

George Victory, District Director  
740 Regent Street, Suite 102  
Madison, WI 53715  
(608) 264-5221

## **EMPLOYMENT TRAINING ADMINISTRATION**

### **STATE EMPLOYMENT SECURITY AGENCIES**

#### **Alabama**

Mr. G. Thomas Surtees, Director  
Alabama Department of Industrial Relations  
Industrial Relations Building  
649 Monroe Street  
Montgomery, AL 36131 United States  
(334) 242-8990(334) 242-3960 FAX

#### **Alaska**

Mr. Clark "Click" Bishop, Commissioner  
AK Department of Labor and Workforce  
Development  
P.O. Box 111149  
Juneau, AK 99802-5509 United States  
(907) 465-2712(907) 465-4537 FAX

#### **Arizona**

Mr. Neal Young, Director  
Department of Economic Security  
P.O. Box 6123  
Site 010A  
Phoenix, AZ 85005 United States  
(602) 542-5678 (602) 542-5339 FAX

#### **Arkansas**

Artee Williams, Executive Director  
Arkansas Employment Security Department  
P.O. Box 2981, Capitol Mall  
Little Rock, AR 72203-2981 United States  
(501) 682-2121(501) 682-2273 FAX

#### **California**

Mr. Patrick Henning, Director,  
Employment Development Department  
800 Capitol Mall, P.O. Box 826880, MIC 83  
Sacramento, CA 95814 United States  
(916) 654-8210 (916) 657-5294 FAX

#### **Colorado**

Don Mares, Executive Director  
Colorado Department of Labor and Employment  
633 17th St, Suite 1200  
Denver, CO 80202-3660 United States  
(303) 318-8020 (303) 318-8048 FAX

#### **Connecticut**

Ms. Patricia H. Mayfield, Commissioner  
Connecticut Department of Labor  
200 Folly Brook Boulevard

Wethersfield, CT 06109-1153 United States  
(860) 263-6506 (860) 263-6529 FAX

## **Delaware**

Mr. John McMahon  
Secretary of Labor  
Department of Labor  
4425 N. Market Street  
Wilmington, DE 19802 United States  
(302) 761-8008 (302) 761-6621 FAX

## **District of Columbia**

Mr. Joseph Walsh, Director  
Department of Employment Services  
64 New York Avenue N.E. Room 3000  
Washington, DC 20012 United States  
(202) 671-2417 (202) 673-6976 FAX

## **Florida**

Ms. Cynthia Lorenzo, Interim Director  
Agency for Workforce Innovation  
The Caldwell Building 107  
East Madison Street, MSC 100  
Tallahassee, FL 32399-4120 United States  
(850) 245-7153 (850) 921-3223 FAX

## **Georgia**

Mr. Michael L. Thurmond, Commissioner  
Commissioner  
Georgia Department of Labor  
Sussex Place  
148 International Boulevard, N.E., Suite 600  
Atlanta, GA 30303-1751 United States  
(404) 232-7300 (404) 656-2683 FAX

## **Guam**

Ms. Maria S. Connelley, Director  
Department of Labor  
P.O. Box 9970  
Tamuning 96931-9970 United States  
1-0288-0111-671-475-7046 9-011-475-7045 FAX

## **Hawaii**

Mr. Darwin Ching, Director  
Department of Labor and Industrial Relations  
830 Punchbowl Street, Room 321  
Honolulu, HI 96813 United States  
(808) 586-8844(808) 586-9099 FAX

## **Idaho**

Mr. Rodger B. Madsen, Director  
Department of Labor  
317 W. Main Street  
Boise, ID 83735 United States  
(208) 334-6110(208) 334-6430 FAX

## **Illinois**

Mr. Warren Ribley, Director  
Illinois Department of Commerce and Economic  
Opportunity  
100 W. Randolph Street  
Chicago, IL 60601 United States  
(312) 814-7179 (312) 814-1843 FAX

## **Indiana**

Ms. Teresa Voors, Commissioner

# Appendix IV: Agency Regional and Local Office Addresses

Indiana Department of Workforce Development  
10 North Senate Avenue, Room 302  
Indianapolis, IN 46204 United States  
(317) 232-7676 (317) 233-1670 FAX

## Iowa

Ms. Elizabeth Buck, Director  
Iowa Workforce Development  
1000 East Grand Avenue  
Des Moines, IA 50319 United States  
(515) 281-5365 (515) 218-4698 FAX

## Kansas

Mr. David Kerr, Secretary  
Kansas Department of Commerce  
1000 SW Jackson, Suite 100  
Topeka, KS 66612-1354 United States  
(785) 296-2741 (785) 296-5055 FAX

## Kentucky

Mr. Russell L. Salsman, Executive Director,  
Office of Employment and Training  
Department of Workforce Investment  
275 E. Main Street, 2nd Floor West  
Frankfort, KY 40621 United States  
(502) 564-5331(502) 564-7452 FAX

## Louisiana

Tim Barfield, Executive Director  
Louisiana Workforce Commission  
1001 North 23rd Street  
P.O. Box 94094  
Baton Rouge, LA 70804-9094 United States  
(225) 342-3001(225) 342-3778 FAX

## Maine

Ms. Laura Fortman, Commissioner  
Maine Department of Labor  
54 State House Station  
Augusta, ME 04333-0054 United States  
(207) 621-5095 (207) 287-5292 FAX

## Maryland

Mr. Andrew Moser, Assistant Secretary  
Department of Labor, Licensing and Regulation  
1100 North Eutaw Street  
Baltimore, MD 21201 United States  
(410) 767-2997(410) 767-2986 FAX

## Massachusetts

Ms. Suzanne M. Bump,  
Secretary for the Massachusetts Executive Office  
of Labor and Workforce Development  
Charles F. Hurley Building, 3rd Floor  
One Ashburton Place, 21st Floor  
Boston, MA 02108-1578 United States  
(617) 626-7114 (617) 727-1090 FAX

## Michigan

Mr. Stanley "Skip" Pruss, Director  
Michigan Department of Labor and Economic  
Growth  
611 West Ottawa St.  
Lansing, MI 48913 United States  
(517) 241-1873 (313) 876-2129 FAX

## Minnesota

Mr. Dan McElroy, Commissioner  
Department of Employment and Economic  
Development  
332 Minnesota Street  
St. Paul, MN 55101 United States  
(651) 259-7119 (651) 296-4772 FAX

## Mississippi

Ms. Tommye Dale Favre, Executive Director  
Mississippi Department of Employment Security  
P.O. Box 1699, 1520 West Capital Street  
Jackson, MS 39215-1699 United States  
(601) 961-7400 (601) 961-7405 FAX

## Missouri

Ms. Linda Martinez, Director  
Department of Labor and Industrial Relations  
P.O. Box 1157  
Jefferson City, MO 65102-1157 United States  
(573) 751-4770 (573) 526-7700 FAX

## Montana

Keith Kelly, Commissioner  
Montana Department of Labor and Industry  
P.O. Box 1728  
1327 Lockey St.  
Helena, MT 59624 United States  
(406) 444-9091(406) 444-1394 FAX

## Nebraska

Ms. Catherine D. Lang, Commissioner  
Nebraska Workforce Development  
Department of Labor  
550 South 16th Street  
P.O. Box 94600  
Lincoln, NE 68509-4600 United States  
(402) 471-5919 (402) 471-2318 FAX

## Nevada

Larry Mosley, Director  
Department of Employment Training and  
Rehabilitation  
500 East Third Street  
Carson City, NV 89713 United States  
(775) 684-3911 (775) 684-3908 FAX

## New Hampshire

Mr. George Copadis, Commissioner  
New Hampshire Department of Labor  
95 Pleasant St.  
Concord, NH 03301 United States  
(603) 271-3171 (603) 271-6852 FAX  
Mr. Michael Power,  
Executive Director, Community Outreach  
New Hampshire Workforce Opportunity Council,  
Inc.  
64 Old Suncook Rd  
Concord, NH 03301-7317 United States  
(603) 229-3303 (603) 228-8557 FAX  
Ms. Tara G. Reardon, Commissioner  
New Hampshire Department of Employment  
Security  
32 South Main Street, Room 204

Concord, NH 03301-4817 United States  
(603) 228-4000 (603) 228-4010 FAX

## New Jersey

Mr. David Socolow Commissioner  
New Jersey Department of Labor and Workforce  
Development  
John Fitch Plaza, 13th Floor  
P.O. Box 110  
Trenton, NJ 08625-0110 United States  
(609) 292-2975 (609) 984-9681 FAX

## New Mexico

Ms. Betty Sparrow Dorris, Cabinet Secretary  
New Mexico Department of Labor  
P.O. Box 1928  
Albuquerque, NM 87103 United States  
(505) 841-8409(505) 841-8491 FAX

## New York

Ms. M. Patricia Smith, Commissioner  
New York State Department of Labor  
State Campus Office, Building 12, Room 500  
Albany, NY 12240 United States  
(518) 457-2746 (518) 457-6908 FAX

## North Carolina

Mr. Moses Carey, Chairman  
Employment Security Commission  
P.O. Box 25903, 700 Wade Avenue  
Raleigh, NC 27611 United States  
(919) 733-7546 (919) 733-1129 FAX

## North Dakota

Maren Daley, Executive Director  
Job Service North Dakota  
Box 5507, 1000 East Divide Avenue  
Bismarck, ND 58506-5507 United States  
(701) 328-2836 (701) 328-1612 FAX

## Ohio

Mr. Douglas E. Lumpkin, Director  
Ohio Department of Job & Family Services  
30 East Broad Street, 32nd Floor  
Columbus, OH 43215 United States  
(614) 466-6282 (614) 466-2815 FAX

## Oklahoma

Mr. Jon Brock, Executive Director  
Employment Security Commission  
Will Rogers Memorial Office Building  
2401 North Lincoln  
Oklahoma City, OK 73152 United States  
(405) 557-7200(405) 557-7174 FAX

## Oregon

Ms. Laura Warner, Director  
Oregon Employment Department  
875 Union Street, N.E.  
Salem, OR 97311 United States  
(503) 947-1477(503) 947-1472 FAX

## Pennsylvania

Mr. Fred Dedrick, Acting Deputy Secretary  
Department of Labor and Industry  
1700 Labor and Industry Building

# Appendix IV: Agency Regional and Local Office Addresses

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7th & Forster Streets, Room 1720  
Harrisburg, PA 17120 United States  
(717) 787-0805 (717) 787-8826 FAX

## **Puerto Rico**

Honorable Miguel Romero, Secretary  
Puerto Rico Department of Labor and Human  
Resources  
PO Box 195540  
San Juan, PR 00919-5540 United States  
(787) 754-2110 (787) 753-9550 FAX

## **Rhode Island**

Ms. Sandra M. Powell, Director  
Rhode Island Department of Labor and Training  
1511 Pontiac Avenue, Building 72-2  
Cranston, RI 02920-4407 United States  
(401) 462-8870(401) 462-8872 FAX

## **South Carolina**

Mr. Roosevelt T. Halley, Executive Director  
Employment Security Commission  
P.O. Box 995, 1550 Gadsden Street  
Columbia, SC 29202 United States  
(803) 737-2617(803) 737-2642 FAX

## **South Dakota**

Pamela Roberts, Secretary  
Department of Labor  
Kneip Building  
700 Governors Drive  
Pierre, SD 57501-2277 United States  
(605) 773-5395 (605) 773-4211 FAX

## **Tennessee**

Mr. James G. Neely, Commissioner,  
Tennessee Department of Labor and Workforce  
Development  
220 French Landing Drive, 4th Floor, Building A  
Nashville, TN 37243-1002 United States  
(615) 741-6642 (615) 741-5078 FAX

## **Texas**

Mr. Larry Temple, Executive Director  
Texas Workforce Commission  
101 East 15th Street, Room 618  
Austin, TX 78778 United States  
(512) 463-0735(512) 475-2321 FAX

## **Utah**

Kristen Cox, Executive Director  
Department of Workforce Services  
P.O. Box 45249, 140 E. 300 South  
Salt Lake City, UT 84114 United States  
(801) 526-9210 (801) 526-9211 FAX

## **Vermont**

Ms. Patricia Moulton Powden, Commissioner  
Vermont Department of Labor  
P.O. Box 488, 5 Green Mountain Drive  
Montpelier, VT 05601-0488 United States  
(802) 828-4301 (802) 828-4181 FAX

## **Virgin Islands**

Mr. Albert Bryan, Jr., Commissioner of Labor  
Virgin Islands Department of Labor

2203 Church Street-Christiansted  
St. Croix 00820-4612 United States  
(340) 773-1994 (340) 773-0094 FAX

## **Virginia**

Ms. Dolores "Dee" A. Esser, Commissioner  
Virginia Employment Commission  
703 E. Main Street, Room 300  
Richmond, VA 23219 United States  
(804) 786-3001(804) 225-3923 FAX

## **Washington**

Ms. Karen T. Lee, Commissioner  
WA Employment Security Department  
212 Maple Park  
P.O. Box 9046  
Olympia, WA 98507-9046 United States  
(360) 902-9301(360) 902-9383 FAX

## **West Virginia**

Mr. Russell Fry, Executive Director  
WORKFORCE West Virginia  
112 California Avenue  
Charleston, WV 25305-0112 United States  
(304) 558-7024 (304) 558-9157 FAX

## **Wisconsin**

Ms. Roberta Gassman, Secretary  
Department of Workforce Development  
201 East Washington Avenue  
Room A400  
Madison, WI 53707 United States  
(608) 267-1410 (608) 266-1784 FAX

## **Wyoming**

Gary W. Child, Director  
WY Department of Employment  
1501 E. Pershing Blvd.  
Cheyenne, WY 82001 United States  
(307) 777-7672 (307) 777-5805 FAX

## **(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)**

Dr. Helen Parker, Regional Administrator  
Atlanta Federal Center, Room 6M12  
61 Forsyth Street, S.W.  
Atlanta, GA 30303 United States  
(404) 302-5300; (404) 302-5382 FAX

## **(Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, Republic of Palau, Federated States of Micronesia, Commonwealth of Northern Mariana Islands, Washington)**

Richard Trigg, Regional Administrator  
90 7th Street, Suite 17-300  
San Francisco, CA 94103-1516 United States  
(415) 625-7910; (415) 625-7903 FAX

## **(Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming)**

Joseph C. Juarez, Regional Administrator  
525 S. Griffin Street, Room 317  
Dallas, TX 75202 United States

(972) 850-4600; (972) 850-4605 FAX

## **(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, the Virgin Islands, Vermont)**

Grace Kilbane, Regional Administrator  
JFK Federal Building, Room E-350  
Boston, MA 02203 United States  
(617) 788-0170; FAX (617) 788-0101

## **(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)**

Lenita Jacobs-Simmons, Regional Administrator  
The Curtis Center  
170 S. Independence Mall West, Suite 825 East  
Philadelphia, PA 19106-3315 United States  
(215) 861-5200; (215) 861-5260 FAX

## **(Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin)**

Byron Zuidema, Regional Administrator  
230 South Dearborn Street, 6th Floor  
Chicago, IL 60604 United States  
(312) 596-5403; (312) 596-5401 FAX

## **MINE SAFETY AND HEALTH ADMINISTRATION**

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### **COAL MINE SAFETY AND HEALTH**

#### **Alabama**

(District 11, Coal Mine Safety and Health:  
Florida, Mississippi, Puerto Rico, Virgin Islands,  
and counties of Alabama and Georgia south and  
west of the District 7 boundary indicated above)  
Federal Region IV  
Frank C. Young, Jr.  
135 Gemini Circle, Suite 213  
Birmingham, AL 35209  
(205) 290-7300

#### **Colorado**

(District No. 9: All States west of the Mississippi  
River, except for Minnesota, Iowa and all counties  
of Missouri south of the Missouri River; including  
Alaska and Hawaii) Federal Region VIII  
John Kuzar  
P.O. Box 25367, DFC  
Denver, CO 80225-0367  
(303) 231-5458

#### **Indiana**

(District No. 8: Illinois, Indiana, Michigan,  
Minnesota, Wisconsin, Iowa and all counties of  
Missouri north of the Missouri River) Federal  
Region V  
James K. Oakes  
2300 Old Decker RD, Suite 200  
Vincennes, IN 47591  
(812) 882-7617

#### **Kentucky**

(District No. 6: counties of Kentucky east of and  
including Mason, Robertson, Fleming, Rowan,  
Menifee, Morgan, Magoffin, Floyd, Pike, Letcher)

# Appendix IV: Agency Regional and Local Office Addresses

## Federal Region IV

Billy Fatch  
159 North Mayo Trail  
Pikeville, KY 41501-3249  
(606) 432-0943, Ext. 116

(District No. 10: counties of Kentucky west of and including Gallatin, Owen, Franklin, Anderson, Mercer, Boyle, Casey, Russell And Cumberland)

Federal Region IV  
Carl E. Bome, II  
100 YMCA Drive  
Madisonville, KY 42431-9019  
(270) 821-4180

(District No. 7: Coal Mine Safety and Health: North Carolina, South Carolina, Tennessee, counties of Alabama north and east of and including Jackson, Marshall, Etowah, and Cherokee, counties of Georgia north of and including Polk, Bartow, Cherokee, Fors Joseph W. Pavlovich  
HC 66, Box 1699  
Barbourville, KY 40906  
(606) 546-5123

## Pennsylvania

(District No. 1: Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Delaware, and counties of Pennsylvania east of and including Susquehanna, Sullivan, Columbia, Montour, Northumberland, Dauphin, York) Federal Region III  
Frank Strunk  
The Stegmaier Building, Suite 034  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6321

(District No. 2: counties of Pennsylvania west of and including Bradford, Lycoming, Union, Snyder, Juniata, Perry, Cumberland, Adams) Federal Region III  
Cheryl McGill  
RR 1, Box 736  
Hunker, PA 15639  
(412) 925-5150, Ext. 111

## Virginia

(District No. 5: Virginia) Federal Region III  
Ray McKinney  
P.O. Box 560  
Norton, VA 24273  
(540) 679-0230

## West Virginia

(District No. 3: Ohio, Maryland and counties of West Virginia north of and including Jackson, Roane, Calhoun, Braxton, Randolph, Pendleton) Federal Region III  
Timothy J. Thompson  
5012 Mountaineer Mall  
Morgantown, WV 26505  
(304) 291-4277

(District No. 4: counties of West Virginia south of and including Mason, Putnam, Kanawha, Clay,

Nicholas, Webster, Greenbrier, Pocahontas) Federal Region III  
Edwin P. Brady  
100 Bluestone Road  
Mt. Hope, WV 25880  
(304) 877-3900, Ext. 125

## METAL AND NONMETAL MINE SAFETY AND HEALTH

### Alabama

(Southeastern: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Martin Rosta  
135 Gemini Circle, Suite 212  
Birmingham, AL 35209  
(205) 290-7294

### California

(Western: Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Lee Ratliff  
2060 Peabody Rd, Suite 610  
Vacaville, CA 95687-6696  
(707) 447-9844

### Colorado

(Rocky Mountain: Arizona, Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming, Kansas, Nebraska)  
Irvin Hooker  
P.O. Box 25367  
Denver, CO 80225-0367  
(303) 231-5465

### Minnesota

(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio, Wisconsin)  
Felix Quintana  
515 West First Street, #333  
Duluth, MN 55802-1302  
(218) 720-5448

### Pennsylvania

(Northeastern: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Virginia, Vermont, West Virginia)  
James R. Petrie  
230 Executive Drive, Suite 2  
Cranberry Township, PA 16066-6415  
(724) 772-2333

### Texas

(South Central: Arkansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas)  
Doyle D. Fink  
1100 Commerce Street, Room 4C50  
Dallas, TX 75242-0499  
(214) 767-8401

## TECHNICAL SUPPORT

### Pennsylvania

Edward J. Miller  
Safety and Health Technology Center, Pittsburgh

Cochrans Mill Road  
P.O. Box 18233  
Pittsburgh, PA 15236  
(412) 386-6902

## West Virginia

Steven J. Luzik  
Approval and Certification Center  
R.R. 1, Box 251  
Industrial Park Road  
Triadelphia, WV 26059  
(304) 547-2029

## West Virginia

Jack Spadaro  
1301 Airport Rd  
Beaver, WV 25813-9426  
(304) 256-3200

## OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION

### Alabama

District Supervisor  
3737 Government Boulevard, Suite 100  
Mobile, AL 36693-4309  
(251) 441-6131

Area Director  
Todd Mall, 2047 Canyon Road  
Birmingham, AL 35216-1981  
(205) 731-1534, Ext. 133

### Alaska

Area Director  
301 West Northern Lights Boulevard, Room 407  
Anchorage, AK 99503-7571  
(907) 271-5152

### Arizona

Area Director  
3221 North 16th Street, Suite 100  
Phoenix, AZ 85016  
(602) 640-2007

### Arkansas

Area Director  
TCBY Building, Suite 450  
425 West Capitol Avenue  
Little Rock, AR 72201  
(501) 324-6291

### California

Resource Center  
71 Stevenson Street, Suite 420  
San Francisco, CA 94105  
(415) 975-4316

Resource Center  
101 El Camino Boulevard, Suite 105  
Sacramento, CA 95815  
(916) 566-7470

Resource Center  
5675 Ruffin Road, Suite 330  
San Diego, CA 92123  
(619) 557-5904

# Appendix IV: Agency Regional and Local Office Addresses

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## Colorado

Area Director  
1391 Speer Boulevard, Suite 210  
Denver, CO 80204-2552  
(303) 844-5285

Area Director  
7935 E. Prentice Avenue, Suite 209  
Englewood, CO 80111-2714  
(303) 843-4500

## Connecticut

Area Director  
Federal Office Building  
450 Main Street, Room 613  
Hartford, CT 06103  
(860) 240-3152

Area Director  
Clark Building  
1057 Broad Street, 4th Floor  
Bridgeport, CT 06604  
(203) 579-5581

## Delaware

Area Director  
Caleb Boggs Federal Building  
844 King Street, Room 2209  
Wilmington, DE 19801  
(302) 573-6518

## Florida

Area Director  
5807 Breckenridge Parkway, Suite A  
Tampa, FL 33610  
(813) 626-1177

Area Director  
Ribault Building, Suite 227  
1851 Executive Center Drive  
Jacksonville, FL 32207  
(904) 232-2895

Area Director  
Building H100  
8040 Peters Road  
Fort Lauderdale, FL 33324  
(954) 424-0242

## Georgia

Area Director  
450 Mall Boulevard, Suite J.  
Savannah, GA 31406-1418  
(912) 652-4393

Area Director  
Building 7, Suite 110  
2183 N. Lake Parkway  
La Vista Perimeter Office Park  
Tucker, GA 30084-4154  
(770) 493-6644

Area Director  
2400 Herodian Way, Suite 250  
Smyrna, GA 30080-2968  
(770) 984-8700

## Hawaii

Resource Center  
300 Ala Moana Boulevard, Suite 5-146  
Honolulu, HI 96850  
(808) 541-2685

## Idaho

Area Director  
1150 North Curtis Road, Suite 201  
Boise, ID 83703  
(208) 321-2960

## Illinois

Area Director  
1600 167th Street, Suite 12  
Calumet City, IL 60409  
(708) 891-3800

District Supervisor  
11 Executive Drive, Suite 11  
Fairview Heights, IL 62208  
(618) 632-8612

Area Director  
701 Lee Street  
Suite 950  
Des Plaines, IL 60016  
(847) 803-4800

Area Director  
2918 West Willow Knolls Road  
Peoria, IL 61614  
(309) 671-7033

Area Director  
365 Smoke Tree Plaza  
North Aurora, IL 60542  
(630) 896-8700

## Indiana

Area Director  
U.S. Post Office and Courthouse  
46 East Ohio Street, Room 423  
Indianapolis, IN 46204  
(317) 226-7290

## Iowa

Area Director  
210 Walnut Street, Room 815  
Des Moines, IA 50309  
(515) 284-4794

## Kansas

Area Director  
8600 Farley, Suite 105  
Overland Park, KS 66212-4677  
(913) 385-7380

Area Director  
271 W. 3rd Street, Room 400  
Wichita, KS 67202  
(316) 269-6644

## Kentucky

Area Director  
U.S. Department of Labor-OSHA  
John C. Watts Federal Building  
330 West Broadway, Room 108  
Frankfort, KY 40601-1922

(502) 227-7024

## Louisiana

Area Director  
202 Harlow Street, Room 211  
Bangor, ME 04401-4906  
(207) 941-8177

Area Director  
9100 Bluebonnet Centre Boulevard, Suite 201  
Baton Rouge, LA 70809  
(225) 389-0474

## Maine

District Supervisor  
Edmund S. Muskie Federal Bldg.  
40 Western Ave., RM G26  
Augusta, ME 04330  
(207) 626-9160

## Maryland

Area Director  
1099 Winterson Road, Suite 140  
Linthicum, MD 21090  
(410) 865-2055/2056

## Massachusetts

Area Director  
Valley Office Park  
13 Branch Street, First Floor  
Methuen, MA 01844  
(617) 565-8110

Area Director  
639 Granite Street, 4th Floor  
Braintree, MA 02184  
(617) 565-6924

Area Director  
1441 Main Street, Room 550  
Springfield, MA 01103-1493  
(413) 785-0123

## Michigan

Area Director  
801 South Waverly Road, Suite 306  
Lansing, MI 48917-4200  
(517) 327-0904

## Minnesota

Area Director  
300 S. 4th Street, Suite 1205  
Minneapolis, MN 55415  
(612) 664-5460

## Mississippi

Area Director  
3780 I-55 North, Suite 210  
Jackson, MS 39211-6323  
(601) 965-4606

## Missouri

Area Director  
U.S. Department of Labor-OSHA  
911 Washington Avenue, Room 420  
St. Louis, MO 63101  
(314) 425-4249

# Appendix IV: Agency Regional and Local Office Addresses

Area Director  
6200 Connecticut Avenue, Suite 100  
Kansas City, MO 64120  
(816) 483-9531

## Montana

Area Director  
2900 4th Avenue, North, Suite 303  
Billings, MT 59101  
(406) 247-7494

## Nebraska

Area Director  
Overland-Wolf Building, Room 100  
6910 Pacific Street  
Omaha, NE 68106  
(402) 221-3182

## Nevada

Resource Center  
Federal Building, Room 204  
705 North Plaza  
Carson City, NV 89701  
(775) 885-6963

## New Hampshire

Area Director  
55 Pleasant Street, Room 3901  
Concord, NH 03301  
(603) 225-1629

## New Jersey

Area Director  
Marlton Executive Park  
701 Route 73 South, Building 2, Suite 120  
Marlton, NJ 08053  
(856) 757-5181

Area Director  
500 Route 17 South, 2nd Floor  
Hasbrouck Heights, NJ 07604  
(201) 288-1700

Area Director  
Plaza 35, Suite 205  
1030 St. Georges Avenue  
Avenel, NJ 07001  
(732) 750-3270

Area Director  
299 Cherry Hill Road, Suite 304  
Parsippany, NJ 07054  
(973) 263-1003

## New Mexico

Area Director  
Western Bank Building  
505 Marquette Avenue, N.W., Suite 820  
Albuquerque, NM 87102  
(505) 248-5302

## New York

Area Director  
660 White Plains Road, 4th Floor  
Tarrytown, NY 10591-5107  
(914) 524-7510

Area Director

42-40 Bell Boulevard  
Bayside, NY 11361  
(718) 279-9060

Area Director  
1400 Old Country Road, Suite 208  
Westbury, NY 11590  
(516) 334-3344

Area Director  
3300 Vickery Road  
North Syracuse, NY 13212  
(315) 451-0808

Area Director  
201 Varick Street, Room 905  
New York, NY 10014  
(212) 620-3200

Area Director  
5360 Genesee Street  
Bowmansville, NY 14026  
(716) 684-3891

Area Director  
John Tomich Federal Building  
401 New Karner Road, Suite 300  
Albany, NY 12205-3809  
(518) 464-4338

## North Carolina

Area Director  
Century Station, Federal Building, Room 438  
300 Fayetteville Mall  
Raleigh, NC 27601-9998  
(919) 856-4770

## North Dakota

Area Director  
Federal Office Building  
1640 East Capitol Avenue  
Bismarck, ND 58501  
(701) 250-4521

## Ohio

Area Director  
Federal Office Building, Room 899  
1240 East Ninth Street  
Cleveland, OH 44199  
(216) 522-3818

Area Director  
Federal Office Building, Room 4028  
36 Triangle Park Drive  
Cincinnati, OH 45246  
(513) 841-4132

Area Director  
Ohio Building  
420 Madison Avenue, Suite 600  
Toledo, OH 43604  
(419) 259-7542

Area Director  
Federal Office Building  
200 North High Street, Room 620  
Columbus, OH 43215  
(614) 469-5582

## Oklahoma

Area Director  
55 N. Robinson, Suite 315  
Oklahoma City, OK 73102  
(405) 278-9560

## Oregon

Area Director  
1220 Southwest Third Avenue, Room 640  
Portland, OR 97204  
(503) 326-2251

## Pennsylvania

Area Director  
Federal Building, Room 1428  
1000 Liberty Avenue  
Pittsburgh, PA 15522-4101  
(412) 395-4903

Area Director  
3939 West Ridge Road, Suite B-12  
Erie, PA 16506  
(814) 833-5758

Area Director  
850 North 5th Street  
Allentown, PA 18102  
(610) 776-0592

Area Director  
U.S. Customs House, Room 242  
Second and Chestnut Streets  
Philadelphia, PA 19106  
(215) 597-4955

Area Director  
49 North Progress Avenue  
Progress Plaza  
Harrisburg, PA 17109  
(717) 782-3902

Area Director  
7 North Wilkes-Barre Boulevard  
Suite 410  
Wilkes-Barre, PA 18702  
(570) 826-6538

## Puerto Rico

Area Director  
BBV Plaza Building  
1510 F.D. Roosevelt Avenue, Suite 5B  
Guaynabo, PR 00968  
(787) 277-1560

## Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Marthe Kent, Regional Administrator  
Department of Labor, OSHA  
JFK Federal Building, Low Rise Building, Room E-340  
Boston, MA 02114  
(617) 565-9860

## Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Robert Kulick, Regional Administrator  
Department of Labor, OSHA

# Appendix IV: Agency Regional and Local Office Addresses

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201 Varick Street, Room 670  
New York, NY 10014 United States  
(212) 337-2378

## Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
John Hermanson, Regional Administrator  
The Curtis Center - Suite 740 West  
170 Independence Mall West  
Philadelphia, PA 19106-3309 United States  
(215) 861-4900

## Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Cindy Coe, Regional Administrator  
61 Forsyth Street S.W., Room 6T50  
Atlanta, GA 30303 United States  
(404) 562-2300

## Region IX

(Arizona, California, Commonwealth of Northern Mariana Islands, Guam, Hawaii, and Nevada)  
Ken Atha, Regional Administrator  
Department of Labor, OSHA  
71 Stevenson Street, Room 420  
San Francisco, CA 94105 United States  
(415) 975-4310

## Region V

(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)  
Michael Connors, Regional Administrator  
Department of Labor, OSHA  
230 South Dearborn Street  
32nd Floor, Room 3244  
Chicago, IL 60604  
(312) 353-2220

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Dean McDaniel, Regional Administrator  
Department of Labor, OSHA  
525 Griffin Street, Room 602  
Dallas, TX 75202 United States  
(214) 767-4731

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Charles E. Adkins, Regional Administrator  
Department of Labor, OSHA  
City Center Square  
1100 Main Street, Suite 800  
Kansas City, MO 64105 United States  
(816) 426-5861

## Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Greg Baxter, Regional Administrator  
Department of Labor, OSHA  
1999 Broadway Street, Room 1690  
Denver, CO 80202-5716 United States

(303) 844-1600

## Region X

(Alaska, Idaho, Oregon, Washington)  
Richard Terrill, Regional Administrator  
Department of Labor, OSHA  
1111 Third Avenue, Suite 715  
Seattle, WA 98101-3212  
(206) 553-5930

## Rhode Island

Area Director  
380 Westminster Mall, Room 243  
Providence, RI 02903  
(401) 528-4669

## South Carolina

Area Director  
1835 Assembly Street, Room 1468  
Columbia, SC 29201  
(803) 765-5904

## Tennessee

Area Director  
2002 Richard Jones Road, Suite C-205  
Nashville, TN 37215-2809  
(615) 781-5423

## Texas

Area Director  
17625 El Camino Real, Suite 400  
Houston, TX 77058  
(281) 286-0583

Area Director  
Corpus Christi Area Office  
U.S. Department of Labor, OSHA  
Wilson Plaza West  
606 N. Carancahua, Suite 700  
Corpus Christi, TX 78476  
(361) 888-3420

Area Director  
507 North Sam Houston Parkway East, Suite 400  
Houston, TX 77060  
(281) 591-2438

Area Director  
Federal Building, Room 806  
1205 Texas Avenue  
Lubbock, TX 79401  
(806) 472-7681

Area Director  
700 E. San Antonio Street, Room C-408  
EL Paso, TX 79901  
(915) 534-6251

Area Director  
903 San Jacinto Boulevard, Suite 319  
Austin, TX 78701  
(512) 916-5783

Area Director  
8344 East R.L. Thornton Freeway, Suite 420  
Dallas, TX 75228  
(214) 320-2400

Area Director

North Star II, Suite 302  
8713 Airport Freeway  
Ft. Worth, TX 76180-7610  
(817) 428-2470

## Utah

Area Director  
1781 South 300 West  
P.O. Box 65200  
Salt Lake City, UT 84165-0200  
(801) 487-0521

## Virginia

District Supervisor  
200 Granby Street, Room 614  
Norfolk, VA 23510  
(757) 441-3820

## Washington

Area Director  
505 106th Avenue N.E., Suite 302  
Bellevue, WA 98004  
(206) 553-7520

## West Virginia

Area Director  
405 Capitol Street, Suite 407  
Charleston, WV 25301  
(304) 347-5937

## Wisconsin

Area Director  
Henry S. Reuss Building  
310 Wisconsin Avenue, Suite 1180  
Milwaukee, WI 53203  
(414) 297-3315

Area Director  
1648 Tri Park Way  
Appleton, WI 54914  
(920) 734-4521

District Supervisor  
1310 West Clairmont Ave.  
Eau Claire, WI 54701  
(715) 832-9019

Area Director  
4802 E. Broadway  
Madison, WI 53716  
(608) 441-5388

## OFFICE OF LABOR-MANAGEMENT STANDARDS

---

### California

90 7th Street  
Room 18100  
San Francisco, CA 94103-6701 United States  
(415) 625-2661

915 Wilshire Boulevard  
Suite 910  
Los Angeles, CA 90017 United States  
(213) 534-6405

### Colorado

# Appendix IV: Agency Regional and Local Office Addresses

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1999 Broadway Street  
Room 2435  
Denver, CO 80202 United States  
(720) 264-3232

## District of Columbia

800 North Capitol Street NW  
Room 120  
Washington, DC 20002-4244 United States  
(202) 513-7300

## Georgia

Atlanta Federal Building  
Room 8B85  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-2219 United States  
(404) 562-2083

## Illinois

Federal Office Building  
Suite 774  
230 S. Dearborn Street  
Chicago, IL 60604-1505 United States  
(312) 596-7160

## Louisiana

600 South Maestri Place  
Room 604  
New Orleans, LA 70130 United States  
(504) 589-6174

## Massachusetts

JFK Federal Building  
Room E-365  
Boston, MA 02203-0002 United States  
(617) 624-6690

## Michigan

211 West Fort Street  
Suite 1313  
Detroit, MI 48226-3237 United States  
(313) 226-6200

## Missouri

1222 Spruce Street  
Suite 9.109E  
St. Louis, MO 63103-2830 United States  
(314) 539-2667

## New York

201 Varick Street  
Suite 878  
New York, NY 10014 United States  
(646) 264-3190

130 South Elmwood Street  
Room 510  
Buffalo, NY 14202-2465 United States  
(716) 842-2900

## Ohio

Federal Office Building  
Suite 831  
1240 East Ninth Street  
Cleveland, OH 44199-2053 United States  
(216) 357-5455

525 Vine Street  
Suite 950  
Cincinnati, OH 45202-3168 United States  
(513) 684-6840

## Pennsylvania

The Curtis Center  
170 S. Independence Mall West  
Room 760W  
Philadelphia, PA 19106-3310 United States  
(215) 861-4818

## Tennessee

Federal Office Building  
Room 1411  
1000 Liberty Avenue  
Pittsburgh, PA 15222-4004 United States  
(412) 395-6925

## Tennessee

233 Cumberland Bend Drive  
Suite 110  
Nashville, TN 37228-1809 United States  
(615) 736-5906

## Texas

A. Maceo Smith Federal Building  
Suite 300  
525 Griffin Street  
Dallas, TX 75202-5007 United States  
(972) 850-2500

## Washington

Federal Office Building  
Suite 605  
1111 Third Avenue  
Seattle, WA 98101-3212 United States  
(206) 398-8099

## Wisconsin

517 East Wisconsin Avenue  
Suite 118  
Milwaukee, WI 53203-2213 United States  
(414) 297-1501

## OFFICE OF THE SECRETARY, WOMEN'S BUREAU

---

### Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Jacqueline Cooke, Regional Administrator  
JFK Federal Building, Room E-270  
One Congress Street  
Boston, MA 02114  
(617) 565-1988 or 1-800-518-3585  
Use the same number for FTS

### Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Mary C. Murphree, Regional Administrator  
201 Varick Street, Room 601  
New York, NY 10014  
(212) 337-2389  
Use the same number for FTS

### Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Cornelia Moore, Regional Administrator  
The Curtis Center, Suite 880 West  
170 S. Independence Mall West  
Philadelphia, PA 19104  
(215) 861-4860 or 1-800-379-9042  
Use the same number for FTS

### Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Delores Crockett, Regional Administrator  
61 Forsyth Street, S.W., Suite 7T95  
Atlanta, GA 30367  
(404) 562-2336 or 1-800-672-8356  
Use the same number for FTS

### Region IX

(Arizona, California, Hawaii, Nevada)  
Jenny Erwin, Regional Administrator  
71 Stevenson Street, Room 927  
San Francisco, CA 94105  
(415) 975-4750  
Use the same number for FTS

### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Nancy Chen, Regional Administrator  
230 South Dearborn Street, Room 1022  
Chicago, IL 60604  
(312) 353-6985 or 1-800-648-8183  
Use the same number for FTS

### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Beverly Lyle, Regional Administrator  
Suite 735, Federal Building  
525 Griffin Street, Suite 735  
Dallas, TX 75202  
(214) 767-6985 or 1-888-887-6794  
Use the same number for FTS

### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Rose A. Kemp, Regional Administrator  
Center City Square Building  
1100 Main Street, Suite 845  
Kansas City, MO 64106  
(816) 426-6108 or 1-800-252-4706  
Use the same number for FTS

### Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Frances Jefferson, Regional Administrator  
Federal Office Building  
1801 California Street, Suite 905  
Denver, CO 80202-2614  
(303) 844-1286 or 1-800-299-0886  
Use the same number for FTS

### Region X



# Appendix IV: Agency Regional and Local Office Addresses

(Alaska, Idaho, Oregon, Washington)  
Karen Furia, Regional Administrator  
1111 Third Avenue, Room 925  
Seattle, WA 98101-3211  
(206) 553-1534 or 1-888-296-7011  
Use the same number for FTS

## **VETERAN'S EMPLOYMENT AND TRAINING SERVICE**

REGIONAL ADMINISTRATORS AND STATE DIRECTORS FOR VETERANS' EMPLOYMENT AND TRAINING

### **Region I**

DVET Richard Gray  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 603  
Post Office Building  
87 State Street, Room 303  
Montpelier, VT 05602  
(802) 828-4441

DVET John Dunn  
Veterans' Employment and Training Service  
Department of Labor  
57 Spruce Street  
Westerly, RI 02891  
(401) 528-5134

DVET Paul L. Desmond  
Veterans' Employment and Training Service  
Department of Labor  
19 Staniford Street  
C.F. Hurley Building, 2nd Floor, ES Operations Section  
Boston, MA 02114  
(617) 626-6699

DVET William Mason  
Veterans' Employment and Training Service  
Department of Labor  
CT Department of Labor Building  
200 Folly Brook Boulevard  
Wethersfield, CT 06109  
(860) 263-6490

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
RAVET David Houle  
Veterans' Employment and Training Service  
Department of Labor  
JFK Federal Building, Room E-315  
Government Center  
Boston, MA 02203  
(617) 565-2080

DVET Jon Guay  
Veterans' Employment and Training Service  
Department of Labor  
5 Mollison Way  
P.O. Box 3106  
Lewiston, ME 04243  
(207) 753-9090

DVET Richard Ducey  
Veterans' Employment and Training Service  
Department of Labor

143 North Main Street, Room 208  
Concord, NH 03301  
(603) 225-1424

### **Region II**

DVET James H. Hartman  
Veterans' Employment and Training Service  
Department of Labor  
Harriman State Campus  
Building 12, Room 518  
Albany, NY 12240-0099  
(518) 457-7465

(New Jersey, New York, Puerto Rico and Virgin Islands)  
Veterans' Employment and Training Service  
Department of Labor  
201 Varick Street, Room 766  
New York, NY 10014  
(212) 337-2211

DVET Alan E. Grohs  
Veterans' Employment and Training Service  
Department of Labor  
Labor Building, 11th Floor, CN058  
Trenton, NJ 08625  
(609) 292-2930

DVET Angel Mojica  
Veterans' Employment and Training Service  
Department of Labor  
Puerto Rico Department of Labor and Human Services  
198 Calle Guayama, 20th Floor  
Hato Rey, PR 00917  
(787) 754-5391

### **Region III**

DVET Lawrence Babitts  
Veterans' Employment and Training Service  
Department of Labor  
Labor and Industry Building, Room 1108  
Seventh and Forster Streets  
Harrisburg, PA 17121  
(717) 787-5834

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia)  
RAVET Joseph Hortiz, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
The Curtis Center, Suite 770 West  
170 South Independence Mall West  
Philadelphia, PA 19106  
(215) 861-5390

DVET Roberto Pineda  
Veterans' Employment and Training Service  
Department of Labor  
703 E. Main street, Room 118  
Richmond, VA 23219  
(804) 786-7269

DVET Gary Lobdell  
Veterans' Employment and Training Service  
Department of Labor  
1100 North Eutaw Street, Room 210  
Baltimore, MD 21201

(410) 767-2110  
DVET Charles Stores, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
112 California Avenue  
Capitol Complex - Room 204  
Charleston, WV 25305-0112  
(304) 558-4001

DVET Stanley Williams  
Veterans' Employment and Training Service  
Department of Labor  
500 C Street, N.W., Room 108  
Washington, DC 20001  
(202) 724-7005

DVET David White  
Veterans' Employment and Training Service  
Department of Labor  
4425 N. Market Street, Room 420  
Wilmington, DE 19809-0828  
(302) 761-8138

### **Region IV**

DVET Richard E. Ritchie  
Veterans' Employment and Training Service  
Department of Labor  
915 8th Avenue North  
Nashville, TN 37219-3795  
(615) 736-7680

DVET Thomas Karrh  
Veterans' Employment and Training Service  
Department of Labor  
649 Monroe Street, Room 543  
Montgomery, AL 36131-6300  
(334) 223-7677

Derek W. Taylor  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1527  
Tallahassee, FL 32302-1527  
(850) 942-8800

Ed Gresham  
Veterans' Employment and Training Service  
Department of Labor  
Sussex Place, Suite 504  
148 International Boulevard, N.E.  
Atlanta, GA 30303-1751  
(404) 656-3127

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
RAVET William Bolls, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
Sam Nunn Atlanta Federal Center  
61 Forsyth Street, S.W., Room 6-T85  
Atlanta, GA 30303  
(404) 562-2305

DVET Charles R. Netherton  
Veterans' Employment and Training Service  
Department of Labor  
C/O Department for Employment Services

# Appendix IV: Agency Regional and Local Office Addresses

275 East Main Street  
Frankfort, KY 40621-2339  
(502) 564-7062

DVET Angelo Terrell  
Veterans' Employment and Training Service  
Department of Labor  
1520 West Capitol Street  
P.O. Box 1699  
Jackson, MS 39215-1699  
(601) 965-4204

DVET William C. Plowden, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1755  
Columbia, SC 29202-1755  
(803) 765-5195

DVET Steven W. Guess  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 27625  
Raleigh, NC 27611-7625  
(919) 733-7402, 733-7407

## Region IX

DVET Rosendo A. Cuevas  
Veterans' Employment and Training Service  
Department of Labor  
800 Capitol Mall, Room W-1142  
P.O. Box 826880  
Sacramento, CA 94280-0001  
(916) 654-8178

(Arizona, California, Hawaii, and Nevada)  
RAVET Rex A. Newell  
Veterans' Employment and Training Service  
Department of Labor  
71 Stevenson Street, Suite 705  
San Francisco, CA 94105  
(415) 975-4700

DVET Michael Espinosa  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 6123-SC760E  
1400 West Washington Street  
Phoenix, AZ 85005  
(602) 379-4961

DVET Judy A. Carlisle  
Veterans' Employment and Training Service  
Department of Labor  
1923 North Carson Street, Room 205  
Carson City, NV 89702  
(702) 687-4632

DVET Gilbert N. Hough  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 3680  
Honolulu, HI 96811  
(808) 522-8216

## Region V

DVET Michael D. Graham  
Veterans' Employment and Training Service  
Department of Labor

390 Robert Street North, 1st Floor  
St. Paul, MN 55101  
(651) 296-3665

DVET Kim Fulton  
Veterans' Employment and Training Service  
Department of Labor  
7310 Woodward Avenue, Suite 407  
Detroit, MI 48202  
(313) 876-5613

DVET D. Bruce Redman  
Veterans' Employment and Training Service  
Department of Labor Richard A. Mock  
10 North Senate Avenue, Room SE103  
Indianapolis, IN 46204  
(317) 232-6804

DVET Samuel L. Parks  
Veterans' Employment and Training Service  
Department of Labor  
401 South State Street, 744 North  
Chicago, IL 60605  
(312) 793-3433

DVET Carl Price  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1618  
Columbus, OH 43216  
(614) 644-3688

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
230 South Dearborn, Room 1064  
Chicago, IL 60604  
(312) 353-0970

DVET James R. Gutowski  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 8310  
Madison, WI 53708-8310  
(608) 266-3110

## Region VI

DVET Billy R. Threlkeld  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 128  
Little Rock, AK 72203  
(501) 682-3786

DVET Lester L. Parmenter  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94094, Room 184  
Baton Rouge, LA 70804-9094  
(225) 389-0339

DVET John D. McKinny  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1468  
Austin, TX 78767  
(512) 463-2814

DVET Darrell H. Hill  
Veterans' Employment and Training Service  
Department of Labor  
201 North Lincoln Boulevard  
P.O. Box 52003  
Oklahoma City, OK 73152-2003  
(405) 231-5088

Sharon I. Mitchell  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25085  
Albuquerque, NM 87125-5085  
(505) 346-7502

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
525 Griffin Street, Room 858  
Dallas, TX 75202  
(214) 767-4987

## Region VII

DVET Mickey J. Jones  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1087  
421 East Dunklin Street  
Jefferson City, MO 65102-1087  
(573) 751-3921

DVET Gayle Gibson  
Veterans' Employment and Training Service  
Department of Labor  
401 Topeka Boulevard  
Topeka, KS 66603-3182  
(913) 296-5032

DVET Anthony J. Smithhart  
Veterans' Employment and Training Service  
Department of Labor  
150 Des Moines Street  
Des Moines, IA 50309-5563  
(515) 281-9061

DVET Richard Nelson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94600  
550 South 16th Street  
Lincoln, NE 68508  
(402) 437-5289

(Iowa, Kansas, Missouri, and Nebraska)  
RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
City Center Square Building  
1100 Main Street, Suite 850  
Kansas City, MO 64105-2112  
(816) 426-7151

## Region VIII

DVET David McNulty  
Veterans' Employment and Training  
Department of Labor

# Appendix IV: Agency Regional and Local Office Addresses

P.O. Box 2760  
100 West Midwest Avenue  
Casper, WY 82602-2760  
(307) 261-5454

(Colorado, Montana, North Dakota, South Dakota,  
Utah and Wyoming)

RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
1999 Broadway, Suite 1730  
Denver, CO 80202-2614  
(303) 844-1175

DVET Dale Brockbank  
Veterans' Employment and Training Service  
Department of Labor  
140 East 300 South  
Salt Lake City, UT 84111-2333  
(801) 524-5703

DVET Earl R. Schultz  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 4730  
420 South Roosevelt Street  
Aberdeen, SD 57402-4730  
(605) 626-2325

DVET Mark McGinty  
Veterans' Employment and Training Service  
Department of Labor  
1515 Arapahoe Street, 2 Park Central, Suite 400  
Denver, CO 80202-2117  
(303) 844-2151

DVET Jerry Meske  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1632  
1000 E. Divide Avenue  
Bismarck, ND 58502-1632  
(701) 328-2865

DVET Polly Latray-Halmes  
Veterans' Employment and Training  
Department of Labor  
1215 8th Avenue  
Helena, MT 59601-4144  
(406) 449-5431

## Region X

DVET Ron Cannon  
Veterans' Employment and Training Service  
Department of Labor  
312 Employment Division Building, Room 108  
875 Union Street, N.E.  
Salem, OR 97311-0100  
(503) 947-1490

DVET Daniel Travis  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25509  
1111 West 8th Street  
Juneau, AK 99802-5509  
(907) 465-2723

DVET Vacant

Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 2697  
Boise, ID 83701  
(208) 334-6163

(Alaska, Idaho, Oregon and Washington)  
RAVET Rex A. Newell  
Veterans' Employment and Training Services  
Department of Labor  
1111 Third Avenue, Suite 900  
Seattle, WA 98101-3212  
(206) 553-4831

Thomas Pearson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 165  
Olympia, WA 98507-0165  
(360) 438-4600  
  
Contact any Veterans' Employment and Training  
Service Office concerning veterans' reemployment  
rights.

## DEPARTMENT OF TRANSPORTATION

### FEDERAL AVIATION ADMINISTRATION (FAA)

NATIONAL MINE HEALTH AND SAFETY  
ACADEMY

#### Alaska

20.106 AIRPORT IMPROVEMENT PROGRAM  
(907) 271-5438

20.100 AVIATION EDUCATION  
Tom Vanderwest AHT-200  
(202) 267-3436

(Alaskan Region)  
222 West 7th Avenue  
Box 14  
Anchorage, AK 99513

#### Alaska Region

Aviation Education  
David Brubakee AAL-17  
(907) 271-5377

222 West 7th Avenue  
Anchorage, AK 99513-7587

#### California

20.106 AIRPORT IMPROVEMENT PROGRAM  
AWP  
(310) 725-3600

20.100 AVIATION EDUCATION  
Hank Verbais AWP-4  
(310) 725-3802

(Western-Pacific Region)  
P.O. Box 92007  
Worldway Postal Center  
Los Angeles, CA 90009-2007

#### FAA Mike Monrohey

Aeronautical Center  
P.O. Box 25082

Oklahoma City, OK 73135

#### FAA William J. Hughes

Technical Center  
Atlantic City International Airport  
Atlantic City, NJ 08405

Kailene Gennz-Stoltzfus ACT-70  
(605) 485-6515

#### Georgia

20.106 AIRPORT IMPROVEMENT PROGRAM  
ASO-600  
(404) 305-6700

20.100 AVIATION EDUCATION  
Opal Neely ASO-17B  
(425) 227-1725

(Southern Region)  
1701 Columbia Avenue  
For letter mail: P.O. Box 20636  
Atlanta, GA 30320-0631

#### Illinois

(Great Lake Region)  
O'Hare Lake Office Center  
2300 East Devon Avenue  
Des Plaines, IL 60018

20.100 AVIATION EDUCATION  
Estele Ponce AGL-4  
(847) 294-7106

20.106 AIRPORT IMPROVEMENT PROGRAM  
AGL-600  
(847) 294-7272

#### Massachusetts

20.106 AIRPORT IMPROVEMENT PROGRAM  
ANE-600  
(617) 238-7600

20.100 AVIATION EDUCATION  
(New England Region)  
12 New England Executive Park  
Sheila Bauer, ANE-40  
Burlington, MA 01803-5299  
(781) 238-7378

#### Missouri

(Central Region)  
601 East 12th Street  
Kansas City, MO 64106-2808

20.106 AIRPORT IMPROVEMENT PROGRAM  
ACE-600  
(816) 426-4698

20.100 AVIATION EDUCATION  
Stephanie Webb ACE-3W  
(816) 329-2420

#### New York

20.106 AIRPORT IMPROVEMENT PROGRAM  
AEA-600  
(718) 553-3331

20.100 AVIATION EDUCATION  
Mary Ann Poindexter, AEA-60  
(718) 553-3363

# Appendix IV: Agency Regional and Local Office Addresses

---

(Eastern Region)

JFK International Airport  
Federal Building, Room 111  
Jamaica, NY 11430

## Texas

20.100 AVIATION EDUCATION  
Debra Myers, ASW-18B  
(817) 222-5833

20.106 AIRPORT IMPROVEMENT PROGRAM  
ASW-600  
(817) 222-5600

(Southwestern Region)

2601 Meacham Boulevard  
Fort Worth, TX 76137-4298

## Washington

(Northwest Mountain Region)

1601 Lind Avenue, S.W.  
Renton, WA 98055-4056

20.100 AVIATION EDUCATION  
Megan Parsell ANM-15  
(425) 227-1725

20.106 AIRPORT IMPROVEMENT PROGRAM  
ANM-600  
(206) 227-2600

## FEDERAL HIGHWAY ADMINISTRATION (FHWA)

---

### Alabama

Joe D. Wilkerson  
500 Eastern Boulevard, Suite 200  
Montgomery, AL 36117-2018  
(334) 223-7370

### Alaska

David Miller  
709 West 9th Street, Room 851  
P.O. Box 21648  
Juneau, AK 99802-1648  
(907) 586-7180

### Arizona

Robert E. Hollis  
234 North Central Avenue, Suite 330  
Phoenix, AZ 85004-2220  
(602) 379-3646

### Arkansas

Sandra L. Otto  
700 West Capitol Avenue, Room 3130  
Little Rock, AR 72201-3298  
(501) 324-5625

### California

Michael G. Ritchie  
980 9th Street, Suite 400  
Sacramento, CA 95814-2724  
(916) 498-5001

### Central

Larry C. Smith  
555 Zang Street

Lakewood, CO 80228-1010  
(303) 716-2000

### Colorado

William C. Jones  
555 Zang Street, Room 250  
Lakewood, CO 80228-1097  
(303) 969-6730, Ext. 3

### Connecticut

Donald J. West  
628-2 Hebron Avenue, Suite 303  
Glastonbury, CT 06033-5007  
(860) 659-6703, Ext. 3009

### Delaware

Tommy D. Myers  
300 South New Street, Room 2101  
Dover, DE 19904-0726  
(302) 734-5323

### District of Columbia

Gary L. Henderson  
Union Center Plaza  
820 First Street, N.E., Suite 750  
Washington, DC 20002-4205  
(202) 523-0163

### Eastern

Melisa L. Ridenour  
21400 Ridgeway Circle  
Loudoun Technical Center  
Sterling, VA 20166-6511  
(703) 404-6201

### Florida

James E. St. James  
227 North Bronough Street  
Room 2015  
Tallahassee, FL 32301-1330  
(850) 942-9650

### Georgia

Larry Dreihaupt  
61 Forsyth Street, S.W., Suite 17T100  
Atlanta, GA 30303-3104  
(404) 562-3630

### Hawaii

Abraham Y. Wong  
Prince Jonah Kuhio  
Kalaniana'ole Federal Building  
300 Ala Moana Boulevard  
P.O. Box 50206, Room 3-306  
Honolulu, HI 96850-5000  
(808) 541-2700, Ext. 312

### Idaho

Stephen Moreno  
3050 Lakeharbor Lane, Suite 126  
Boise, ID 83703-6243  
(208) 334-9180

### Illinois

Norman R. Stoner  
3250 Executive Park Drive

Springfield, IL 62703-4514  
(217) 492-4640

### Indiana

Robert F. Talley, Jr.  
575 North Pennsylvania Street, Room 254  
Indianapolis, IN 46204-1576  
(317) 226-7475

### Iowa

Phil Barnes  
105 6th Street  
Ames, IA 50010-6337  
(515) 233-7300

### Kansas

J. Michael Bowen  
3300 South Topeka Boulevard, Suite 1  
Topeka, KS 66611-2237  
(785) 267-7281

### Kentucky

John C. Watts  
Federal Building  
330 West Broadway  
Frankfort, KY 40601-1922  
(502) 223-6720

### Louisiana

William A. Sussmann  
5304 Flanders Drive, Suite A  
Baton Rouge, LA 70808-4348  
(225) 757-7600

### Maine

Jonathan McDade  
Edmund S. Muskie Federal Building  
40 Western Avenue, Room 614  
Augusta, ME 04330-6394  
(207) 622-8487, Ext. 19

### Maryland

Nelson Castellanos  
711 West 40th Street, Suite 220  
Baltimore, MD 21211-2108  
(410) 962-4440

### Massachusetts

Stanley Gee  
55 Broadway, 10th Floor  
Cambridge, MA 02142-1093  
(617) 494-3657

### Michigan

James J. Steele  
Federal Building, Room 207  
315 West Allegan Street, Room 207  
Lansing, MI 48933-1528  
(517) 377-1844

### Minnesota

Alan R. Steger  
Galtier Plaza, Box 75  
380 Jackson Street, Suite 500  
St. Paul, MN 55101-2904  
(651) 291-6100

# Appendix IV: Agency Regional and Local Office Addresses

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## Mississippi

Andrew H. Hughes  
666 North Street, Suite 105  
Jackson, MS 39202-3199  
(601) 965-4215

## Missouri

Allen Masuda  
209 Adams Street  
Jefferson City, MO 65101-3203  
(573) 636-7104

## Montana

Janice W. Brown  
2880 Skyway Drive  
Helena, MT 59602-1230  
(406) 449-5303, Ext. 235

## Nebraska

William Brownell  
Federal Building, Room 220  
100 Centennial Mall North  
Lincoln, NE 68508-3851  
(402) 437-5765

## Nevada

Susan Kelepar  
705 North Plaza Street, Suite 220  
Carson City, NV 89701-0602  
(775) 687-1204

## New Hampshire

Kathleen O. Laffey  
279 Pleasant Street, Suite 204  
Concord, NH 03301-7502  
(603) 228-0417

## New Jersey

Dennis L. Merida  
840 Bear Tavern Road, Suite 310  
West Trenton, NJ 08628-1019  
(609) 637-4200

## New Mexico

J. Don Martinez  
604 West San Mateo Road  
Santa Fe, NM 87505-3920  
(505) 820-2021

## New York

Robert E. Arnold  
Leo W. O'Brien Federal Building, Room 719  
Clinton Avenue and N. Pearl Street  
Albany, NY 12207  
(518) 431-4125

## North Carolina

John Sullivan  
310 New Bern Avenue, Suite 410  
Raleigh, NC 27601-1441  
(919) 856-4346

## North Dakota

Al Radliff  
1471 Interstate Loop  
Bismarck, ND 58503-0567

(701) 250-4204

## Ohio

Dennis Decker  
200 North High Street, Room 328  
Columbus, OH 43215  
(614) 280-6896

## Oklahoma

Walter J. Kudzia  
300 N. Meridian, Suite 105S  
Oklahoma City, OK 73107-6560  
(405) 605-6011

## Oregon

David O. Cox  
The Equitable Center  
530 Center Street, N.E., Suite 100  
Salem, OR 97301-3740  
(503) 399-5749

## Pennsylvania

James A. Cheatham  
228 Walnut Street, Room 558  
Harrisburg, PA 17101-1720  
(717) 221-3461

## Puerto Rico

Lubin M. Quipones  
Frederico Degetau Federal Building  
330 Carlos Chardon Ave., Room 210  
San Juan, PR 00916  
(787) 766-5600, Ext. 223

## Rhode Island

Lucy Garliauskos  
380 Westminster Mall, 5th Floor  
Providence, RI 02903-3246  
(401) 528-4560

## South Carolina

Robert L. Lee  
Strom Thurmond Federal Building  
1835 Assembly Street, Suite 1270  
Columbia, SC 29201-2483  
(803) 765-5411

## South Dakota

John Rohlf  
116 East Dakota Avenue  
Pierre, SD 57501-3110  
(605) 224-8033

## Tennessee

Bobby Blackmon  
640 Grassmere Park Road, Suite 112  
Nashville, TN 37211-3658  
(615) 781-5770

## Texas

Curtis Dan Reagan  
Federal Office Building  
300 East 8th Street, Room 826  
Austin, TX 78701-3233  
(512) 536-5900

## Utah

David Gibbs  
2520 West 4700 South, Suite 9A  
Salt Lake City, UT 84118-1847  
(801) 963-0182

## Vermont

Charles E. Basner  
Federal Building  
87 State Street  
PO Box 568  
Montpelier, VT 05601-0568  
(802) 828-4423

## Virginia

Roberto Fonseca Martinez  
400 North 8th Street, Room 750  
PO Box 10249  
Richmond, VA 23240-0249  
(804) 775-3320

## Washington

Daniel M. Mathis  
Evergreen Plaza  
711 South Capitol Way, Suite 501  
Olympia, WA 98501-1284  
(360) 753-9480

## West Virginia

Thomas J. Smith  
Geary Plaza  
700 Washington Street East, Suite 200  
Charleston, WV 25301-1604  
(304) 347-5928

## Western

Ronald W. Carmichael  
610 East Fifth Street  
Vancouver, WA 98661-3801  
(360) 619-7700

## Wisconsin

Bruce E. Matzke  
Highpoint Office Park  
567 D'Onofrio Drive  
Madison, WI 53719-2814  
(608) 829-7500

## Wyoming

Philip E. Miller  
2617 E. Lincolnway, Suite D  
Cheyenne, WY 82001-5662  
(307) 772-2101, Ext.40

## FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA)

---

### Alabama

Judy VanLuchene  
500 Eastern Boulevard, Suite 200  
Montgomery, AL 36117-2018  
(334) 223-7244

### Alaska

John Quartuccio  
605 W. 4th Avenue, Room 249  
Historic Federal Building

# Appendix IV: Agency Regional and Local Office Addresses

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Anchorage, AK 99501  
(907) 271-4068

## Arizona

Eric Ice  
234 North Central Avenue, Suite 305  
Phoenix, AZ 85004-2002  
(602) 379-6851

## Arkansas

J. Mark Westmoreland  
700 West Capitol Avenue, Room 3130  
Little Rock, AR 72201-3298  
(501) 324-5050

## California

Richard Brennan  
980 9th Street  
Sacramento, CA 95814-2724  
(916) 498-5050

## Colorado

William Copley  
555 Zang Street, Room 264  
Lakewood, CO 80228-1097  
(303) 969-6748

## Connecticut

Jeffrey Cimahosky  
628-2 Hebron Avenue, Suite 303  
Glastonbury, CT 06033-5007  
(860) 659-6700

## Delaware

Veron Kirkendoll  
300 South New Street, Room 2101  
Dover, DE 19904-0726  
(302) 734-8173

## District of Columbia

Taft Kelly  
Union Center Plaza  
820 First Street, N.E., Suite 750  
Washington, DC 20002-4205  
(202) 523-0178

## Florida

James Gregg  
227 North Bronough Street  
Room 2060  
Tallahassee, FL 32301-1330  
(850) 942-9338

## Georgia

Tom Marlow  
61 Forsyth Street, S.W., Suite 17T85  
Atlanta, GA 30303-3104  
(404) 562-3620

## Hawaii

Wendy Burke  
Prince Jonah Kuhio  
Kalaniana'ole Federal Building  
300 Ala Moana Boulevard, Room 3-243  
P.O. Box 50206  
Honolulu, HI 96850-5000

(808) 541-2700

## Idaho

John Francis  
3050 Lakeharbor Lane, Suite 126  
Boise, ID 83703-6243  
(208) 334-1842

## Illinois

John Mulcare  
3250 Executive Park Drive  
Springfield, IL 62703-4514  
(217) 492-4608

## Indiana

Kenneth Stickland  
575 North Pennsylvania Street, Room 261  
Indianapolis, IN 46204-1570  
(317) 226-7474

## Iowa

Kent Fleming  
105 6th Street  
Ames, IA 50010-6337  
(515) 233-7400

## Kansas

Teri Graham  
3300 South Topeka Boulevard, Suite 1  
Topeka, KS 66611-2237  
(785) 267-7288

## Kentucky

Buddy Yount  
330 West Broadway  
Frankfort, KY 40601-1922  
(502) 223-6779

## Louisiana

Sterlin Williams  
5304 Flanders Drive, Suite A  
Baton Rouge, LA 70808-4348  
(225) 757-7640

## Maine

Gerald Amato, Acting  
Edmund S. Muskie Federal Building  
40 Western Avenue, Room 601  
Augusta, ME 04330-6394  
(207) 622-8358

## Maryland

Terry Runge-Erle  
711 West 40th Street, Suite 220  
Baltimore, MD 21211-2100  
(410) 962-2889

## Massachusetts

Richard Bates  
55 Broadway, Room I-35  
Cambridge, MA 02142-1093  
(617) 494-2770

## Michigan

Patrick Muinich  
315 West Allegan Street, Room 205

Lansing, MI 48933-1528  
(517) 377-1866

## Minnesota

Daniel Drexler  
Galtier Plaza, Box 75  
175 E. 5th Street, Suite 500  
St. Paul, MN 55101-2904  
(651) 291-6150

## Mississippi

Benny Wood  
666 North Street, Suite 103  
Jackson, MS 39202-3199  
(601) 965-4219

## Missouri

Joseph Boyd  
209 Adams Street  
Jefferson City, MO 65101-3203  
(573) 636-3246

## Montana

Kristin Phillipps  
2880 Skyway Drive  
Helena, MT 59602-1230  
(406) 449-5304

## Nebraska

Elyse Mueller  
100 Centennial Mall North, Room 220  
Lincoln, NE 68508-3851  
(402) 437-5986

## Nevada

Bill Bensmiller  
705 North Plaza Street, Suite 220  
Carson City, NV 89701-0602  
(775) 687-5335

## New Hampshire

Timothy Cotter  
279 Pleasant Street, Room 202  
Federal Building  
Concord, NH 03301-7502  
(603) 228-3112

## New Jersey

Christopher Rotondo  
840 Bear Tavern Road, Suite 310  
West Trenton, NJ 08628-1019  
(609) 637-4222

## New Mexico

Martha Brooks  
2400 Louisiana Boulevard N.E.  
AFC-5, Suite 520  
Albuquerque, NM 87110  
(505) 346-7858

## New York

Brian Temperine  
Leo W. O'Brien Federal Building, Room 719  
Clinton Avenue and N. Pearl Street  
Albany, NY 12207  
(518) 431-4145

# Appendix IV: Agency Regional and Local Office Addresses

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## North Carolina

Christopher Harley  
310 New Bern Avenue, Suite 468  
Raleigh, NC 27601-1441  
(919) 856-4378

## North Dakota

Jeffrey Jensen  
1471 Interstate Loop  
Bismarck, ND 58503-0567  
(701) 250-4346

## Ohio

Steven Mattioli  
200 North High Street, Room 328  
Columbus, OH 43215  
(614) 280-5657

## Oklahoma

Mac Kirk  
300 N. Meridan, Suite 106-S  
Oklahoma City, OK 73107-6560  
(405) 605-6047

## Oregon

Andrew Eno  
530 Center Street, N.E., Suite 100  
Salem, OR 97301-3740  
(503) 399-5775

## Pennsylvania

Patrick Quigley  
228 Walnut Street, Room 536  
Harrisburg, PA 17101-1720  
(717) 221-4443

## Puerto Rico

Enid Martinez  
US Courthouse & Federal Building  
Carlos Chardon Street, Room 329  
Hato Rey, PR 00918  
(787) 766-5985

## Rhode Island

Robert Molla  
380 Westminster Mall, Room 547  
Providence, RI 02903-3246  
(401) 528-4578

## South Carolina

Curtis Thomas  
1835 Assembly Street, Suite 1253  
Columbia, SC 29201-2430  
(803) 765-5414

## South Dakota

Mark Gilmore  
116 East Dakota Street  
Pierre, SD 57501-3110  
(605) 224-8202

## Tennessee

Richard Gobbell  
640 Grassmere Park Road, Suite 111  
Nashville, TN 37211  
(615) 781-5781

## Texas

David Martin  
Federal Office Building  
300 East 8th Street, Room 826  
Austin, TX 78701-3233  
(512) 536-5980

## Utah

Robert Kelleher  
2520 West 4700 South, Suite 9B  
Salt Lake City, UT 84118-1847  
(801) 963-0096

## Vermont

Gerard Amato  
87 State Street, Room 216  
Montpelier, VT 05602-2954  
(802) 828-4480

## Virginia

Craig Feister  
400 North 8th Street, Room 750  
Richmond, VA 23240  
(804) 775-3322

## Washington

Roger Kraft  
Evergreen Plaza  
711 South Capitol Way, Suite 501  
Olympia, WA 98501-1284  
(360) 753-9875

## West Virginia

Michael Myers  
700 Washington Street East, Suite 205  
Charleston, WV 25301-1604  
(304) 347-5935

## Wisconsin

William Vickery  
567 D'Onofrio Drive, Suite 101  
Madison, WI 53719-2814  
(608) 829-7534

## Wyoming

Gary Lowe  
1916 Evans Avenue  
Cheyenne, WY 82001-3764  
(307) 772-2305

## FEDERAL RAILROAD ADMINISTRATION (FRA)

---

### Region I (Northeastern)

(Connecticut, Maine, Massachusetts, New  
Hampshire, New Jersey, New York, Rhode Island,  
Vermont)

Mark H. McKeon, Regional Administrator  
55 Broadway, Room 1077  
Cambridge, MA 02142  
(617) 494-2302  
Use the same number for FTS

### Region II (Eastern)

(Delaware, District of Columbia, Pennsylvania,  
Maryland, Virginia, West Virginia, Ohio)

David R. Myers, Regional Administrator  
2 International Plaza, Suite 550  
Philadelphia, PA 19113  
(610) 521-8200  
Use the same number for FTS

### Region III (Southern)

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)

L.F. Dennin, II, Regional Administrator  
Atlanta Federal Center, Suite 16T20  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-3104  
(404) 562-3800

Use the same number for FTS

### Region IV (Central)

(Illinois, Indiana, Michigan, Minnesota,  
Wisconsin)

Hiram J. Walker, Regional Administrator  
111 North Canal Street, Suite 655  
Chicago, IL 60606

(312) 353-6203 Use the same number for FTS

### Region V (Southwestern)

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

John F. Megary, Regional Administrator  
8701 Bedford Eules Road, Suite 425  
Hurst, TX 76053  
(817) 284-8142

Use the same number for FTS

### Region VI (Midwestern)

(Iowa, Kansas, Missouri, Nebraska, Colorado)

Darrell J. Tisor, Regional Administrator  
901 Locust Street, Suite 464  
Kansas City, MO 64106-2095  
(816) 329-3840

Use the same number for FTS

### Region VII (Western)

(Arizona, California, Nevada, Utah)

Alvin Settje, Regional Administrator  
801 I Street, Suite 466  
Sacramento, CA 95814-2559  
(916) 498-6540

### Region VIII (Northwestern)

(Alaska, Idaho, Montana, North Dakota, Oregon,  
South Dakota, Washington, Wyoming)

Dick Clairmont, Regional Administrator  
Murdock Executive Plaza, Suite 650  
703 Broadway  
Vancouver, WA 98660  
(360) 696-7536

Use the same number for FTS

## FEDERAL TRANSIT ADMINISTRATION (FTA)

---

### Region I

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
Richard Doyle, Regional Administrator

# Appendix IV: Agency Regional and Local Office Addresses

C/O Volpe National, Transportation Systems  
Center, Kendall Square  
55 Broadway, Suite 920  
Cambridge, MA 02142-1093  
(617) 494-2055

## Region II

(New Jersey, New York, Virgin Islands)  
Letitia A. Thompson, Regional Administrator  
Metropolitan Office  
One Bowling Green, Suite 429  
New York, NY 10004-1415  
(212) 668-2170  
Use the same number for FTS

## Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
Vacant  
1760 Market Street, Suite 500  
Philadelphia, PA 19103-4124  
(215) 656-7100 Use the same number for FTS

## Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, Puerto Rico, South  
Carolina, Tennessee)  
Jerry Franklin, Regional Administrator  
61 Forsyth Street, S.W., Suite 17T50  
Atlanta, GA 30303-8917  
(404) 562-3000

## Region IX

(Arizona, California, Hawaii, Nevada, Guam,  
American Samoa)  
Leslie Rogers, Regional Administrator  
201 Mission Street, Suite 2210  
San Francisco, CA 94105-1926  
(415) 744-3133  
Use the same number for FTS

## Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
Joel P. Ettinger, Regional Administrator  
200 West Adams Street  
24th Floor, Suite 2410  
Chicago, IL 60606-5232  
(312) 353-2789  
Use the same number for FTS

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)  
Robert C. Patrick, Regional Administrator  
Fritz Lanham Federal Building  
819 Taylor Street, Suite 8A36  
Fort Worth, TX 76102  
(817) 978-0550  
Use the same number for FTS

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Mokhtee Ahmad, Regional Administrator  
901 Locust Street, Room 404  
Kansas City, MO 64106

(816) 329-3920  
Use the same number for FTS

## Region VIII

Note grant making activity for Arizona and  
Nevada falls under Region VIII  
(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)  
Lee Waddleton, Regional Administrator  
Columbine Place  
216 Sixteenth Street, Suite 650  
Denver, CO 80202-5120  
(303) 844-3242 Use the same number for FTS

## Region X

(Alaska, Idaho, Oregon, Washington)  
Helen M. Knoll, Regional Administrator  
Jackson Federal Building, Suite 3142  
915 Second Avenue  
Seattle, WA 98174-1002  
(206) 220-7954  
Use the same number for FTS

## MARITIME ADMINISTRATION (MARAD)

### California

(Western Region: Alaska, Arizona, California,  
Hawaii, Idaho, Montana, Nevada, Oregon, Utah,  
Washington, Wyoming)  
Francis X. Johnston  
Maritime Administration  
201 Mission Street, Suite 2200  
San Francisco, CA 94105  
(415) 744-3125  
Use the same number for FTS

### Illinois

(Great Lakes Region: Illinois, Iowa, Kansas,  
Kentucky, Indiana, Michigan, Minnesota,  
Missouri, Nebraska, New York (lake coastal area),  
North Dakota, Ohio, Pennsylvania (lake coastal  
area), South Dakota, West Virginia (Western  
third), Wisconsin)  
Doris J. Bautch  
Maritime Administration  
1701E. Woodfield Road, Suite 203  
Schaumburg, IL 60173  
(847) 995-0122 Use the same number for FTS

### Louisiana

(Central Region: Alabama, Arkansas, Colorado,  
Florida (western half), Louisiana, Mississippi,  
New Mexico, Oklahoma, Tennessee, Texas)  
John W. Carnes  
Maritime Administration  
501 Magazine Street, Room 1223  
New Orleans, LA 70130-3394  
(504) 589-2000  
Use the same number for FTS

### New York

Joseph D. Stewart  
United States Merchant Marine Academy  
Kings Point, NY 11024-1699

(516) 773-5000  
Use the same number for FTS

(North Atlantic Region: Connecticut, Delaware,  
Maine, Maryland, Massachusetts, New Hampshire,  
New Jersey, New York (except lake coastal area)  
Pennsylvania (except lake coastal area), Rhode  
Island, Vermont)  
Vacant  
Maritime Administration  
One Bowling Green, Room 418  
New York, NY 10004-1415  
(212) 668-3330 Use the same number for FTS

### Virginia

(South Atlantic Region: Florida (eastern half),  
Georgia, North Carolina, Puerto Rico, South  
Carolina, Virginia, West Virginia, (eastern  
two-thirds)  
Mayank Jain  
Maritime Administration  
7737 Hampton Boulevard, Building 4D, Room  
211  
Norfolk, VA 23505  
(757) 441-6393  
Use the same number for FTS

## NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA)

### Region I

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
George A. Luciano, Regional Administrator  
Transportation System Center  
Kendall Square-Code 903  
Cambridge, MA 02142  
(617) 494-3427

### Region II

(New Jersey, New York, Puerto Rico, Virgin  
Islands)  
Thomas M. Louizou, Regional Administrator  
222 Mamaroneck Avenue, Suite 204  
White Plains, NY 10605  
(914) 682-6162

### Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
Elizabeth A. Baker, Regional Administrator  
The Crescent Building  
10 South Howard Street, Suite 4000  
Baltimore, MD 21201  
(410) 962-0077

### Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Troy Ayers, Regional Administrator  
61 Forsyth Street, S.W., Suite 17T30  
Atlanta, GA 30303-3104  
(404) 562-3739

### Region IX



# Appendix IV: Agency Regional and Local Office Addresses

(Arizona, California, Hawaii, Nevada, Mariana Islands, Guam, American Samoa)  
David Manning, Acting Regional Administrator  
201 Mission Street, Suite 2230  
San Francisco, CA 94105  
(415) 744-3089

## Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Donald J. McNamara, Regional Administrator  
19900 Governors Drive, Suite 201  
Olympia Fields, IL 60461  
(708) 503-8822

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Indian Nations)  
Georgia S. Chakiris, Regional Administrator  
819 Taylor Street, Room 8A38  
Fort Worth, TX 76102-6177  
(817) 978-3653

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Romell W. Cook, Regional Administrator  
P.O. Box 412515  
Kansas City, MO 64141  
(816) 822-7233  
Use the same number for FTS

## Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Louis R. DeCarolis, Ph.D., Regional Administrator  
555 Zang Street, Room 430  
Lakewood, CO 80228  
(303) 969-6917

## Region X

(Alaska, Idaho, Oregon, Washington)  
Curtis A. Winston, Regional Administrator  
3140 Jackson Federal Building  
915 Second Avenue  
Seattle, WA 98174  
(206) 220-7640

## RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION (RSPA)

### Central Region

(Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, Ohio, Wisconsin)  
Ivan A. Huntoon  
1900 Locust Street, Room 462  
Kansas City, MO 64106  
(816) 329-3800  
(816) 329-3831 FAX  
Use same 10-digit number for F

### Eastern Region

(Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia)

William H. Gute  
400 7th Street, S.W., Room 7130  
Washington, DC 20590  
(202) 366-4580  
(202) 366-3274 FAX  
Use same 10-digit number for F

### Southern Region

(Alabama, Arkansas, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)  
Frederick A. Joyner  
61 Forsyth Street, Suite 16T15  
Atlanta, GA 30303  
(404) 562-3530  
(404) 562-3569 FAX  
Use same 10-digit number for F

### Southwest Region

(Arizona, Louisiana, New Mexico, Oklahoma, Texas)  
Rodrick M. Seeley  
2320 LaBranch, Room 2100  
Houston, TX 77004  
(713) 718-3746  
(713) 718-3724 FAX  
Use same 10-digit number for F

### Western Region

(California, Colorado, Idaho, Montana, Nevada, Oregon, Utah, Washington, Wyoming, Alaska, Hawaii)  
Chris Hoidal  
Golden Hills Centre, Suite A-250  
12600 W. Colfax Avenue  
Lakewood, CO 80215  
(303) 231-5701  
(303) 231-5711 FAX

## APPALACHIAN REGIONAL COMMISSION

### Alabama

Director  
Department of Economic and Community Affairs  
Box 5690, 401 Adams Avenue  
Montgomery, AL 36103-5690  
(334) 242-8672

### Georgia

Director, Intergovernmental Relations  
Office of the Governor  
State Capital  
Room 131  
Atlanta, GA 30334  
(404) 463-7775

### Kentucky

Community Holding Company  
220 Main Street  
PO Box 331  
Inez, KY 41224  
(606) 298-3510

### Maryland

Director, Maryland Office of Planning  
301 West Preston Street, Room 1101  
Baltimore, MD 21201  
(410) 767-4510

### Mississippi

Community Assistance  
Mississippi Development Authority  
PO Box 849  
Jackson, MS 39205-0849  
(601) 359-6622

### New York

Secretary of State  
Department of State  
41 State Street  
Albany, NY 12231  
(518) 486-9844

### North Carolina

Director  
North Carolina Washington Office  
444 North Capitol Street, Suite 332  
Washington, DC 20001-1512  
(202) 624-5833

### Ohio

Director  
Governor's Office of Appalachia  
77 South High Street, 28th Floor, Box 1001  
Columbus, OH 43266-1001  
(614) 644-9228

### Pennsylvania

Deputy Secretary, Community Affairs and Development  
Department of Community and Economic Development  
400 North Street  
4th Floor  
Commonwealth Keystone Bldg.  
Harrisburg, PA 17120  
(717) 787-3003

### South Carolina

Policy Advsor to the Governor  
Office of the Governor  
PO Box 12267  
Columbia, SC 29211  
(803) 734-5166

### Tennessee

Commissioner  
Department of Economic & Community Development  
William R. Snodgrass Tennessee  
312 Eighth Avenue, North  
11th Floor  
Nashville, TN 37243-0405  
(615) 741-1888

### Virginia

Virginia Department of Housing and Community Development  
Jackson Center  
501 North 2nd Street

# Appendix IV: Agency Regional and Local Office Addresses

Richmond, VA 23219  
(804) 371-7002

## West Virginia

Director, Community Development Division  
West Virginia Development Office  
Building 6, Room 553  
State Capitol Complex  
Charleston, WV 25305  
(304) 558-4010

## OFFICE OF PERSONNEL MANAGEMENT

### Puerto Rico

San Juan  
Plaza Laz Americans Tower  
525 Roosevelt Avenue, Room 1100  
Hato Rey, PR 00918  
(809) 766-5620

### Region II

Alabama/Tennessee/Mississippi/Arkansas  
Huntsville  
520 Wynn Drive, N.W., 35816-3426  
(205) 837-1271

Washington, Oregon, Idaho  
Seattle  
700 5th Avenue, Suite 5950  
Seattle, WA 98104-5012  
(206) 553-0870

Colorado, Montana, Utah, Wyoming, New  
Mexico, Arizona  
Denver  
12345 West Alameda Parkway, Room 316  
P.O. Box 25167  
Denver, CO 80225-0001  
(303) 969-6931

Kansas, Missouri, Nebraska, Iowa, Illinois  
Kansas City  
Federal Building, Room 131  
601 East 12th Street  
Kansas City, MO 64106-2826  
(816) 426-5706

California, Nevada  
San Francisco  
20 Howard Street, Room 735  
San Francisco, CA 94105-0001  
(415) 281-7074

Minnesota, North Dakota, South Dakota,  
Wisconsin  
Twin Cities  
Bishop Henry Whipple Federal Building, Room  
503  
One Federal Drive  
Ft. Snelling, MN 55111-4007  
(612) 725-3437

Ohio, Indiana, Kentucky, West Virginia  
Dayton

U.S. Courthouse and Federal Building  
200 West 2nd Street, Room 507  
Dayton, OH 45402-0001  
(513) 225-2576

Pennsylvania, New York, Maryland,  
Massachusetts, New Hampshire, Connecticut,  
Delaware, Maine, New Jersey, Rhode Island,  
Vermont  
Philadelphia  
William J. Green, Jr. Federal Building  
Federal Building, Room 3400  
600 Arch Street  
Philadelphia, PA 19106-1596  
(215) 597-7670

Georgia, Florida  
Atlanta  
Richard B. Russell Federal Building, Suite 956  
75 Spring Street, S.W.  
Atlanta, GA 30303-3109  
(404) 331-4588

Virginia  
Norfolk  
Federal Building, Room 500  
200 Granby Street  
Norfolk, VA 23510-1886  
(804) 441-3373

North Carolina, South Carolina  
Raleigh  
4407 Bland Road, Suite 200, Somerset Park  
Raleigh, NC 27609-6296  
(919) 790-2817

Michigan, Indiana, Kentucky, Northern Ohio  
Detroit  
477 Michigan Avenue, Room 594  
Detroit, MI 48226-2574  
(313) 226-2095

Texas, Arkansas, Louisiana, Oklahoma, Nevada  
San Antonio  
8610 North Broadway, Room 305  
San Antonio, TX 78217-0001  
(210) 805-2423

Illinois  
Chicago  
John C. Kluzynski Federal Building-DPN 30-3  
230 South Dearborn Street  
Chicago, IL 60604-1687  
(312) 353-6234

Hawaii, Alaska, Pacific Overseas  
Honolulu (and Island of Oahu)  
Federal Building  
P.O. Box 50028  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2795

## U.S. COMMISSION ON CIVIL RIGHTS

### Central Regional Office

U.S. Commission on Civil Rights  
Melvin L. Jenkins, Regional Director  
Gateway Tower II

400 State Avenue, Suite 908  
Kansas City, KS 66101  
(913) 551-1400  
(913) 551-1414 TDD

### Eastern Regional Office

U.S. Commission on Civil Rights  
Ki-Taek Chun, Regional Director  
624 9th Street NW, Suite 500  
Washington, DC 20425  
(202) 376-7533  
(202) 376-8116 TDD

### Midwestern Regional Office

U.S. Commission on Civil Rights  
Constance D. Davis, Regional Director  
55 West Monroe Street, Suite 410  
Chicago, IL 60603  
(312) 353-8311  
(312) 353-8362 TDD

### Rocky Mountain Regional Office

U.S. Commission on Civil Rights  
John F. Dulles, III  
1700 Broadway, Suite 710  
Denver, CO 80290  
(303) 866-1040  
(303) 866-1049 TDD

### Southern Regional Office

U.S. Commission on Civil Rights  
Bobby Doctor, Regional Director  
61 Alabama Street, SW, Suite 1840T  
Atlanta, GA 30303  
(404) 562-7000  
(404) 562-7004 TDD

### Western Regional Office

U.S. Commission on Civil Rights  
Philip Montez, Regional Director  
3660 Wilshire Boulevard, Room 810  
Los Angeles, CA 90010  
(213) 894-3437  
(213) 894-3435 TDD

## EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

### Alabama

Delner Franklin-Thomas, Director  
1130 22nd Street, South, Suite 200  
Birmingham, AL 35205 United States  
(205) 7212-2089 Use the same number for FTS

### Arizona

Chester Bailey, Director  
Norwest Tower  
3300 N. Central Avenue, Suite 690  
Phoenix, AZ 85012-2504 United States  
(602) 640-5011 Use the same number for FTS

### Arkansas

Wanda Milton, Director  
820 Louisiana Street, Suite 200  
Little Rock, AR 72201 United States  
(501) 324-6372 Use the same number for FTS

# Appendix IV: Agency Regional and Local Office Addresses

## California

Michelle Nardella, Enforcement Manager  
1301 Clay Street, Suite 1170-N  
Oakland, CA 94612-5217 United States  
(510) 637-3239 Use the same number for FTS

Michael Baldonado, Director  
350 EmbarCadero, Suite 500  
San Francisco, CA 94105-1687 United States  
(415) 625-5611 Use the same number for FTS

Thomas McCammon, Director  
555 West Beech Street, Ste. 504  
San Diego, CA 92101 United States  
(619) 557-7277

Melissa Barrios, Director  
2300 Tulare Street  
Fresno, CA 93721 United States  
(209) 487-5793 Use the same number for FTS

Hae Jung Atkins, Director  
96 North 3rd Street, Suite 200  
San Jose, CA 95112 United States  
(408) 291-7352 Use the same number for FTS

Olophius Perry, Acting Director  
255 E. Temple Avenue, 4th Floor  
Los Angeles, CA 90012 United States  
(213) 894-1112 Use the same number for FTS

## Colorado

Nancy Sienko, Director  
303 East 17th Avenue, Suite 510  
Denver, CO 80203-9634 United States  
(303) 866-1369 Use the same number for FTS

## District of Columbia

Mindy weinstein, Acting Director  
131 M Street, N.E.  
Washington, DC 20507 United States  
(202) 419-0770 Use the same number for FTS

## Florida

Manuel Zurita, Director  
501 East Polk Street, Room 1000  
Tampa, FL 33602 United States  
(813) 228-2310 Use the same number for FTS

Jacqueline McNair, Director  
One Biscayne Tower  
2 South Biscayne Boulevard, Suite 2700  
Miami, FL 33131 United States  
(305) 808-1740 Use the same number for FTS

## Georgia

Mason Barrett, Director  
410 Mall Boulevard, Suite G  
Savannah, GA 31406-4821 United States  
(912) 652-4234 Use the same number for FTS

Bernice Williams-Kimbrough, Director  
100 Alabama Street, Suite 4R30  
Atlanta, GA 30303  
(404) 562-6930  
Use the same number for FTS

## Hawaii

Timothy A. Riera, Director

300 Ala Moana Boulevard, Room 7-127  
P.O. Box 50082  
Honolulu, HI 96850-0051 United States  
(808) 541-3722 Use the same number for FTS

## Illinois

John P. Rowe, Director  
500 West Madison Street, Suite 2800  
Chicago, IL 60661 United States  
(312) 353-8550 Use the same number for FTS

## Indiana

Danny Harter, Director  
Federal Building  
101 West Ohio Street, Suite 1900  
Indianapolis, IN 46204-4203 United States  
(317) 226-6418 Use the same number for FTS

## Kansas

Billie Ashton, Director  
400 State Avenue, Suite 905  
Kansas City, KS 66101 United States  
(913) 551-5655 Use the same number for FTS

## Kentucky

Marcia Hall Craig, Director  
U.S. Post Office and Courthouse  
600 Martin Luther King Jr. Place, Room 268  
Louisville, KY 40202 United States  
(502) 582-6744 Use the same number for FTS

## Louisiana

Keith Hill, Director  
1555 Poydras Street, Ste. 1900  
New Orleans, LA 70112 United States  
(504) 595-2835 Use the same number for FTS

## Maryland

Gerald Kiel, Director  
City Crescent Building  
10 South Howard Street, 3rd Floor  
Baltimore, MD 21201 United States  
(410) 962-5634 use the same number for FTS

## Massachusetts

Robert L. Sanders, Director  
John F. Kennedy Federal Building  
1 Congress Street, Room 475  
Boston, MA 02203-0506 United States  
(617) 565-3191 Use the same number for FTS

## Michigan

Gail Cober, Director  
McNamara Federal Building  
477 Michigan Avenue, Suite 865  
Detroit, MI 48226-9704 United States  
(313) 226-3347 Use the same number for FTS

## Minnesota

Julie Schmid, Acting Director  
330 South Second Avenue, Suite 430  
Minneapolis, MN 55401-2224 United States  
(612) 335-4054 Use the same number for FTS

## Mississippi

Wilma Scott, Director

100 W. Capitol Street, Suite 207  
Jackson, MS 39269 United States  
(601) 948-8400 Use the same number for FTS

## Missouri

Webster Smith, Director  
1222 Spruce Street, Room 8100  
St. Louis, MO 63103 United States  
(314) 539-7833 Use the same number for FTS

## New Jersey

Corrado Gigante, Director  
One Newark Center, 21st Floor  
Newark, NJ 07102-5233 United States  
(973) 645-5978 Use the same number for FTS

## New Mexico

Georgia Marchbanks, Acting Director  
505 Marquette Avenue, N.W., Suite 900  
Albuquerque, NM 87102-2189  
(505) 248-5201 Use the same number for FTS

## New York

Elizabeth Cadle, Director  
6 Fountain Plaza, Suite 350  
Buffalo, NY 14202 United States  
(716) 551-4443 Use the same number for FTS

Spencer H. Lewis, Jr., Director  
33 Whitehall Street, 5th Floor  
New York, NY 10004-2112 United States  
(212) 336-3660 Use the same number for FTS

## North Carolina

Jose Rosenberg, Director  
2303 West Meadowview Road, Suite 201  
Greensboro, NC 27407 United States  
(336) 547-4080 Use the same number for FTS

Rueben Daniels, Director  
129 West Trade Street, Suite 400  
Charlotte, NC 28202 United States  
(704) 344-6744 Use the same number for FTS

Thomas Colclough, Director  
1309 Annapolis Drive  
Raleigh, NC 27608-2129 United States  
(919) 856-4085 Use the same number for FTS

## Ohio

Wilma L. Javey, Director  
550 Main Street, Suite 10-019  
Cincinnati, OH 45202-5202 United States  
(513) 684-2379 Use the same number for FTS

Daniel Cabot, Director  
Anthony J Celebrezze Federal Bldg.  
1240 E. 9th Street, Ste. 3001  
Cleveland, OH 44199 United States  
(216) 522-2001 Use the same number for FTS

## Oklahoma

Jack Vasquea, Acting Director  
215 Dean A. McGee Avenue, Suite 524  
Oklahoma City, OK 73102-2265 United States  
(405) 231-4356 Use the same number for FTS

## Pennsylvania

# Appendix IV: Agency Regional and Local Office Addresses

Joseph Hardiman, Director  
Federal Building  
1001 Liberty Avenue, Suite 300  
Pittsburgh, PA 15222-4187 United States  
(412) 644-2760 Use the same number for FTS

Marie M. Tomasso, Director  
801 Market Street, 13th Floor  
Philadelphia, PA 19103 United States  
(215) 440-2620 Use the same number for FTS

## Puerto Rico

William Sanchez, Director  
Plaza Las Americas  
525 F.D. Roosevelt Avenue, Suite 1202  
San Juan 00918-8001 United States  
(787) 771-1464 Use the same number for FTS

## South Carolina

Patricia B. Fuller, Director  
301 N. Main Street, Suite 1402  
Greenville, SC 29601 United States  
(864) 241-4410 Use the same number for FTS

## Tennessee

Sarah Smith, Acting Director  
50 Vantage Way, Suite 202  
Nashville, TN 37228 United States  
(615) 736-7481 Use the same number for FTS

Katharine Kores, Director  
1407 Union Avenue, Suite 621  
Memphis, TN 38104 United States  
(901) 544-0091 Use the same number for FTS

## Texas

Pedro Esquivel, Director  
Mockingbird Plaza, Plaza II  
5410 Fredericksburg Road, Suite 200  
San Antonio, TX 78229-3555 United States  
(210) 281-7642 Use the same number for FTS

Roy Ruff, Director  
Mickey Leland Building  
1919 Smith Street, 7th Floor  
Houston, TX 77002 United States  
(713) 209-3379 Use the same number for FTS

Michael Fetzer, Director  
207 South Houston Street, 3rd Floor  
Dallas, TX 75202-4726 United States  
(214) 655-3300 Use the same number for FTS

Teresa Anchondo, Director  
300 East Main Street, Suite 500  
El Paso, TX 79901 United States  
(915) 534-6685 Use the same number for FTS

## Virginia

Herbert Brown, Director  
Federal Building  
200 Granby Street, Suite 739  
Norfolk, VA 23510 United States  
(757) 441-3470 Use the same number for FTS

Patricia Glisson, Director  
830 E. Main Street, Suite 600  
Richmond, VA 23219 United States  
(804) 771-2164 Use the same number for FTS

## Washington

Luis Lucero, Director  
Federal Office Building  
909 First Avenue, Suite 400  
Seattle, WA 98104-1061 United States  
(206) 220-6870 Use the same number for FTS

## Wisconsin

Rosemary Fox, Acting Director  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 800  
Milwaukee, WI 53203-2292 United States  
(414) 297-4131 Use the same number for FTS

## FEDERAL COMMUNICATIONS COMMISSION

### Beverly Baker, Chief

Field Operations Bureau  
Federal Communications Commission  
1919 M Street, N.W., Room 734  
Washington, DC 20554-0001  
(202) 418-1100  
Use the same number for FTS

### P.O. Box 1588

Gary P. Soulsby, EIC  
Federal Communications Commission  
11410 NE 122nd Way, Suite 312  
Kirkland, WA 98034-6927  
(206) 821-9037

Oliver K. Long, EIC  
Federal Communications Commission  
P.O. Box 632  
Kingsville, TX 78363-0632  
(512) 592-2531  
James H. Berrie, Jr., EIC  
Federal Communications Commission  
Grand Islands, NE 68802-1588  
(308) 382-4296 (recorded information at nights)

William C. Berry  
Federal Communications Commission  
U.S. Federal Building, Room 747  
San Juan Field Office  
747 Federal Building  
Hato Rey, PR 00918-1731  
(809) 766-5567

### Watch Officer

Signal Analysis Branch  
1919 M Street, N.W., Room 749  
Enforcement Division  
Washington, DC 20554  
(202) 418-1180  
Use the same number for FTS

### William L. Kilpatrick, Chief

Equipment Construction and Installation Branch  
Federal Communications Commission  
3600 Hiram-Lithia Spring Road, S.W.  
P.O. Box 65  
Powder Springs, GA 30073  
(404) 943-6425

Russell D. Monie  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5405  
Use the same number for FTS

David Viglione, EIC  
Federal Communications Commission  
1307 Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2398  
(716) 551-4511 (recorded information)

Vacant  
Federal Communications Commission  
P.O. Box 89  
Allegan, MI 49010-9437  
(616) 673-2063

George M. Moffitt, EIC  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5401/02  
Use the same number for FTS

Charles W. Craig, EIC  
Federal Communications Commission  
1782 Federal Building  
1220 S.W. Third Avenue  
Portland, OR 97204-2898  
(503) 326-4114/5

Vincent Kajunski, EIC  
Federal Communications Commission  
1 Battery March Park  
Quincy, MA 02169-7495  
(617) 770-4023

James A. Bridgewater  
Federal Communications Commission  
24897 Hathaway Street  
Farmington Hills, MI 48335-1552  
(810) 471-5605  
Use the same number for FTS  
(810) 471-0052 (for r)

Jack Shedletsky, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318

James R. Zoulek, EIC  
Federal Communications Commission  
18000 Studebaker Road, Room 660  
Cerritos, CA 90701-3684  
(310) 809-2096  
(310) 865-0598

Serge Marti-Volkoff  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2756  
(510) 732-9046

Dennis P. Carlton

# Appendix IV: Agency Regional and Local Office Addresses

Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
(816) 353-9035  
Use the same number for FTS

Donald E. Taylor, EIC  
Federal Communications Commission  
P.O. Box 85  
Powder Springs, GA 30073-0085  
(770) 943-5420  
(770) 242-0165

James C. Hawkins  
Federal Communications Commission  
800 West Commerce Road, Room 505  
New Orleans, LA 70123-3333  
(504) 589-2095

Marlene S. Windel  
Federal Communications Commission  
6721 Raspberry Road  
Anchorage, AK 99502-1896  
(907) 243-2153

Ralph M. Barlow, EIC  
Federal Communications Commission  
2203 North Lois Avenue, Room 1215  
Tampa, FL 33607-2356  
(813) 348-1502

Albert S. Jarratt, Jr., EIC  
Federal Communications Commission  
2025 Sloan Place, Suite 31  
Maplewood, MN 55117-2058  
(612) 774-5175

Leo Cirbo, EIC  
Federal Communications Commission  
165 South Union Boulevard, Suite 860  
Lakewood, CO 80228-2213  
(303) 969-6497  
(303) 776-8026

Jack Shedletsy, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318  
Use the same number for FTS

Barry A Bohac, EIC  
Federal Communications Commission  
P.O. Box 470  
Belfast, ME 04915-0470  
(207) 338-4088

Fred L. Broce, EIC  
Federal Communications Commission  
Koger Center-Gwinnett  
3575 Koger Boulevard, Room 320  
Duluth, GA 30136-4958  
(404) 279-4621

James A. Dailey, EIC  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895

(816) 353-3773  
Use the same number for FTS  
William H. Grigsby, EIC  
Federal Communications Commission  
Interstate Office Park  
4542 Ruffner Street, Room 370  
San Diego, CA 92111-2216  
(619) 467-0549  
Alexander J. Zimny, EIC  
Federal Communications Commission  
201 Varick Street  
New York, NY 10014-4870  
(212) 620-3437/8, 3435 (recorded information)  
(212) 660-3437, 34

Phil Kane, EIC  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2725  
(510) 732-9046  
Use the same number for FTS

John L. Theimer, EIC  
Federal Communications Commission  
Rochester Building, Room 310  
8390 N.W. 53rd Street  
Miami, FL 33166-4668  
(305) 526-7420

John Hudak, EIC  
Federal Communications Commission  
P.O. Box 250  
Columbia, MD 21045-9998  
(301) 725-3474

## FEDERAL MEDIATION AND CONCILIATION SERVICE

### Eastern

Cleveland, Ohio Regional Office  
Mr. Robert Ditillo,  
Director of Mediation Services,  
6161 Oak Tree Boulevard,  
Independence, OH 44131 United States  
(216) 520-4811 Fax: (216) 520-4819

### Eastern Region

Pittsburgh, Pennsylvania Field Office  
Mr. John W. Pinto, Director of Mediation  
Services, One Oxford Centre, Suite 2570, 301  
Grant Street,  
Pittsburgh, PA 15219-1408 United States  
(412) 235-7440 Fax: (412) 644-4149

Cleveland, Ohio Field Office  
Mr. John Buettner, Director of Field Operations,  
6161 Oak Tree Boulevard, Suite 120,  
Independence, OH 44131 United States  
(216) 520-4805 Fax: (216) 520-4815

Chicago, Illinois Field Office  
Mr. Thomas Summers, Director of Mediation  
Services, Elm Plaza, Suite 203, 908 North Elm  
Street  
Hinsdale, IL 60521 United States  
(630) 887-4750 Fax: (630) 887-7183

Orlando, Florida Field Office  
Mr. Sergio Delgado, Director of Mediation  
Service, 3452 Lake Lynda Drive, Suite 122,  
Orlando, FL 32817-1472 United States  
(407) 382-6598 Fax: (407) 382-3727

Philadelphia, Pennsylvania Field Office  
Mr. Scott Blake, Director of Mediation Services,  
William J. Green, Jr. Federal Building, Room  
3456, 600 Arch Street,  
Philadelphia, PA 19106 United States  
(215) 717-7500 Fax: (215) 717-7508

Woodbridge, New Jersey Regional Office  
Mr. John Sweeney, Director of Mediation  
Services, Woodbridge Place Building, Suite 3020,  
517 US Highway 1 South,  
Iselin, NJ 08830 United States  
(732) 726-3121 Fax: (732) 726-3124

### Western Region

Los Angeles, California Field Office  
Ms. Linda Gonzalez, Director of Mediation  
Services, Glendale Financial Square, Suite 410,  
225 West Broadway,  
Los Angeles, CA 91204 United States  
(818) 409-1324 Fax: (818) 409-1321

Seattle, Washington Field Office  
Ms. Beth Schindler, Director of Mediation  
Services, Westin Building, Suite 2500, 2001 Sixth  
Avenue,  
Seattle, WA 98121 United States  
(206) 553-5800 Fax: (206) 553-6653

St. Louis, Missouri Field Office  
Mr. Eugene Bralley, Jr., Director of Mediation  
Services, 12140 Woodcrest Executive Drive, Suite  
325,  
St. Louis, MO 63141-5013 United States  
(816) 426-2032 Fax: (816) 426-2033

Minneapolis, Minnesota Field Office  
Mr. Glenn Tarkowski, Director of Mediation  
Services,  
Broadway Place West, Suite 3950  
1300 Godward Street  
Minneapolis, MN 55413 United States  
(612) 331-6667 Fax: (612) 331-5272

## GENERAL SERVICES ADMINISTRATION

### Central Office

General Services Administration  
Federal Supply Service  
1941 Jefferson Davis Highway, Room 804  
Arlington, VA 22202  
(703) 605-5610

### Great Lakes Region

(Illinois, Indiana, Michigan, Minnesota, Ohio, and  
Wisconsin)  
230 South Dearborn Street  
MS 34-6, Room 3430  
Chicago, IL 60604-1696  
(312) 886-8996

# Appendix IV: Agency Regional and Local Office Addresses

## Greater Southwest Region

(Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)  
819 Taylor Street, Room 7A07  
Fort Worth, TX 76102-6105  
(817) 978-3794

## Heartland Region

(Iowa, Kansas, Missouri, and Nebraska)  
1500 East Bannister Road, Room 1102  
Kansas City, MO 64131  
(816) 823-3700

## Mid Atlantic (National Capital)

District of Columbia; the counties of Montgomery and Prince Georges in Maryland; the cities of Alexandria, Fairfax, and Falls Church and the counties of Arlington, Fairfax, Loudoun, and Prince William in Virginia  
470 L'Enfant Plaza East, S.W., Suite 8100  
Washington, DC 20407  
(202) 619-8975

## Mid Atlantic Region (National Capital)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudoun, and Prince Williams)

7th & Dst. SW  
Washington, DC 20407  
(202) 260-6438

## Mid-Atlantic Region

(Delaware, Maryland, Pennsylvania, Virginia and West Virginia (except those areas in the National Capital Area)  
Strawbridge's Building  
20 North 8th St., 10th Floor  
Philadelphia, PA 19107-3191  
(215) 446-5065

## National Capital Region (NCR)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudoun, and Prince Williams Counties and the cities of Alexandria, Fairfax, and Falls Church)  
Business Service Center (WCAB)  
7th & D Streets, SW, Room 1050  
Washington, DC 20407  
(202) 708-5804  
(202) 205-2872 FAX

## New England Region

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, 3rd Floor, Room 347  
Boston, MA 02222  
(617) 565-7319

## Northeast and Caribbean Region

(New Jersey, New York, Puerto Rico, and U.S. Virgin Islands)

26 Federal Plaza, Room 20-112  
New York, NY 10278  
(212) 264-3300

## Northwest/Arctic Region

(Alaska, Idaho, Oregon, and Washington)  
400 15th Street, S.W.  
Auburn, WA 98001-6599  
(253) 931-7934

## Pacific Rim Region

(American Samoa, Arizona, California, Commonwealth of the Northern Mariana Islands, Guam, Hawaii, and Nevada)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434  
(415) 522-3029

## Region 1

(New England Region- Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Business Service Center (1AB)  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 901  
Boston, MA 02222  
(617) 565-8101 FAX

## Region 10

(Northwest Arctic Region - Alaska, Idaho, Oregon, Washington)  
Office of Enterprise Development (10AB)  
400 15th Street, SW  
Auburn, WA 98000-6599  
(253) 931-7956  
(253) 804-4887 FAX

## Region 2

(Northeast and Caribbean Region - New Jersey, New York, Puerto Rico, U.S. Virgin Islands)  
Program Support Division(2AR)  
26 Federal Plaza, Room 18-130  
New York, NY 10278  
(212) 264-1234  
(212) 264-2760 FAX

## Region 3

(Mid-Atlantic Region - Delaware, Maryland and Virginia (except District of Columbia Metropolitan area), Pennsylvania, West Virginia)  
Small Business Center (3ADS)  
The Wanamaker Building  
100 Penn Square East  
Philadelphia, PA 19107  
(215) 656-5525  
(215) 656-5590 FAX

## Region 4

(Southeast Sunbelt Region - Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Office of Enterprise Development (4E)  
401 West Peachtree Street, Room 2802  
Atlanta, GA 30365-2550  
(404) 331-5103  
(404) 331-1813 FAX

## Region 5

(Great Lakes Region - Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Small Business Center (5ADC)  
230 South Dearborn Street, Room 3718  
Chicago, IL 60604  
(888) 353-9893  
(312) 886-9893 FAX

## Region 6

(Heartland Region - Iowa, Kansas, Missouri, Nebraska)  
Office of Business and Support Services (6ADB)  
1500 East Bannister Road, Room 1161  
Kansas City, MO 64131  
(816) 926-7203  
(816) 823-1167 FAX

## Region 7

(Greater Southwest Region - Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Office of Enterprise Development (7ADB)  
819 Taylor Street, Room 1E13A  
Fort Worth, TX 76102  
(817) 978-3284  
(817) 878-0440 FAX

## Region 8

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Business Service Center (8AB)  
Denver Federal Center  
Building 41, Room 240  
P.O. Box 25006  
Denver, CO 80225  
(303) 236-7408  
(303) 236-7403 FAX

## Region 9

(Pacific Rim Region - Arizona, California, Hawaii, Nevada)  
Office of Enterprise Development (9ADB)  
San Francisco, CA 94102  
(415) 522-2700  
(415) 522-2705 FAX

## Region I

(Illinois, Indiana, Michigan, Wisconsin, Ohio, Minnesota, Maine, Vermont, New Hampshire, Rhode Island, Massachusetts, Connecticut, New York, New Jersey, Puerto Rico, and the Virgin Islands)  
10 Causeway Street  
Boston, MA 02222  
(617) 565-5700

## Region IV

(Maryland, Delaware, Virginia, Pennsylvania, West Virginia, North Carolina, Mississippi, South Carolina, Tennessee, Georgia, Alabama, Florida, Kentucky and the District of Columbia)  
401 W. Peachtree Street  
Atlanta, GA 30365-2550  
(404) 331-5133

# Appendix IV: Agency Regional and Local Office Addresses

## Region IX

(California, Nevada, Arizona, Hawaii, Guam, American Samoa, the Trust Territory of the Pacific Islands, Alaska, Idaho, Oregon, and Washington)  
450 Golden Gate Avenue, 4th Floor East  
San Francisco, CA 94102-3429  
(415) 522-3429

## Region VII

(Kansas, Missouri, Iowa, Nebraska, Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Colorado, North Dakota, South Dakota, Montana, and Utah)  
819 Taylor Street  
Fort Worth, TX 76102  
(817) 978-2331

## Rocky Mountain Region

(Colorado, Montana, North Dakota, South Dakota, Utah, and Wyoming)  
Denver Federal Center, Building 41  
P.O. Box 25506  
Denver, CO 80225-0506  
(303) 236-7700

## Southeast Sunbelt Region

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee)  
401 West Peachtree Street, Room 2600  
Atlanta, GA 30365  
(404) 331-0040  
Satellite Office  
General Services Administration  
Small Business Center (9ADB-L)

## NATIONAL LABOR RELATIONS BOARD

### Alabama

Information Officer  
Ridge Park Place  
1130 South Street, Suite 3400  
Birmingham, AL 35205-2870 United States  
(205) 933-3018 Use the same number for FTS

### Alaska

Information Officer  
Anchorage Federal Office Building  
605 West 4th Avenue, Suite 210  
Anchorage, AK 99501-3170 United States  
(907) 271-5015 Use the same number for FTS

### Arizona

Information Officer  
2600 North Central Avenue, Suite 1800  
Phoenix, AZ 85004-3099 United States  
(602) 640-2160 Use the same number for FTS

### Arkansas

Information Officer  
Metropolitan Bank Building  
425 West Capitol Avenue, Suite 1615  
Little Rock, AR 72201-3489 United States  
(501) 324-6311 Use the same number for FTS

### California

Information Officer  
Ronald V. Dellums Federal Building and Courthouse  
1301 Clay Street, Suite 300N  
Oakland, CA 94612-5224 United States  
(510) 637-3300 Use the same number for FTS

Information Officer  
901 Market Street, Suite 400  
San Francisco, CA 94103-1735 United States  
(415) 356-5130 Use the same number for FTS

Information Officer  
888 Figueroa Street, 9th Floor  
Los Angeles, CA 90017-5499 United States  
(213) 894-5200 Use the same number for FTS

Information Officer  
555 West Beech Street, Suite 418  
San Diego, CA 92101-2939 United States  
(619) 557-6184 Use the same number for FTS

Information Officer  
11150 W. Olympic Boulevard, Suite 700  
Los Angeles, CA 90064-1824 United States  
(310) 235-7351 Use the same number for FTS

### Colorado

Information Officer  
600 17th Street, 7th Floor, North Tower  
Denver, CO 80202-5433  
(303) 844-3551  
Use the same number for FTS

### Connecticut

Information Officer  
280 Trumbull Street - 21st Floor  
Hartford, CT 06103-3503 United States  
(860) 240-3522 Use the same number for FTS

### District of Columbia

Information Officer  
1099 14th Street, N.W., Suite 5530  
Washington, DC 20570-0001  
(202) 208-3000  
Use the same number for FTS

### Florida

Information Officer  
550 Water Street, Room 340  
Jacksonville, FL 32202-5177 United States  
(904) 232-3768 Use the same number for FTS

Information Officer  
201 E. Kennedy Boulevard, Suite 530  
Tampa, FL 33602-5824 United States  
(813) 228-2641 Use the same number for FTS

Information Officer  
Federal Building  
51 Southwest 1st Avenue, Room 1320  
Miami, FL 33130-1623 United States  
(305) 536-5391 Use the same number for FTS

### Georgia

Information Officer  
233 Peachtree Street, N.E., Suite 1000

Atlanta, GA 30303-1531 United States  
(404) 331-2896 Use the same number for FTS

### Hawaii

Information Officer  
300 Ala Moana Boulevard - Room 7-245  
Honolulu, HI 96850-4980 United States  
(808) 541-2814 Use the same number for FTS

### Illinois

Information Officer  
300 Hamilton Boulevard, Suite 200  
Peoria, IL 61602-1246 United States  
(309) 671-7080 Use the same number for FTS

Information Officer  
The Rookery Building  
209 South LaSalle Street, Suite 900  
Chicago, IL 60604-1219 United States  
(312) 353-7570 Use the same number for FTS

### Indiana

Information Officer  
575 North Pennsylvania Street, Room 238  
Indianapolis, IN 46204-1577 United States  
(317) 226-7381 Use the same number for FTS

### Iowa

Information Officer  
210 Walnut Street, Suite 439  
Des Moines, IA 50309-2103  
(515) 284-4391 Use the same number for FTS

### Kansas

Information Officer  
8600 Farley Street, Suite 100  
Overland Park, KS 66212-4677  
(913) 967-3000  
Use the same number for FTS

### Louisiana

Information Officer  
600 Maestri Place - 7th Floor  
New Orleans, LA 70130-3413 United States  
(504) 589-6361 Use the same number for FTS

### Maryland

Information Officer  
103 South Gay Street, 8th Floor  
Baltimore, MD 21202-4061  
(410) 962-2822 Use the same number for FTS

### Massachusetts

Information Officer  
10 Causeway Street, 6th Floor  
Boston, MA 02222-1072  
(617) 565-6700  
Use the same number for FTS

### Michigan

Information Officer  
477 Michigan Avenue, Room 300  
Detroit, MI 48226-2569  
(313) 226-3200  
Use the same number for FTS

Information Officer

# Appendix IV: Agency Regional and Local Office Addresses

82 Ionia NW, Room 330  
Grand Rapids, MI 49503-3022 United States  
(616) 456-2679 Use the same number for FTS

## Minnesota

Information Officer  
330 South Second Avenue, Suite 790  
Minneapolis, MN 55401-2221  
(612) 348-1757 Use the same number for FTS

## Missouri

Information Officer  
1222 Spruce Street, Room 8.302  
St. Louis, MO 63103-2829 United States  
(314) 539-7770 Use the same number for FTS

## Nevada

Information Officer  
600 Las Vegas Boulevard South, Suite 400  
Las Vegas, NV 89101-6637  
(702) 388-6416  
Use the same number for FTS

## New Jersey

Information Officer  
20 Washington Place-5th Floor  
Newark, NJ 07102-3110  
(973) 645-2100 Use the same number for FTS

## New Mexico

Information Officer  
421 Gold Avenue SW, Suite 310  
Albuquerque, NM 87102 United States  
(505) 248-5125 Use the same number for FTS

## New York

Information Officer  
Clinton Avenue at N. Pearl Street, Room 342  
Albany, NY 12207-2350  
(518) 431-4156  
Use the same number for FTS

Information Officer  
26 Federal Plaza, Room 3614  
New York, NY 10278-0104 United States  
(212) 264-0300 Use the same number for FTS

Information Officer  
Niagra Center Building  
130 South Elmwood Avenue, Suite 630  
Buffalo, NY 14202-2465 United States  
(716) 551-4931 Use the same number for FTS

Information Officer  
Two Metro Tech Center  
Suite 5100  
Brooklyn, NY 11201-3838 United States  
(718) 330-7713 Use the same number for FTS

## North Carolina

Information Officer  
4035 University Parkway, Suite 200  
Winston-Salem, NC 27106-3325 United States  
(336) 631-5201 Use the same number for FTS

## Ohio

Information Officer  
550 Main Street, Room 3003

Cincinnati, OH 45202-3271  
(513) 684-3686  
Use the same number for FTS

Information Officer  
1240 East 9th Street, Room 1695  
Cleveland, OH 44199-2086 United States  
(216) 522-3715 Use the same number for FTS

## Oklahoma

Information Officer  
224 South Boulder Avenue, Room 318  
Tulsa, OK 74103-3027 United States  
(918) 581-7951 Use the same number for FTS

## Oregon

Information Officer  
601 S.W. Second Avenue, Suite 1910  
Portland, OR 97204-3170 United States  
(503) 326-3085 Use the same number for FTS

## Pennsylvania

Information Officer  
615 Chestnut Street, 7th Floor  
Philadelphia, PA 19016-4404  
(215) 597-7601  
Use the same number for FTS

Information Officer  
William S. Moorehead Federal Building  
1000 Liberty Avenue, Room 904  
Pittsburgh, PA 15222-4111 United States  
(412) 395-4400 Use the same number for FTS

## Puerto Rico

Information Officer  
525 F.D. Roosevelt Avenue, Suite 1002  
San Juan, PR 00918-1002 United States  
(787) 766-5347 Use the same number for FTS

## Tennessee

Information Officer  
810 Broadway, Suite 302  
Nashville, TN 37203-3859 United States  
(615) 736-5921 Use the same number for FTS

Information Officer  
The Brinkley Plaza Building  
80 Monroe Avenue  
Memphis, TN 38103-2416 United States  
(901) 544-0018 Use the same number for FTS

## Texas

Information Officer  
Garacia Federal Building  
615 East Houston Street, Suite 401  
San Antonio, TX 78205-2039 United States  
(210) 472-6140 Use the same number for FTS

Information Officer  
Mickey Leland Federal Building  
1919 Smith Street, Suite 1545  
Houston, TX 77002-2649 United States  
(713) 209-4888 Use the same number for FTS

Information Officer  
P.O. Box 971187  
El Paso, TX 79997-1187 United States

(915) 592-6571 Use the same number for FTS  
Information Officer  
819 Taylor Street, Room 8A24  
Fort Worth, TX 76102-6178 United States  
(817) 978-2921 Use the same number for FTS

## Washington

Information Officer  
915 2nd Avenue, Room 2948  
Seattle, WA 98174-1078  
(206) 220-6300  
Use the same number for FTS

## Wisconsin

Information Officer  
310 West Wisconsin Avenue, Suite 700W  
Milwaukee, WI 53203-2211 United States  
(414) 297-3861 Use the same number for FTS

## SMALL BUSINESS ADMINISTRATION

### Disaster Area 1 Office (Covers Regions I and II)

360 Rainbow Boulevard S., 3rd Floor  
Niagara Falls, NY 14303-1192  
(716) 282-4612  
Use the same number for FTS

### Disaster Area 2 Office (Covers Regions III, IV and V)

One Baltimore Place, Suite 300  
Atlanta, GA 30308  
(404) 347-3771  
Use the same number for FTS

### Disaster Area 3 Office (Covers Regions VI and VII)

4400 Amon Carter Boulevard, Suite 102  
Ft. Worth, TX 76155  
(817) 885-7600  
Use the same number for FTS

### Disaster Area 4 Office (Covers Regions VIII, IX and X)

1825 Bell Street, Suite 208  
Sacramento, CA 95825  
(916) 566-7240  
Use the same number for FTS

## Region I

New Hampshire District Office  
143 North Main Street, Suite 202  
Concord, NH 03301-1257  
(603) 225-1400  
Use the same number for FTS

Connecticut District Office  
Federal Building  
330 Main Street, 2nd Floor  
Hartford, CT 06106  
(203) 240-4700  
Use the same number for FTS

Maine District Office  
Federal Building  
40 Western Avenue, Room 512



# Appendix IV: Agency Regional and Local Office Addresses

Augusta, ME 04330  
(207) 622-8378  
Use the same number for FTS

Springfield Branch Office  
1441 Main Street, Suite 410  
Springfield, MA 01103  
(413) 785-0268

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
10 Causeway Street, Suite 812  
Boston, MA 02222  
(617) 565-8415  
Use the same number for FTS

Massachusetts District Office  
10 Causeway Street, Room 265  
Boston, MA 02222-1093  
(617) 565-5590  
Use the same number for FTS

Vermont District Office  
Federal Building  
87 State Street, Room 205  
Montpelier, VT 05602  
(802) 828-4422  
Use the same number for FTS

Rhode Island District Office  
380 Westminister Mall, 5th Floor  
Providence, RI 02903  
(401) 528-4561  
Use the same number for FTS

## Region II

New Jersey District Office  
Two Gateway Center, 15th Floor  
Newark, NJ 07102  
(973) 645-2434  
Use the same number for FTS

Puerto Rico and USVI District Office  
Federico Degetau Federal Building  
252 Ponce DeLeon Boulevard, Suite 201  
San Juan, PR 00918  
(787) 766-5272  
Use the same number for FTS

Melville Branch Office  
35 Pinelawn Road, Suite 207W  
Melville, NY 11747  
(516) 454-0750

Rochester Branch Office  
100 State Street, Suite 410  
Rochester, NY 14614  
(716) 263-6700

New York District Office  
26 Federal Plaza, Room 31-00  
New York, NY 10278  
(212) 264-2454  
Use the same number for FTS

Buffalo District Office  
Federal Building  
111 West Huron Street, Room 1311  
Buffalo, NY 14202  
(716) 551-4301

Use the same number for FTS  
(New Jersey, New York, Puerto Rico, Virgin Islands)  
26 Federal Plaza, Suite 3108  
New York, NY 10278  
(212) 264-1450  
Use the same number for FTS

Elmira Branch Office  
333 E. Water Street, 4th Floor  
Elmira, NY 14901  
(607) 734-8130

Syracuse District Office  
401 South Salina Street, 5th Floor  
Syracuse, NY 13202  
(315) 471-9393  
Use the same number for FTS

## Region III

West Virginia District Office  
West Pike Street, Suite 330  
Clarksburg, WV 26301  
(304) 623-5631  
Use the same number for FTS

Wilkes-Barre Branch Office  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6497

Harrisburgh Branch Office  
100 Chestnut Street, Room 108  
Harrisburg, PA 17101  
(717) 782-3840

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
900 Market Street, 5th Floor  
Philadelphia, PA 19107  
(215) 580-2SBA  
Use the same number for FTS

Philadelphia District Office  
900 Market Street, 5th Floor  
Philadelphia, PA 19406  
(215) 580-2SBA  
Use the same number for FTS

Delaware District Office  
824 N. Market Street, Suite 610  
Wilmington, DE 19801  
(302) 573-6294

Washington District Office  
1110 Vermont Avenue, N.W., Suite 900  
Washington, DC 20005  
(202) 606-4000  
Use the same number for FTS

Richmond District Office  
400 North 8th Street, Suite 1150  
Richmond, VA 23240-0126  
(804) 771-2400  
Use the same number for FTS

Baltimore District Office  
10 South Howard Street, Suite 6220  
Baltimore, MD 21201-2565  
(410) 962-4392

Use the same number for FTS  
Pittsburgh District Office  
1000 Liberty Avenue, Room 1128  
Pittsburgh, PA 15222  
(412) 395-6560  
Use the same number for FTS

## Region IV

Georgia District Office  
1720 Peachtree Road, N.W., 6th Floor  
Atlanta, GA 30309  
(404) 347-4147  
Use the same number for FTS

North Florida District Office  
7825 Baymeadows Way, Suite 100-B  
Jacksonville, FL 32256-7504  
(904) 443-1900  
Use the same number for FTS

South Florida District Office  
100 S. Biscayne Boulevard, 7th Floor  
Miami, FL 33131  
(305) 536-5521  
Use the same number for FTS

Gulfport Branch Office  
2909 13th Street, Suite 203  
Gulfport, MS 39501  
(228) 863-4449

North Carolina District Office  
200 North College Street, Suite A2015  
Charlotte, NC 28202-2137  
(704) 344-6563  
Use the same number for FTS

Alabama District Office  
2121 8th Avenue North, Suite 200  
Birmingham, AL 35203-2398  
(205) 731-1344  
Use the same number for FTS

South Carolina District Office  
1835 Assembly Street, Room 358  
Columbia, SC 29201  
(803) 765-5377  
Use the same number for FTS

Kentucky District Office  
Federal Building  
600 Martin Luther King, Jr. Place, Room 188  
Louisville, KY 40202  
(502) 582-5971  
Use the same number for FTS

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
1720 Peachtree Road, N.W., Suite 496  
Atlanta, GA 30309-2482  
(404) 347-4999  
Use the same number for FTS

Tennessee District Office  
50 Vantage Way, Suite 201  
Nashville, TN 37228-1500  
(615) 736-5881  
Use the same number for FTS

# Appendix IV: Agency Regional and Local Office Addresses

Mississippi District Office  
101 West Capitol Street, Suite 400  
Jackson, MS 39201  
(601) 965-4378  
Use the same number for FTS

## Region IX

Guama Branch Office  
400 Route 8  
Mongmong, GU 96927  
(671) 472-7419  
Use the same number for FTS  
  
(Arizona, California, Hawaii, Nevada, Pacific Islands)  
455 Market Street, Suite 2200  
San Francisco, CA 94105  
(415) 744-2118  
Use the same number for FTS

Sacramento District Office  
660 J Street, Suite 215  
Sacramento, CA 95814  
(916) 498-6410  
Use the same number for FTS

San Diego District Office  
550 West "C" Street, Suite 550  
San Diego, CA 92101-3540  
(619) 557-7250  
Use the same number for FTS

Santa Ana District Office  
200 West Santa Ana Boulevard, Suite 700  
Santa Ana, CA 92701  
(714) 550-7420  
Use the same number for FTS

San Francisco District Office  
455 Market Street, 6th Floor  
San Francisco, CA 94105  
(415) 744-6820  
Use the same number for FTS

Arizona District Office  
2828 North Central Avenue, Suite 800  
Phoenix, AZ 85004-1093  
(602) 745-7200  
Use the same number for FTS

Nevada District Office  
300 Las Vegas Boulevard South, Suite 1100  
Las Vegas, NV 89101  
(702) 388-6611  
Use the same number for FTS

Fresno District Office  
2719 North Air Fresno Drive, Suite 200  
Fresno, CA 93727-1547  
(559) 487-5791  
Use the same number for FTS

Hawaii District Office  
300 Ala Moana Boulevard, Room 2-235  
Honolulu, HI 96850-4981  
(808) 541-2990  
Use the same number for FTS

Los Angeles District Office  
330 North Brand Boulevard, Suite 200

Glendale, CA 91203-2304  
(818) 552-3210  
Use the same number for FTS

## Region V

Minnesota District Office  
100 North 6th Street, Suite 610  
Minneapolis, MN 55403-1563  
(612) 370-2324  
Use the same number for FTS

Indiana District Office  
429 North Pennsylvania Street, Suite 100  
Indianapolis, IN 46204-1873  
(317) 226-7272  
Use the same number for FTS

Columbus District Office  
2 Nationwide Plaza, Suite 1400  
Columbus, OH 43215-2592  
(614) 469-6860  
Use the same number for FTS

Illinois District Office  
500 West Madison Street, Room 1250  
Chicago, IL 60661-2511  
(312) 353-4528  
Use the same number for FTS

Cincinnati Branch Office  
525 Vine Street, Suite 870  
Cincinnati, OH 45202  
(513) 684-2814

Wisconsin District-Milwaukee Office  
310 W. Wisconsin Avenue, Suite 400  
Milwaukee, WI 53202  
(414) 297-3941

Marquette Branch Office  
501 South Front Street  
Marquette, MI 49855  
(906) 225-1108

Springfield Branch Office  
511 W. Capitol Avenue, Suite 302  
Springfield, IL 62704  
(217) 492-4416

Michigan District Office  
477 Michigan Avenue, Room 515  
Detroit, MI 48226  
(313) 226-6075  
Use the same number for FTS

Cleveland District Office  
1111 Superior Avenue, Suite 630  
Cleveland, OH 44114-2507  
(216) 522-4180  
Use the same number for FTS

Wisconsin District-Madison Office  
740 Regent Street, Suite 100  
Madison, WI 53715  
(608) 264-5263  
Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Federal Building  
500 West Madison Street, Suite 1240

Chicago, IL 60661-2511  
(312) 353-0357  
Use the same number for FTS

## Region VI

Wichita District Office  
100 East English Street, Suite 510  
Wichita, KS 67202  
(316) 269-6616  
Use the same number for FTS

Corpus Christi Branch Office  
606 N. Carancahua, Suite 1200  
Corpus Christi, TX 78476  
(361) 888-3331

Arkansas District Office  
2120 Riverfront Drive, Suite 100  
Little Rock, AR 72202  
(501) 324-5871  
Use the same number for FTS

Springfield Branch Office  
620 S. Glenstone Street, Suite 110  
Springfield, MO 65802  
(417) 864-7670

## Region VII

Des Moines District Office  
New Federal Building  
210 Walnut Street, Room 749  
Des Moines, IA 50309  
(515) 284-4422  
Use the same number for FTS

San Antonio District Office  
727 East Durango, Room A-527  
San Antonio, TX 78206  
(210) 472-5900  
Use the same number for FTS

Cedar Rapids District Office  
215 4th Avenue, S.E., Suite 200  
Cedar Rapids, IA 52401-1806  
(319) 362-6405  
Use the same number for FTS

New Mexico District Office  
625 Silver Avenue, S.W., Suite 320  
Albuquerque, NM 87102  
(505) 346-7909  
Use the same number for FTS

Houston District Office  
9301 Southwest Freeway, Suite 550  
Houston, TX 77074-1591  
(713) 773-6500  
Use the same number for FTS

Louisiana District Office  
365 Canal Street, Suite 2250  
New Orleans, LA 70130  
(504) 589-6685  
Use the same number for FTS

El Paso District Office  
10737 Gateway West, Suite 320  
El Paso, TX 79935  
(915) 633-7001  
Use the same number for FTS

# Appendix IV: Agency Regional and Local Office Addresses

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

4300 Amon Carter Boulevard, Suite 108  
Ft. Worth, TX 76155  
(817) 885-6581

Use the same number for FTS

Oklahoma District Office  
210 Park Avenue, Suite 1300  
Oklahoma City, OK 73102  
(405) 231-5521

Use the same number for FTS

Dallas/Fort Worth District Office  
4300 Amon Center Boulevard, Suite 114  
Ft. Worth, TX 76155  
(817) 885-6500

Use the same number for FTS

Lower Rio Grande Valley District Office  
222 East Van Buren Street, Room 500  
Harlingen, TX 78550  
(956) 427-8533

Use the same number for FTS

Nebraska District Office  
11145 Mill Valley Road  
Omaha, NE 68154  
(402) 221-4691

Use the same number for FTS

Kansas City District Office  
323 West 8th Street, Suite 501  
Kansas City, MO 64105  
(816) 374-6708

Use the same number for FTS

Lubbock District Office  
1205 Texas Avenue  
Lubbock, TX 79401-2693  
(806) 472-7462

Use the same number for FTS

St. Louis District Office  
815 Olive Street, Room 242  
St. Louis, MO 63101  
(314) 539-6600

Use the same number for FTS

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
323 West 8th Street, Suite 307  
Kansas City, MO 64105-1500  
(816) 374-6380

Use the same number for FTS

## Region VIII

Montana District Office  
301 South Park, Room 334  
Helena, MT 59626  
(406) 441-1081

Use the same number for FTS

Utah District Office  
Federal Building  
125 South State Street, Room 2231  
Salt Lake City, UT 84138-1195  
(801) 524-5804

Use the same number for FTS

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

721 19th Street, Suite 400  
Denver, CO 80202-2599  
(303) 844-0500

Use the same number for FTS

Wyoming District Office  
Federal Building  
100 East B Street, Room 4001  
Casper, WY 82602-2839  
(307) 261-6500

Use the same number for FTS

North Dakota District Office  
Federal Building  
657 2nd Avenue, North, Room 219  
Fargo, ND 58108-3086  
(701) 239-5131

Use the same number for FTS

South Dakota District Office  
110 South Phillips Avenue, Suite 200  
Sioux Falls, SD 57104-6727  
(605) 330-4243

Use the same number for FTS

Coloradom District Office  
721 19th Street, Room 426  
Denver, CO 80202-2599  
(303) 844-2607

Use the same number for FTS

## Region X

Boise District Office  
1020 Main Street, Suite 290  
Boise, ID 83702-5745  
(208) 334-1696

Use the same number for FTS

(Alaska, Idaho, Oregon, Washington)  
1200 6th Avenue, Suite 1805  
Seattle, WA 98101-1128  
(206) 553-5676

Use the same number for FTS

Spokane District Office  
801 West Riverside Avenue, Suite 200  
Spokane, WA 99201-0901  
(509) 353-2809

Use the same number for FTS

Alaska District Office  
222 West 8th Avenue, Room A36  
Anchorage, AK 99513-7559  
(907) 271-4022

Use the same number for FTS

Portland District Office  
1515 S.W. Fifth Avenue, Suite 1050  
Portland, OR 97201-5494  
(503) 326-2682

Use the same number for FTS

Seattle District Office  
1200 6th Avenue, Suite 1700  
Seattle, WA 98101-1128  
(206) 553-7310

Use the same number for FTS

## DEPARTMENT OF VETERANS AFFAIRS

### NATIONAL CEMETERY SYSTEM

Robert A. Wilk, Director  
National Cemetery Area Office  
730 Peachtree Street, N.E.  
Atlanta, GA 30365  
(404) 347-2121

Mr. Dan Banz, Supervisor  
Memorail Programs Processing Site  
Fort Leavenworth National Cemetery  
395 Biddle Boulevard  
Ft. Leavenworth, KS 66077-2307

Ms. Gina White, Supervisor  
Memorial Programs Processing Site  
Department of Veterans Affairs (403A2)  
National Cemetery Administration  
810 Vermont Avenue, N.W.  
Washington, DC 20420  
(202) 565-4257

Mr. Don Murphy, Supervisor  
Memorial Programs Processing Site  
Nashville National Cemetery  
1420 Gallatin Road  
Madison, TN 37115-4619  
(615) 736-2840

Patrick J. Gartland, Director  
National Cemetery Area Office  
P.O. Box 11720  
Philadelphia, PA 19101  
(215) 381-3787

Thomas G. Balsanek, Director  
National Cemetery Area Office  
P.O. Box 25126  
Denver, CO 80225  
(303) 914-5700

Mr. Wayne A. Simpson, Chief  
Centralized Contracting Division  
5101 Russell Road  
Quantico, VA 22134-3903  
(703) 441-3088

Mr. James Flanagan, Supervisor  
Memorial Programs Processing Site  
Indiantown Gap National Cemetery  
R.R. #2  
P.O. Box 484A  
Annville, PA 17003-9618

### VA HEALTH ADMINISTRATION CENTER

#### VETERANS MEDICAL FACILITIES

##### Alabama

VA Central Alabama Health Care System  
215 Perry Hill Road  
Montgomery, AL 36109-3798  
(334) 272-4670  
(700) 228-4115 FTS

VA Central Alabama Health Care System  
Kenneth Rufe, Acting Director

## Appendix IV: Agency Regional and Local Office Addresses

Tuskegee, AL 36083  
(304) 727-0550  
FTS (700) 534-3550

Kenneth Ruyle, Director Acting  
Tuscaloosa, AL 35404  
(205) 554-2000  
(700) 228-2760 FTS

Y.C. Paris, Director  
700 South 19th Street  
Birmingham, AL 35233  
(205) 933-8101  
(700) 534-6581 FTS

### Alaska

Alex Spector  
VA Medical/Regional Office Center  
235 East 8th Avenue  
Anchorage, AK 99508-2989  
(907) 257-4700

### Arizona

Patricia McKlem, Director  
Prescott, AZ 86313-5000  
(520) 445-4860  
(700) 768-7000 FTS

Jonathan Gardner, Director  
Tucson, AZ 85723-0001  
(520) 792-1450  
(700) 765-1450 FTS

John R. Fears, Director  
7th Street at Indian School Road  
Phoenix, AZ 85012  
(602) 277-5551  
(700) 761-7000 FTS

### Arkansas

Richard Robinson  
Fayetteville, AR 72703  
(501) 443-4301  
(700) 742-5555 FTS

George "Buzz" Gray, Jr., Director  
300 East Roosevelt Road  
Little Rock, AR 72205  
(501) 660-1202  
FTS (700) 742-2100

### California

Brian O'Neill, MD., Acting  
Northern CA Health Care System  
2800 Contra Costa Boulevard  
Pleasant Hill, CA 94523-3961  
(510) 372-2000  
(700) 454-2000 FTS

Vacant  
VA Southern California System of Clinics West  
Los Angeles HCS  
Sepulveda, CA 91343-2099  
(818) 891-7711  
(818) 891-7711 FTS

Vacant  
VA Southern California System of Clinics West  
Los Angeles HCS

11301 Wilshire Boulevard  
West Los Angeles, CA 90073-1002  
(310) 478-3711  
(700) 748-3711 FTS

Lawrence Stewart, Director  
5901 East Seventh Street  
Long Beach, CA 90822-5201  
(310) 494-2611  
(700) 966-2611 FTS

James Goff, Director  
VA Palo Alto Health Care system  
Livermore Division  
Palo Alto Division  
Livermore, CA 94550  
(510) 447-2560  
(700) 467-6489 FTS

Alan S. Perry  
2615 East Clinton Avenue  
Fresno, CA 93703-2223  
(209) 225-6100  
FTS (700) 466-5000

Dean R. Stordahl, Director  
11201 Benton Street  
Loma Linda, CA 90822-5201  
(909) 825-7084  
(700) 996-2811 FTS

Sheila M. Cullen  
4150 Clement Street  
San Francisco, CA 94121-1598  
(415) 221-4810  
(415) 221-4810 FTS

James Goff, Director  
VA Palo Alto Health Care System  
Livermore Division  
Palo Alto Division  
3801 Miranda Avenue  
Palo Alto, CA 94304-1207  
(415) 493-5000  
FTS (700) 463-5000

Gary Rossio  
3350 La Jolla Village Drive  
San Diego, CA 92161-0001  
(619) 552-8585  
(700) 897-3100 FTS

### Colorado

Stuart Collyer, Director  
Fort Lyon, CO 81038-5000  
(719) 384-3100

Edgar Thorsland, Jr., Director  
1055 Clermont Street  
Denver, CO 80220-0166  
(303) 399-8020  
(700) 322-3020 FTS

Kurt Schlegelmich, MD, Director  
Grand Junction, CO 81501-6499  
(303) 242-0731  
(700) 322-0031 FTS

### Connecticut

Paul McCool

VA Connecticut Health Care System  
Newington Division  
West Haven Division  
West Spring Street  
West Haven, CT 06516  
(203) 932-5711  
(700) 428-3811 FTS

Paul McCool  
VA Connecticut Health Care System  
Newington Division  
West Haven Division  
55 Willard Avenue  
Newington, CT 06111  
(860) 666-6951  
(700) 643-1631 FTS

### Delaware

Dexter Dix, Director  
1601 Kirkwood Highway  
Wilmington, DE 19805  
(302) 994-2511  
(700) 487-5598 FTS

### District of Columbia

Sanford M. Garfunkel  
50 Irving Street, N.W.  
Washington, DC 20422  
(202) 745-8000  
(700) 921-8000 FTS

### Florida

ZEdward H. Seiler  
West Palm Beach, FL 33420-3207  
(561) 882-6700  
(561) 882-6700 FTS

Thomas N. Weaver, Director  
Bay Pines, FL 33744  
(813) 398-6661  
(700) 826-4011 FTS

VA North Florida and South Georgia HCS  
Elwood Headley, MD., Director  
Archer Road  
Gainesville, FL 32608-1197  
(325) 376-1611  
(700) 947-6113 FTS

Eldwood Headley, MD  
Lake City, FL 32055-5898  
(904) 755-3016  
(700) 947-2400 FTS

Thomas C. Doherty, Director  
1201 N.W. 16th Street  
Miami, FL 33125  
(305) 324-4455  
(700) 351-3111 FTS

Richard A. Silver  
Bruce B. Downs Boulevard  
Tampa, FL 33612  
(813) 972-2000  
(700) 822-6011 FTS

### Georgia

Ellen DeGeorge-Smith  
2460 Wrightsboro Road

# Appendix IV: Agency Regional and Local Office Addresses

Augusta, GA 30904-6285  
(706) 733-0188  
(700) 251-7000 FTS

James Trusley  
2460 Wrightsboro Road  
Dublin, GA 31021  
(912) 272-1210  
(700) 258-2000

Robert Perrault, Director  
1670 Clairmont Road  
Atlanta, GA 30033  
(404) 321-6111  
FTS (700) 248-6000

## Idaho

Wayne C. Tippetts  
Fifth and Fort Streets  
Boise, ID 83702-4598  
(208) 336-5100  
(700) 442-1000 FTS

## Illinois

Indianapolis  
Robert H. Sasin, Acting Director  
1481 West 10th Street  
Indianapolis, IN 46202-2884  
(317) 635-7401  
(700) 332-2901 FTS

VA Chicago Health Care System  
Vacant  
333 East Huron Street  
Chicago, IL 60611  
(312) 943-6600  
(312) 943-6600 FTS

James Jones, Director  
Danville, IL 61832-5198  
(217) 442-8000  
(700) 951-4000 FTS

John J. DeNardo, Director  
Hines, IL 60141-5000  
(708) 343-7200  
(700) 381-2500 FTS

VA Chicago Health Care System  
Vacant  
820 South Damen Avenue  
Chicago, IL 60612  
(312) 666-6500  
(700) 388-2000 FTS

Alfred S. Pate, Director  
North Chicago, IL 60064  
(847) 688-1900  
(700) 384-4700 FTS

Michael W. Murphy, Ph.D., Director  
VA Northern Indiana Health Care System  
1600 Randallia Drive  
Fort Wayne, IN 46805-5100  
(219) 426-5431  
(700) 333-5300 FTS

Earl Falast, Director  
2401 West Main Street  
Marion, IL 62959

(618) 997-5311  
(700) 276-0000 FTS

## Kansas

Kent Hill  
5500 East Kellogg  
Wichita, KS 67218  
(316) 685-2221  
(700) 752-2221 FTS

## Kentucky

Helen K. Cornish, Director  
Leestown Road  
Lexington, KY 40511-1093  
(606) 233-4511  
(700) 352-4000 FTS

Larry Sander  
800 Zorn Avenue  
Louisville, KY 40206-1499  
(502) 895-3401  
(700) 548-5000 FTS

## Louisiana

Allen S. Goss, Director  
Shreveport Highway  
Alexandria, LA 71301  
(318) 473-0010  
(700) 497-0251 FTS

John D. Church, Jr.  
1601 Perdido Street  
New Orleans, LA 70146  
(504) 568-0811  
(700) 682-5811 FTS

Billy Valentine  
510 East Stoner Avenue  
Shreveport, LA 71101-4295  
(318) 221-8411  
(700) 493-6411 FTS

## Maine

John "Jack" Sims, Director  
Route 17 East  
Togus, ME 04330  
(207) 623-8411  
(700) 833-5000 FTS

## Maryland

Dennis Smith, Director  
VA Maryland Health Care System  
Baltimore Division, Ft. Howard Division, Perry  
Point, Division  
3900 Lock Raven Boulevard  
Baltimore, MD 21201  
(410) 605-7000  
(700) 580-5261 FTS

## Massachusetts

Michael Lawson  
1400 Veterans of Foreign Wars Parkway  
West Roxbury, MA 02401  
(508) 583-4500  
(700) 885-1000 FTS  
William Conte, Director  
200 Spring Road

Bedford, MA 01730  
(617) 275-7500  
(700) 687-2000 FTS

Michael Lawson  
150 South Huntington Avenue  
Boston, MA 02130  
(617) 232-9500  
(700) 839-5284 FTS

Bruce A. Gordon, Director  
N. Main Street  
Northhampton, MA 01060-1288  
(413) 584-4040  
(700) 839-2990 FTS

Michael Lawson, Director  
940 Belmont Street  
Brockton, MA 02401  
(508) 583-4500  
(700) 885-1000 FTS

## Michigan

Thomas Arnold  
Iron Mountain, MI 49801  
(906) 779-3150  
(700) 779-3300 FTS

Charles B. Lott, Jr., Director  
Detroit, MI 48201-1932  
(313) 576-1000

Adam Tyllus, Acting Director  
1500 Weiss Street  
Saginaw, MI 48602-5298  
(517) 793-2340  
(700) 552-2340 FTS

James Rosenborough, Director  
2215 Fuller Road  
Ann Arbor, MI 48105-2300  
(313) 769-7100  
(700) 374-5100 FTS

Michael K. Wheeler, Director  
5500 Armstrong Road  
Battle Creek, MI 49016-0544  
(616) 966-5600  
(700) 974-5600 FTS

## Minnesota

Charles A. Milbrandt, Director  
54th Street and 48th Avenue, South  
Minneapolis, MN 55417  
(612) 725-2000  
(700) 780-2000 FTS

Barry T. Bahl  
8th Street, North 44th Avenue  
St. Cloud, MN 56303  
(612) 252-1670  
(700) 783-8001 FTS

## Mississippi

Julie Catellier  
Pass Road  
Biloxi, MS 39531  
(601) 388-5541  
(700) 499-5541 FTS

# Appendix IV: Agency Regional and Local Office Addresses

Richard Miller, Director  
1500 East Woodrow Wilson Drive  
Jackson, MS 39216  
(601) 362-4471  
(601) 362-4471 FTS

## Missouri

Gary Campbell  
800 Stadium Road  
Columbia, MO 65201  
(573) 443-2511  
(700) 276-6020 FTS

Nancy Arnold, R.N.  
Highway 67 North  
Poplar Bluff, MO 63901  
(573) 686-4151  
(700) 411-4200 FTS

Linda Kurz, Director  
915 North Grand Boulevard  
St. Louis, MO 63106  
(314) 652-4100  
(700) 278-4100 FTS

Linda Kurz, Director (JB)  
Jefferson Barracks  
St. Louis, MO 63125  
(314) 487-0400  
(700) 280-0400 FTS

Hugh F. Doran  
4801 Linwood Boulevard  
Kansas City, MO 64128  
(816) 861-4700  
(700) 754-1700 FTS

## Montana

Richard Stanley, Director  
210 South Winchester  
Miles City, MT 59301-4798  
(406) 232-3060  
(700) 584-2000 FTS

Joseph M. Underkofler, Director  
Wm. Street and Highway 12 West  
Fort Harrison, MT 59636-1500  
(406) 447-7900  
(700) 585-7410 FTS

## Nebraska

(VA Greater Nebraska Health Care System)

David Aspen, Director  
2201 North Broad Well  
Grand Island, NE 68803-2153  
(308) 382-3660  
(700) 864-2660 FTS

600 South 70th Street  
Lincoln, NE 68510-2493  
(402) 489-3802  
(700) 865-6011 FTS

John J. Phillips, Director  
4101 Woolworth Avenue  
Omaha, NE 68105-1873  
(402) 346-8800  
(700) 860-4000 FTS

## Nevada

Ramon J. Reeve, Director  
1703 Charleston Boulevard  
Las Vegas, NV 89102-2395  
(702) 385-3700  
(702) 385-3700 FTS

Gary Whitfield, Director  
1000 Locust Street  
Reno, NV 89520-0111  
(702) 786-7200  
(700) 520-1379 FTS

## New Hampshire - Manchester

Vacant  
718 Smyth Road  
Manchester, NH 02104  
(603) 624-4366  
(700) 837-6011 FTS

## New Jersey

VA New Jersey Health Care System  
Valley and Knollcroft Road  
Lyons, NJ 07939  
(201) 647-0180  
(700) 348-4180 FTS

VA New Jersey Health Care System  
Kenneth Mizrach, Director  
Tremont Avenue and South Center  
East Orange, NJ 07018  
(201) 676-1000  
(700) 342-1000 FTS

## New Mexico

Norman E. Browne  
2100 Ridgecrest Drive, S.E.  
Albuquerque, NM 87108-5138  
(505) 256-2843  
(700) 572-1711 FTS

## New York

3495 Bailey Avenue  
Buffalo, NY 14215  
(716) 834-9200  
(700) 432-2011 FTS

John J. Donnellan, Jr.  
113 Holland Avenue  
Albany, NY 12208  
(518) 462-3311  
(700) 641-3321 FTS

Philip Thomas  
Irving Avenue at University Place  
Syracuse, NY 13210  
(315) 477-7461  
(700) 203-2000 FTS

Redfield Parkway  
Batavia, NY 14020  
(716) 343-7500  
(700) 546-7100 FTS

Old Albany Post Road  
Montrose, NY 10548  
(914) 737-1216  
(700) 887-2011 FTS

John Donnellan, Jr., Director  
First Avenue at East 24th Street  
New York, NY 10010  
(212) 951-5959  
(700) 686-7500 FTS

W. David Smith, Director  
Ft. Hill Avenue  
Canandaigua, NY 14424  
(716) 394-2000  
(700) 952-3000 FTS

Mary A. Dowling  
Long Island-Middleville Road  
Northport, NY 11768  
(516) 261-4400  
(700) 663-2000 FTS

Michael Sabo, Director  
VA Hudson Valley Health Care System  
Castle Point, NY 12511  
(914) 831-2000  
(700) 882-2000 FTS

Maryanne Musumeci, Director  
130 West Kingsbridge Road  
Bronx, NY 10468  
(718) 584-9000  
(700) 884-4000 FTS

William Feeley  
Western NY Healthcare System  
Buffalo Division  
Batavia Division

Vacant  
Medical Center  
Argonne Avenue  
Bath, NY 14810  
(607) 776-2111  
(700) 882-1111 FTS

John J. Donnellan  
800 Poly Place  
Brooklyn, NY 11209  
(718) 630-3521  
(700) 442-3500 FTS

## North Carolina

James A. Christian, Director  
Asheville, NC 28805  
(704) 299-7431  
(700) 875-5011 FTS

Vacant  
1601 Brenner Avenue  
Salisbury, NC 28144  
(704) 638-9000  
(700) 699-2000 FTS

Micheal Phaup  
508 Fulton Street  
Durham, NC 27705  
(919) 286-0411  
(700) 671-6011 FTS

Timothy May  
2300 Ramsey Street  
Fayetteville, NC 28301  
(910) 822-7059

## Appendix IV: Agency Regional and Local Office Addresses

(700) 699-7000 FTS

### North Dakota

Fargo, ND 58102  
(701) 232-3241  
(700) 783-3241 FTS

Douglas Kenyon, Director  
2101 Elm Street

### Ohio

Gary Nugent, Director  
3200 Vine Street  
Cincinnati, OH 45220  
(513) 475-6300  
(700) 773-4596 FTS

Steve Cohen, MD., Director  
Medical Center Nursing Home and Domiciliary  
4100 West 3rd Street  
Dayton, OH 45428  
(513) 262-2170  
(700) 950-2611 FTS

William Montaque, Director  
10701 East Boulevard  
Cleveland, OH 44106-3800  
(216) 791-3800  
(700) 290-3800 FTS

Michael Walton, Director  
17273 State Route 104  
Chillicothe, OH 45601  
(614) 773-1141  
(700) 975-7111 FTS

### Oklahoma

Steve J. Gentling, Director  
921 N.E. 13th Street  
Oklahoma City, OK 73104  
(405) 270-0501  
(700) 743-3011 FTS

Alen Colston, Director  
125 South Main Street  
Muskogee, OK 74401  
(918) 683-3261  
(700) 745-3011 FTS

### Oregon

George Maxwell, Director  
New Garden Valley Boulevard  
Roseburg, OR 97470-6153  
(541) 440-1000  
(700) 422-4411 FTS

James Tuchs Schmidt., MD, Director  
3710 S.W., U.S. Veterans Hospital Road  
Portland, OR 97207-1034  
(503) 220-8262  
(700) 424-7300 FTS

George H. Andries, Director  
Domiciliary  
White City, OR 97503-3207  
(541) 826-2111  
(700) 434-8000 FTS

### Pennsylvania

Reedes Hurt, Director  
1111 East End Boulevard  
Wilkes-Barre, PA 18711-0026  
(717) 824-3521  
(700) 592-7521 FTS

Gerald L. Williams, Director  
Pleasant Valley Boulevard  
Altoona, PA 16602-4377  
(814) 943-8164  
(700) 727-7164 FTS

Michael Sullivana, Director  
University and Woodland Avenue  
Philadelphia, PA 19104  
(215) 823-5800  
(700) 481-6007 FTS

Michael Moreland Butler, Director  
New Castle Road  
Butler, PA 16001-2480  
(412) 287-4781  
(700) 721-4781 FTS

VA Pittsburgh Health Care System  
Highland Drive  
Pittsburgh, PA 15206  
(412) 363-4900  
(412) 365-4900 FTS

Charlene Szaso  
South Lincoln Avenue  
Lebanon, PA 17042  
(717) 272-6621  
(700) 592-4621 FTS

Gary W. Devansky, Director  
Coatesville, PA 19320  
(610) 384-7711  
(700) 695-7711 FTS

VA Pittsburgh Health Care System  
Thomas A. Cappello, Director  
University Drive  
Pittsburgh, PA 15240  
(412) 688-6000  
(700) 688-6000 FTS

Steve Lucas, Director  
135 East 38th Street  
Erie, PA 16504  
(814) 868-8661  
(700) 726-6200 FTS

### Puerto Rico

James Palmer, Director  
Barrio Monacillos  
Rio Piedras, PR 00927-5800  
(787) 758-7575  
(787) 766-5564 FTS

### Rhode Island

Vacant  
380 Westminster Mall  
Providence, RI 02908-4799  
(401) 273-7100  
(700) 838-3483 FTS

### South Carolina

R. John Vogel, Director

109 Bee Street  
Charleston, SC 29401-5799  
(803) 577-5011  
(700) 259-7000 FTS

Brian Heckert, Director  
1801 Assembly Street  
Columbia, SC 29201-1639  
(803) 776-4000  
(700) 677-6011 FTS

### South Dakota

Kenneth L. Mulholland, Director  
1030 Jefferson Avenue  
Memphis, TN 38104-2193  
(901) 523-8990  
(700) 222-5110 FTS

R. Vincent Crawford, Director  
2501 West 22nd Street  
Sioux Falls, SD 57117  
(605) 336-3230  
(700) 789-6665 FTS

VA Black Hills Health Care System  
Peter P. Henry, Director  
I-90 and Highway 34  
Fort Meade, SD 57741  
(605) 745-2000  
(700) 789-2000 FTS

Richard Citron, Acting Director  
3400 Lebanon Road  
Murfreesboro, TN 37129-1236  
(615) 893-1360  
(700) 852-3000 FTS

Carl J. Gerber, M.D.  
Mountain Home, TN 37684  
(423) 926-1171  
(700) 854-7341 FTS

William Mountcastle, Director  
1310 24th Avenue, South  
Nashville, TN 37212-2637  
(615) 327-4751  
(615) 327-4751 FTS

VA Black Hills Health Care System  
Peter P. Henry, Director  
5th Street  
Hot Springs, SD 57757  
(605) 745-2000  
(700) 789-2000 FTS

### Texas

Bryan Jaqua, Director  
5919 Brook Hollow Drive  
El Paso, TX 79925  
(915) 564-6100

Dean S. Billik, Director  
VA Central Texas Veterans Health Care System  
1901 South First Street  
Temple, TX 76504  
(817) 778-4811  
(700) 760-4811 FTS

Vacant  
Sam Rayburn Memorial Veterans Center

# Appendix IV: Agency Regional and Local Office Addresses

Bonham, TX 75418  
(903) 583-2111  
(700) 760-6200 FTS

Wallace M. Hopkins, Director  
6010 Amarillo Boulevard, West  
Amarillo, TX 79106  
(806) 355-9703  
(700) 735-7711 FTS

Cary Brown, Director  
2400 South Gregg Street  
Big Spring, TX 79720  
(915) 263-7361  
(700) 728-7000 FTS

Jose R. Coronado, Director  
VA South Texas Veterans Health Care System  
7400 Merton Minter Boulevard  
San Antonio, TX 78284  
(210) 617-5300  
(700) 779-5011 FTS

Alan G. Harper, Director  
4500 South Lancaster Road  
Dallas, TX 75216  
(214) 376-5451  
(700) 749-5011 FTS

David Whatley, Director  
2002 Holcombe Boulevard  
Houston, TX 77030  
(713) 479-1414  
(700) 528-7000 FTS

Jose R. Coronado, Director  
VA South Texas Veterans Health Care System  
Memorial Boulevard  
Kerrville, TX 78028  
(210) 896-2020  
(700) 491-2000 FTS

Dean Billik  
See VA Central Texas Veterans Health Care  
System  
1016 Ward Street  
Marlin, TX 76661  
(817) 883-3511  
(700) 540-4998 FTS

Vacant  
See VA Central Texas Veterans Health Care  
System  
4800 Memorial Drive  
Waco, TX 76711  
(817) 752-6581  
(700) 734-6000 FTS

## Utah

James Floyd, Director  
500 Foothill Boulevard  
Salt Lake City, UT 84148-0001  
(801) 582-1565  
(700) 539-1565 FTS

## VA Central Iowa Health Care System

Donald Cooper  
1515 West Pleasant Street  
Knoxville, IA 50138-3399

(515) 842-3101  
(700) 861-6000 FTS

## VA Central Iowa Healthcare System

Gary L. Wilkinson, Director  
Highway 6 West  
Iowa City, IA 52246-2208  
(319) 338-0581  
(700) 863-6011 FTS

Donald Cooper  
30th and Euclid Avenue  
Des Moines, IA 50310-5774  
(515) 699-5999  
(700) 862-5173 FTS

## VA Eastern Kansas Health Care System

Edgar L. Tucker, Director  
2200 Gage Boulevard  
Topeka, KS 66622  
(913) 272-3111  
(700) 277-4336 FTS

Edgar L. Tucker, Director  
4201 S. 4th Street Traffic Way  
Leavenworth, KS 66048  
(913) 682-2000  
(700) 758-0000 FTS

## VA Northern Indiana Health Care System

Michael W. Murphy, Ph.D (Director)  
46952 East 38th Street  
Marion, IN 46953-4589  
(317) 674-3321  
(700) 364-3011 FTS

## Vermont

Gary M. DeGasta, Director  
White River Junction, VT 05001-0001  
(802) 295-9363  
(700) 829-6000 FTS

## Virginia

James W. Dudley, Director  
1201 Broad Rock Road  
Richmond, VA 23249  
(804) 230-0001  
(804) 230-0001 FTS

Steven Lemmons, Director  
1970 Roanoke Boulevard  
Salem, VA 24153  
(540) 982-2463  
(700) 937-2021 FTS

Betty Story, Ph.D., Director  
Emancipation Drive  
Hampton, VA 23667  
(804) 722-9961  
(700) 959-3100 FTS

## Washington

Timothy Williams, Director  
VA Puget Sound Health Care System  
American Lake, WA 98493  
(206) 762-1010  
(700) 396-1010 FTS

Vacant  
77 Wainwright Drive  
Walla Walla, WA 99362-3975  
(509) 525-5200  
(700) 434-2000 FTS

Timothy Williams, Director  
VA Puget Sound Health Care System  
1660 South Columbian Way  
Seattle, WA 98108  
(206) 762-1010  
(700) 396-1010 FTS

Joseph Manley, Director  
North 4816 Assembly Street  
Spokane, WA 99205-6197  
(509) 328-4521  
(700) 327-4521 FTS

## West Virginia

David Pennington, Director  
1540 Spring Valley Drive  
Huntington, WV 25704  
(304) 429-6741  
(700) 924-2411 FTS

George M. Moore, Jr., Director  
Route 9  
Martinsburg, WV 25401-9809  
(304) 263-0811  
(700) 940-0811 FTS

Gerald Husson, Director  
200 Veterans Avenue  
Beckley, WV 25801  
(304) 255-2121  
(700) 924-4011 FTS

Michael Neusch, Director  
Milford/Chestnut Streets  
Clarksburg, WV 26301  
(304) 623-3461  
(700) 923-3461 FTS

## Wisconsin

Nathan Geraths, Director  
2500 Overlook Terrace  
Madison, WI 53705  
(608) 256-1901  
(700) 364-1901 FTS

Glen Grippen, Director  
5000 West National Avenue  
Milwaukee, WI 53295  
(414) 384-2000  
(700) 383-1011 FTS

Stanley Q. Johnson, Director  
Tomah, WI 54660  
(608) 372-3971  
(700) 769-6011 FTS

## Wyoming

Richard Fry, Director  
2360 West Pershing Boulevard  
Cheyenne, WY 82001-5392  
(307) 778-7300  
(700) 328-7550 FTS

Maureen Humphreys, Director



# Appendix IV: Agency Regional and Local Office Addresses

Fort Road  
Sheridan, WY 82801-8320  
(307) 672-1675  
(700) 329-3000 FTS

## **VETERANS BENEFITS ADMINISTRATION**

**NATIONAL MINE HEALTH AND SAFETY  
ACADEMY**

### **Alabama**

VA Regional Office  
345 Perry Hill Road  
Montgomery, AL 36109-3798

### **Alaska**

VA Outpatient Clinic and Regional Office  
2925 DeBarr Road  
Anchorage, AK 99508-2989

### **Arizona**

VA Regional Office  
3225 North Central Avenue  
Phoenix, AZ 85012-2405

### **Arkansas**

VA Regional Office  
Building 65, Ft. Roots  
P.O. Box 1280  
North Little Rock, AR 72115-1280

### **California**

VA Regional Office  
8810 Rio San Diego Drive  
San Diego, CA 92108-1508

VA Regional Office  
Oakland Federal Building  
1301 Clay Street  
Oakland, CA 94612-5209

VA Regional Office  
Federal Building  
11000 Wilshire Boulevard  
Los Angeles, CA 90024-3602

### **Colorado**

VA Regional Office  
155 Van Gordon Street  
Lakewood, CO 80228-1709

### **Connecticut**

VA Regional Office  
450 Main Street  
Hartford, CT 06103-3077

### **Delaware**

VA Medical and Regional Office Center  
1601 Kirkwood Highway  
Wilmington, DE 19805-4988

### **District of Columbia**

VA Regional Office  
1120 Vermont Avenue, N.W.  
Washington, DC 20421-1111

### **Florida**

VA Office

312 Kenmore Road, Room IG250  
Pensacola, FL 32503-7492

VA Office  
Federal Building  
51 S.W., 1st Avenue, Room 120  
Miami, FL 33130

VA Regional Office  
9500 Bay Pines Boulevard  
P.O. Box 1437  
St. Petersburg, FL 33708

VA Office  
1833 Boulevard, Room 3109  
Jacksonville, FL 32206

VA Office  
5201 Raymond Street, Room 1704  
Orlando, FL 32806

### **Georgia**

VA Regional Office  
1700 Clairmont Road  
Decatur, GA 30033-4032

### **Hawaii**

VA Outpatient Clinic and Regional Office  
PJKK Federal Building  
300 Ala Moana Boulevard  
P.O. Box 50188  
Honolulu, HI 96850

### **Idaho**

VA Regional Office  
805 West Franklin Street  
Boise, ID 83702-5560

### **Illinois**

VA Regional Office  
536 South Clark Street  
P.O. Box 8136  
Chicago, IL 60605-1523

### **Indiana**

VA Regional Office  
575 North Pennsylvania Street  
Indianapolis, IN 46204-1526

### **Iowa**

VA Regional Office  
210 Walnut Street, Room 1063  
Des Moines, IA 50309-9825

### **Kansas**

VA Medical and Regional Office Center  
5500 East Kellogg  
Wichita, KS 67218-1698

### **Kentucky**

VA Regional Office  
545 South Third Street  
Louisville, KY 40202-3835

### **Louisiana**

VA Regional Office  
701 Loyola Avenue, Room 4210  
New Orleans, LA 70113-1912

### **Maine**

VA Office  
475 Stevens Avenue  
Building 248, Room 103  
Portland, ME 04103

VA Medical and Regional Office Center  
1 VA Center  
Togus, ME 04330-6795

### **Maryland**

VA Regional Office  
Federal Building  
31 Hopkins Plaza, Room 233  
Baltimore, MD 21201-0001

### **Massachusetts**

VA Regional Office  
John F. Kennedy Federal Building  
Government Center, Room 1265  
Boston, MA 02203-0393

### **Michigan**

VA Regional Office  
Patrick V. McNamara  
Federal Building  
477 Michigan Avenue, Room 1400  
Detroit, MI 48226-2591

### **Minnesota**

VA Regional Office and Insurance Center  
Federal Building, Fort Snelling  
St. Paul, MN 55111-4050

### **Mississippi**

VA Regional Office  
1600 E. Woodrow Wilson Avenue  
Jackson, MS 39216-5102

### **Missouri**

VA Office  
Federal Office Building  
601 East 12th Street, Room 120  
Kansas City, MO 64106-0199

VA Regional Office  
400 South 18th Street  
St. Louis, MO 63103-2676

### **Montana**

VA Medical and Regional Office Center  
Williams Street  
Fort Harrison, MT 59636-9999

### **Nebraska**

VA Regional Office  
5631 South 48th Street  
Lincoln, NE 68516-4198

### **Nevada**

VA Regional Office  
1201 Terminal Way  
Reno, NV 89520-0118

### **New Hampshire**

VA Regional Office  
Norris Cotton Federal Building

## Appendix IV: Agency Regional and Local Office Addresses

275 Chestnut Street  
Manchester, NH 03101-2489

### **New Jersey**

VA Regional Office  
20 Washington Place  
Newark, NJ 07102-3174

### **New Mexico**

VA Regional Office  
Dennis Chavez Federal Building  
U.S. Courthouse  
500 Gold Avenue, S.W.  
Albuquerque, NM 87102-3118

### **New York**

VA Office  
Leo W. O'Brien Federal Building  
Clinton Avenue and N. Pearl Street  
Albany, NY 12207

VA Regional Office  
245 West Houston Street  
New York, NY 10014-4805

VA Office  
344 West Genesee Street  
Syracuse, NY 13202

VA Regional Office  
Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2368

VA Office  
Federal Office Building and Courthouse  
100 State Street  
Rochester, NY 14614  
(800) 827-0619

### **North Carolina**

VA Regional Office  
Federal Building  
251 North Main Street  
Winston-Salem, NC 27155-1000

### **North Dakota**

VA Medical and Regional Office Center  
2101 Elm Street  
Fargo, ND 58102-2417

### **Ohio**

VA Regional Office  
Anthony J. Celebrezze Federal Building  
1240 East Ninth Street  
Cleveland, OH 44199-2001

VA Office  
Federal Building, Room 309  
200 North High Street  
Columbus, OH 43215

VA Office  
801-B W. 8th Street  
Cincinnati, OH 45203-2001

### **Oklahoma**

VA Office  
215 Dean A. McGee Avenue, Room 276

Oklahoma City, OK 73102

VA Regional Office  
Federal Building  
125 South Main Street  
Muskogee, OK 74401-7025

### **Oregon**

VA Regional Office  
Federal Building  
1220 S.W. Third Avenue, Room 1217  
Portland, OR 97204-2825

### **Pennsylvania**

VA Office  
1111 East End Boulevard  
Wilkes-Barre, PA 18711

VA Regional Office and Insurance Center  
P.O. Box 8079  
5000 Wissahickon Avenue  
Philadelphia, PA 19101-8079

VA Regional Office  
1000 Liberty Avenue  
Pittsburgh, PA 15222-4004

### **Philippines**

VA Regional Office & Outpatient Clinic  
Manila Regional Office  
PPO, AP 96515-1100

### **Puerto Rico**

VA Regional Office  
U.S. Courthouse and Federal Building  
Carlos E. Chardon Street  
Hato Rey  
GPO Box 364867  
San Juan, PR 00936-4867  
(809) 766-5510

### **Rhode Island**

VA Regional Office  
380 Westminster Mall  
Providence, RI 02903-3246

### **South Carolina**

VA Regional Office  
1801 Assembly Street  
Columbia, SC 29201-2495

### **South Dakota**

VA Medical and Regional Office Center  
P.O. Box 5046  
2501 West 22nd Street  
Sioux Falls, SD 57117-5046

### **Tennessee**

Regional Office  
U.S. Courthouse Federal Office Building  
110 9th Avenue, South  
Nashville, TN 37203-3817

### **Texas**

VA Regional Office  
6900 Almeda Road  
Houston, TX 77030-4200

VA Office  
4902 34th Street, Suite 10, Room 134  
Lubbock, TX 79410-0001

VA Office  
U.S. Courthouse and Federal Office Building  
1114 Commerce Street  
Dallas, TX 75242

VA Office  
3601 Bluemel Road  
San Antonio, TX 78229-2041

VA Regional Office  
One Veteran Plaza  
701 Clay Avenue  
Waco, TX 76799-0001

### **Utah**

VA Regional Office  
Federal Building  
P.O. Box 11500  
125 South State Street  
Salt Lake City, UT 84147-0500

### **Vermont**

VA Medical and Regional Office Center  
215 N. Main Street  
White River Junction, VT 05009-0001

### **Virginia**

VA Regional Office  
210 Franklin Road, S.W.  
Roanoke, VA 24011-2204

### **Washington**

VA Regional Office  
Federal Building  
915 2nd Avenue  
Seattle, WA 98174-1060

### **West Virginia**

VA Regional Office  
640 Fourth Avenue  
Huntington, WV 25701-1340

### **Wisconsin**

VA Regional Office  
Building 6  
5000 West National Avenue  
Milwaukee, WI 53295-0006

### **Wyoming**

VA Office  
2360 East Pershing Boulevard  
Cheyenne, WY 82001-5356

The Veterans Benefits Administration provides toll-free telephone service throughout the 50 States, Washington, DC and Puerto Rico. The toll-free telephone number is (800) 827-1000.

## **ENVIRONMENTAL PROTECTION AGENCY**

### **EPA Region 10 Mail Code: HW-093**

Lisa McArthur, CEPP Contacts  
1200 6th Avenue

## Appendix IV: Agency Regional and Local Office Addresses

Seattle, WA 99101  
(206) 553-0383  
(206) 553-0175 FAX

### **EPA Region 8 Mail Code: EPR-ER**

Alternate: Barbara Benoy  
(303) 312-6760

Eric Steinhaus, CEPP Contact  
One Denver Place  
999 18th Street, Suite 500  
Denver, CO 80202-2405  
(303) 312-6837  
(303) 312-6071 FAX

### **EPA Region 9**

Alternate: Angie Proboszcz  
(415) 744-2230

Nate Lau, CEPP Contact  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-2337  
(415) 744-1917 FAX

### **EPA-Region 1 Mail Code: SPP**

Alternate: Len Wallace  
Ray DiNardo, CEPP Contact  
One Congress Street, Suite 1100  
Boston, MA 02114-2023  
(617) 918-1804  
(617) 918-1810 FAX  
(617) 918-1835

### **EPA-Region 2 Mail Code: 211**

John Higgins, CEPP Contact  
2890 Woodbridge Avenue  
Edison, NJ 08837-3679  
(908) 906-6194  
(908) 321-4425 FAX

Alternate: John Ulshoefer  
(908) 321-6620

### **EPA-Region 3 Mail Code: 3HW33**

Alternate: Alan Brown  
(215) 566-3302

David Wright, CEPP Contact  
1650 Arch St./34S33  
Philadelphia, PA 19103  
(215) 814-3293  
(215) 814-3254 FAX

### **EPA-Region 4**

Bill Taylor, CEPP Contact Atlanta Federal Center  
61 Forsyth Street  
Atlanta, GA 30303  
(404) 562-9167  
(404) 562-9163 FAX

Alternate: Victor Weeks  
(404) 564-9189

### **EPA-Region 5 Mail Code: SC-9J**

Mark Horwitz, Chief OCEPP  
77 West Jackson Boulevard  
Chicago, IL 60604  
(312) 353-9045

(312) 886-6064 FAX

### **EPA-Region 6 Mail Code: 6E-E**

Steve Mason, CEPP Contact  
Fountain Place, 12th Floor, Suite 1200  
Dallas, TX 75202-2733  
(214) 665-2292  
(214) 665-7447 FAX

### **EPA-Region 7**

Mark Smith, CEPP Contact  
901 North 5th Street  
Kansas City, KS 66101  
(913) 551-7876  
(913) 551-7065 FAX

### **Region I**

William Torrey  
One Congress Street, Suite 1100  
Boston, MA 02114-2023  
(617) 918-1311

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)

Janet Barlett  
1 Congress Street  
Suite 1100, Mail Code MGM  
Boston, MA 02114-2023  
(617) 918-1972  
(617) 918-1929 FAX  
Use the same number for FTS

Cynthia Greene  
U.S. EPA  
One Congress Street, Suite 1100  
Boston, MA 02114-2023  
Mail Code: SPP-SPP  
(617) 918-1813  
(617) 918-1810 FAX

Patricia Meany, Director  
Office of Site Remediation & Restoration  
One Congress Street  
Boston, MA 02114-2023  
(617) 918-1201

Jim Cherniack  
1 Congress Street, Suite 1100 (CPT)  
John F. Kennedy Building  
Boston, MA 02114-2023

Kira Jacobs  
US EPA Region 1  
JFK Federal Building (SPN)  
Room 2203  
Boston, MA 02203  
(617) 918-1817  
(617) 918-4939 FAX

Linda Murphy, Director  
Office of Ecosystem Protection MC-HHA  
Environmental Protection Agency  
One Congress Street  
Boston, MA 02114-2023  
(617) 918-1501

Jim Sappier, Indian Coordinator  
JFK Federal Building  
One Congress Street, Suite 1100

Boston, MA 02114-2023  
(617) 918-1672

### **Region II**

Laraine Koehler  
Mail Code (R2DEPDIV)  
290 Broadway, 28th Floor  
New York, NY 10007-1866

Evans Stamataky  
US EPA Region 2 (2-OPM-PPI), DEPP  
290 Broadway, 25th Floor  
New York, NY 10007-1866  
(212) 637-3742  
(212) 637-3771 FAX

Rudnell O'Neal  
Grants Administration Branch  
(212) 637-3427

Richard Caspe  
Emergency and Remedial Response Division  
290 Broadway  
New York, NY 10007  
(212) 637-4390

Christine Yost, Indian Coordinator  
26 Federal Plaza  
New York, NY 10278  
(212) 637-3564

Frank Brock  
Water Compliance Branch  
290 Broadway, 2DECA-WCB-GWCS  
New York, NY 10007-1866  
(212) 637-4232

John Filipelli  
U.S. EPA  
290 Broadway  
New York, NY 10007-1866  
Mail Code: 2DEPP-RPB  
(212) 637-4125  
(212) 637-4437 FAX

Kathleen Callahan, Director  
Division of Environmental Planning and  
Protection  
26 Federal Plaza, (2AWM-SW, Room 1000)  
New York, NY 10278  
(212) 637-3772

(New Jersey, New York, Puerto Rico, Virgin  
Islands)

Donna Vivian-McCabe, Chief  
Grants Administration Branch, (OPM-GRA)  
290 Broadway  
New York, NY 10007-1866  
(212) 637-3402  
(212) 637-3518 FAX  
Use the same number for FTS

### **Region III**

Cristina Schulingkamp  
Mail Code (3AP23)  
1650 Arch Street  
Philadelphia, PA 19103-2029  
Jeff Burke  
US EPA Region 3 (3RA20)

## Appendix IV: Agency Regional and Local Office Addresses

1650 Arch Street  
Philadelphia, PA 19103-2029  
(215) 814-2761  
(215) 566-2782 FAX

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
Robert G. Reed  
Grants Management Section  
Office of the Comptroller, (3PM70)  
1650 Arch Street  
Philadelphia, PA 19103-2029  
(215) 814-5410  
(215) 814-5271 FAX

Abe Ferdas, Director  
Hazardous Site Cleanup Division  
1650 Arch St.  
Philadelphia, PA 19106  
(215) 813-3143

David Iacono, State Programs Branch  
1650 Arch St. 3WC21  
Philadelphia, PA 19103  
(215) 814-3231

Jim Burke, Acting Director  
Waste Chemical Management Division  
841 Chestnut Building, (3HWO0)  
Philadelphia, PA 19107  
(215) 814-2005

Mike Giurannick  
U.S. EPA  
1650 Arch St. 3WC21  
Philadelphia, PA 19103  
Mail Code: 3HW60  
(215) 814-3298  
(215) 814-3163 FAX

### Region IV

Bernie Hayes  
US EPA Region 4  
Air, Pesticide Center  
61 Forsyth Street, S.W.  
Atlanta, GA 30303  
(404) 562-9430  
(404) 562-9066 FAX

Patricia Herbert  
U.S. EPA  
Atlanta Federal Center  
61 Forsyth Street, MC 4WD-RPB/RSS  
Atlanta, GA 30303-3104  
(404) 562-8449  
(404) 562-8439 FAX

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Matthew Robbins, Chief  
Grants and Contracts Administration Section  
Management Division  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-8960  
(404) 562-8371  
(404) 562-8370

Richard D. Green, Acting Director

Waste Management Division  
61 Forsyth Street  
Atlanta, GA 30303  
(404) 562-8651

Mark Robertson, Acting Indian Coordinator  
345 Courtland Street NE  
Atlanta, GA 30365  
(404) 562-9639

Patsy Brooks  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-3104

John K. Mason  
Atlanta Federal Center  
61 Forsyth Street, S.W., Mail Code GW-PB-15  
Atlanta, GA 30303-3104  
(404) 562-9441

### Region IX

Bill Wilson  
US EPA Region 9 (WST-1-1)  
Waste Division  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-2192  
(415) 744-1796 FAX

Julie Anderson, Director  
Waste Division  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-2138

Lester Kaufman  
75 Hawthorne Street (H-W-4), 10th Floor  
San Francisco, CA 94105  
(415) 744-2079

Keith Takata, Director  
Hazardous Waste Management Division  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-1730

Louise Hill  
Mail Code (Air-6)  
75 Hawthorne Street  
San Francisco, CA 94105

Clance Tenley, Tribal Program Manager  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-1607

(Arizona, California, Hawaii, Nevada, America  
Samoa, Guam, Trust Territories of Pacific Islands,  
Wake Island)  
Melinda Taplin, Chief  
75 Hawthorne Street  
Grants and Finance Branch  
San Francisco, CA 94105  
(415) 744-1693  
FTS 744-1678

Heidi Hall  
U.S. EPA  
75 Hawthorne Street  
San Francisco, CA 94105

Mail Code: WST-7  
(415) 744-1284  
(415) 744-1044 FAX

### Region V

Robert Springer, Director  
Waste, Pesticides and Toxics Division  
77 West Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 353-2024

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

Patricia Bamford, Acquisition and Assistance  
Branch (MC-10J)  
77 W. Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 886-2400  
(312) 353-9096 FAX

Phil Kaplan  
US EPA Region 5 (DRP-8J)  
Waste, Pesticide and Toxics Division  
77 West Jackson Boulevard  
Chicago, IL 60604-3590  
(312) 353-4669  
(312) 353-4788 FAX

William Muno, Director  
SuperFund Division  
Metcalfe Federal Building  
77 West Jackson Blvd.  
Chicago, IL 60604  
(312) 353-9773

Mike Murphy  
Mail Code (AE-17J)  
77 West Jackson Boulevard  
Chicago, IL 60604-3590

Andy Tschampa, Section Chief  
Underground Storage Tanks  
77 West Jackson Boulevard, DRU-7J  
Chicago, IL 60604-3590  
(312) 886-6136

Mary Setnicar  
U.S. EPA  
77 West Jackson Boulevard  
Chicago, IL 60604-3590  
Mail Code: DRP-8J  
(312) 886-0976  
(312) 353-4788 FAX

Casey Ambutas, Indian Coordinator  
77 West Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 353-1394

### Region VI

Ellen Greeney, Indian Coordinator  
1445 Ross Avenue  
12th Floor, Suite 1200  
Dallas, TX 75202-2733  
(214) 665-2118/7454

Michael Miller  
1445 Ross Avenue  
Dallas, TX 75202-2733

## Appendix IV: Agency Regional and Local Office Addresses

Carl Edlund, Division Director  
Multimedia Planning and Permitting Division  
Fountain Place 12th Floor, Suite 1200  
1445 Ross Avenue  
Dallas, TX 75202-2733  
(214) 665-7200

Willie Kelley  
1st Interstate Bank Tower  
1445 Ross Avenue, Suite 1200, 6PD-U  
Dallas, TX 75202-2733  
(214) 665-6760

Myron Knudson, Director  
Superfund Division  
Fountain Place 12th Floor, Suite 1200  
1445 Ross Avenue  
Dallas, TX 75202-2733  
(214) 665-6701

Eli Martinez  
US EPA Region 6 (6EN-XP)  
Compliance Assurance and Enforcement Division  
1445 Ross Avenue, Suite 1200  
Dallas, TX 75202  
(214) 665-2119  
(214) 665-7446 FAX

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

First International Building  
Brenda Durden, Chief  
1445 Ross Avenue  
Grants Audit Section (6M-PG)  
Management Division  
Dallas, TX 75202-2733  
(214) 665-6510  
(214) 665-7284 FAX

Willie Kelley  
U.S. EPA  
1445 Ross Avenue  
Dallas, TX 75202-2733  
Mail Code: 6PD-U  
(214) 665-6760  
(214) 655-7263 FAX

### Region VII

William (Art) Spratlin, Director  
Air/RCRA Toxics Division  
901 North 5th Street  
Kansas City, KS 66101  
(913) 551-7020

Stephen Chambers  
Mail Code (ARTD/RALI)  
901 North 5th Street  
Kansas City, KS 66101

Bill Lane  
901 North 5th Street  
Kansas City, KS 66101  
(913) 551-7547

David Flora  
U.S. EPA  
901 North 5th Street  
Kansas City, KS 66101  
Mail Code: ARTD/SWPP

(913) 551-7523  
(913) 551-7947 FAX  
(Iowa, Kansas, Missouri, Nebraska)

Carol Rompage  
901 North 5th Street  
Grants Administration Branch  
Kansas City, KS 66101  
(913) 551-7346  
(913) 551-7579 FAX  
Use the same number for FTS

Michael Sanderson, Director  
Superfund Division  
901 North 5th Street  
Kansas City, KS 66101  
(913) 551-7664

Marc Matthews  
US EPA Region 7 (ARTD/TSPP)  
Air, RCRA and Toxics Division  
726 Minnesota Avenue  
Kansas City, KS 66101  
(913) 551-7517  
(913) 551-7065 FAX

Kim Olson, Indian Coordinator  
726 Minnesota Avenue  
Kansas City, KS 66101  
(913) 551-7863539

### Region VIII

Linda Walters  
US EPA Region 8 (8P2-P2)  
Office of P2, State and Tribal Assistance  
999 18th Street, Suite 500  
Denver, CO 80202-2466  
(303) 312-6385  
(303) 312-6339 FAX

Sadie Hoskie, Indian Coordinator  
999 18th Street, Suite 500  
Denver, CO 80202-2405  
(303) 312-6343

Whitney Turlove-Cranor  
U.S. EPA  
999 18th Street, Suite 500  
Denver, CO 80202-2466  
Mail Code: 8P-P3T  
(303) 312-6099  
(303) 312-6044 FAX

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)

Wayne Anthofer  
Grants Administration Branch, 8PM-GFM  
999 18th Street, Suite 500  
Denver, CO 80202-2466  
(303) 312-6305  
(303) 312-6685 FAX

David Hogle  
999 18th Street, Suite 500, 8P2-W-GW  
Denver, CO 80202-2466  
(303) 312-6137

Kathleen Craig  
Mail Code (8P-AR)  
999 18th Street, Suite 500

Denver, CO 80202-2466

Wanda Tauntan, Director  
Hazardous Waste Program  
Denver Place  
999 18th Street, Suite 500 (MC-8P2-SA)  
Denver, CO 80202-2466  
(303) 312-7081

MaxDodson, Asst. Regional Admin.  
Office of Ecosystems Protection & Remediation  
999 18th Street, Suite 500  
Denver, CO 80202  
(303) 312-6598

### Region X

Scott Sufficool, Tribal Program Manager  
1200 Sixth Avenue  
Seattle, WA 98101  
(206) 553-6200

Carolyn Gangmark  
US EPA Region 10  
Office of Innovation  
1200 Sixth Avenue  
Seattle, WA 98101  
(206) 553-4072  
(206) 553-6647 FAX

Rick Albright, Director  
Office of Waste and Chemical Management  
1200 6th Avenue  
Seattle, WA 98101  
(206) 553-4198

Michael Gearhead, Director  
Office of Environmental Cleanup  
1200 6th Avenue  
Seattle, WA 98101  
(206) 553-7151

(Alaska, Idaho, Oregon, Washington)  
Deborah Flood, Manager  
Grants Administration Unit  
1200 6th Avenue  
Seattle, WA 98101  
(206) 553-2722  
(206) 553-4957 FAX

Steve Sharp  
U.S. EPA  
1200 6th Avenue  
Seattle, WA 98101  
Mail Code: WCM-128  
(206) 553-6117  
(206) 553-8509 FAX

Tini Hamlin  
1200 6th Avenue, WD-133  
Seattle, WA 98101  
(206) 553-1563

Jerrold Leitch  
Mail Code (OAQ-107)  
1200 Sixth Avenue  
Seattle, WA 98101-9797

### U.S. EPA, Region I

Mike McGagh  
One Congress Street

## Appendix IV: Agency Regional and Local Office Addresses

Boston, MA 02114-2023  
(617) 918-1428  
(617) 918-1291 FAX

### U.S. EPA, Region II

U.S. EPA, Region III  
Amelia Libertz  
Mail Code: 3HS43  
1650 Arch Street  
Philadelphia, PA 19103  
(215) 566-5522  
(215) 566-5518 FAX

Carol Hemington  
290 Broadway, 26th Floor-26-OEP  
New York, NY 10007-1866  
(212) 637-3420  
(212) 637-4445 FAX

U.S. EPA, Region IV  
Rosemary Patton  
Atlanta Federal Center  
61 Forsyth Street  
Atlanta, GA 30303  
(404) 562-8866  
(404) 562-8788 FAX

### U.S. EPA, Region V

U.S. EPA, Region VI  
Beverly Negri  
Fountain Place, 12th Floor, Suite 1200  
Mail Code: 6HMC  
1445 Ross Avenue, Suite 1200  
Dallas, TX 75202-2733  
(214) 665-8157  
(214) 655-6660 FAX

Headquarters  
Lois Gartner  
U.S. EPA  
Mail Code 5204G  
401 M Street, SW  
Washington, DC 20460  
(703) 603-8889  
(703) 603-9100 FAX

U.S. EPA, Region VIII  
Linda Armer  
Mail Code: 8OEA/PA1  
999 18th Street, Suite 500  
Denver, CO 80202-2466  
(303) 312-6696  
(303) 312-6961 FAX

U.S. EPA, Region VII  
Hattie Thomas  
Mail Code: PBAF  
901 North 5th Street  
Kansas City, KS 66101  
(913) 551-7762  
(913) 551-7066 FAX

U.S. EPA, Region IX  
David Cooper  
Mail Code: H-1-1  
75 Hawthorne Street  
San Francisco, CA 94105  
(415) 744-2179

(415) 744-1796 FAX

U.S. EPA, Region X  
Jeanne O'Dell  
Mail Code: ECO-O81  
1200 6th Avenue  
Seattle, WA 98101  
(206) 553-6919  
(206) 553-6984 FAX

Sue Pastor  
Mail Code PS19-J  
77 Metcalfe Federal Building  
West Jackson Boulevard  
Chicago, IL 60604-3507  
(312) 886-1325  
(312) 353-1155 FAX

## COMMODITY FUTURES TRADING COMMISSION

### California

(Western Region)  
10900 Wilshire Boulevard, Suite 400  
Los Angeles, CA 90024  
(310) 235-6783  
Use the same number for FTS

### Illinois

(Central Region)  
300 South Riverside Plaza, Suite 1600 North  
Chicago, IL 60606  
(312) 353-9000  
Use the same number for FTS

### Minnesota

(Central Region Sub Office)  
510 Grain Exchange Building  
Minneapolis, MN 55415  
(612) 370-3255  
Use the same number for FTS

### Missouri

(Southwestern Region)  
4900 Main Street, Suite 721  
Kansas City, MO 64112  
(816) 931-7600 Use the same number for FTS

### New York

(Eastern Region)  
One World Trade Center, Suite 3747  
New York, NY 10048  
(212) 466-2071  
Use the same number for FTS

## DEPARTMENT OF ENERGY

### REGIONAL OFFICES

#### Colorado

Western Area Power Administration  
PO Box 281213  
Lakewood, CO 80228-2802 United States  
720-962-7160

#### Golden Field Office

Golden Field Office

1617 Cole Boulevard  
Golden, CO 80401 United States  
(303) 275-4888 (Ms. Hellman) (303) 275-4829  
(Mr. Ross)

### Idaho

Idaho Operations Office  
850 Energy Drive (MS-1221)  
Idaho Falls, ID 83401-1563 United States  
(208) 526-5277

### Illinois

Chicago Operations Office  
9800 South Cass Avenue  
Argonne, IL 60439 United States  
(630) 252-2339

### Nevada

Office of Civilian Radioactive Waste Management

1551 Hillshire Drive  
Las Vegas, NV 89143-6321 United States  
702-794-1301

### Ohio

Environmental Management Consolidated  
Business Center (EMCBC)  
Ohio Field Office  
250 E. Fifth Street, Suite 500  
Cincinnati, OH 45202 United States  
513-246-0550

### Tennessee

Office of Science  
Oak Ridge Office  
P.O. Box 2001  
Oak Ridge, TN 37831 United States  
(865) 576-0795

### Washington

Richland Operations Office  
825 Jadwin Avenue  
P.O. Box 550, A7-80  
Richland, WA 99352 United States  
(509) 376-7271

### West Virginia and Pennsylvania

National Energy Technology Laboratory  
3610 Collins Ferry Road (MS-002)  
P.O. Box 880  
Morgantown, WV 26507-0880 United States  
412-386-6073

### SERVICE CENTER

#### New Mexico

National Nuclear Security Administration (NNSA)  
Service Center  
National Nuclear Security Administration (NNSA)  
Service Center  
P.O. Box 5400  
Albuquerque, NM 87185-5400 United States  
(505) 845-4745

#### South Carolina

Savannah River Operations Office  
P.O. Box A

# Appendix IV: Agency Regional and Local Office Addresses

Aiken, SC 29802 United States  
(803) 952-9345

Office of Headquarters Procurement Services  
1000 Independence Ave, SW  
Washington, DC 20585 United States  
202-287-1500

## DEPARTMENT OF EDUCATION

### RESEARCH HEADQUARTERS

#### Region I

Jan Pashcal  
McCormack P.O. and Courthouse  
Room 540  
Boston, MA 02109  
(617) 223-9317

#### Region II

John Mahoney  
75 Park Place, 12th Floor  
New York, NY 10007  
(212) 637-6283

#### Region III

Wilson Goode  
100 Penn Square East, Suite 505  
Philadelphia, PA 19107  
(215) 656-6010

#### Region IV

Stan Williams  
61 Forsyth Street S.W., Room 19T40  
Atlanta, GA 30303  
(404) 562-6225

#### Region IX

Loni Hancock  
50 United Nations Plaza, Room 205  
San Francisco, CA 94102-4987  
(415) 437-7520

#### Region V

Stephanie Jones  
111 North Canal Street, Room 1094  
Chicago, IL 60606  
(312) 553-8192

#### Region VI

Sally Cain  
1999 Bryan Street, Suite 2700  
Dallas, TX 75201-6817  
(214) 880-3011

#### Region VII

Sandra Walker  
10220 North Executive Hills Boulevard, Suite 720  
Kansas City, MO 64153-1367  
(816) 880-4000

#### Region VIII

Lynn Simons  
Federal Regional Office Building  
1244 Speer Boulevard, Room 310  
Denver, CO 80204-3582  
(303) 844-3544

#### Region X

Carla Nuxoll  
915 Second Avenue, Room 3362  
Seattle, WA 98174-1099  
(206) 220-7800

#### Eastern Zone Regions I, II, III, IV, V

Peter Wieczorek  
McCormack P. O. and Courthouse, Room 536  
Boston, MA 02109-4557  
(617) 223-9321

#### Federal Real Property Assistance Program

David B. Hakola, Office of Administrator for  
Management Services, Director for the Western  
Zone (VI, VII, VIII, IX, X)  
400 Maryland Avenue, S.W., Room 2C107  
Washington, DC 20202  
(202) 401-0506

#### Region I

Mr. John J. Szufnarowski  
McCormack P.O. and Courthouse, Room 232  
Boston, MA 02109-4557  
(617) 223-4085

Mr. David C. Bayer, Regional Director (I-III)  
5 Post Office Square, MS 01-0070  
McCormack P.O. and Courthouse, Room 502  
Boston, MA 02109  
(617) 223-9328

#### Region II

Mr. John J. Szufarowski, Acting  
75 Park Place, 12th Floor  
New York, NY 10007  
(212) 264-4016

Mr. Robert J. McKiernan, Chief  
Institutional Review Branch  
75 Park Place, 12th Floor  
New York, NY 10007  
(212) 637-6423

#### Region III

Dr. Ralph Pacinelli  
100 Penn Square East, Suite 512

Nancy Klingler, Acting Regional Director  
3535 Market Street, Room 16200, MS 03-2080  
Philadelphia, PA 19104  
(215) 596-1018

#### Region IV

Dr. Ralph Pacinelli  
61 Forsyth Street, S.W., Room 18T91  
Atlanta, GA 30303  
(404) 562-6330

Ms. Judith G. Brantley, Acting Regional Director  
P.O. Box 1692  
Atlanta, GA 30301  
(404) 331-0556

#### Region IX

Mr. Gilbert (Doc) Williams  
Federal Office Building

50 United Nations Plaza, Room 215  
San Francisco, CA 94102  
(415) 437-7840

Ms. Jane Bryson, Regional Director (VIII-X)  
50 United Nations Plaza, Room 227, MS 09-8080  
San Francisco, CA 94102-4987  
(415) 556-8382

#### Region V

Dr. Douglas L. Burleigh  
10220 N. Executive Hills Boulevard  
Kansas City, MO 64153-1367  
(816) 880-4107

Mr. Douglas Parrott, Chief  
401 South State Street, Room 700-D, MS 05-4080  
Chicago, IL 60605  
(312) 353-0375

#### Region VI

Mr. Loerance Deaver  
1999 Bryan Street, Room 2740  
Dallas, TX 75202  
(214) 808-4927

W. Carl Hammack, Regional Director (IV-VII)  
1200 Main Tower Building, Room 2150, MS  
06-5080  
Dallas, TX 75202  
(214) 767-3811

#### Region VII

Douglas Burleigh  
111 N. Canal Street, Suite 510  
Chicago, IL 60606  
(816) 880-4107

Mr. Steve Dorssom, Chief  
Institutional Review Branch  
10220 North Executive Hills Boulevard, 9th Floor  
Kansas City, MO 64153  
(816) 880-4054

#### Region VIII

Mr. Harry Shriver, Chief  
Institutional Review Branch  
1244 Speer Boulevard, Room 322  
Denver, CO 80204  
(303) 844-3676

Mr. Loerance Deaver  
Harwood Center  
1999 Byran Street  
Dallas, TX 75201-6817  
(214) 880-4927

#### Region X

Susan Bowder, Regional Director  
1000 Second Avenue, Room 1200  
Seattle, WA 98174-1099  
(206) 287-1770

Richard Corbridge, Assistant Regional  
Commissioner  
915 Second Avenue, Room 2848  
Seattle, WA 98174-1099  
(206) 220-7840

# Appendix IV: Agency Regional and Local Office Addresses

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

### Alaska

Thomas E. Wiltsey  
National Archives and Records Administration  
Pacific Alaska Region (Anchorage)  
654 West 3rd Avenue  
Anchorage, AK 99501-2145  
(907) 271-2443  
(907) 271-2442 FAX  
alaska.archives@nara.gov

### Archives I - Research Room Support Branch

Archives II - Research Room Support Branch  
Robert W. Coren  
National Archives and Records Administration  
College Park, MD 20740-6001  
(301) 713-6800

JoAnn Williamson  
National Archives and Records Administration  
700 Pennsylvania Avenue N.W.  
Washington, DC 20408  
(202) 501-5403

### Arkansas

David E. Alsbrook  
Clinton Presidential Material Project  
1000 Laharpe Boulevard  
Little Rock, AR 72201  
(501) 254-6866

### California

R. Duke Blackwood, Director  
Ronald Reagan Library  
40 Presidential Drive  
Simi Valley, CA 93065-0600  
(800) 410-8354

### California-Laguna Niguel

Dan Bennett  
National Archives and Records Administration  
Pacific Region (Laguna Niguel)  
24000 Avila Road, 1st Floor, East Entrance  
P.O. Box 6719  
Laguna Niguel, CA 92607-6719  
(949) 360-2618  
(949) 360-2624 FAX  
laguna.archives@nara.gov

### California-San Francisco

Shirley Burton  
National Archives and Records Administration  
Pacific Region (San Francisco)  
1000 Commodore Drive  
San Bruno, CA 94066-2350  
(650) 876-9249  
(650) 876-9233 FAX  
sanbruno.archives@nara.gov

### Colorado

Joel Barker  
National Archives and Records Administration  
Rocky Mountain Region  
Denver Federal Center

Building 48  
P.O. Box 25307  
Denver, CO 80225-0307  
(303) 236-0801  
(303) 236-9297 FAX  
denver.archives@nara.gov

### George Bush Library

Edward Douglas Menarchik  
1000 George Bush Drive West  
College Station, TX 77845  
(409) 260-9554

### Georgia

Jay E. Hakes, Director  
Jimmy Carter Library  
441 Freedom Parkway  
Atlanta, GA 30307-1498  
(404) 331-3942

James McSweeney  
National Archives and Records Administration  
Southeast Region  
1557 Saint Joseph Avenue  
East Point, GA 30344-2593  
(404) 763-7438  
(404) 763-7059 FAX  
atlanta.archives@nara.gov

### Illinois

David Kuehl  
National Archives and Records Administration  
Great Lakes Region (Chicago)  
7358 South Pulaski Road  
Chicago, IL 60629-5898  
(773) 581-9688  
(312) 886-7883 FAX  
chicago.archives@nara.gov

### Iowa

Timothy G. Walch  
Herbert Hoover Library  
210 Parkside Drive  
P.O. Box 488  
West Branch, IA 52358-0488  
(319) 643-5301

### Kansas

Daniel D. Holt  
Dwight D. Eisenhower Library  
200 S.E. 4th Street  
Abilene, KS 67410-2900  
(785) 263-4751

### Maryland

Karl Weissenbach  
Nixon Presidential Materials Staff  
National Archives at College Park  
College Park, MD 20740-6001  
(301) 713-6950

### Massachusetts

Maria Stannich  
John F. Kennedy Library  
Columbia Point  
Boston, MA 02125-3398

(617) 929-4500

### Massachusetts-Boston

Paul Palermo  
National Archives and Records Administration  
Northeast Region (Boston)  
380 Trapelo Road  
Waltham, MA 02452-6399  
(617) 647-8108  
(617) 647-8008 FAX  
waltham.archives@nara.gov

### Massachusetts-Pittsfield

Ed Kelly  
National Archives and Records Administration  
Northeast Region (Pittsfield)  
10 Conte Drive  
Pittsfield, MA 01201-8230  
(413) 445-6885  
(413) 445-7305 FAX  
edmund.kelly@pittsfield.nara.g

### Michigan

Dennis A. Dallenbach  
Gerald R. Ford Library  
1000 Beal Avenue  
Ann Arbor, MI 48109-2114  
(734) 741-2218

Dennis A. Dallenbach  
Gerald R. Ford Museum  
303 Pearl Street, N.W.  
Grand Rapids, MI 49504-5353  
(616) 451-9263

### Missouri

Scott Roley  
Harry S Truman Library  
500 West U.S. Highway 24  
Independence, MO 64050-1798  
(816) 833-1400

### Missouri-Kansas City

R. Reed Whitaker  
National Archives and Records Administration  
Central Plains Region (Kansas City)  
2312 East Bannister Road  
Kansas City, MO 64131-3011  
(816) 926-6920  
(816) 926-6982 FAX  
kansascity.archives@nara.gov

### Missouri-Lee's Summit

Dean Donovan  
Central Plains Region (Lee's Summit)  
200 Space Center Drive  
Lee's Summit, MO 64064-1182  
(816) 478-7079  
(816) 478-7623 FAX

### Missouri-St. Louis, Civilian Records

Paul Gray  
National Archives and Records Administration  
National Personnel Records Center (Civilian  
Personnel Records)  
111 Winnebago Street



# Appendix IV: Agency Regional and Local Office Addresses

St. Louis, MO 63118-4199  
(314) 425-5722  
(314) 425-5719 FAX  
center@cpr.nara.gov

## Missouri-St. Louis, Military Records

Scott Levins  
National Archives and Records Administration  
National Personnel Records Center (Military  
Personnel Records)  
9700 Page Avenue  
St. Louis, MO 63132-5100  
(314) 538-4247  
(314) 538-4005 FAX  
center@stlouis.nara.gov

## New York

Cynthia M. Koch  
Franklin D. Roosevelt Library  
511 Albany Post Road  
Hyde Park, NY 12538-1999  
(914) 229-8114

Robert Morris  
National Archives and Records Administration  
Northeast Region (New York City)  
201 Varick Street  
New York, NY 10014-4811  
(212) 337-1300  
(212) 337-1306 FAX  
newyork.archives@nara.gov

## Ohio

David Cornelisse  
National Archives and Records Administration  
Great Lakes Region (Dayton)  
3150 Springboro Road  
Dayton, OH 45439-1883  
(937) 225-2878  
(937) 225-7236 FAX  
center@dayton.nara.gov

## Pennsylvania-Center City Philadelphia

Robert J. Plowman  
National Archives and Records Administration  
Mid Atlantic Region (Center City Philadelphia)  
900 Market Street  
Philadelphia, PA 19107-4292  
(215) 597-3000 or 9752  
(215) 597-2303 FAX  
archives@philarch.nara.

## Pennsylvania-Northeast Philadelphia

David Weber  
National Archives and Records Administration  
Mid Atlantic Region (Northeast Philadelphia)  
14700 Townsend Road  
Philadelphia, PA 19154-1096  
(215) 671-8005  
(215) 671-8001 FAX  
james.mouat@philfrc.nara.gov

## Texas

Harry J. Middleton  
Lyndon B. Johnson Library  
2313 Red River Street

Austin, TX 78705-5702  
(512) 916-5137

Kent Carter  
National Archives and Records Administration  
Southwest Region  
501 West Felix Street, Building 1  
Ft. Worth, TX 76115-3405  
P.O. Box 6216  
Fort Worth, TX 76115-0216  
(817) 334-5736  
(817) 334-5621 FAX  
ftworth.archives@nara.gov

## Washington National Records Center

Alan Kramer  
Reference Service Branch  
Washington, DC 20409-0002  
(301) 457-7000

## Washington, D.C.

Nancy Keagan Smith  
Presidential Materials Staff  
700 Pennsylvania Avenue N.W.  
Washington, DC 20408-0001  
(202) 501-5705

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### FOOD AND DRUG ADMINISTRATION

#### CENTERS FOR DISEASE CONTROL AND PREVENTION

Mildred Gerner, Grants Management Officer  
2920 Brandywine Road, Room 3000  
Atlanta, GA 30341  
(770) 488-2730

Mr. Jim Holt, Deputy Director  
1600 Clifton Road NE  
Atlanta, GA 30333  
(770) 488-5269

#### Aberdeen Area (North Dakota, South Dakota, Nebraska, Iowa)

Donald Bruce Bad Moccasin, Director  
Aberdeen Area Indian Health Service  
Federal Building  
115 Fourth Avenue, S.E.  
Aberdeen, SD 57401  
(605) 226-7581

#### Alaska Area (Alaska)

Chris Mandregan, Director  
Alaska Area Native Health Service  
4141 Ambassador Drive  
Anchorage, AK 99508-5928  
(907) 257-3686

#### Albuquerque Area (New Mexico, Colorado)

Duane L. Jeanotte, (Acting) Director  
Albuquerque Area Indian Health Service  
505 Marquette N.W., Suite 1502

Albuquerque, NM 87102-2163  
(505) 248-4500

#### Bemidji Area (Minnesota, Wisconsin, Michigan)

Dr. Kathleen Annette, M.D., Director  
Bemidji Area Indian Health Service  
127 Federal Building  
Bemidji, MN 56601  
(218) 759-3412

#### Billings Area (Montana, Wyoming)

Duane L. Jeanotte, (Acting) Director  
Billings Area Indian Health Service  
P.O. Box 2143  
2900 4th Genuine North  
Billings, MT 59103  
(406) 247-7107

#### California

Elaine Messa  
19900 McArthur Boulevard, Suite 300  
Irvine, CA 92715-2445  
(714) 798-7714

Patricia Ziobro  
1431 Harbor Bay Parkway  
Alameda, CA 94502-7070  
(510) 337-6783

#### California Area (California)

Margo Kerrigan, Director  
California Area Indian Health Service  
1825 Bell Street, Suite 200  
Sacramento, CA 95825-1097  
(916) 566-7101

#### Colorado

Gary C. Dean  
Denver Federal Center  
6th & Kipling Street  
Denver, CO 80225-0087  
(303) 236-3016

#### Florida

Douglas D. Tolen  
7200 Lake Ellenor Drive, Suite 120  
Orlando, FL 32809  
(407) 648-6995

#### Georgia

Graham H. Ballard  
60 Eighth Street, N.E.  
Atlanta, GA 30309  
(404) 347-4344

#### Headquarters Office

Michael H. Trujillo, M.D., M.P.H., Director  
Indian Health Service  
5600 Fishers Lane, Room 6-05  
Rockville, MD 20857  
(301) 443-1083

#### Headquarters West Office

Duane L. Jeanotte, (Acting) Director  
Headquarters West Indian Health Service  
5300 Homestead Road, N.E.

# Appendix IV: Agency Regional and Local Office Addresses

---

Albuquerque, NM 87110  
(505) 248-4102

## Illinois

Raymond V. Mlecko  
300 South Riverside Plaza, Suite 550 South  
Chicago, IL 60606  
(312) 353-7379

## Kansas

W. Michael Rogers  
11630 West 80th Street  
Lenexa, KS 66285-5905  
(913) 752-2144

## Louisiana

James Gamet  
4298 Elysian Fields Avenue  
New Orleans, LA 70122  
(504) 589-2401, Ext. 124

## Maryland

Elaine K. Cole  
900 Madison Avenue  
Baltimore, MD 21201  
(410) 962-4012

## Massachusetts

John R. Marzilli  
One Montvale Avenue, 4th Floor  
Stoneham, MA 02180  
(617) 279-1675, Ext. 155

## Michigan

Vacant  
1560 East Jefferson Avenue  
Detroit, MI 48207  
(313) 226-6260, Ext. 101

## Minnesota

James Rahto  
240 Hennepin Avenue  
Minneapolis, MN 55401-1912  
(612) 334-4100, Ext. 121

**Nashville Area (Texas, Louisiana, Missouri, Arkansas, Mississippi, Alabama, Illinois, Indiana, Ohio, Kentucky, Tennessee, Georgia, Florida, South Carolina, North Carolina, Virginia, West Virginia, Maryland, Delaware, Pennsylvania, New York, New Jersey, Co**

Michael Tiger, Director  
Nashville Area Indian Health Service  
711 Stewarts Ferry Pike  
Nashville, TN 37214-2634  
(615) 736-2400

**Navajo Area (Arizona, New Mexico, Utah, Colorado)**

John Hubbard, Director  
Navajo Area Indian Health Service  
P.O. Box 9020  
Window Rock, AZ 86515-9020  
(520) 871-5811

## New Jersey

Doug Ellsworth  
Waterview Corporate Center  
10 Waterview Boulevard, 3rd Floor  
Parsippany, NJ 07054  
(973) 331-2901

## New York

Brenda Holman  
850 3rd Avenue  
Brooklyn, NY 11232-1593  
(718) 340-7000, Ext. 5301

Vacant  
599 Delaware Avenue  
Buffalo, NY 14202  
(716) 551-4461

## Ohio

Vacant  
1141 Central Parkway  
Cincinnati, OH 45202-1097  
(513) 684-3504

## Oklahoma City Area (Oklahoma, Kansas)

Robert Harry, DDS., Director  
Oklahoma City Area Indian Health Service  
3625 N.W. 56th Street  
5 Corporate Plaza  
Oklahoma City, OK 73112  
(405) 951-3768

## Pennsylvania

Diana Kolaitis  
U.S. Customhouse, Room 900  
2nd and Chestnut Street  
Philadelphia, PA 19106  
(215) 597-4390, Ext. 4200

## Phoenix Area (Nevada, Arizona, Utah)

Don Davis, Director  
Phoenix Area Indian Health Service  
3738 North 16th Street, Suite A  
Phoenix, AZ 85016-5981  
(602) 640-2052

## Portland Area (Oregon, Washington, Idaho)

Joyce Reyes, Acting Director  
Portland Area Indian Health Service  
1220 S.W. Third Avenue, Room 476  
Portland, OR 97204-2892  
(503) 326-2020

## Puerto Rico

Samuel Jones  
466 Fernandez Juncos Avenue  
San Juan, PR 00901-3223  
(787) 729-6842

## Tennessee

Raymond K. Hedblad  
297 Plus Park Boulevard  
Nashville, TN 37217  
(615) 781-5392, Ext. 128

## Texas

Joseph R. Baca

3310 Live Oak Street  
Dallas, TX 75204  
(214) 655-5315, Ext 302

## Tucson Area (Arizona)

Richard Ramirez, Acting Director  
Office of Health Program Research &  
Development Indian Health Service  
7900 South "J" Stock Road  
Tucson, AZ 85746-9352  
(520) 295-2406

## Washington

Roger L. Lowell  
P.O. Box 3012  
Federal Office Building  
22201 - 23rd Drive, S.E.  
Bothell, WA 98041-3012  
(425) 483-4950

## OFFICE OF THE SECRETARY

---

### RESEARCH HEADQUARTERS

#### Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Maureen Osolnik  
Room 2100  
John F. Kennedy Federal Building  
Government Center  
Boston, MA 02203  
(617) 565-1500

#### Region II

(New York, New Jersey, Puerto Rico, Virgin Islands)  
Anthony Marra  
26 Federal Plaza, Room 3835  
New York, NY 10278  
(212) 264-4600

#### Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
James Mengel  
3535 Market Street, Room 11480  
Gateway Building  
Philadelphia, PA 19104  
(215) 596-6492

#### Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Jim Brannon  
101 Marietta Tower, Suite 1515  
Atlanta, GA 30323  
(404) 331-2442

#### Region IX

(American Samoa, Arizona, California, Guam, Hawaii, Nevada, Northern Mariana Islands, Trust Territories of the Pacific Islands)  
Emory Lee  
Federal Office Building  
50 United Nations Plaza, Room 431

# Appendix IV: Agency Regional and Local Office Addresses

San Francisco, CA 94102  
(415) 437-8500

## Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Suzanne Krohn  
105 West Adams, 23rd Floor  
Chicago, IL 60603  
(312) 353-5160

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Don Perkins  
1301 Young Street, Suite 1124  
Dallas, TX 75202  
(214) 767-3301

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Bobbie Mowery  
601 East 12th Street, Room 210  
Kansas City, MO 64106  
(816) 426-2821

## Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Paul Denham  
Room 325, Federal Building  
1961 Stout Street  
Denver, CO 80294-3538  
(303) 844-3372

## Region X

(Alaska, Idaho, Oregon, Washington)  
Elizabeth G. Healy  
2201 Sixth Avenue, Room 1208  
Seattle, WA 98121  
(206) 615-2010

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

### Alabama

Nancy Reeder, Director  
Medical Forum  
950 22nd Street, North, Suite 428  
Birmingham, AL 35203  
(205) 731-0027  
(205) 731-0031 FAX

### Alaska

Billy Joe Caldwell, Director  
Jackson Federal Building  
915 Second Avenue, Suite 3190  
Seattle, WA 98174-1103  
(206) 220-7736  
(206) 553-4415 FAX

### Atlantic Cluster

(CT,DE,MA,MD,ME,NH,NJ,NY,PA,PR,RI,VT)  
Rocco Gaudio, Director  
801 Arch Street, Suite 103  
Philadelphia, PA 19107-2416

(215) 597-9972  
(215) 597-4933 FAX

### Arizona

Richard Persely, Director  
522 North Central, Room 205A  
Phoenix, AZ 85004-2190  
(602) 379-4825  
(602) 379-4030 FAX

### Arkansas

Opal Sims, Director  
Federal Building, Room 2506  
700 West Capitol Street  
Little Rock, AR 72201  
(501) 324-5234  
(501) 324-6949 FAX

### California

Javies Lafianza, Director  
11150 W. Olympia Boulevard, Suite 170  
Los Angeles, CA 90064  
(310) 235-7421  
(310) 235-7422 FAX

### Colorado

James Byrnes Cacting, Director  
999 18th Street, Suite 1440 South  
Denver, CO 80202  
(303) 312-7950  
(303) 312-7954 FAX

### Connecticut

Romero A. Cherry, Director  
1 Commercial Plaza, 21st Floor  
Hartford, CT 06103-3510  
(860) 240-3237  
(860) 240-3238 FAX

### Delaware (and MD)

Jerry E. Yates, Director  
Fallen Federal Building  
31 Hopkins Plaza, Suite 400B  
Baltimore, MD 21201  
(410) 962-4443  
(410) 962-3201 FAX

### District of Columbia (and VA)

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

### Florida

Warren Smith, Director  
3165 McCrory Street, Suite 115  
Orlando, FL 32803-3750  
(407) 648-6117  
(407) 648-6116 FAX

### Georgia

Daryl James, Director  
75 Piedmont Avenue, N.E., Suite 982  
Atlanta, GA 30303-2587

(404) 331-4646  
(404) 331-2898 FAX

### Hawaii/Guam/American Samoa

Lynn Dunn, Director  
Federal Building, Room 6213  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2832  
(808) 541-3603 FAX

### Idaho

Van Kent Griffiths, Director  
304 North 8th Street, Room 344  
Boise, ID 83702-5835  
(208) 334-1707  
(208) 334-1421 FAX

### Illinois

Timothy Krieger, Director  
77 West Jackson Boulevard, Suite 442  
Chicago, IL 60604-3511  
(312) 353-3622  
(312) 353-5343 FAX

### Indiana

Thomas L. Haskett, Director  
46 East Ohio Street, Room 457  
Indianapolis, IN 46204-1922  
(317) 226-6724  
(317) 226-5437 FAX

### Iowa

Joel Weinstein, Director  
Federal Building, Room 917  
210 Walnut Street  
Des Moines, IA 50309-2195  
(515) 284-4816  
(515) 284-6640 FAX

### Kansas

James M. Byrnes, Director  
444 S.E. Quincy, Room 260  
Topeka, KS 66683-3572  
(785) 295-2540  
(785) 295-2596 FAX

### Kentucky

Betsy Irvin Wells, Director  
Federal Building, Room 372-D  
600 Martin Luther King Place  
Louisville, KY 40202-2230  
(502) 582-6384  
(502) 582-6386 FAX

### Louisiana

Willard L. Labrie, Director  
707 Florida Street, Suite 316  
Baton Rouge, LA 70801-1910  
(504) 389-0473  
(504) 389-0510 FAX

### Maine (NH and VT)

Mal Coles, Director (Acting)  
1 Pillsbury Street, Suite 201  
Concordina, MN 03301-3556

# Appendix IV: Agency Regional and Local Office Addresses

(603) 225-1450  
(603) 225-1459 FAX

## Maryland (and DE)

Jerry E. Yates, Director  
Fallon Federal Building  
31 Hopkins Plaza, Suite 400B  
Baltimore, MD 21201-3418  
(410) 962-4443  
(410) 962-3201 FAX

## Massachusetts

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7000  
(617) 565-7011 FAX

## Michigan

Mary Pfeiler, Director  
211 West Fort Street, Suite 1408  
Detroit, MI 48226-2799  
(313) 226-7848  
(313) 226-2557 FAX

## Minnesota

Robert Jackson, Director  
431 South 7th Street, Room 2480  
Minneapolis, MN 55415-1854  
(612) 334-4083  
(612) 334-4084 FAX

## Mississippi

Roktabija Abdul-Azeez, Director  
100 West Capitol Street, Room 1005A  
Jackson, MS 39269-1092  
(601) 965-5664  
(601) 965-4617 FAX

## Missouri

John J. McDonald, Director  
801 Walnut Street, Suite 504  
Kansas City, MO 64106-2009  
(816) 374-6300  
(816) 374-6305 FAX

## Montana

Junn Allen, Director  
Capitol One Center  
208 North Montana Avenue, Suite 206  
Helena, MT 59601-3837  
(406) 449-5404  
(406) 449-5412 FAX

## Nebraska

Anne C. Johnson, Director  
Federal Building, Room 156  
100 Centennial Mall North  
Lincoln, NE 68508-3896  
(402) 437-5493  
(402) 437-5495 FAX

## Nevada

Craig Warner, Director  
4600 Kietzke Lane, Suite E-141  
Reno, NV 89502-5033

(702) 784-5314  
(702) 784-5026 FAX

## New Hampshire (ME and VT)

Mal Coles, Acting Director  
1 Pillsbury Street, Suite 201  
Concord, NH 03301-3556  
(603) 225-1450  
(603) 225-1459 FAX

## New Jersey

Stanley Gorland, Director  
44 South Clinton Avenue, Room 702  
Trenton, NJ 08609-1507  
(609) 989-2243  
(609) 989-2304 FAX

## New Mexico

Ernesto Ramos, Director  
120 S. Federal Place, Room 315  
Santa Fe, NM 87501-2026  
(505) 988-6577  
(505) 988-6661 FAX

## New York

Donna Smith, Director  
Leo O'Brien Federal Building  
Room 818, Clinton Avenue and Pearl Street  
Albany, NY 12207  
(518) 431-4150  
(518) 431-4154 FAX

## North Carolina

Robert L. Winston, Director  
300 Fayetteville Street Mall, Room 131  
Raleigh, NC 27601-1739  
(919) 856-4731  
(919) 856-4738 FAX

## North Central Cluster

(IA,IL,IN,MI,MN,NE,ND,OH,SD,WI)  
Mary Lubertozzi, Director  
77 West Jackson Boulevard, Suite 442  
Chicago, IL 60604-3511  
(312) 353-7705  
(312) 353-5343 FAX

## North Dakota (and SD)

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## Ohio

Paul Schrader, Director  
51 North High Street, Suite 451  
Columbus, OH 43215  
(614) 469-7441  
(614) 469-2125 FAX

## Oklahoma

H. Zeke Rodriguez, Director  
215 Dean A. McGee, Suite 324  
Oklahoma City, OK 73102  
(405) 231-5201

(405) 231-4329 FAX

## Oregon

Robin Sutherland, Director  
2010 Lloyd Center  
Portland, OR 97232  
(503) 231-2103  
(503) 231-2106 FAX

## Pacific Cluster

(AK,CA,HI,ID,MT,NV,OR,UT,WA,WY)  
Lee Spencer, Director  
P.O. Box 29996  
Presidio of San Francisco, CA 94129-0996  
(415) 561-5960  
(415) 561-5970 FAX

## Pennsylvania

Jorina Ahmed, Director  
Robert Nic Nix Federal Building  
900 Market Street, Suite 229  
Philadelphia, PA 19107  
(215) 597-2806  
(215) 597-2807 FAX

## Puerto Rico/Virgin Island

Loretta de Cordova, Director  
U.S. Federal Building, Suite 662  
150 Carlos Chardon Avenue  
Hato Rey, PR 00918-1737  
(787) 766-5314  
(787) 766-5189 FAX

## Rhode Island

Vincent Marzullo, Director  
400 Westminister Street, Room 203  
Providence, RI 02903  
(401) 528-5424  
(401) 528-5220 FAX

## South Carolina

Jerome J. Davis, Director  
1835 Assembly Street, Suite 872  
Columbia, SC 29201-2430  
(803) 765-5771  
(803) 765-5777 FAX

## South Dakota (and ND)

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## Southern Cluster

(AL,DC,FL,GA,KY,MS,NC,SC,TN,VA,WV)  
Harold Williams, Director  
60 Forsyth Street, SW, Suite 3M40  
Atlanta, GA 30323-2301  
(404) 562-4055  
(404) 562-4071 FAX

## Southeast Cluster

(AR,AZ,CO,KS,LS,MO,NM,OK,TX)  
James Parker, Director  
1999 Bryan Street, Room 2050

# Appendix IV: Agency Regional and Local Office Addresses

Dallas, TX 75201  
(214) 880-7050  
(214) 880-7074 FAX

## Tennessee

Jerry Herman, Director  
265 Cumberland Bend Drive  
Nashville, TN 37228  
(615) 736-5561  
(615) 736-7937 FAX

## Texas

Jerry G. Thompson, Director  
903 San Jacinto, Suite 130  
Austin, TX 78701-3747  
(512) 916-5671  
(512) 916-5806 FAX

## Utah

Rick Crawford, Director  
350 South Main Street, Room 504  
Salt Lake City, UT 84101-2198  
(801) 524-5411  
(801) 524-3599 FAX

## Vermont (ME and NH)

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7001  
(617) 565-7011 FAX

## Virginia (and DC)

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

## Washington

John Miller, Director  
Jackson Federal Building, Suite 3190  
915 Second Avenue  
Seattle, WA 98174-1103  
(206) 220-7745  
(206) 553-4415 FAX

## West Virginia

Judith Russell, Director  
10 Hale Street, Suite 203  
Charleston, WV 25301-1409  
(304) 347-5246  
(304) 347-5464 FAX

## Wisconsin

Linda Sunde, Director  
Henry Reuss Federal Plaza  
310 W. Wisconsin Avenue, Room 1240  
Milwaukee, WI 53203-2211  
(414) 297-1118  
(414) 297-1863 FAX

## Wyoming

Patrick Gallizzi, Director  
Federal Building, Room 1110

2120 Capitol Avenue  
Cheyenne, WY 82001-3649  
(307) 772-2385  
(307) 772-2389 FAX

## SOCIAL SECURITY ADMINISTRATION

Social security offices are located throughout cities and towns in the United States. There are approximately 1,296 district and branch offices now open. To find the address of the office near you, consult the telephone directory under Social Security Adm

## DEPARTMENT OF HOMELAND SECURITY

### Region I

(Boston)  
Kenneth L. Horak  
Acting Regional Director  
99 High Street  
6th Floor  
Boston, MA 02110  
(617) 223-9540

### Region II

(New York)  
Joseph Picciano, Acting Regional Director  
26 Federal Plaza, Suite 1307  
New York, NY 10278-0002  
(212) 680-3600

### Region III

(Philadelphia)  
Patricia G. Arcuri,  
Acting Regional Director  
FEMA Region III  
615 Chestnut Street  
Philadelphia, PA 19106  
(215) 931-5608

### Region IV

(Atlanta)  
Kenneth O. Burris, Jr.,  
Regional Director,  
FEMA Region IV  
3003 Chamblee-Tucker Rd.  
Atlanta, GA 30341  
(770) 220-5200

### Region IX

(Oakland)  
Jeff Griffin  
Regional Director,  
FEMA Region IX  
1111 Broadway, Suite 1200  
Oakland, CA 94607  
(510) 627-7100

### Region V

(Chicago)  
Edward G. Buikema,  
Regional Director  
FEMA Region V

536 S. Clark Street  
Chicago, IL 60605  
(312) 408-5500

## Region VI

(Dallas)  
Ron Castleman  
Regional Director  
Federal Regional Center  
800 North Loop 288  
Denton, TX 76201-3698  
(940) 898-5399

## Region VII

(Kansas City)  
Richard Hainje,  
Regional Director,  
FEMA Region VII  
2323 Grand Boulevard, Suite 900  
Kansas City, MO 64108-2670  
(816) 283-7061

## Region VIII

(Denver)  
David Maurstad,  
Regional Director,  
FEMA Region VIII  
Denver Federal Center, Building 710, Box 25267  
Denver, CO 80225-0267  
(303) 235-4800

## Region X

(Seattle)  
John Pennington,  
Regional Director,  
FEMA Region X  
Federal Regional Center  
130-228th Street, S.W.  
Bothell, WA 98021-9796  
(425) 487-4600

# APPENDIX V: SOURCES OF ADDITIONAL INFORMATION

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Additional information concerning Federal programs and services is available from the sources listed below. The information in this Appendix is in addition to that supplied in Appendix IV (Regional and Local Office Addresses) however; they are not the offices to which an applicant applies for an assistance program. If a potential applicant or information seeker is not certain which agency to contact, there are two types of organizations set up to help: The Federal Information Center Program and the Federal Executive Boards.

## FEDERAL CITIZEN INFORMATION CENTER PROGRAM

The Federal Citizen Information Center Program (FCIC) is a focal point for information about the Federal government. The FCIC assists people who have questions about Federal agencies, services, and programs, but do not know where to turn for an answer. FCIC information specialists either answer an inquirer's question directly, or perform the necessary research to locate and refer the inquirer to the expert best able to help. Telephone users may call the FCIC toll-free on (800) 688-9889 workdays between 9 a.m. and 8 p.m., Eastern Time. TTY users may call toll-free to the FCIC from anywhere in the U.S. by dialing (800) 326-2996.

## FEDERAL EXECUTIVE BOARDS

Federal Executive Boards (FEBs) are composed of heads of Federal field offices in the metropolitan area. The FEBs were established to improve internal Federal management practices, provide a central focus for Federal participation in civic affairs in major metropolitan centers of Federal activity, serve as a means for disseminating information within the Federal government and for promoting discussion of Federal policies and activities of importance to all Federal executives in the field. The FEBs carry out their functions under the supervision of the Office of Personnel Management (OPM). Federal Executive Associations, and Councils, have been locally organized in over 80 other metropolitan areas to perform functions similar to the Federal Executive Boards but on a lesser scale of organization and activity. For further information, contact the Assistant for Field Operations, Office of Personnel Management, Room 5524, 1900 E Street, NW., Washington, DC 20415-0001. Telephone: (202) 6061001.

**Albuquerque-Santa Fe, NM**  
(505) 262-6113

**Atlanta, GA**  
(404) 331-4400

**Baltimore, MD**  
(410) 962-4047

**Boston, MA**  
(617) 565-6769

**Buffalo, NY**  
(716) 551-5655

**Chicago, IL**  
(312) 353-6790

**Cincinnati, OH**  
(513) 684-2102

**Cleveland, OH**  
(216) 433-9460

**Dallas-Ft. Worth, TX**  
(214) 767-0767

**Denver, CO**  
(303) 676-7009

**Detroit, MI**  
(313) 226-3534

**Honolulu, HI**  
(808) 541-2637

**Houston, TX**  
(713) 209-4524

**Kansas City, MO**  
(913) 551-7100

**Los Angeles, CA**  
(562) 980-3445

**Miami, FL**  
(305) 536-4344

**New Orleans, LA**  
(504) 862-2066

**New York, NY**  
(212) 264-1890

**Newark, NJ**  
(973) 645-6217

**Oklahoma City, OK**  
(405) 231-4167

**Philadelphia, PA**  
(215) 597-2766

**Pittsburgh, PA**  
(412) 395-6607

**Portland, OR**  
(503) 326-2060

**St. Louis, MO**  
(314) 539-6312

**San Antonio, TX**  
(210) 229-4520

**San Francisco, CA**  
(510) 637-1103

**Seattle, WA**  
(206) 220-6171

**Twin Cities (Minneapolis-St. Paul), MN**  
(612) 725-3687

## U.S. GOVERNMENT BOOKSTORES

The Catalog of Federal Domestic Assistance may be purchased at any of the following 24 U.S. Government Bookstores. The price is \$75.00 per domestic subscription and \$108.75 if mailed to an address outside of the United States. An order for the Catalog must be accompanied by a check or money order made payable to the Superintendent of Documents. Payments may also be made using VISA, MasterCard, and Superintendent of Documents deposit account orders. All stores (except in Kansas City) are open Monday through Friday. The Kansas City location is open 7 days a week. (See Subscription Order Form in the back of the Catalog.) Contact the U.S. Government Bookstore nearest to you for more

information.

**ATLANTA, GA**

First Union Plaza  
999 Peachtree Street, NE  
Suite 120  
Atlanta, GA 30309-3964  
(404) 347-1900  
FAX (404) 347-1897

**BIRMINGHAM, AL**

O'Neill Building  
2021 Third Avenue North  
Birmingham, AL 35203  
(205) 731-1056  
FAX (205) 731-3444

**BOSTON, MA**

Thomas P. O'Neill Building  
10 Causeway Street  
Room 169  
Boston, MA 02222  
(617) 720-4180  
FAX (617) 720-5753

**CHICAGO, IL**

One Congress Center  
401 South State Street  
Suite 124  
Chicago, IL 60605  
(312) 353-5133  
FAX (312) 353-1590

**CLEVELAND, OH**

1240 E. 9th Street  
Room 1653, Federal Building  
Cleveland, OH 44199  
(216) 522-4922  
FAX (216) 522-4714

**COLUMBUS, OH**

200 N. High Street  
Room 207, Federal Building  
Columbus, OH 43215  
(614) 469-6956  
FAX (614) 469-5374

**DALLAS, TX**

1100 Commerce Street  
Room 1C50, Federal Building  
Dallas, TX 75242  
(214) 767-0076  
FAX (214) 767-3239

**DENVER, CO**

1660 Wynkoop Street  
Suite 130  
Denver, CO 80202  
(303) 844-3964  
FAX (303) 844-4000

**DETROIT, MI**

477 Michigan Avenue  
Suite 160, Federal Building  
Detroit, MI 48226  
(313) 226-7816  
FAX (313) 226-4698

**HOUSTON, TX**

Texas Crude Building  
801 Travis Street  
Suite 120  
Houston, TX 77002  
(713) 228-1187  
FAX (713) 228-1186

**JACKSONVILLE, FL**

100 West Bay Street  
Suite 100  
Jacksonville, FL 32202  
(904) 353-0569  
FAX (904) 353-1280

**KANSAS CITY, MO**

120 Bannister Mall  
5600 E. Bannister Road  
Kansas City, MO 64137  
(816) 765-2256  
FAX (816) 767-8233

**LAUREL, MD**

Warehouse Sales Outlet  
8660 Cherry Lane  
Laurel, MD 20707  
(301) 953-7974 or (301) 792-0262  
FAX (301) 498-9109

**LOS ANGELES, CA**

ARCO Plaza, C-Level  
505 S. Flower Street  
Los Angeles, CA 90071  
(213) 239-9844  
FAX (213) 239-9848

**MILWAUKEE, WI**

310 W. Wisconsin Avenue  
Suite 150, Reuss Federal Building  
Milwaukee, WI 53203  
(414) 297-1304  
FAX (414) 297-1300

**NEW YORK, NY**

26 Federal Plaza  
Room 1-120, Federal Building  
New York, NY 10278  
(212) 264-3825  
FAX (212) 264-9318

**PHILADELPHIA, PA**

Robert Morris Building  
100 North 17th Street  
Philadelphia, PA 19103  
(215) 636-1900  
FAX (215) 636-1903

**PITTSBURGH, PA**

1000 Liberty Avenue  
Room 118, Federal Building  
Pittsburgh, PA 15222  
(412) 395-5021  
FAX (412) 395-4547

**PORTLAND, OR**

1305 SW First Avenue  
Portland, OR 97201-5801  
(503) 221-6217  
FAX (503) 225-0563

## **PUEBLO, CO**

Norwest Bank Building  
201 West 8th Street  
Pueblo, CO 81003  
(719) 544-3142  
FAX (719) 544-6719

## **SAN FRANCISCO, CA**

303 2nd Street  
Marathon Plaza, Room 141-S  
San Francisco, CA 94107  
(415) 512-2270  
FAX (415) 512-2276

## **SEATTLE, WA**

915 Second Avenue  
Room 194, Federal Building  
Seattle, WA 98174  
(206) 553-4270  
FAX (206) 553-6717

## **WASHINGTON, DC**

U.S. Government Printing Office  
710 North Capitol Street, NW  
Washington, DC 20401  
(202) 512-0132  
FAX (202) 512-1355

510 H Street, NW  
Washington, DC 20005  
(202) 653-5075  
FAX (202) 376-5055

## **REFERENCE SOURCES**

### **The Budget of the United States Government**

The Budget of the United States Government sets forth the President's comprehensive financial plan and indicates the President's priorities for the Federal government.

Information on programs by function, agency, and account, and detailed budget estimates is located in the Budget. Federal programs listed in the Catalog may be identified by the 11-digit budget account identification code listed in the Budget. These codes also appear in the Financial Information section of each Catalog program. A complete explanation of the identification code is provided in Appendix III of the Catalog (the Budget Functional Code Appendix). The Budget may be purchased from the Government Printing Office in the Washington, DC area and the U.S. Government bookstores listed in this Appendix.

### **The Code of Federal Regulations**

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal Register by executive departments and agencies of the Federal government. It includes all statutory regulations of Federal agencies, and is divided into 50 titles, which represent broad subject areas of Federal regulations (e.g., Housing and Urban Development, Public Health, Public Welfare, or Transportation). Each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas. The number preceding the CFR citation is the title or volume number. The CFR is kept up-to-date by the individual issues of the Federal Register; these two publications must be used together to determine the latest version of any given rule. Individual volumes of the CFR are revised at least once each calendar year and issued on a staggered quarterly basis. The CFR thus serves as a convenient reference for the citizen desiring a comprehensive source for general and permanent Federal regulations.

A General index to the entire Code of Federal Regulations, the CFR Index, is revised as of July 1 each year. The numerical Finding Aids, a cumulative list of CFR Sections affected is published monthly and is cumulated for 12 months,

keyed to the revision dates of the various CFR volumes.

The Code of Federal Regulations is available in Federal depository libraries and most major libraries or Federal bookstores. Individual copies may be purchased from the Government Printing Office.

### **The Federal Register**

The Federal Register, published daily, is the medium for making available to the public Federal agency regulations and other legal documents of the Executive Branch. These documents cover a wide range of government activities. Here, government requirements are published which involve environmental protection, consumer product safety, food and drug standards, occupational health and safety, and many more areas of concern to the public.

The Federal Register includes proposed changes in regulated areas. Each proposed change published carries an invitation for any citizen or group to participate in the consideration of the proposed regulation through the submission of written data, views, or arguments, and sometimes by oral presentations. Through the publication of proposed rules and notices of public meetings, citizens are given the opportunity to be informed about and participate in the workings of their government.

The Federal Register is also a vehicle for the announcement of newly authorized and/or funded programs, notifications of funding availability, (NOFAs), program application deadlines, and other important program information. The Federal Register Index is based on a consolidation of entries appearing in the issues of the Federal Register together with broad references. It is published monthly and is cumulative for 12 months. The Federal Register and the Federal Register Index are available in Federal depository libraries and most major libraries or Federal bookstores. Additional Federal Register resources include, the Statistical Abstract of the United States; Weekly Compilation of Presidential Documents; The Federal Register: What It Is and How To Use It. All Federal Register publications may be purchased from: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

### **Information Resources for Legislative Research and Inquiry**

Senate Document Room: (202) 224-7701  
House Document Room: (202) 225-3456  
Government Printing Office Order Desk: (202) 512-1800  
Federal Register Inquiry Desk: (202) 523-5215

The following World Wide Web Sites provide valuable additional information:

Senate: <http://www.senate.gov/>  
House of Representatives: <http://www.house.gov/>  
Library of Congress: <http://thomas.loc.gov/>  
Government Printing Office: <http://www.gpo.gov/>  
Office of Management and Budget: <http://www.whitehouse.gov/omb/>

Additional resources available from GPO are: House and Senate Calendars (Monday edition only), How Our Laws Are Made, Digest of Public General Bills and Resolutions, United States Government Manual, Monthly Catalog of United States Government Publications. Stock numbers and prices of these publications can be obtained by calling or writing the GPO. To order or inquire about congressional documents from GPO, call: (202) 512-2465. To order or inquire about any other government publications, call the Order Desk: (202) 512-1800.



# APPENDIX VI: DEVELOPING AND WRITING GRANT PROPOSALS

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## PART ONE: DEVELOPING A GRANT PROPOSAL

### Preparation

A successful grant proposal is one that is well-prepared, thoughtfully planned, and concisely packaged. The potential applicant should become familiar with all of the pertinent program criteria related to the Catalog program from which assistance is sought. Refer to the information contact person listed in the Catalog program description before developing a proposal to obtain information such as whether funding is available, when applicable deadlines occur, and the process used by the grantor agency for accepting applications. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award. Individuals without prior grant proposal writing experience may find it useful to attend a grantsmanship workshop. A workshop can amplify the basic information presented here. Applicants interested in additional readings on grantsmanship and proposal development should consult the references listed at the end of this section and explore other library resources.

### INITIAL PROPOSAL DEVELOPMENT

#### Developing Ideas for the Proposal

When developing an idea for a proposal it is important to determine if the idea has been considered in the applicant's locality or State. A careful check should be made with legislators and area government agencies and related public and private agencies which may currently have grant awards or contracts to do similar work. If a similar program already exists, the applicant may need to reconsider submitting the proposed project, particularly if duplication of effort is perceived. If significant differences or improvements in the proposed project's goals can be clearly established, it may be worthwhile to pursue Federal assistance.

#### Community Support

Community support for most proposals is essential. Once proposal summary is developed, look for individuals or groups representing academic, political, professional, and lay organizations which may be willing to support the proposal in writing. The type and caliber of community support is critical in the initial and subsequent review phases. Numerous letters of support can be persuasive to a grantor agency. Do not overlook support from local government agencies and public officials. Letters of endorsement detailing exact areas of project sanction and commitment are often requested as part of a proposal to a Federal agency. Several months may be required to develop letters of endorsement since something of value (e.g., buildings, staff, services) is sometimes negotiated between the parties involved.

Many agencies require, in writing, affiliation agreements (a mutual agreement to share services between agencies) and building space commitments prior to either grant approval or award. A useful method of generating community support may be to hold meetings with the top decision makers in the community who would be concerned with the subject matter of the proposal. The forum for discussion may include a query into the merits of the proposal, development of a contract of support for the proposal, to generate data in support of the proposal, or development of a strategy to create proposal support from a large number of community groups.

#### Identification of a Funding Resource

A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs might provide funding for an idea. Do not overlook the related programs as potential resources. Both the applicant and the grantor agency should have the same interests, intentions, and needs if a proposal is to be considered an acceptable candidate for funding.

Once a potential grantor agency is identified, call the contact telephone number identified in Information Contacts and ask for a grant application kit. Later, get to know some of the grantor agency personnel. Ask for suggestions, criticisms, and advice about the proposed project. In many cases, the more agency personnel know about the proposal, the better the chance of support and of an eventual favorable decision. Sometimes it is useful to send the proposal summary to a specific agency official in a separate cover letter, and ask for review and comment at the earliest possible convenience. Always check with the Federal agency to determine its preference if this approach is under consideration. If the review is unfavorable and differences cannot be resolved, ask the examining agency (official) to suggest another department or agency which may be interested in the proposal. A personal visit to the agency's regional office or headquarters is also important. A visit not only establishes face-to-face contact, but also may bring out some essential details about the proposal or help secure literature and references from the agency's library.

Federal agencies are required to report funding information as funds are approved, increased or decreased among projects within a given State depending on the type of required reporting. Also, consider reviewing the Federal Budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions.

The applicant should carefully study the eligibility requirements for each Federal program under consideration (see the Applicant Eligibility section of the Catalog program description). The applicant may learn that he or she is required to provide services otherwise unintended such as a service to particular client groups, or involvement of specific institutions. It may necessitate the modification of the original concept in order for the project to be eligible for funding. Questions about eligibility should be discussed with the appropriate program officer.

Deadlines for submitting applications are often not negotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines.

#### Getting Organized to Write the Proposal

Throughout the proposal writing stage keep a notebook handy to write down ideas. Periodically, try to connect ideas by reviewing the notebook. Never throw away written ideas during the grant writing stage. Maintain a file labeled "Ideas" or by some other convenient title and review the ideas from time to time. The file should be easily accessible. The gathering of documents such as articles of incorporation, tax exemption certificates, and bylaws should be completed, if possible, before the writing begins.

### REVIEW

#### Criticism

At some point, perhaps after the first or second draft is completed, seek out a neutral third party to review the proposal working draft for continuity, clarity and reasoning. Ask for constructive criticism at this point, rather than wait for the Federal grantor agency to volunteer this information during the review cycle. For example, has the writer made unsupported assumptions or used jargon or excessive language in the proposal?

#### Signature

Most proposals are made to institutions rather than individuals. Often signatures of chief administrative officials are required. Check to make sure they are included in the proposal where appropriate.

#### Neatness

Proposals should be typed, collated, copied, and packaged correctly and neatly (according to agency instructions, if any). Each package should be inspected to ensure uniformity from cover to cover. Binding may require either clamps or

hard covers. Check with the Federal agency to determine its preference. A neat, organized, and attractive proposal package can leave a positive impression with the reader about the proposal contents.

### **Mailing**

A cover letter should always accompany a proposal. Standard U.S. Postal Service requirements apply unless otherwise indicated by the Federal agency. Make sure there is enough time for the proposals to reach their destinations. Otherwise, special arrangements may be necessary. Always coordinate such arrangements with the Federal grantor agency project office (the agency which will ultimately have the responsibility for the project), the grant office (the agency which will coordinate the grant review), and the contract office (the agency responsible for disbursement and grant award notices), if necessary.

## **PART TWO: WRITING THE GRANT PROPOSAL**

### **The Basic Components of a Proposal**

There are eight basic components to creating a solid proposal package: (1) the proposal summary; (2) introduction of organization; (3) the problem statement (or needs assessment); (4) project objectives; (5) project methods or design; (6) project evaluation; (7) future funding; and (8) the project budget. The following will provide an overview of these components.

### **The Proposal Summary: Outline of Project Goals**

The proposal summary outlines the proposed project and should appear at the beginning of the proposal. It could be in the form of a cover letter or a separate page, but should definitely be brief -- no longer than two or three paragraphs. The summary would be most useful if it were prepared after the proposal has been developed in order to encompass all the key summary points necessary to communicate the objectives of the project. It is this document that becomes the cornerstone of your proposal, and the initial impression it gives will be critical to the success of your venture. In many cases, the summary will be the first part of the proposal package seen by agency officials and very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project any further.

The applicant must select a fundable project which can be supported in view of the local need. Alternatives, in the absence of Federal support, should be pointed out. The influence of the project both during and after the project period should be explained. The consequences of the project as a result of funding should be highlighted.

### **Introduction: Presenting a Credible Applicant or Organization**

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations. Some features to consider are:

- A brief biography of board members and key staff members.
- The organization's goals, philosophy, track record with other grantors, and any success stories.
- The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

### **The Problem Statement: Stating the Purpose at Hand**

The problem statement (or needs assessment) is a key element of a proposal that makes a clear, concise, and well-supported statement of the problem to be addressed. The best way to collect information about the problem is to conduct and document both a formal and informal needs assessment for a program in the target or service area. The information provided should be both factual and directly related to the problem addressed by the proposal. Areas to document are:

- The purpose for developing the proposal.
- The beneficiaries -- who are they and how will they benefit.
- The social and economic costs to be affected.
- The nature of the problem (provide as much hard evidence as possible).

- How the applicant organization came to realize the problem exists, and what is currently being done about the problem.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.
- Most importantly, the specific manner through which problems might be solved. Review the resources needed, considering how they will be used and to what end.

There is a considerable body of literature on the exact assessment techniques to be used. Any local, regional, or State government planning office, or local university offering course work in planning and evaluation techniques should be able to provide excellent background references. Types of data that may be collected include: historical, geographic, quantitative, factual, statistical, and philosophical information, as well as studies completed by colleges, and literature searches from public or university libraries. Local colleges or universities which have a department or section related to the proposal topic may help determine if there is interest in developing a student or faculty project to conduct a needs assessment. It may be helpful to include examples of the findings for highlighting in the proposal.

### **Project Objectives: Goals and Desired Outcome**

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. Consider quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well-stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. There is literature available to help identify and write program objectives.

### **Program Methods and Program Design: A Plan of Action**

The program design refers to how the project is expected to work and solve the stated problem. Sketch out the following:

- The activities to occur along with the related resources and staff needed to operate the project (inputs).
- A flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed, and what they are expected to do. Identify the kinds of facilities, transportation, and support services required (throughputs).
- Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.
- It may be useful to devise a diagram of the program design. For example, draw a three column block. Each column is headed by one of the parts (inputs, throughputs and outputs), and on the left (next to the first column) specific program features should be identified (i.e., implementation, staffing, procurement, and systems development). In the grid, specify something about the program design, for example, assume the first column is labeled inputs and the first row is labeled staff. On the grid one might specify under inputs five nurses to operate a child care unit. The throughput might be to maintain charts, counsel the children, and set up a daily routine; outputs might be to discharge 25 healthy children per week. This type of procedure will help to conceptualize both the scope and detail of the project.
- Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality. The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.
- Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.

- Whenever possible, use appendices to provide details, supplementary data, references, and information requiring in-depth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activities, methodologies, legal papers, personal vitae, letters of support, and endorsements are examples of appendices.

#### **Evaluation: Product and Process Analysis**

The evaluation component is two-fold: (1) product evaluation; and (2) process evaluation. Product evaluation addresses results that can be attributed to the project, as well as the extent to which the project has satisfied its desired objectives. Process evaluation addresses how the project was conducted, in terms of consistency with the stated plan of action and the effectiveness of the various activities within the plan.

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member, an evaluation firm or both. The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

- Convincing evaluations require the collection of appropriate data before and during program operations; and,
- If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

Even if the evaluation design has to be revised as the project progresses, it is much easier and cheaper to modify a good design. If the problem is not well defined and carefully analyzed for cause and effect relationships then a good evaluation design may be difficult to achieve. Sometimes a pilot study is needed to begin the identification of facts and relationships. Often a thorough literature search may be sufficient.

Evaluation requires both coordination and agreement among program decision makers (if known). Above all, the Federal grantor agency's requirements should be highlighted in the evaluation design. Also, Federal grantor agencies may require specific evaluation techniques such as designated data formats (an existing information collection system) or they may offer financial inducements for voluntary participation in a national evaluation study. The applicant should ask specifically about these points. Also, consult the Criteria For Selecting Proposals section of the Catalog program description to determine the exact evaluation methods to be required for the program if funded.

#### **Future Funding: Long-Term Project Planning**

Describe a plan for continuation beyond the grant period, and/or the availability of other resources necessary to implement the grant. Discuss maintenance and future program funding if program is for construction activity. Account for other needed expenditures if program includes purchase of equipment.

#### **The Proposal Budget: Planning the Budget**

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the Catalog program description).

However, it is safer to never anticipate that the income from the grant will be the sole support for the project. This consideration should be given to the overall budget requirements, and in particular, to budget line items most subject to inflationary pressures. Restraint is important in determining inflationary cost projections (avoid padding budget line items), but attempt to anticipate possible future increases.

Some vulnerable budget areas are: utilities, rental of buildings and equipment, salary increases, food, telephones, insurance, and transportation. Budget adjustments are sometimes made after the grant award, but this can be a lengthy process. Be certain that implementation, continuation and phase-down costs can be met. Consider costs associated with leases, evaluation systems, hard/soft match requirements, audits, development, implementation and maintenance of information and accounting systems, and other long-term financial commitments.

A well-prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: (1) the salaries in the proposal in relation to those of the applicant organization should be similar; (2) if new staff persons are being hired, additional space and equipment should be considered, as necessary; (3) if the budget calls for an equipment purchase, it should be the type allowed by the grantor agency; (4) if additional space is rented, the increase in insurance should be supported; (5) if an indirect cost rate applies to the proposal, the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; and (6) if matching costs are required, the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions.

It is very important to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section (as information is provided from the agencies) the particular circulars applicable to a Federal program, and summarizes coordination of Executive Order 12372, "Intergovernmental Review of Programs" requirements in Appendix I. The applicant should thoroughly review the appropriate circulars since they are essential in determining items such as cost principles and conforming with Government guidelines for Federal domestic assistance.

## **GUIDELINES AND LITERATURE**

United States Government Manual  
Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402

OMB Circular Nos. A-87, A-102, A-110, and A-133, and Executive Order 12372:  
Publications Office  
Office of Administration  
Room 2200, 725 Seventeenth Street, NW.  
Washington, DC 20503

#### **Government Printing Office (GPO) Resources**

The government documents identified above as available from the GPO can be requested (supply the necessary identifying information) by writing to:

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402

#### **Regional and Federal Depository Libraries**

Regional libraries can arrange for copies of Government documents through an interlibrary loan. All Federal Depository Libraries will receive copies of the Catalog directly. A list of depository and regional libraries is available by writing: Chief, Library Division, Superintendent of Documents, Stop SLL, Washington, DC 20402.

## Appendix VII: Historical Profile of Catalog Programs

The following list shows all programs printed in the Catalog of Federal Domestic Assistance beginning with the 1965 edition and the subsequent action taken related to that program. For the years 1965, 1967, and 1969 the programs did not have numbers. They were identified only by their titles. Therefore, the first part of each agency listing shows programs by their title if they were in existence before 1970. The program numbering system was instituted in 1970. The first line shows the number and title of the program when it was added to the Catalog. The second and subsequent lines show the year the program was added and any additional transactions, e.g., title changes, transfers, deletes, consolidations, agency reorganizations, number changes, etc., that may have followed. The alphabet B or U that follows a given year, indicates the transaction was made either in the basic (B) or the update (U) publication of the Catalog. In some instances, there is also a U1 and U2 behind the year. The U1 and U2 are the first and second updates respectively, published that year.

### **DEPARTMENT OF AGRICULTURE**

Agricultural Stabilization Programs (1965B)

Agricultural Production Stabilization (1969B)

Archived (1970B)

Cooperative Agriculture and Forestry Research Program (1965B)

Cooperative Forestry Research (1969B)

Archived (1970B)

Cooperative Extension Service (1965B)

Split into 10.500, 10.501, 10.502, 10.503, 10.504, 10.505, 10.506, 10.507, 10.508, 10.509 (1970B)

Economic Research Service (1965B)

Archived (1970B)

Farmers Home Administration\_Financial Assistance to Small Towns and Rural Groups (1965B)

Archived (1969B)

Farmers Home Administration\_Housing for Senior Citizens (1965B)

Archived (1969B)

Farmers Home Administration\_Loans for Forestry Purposes (1965B)

Farm Forestry Loans (1969B)

Archived (1970B)

Farmers Home Administration\_Loans for Recreational Purposes (1965B)

Archived (1969B)

Farmers Home Administration\_Rural Renewal Loans to Public Agencies (1965B)

Archived (1969B)

Forestry Research (1965B)

Archived (1969B)

Land Stabilization, Conservation, and Erosion Control in Appalachia (1965B)

Archived (1969B)

Timber Development Organizations in Appalachia (1965B)

Archived (1967B)

Administration and Research in Economic Development Programs in Appalachia (1965B)

Transferred to the Department of Commerce (1967B)

Cropland Adjustment Program (1967B)

Archived (1969B)

Payments to Counties, National Grasslands, and Land Utilization Projects (1967B)

Archived (1969B)

Payments to States with National Forests (1967B)

Archived (1969B)

Appalachian Region Conservation (1969B)

Archived (1970B)

Agricultural Market Supervision and Regulation (1969B)

Archived (1970B)

Agricultural Experiment Stations (1969B)

Archived (1970B)

National Forests\_Shared Revenues (1969B)

Archived (1970B)

Timber Management (1969B)

Archived (1970B)

#### **10.001**

Agricultural Research Service (1965B)

Agricultural Research\_Basic and Applied Research (1969B)

Number changed to 10.875 (1978B)

Number changed from 10.875 (1981U)

#### **10.002**

Plant and Animal Disease and Plant Control (1969B)

Number changed to 10.025 (1972B)

#### **10.003**

Morrill-Nelson Funds for Food and Agricultural Higher Education (1983U)

Transferred from 84.135 (1983U)

Transferred to 10.210 (1985U)

#### **10.025**

Plant and Animal Disease and Pest Control (1972B)

Number changed from 10.002 (1972B)

Plant and Animal Disease, Pest Control, and Animal Care (1990B)

#### **10.026**

Assistance to States for Intrastate Meat and Poultry Inspection (1972U)

Number changed from 10.151 (1972U)

Number changed to 10.475 (1977U)

#### **10.027**

Meat and Poultry Inspection (1972U)

Number changed from 10.157 (1972U)

Number changed to 10.477 (1977U)

#### **10.028**

Animal Damage Control (1986B)

Transferred from 15.601 (1986B)

Wildlife Services (1997U)

#### **10.029**

Avian Influenza Indemnity Program (2003B)

#### **10.050**

Agricultural Conservation Program (1965B)

Agricultural Conservation (1970B)

Rural Environmental Assistance (1971B)

Archived (1973B)

#### **10.051**

Price-Support Programs for the Agricultural Stabilization and Conservation Service (1965B)

Agricultural Price-Support (1969B)

Commodity Loans and Purchases (1970B)

Commodity Loans and Loan Deficiency Payments (1999B)

#### **10.052**

Cotton Production Stabilization (1970B)

Split from 10.055 (1970B)

Incorporated into 10.055 (1997B)

#### **10.053**

Dairy Farmer Indemnity Payments (1969B)

Dairy Indemnity Payments (1970B)

Dairy Indemnity Program (1984B)

#### **10.054**

Emergency Conservation Measures (1970B)

Emergency Conservation Program (1978U)

#### **10.055**

Feed Grain Direct Payments (1970B)

Split into 10.052, 10.055, 10.058 (1970B)

Feed Grain Production Stabilization (1971B)

## Appendix VII: Historical Profile of Catalog Programs

Production Flexibility Payments for Contract Commodities (1997B)  
Incorporated from 10.052, 10.058, 10.065 (1997B)  
Direct and Counter-cyclical Payments Program (2005)  
Direct and Counter-cyclical Payments Program (2005)  
Direct and Counter-cyclical Payments Program (2005)

**10.056**  
Storage Facilities and Equipment Loans (1970B)  
Archived (1989B)  
Farm Storage Facility Loans, Reinstated (2001B)

**10.057**  
Sugar Program (1969B)  
Sugar Production Stabilization (1971B)  
Archived (1975B)

**10.058**  
Wheat Direct Payments (1970B)  
Split from 10.055 (1970B)  
Wheat Production Stabilization (1971B)  
Incorporated into 10.055 (1997B)

**10.059**  
Wool and Mohair Payments (1970B)  
Shorn Wool and Unshorn Lambs (Pulled Wool) and Mohair Payments (1971B)  
National Wool Act Payments (1973B)  
Archived (1997B)

**10.060**  
Beekeeper Indemnity Payments (1971U)  
Archived (1982B)

**10.061**  
Emergency Livestock Feed Program (1972B)  
Archived (1977B)

**10.062**  
Water Bank Program (1972B)  
Archived (1973B)  
Reinstated (1974B)  
Deleted (2006)

**10.063**  
Rural Environmental Conservation Program (1974B)  
Agricultural Conservation Program (1975B)  
Archived (1997B)

**10.064**  
Forestry Incentives Program (1975B)

**10.065**  
Rice Production Stabilization (1976U)  
Incorporated into 10.055 (1997B)

**10.066**  
Emergency Hay and Cattle Transportation Assistance and Livestock Feed (1977B)  
Emergency Feed Program (1978B)  
Archived (1983B)  
Emergency Livestock Assistance (1989B)  
Archived (1997B)  
Livestock Assistance Program, Reinstated (2000U)  
Livestock Assistance Program (2006)

**10.067**  
Grain Reserve Program (1978B)  
Farmer Owned Reserve Program (1994U)  
Archived (1997B)

**10.068**  
Rural Clean Water Program (1980B)  
Archived (1995B)

**10.069**  
Conservation Reserve Program (1986B)

**10.070**  
Colorado River Salinity Control (1987B)  
Colorado River Basin Salinity Control Program (1991B)

**10.071**  
Federal-State Cooperation in Warehouse Examination Agreement (1987U)  
Archived (2000B)

**10.072**  
Wetlands Reserve Program (1992B)

**10.073**  
Crop Disaster Program (2000U)

**10.075**  
Special Apple Program (2001B)

**10.076**  
Emergency Loan for Seed Producers (2001B)

**10.077**  
Livestock Compensation Program (2003B)

**10.078**  
Bioenergy Program (2003B)  
Archived (2009)

**10.079**  
Bill Emerson Humanitarian Trust (2003B)

**10.080**  
Milk Income Loss Contract Program (2004)

**10.081**  
Lamb Meat Adjustment Assistance Program (2004)

Archived (2009)

**10.082**  
Tree Assistance Program (2004)

**10.083**  
Tobacco Loss Assistance Program (2004)

**10.084**  
Dairy Market Loss Assistance Program (2008)

**10.085**  
Tobacco Transition Payment Program (2005)

**10.086**  
Aquaculture Grants Program (AGP) (2009)

**10.100**  
Agricultural Futures Markets Supervision (1971B)  
Transferred to 78.001 (1975U)

**10.140**  
Minority Research and Teaching Grants (1986B)  
Minority Research and Teaching Program Grants (1990B)  
Minority Research and Teaching Programs Grants (1990U)  
Special Emphasis Outreach Programs Grants (1991B)  
Archived (1997B)

**10.150**  
Agricultural Product Grading (1969B)  
Consolidated into 10.162 (1982B)

**10.151**  
Meat and Poultry Inspection (1969B)  
Assistance to States for Intrastate Meat and Poultry Inspection (1970B)  
Number changed to 10.026 (1972U)

**10.152**  
Export Payments on Agricultural Products (1970B)  
Split from 10.157 (1970B)  
Archived (1973B)

**10.153**  
Market News Service for Agricultural Products (1969B)  
Market News (1970B)

**10.154**  
Market Supervision (1970B)  
Market Supervision and Assistance (1982B)  
Market Development and Assistance (1983B)  
Incorporated into 10.163 (1984B)

**10.155**  
Agricultural Marketing Agreements and Orders (1969B)

## Appendix VII: Historical Profile of Catalog Programs

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Marketing Agreements and Orders (1970B)

### 10.156

Agricultural Marketing Studies and Services (1969B)

Marketing Services Matching\_Fund Grants (1970B)

Federal\_State Marketing Improvement Program (1973B)

### 10.157

Agricultural Futures Market Supervision (1969B)

Meat and Poultry Inspection (1970B)

Number changed to 10.027 (1972U)

### 10.158

Plentiful Foods Program (1969B)

Plentiful Foods (1970B)

Archived (1973U)

### 10.159

Livestock and Poultry Market Supervision (1978B)

Number changed from 10.800 (1978B)

Number changed to 10.800 (1981U)

### 10.160

Voluntary Commodity Inspection and Grading Programs (1981U)

Number changed from 10.478 (1981U)

Archived (1982B)

### 10.161

Egg Products Inspection (1981U)

Number changed from 10.476 (1981U)

Archived (1982B)

### 10.162

Inspection Grading and Standardization (1982B)

### 10.163

Market Protection and Promotion (1982B)

### 10.164

Wholesale Market Development (1982B)

Wholesale Farmers and Alternative Market Development (2005)

Wholesale Farmers and Alternative Market Development (2005)

Wholesale Farmers and Alternative Market Development (2005)

### 10.165

Perishable Agricultural Commodities Act (1982B)

### 10.166

Commodity Purchase Services (1985B)

Archived (1987B)

### 10.167

Transportation Services (1991U)

### 10.168

Farmers' Market Promotion Program (2006)

### 10.169

Specialty Crop Block Grant Program (2006)

### 10.170

Specialty Crop Block Grant Program - Farm Bill (2008)

### 10.200

Scientific Research in Support of Agriculture (1969B)

Contracts and Grants for Scientific Research (1970B)

Grants for Scientific Research (1973B)

Split into 10.200, 10.880 (1978B)

Number changed to 10.876 (1978B)

Number changed from 10.876 (1981U)

Grants for Agricultural Research, Special Research Grants (1981U)

### 10.201

Agricultural Research Facilities (1969B)

Research Facilities (1970B)

Archived (1971B)

### 10.202

Grants for Cooperative Forestry Research (1970U)

Cooperative Forestry Research (1971B)

Number changed to 10.877 (1978B)

Number changed from 10.877 (1981U)

### 10.203

Payments to Agricultural Experiment Stations Under Hatch Act (1970U)

Number changed to 10.878 (1978B)

Number changed from 10.878 (1981U)

Payments to Agricultural Experiment Stations Under the Hatch Act (1997U)

### 10.204

Rural Development Research (1974B)

Number changed to 10.879 (1978B)

Number changed from 10.879 (1981U)

Archived (1982B)

### 10.205

Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1981U)

Number changed from 10.880 (1981U)

Payments to 1890 Land-Grant Colleges and Tuskegee University (1986B)

### 10.206

Grants for Agricultural Research\_Competitive Research\_Grants (1981U)

Number changed from 10.884 (1981U)

### 10.207

Animal Health and Disease Research (1981U)

Number changed from 10.885 (1981U)

### 10.208

Alcohol Fuels Research (1982B)

Archived (1985B)

### 10.209

1890 Research Facilities (1983B)

Archived (1989B)

### 10.210

Food and Agricultural Sciences National Needs

Graduate Fellowship Grants

Transferred from 10.003 (1985U)

### 10.211

Higher Education Strengthening Grants (1985U)

Archived (1993B)

### 10.212

Small Business Innovation Research (1986B)

### 10.213

Competitive Research Grants for Forest and

Rangeland Renewable Resources

Transferred from 15.601 (1986B)

Archived (1990B)

### 10.214

Morrill-Nelson Funds for Food and Agricultural

Higher Education

Split from 10.210 (1986B)

Archived (1996B)

### 10.215

Low Input Farming Systems\_Research and

Education (1988B)

Sustainable Agriculture Research and Education

(1991B)

### 10.216

1890 Institution Capacity Building Grants (1990B)

### 10.217

Higher Education Challenge Grants (1990B)

### 10.218

Buildings and Facilities Program (1992B)

### 10.219

Biotechnology Risk Assessment Research (1993B)

### 10.220

Food and Agricultural Sciences-All Americans

Undergraduate Scholars Program (1994B)

Higher Education Multicultural Scholars Program

(1995B)

### 10.221

## Appendix VII: Historical Profile of Catalog Programs

Tribal Colleges Education Equity Grants (1997B)

### 10.222

Tribal Colleges Endowment Program (1997B)

### 10.223

Hispanic Serving Institutions Education Grants (1997B)

### 10.224

Fund for Rural America\_Research, Education, and Extension Activities (1997U)  
Archived (2009)

### 10.225

Community Food Projects (1997B)

### 10.226

Secondary Agriculture Education Grants (1999B)  
Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (2003B)

### 10.227

1994 Institutions Research Program (2000U)

### 10.228

Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (2001B)

### 10.240

Alternative Agricultural Research and Commercialization Program (1993B)  
Archived (2000B)

### 10.250

Agricultural Economic Research (1969B)  
Agricultural and Rural Economic Research (1970B)

### 10.251

Technical Assistance to Cooperatives (1978B)  
Number changed from 10.350 (1978B)  
Number changed to 10.350 (1981U)

### 10.252

Agricultural Statistical Reports (1978B)  
Number changed from 10.950 (1978B)  
Agriculture Statistical Reports (1980B)  
Number changed to 10.950 (1981U)

### 10.253

Food Assistance and Nutrition Research Programs (FANRP) (2008)

### 10.254

Program of Research on the Economic of Invasive Species Management (PREISM) (2008)

### 10.255

Research Innovation and Development Grants in Economic (RIDGE) (2008)

### 10.256

Consumer Data Initiative (CDI) (2007)

### 10.290

AGRICULTURAL MARKET AND ECONOMIC RESEARCH (2008)  
Agricultural Market and Economic Research (2008)

### 10.300

CCC Export Credit Sales (1970B)  
Archived (1973B)

### 10.301

Export Payments (1970B)  
Archived (1973U)

### 10.302

Initiative for Future Agriculture and Food Systems (2000U)

### 10.303

Integrated Programs (2000U)

### 10.304

Homeland Security\_Agricultural (2004)

### 10.305

International Science and Education Grants (2005)

### 10.306

BIODIESEL (2005)

### 10.307

Organic Agriculture Research and Extension Initiative (2005)

### 10.308

Resident Instruction Grants for Insular Area Activities (2005)

### 10.309

Specialty Crop Research Initiative (2008)

### 10.310

AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI) (2009)

### 10.311

BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM (2009)

### 10.312

BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE (2009)

### 10.314

NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM (2009)

### 10.315

Trade Adjustment Assistance for Farmers Training

Coordination Program (TAAF) (2009)

### 10.316

Healthy Urban Food Enterprise Development Center (HUFED) (2009)

### 10.350

Farmers Cooperative Service (1965B)  
Technical Assistance to Cooperatives (1970B)  
Number changed to 10.251 (1978B)  
Number changed from 10.251 (1981U)

### 10.352

Value-Added Producer Grants (2005)

### 10.353

National Rural Development Partnership (2003B)

### 10.375

Human Nutrition Information Service (1982B)  
Archived (1997B)

### 10.400

Comprehensive Areawide Water and Sewer Planning Grants (1970B)  
Archived (1973B)

### 10.401

Farmers Home Administration\_Loans to Cooperatives (1965B)  
Economic Opportunity Loans to Cooperatives (1969B)  
Economic Opportunity Farm Operating Loans to Cooperatives (1970B)  
Archived (1971B)

### 10.402

Farmers Home Administration\_Loans to Rural Families with Small Incomes (1965B)  
Economic Opportunity Loans to Rural Families with Low Incomes (1969B)  
Economic Opportunity Farm Resource Loans (1970B)  
Archived (1971B)

### 10.403

Economic Opportunity Nonfarm Enterprise Loans (1970B)  
Archived (1971B)

### 10.404

Farmers Home Administration\_Emergency Loans (1965B)  
Farm Emergency Loans (1969B)  
Emergency Loans (1970B)

### 10.405

Farmers Home Administration\_Loans for Farm Labor Housing (1965B)  
Loans and Grants for Farm Labor Housing (1967B)

## Appendix VII: Historical Profile of Catalog Programs

|  |  |   |
|--|--|---|
| Farm Labor Housing (1969B)<br>Farm Labor Housing Loans and Grants (1970B)<br>Archived (1973B)<br>Reinstated (1975B)  | Resource Conservation and Development Loans (1970B)<br>Split into 10.414, 10.901 (1970B)<br>Number changed to 10.764 (1993B)   | Number changed to 10.769 (1993B)  |
| <b>10.406</b><br>Farmers Home Administration_Operating Loans (1965B)<br>Farm Operating Loans (1969B)   | <b>10.415</b><br>Rental Housing (1967B)<br>Rental and Cooperative Housing for Rural People (1969B)<br>Rural Rental Housing Loans (1970B)   | <b>10.425</b><br>Emergency Livestock Loans (1974U)<br>Archived (1979U2)   |
| <b>10.407</b><br>Farmers Home Administration_Ownership Loans (1965B)<br>Farm Ownership Loans (1969B)   | <b>10.416</b><br>Soil and Water Conservation (1969B)<br>Soil and Water Loans (1970B)<br>Split into 10.416, 10.902 (1970B)<br>Archived (1997B)  | <b>10.426</b><br>Area Development Assistance Planning Grants (1978B)<br>Archived (1982B)  |
| <b>10.408</b><br>Grazing Association Loans (1969B)<br>Archived (1983B)   | <b>10.417</b><br>Very Low-Income Housing Repair Loans (1970B)<br>Split from 10.410 (1970B)<br>Very Low-Income Housing Repair Loans and Grants (1977B)  | <b>10.427</b><br>Rural Rental Assistance Payments (1978B)   |
| <b>10.409</b><br>Irrigation and Drainage System Loans (1969B)<br>Irrigation, Drainage and Other Soil and Water Conservation Loans (1970B)<br>Archived (1983B)  | <b>10.418</b><br>Water and Waste Disposal Systems for Rural Communities (1967B)<br>Number changed to 10.760 (1993B)  | <b>10.428</b><br>Economic Emergency Loans (1978U)<br>Archived (1983B)<br>Reinstated (1984B)<br>Archived (1984U)   |
| <b>10.410</b><br>Farmers Home Administration_Rural Housing Loans (1965B)<br>Rural Housing Loans (1967B)<br>Rural Renewal Loans (1967B)<br>Low-to Moderate-Income Housing Loans (1970B)<br>Low Income Housing Loans (1983B)<br>Very Low and Low Income Housing Loans (1984B)<br>Very Low to Moderate Income Housing Loans (1991U) | <b>10.419</b><br>Multiple-Purpose Watershed Projects (1965B)<br>Watershed Development and Flood Prevention (1969B)<br>Watershed Protection and Flood Prevention Loans (1970B)<br>Split into 10.419, 10.904 (1970B)<br>Number changed to 10.765 (1993B) | <b>10.429</b><br>Above Moderate Income Housing Loans (1979B)<br>Archived (1980U2)<br>Guaranteed Rural Housing Loans_Demonstration Program (1989B)<br>Archived (1990B) |
| <b>10.411</b><br>Rural Self-Help Housing Loans (1969B)<br>Mutual and Self-Help Housing Loans (1970B)<br>Rural Housing Site Loans (1970U)<br>Rural Housing Site Loans and Self_Help Housing Land Development Loans (1996B)  | <b>10.420</b><br>Rural Self-Help Housing Technical Assistance (1970U)  | <b>10.430</b><br>Energy Impacted Area Development Assistance Program (1979U2)<br>Archived (1983B)   |
| <b>10.412</b><br>Rural Recreation Enterprises (1969B)<br>Recreation Association Loans (1970B)<br>Split into 10.412, 10.413 (1970B)<br>Archived (1971B)   | <b>10.421</b><br>Indian Tribes and Tribal Corporation Loans (1971B)  | <b>10.431</b><br>Technical and Supervisory Assistance Grants (1979U2)<br>Archived (1983B)   |
| <b>10.413</b><br>Recreation Facility Loans (1970B)<br>Split from 10.412 (1970B)<br>Archived (1983B)  | <b>10.422</b><br>Business and Industrial Development Loans (1974B)<br>Business and Industrial Loans (1976B)<br>Number changed to 10.768 (1993B)  | <b>10.432</b><br>Biomass Energy and Alcohol Fuels Loan and Loan Guarantees (1981B)<br>Archived (1982B)  |
| <b>10.414</b><br>Soil Conservation Service_Resource Conservation Development Projects (1965B)<br>Resource Conservation Development Projects (1967B)  | <b>10.423</b><br>Community Facilities Loans (1974B)<br>Number changed to 10.766 (1993B)  | <b>10.433</b><br>Rural Housing Preservation Grants<br>Transferred from 13.664 (1986B)   |
|  | <b>10.424</b><br>Industrial Development Grants (1974B)<br>Archived (1982B)<br>Reinstated (1988B)<br>Rural Development Grants (1992B)   | <b>10.434</b><br>Nonprofit National Corporations Loan and Grant Program (1987B)<br>Archived (1993U)   |
|  |  | <b>10.435</b><br>Agricultural Loan Mediation Program (1988B)<br>Certified Mediation Program (1995B)<br>State Mediation Grants (1997U)                                 |
|  |  | <b>10.436</b><br>Technical Assistance and Training Grants (1988U)<br>Number changed to 10.761 (1993B)   |



## Appendix VII: Historical Profile of Catalog Programs

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| <b>10.437</b><br>Interest Rate Reduction Program (1989B)<br>Interest Assistance Program (1991U)  | <b>10.450</b><br>Crop Insurance (1969B)  | Number changed to 10.160 (1981U)  |
| <b>10.438</b><br>Farm Credit System Farm Land Acquisition Program (1989B)<br>Archived (1992B)<br>Section 538 Rural Rental Housing Guaranteed Loans (1997B)   | <b>10.451</b><br>Noninsured Crop Disaster Assistance (1997U)<br>Noninsured Assistance (2001B)  | <b>10.479</b><br>Food Safety Cooperative Agreements (2006)  |
| <b>10.439</b><br>Intermediary Relending Program (1989B)<br>Number changed to 10.767 (1993B)  | <b>10.452</b><br>Disaster Reserve Assistance (1997U)<br>Archived (2009)  | <b>10.500</b><br>Extension Programs for Assisting in Community Development (1970B)<br>Extension Programs for Community Development (1971B)<br>Cooperative Extension Service (1972B)<br>Number changed to 10.881 (1978B)<br>Number changed from 10.881 (1981U) |
| <b>10.440</b><br>Emergency Community Water Assistance Grants (1989U)<br>Number changed to 10.763 (1993B)   | <b>10.453</b><br>Fund for Rural America_Farm Ownership Loans (1997U)<br>Archived (2000B)   | <b>10.501</b><br>Extension Programs for Forestry Production and Marketing (1970B)<br>Incorporated into 10.500 (1972B)<br>Agricultural Telecommunications Program (1994U)<br>Archived (2000B)  |
| <b>10.441</b><br>Technical and Supervisory Assistance Grants (1993U)   | <b>10.454</b><br>Dairy Options Pilot Program (1998U)   | <b>10.502</b><br>Extension Programs for Improved Family Living (1970B)<br>Incorporated into 10.500 (1972B)  |
| <b>10.442</b><br>Housing Application Packaging Grants (1994B)  | <b>10.455</b><br>Community Outreach and Assistance Partnership Program (2004)  | <b>10.503</b><br>Extension Programs for Improved Nutrition (1970B)<br>Incorporated into 10.500 (1972B)  |
| <b>10.443</b><br>Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers (1994B)<br>Small Farmer Outreach Training or Technical Assistance Program "Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers" (1995B)<br>Small Farmer Outreach Training and Technical Assistance Program (1995U)<br>Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (2001U) | <b>10.456</b><br>Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (2004)  | <b>10.504</b><br>Extension Programs for Improving Farm Income (1970B)<br>Incorporated into 10.500 (1972B)   |
| <b>10.444</b><br>Direct Housing_Natural Disaster Loans and Grants (1998B)  | <b>10.457</b><br>Commodity Partnerships for Risk Management Education (2004)   | <b>10.505</b><br>Extension Programs for Marketing and Distribution (1970B)<br>Incorporated into 10.500 (1972B)  |
| <b>10.445</b><br>Direct Housing_Natural Disaster (1998B)   | <b>10.458</b><br>Crop Insurance Education in Targeted States (2004)  | <b>10.506</b><br>Extension Programs for Pesticides Safety and Rural Civil Defense (1970B)<br>Incorporated into 10.500 (1972B)   |
| <b>10.446</b><br>Rural Community Development Initiative (2001U)  | <b>10.459</b><br>Commodity Partnerships for Small Agricultural Risk Management Education Sessions (2005)   | <b>10.507</b><br>Extension Programs for Recreation, Wildlife, and Natural Beauty (1970B)<br>Incorporated into 10.500 (1972B)  |
| <b>10.447</b><br>The Rural Development (RD) Multi-Family Housing Preservation and Revitalization Restructuring Program (MPR) (2007)  | <b>10.475</b><br>Assistance to States for Intrastate Meat and Poultry Inspection (1977U)<br>Number changed from 10.026 (1977U)<br>Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (1980U2) | <b>10.508</b><br>Extension Programs for Soil and Water Conservation (1970B)<br>Incorporated into 10.500 (1972B)   |
| <b>10.448</b><br>Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (2009)   | <b>10.476</b><br>Egg Products Inspection (1977U)<br>Number changed to 10.161 (1981U)   | <b>10.509</b><br>4-H Youth Development Programs (1970B)<br>Incorporated into 10.500 (1972B)   |
| <b>10.449</b><br>Boll Weevil Eradication Loan Program (2000U)  | <b>10.477</b><br>Meat and Poultry Inspection (1977U)<br>Number changed from 10.027 (1977U)<br>Meat, Poultry, and Egg Inspection (1995B)<br>Meat, Poultry, and Egg Products Inspection (1995U)                            |   |
|  | <b>10.478</b><br>Voluntary Commodity Inspection and Grading Programs (1977U)   |   |

## Appendix VII: Historical Profile of Catalog Programs

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|---|---|--|
| <b>10.510</b><br>Extension Programs for Environmental Improvement (1971B)<br>Incorporated into 10.500 (1972B)   | Split from 10.552 (1976B)<br>Child and Adult Care Food Program (1990B)<br>Incorporated from 10.573 (2000B)  | Nutrition Program for the Elderly (Commodities) (1989B)<br>Nutrition Program for the Elderly (2001U)<br>Nutrition Services Incentive (2002B)<br>Deleted (2005)   |
| <b>10.550</b><br>Commodity Distribution Program (1965B)<br>Commodity Distribution (1970B)<br>Food Distribution (1971U)<br>Split into 10.550, 10.565 (1979U1)<br>Deleted (2008)  | <b>10.559</b><br>Summer Food Service Program for Children (1976B)<br>Split from 10.552 (1976B)  | <b>10.571</b><br>Food Commodities for Soup Kitchens (1989B)<br>Archived (1996U)  |
| <b>10.551</b><br>Food Stamp Program (1965B)<br>Food Stamps (1970B)<br>Supplemental Nutrition Assistance Program (2008)  | <b>10.560</b><br>State Administrative Expenses for Child Nutrition (1977U)  | <b>10.572</b><br>WIC Farmers' Market Nutrition Program (FMNP) (1993U)  |
| <b>10.552</b><br>Special Food Service Program for Children (1969B)<br>Nonschool Food Program (1970B)<br>Special Food Service Program for Children (1971B)<br>Split into 10.558, 10.559 (1976B)  | <b>10.561</b><br>State Administrative Matching Grants for Food Stamp Program (1977U)<br>State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (2008)   | <b>10.573</b><br>Homeless Children Nutrition Program (1995U)<br>Incorporated into 10.558 (2000B)<br>Deleted Program no longer funded. (2000)   |
| <b>10.553</b><br>Pilot School Breakfast Program (1967B)<br>School Breakfasts (1969B)<br>School Breakfast Program (1972B)  | <b>10.562</b><br>Nutritional Training and Education (1977U)<br>Archived (1979B)   | <b>10.574</b><br>Team Nutrition Grants (1997U)   |
| <b>10.554</b><br>Equipment Program to Initiate or Expand School Food Service (1967B)<br>School Lunch Program_Nonfood Assistance (1970B)<br>Nonfood Assistance for School Food Service Programs (1972B)<br>Equipment Assistance for School Food Service Programs (1978B)<br>Archived (1982B) | <b>10.563</b><br>Nutrition Education Experimental or Demonstration Projects (1977U)<br>Archived (1980B)   | <b>10.576</b><br>Senior Farmers Market Nutrition Program (2004)  |
| <b>10.555</b><br>National School Lunch Program (1965B)<br>School Lunches (1969B)<br>National School Lunch Program (1971B)   | <b>10.564</b><br>Nutrition Education and Training Program (1978U)<br>Archived (2001U)   | <b>10.578</b><br>WIC Grants To States(WGS) (2004)  |
| <b>10.556</b><br>Special Milk Program for Children (1965B)<br>School Milk (1969B)<br>Special Milk Program (1970B)<br>Special Milk Program for Children (1971B)  | <b>10.565</b><br>Commodity Supplemental Food Program (1979U1)<br>Split from 10.550 (1979U1)   | <b>10.579</b><br>Child Nutrition Discretionary Grants Limited Availability (2004)  |
| <b>10.557</b><br>Special Supplemental Food Program for Women, Infants, and Children (1974B)<br>Special Supplemental Nutrition Program for Women, Infants, and Children (1995U)  | <b>10.566</b><br>Nutrition Assistance for Puerto Rico (1983B)   | <b>10.580</b><br>Food Stamp Program Research Grants to Improve Access Through New Technology and Partnerships (2004)<br>Food Stamp Program , Outreach Grants (2005)<br>Food Stamp Program Outreach Grants (2005)<br>Food Stamp Program Outreach/Participation Program (2008)<br>Special Nutrition Assistance Program Outreach/Participation Program (2008)<br>Supplemental Nutrition Assistance Program, Outreach/Participation Program (2009) |
| <b>10.558</b><br>Child Care Food Program (1976B)  | <b>10.567</b><br>Food Distribution Program Commodities in Lieu of Food Stamps (Indian Reservations) (1983B)<br>Food Distribution Program Commodities on Indian Reservations (1983U)<br>Needy Family Program (1985B)<br>Food Distribution Program on Indian Reservations (1988B) | <b>10.581</b><br>WIC Discretionary Grant Funds (2004)<br>Deleted (2004)  |
|   | <b>10.568</b><br>Temporary Emergency Food Assistance (Administrative Costs) (1984B)<br>Emergency Food Assistance Program (Administrative Costs) (1993U)   | <b>10.582</b><br>Fresh Fruit and Vegetable Program (2005)  |
|   | <b>10.569</b><br>Temporary Emergency Food Assistance (Food Commodities) (1989B)<br>Emergency Food Assistance Program (Food Commodities) (1993U)   | <b>10.600</b><br>Export Market Development (1967B)<br>Agricultural Export Services (1969B)<br>Foreign Market Development and Promotion (1970B)<br>Foreign Agricultural Market Development and Promotion (1972B)<br>Archived (1975B)  |

## Appendix VII: Historical Profile of Catalog Programs

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| Reinstated (1985U)<br>Foreign Market Development Cooperation Program (1997B)<br>Foreign Market Development Cooperator Program (1999B)  | Archived (1977B)  | Schools and Roads_Grants to States (1980U2)<br>Secure Payments for States and Counties Containing Federal Land (2008)<br>Schools and Roads - Grants to States (2009)             |
| <b>10.601</b><br>Targeted Export Assistance (1987B)<br>Market Promotion Program (1991B)<br>Market Access Program (1997B)   | <b>10.655</b><br>Assistance to States for Tree Planting and Reforestation (1974B)<br>Split from 10.650 (1974B)<br>Assistance to States for Tree Improvement (1977B)<br>Consolidated into 10.664 (1978U) | <b>10.666</b><br>Schools and Roads_Grants to Counties (1980U2)   |
| <b>10.603</b><br>Emerging Markets Program (2002B)  | <b>10.656</b><br>Cooperative Forest Fire Control (1974B)<br>Split from 10.650 (1974B)<br>Consolidated into 10.664 (1978U)   | <b>10.667</b><br>School Funds_Grants to Arizona and New Mexico (1980U2)<br>School Funds_Grants to Arizona (1981B)<br>Archived (1984B)  |
| <b>10.604</b><br>Technical Assistance for Specialty Crops Program (2004)   | <b>10.657</b><br>Cooperation in Forest Management and Processing (1974B)<br>Split from 10.650 (1974B)<br>Consolidated into 10.664 (1978U)   | <b>10.668</b><br>Additional Lands_Grants to Minnesota (1980U2)<br>Archived (1995B)   |
| <b>10.605</b><br>Quality Samples Program (2004)  | <b>10.658</b><br>Cooperative Forest Insect and Disease Control (1974B)<br>Split from 10.650 (1974B)<br>Cooperative Forest Insect and Disease Management (1976B)<br>Consolidated into 10.664 (1978U)     | <b>10.669</b><br>Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area<br>Archived (1992B)                          |
| <b>10.606</b><br>Food for Progress (2003B)   | <b>10.659</b><br>Cooperative Production and Distribution of Forest Tree Planting Stock (1974B)<br>Split from 10.650 (1974B)<br>Consolidated into 10.664 (1978U)   | <b>10.670</b><br>National Forest_Dependent Rural Communities (1993B)   |
| <b>10.607</b><br>Section 416(b) (2003B)  | <b>10.660</b><br>General Forestry Assistance (1974B)<br>Split from 10.650 (1974B)<br>Consolidated into 10.664 (1978U)   | <b>10.671</b><br>Southeast Alaska Economic Disaster Fund (1997U)   |
| <b>10.608</b><br>Food for Education (2003B)  | <b>10.661</b><br>Youth Conservation Corps_Grants to States (1974B)<br>Archived (1982B)  | <b>10.672</b><br>Rural Development, Forestry and Communities (2000B)<br>Rural Development, Forestry, and Communities (2000U)<br>Archived (2009)<br>Reinstated (2009)             |
| <b>10.609</b><br>Trade Adjustment Assistance (2004)  | <b>10.662</b><br>Rural Community Fire Protection (1975U)<br>Consolidated into 10.664 (1978U)  | <b>10.673</b><br>Wood In Transportation Program (2003B)  |
| <b>10.611</b><br>Regional Centers for the Transfer of Manufacturing Technology (1989B)   | <b>10.663</b><br>Young Adult Conservation Corps (1978B)<br>Young Adult Conservation Corps_Grants to States (1978U)<br>Archived (1983B)  | <b>10.674</b><br>Technology Marketing Unit (2003B)<br>Forest Products Lab: Technology Marketing Unit (TMU) (2005)<br>Forest Products Lab: Technology Marketing Unit (TMU) (2005) |
| <b>10.650</b><br>Forest Service Cooperative State and Private Programs (1965B)<br>Forestry Cooperative Programs (1969B)<br>State and Private Forestry Cooperation (1970B)<br>Split into 10.655, 10.656, 10.657, 10.658, 10.659, 10.660 (1974B) | <b>10.664</b><br>Cooperative Forestry Assistance (1978U)<br>Consolidated from 10.655, 10.656, 10.657, 10.658, 10.659, 10.660, 10.662 (1978U)  | <b>10.675</b><br>Urban and Community Forestry Program (2003B)  |
| <b>10.651</b><br>Forestry Cooperative Research (1970U)<br>Archived (1978U)   | <b>10.665</b>   | <b>10.676</b><br>Forest Legacy Program (2003B)   |
| <b>10.652</b><br>Forestry Research (1970U)   |   | <b>10.677</b><br>Forest Land Enhancement Program (2003B)   |
| <b>10.653</b><br>Land Adjustments (1970U)<br>Land Exchange in the National Forests (1971B)<br>Archived (1973B)   |   | <b>10.678</b><br>Forest Stewardship Program (2003B)  |
| <b>10.654</b><br>Forestry Cooperative Law Enforcement (1973U)<br>Cooperative Law Enforcement (1975B)   |   |  |

## Appendix VII: Historical Profile of Catalog Programs

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| <b>10.679</b><br>Collaborative Forest Restoration (2005)   | <b>10.760</b><br>Water and Waste Disposal Systems for Rural Communities<br>Number changed from 10.418 (1993B)  | <b>10.774</b><br>National Sheep Industry Improvement Center (1998U)   |
| <b>10.680</b><br>Forest Health Protection (2005)   | <b>10.761</b><br>Technical Assistance and Training Grants<br>Number changed from 10.436 (1993B)  | <b>10.775</b><br>Renewable Energy Systems and Energy Efficiency Improvements Program (2003B)  |
| <b>10.681</b><br>WOOD EDUCATION AND RESOURCE CENTER (WERC) (2008)<br>Wood Education and Resource Center (WERC) (2008)  | <b>10.762</b><br>Solid Waste Management Grants (1993B)   | <b>10.778</b><br>Research on the Economic Impact of Cooperatives (2006)   |
| <b>10.682</b><br>National Forest Foundation (2009)   | <b>10.763</b><br>Emergency Community Water Assistance Grants<br>Number changed from 10.440 (1993B)   | <b>10.780</b><br>Community Facilities Loans and Grants (2009)   |
| <b>10.683</b><br>National Fish and Wildlife Foundation (2009)  | <b>10.764</b><br>Resource Conservation and Development Loans<br>Number changed from 10.414 (1993B)<br>Archived (1998U)   | <b>10.781</b><br>Water and Waste Disposal Systems for Rural Communities - ARRA (2009)   |
| <b>10.684</b><br>International Forestry Programs (2008)  | <b>10.765</b><br>Watershed Protection and Flood Prevention Loans<br>Number changed from 10.419 (1993B)<br>Archived (1998U)   | <b>10.783</b><br>Rural Business Enterprise Grants - ARRA (2009)   |
| <b>10.685</b><br>Community Wood Energy Program (2009)  | <b>10.766</b><br>Community Facilities Loans<br>Number changed from 10.423 (1993B)<br>Community Facilities Loans (1997U)<br>Community Facilities Loans and Grants (1998B) | <b>10.787</b><br>Broadband Initiatives Program (2009)   |
| <b>10.686</b><br>Forest Biomass for Energy (2009)  | <b>10.767</b><br>Intermediary Relending Program<br>Number changed from 10.439 (1993B)  | <b>10.788</b><br>Very Low to Moderate Income Housing Loans - Direct (2009)  |
| <b>10.687</b><br>RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE (2009)  | <b>10.768</b><br>Business and Industrial Loans<br>Number changed from 10.422 (1993B)<br>Business and Industry Loans (1998B)  | <b>10.789</b><br>Very Low to Moderate Income Housing Loans - Guaranteed (2009)  |
| <b>10.688</b><br>Recovery Act of 2009: Wildland Fire Management (2009)   | <b>10.769</b><br>Rural Development Grants<br>Number changed from 10.424 (1993B)<br>Rural Business Enterprise Grants (2001B)  | <b>10.800</b><br>Livestock and Poultry Market Supervision (1969B)<br>Number changed to 10.159 (1978B)<br>Number changed from 10.159 (1981U)<br>Livestock, Meat and Poultry Market Supervision (1984B)<br>Deleted (2004) |
| <b>10.689</b><br>Community Forest and Open Space Conservation Program (CFP) (2009)   | <b>10.770</b><br>Water and Waste Disposal Loans and Grants (Section 306C) (1993B)  | <b>10.825</b><br>Technical Assistance to Rural Areas (1975B)<br>Archived (1977U)  |
| <b>10.690</b><br>Lake Tahoe Erosion Control Grant Program (2009)   | <b>10.771</b><br>Rural Technology Development Grants (1994U)<br>Rural Cooperative Development Grants (1997B)   | <b>10.850</b><br>Rural Electrification Program (1965B)<br>Rural Electrification Loans (1970B)<br>Rural Electrification Loans and Loan Guarantees (1977B)  |
| <b>10.691</b><br>Good Neighbor Authority (2009)  | <b>10.772</b><br>Empowerment Zones Program (1994U)   | <b>10.851</b><br>Rural Telephone Service (1969B)<br>Rural Telephone Loans (1970B)<br>Rural Telephone Loans and Loan Guarantees (1977B)  |
| <b>10.700</b><br>National Agricultural Library Services (1969B)<br>Number changed to 10.883 (1978B)<br>Number changed from 10.883 (1981U)<br>National Agricultural Library (1982B) | <b>10.773</b><br>Rural Business Opportunity Grants (1999B)   | <b>10.852</b><br>Rural Telephone Bank Loans (1972B)   |
| <b>10.750</b><br>Information on Agricultural Activities (1969B)<br>Archived (1978B)  |  |   |
| <b>10.759</b><br>PART 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (2009)  |  |   |

## Appendix VII: Historical Profile of Catalog Programs

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| <b>10.853</b><br>Community Antenna Television Loans and Loan Guarantees (1980B)<br>Archived (2007)   | <b>10.875</b><br>Agricultural Research_Basic and Applied Research (1978B)<br>Number changed from 10.001 (1978B)<br>Number changed to 10.001 (1981U)             | Rural Broadband Access Loans and Loan Guarantees (2005)  |
| <b>10.854</b><br>Rural Economic Development Loans and Grants (1988U)<br>Number changed from 10.853 (1989B)   | <b>10.876</b><br>Grants for Agricultural Research, Special Research Grants (1978B)<br>Number changed from 10.200 (1978B)<br>Number changed to 10.200 (1981U)    | <b>10.900</b><br>Great Plains Conservation (1969B)   |
| <b>10.855</b><br>Distant Learning and Medical Link Grants (1992B)<br>Distance Learning and Medical Link Grants (1993B)<br>Distance Learning and Telemedicine Loans and Grants (1997B)            | <b>10.877</b><br>Cooperative Forestry Research (1978B)<br>Number changed from 10.202 (1978B)<br>Number changed to 10.202 (1981U)                                | <b>10.901</b><br>Resource Conservation and Development (1970B)   |
| <b>10.856</b><br>1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (2004)  | <b>10.878</b><br>Payments to Agricultural Experiment Stations Under Hatch Act (1978B)<br>Number changed from 10.203 (1978B)<br>Number changed to 10.203 (1981U) | <b>10.902</b><br>Soil and Water Conservation (1970B)<br>Split into 10.902, 10.905, 10.906, 10.907 (1971B)<br>Consolidated from 10.908 (1990B)                              |
| <b>10.857</b><br>State Bulk Fuel Revolving Fund Grants (2001U)   | <b>10.879</b><br>Rural Development Research (1978B)<br>Number changed from 10.204 (1978B)<br>Number changed to 10.204 (1981U)                                   | <b>10.903</b><br>National Cooperative Soil Survey (1969B)<br>Soil Survey (1970B)   |
| <b>10.858</b><br>RUS Denali Commission Grants and Loans (2002B)<br>Denali Commission Grants and Loans (2007)   | <b>10.880</b><br>Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1978B)<br>Split from 10.200 (1978B)<br>Number changed to 10.205 (1981U)           | <b>10.904</b><br>Watershed Protection and Flood Prevention (1970B)<br>Consolidated into 10.911 (1996B)   |
| <b>10.859</b><br>Assistance to High Energy Cost Rural_Communities (2001U)<br>Assistance to High Energy Cost_Rural Communities (2002B)<br>Assistance to High Energy Cost Rural Communities (2007) | <b>10.881</b><br>Cooperative Extension Service (1978B)<br>Number changed from 10.500 (1978B)<br>Number changed to 10.500 (1981U)                                | <b>10.905</b><br>Plant Materials for Conservation (1971B)<br>Split from 10.902 (1971B)   |
| <b>10.860</b><br>Rural Business Investment Program (2004)  | <b>10.882</b><br>Higher Education_Land-Grant Colleges and Universities (1978B)<br>Transferred from 13.453 (1978B)<br>Number changed to 10.501 (1981U)           | <b>10.906</b><br>River Basin Surveys and Investigations (1971B)<br>Split from 10.902 (1971B)<br>Consolidated into 10.911 (1996B)<br>Watershed Surveys and Planning (1997B) |
| <b>10.861</b><br>Public Television Station Digital Transition Grant Program (2005)   | <b>10.883</b><br>Technical Information Systems (1978B)<br>Number changed from 10.700 (1978B)<br>Number changed to 10.700 (1981U)                                | <b>10.907</b><br>Snow Survey and Water Supply Forecasting (1971B)<br>Split from 10.902 (1971B)   |
| <b>10.862</b><br>Household Water Well System Grant Program (2004)  | <b>10.884</b><br>Grants for Agricultural Research_Competitive Research_Grants (1978B)<br>Number changed to 10.206 (1981U)                                       | <b>10.908</b><br>Land Inventory and Monitoring (1977B)<br>Inventory and Monitoring (1978B)<br>Resources Inventory (1983U)<br>Consolidated into 10.902 (1990B)              |
| <b>10.863</b><br>Community Connect Grant Program (2004)  | <b>10.885</b><br>Animal Health and Disease Research (1980B)<br>Number changed to 10.207 (1981U)   | <b>10.909</b><br>Resource Appraisal and Program Development (1979B)<br>Archived (1983U)  |
| <b>10.864</b><br>Grant Program to Establish a Fund for Financing Water and Wastewater Projects (2005)  | <b>10.886</b>   | <b>10.910</b><br>Rural Abandoned Mine Program (1979U1)   |
| <b>10.868</b><br>Rural Energy for America Program (2009)   |   | <b>10.911</b><br>Watershed Surveys and Planning<br>Consolidated from 10.904, 10.906 (1996B)<br>Incorporated into 10.906 (1997B)  |
| <b>10.870</b><br>Rural Microentrepreneur Assistance Program (2009)   |   | <b>10.912</b><br>Environmental Quality Incentives Program (1997B)  |

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|   |   |  |
|---|---|--|
| <b>10.913</b><br>Farm Land Protection Program (1997B)<br>Farmland Protection Program (1997U)  | <b>10.963</b><br>Scientific and Technical Cooperation (1990B)<br>Incorporated into 10.961 (1999B)   | (1967B)<br>Archived (1969B)  |
| <b>10.914</b><br>Wildlife Habitat Incentive Program (1997B)   | <b>10.994</b><br>Peanut Quota Buyout Program (2005)<br>Archived (2009)  | <b>11.001</b><br>Statistical Data for Small Areas (1965B)<br>Census Data (1967B)<br>Census and Statistical Reports (1969B)<br>Census Bureau Data Products (1980U1) |
| <b>10.915</b><br>Fund for Rural America_Small Farmer Outreach<br>Training and Technical Assistance (1998B)<br>Archived (1999B)  | <b>10.995</b><br>Hard White Wheat Incentive Program (2005)<br>Archived (2009)   | <b>11.002</b><br>Census Data Access and Use Laboratory (1970B)<br>Census Data User Services (1972B)<br>Census Customer Services (1995U)                            |
| <b>10.916</b><br>Watershed Rehabilitation Program (2003B)   | <b>10.999</b><br>LONG TERM STANDING AGREEMENTS FOR<br>STORAGE, TRANSPORTATION AND LEASE<br>(2008)   | <b>11.003</b><br>Census Mapping and Statistical Areas (1969B)<br>Census Geography (1970B)  |
| <b>10.917</b><br>Agricultural Management Assistance (2004)  | <b>DEPARTMENT OF COMMERCE</b><br>Development Highways and Access Roads for the<br>Appalachian Region (1965B)<br>Administration and Research in Economic<br>Development Programs in Appalachia (1967B)<br>Archived (1969B) | <b>11.004</b><br>Census Intergovernmental Services (1970B)   |
| <b>10.918</b><br>Ground and Surface Water Conservation_<br>Environmental Quality Incentives Program (2004)  | Community Relations Service (1965B)<br>Archived (1967B)   | <b>11.005</b><br>Census Special Tabulations and Services (1969B)   |
| <b>10.919</b><br>Klamath Basin _ Environmental Quality Incentives<br>Program (2004)   | Development of Ports (1967B)<br>Archived (1969B)  | <b>11.006</b><br>Personal Census Age Search (1967B)<br>Personal Census Search (1969B)  |
| <b>10.920</b><br>Grassland Reserve Program (2004)   | Economic Development Districts (1967B)<br>Consolidated into 11.300 (1969B)  | <b>11.007</b><br>Measures and Analyses of U.S. Economy (1972B)<br>Number changed from 11.700 (1972B)<br>Number changed to 11.025 (1976U)                           |
| <b>10.921</b><br>Conservation Security Program (2004)   | Grants and Loans for Public Works and<br>Development Facilities (1967B)<br>Consolidated into 11.300 (1969B)   | <b>11.008</b><br>NOAA Mission-Related Education Awards (2009)  |
| <b>10.922</b><br>Healthy Forests Reserve Program (HFRP) (2007)  | Gross National Product Estimates (1967B)<br>Archived (1969B)  | <b>11.009</b><br>TV Converter Box Coupon Program Consumer<br>Education and Technical Assistance (2009)   |
| <b>10.923</b><br>Emergency Watershed Protection Program (2007)  | High Speed Ground Transportation (1965B)<br>Highway Beautification (1965B)<br>Transferred/Split into 20.202, 20.203, 20.204<br>(1970B)  | <b>11.010</b><br>Community Trade Adjustment Assistance (2009)  |
| <b>10.950</b><br>Agricultural Statistical Reports (1969B)<br>Number changed to 10.252 (1978B)<br>Agriculture Statistical Reports (1981U)<br>Agricultural Statistics Reports (1986U)   | Highway Planning and Construction (1965B)<br>Transferred to 20.205 (1970B)  | <b>11.011</b><br>Ocean Exploration (2009)  |
| <b>10.960</b><br>Technical Agricultural Assistance (1986B)  | Industry and Commodity Information (1965B)<br>Archived (1967B)  | <b>11.012</b><br>Integrated Ocean Observing System (IOOS) (2009)   |
| <b>10.961</b><br>International Agricultural Research_Collaborative<br>Program (1986B)<br>International Agricultural Research Program<br>(1991U)<br>Scientific Cooperation Program, Incorporated from<br>10.963 (1999B)<br>Scientific Cooperation and Research (2001B) | Regional Action Planning Commissions (1967B)<br>Consolidated into 11.300 (1969B)  | <b>11.013</b><br>Education Quality Award Ambassadorship (2009)   |
| <b>10.962</b><br>International Training_Foreign Participant (1986B)<br>Cochran Fellowship Program-International<br>Training-Foreign Participant (2006)  | State Technical Services Program (1967B)<br>Archived (1970B)  | <b>11.025</b><br>Measures and Analyses of the U.S. Economy<br>(1976U)<br>Number changed from 11.007 (1976U)  |
|   | Supplements to Federal Grant-in-Aid Programs in<br>Appalachia (1965B)<br>Supplemental Grants-in-Aid for Appalachia  | <b>11.026</b><br>National Trade Data Bank (NTDB) (1994B)<br>STAT-USA: Key Business, Economic, and  |

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International Trade Information (2006)

## 11.027

Business Assistance, Services, and Information (1980B)

Number changed from 11.104 (1980B)

Number changed to 11.050 (1980U2)

Productivity and Economic Growth (1982B)

Number changed to 11.980 (1989B)

Economic Bulletin Board (EBB) (1994B)

State of the Nation (2002B)

Deleted (2006)

## 11.050

Business Assistance, Services, and Information (1980U2)

Number changed from 11.027 (1980U2)

Number changed to 11.110 (1984B)

## 11.100

Export Licensing Service and Information (1969B)

Number changed to 11.150 (1988B)

## 11.101

International Trade Promotion (1967B)

Export Trade Promotion (1969B)

Consolidated into 11.108 (1980B)

## 11.102

Foreign Investment in the United States (1967B)

Foreign Investment Development in the United States (1969B)

Archived (1977U)

## 11.103

Commercial Intelligence Service (1967B)

International Commercial Information (1969B)

Consolidated into 11.108 (1980B)

## 11.104

Business Assistance, Services, and Information (1973B)

Number changed from 11.200 (1973B)

Number changed to 11.027 (1980B)

## 11.105

Importation of Duty-Free Educational and Scientific Materials (1973B)

Number changed from 11.201 (1973B)

Archived (1986B)

## 11.106

Remedies for Unfair Foreign Trade

Practices\_Antidumping and Countervailing Duty Investigations (2004)

## 11.106A

Trade Adjustment Assistance (1973B)

Number changed from 11.202 (1973B)

Number changed to 11.309 (1975U)

## 11.106B

Antidumping Duties (1980B)

Transferred from 21.200 (1980B)

Remedies for Unfair Foreign Trade

Practices\_Antidumping Duty Investigations (1991B)

Remedies for Unfair Foreign Trade

Practices\_Antidumping and Countervailing Duty Investigations (1996U)

## 11.107

Countervailing Duty on Imports (1980B)

Transferred from 21.201 (1980B)

Remedies for Unfair Foreign Trade

Practices\_Countervailing Duty Investigations (1991B)

Archived (1997B)

## 11.108

International Trade Promotion (1980B)

Consolidated from 11.101, 11.103 (1980B)

International Trade (1984B)

Export Promotion Services (1985B)

Commercial Service (1995B)

## 11.109

Trade Adjustment Assistance (1980B)

Archived (1986B)

Reinstated (1988U)

Number changed to 11.313 (1991B)

## 11.110

Business Assistance, Services, and Information (1984B)

Number changed from 11.050 (1984B)

Trade Development (1985B)

Manufacturing and Services (2005)

Manufacturing and Services (2005)

## 11.111

Foreign-Trade Zones in the United States (1986U)

## 11.112

Export Promotion\_Market Development Cooperator (1994B)

Export Promotion Market Development

Cooperation (2002B)

Market Development Cooperator Program (2007)

## 11.113

ITA Special Projects (1995B)

## 11.114

Special American Business Internship Training Program (1997B)

## 11.115

American Business Center (1998U)

Archived (2001B)

## 11.150

Export Licensing Service and Information (1988B)

Number changed from 11.100 (1988B)

## 11.200

Information and Services to Industrial Community (1967B)

Business Assistance, Services and Information (1969B)

Number changed to 11.104 (1973B)

## 11.201

Importation of Duty-Free Educational and Scientific Materials (1969B)

Number changed to 11.105 (1973B)

## 11.202

Trade Adjustment Assistance (1971U)

Number changed to 11.106 (1973B)

## 11.300

Public Works and Economic Development (1965B)

Economic Development\_Grants and Loans for Public Works and Development Facilities (1969B)

Split into 11.300, 11.301, 11.302, 11.303 (1969B)

Archived (1973B)

Reinstated (1973U)

Economic Development\_Grants and Loans for Public Works and Development Facilities (1973U)

Economic Development\_Grants for Public Works and Development Facilities (1981U)

Economic Development\_Grants for Public Works and Infrastructure Development (1995B)

Grants for Public Works and Economic

Development (1999B)

Grants for Public Works and Economic

Development Facilities (2002B)

Investments for Public Works and Economic

Development Facilities (2007)

## 11.301

Economic Development\_Loans for Businesses and Development Companies (1969B)

Split from 11.300 (1969B)

Archived (1973B)

Reinstated (1973U)

Economic Development\_Business Development Assistance (1975B)

Archived (1993U)

## 11.302

Economic Development\_Assistance for Distressed Areas (1969B)

Split from 11.300 (1969B)

Economic Development\_Planning Assistance (1970B)

Archived (1973B)

Reinstated (1973U)

Economic Development\_Support for Planning Organizations (1975B)

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Archived (1999B)

Reinstated/Incorporated from 11.305 (2000B)

### 11.303

Economic Development\_Technical Assistance Research, and Information (1969B)

Split from 11.300 (1969B)

Economic Development\_Technical Assistance (1970B)

Archived (1973B)

Reinstated (1973U)

### 11.304

Economic Development\_Public Works Impact Projects (1972B)

Archived (1973B)

Reinstated (1973U)

Economic Development\_Public Works Impact Program (1990U)

Archived (1999B)

### 11.305

Economic Development\_State and Local Economic Development Planning (1975B)

Incorporated into 11.302 (2000B)

### 11.306

Economic Development\_District Operational Assistance (1975B)

Archived (1986B)

### 11.307

Economic Development\_Special Economic Development and Adjustment Assistance Program (1975B)

Special Economic Development and Adjustment Assistance Program\_Long-Term Economic Deterioration (1979B)

Split into 11.307, 11.311 (1979B)

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe or Long-Term Economic Deterioration (1983B)

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation or Long-Term Economic Deterioration (1984B)

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1986U)

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (SSED) and Long-Term Economic Deterioration (LTED) (1997B)

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1997U)

Economic Adjustment Assistance (1999B)

### 11.308

Grants to States for Supplemental and Basic Funding of Titles I, II, and IV Activities (1975U)

Grants to States for Supplemental and Basic Funding of Titles I, II, III, IV and IX Activities (1977B)

Archived (1981U)

### 11.309

Trade Adjustment Assistance (1975U)

Number changed from 11.106 (1975U)

Archived (1981U)

### 11.310

Redevelopment Area Loan Program (Section 204) (1977U)

Incorporated into 11.307 (1978B)

### 11.311

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (1979B)

Split from 11.307 (1979B)

Archived (1981U)

### 11.312

Research and Evaluation Program (1984B)

### 11.313

Trade Adjustment Assistance

Number changed from 11.109 (1991B)

Trade Adjustment Assistance for Firms (2007)

### 11.400

Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (2004)

### 11.400A

6Geodetic Control Surveys and Tideland Studies (1965B)

Geodesy (1970B)

Geodetic Control Surveys (1971B)

### 11.400B

6Geodetic Surveys and Services (1974U)

Archived (1989B)

Reinstated (1991B)

### 11.401

Nautical Charts and Related Data (1965B)

Archived (1986B)

### 11.402A

6Weather Bureau River and Flood Forecasting Service (1965B)

River and Flood Forecasting (1967B)

River and Flood Forecasts (1969B)

River and Flood Forecast and Warning Services (1974U)

Archived (1977U)

### 11.402B

6Marine Boundary Program (1981B)

Archived (1986B)

### 11.403

Seismological Investigations (1970B)

Archived (1973B)

### 11.404

Weather and Climate Guidance (1965B)

Weather and Marine Forecasts and Climate Guidance (1969B)

Weather Forecasts and Warnings (1970B)

Weather and River Forecasts and Warnings (1977U)

Archived (1979B)

### 11.405

Anadromous and Great Lakes Fisheries Conservation (1971B)

Transferred from 15.001 (1971B)

Anadromous Fish Conservation Act Program (1991U)

Archived (2009)

### 11.406

Commercial Fisheries Disaster Assistance (1971B)

Transferred from 15.002 (1971B)

Archived (1981B)

### 11.407

Commercial Fisheries Research and Development (1971B)

Transferred from 15.003 (1971B)

Interjurisdictional Fisheries Act of 1986 (1987U)

### 11.408

Current Economic Analysis of Food Fish, Shellfish, and Industrial Fishery Projects (1971B)

Archived (1973B)

Reinstated (1980B)

Fishermen's Contingency Fund (1980B)

### 11.409

Fisheries Loan Fund (1971B)

Transferred from 15.005 (1971B)

Incorporated into 11.415 (1974B)

Reinstated/Split from 11.415 (1980B)

Fishing Vessel and Gear Damage Compensation Fund (1980B)

Archived (1998B)

### 11.410

Fishermen\_Reimbursement of Losses (1971B)

Transferred from 15.004 (1971B)

Fishermen's Guaranty Fund (1981B)

Number changed to 19.204 (1987B)

### 11.411

Fishery Cooperative Services (1971B)



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Archived (1986B)

### 11.412

Fishery Marketing Assistance (1971B)  
Transferred from 15.006 (1971B)  
Archived (1973B)

### 11.413

Fishery Products Inspection and Certification (1971B)  
Transferred from 15.007 (1971B)

### 11.414

Fishing Statistics and Market News (1971B)  
Transferred from 15.008 (1971B)  
Archived (1973B)

### 11.415

Fishing Vessel Mortgage and Loan Insurance (1971B)  
Transferred from 15.009 (1971B)  
Fishing Vessel Obligation Guarantees (1973B)  
Federal Ship Financing Fund Liquidating Account (1992B)  
Fisheries Obligation Guarantee Program (1994U)  
Fisheries Finance Program (1998B)

### 11.416

Jellyfish Control (1971B)  
Transferred from 15.010 (1971B)  
Archived (1973B)

### 11.417

Sea Grant Institutional Support (1971B)  
Transferred from 47.022 (1971B)  
Sea Grant Support (1972B)

### 11.418

Sea Grant Project Support (1971B)  
Transferred from 47.023 (1971B)  
Incorporated into 11.417 (1972B)  
Coastal Zone Management Program Development (1974B)  
Reinstated/Split from 11.417 (1974B)  
Archived (1980B)

### 11.419

Coastal Zone Management Program Administration (1974U)  
Coastal Zone Management Program Administration Grants (1985B)  
Coastal Zone Management Program Implementation and Enhancement Awards (1991B)  
Coastal Zone Management Administration Awards (1992B)

### 11.420

Coastal Zone Management Estuarine Sanctuaries (1975B)  
Coastal Zone Management Estuarine Research

Reserves (1986U)

### 11.421

Coastal Energy Impact Program\_Formula Grants (1977U)  
Energy Impact\_Formula Grants (1984B)  
Archived (1986B)

### 11.422

Coastal Energy Impact Program\_Planning Grants (1977U)  
Coastal Energy Impact Grants (1985B)  
Archived (1986B)

### 11.423

Coastal Energy Impact Program\_Loans and Guarantees (1977U)  
Archived (1985U)

### 11.424

Coastal Energy Impact Program\_Environmental Grants (1977U)  
Archived (1983B)

### 11.425

Coastal Energy Impact Program\_Outer Continental Shelf State Participation Grants (1980B)  
Archived (1985B)

### 11.426

Ocean Dumping and Monitoring Program (1980B)  
Financial Assistance for Marine Pollution Research (1981B)  
Archived (1990B)  
Reinstated (1991B)  
Financial Assistance for National Status and Trends Programs (1991B)  
Financial Assistance for Ocean Resources Conservation and Assessment Program (1991U)  
Financial Assistance for National Centers for Central Coastal Ocean Science (1999B)  
Financial Assistance for National Centers for Coastal Ocean Science (1999U)

### 11.427

Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (1980B)

### 11.428

Intergovernmental Climate\_Demonstration Project (1980U1)  
Intergovernmental Climate\_Programs (1983U)  
Intergovernmental Climate\_Program (1995U)  
Intergovernmental Climate\_Program (NESDIS) (1999B)  
Deleted (2007)

### 11.429

Marine Sanctuary Program (1985B)

### 11.430

Undersea Research (1987B)

### 11.431

Climate and Atmospheric Research (1987B)  
Climate and Research (1992B)  
Split into 11.459 (1992B)  
Climate and Atmospheric Research (1992U)

### 11.432

Environmental Research Laboratories Joint Institutes (1990B)  
Environmental Research Laboratories Cooperative Institutes (1992B)  
Office of Oceanic and Atmospheric Research (OAR) Cooperative Institutes (1999U)  
Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (2001B)

### 11.433

Marine Fisheries Initiative (1990U)

### 11.434

Cooperative Fishery Statistics (1991B)

### 11.435

Southeast Area Monitoring and Assessment Program (1991B)

### 11.436

Columbia River Fisheries Development Program (1991B)

### 11.437

West Coast Fisheries Data Program (1991B)  
Pacific Fisheries Data Program (1995B)

### 11.438

Pacific Salmon Treaty Program (1991B)  
Pacific Coast Salmon Recovery\_Pacific Salmon Treaty Program (2000B)

### 11.439

Marine Mammal Data Program (1991B)

### 11.440

Research in Remote Sensing of the Earth and Environment (1991B)  
Environmental Sciences, Applications, Data, and Education (2002B)

### 11.441

Regional Fishery Management Councils (1991U)

### 11.442

Research in Oceanographic Data Base Management (1991U)  
Archived (1999B)

### 11.443

## Appendix VII: Historical Profile of Catalog Programs

Short-Term Climate Fluctuations (1992U)

Short\_Term Climate Fluctuations (1995B)

Short Term Climate Fluctuations (1995U)

### 11.444

Mahimahi Aquaculture (1991U)

Aquaculture Program (1994U)

Direct Housing\_Natural Disaster Loans and Grants (1999B)

Aquaculture Program (1999U)

Hawaii Sustainable Fisheries Development (Aquaculture Program) (2004)

### 11.445

Stock Enhancement of Marine Fish in the State of Hawaii (1991U)

Hawaii Stock Management (2001B)

Hawaii Stock Management Program (2002B)

### 11.446

Antarctic Marine Living Resources (1991U)

Archived (1999B)

### 11.448

Federal/State Cooperative Program in Atmospheric Modification Research (1992B)

Federal/State Cooperative Program in Atmospheric Research (1995B)

Archived (1997B)

Reinstated (1998B)

Archived (1998U)

### 11.449

Independent Education and Science Projects and Programs (1992B)

### 11.450

Integrated Flood Observing and Warning System (IFLOWS) (1993B)

### 11.452

Unallied Industry Projects (1993U)

### 11.454

Unallied Management Projects (1993B)

### 11.455

Cooperative Science and Education Program (1993U)

### 11.457

Chesapeake Bay Studies (1992B)

### 11.458

Alaska Salmon Enhancement (1993B)

Deleted (2004)

Consolidated into 11.438 (2004)

### 11.459

Climate and Air Quality Research (1992B)

Split from 11.431 (1992B)

Weather and Air Quality Research (2002B)

### 11.460

Congressionally Identified Program Needs (1992B)

Special Oceanic and Atmospheric Projects (1992U)

### 11.461

Cooperative Institute (1992B)

Archived (1994U)

### 11.462

Hydrologic Research (1994B)

### 11.463

Habitat Conservation (1993B)

### 11.464

Marine Research\_Regional Programs (1993B)

Archived (1997B)

### 11.466

Marine Instrumentation Special Projects (1993B)

Archived (1994B)

### 11.467

Meteorologic and Hydrologic Modernization Development (1993U)

### 11.468

Applied Meteorology Research (1993B)

Collaborative Applied Hydrometeorological Research Activities (1993U)

Cooperative Institute for Applied Meteorological Studies (CIAMS) and Cooperative Institute for Tropical Meteorology (CITM) (1994B)

Applied Meteorological Research (2002B)

### 11.469

Congressionally Identified Construction Projects (1993B)

Congressionally Identified Awards and Projects (2004)

### 11.470

Office of Administration Special Programs (1993U)

Deleted (2004)

Consolidated into 11.481 (2004)

### 11.472

Unallied Science Program (1994U)

### 11.473

Coastal Ecosystem Health (1995U)

Coastal Services Center (1997B)

### 11.474

Atlantic Coastal Fisheries Cooperative Management Act (1995B)

### 11.477

Fisheries Disaster Relief (1999B)

### 11.478

Coastal Ocean Program (1998B)

Center for Sponsored Coastal Ocean Research\_Costal Ocean Program (2000B)

### 11.480

National Ocean Service Intern Program (1999B)

Archived (2009)

### 11.481

Educational Partnership Program (2001U)

### 11.500

Construction\_Differential Subsidies (1970B)

Number changed to 20.800 (1981U)

### 11.501

Marine Development and Promotion Activities (1969B)

Development and Promotion of Ports and Intermodal Transport Systems (1970B)

Development and Promotion of Ports and Intermodal Transportation (1975B)

Number changed to 20.801 (1981U)

### 11.502

Aids to Shipping and Shipbuilding (1967B)

Shipping and Shipbuilding Assistance (1969B)

Federal Ship Mortgage Insurance (1970B)

Federal Ship Financing Guarantees (1973B)

Number changed to 20.802 (1981U)

### 11.503

Maritime War Risk Insurance (1970B)

Number changed to 20.803 (1981U)

### 11.504

Operating\_Differential Subsidies (1970B)

Number changed to 20.804 (1981U)

### 11.505

Ship Exchange Program (1967B)

Ships Exchange and Sales (1969B)

Ship Sales (1972U)

Number changed to 20.805 (1981U)

### 11.506

State Marine Schools (1967B)

Number changed to 20.806 (1981U)

### 11.507

Maritime Manpower Training (1969B)

U.S. Merchant Marine Academy (1970B)

Number changed to 20.807 (1981U)

### 11.508

Capital Construction Fund (1973U)

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|   |   |  |
|---|---|--|
| Number changed to 20.808 (1981U)  | (BTOP) (2009)   | Manufacturing Technology Centers Program (1992U)   |
| <b>11.509</b><br>Development and Promotion of Domestic Waterborne Transport Systems (1974U)<br>Number changed to 20.809 (1981U)   | <b>11.558</b><br>State Broadband Data and Development Grant Program (2009)  | Manufacturing Extension Program (1993B)<br>Manufacturing Technology Centers (1993U)<br>Manufacturing Extension Partnership (1994B)<br>Consolidated from 11.613 (1995B)                                     |
| <b>11.510</b><br>Supplementary Training (1980U2)<br>Number changed to 20.810 (1981U)  | <b>11.559</b><br>Low-Power Television and Translator Upgrade Program (2009)   | <b>11.612</b><br>Advanced Technology Program (1990B)<br>Archived (2009)  |
| <b>11.511</b><br>Research and Development Assistance (1981B)<br>Number changed to 20.811 (1981U)  | <b>11.600</b><br>Building Code (Regulations) Assistance to States (1970B)<br>Archived (1978U)   | <b>11.613</b><br>State Technology Extension Program (1990B)<br>Consolidated into 11.611 (1995B)  |
| <b>11.512</b><br>Construction Reserve Fund (1981B)<br>Number changed to 20.812 (1981U)  | <b>11.601</b><br>Calibration and Testing Services (1970B)<br>Physical Measurement Services Program (1991U)<br>Calibration Program (1992B)   | <b>11.614</b><br>Experimental Program to Stimulate Competitive Technology (1999B)<br>Archived (2002B)  |
| <b>11.550</b><br>Public Telecommunications Facilities (1979B)<br>Transferred from 13.413 (1979B)<br>Public Telecommunications Facilities_Construction and Planning (1986B)<br>Public Telecommunications Facilities_Planning and Construction (1994B)<br>Public Telecommunications Facilities Planning and Construction (2004) | <b>11.602</b><br>Clearinghouse for Scientific and Technical Information (1967B)<br>Clearinghouse for Federal Scientific and Technical Information (1970B)<br>Number changed to 11.650 (1971B) | <b>11.616</b><br>Technology Innovation Program (TIP) (2008)  |
| <b>11.551</b><br>Public Telecommunications Services Program (1980U1)<br>Archived (1983B)<br>National Endowment for Children's Educational Television (1993U)<br>Archived (1997B)  | <b>11.603</b><br>Standard Reference Data (1969B)<br>National Standard Reference Data System (1970B)   | <b>11.617</b><br>Congressionally-Identified Projects (2002U)   |
| <b>11.552</b><br>Telecommunications and Information Infrastructure Assistance Program (1994B)<br>Technology Opportunities (2000B)<br>Technology Opportunities Program (2004)<br>Deleted (2006)  | <b>11.604</b><br>Standard Reference Materials (1969B)   | <b>11.618</b><br>National Institute of Standards and Technology Construction Grant Program (2008)  |
| <b>11.553</b><br>NYC 9/11 Digital Television Program (2008)   | <b>11.605</b><br>State Invention Program (1970B)<br>Archived (1975U)  | <b>11.650</b><br>National Technical Information Service (1971B)<br>Number changed from 11.602 (1971B)  |
| <b>11.554</b><br>Low-Power Television and Translator Digital-to-Analog Conversion (2007)  | <b>11.606</b><br>Weights, Measures, and Other Standards (1967B)<br>Weights and Measures Service (1969B)   | <b>11.651</b><br>Commerce Summary Statistical Data (1972B)<br>Incorporated into 11.650 (1973B)<br>Reinstated/Split from 11.650 (1980U1)<br>Science Information Exchange, Inc. (1980U1)<br>Archived (1983B) |
| <b>11.555</b><br>Public Safety Interoperable Communications Grant Program (2008)  | <b>11.607</b><br>Experimental Technology Incentives Program (1973U)<br>Archived (1975B)   | <b>11.700A</b><br>6Measures and Analyses of the U.S. Economy (1969B)<br>Measures and Analyses of the United States Economy (1971B)<br>Number changed to 11.007 (1972B)                                     |
| <b>11.556</b><br>TV Converter Box Coupon Program (2008)   | <b>11.608</b><br>Fire Research and Safety Program (1974U)<br>Archived (1978B)   | <b>11.700B</b><br>6Academy Planning Assistance (1977B)<br>Transferred to 83.001 (1979B)  |
| <b>11.557</b><br>Broadband Technology Opportunities Program   | <b>11.609</b><br>Measurement and Engineering Research and Standards (1983B)   | <b>11.701</b><br>Importation of Duty_Free Education and Scientific Materials (1969B)<br>State Fire Incident Reporting Assistance (1977B)<br>Transferred to 83.002 (1979B)                                  |
|   | <b>11.610</b><br>National Center for Standards and Certification Information (1986U)  | <b>11.702</b><br>Internship Program for Postsecondary Students   |
|   | <b>11.611</b>   |  |

# Appendix VII: Historical Profile of Catalog Programs

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|---|---|---|
| (1999B)   | <b>11.951</b><br>Promotion of Travel from Abroad (1972B)<br>Archived (1973U)<br>Matching Funds (1974B)<br>Reinstated (1974B)<br>Matching Funds (1974B)<br>Archived (1980U1) | Archived (1969B)  |
| <b>11.750</b><br>Cooperative Generic Technology Program (1980U2)<br>Archived (1982B)  |   | <b>12.000</b><br>Issue of Department Of Defense excess equipment (2005)   |
| <b>11.800</b><br>Minority Business Enterprise (1970B)<br>Minority Business Enterprise_Coordination and Technical Assistance (1971B)<br>Minority Business Development_Coordination, Management, and Technical Assistance (1973B)<br>Minority Business Development_Management and Technical Assistance (1978U)<br>Minority Business Development Centers (1986U)<br>Split into 11.801, 11.802, 11.803 (1986U)<br>Basic Minority Business Development Centers (2000B)<br>Minority Business Development Centers (2001B)<br>Minority Business Enterprise Centers (2006) | <b>11.975</b><br>Telecommunications Management and Analysis (1971U)<br>Archived (1973B)   | <b>12.001</b><br>Machine Tool Loans to Vocational Schools. (1965B)<br>Machine Tool Loan to Educational Institutions (1970B)<br>Archived (1973B)<br>Reinstated (1974B)<br>Industrial Equipment Loans to Educational Institutions (1974B)<br>Archived (1994B)   |
| <b>11.801</b><br>American Indian Program (1986U)<br>Native American Program (1993U)<br>Native American Business Development Centers (2004)<br>Naataive American Business Enterprise Centers (2006)  | <b>11.980</b><br>Productivity and Economic Growth<br>Changed from 11.027 (1989B)<br>Archived (1993B)  | <b>12.002</b><br>Procurement Technical Assistance for Business Firms (1988B)  |
| <b>11.802</b><br>Minority Business and Industry Association_Minority Chambers of Commerce (1986U)<br>Minority Business Resource Development (1991U)<br>Minority Business Development (1998B)<br>Deleted (2004)  | <b>DEPARTMENT OF DEFENSE</b><br>Drainage Improvement (1965B)<br>Archived (1969B)  | <b>12.100</b><br>Aquatic Plant Control (1967B)  |
| <b>11.803</b><br>Minority Business Development_State and Local Government Program (1986U)<br>Archived (1988B)<br>Reinstated (2002B)   | Flood, Hurricane or Abnormal Tide Protection (1967B)<br>Archived (1969B)  | <b>12.101</b><br>Beach Erosion Control (1967B)<br>Beach Erosion Control Projects (1971B)  |
| <b>11.806</b><br>Minority Business Opportunity Committee Development (2000B)<br>Minority Business Opportunity Committee (2002B)<br>Archived (2003B)   | Health Benefits for Uniformed Military Servicemen and Dependents (1967B)<br>Archived (1969B)  | <b>12.102</b><br>Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (1984U)<br>Emergency Rehabilitation of Flood Control Works and Federally Authorized Coastal Protection Works (1985U)<br>Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (1986U)             |
| <b>11.900</b><br>Patent and Trademark Assistance (1969B)<br>Patent and Trademark Technical Information Dissemination (1970B)  | Hydroelectric Power Development (1965B)<br>Archived (1969B)   | <b>12.103</b><br>Emergency Operations (1965B)<br>Emergency Flood and Hurricane Operations (1969B)<br>Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (1970B)<br>Flood Fighting and Rescue Operations (1986U)<br>Emergency Operations Flood Response and Post Flood Response (1987U) |
| <b>11.950</b><br>Visitor Services (1969B)<br>Community Visitor Services (1972B)<br>Archived (1972U)   | Information and Guidance on Flood Hazards (1967B)<br>Archived (1969B)   | <b>12.104</b><br>Flood Control (1965B)<br>Flood Plain Management Services (1969B)   |
|   | Military Support of Community Projects (1967B)<br>Archived (1969B)  | <b>12.105</b><br>Protection of Essential Highways, Highway Bridge Approaches, and Public Works (1970B)  |
|   | Navigation in Rivers and Harbors (1967B)<br>Archived (1969B)  | <b>12.106</b><br>Small Flood Control Projects (1970B)<br>Flood Control Projects (1971B)   |
|   | Nuclear Disaster Planning and Survival (1967B)<br>Archived (1969B)  |   |
|   | Recreation Facilities at Federal Water Resources Projects (1967B)<br>Archived (1969B)   |   |
|   | Water Quality Control (1967B)<br>Archived (1969B)   |   |
|   | Water Resources Development Program (1965B)<br>Archived (1967B)   |   |
|   | Water Resources Investigation (1967B)<br>Archived (1969B)   |   |
|   | Water Supply (1967B)  |   |

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|--|---|--|
| <b>12.107</b><br>Limited Water Resources Development Projects (1967B)<br>Small Navigation Projects (1969B)<br>Navigation Projects (1971B)                                | Archived (1975B)  | Civil Defense_Marking and Stocking of Public Shelters (1970B)<br>Archived (1971U)  |
| <b>12.108</b><br>Snagging and Clearing for Flood Control (1970B)   | <b>12.301</b><br>Civil Defense_Architect/Engineer Professional Development (1970B)<br>Archived (1977B)<br>Basic and Applied Scientific Research, Reinstated (1999B)<br>Archived (2002B)   | <b>12.312</b><br>Civil Defense_National Fallout Shelter Survey (1970B)<br>Civil Defense_National Shelter Survey (1975B)<br>Transferred to 83.207 (1980B)   |
| <b>12.109</b><br>Snagging and Clearing for Navigation (1970U)<br>Protection, Clearing and Straightening Channels (1978B)   | <b>12.302</b><br>Civil Defense_Community Action (1970B)<br>Civil Defense_Community Preparedness (1974B)<br>Archived (1977B)   | <b>12.313</b><br>Civil Defense_National Organizations Liaison (1970B)<br>Archived (1973B)  |
| <b>12.110</b><br>Planning Assistance to States (1975U)   | <b>12.303</b><br>Civil Defense_Community Involvement (1970B)<br>Incorporated into 12.302 (1971B)  | <b>12.314</b><br>Civil Defense_Staff College (1970B)<br>Transferred to 83.400 (1980B)  |
| <b>12.111</b><br>Flood Prevention (1983U)<br>Emergency Advance Measures for Flood Prevention (1985U)   | <b>12.304</b><br>Civil Defense_Community Shelter Planning (1970B)<br>Archived (1973B)   | <b>12.315</b><br>Civil Defense_Personnel and Administrative Expenses (1970B)<br>Civil Defense_State and Local Management (1977B)<br>Transferred to 83.200 (1980B)  |
| <b>12.112</b><br>Payments to States (1986B)<br>Payments to States in Lieu of Real Estate Taxes (1987B)   | <b>12.305</b><br>Civil Defense_Emergency Operating Centers (1970B)<br>Civil Defense_State and Local Emergency Operating Centers (1977B)<br>Archived (1979B)   | <b>12.316</b><br>Civil Defense_Radiation Shielding Design and Advisory Services (1970B)<br>Civil Defense_Radiation Shielding Design (1978B)<br>Deleted, Transferred to 83.208 (1980B)  |
| <b>12.113</b><br>State Memorandum of Agreement Program for the Reimbursement of Technical Services (1991B)   | <b>12.306</b><br>Civil Defense_Emergency Water Supply Equipment (1970B)<br>Archived (1976U)   | <b>12.317</b><br>Civil Defense_Radiological Equipment Donation (1970B)<br>Split from 12.300 (1970B)<br>Archived (1974U)  |
| <b>12.114</b><br>Collaborative Research and Development (1994U)  | <b>12.307</b><br>Civil Defense_Exhibits (1970B)<br>Archived (1975B)   | <b>12.318</b><br>Civil Defense_Shelter Information (1970B)<br>Archived (1973B)   |
| <b>12.116</b><br>DEPARTMENT OF DEFENSE<br>APPROPRIATION ACT 2003 (2003B)   | <b>12.308</b><br>Civil Defense_Federal Surplus Personal Property Donations (1970B)<br>Archived (1977U)  | <b>12.319</b><br>Civil Defense_Survival Supplies, Equipment and Training (1970B)<br>Civil Defense_System Maintenance Services (1972B)<br>Civil Defense_State and Local Maintenance and Services (1977B)<br>Transferred to 83.201 (1980B) |
| <b>12.200</b><br>Memorial Plots in National Cemeteries (1970B)<br>Transferred to 64.200 (1973U)  | <b>12.309</b><br>Civil Defense_Industrial Participation (1970B)<br>Transferred to 83.205 (1980B)  | <b>12.320</b><br>Civil Defense_University Extension (1970B)<br>Consolidated into 12.325 (1974B)  |
| <b>12.201</b><br>National Cemeteries (1969B)<br>Transferred to 64.201 (1973U)  | <b>12.310</b><br>Inspection, Maintenance, and Calibration of Civil Defense Radiological Equipment (1970B)<br>Civil Defense_Radiological Systems Maintenance and Calibration of Civil Defense Radiological Equipment (1974B)<br>Civil Defense_Radiological Systems Maintenance and Training of Radiological Personnel (1976U)<br>Transferred to 83.206 (1980B) | <b>12.321</b><br>Civil Defense_State and Local Supporting Systems Equipment (1971B)<br>Civil Defense_State and local Supporting Materials (1977B)  |
| <b>12.202</b><br>Procurement of Headstones and Markers (1970B)<br>Transferred to 64.202 (1973U)  | <b>12.311</b>   |  |
| <b>12.234</b><br>Civil Defense_Architect/Engineer Student Development (1972U)  |   |  |
| <b>12.300</b><br>Natural Disasters_Warning, Survival and Rehabilitation (1967B)<br>Civil Defense (1969B)<br>Civil Defense_Architect/Engineer Faculty Development (1970B) |   |  |

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Archived (1980B)

### 12.322

Civil Defense\_Loans of Excess Federal Personal Property (1971B)  
Civil Defense\_Contributions Project Loan Program (1973B)  
Archived (1980B)

### 12.323

Civil Defense\_Education (1971)  
Consolidated into 12.325 (1974B)

### 12.324

Civil Defense\_Architect/Engineer Student Development (1972U)  
Transferred to 83.401 (1980B)

### 12.325

Civil Defense\_State and Local Civil Preparedness Instruction Program (1974B)  
Consolidated from 12.320, 12.323 (1974B)  
Archived (1977B)

### 12.350

Department of Defense HIV/AIDS Prevention Program (2006)

### 12.351

Basic Scientific Research - Combating Weapons of Mass Destruction (2007)

### 12.352

Scientific Research - Combating Weapons of Mass Destruction (2007)

### 12.360

Research on Chemical and Biological Defense (2007)

### 12.400

National Guard Armories (1967B)  
Construction Program, Army National Guard (1970B)  
Construction, Army National Guard (1971B)  
Military Construction, Army National Guard (1974B)  
Military Construction, National Guard (1994B)

### 12.401

National Guard Military Operations and Maintenance (O&M) Projects (1996B)

### 12.404

National Guard Civilian Youth Opportunities (2001B)

### 12.420

Military Medical Research and Development (1991B)

### 12.431

Basic Scientific Research (1992U)

### 12.500

U.S. Soldiers Home (1970B)  
U.S. Soldiers' and Airmen's Home (1972U)  
U.S. Soldiers' and Airmen's Home (USSAH) and U.S. Naval Home (USNH) (1992B)  
Archived (1994B)

### 12.550

International Education\_U.S. Colleges and Universities (1996U)  
National Flagship Language Program Grants To U.S. Institutions Of Higher Education (2006)

### 12.551

National Security Education\_Scholarships (1998B)  
National Security Education Program David L. Boren Scholarships (2006)

### 12.552

National Security Education\_Fellowships (1998B)  
National Security Education Program David L. Boren Fellowships (2006)  
National Security Education Program David L. Boren Fellowships (2006)

### 12.553

National Flagship Language Program (NFLP) Fellowships (2006)  
National Flagship Language Program Fellowships (2006)

### 12.554

English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (2006)

### 12.555

English for Heritage Language Speakers Scholarships (2006)

### 12.556

Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools (2009)

### 12.557

Invitational Grants for Military-Connected Schools (2009)

### 12.558

Department of Defense Impact Aid (Supplement, CWSD, BRAC) (2009)

### 12.600

Community Economic Adjustment Program (1965B)  
Community Economic Adjustment (1969B)  
Deleted (2007)

### 12.601

Procurement in Labor Surplus Areas (1965B)  
Military Procurement from Labor Surplus Areas (1967B)  
Contracting With Labor Surplus Area Concerns Program (1970B)  
Contracting with Labor Surplus Area Concerns (1971B)  
Archived (1973U)

### 12.602

Small Business Prime Contracting (1970B)  
Archived (1973U)

### 12.603

Small Business Subcontracting Program (1970B)  
Small Business Subcontracting (1971B)  
Archived (1973U)

### 12.605

Small Business Subcontracting (1973B)  
Archived (1973U)

### 12.606

Selected Reserve Educational Assistance Program (1980U1)  
Archived (1985U)

### 12.607

Military Base Reuse Studies and Community Planning Assistance (1985B)  
Community Economic Adjustment Planning Assistance (1994B)  
COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION (2007)

### 12.608

Impact Assistance for Areas Affected by the East Coast Trident Program (1985B)  
Archived (1994B)

### 12.609

Selected Reserve Educational Assistance Program (1985U)  
Archived (1994B)

### 12.610

Joint Military/Community Comprehensive Land Use Plans (1989B)  
Joint Land Use Studies (1991U)  
Community Economic Adjustment Planning Assistance for Joint Land Use Studies (2004)

### 12.611

Community Planning Assistance for Defense Industry Adjustments (1992B)  
Community Economic Adjustment Planning Assistance Reduction in Defense Industry Employment (1994B)

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| <b>12.612</b><br>Community Base Reuse Plans (1994B)  | Chronic Diseases and Health Problems of the Aged (1965B)<br>Archived (1969B)  | Education and Training Facilities to Obtain Employment in Appalachian Region (1965B)<br>Archived (1969B)   |
| <b>12.613</b><br>Growth Management Planning Assistance (1994B)   | Community Health Services for Chronically Ill and Aged (1965B)<br>Archived (1969B)  | Education of Children of Low_Income Families (1965B)<br>Improving Education of Educationally Deprived Children (1967B)<br>Educationally Deprived Children (1969B)<br>Split into 13.427, 13.428, 13.429, 13.430, 13.431 (1970B) |
| <b>12.614</b><br>Community Economic Adjustment Assistance for Advance Planning (2005)<br>COMMUNITY ECONOMIC ADJUSTMENT DIVERSIFICATION PLANNING (2007) | Community Immunization Program (1967B)<br>Archived (1969B)  | Educational Assistance for Federally Affected Areas (1965B)<br>Archived (1967B)  |
| <b>12.615</b><br>RESEARCH AND TECHNICAL ASSISTANCE (2008)  | Comprehensive Planning for Vocational Rehabilitation Services (1967B)<br>Archived (1969B)   | Environmental Engineering and Food Protection (1965B)<br>Archived (1967B)  |
| <b>12.630</b><br>Basic, Applied, and Advanced Research in Science and Engineering (1994U)  | Construction of Sewage Treatment Works in Appalachia (1965B)<br>Archived (1967B)  | Equipment to Improve Undergraduate Instruction (1965B)<br>Archived (1967B)   |
| <b>12.640</b><br>Integrated Helicopter Design Tools (1998B)  | Consumer Education (1967B)<br>Archived (1969B)  | Environmental Sanitation (1967B)<br>Split into 13.328, 13.329 (1970B)  |
| <b>12.700</b><br>Donations/Loans of DOD Surplus Property (1971B)<br>Donations/Loans of Obsolete DOD Property (1981U)                                   | Comprehensive State Health Planning (1967B)<br>Comprehensive Health Planning_Grants to States (1969B)<br>Archived (1970B)                     | Faculty Development Programs (1965B)<br>Faculty Development Programs in Educational Media (1967B)<br>Archived (1969B)  |
| <b>12.800</b><br>Air Force Defense Research Sciences Program (1994B)   | Consumer Health Protection (1967B)<br>Archived (1969B)  | Federal Credit Unions_Loans and Thrift and Financial Counseling (1965B)<br>Federal Credit Union Charter, Examination and Supervision (1969B)<br>Transferred to 44.001 (1970B)  |
| <b>12.900</b><br>Language Grant Program (1992U)  | Cooperative Research Program (1965B)<br>Archived (1969B)  | Federal, State, and Private Programs of Low Interest Loans to Students in Institutions of Higher Education (1965B)<br>Archived (1967B)   |
| <b>12.901</b><br>Mathematical Sciences Grants Program (1992U)  | Correctional Rehabilitation Study Program (1965B)<br>Archived (1969B)   | Fellowships for Teachers (1965B)<br>Archived (1967B)   |
| <b>12.902</b><br>Information Security Grant Program (1995U)  | Counseling and Guidance Institutes (1967B)<br>Archived (1969B)  | Full Utilization of Educational Talent (1967B)<br>Archived (1969B)   |
| <b>12.910</b><br>Research and Technology Development (1992B)   | Dental Care for the Chronically Ill, Aged, and Mentally Retarded (1965B)<br>Dental Health Programs in Communities (1967B)<br>Archived (1969B) | Grants for Improving State Hospitals for the Mentally Retarded (1967B)<br>Archived (1969B)   |
| <b>12.911</b><br>Defense Technology Conversion, Reinvestment, and Transition Assistance (1994B)<br>Archived (2002B)                                    | Comprehensive Health Planning (1967B)<br>Archived (1969B)   | Grants for Community Health Practice and Research (1965B)<br>Grants for Public Health Practice and Research (1967B)<br>Archived (1969B)  |
| <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b><br>Arts and Humanities Institutes (1967B)<br>Archived (1969B)   | Development and Expansion of Community Mental Health Programs (1965B)<br>Archived (1969B)   | Grants to State Educational Agencies to Improve Statistical Services (1967B)   |
| Assistance for Public Schools Affected by Major Disasters (1965B)<br>Disaster Assistance for Public Schools (1967B)<br>Archived (1969B)                | Disaster Relief for Public Institutions of Higher Education (1967B)<br>Archived (1969B)   |  |
|  | Drug Abuse Control (1967B)<br>Archived (1969B)  |  |
|  | Educational Advisory Services and Data (1965B)<br>Archived (1969B)  |  |

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|---|---|--|
| Archived (1969B)  | Medical Assistance to the Aged_Kerr-Mills Program (1965B)<br>Archived (1970B)   | Refugee Assistance (1965B)<br>Cuban Refugee Program (1967B)<br>Split into 13.725, 13.726, 13.727 (1970B)   |
| Handicapped Children_Assistance to State Schools (1969B)<br>Incorporated into Handicapped Preschool, School Programs (1970B)  | Medical Library Assistance (1965B)<br>Split into 13.348, 13.349, 13.350, 13.351, 13.352, 13.353 (1970B)   | Research and Demonstration Projects_Social Welfare and Social Security (1965B)<br>Archived (1967B)   |
| Handicapped Children and Youth Research and Demonstration (1967B)<br>Archived (1969B)   | Mental Health Centers in Communities (1965B)<br>Archived (1969B)  | Research Training (1967B)<br>Archived (1969B)  |
| Health Facilities For Appalachian Regional Development (1965B)<br>Appalachia Regional Development_Demonstration Health Facilities (1967B)<br>Archived (1969B)                     | Mental Health_Research and Training (1965B)<br>Split into 13.242, 13.244 (1970B)  | Science Youth Activities (1967B)<br>Archived (1969B)   |
| Health Professions Educational Assistance (1965B)<br>Health Manpower Education and Utilization_Institutional Support (1969B)<br>Split into 13.339, 13.340, 13.341, 13.342 (1970B) | Mental Retardation (1967B)<br>Archived (1969B)  | Social Security_Old Age, Survivors, and Disability Insurance (1965B)<br>Social Security_Retirement and Survivors Insurance (1967B)<br>Incorporated into 13.802, 13.803, 13.805 (1969B) |
| Health Referral Services for Armed Forces Medical Rejectees (1965B)<br>Archived (1969B)   | Mental Retardation_Research Centers (1965B)<br>Archived (1967B)   | Strengthening Instruction in the Humanities and the Arts (1967B)<br>Archived (1970B)   |
| Health Research Facilities Construction (1967B)<br>Health Research Facilities and Resources_Construction (1969B)<br>Archived (1969B)  | Mental Retardation_University Affiliated Clinical Facilities (1965B)<br>Archived (1969B)  | Strengthening State Departments of Education (1967B)<br>Split into 13.485, 13.486 (1970B)  |
| Injury Control (1967B)<br>Archived (1969B)  | Narcotic Drug Problems (1965B)<br>Archived (1969B)  | Teaching Materials for the Blind (1965B)<br>Educational Materials for the Blind (1969B)<br>Archived (1970B)  |
| Institutes for Advanced Study (1967B)<br>Archived (1969B)   | National Technical Institute for the Deaf (1965B)<br>Archived (1970B)   | Training of Professional Personnel for Care of Crippled Children (1967B)<br>Archived (1969B)   |
| Institutes for Teachers of Disadvantaged Youth_National Program (1965B)<br>Archived (1969B)   | National Vocational Student Loan Insurance (1965B)<br>Archived (1969B)  | Treatment of Narcotic Addicts (1965B)<br>Narcotic Addict_Clinical Centers (1969B)<br>Archived (1970B)  |
| Institutional Assistance Grant Program (1967B)<br>Archived (1969B)  | New Media Research (1967B)<br>Archived (1969B)  | Tuberculosis Special Project Grants (1967B)<br>Archived (1968)   |
| Instructional Equipment Program (1967B)<br>Archived (1969B)   | Project Support for Handicapped Individuals (1967B)<br>Archived (1970B)   | Veneral Disease Project Grants (1967B)<br>Archived (1968)  |
| Intensive Community Immunization Program (1965B)<br>Archived (1967B)  | Projects for Health Care and Services for School and Preschool Children (1967B)<br>Health of School and Preschool Children Projects (1969B)<br>Archived (1970B)   | Vocational Education in Specified Occupational Areas (1965B)<br>Archived (1967B)   |
| Juvenile Delinquency and Youth Offences Prevention and Control (1965B)<br>Juvenile Delinquency Prevention and Control (1969B)<br>Split into 13.711, 13.712, 13.713 (1970B)        | Prospective Teacher Fellowship Program (1967B)<br>Archived (1969B)  | Vocational Rehabilitation Research and Demonstration Grant Program (1967B)<br>Archived (1969B)   |
| Low Interest Loans to Students in Institutions of Higher Education (1967B)<br>Archived (1969B)  | Public Health Training for American Indians (1965B)<br>Public Health Training_Traineeships (1965B)<br>Archived (1969B)  | Vocational Rehabilitation Services to Blind Persons (1967B)<br>Archived (1970B)  |
|   | Real Property for Educational and Public Health Use (1965B)<br>Surplus Property for Educational and Public Health Uses (1967B)<br>Surplus Property Utilization (1969B)<br>Transferred to 39.002 (1970B) | Vocational Student Loan Insurance (1967B)<br>Archived (1969B)  |



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|---|---|--|
| Water Pollution Control Programs (1965B)<br>Archived (1967B)  | Archived (1970B)  | (1969B)<br>Archived (1970B)  |
| Work Experience Program (1965B)<br>Archived (1969B)   | Food and Drug_Voluntary Compliance (1969B)<br>Consolidated into 13.100 (1970B)  | Rehabilitation Research and Demonstrations (1969B)<br>Archived (1970B)   |
| Work Study Grants (1967B)<br>Archived (1969B)   | Milk and Food_Consumer Protection (1969B)<br>Archived (1970B)   | Rehabilitation Research and Training Centers (1969B)<br>Archived (1970B)   |
| Education of Handicapped and Deaf_Blind Children (1969B)<br>Consolidated into Educationally Deprived Children_Handicapped (1970B) | Health Facilities Consultation and Technical Assistance (1969B)<br>Archived (1970B)   | Vocational Rehabilitation Facilities and Workshops (1969B)<br>Archived (1970B)   |
| Educational Research, Surveys, Demonstrations, and Dissemination (1969B)<br>Archived (1970B)                                      | Narcotic and Drug Abuse_Research and Training (1969B)<br>Archived (1970B)   | Vocational Rehabilitation Services to Blind Persons (1969B)<br>Archived (1970B)  |
| Educational Research Facilities (1969B)<br>Archived (1970B)   | Patient Care and Special Health Services (1969B)<br>Archived (1970B)  | Vocational Rehabilitation Training (1969B)<br>Archived (1970B)   |
| Higher Education Equipment (1969B)<br>Archived (1970B)  | Alcoholism Prevention and Control (1969B)<br>Archived (1970B)   | Deaf-Blind Youth and Adults (1969B)<br>Archived (1970B)  |
| Regional Educational Research (1969B)<br>Archived (1970B)   | Applied Research and Training_Clinical Center (1969B)<br>Archived (1970B)   | Mental Retardation_Initial Staffing of Community Facilities (1969B)<br>Archived (1970B)  |
| International Organizations Recruitment (1969B)<br>Archived (1970B)   | Health Education Facilities Construction (1969B)<br>Archived (1970B)  | Rehabilitation Services Expansion (1969B)<br>Archived (1970B)  |
| Comparative Education Services (1969B)<br>Archived (1970B)  | Health Research_Cerebrovascular Traineeships (1969B)<br>Archived (1970B)  | Social Statistics (1969B)<br>Archived (1970B)  |
| Mental Retardation_Information and Coordination (1969B)<br>Archived (1970B)   | Health Research Facilities and Resources_General Clinical Research Centers (1969B)<br>Archived (1970B)  | <b>13.001</b><br>Air Pollution Program (1965B)<br>Air Pollution Control (1967B)<br>The program was split into the following programs: (1969B)<br>Air Pollution_Control, Technical Assistance, and Information (1969B)<br>Air Pollution_Interstate Abatement and Motor Vehicle Emission Standards (1969B)<br>Air Pollution_Research, Development, and Survey (1969B)<br>Air Pollution_Training and Fellowships (1969B)<br>Air Pollution Control Program Grants (1970B)<br>Transferred to 66.001 (1971B) |
| Gallaudet College (1969B)<br>Archived (1970B)   | Health Research Facilities and Resources_General Research Support (1969B)<br>Archived (1970B)   | <b>13.002</b><br>Air Pollution Fellowships (1970B)<br>Transferred to 66.002 (1971B)  |
| Howard University (1969B)<br>Archived (1970B)   | Health Research Facilities and Resources_Special Research Resources (1969B)<br>Archived (1970B)   | <b>13.003</b><br>Air Pollution Manpower Training Grants (1970B)<br>Transferred to 66.003 (1971B)   |
| Model Secondary School for the Deaf (1969B)<br>Archived (1970B)   | Health Research_Fellowships (1969B)<br>Archived (1970B)   | <b>13.004</b><br>Air Pollution Research Grants (1970B)   |
| Public Broadcasting Corporation (1969B)<br>Archived (1970B)   | Health Research_Project Grants (1969B)<br>Archived (1970B)  |  |
| Food and Drug_Advisory Opinions Survey (1969B)<br>Consolidated into 13.100 (1970B)  | Health Research_Training Grants (1969B)<br>Archived (1970B)   |  |
| Food and Drug_Consumer Education (1965B)<br>Archived (1970B)  | Services for Older Americans (1965B)<br>Aging_Community Planning, Services and Training (1969B)<br>Aging_Training (1969B)<br>Incorporated into 13.700, 13.701, 13.702 (1970B) |  |
| Food and Drug_Regulatory Activities (1969B)<br>Archived (1970B)   |   |  |
| Food and Drug_Training for State and Local Officials (1969B)  | Medical Assistance to Public Assistance Recipients  |  |

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Transferred to 66.004 (1971B)

### 13.005

Air Pollution Survey and Demonstration Grants (1970B)

Transferred to 66.005 (1971B)

### 13.006

Housing and Urban Environmental Health (1969B)

Community Environmental Management

Fellowships (1970B)

Archived (1971B)

### 13.007

Community Environmental Management Research Grants (1970B)

Archived (1971B)

### 13.008

Community Environmental Management Training

Grants (1970B)

Archived (1971B)

### 13.009

Environmental Control Training Institute\_Direct Training (1970B)

Archived (1971B)

### 13.010

Occupational Health (1967B)

Occupational Health Research Grants (1970B)

Number changed to 13.262 (1972B)

### 13.011

Occupational Health Training Grants (1970B)

Number changed to 13.263 (1972B)

### 13.012

Radiological Health (1967B)

Radiological Health Research Grants (1970B)

Split into 13.012, 13.013 (1970B)

Transferred to 66.200 (1971B)

### 13.013

Radiological Health Training Grants (1970B)

Transferred to 66.201 (1971B)

### 13.014

Solid Wastes Demonstration Grants (1970B)

Transferred to 66.300 (1971B)

### 13.015

Solid Wastes Planning Grants (1970B)

Transferred to 66.301 (1971B)

### 13.016

Solid Waste Program (1967B)

Solid Wastes\_Financial Assistance (1969B)

Solid Wastes Research Grants (1970B)

Transferred to 66.302 (1971B)

### 13.017

Solid Wastes\_Technical Assistance and Training (1969B)

Solid Wastes Training Grants (1970B)

Transferred to 66.303 (1971B)

### 13.018

Water Hygiene (1969B)

Water Hygiene Research Grants (1970B)

Split into 13.018, 13.019 (1970B)

Transferred to 66.414 (1971B)

### 13.019

Water Hygiene Training Grants (1970B)

Archived (1971B)

### 13.100

Food and Drug\_Consumer Protection Research (1969B)

Food and Drug Research Projects Grants (1970B)

Incorporated/Split into 13.101, 13.103 (1971B)

### 13.101

Food and Drug Research\_Product Safety Research Grants (1970U)

Product Safety Research Grants (1971B)

Archived (1973B)

### 13.102

Food and Drug Research\_Pesticides Research Grants (1970U)

Transferred to 66.100 (1971B)

### 13.103

Food Research Grants (1971B)

Split from 13.100 (1971B)

Food and Drug Administration\_Research Grants (1974B)

Food and Drug Administration\_Research (1977U)

Number changed to 93.103 (1990U)

### 13.104

Food Research Training Grants (1971B)

Archived (1973B)

Reinstated (1973U)

Archived (1975U)

### 13.105

Radiological Health Research Grants (1971U)

Incorporated into 13.103 (1974B)

### 13.106

Radiological Health Training Grants (1971U)

Archived (1973B)

Reinstated (1973U)

Archived (1975U)

### 13.108

Health Education Assistance Loans (1981B)

Transferred from 84.090 (1981B)

Number changed to 93.108 (1990U)

### 13.110

Maternal and Child Health Federal Consolidated Programs (1982B)

Number changed to 93.110 (1990U)

### 13.111

Adolescent Family Life Research Grants (1982B)

Number changed to 93.111 (1990U)

### 13.112

Characterization of Environmental Health Hazards (1983B)

Split from 13.892, 13.893 (1983B)

Number changed to 93.112 (1990U)

### 13.113

Biological Response to Environmental Health Hazards (1983B)

Split from 13.892, 13.893 (1983B)

Number changed to 93.113 (1990U)

### 13.114

Applied Toxicological Research and Testing (1983B)

Split from 13.892, 13.893 (1983B)

Number changed to 93.114 (1990U)

### 13.115

Biometry and Risk Estimation (1983B)

Split from 13.892, 13.893 (1983B)

Biometry and Risk Estimation\_Health Risks from Environmental Exposures (1985B)

Number changed to 93.115 (1990U)

### 13.116

Project Grants and Cooperative Agreements for Tuberculosis Control Programs (1983B)

Number changed to 93.116 (1990U)

### 13.117

Grants for Preventive Medicine Residency Training (1983B)

Number changed to 93.117 (1990U)

### 13.118

Acquired Immunodeficiency Syndrome (AIDS) Activity (1983U)

Number changed to 93.118 (1990U)

### 13.119

Grants for Podiatric Medicine Training (1984B)

Incorporated into 13.199 (1990B)

### 13.120

Mental Health Services for Cuban Entrants (1984B)

Number changed to 93.120 (1990U)

### 13.121

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Diseases of the Teeth and Supporting Tissues (1984B)

Consolidated from 13.840, 13.841, 13.843, 13.878 (1984B)

Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry (1985B)

Number changed to 93.121 (1990U)

### 13.122

Disorders of Structure, Function, and Behavior (1984B)

Consolidated from 13.842, 13.844 (1984B)

Disorders of Craniofacial Structure Function, and Behavioral Aspects of Dentistry (1985B)

Consolidated into 93.121 (1990U)

### 13.123

Health Professions Pregraduate Scholarship Program for Indians (1984U)

Number changed to 93.123 (1990U)

### 13.124

Nurse Anesthetist Traineeships (1985B)

Number changed to 93.124 (1990U)

### 13.125

Mental Health Planning and Demonstration Projects (1985B)

Number changed to 93.125 (1990U)

### 13.126

Small Business Innovation Research (1985B)

Number changed to 93.126 (1990U)

### 13.127

Emergency Medical Services for Children (1985U)

Archived (1988B)

Reinstated (1989B)

Number changed to 93.127 (1990U)

### 13.128

Refugee Assistance\_Mental Health (1985U)

Archived (1989B)

### 13.129

Technical and Non-Financial Assistance to Community Health Centers (1985U)

Number changed to 93.129 (1990U)

### 13.130

Primary Care Services Planning and Development Cooperative Agreements (1985U)

Number changed to 93.130 (1990U)

### 13.131

Shared Research Facilities for Heart, Lung, and Blood Diseases (1985U)

Archived (1988B)

### 13.132

Acquired Immune Deficiency Syndrome (AIDS) Research (1986B)

Acquired Immunodeficiency Syndrome (AIDS) Research (1988B)

Incorporated into 13.821 (1989B)

### 13.133

Health Services Delivery to AIDS

Victims\_Demonstration Grants (1986B)

Health Services Delivery to Persons with AIDS\_Demonstration Grants (1988B)

Number changed to 93.133 (1990U)

### 13.134

Assistance for Organ Procurement Organizations (1986B)

Number changed to 93.134 (1990U)

### 13.135

Centers for Research and Demonstration of Health Promotion and Disease Prevention (1986U)

Centers for Research and Demonstration for Health Promotion and Disease Prevention (1987B)

Number changed to 93.135 (1990U)

### 13.136

Research and Demonstration Projects, Injury Prevention Research Centers, and Incentive Grants for Intervention Projects (1986U)

Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects (1989B)

Number changed to 93.136 (1990U)

### 13.137

Minority Community Health Coalition Demonstration (1986U)

Number changed to 93.137 (1990U)

### 13.138

Protection and Advocacy for Mentally Ill Individuals (1986U)

Number changed to 93.138 (1990U)

### 13.139

Financial Assistance for Disadvantaged Health Professions Students (FADHPS) (1986U)

Number changed to 93.139 (1990U)

### 13.140

Intramural Research Training Award (1987B)

Number changed to 93.140 (1990U)

### 13.141

Alcohol, Drug Abuse Treatment and Rehabilitation Block Grant (1987B)

Archived (1989B)

### 13.142

NIEHS Hazardous Waste Worker Health and

Safety Training (1987B)

Number changed to 93.142 (1990U)

### 13.143

NIEHS Superfund Hazardous Substances\_Basic Research and Education (1987B)

Number changed to 93.143 (1990U)

### 13.144

Drug and Alcohol Abuse\_High-Risk Youth Demonstration Grants (1987B)

Drug and Alcohol Abuse Prevention\_High-Risk Youth Demonstration Grants (1989B)

Number changed to 93.144 (1990U)

### 13.145

AIDS Education and Training Centers (1987U)

Number changed to 93.145 (1990U)

### 13.146

AIDS Drug Reimbursements (1987U)

Temporary AIDS Drug Reimbursements (1990B)

Number changed to 93.146 (1990U)

### 13.147

Post-Baccalaureate Faculty Fellowships (1987U)

Number changed to 93.147 (1990U)

### 13.148

Leadership and Excellence in Alzheimer's Disease and Related Dementias (1987U)

Incorporated into 13.866 (1989B)

### 13.149

Grants for Two-Year Programs of Schools of Medicine or Osteopathy (1987U)

Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine (1990B)

Number changed to 93.149 (1990U)

### 13.150

Community Health Services Block Grant for the Homeless (1987U)

Mental Health Services for the Homeless Block Grant (1988B)

Number changed to 93.150 (1990U)

### 13.151

Project Grants for Health Services to the Homeless (1987U)

Number changed to 93.151 (1990U)

### 13.152

Community Demonstration Grant Projects for Alcohol and Drug Abuse Treatment of Homeless Individuals (1987U)

Number changed to 93.152 (1990U)

### 13.153

Pediatric AIDS Health Care Demonstration Program (1988B)

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Number changed to 93.153 (1990U)

### 13.154

Special International Postdoctoral Research Program in Acquired Immunodeficiency Syndrome (1988B)

Number changed to 93.154 (1990U)

### 13.155

Rural Health Policy/Research Centers (1988B)

Rural Health Research Centers (1988U)

Number changed to 93.155 (1990U)

### 13.156

Grants for Faculty Training Projects in Geriatric Medicine and Dentistry (1988B)

Number changed to 93.156 (1990U)

### 13.157

Excellence in Minority Health Education and Care (1988B)

Number changed to 93.157 (1990U)

### 13.158

State Comprehensive Mental Health Service Planning Development Grants (1988B)

Archived (1990B)

### 13.159

Health Care Services in the Home (1988U)

Number changed to 93.159 (1990U)

### 13.160

Minority AIDS Education/Prevention Grants (1988U)

Number changed to 93.160 (1990U)

### 13.161

Health Program for Toxic Substances and Disease Registry (1988U)

Number changed to 93.161 (1990U)

### 13.162

National Health Service Corps Loan Repayment (1988U)

Number changed to 93.162 (1990U)

### 13.163

Health Services in the Pacific Basin (1988U)

Number changed to 93.163 (1990U)

### 13.164

Indian Health Service Educational Loan Repayment (1988U)

Number changed to 93.164 (1990U)

### 13.165

Grants for State Loan Repayment (1988U)

Number changed to 93.165 (1990U)

### 13.166

Indian Health Service Health Promotion and Disease Prevention Demonstration Projects (1988U)

Number changed to 93.166 (1990U)

### 13.167

Research Facilities Improvement (1988U)

Number changed to 93.167 (1990U)

### 13.168

Human Immunodeficiency Virus (HIV) Services Planning Program Grants (1989B)

Archived (1990B)

### 13.169

Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) (1989B)

Number changed to 93.169 (1990U)

### 13.170

Community Youth Activity Demonstration Grants (1989B)

Number changed to 93.170 (1990U)

### 13.171

Community Youth Activity Block Grants (1989B)

Number changed to 93.171 (1990U)

### 13.172

Human Genome Research (1989B)

Split from 13.862 (1989B)

Number changed to 93.172 (1990U)

### 13.173

Biological Research Related to Deafness and Communicative Disorders

Consolidated from 13.853, 13.854 (1989B)

Number changed to 93.173 (1990U)

### 13.174

Conference Grant (Substance Abuse) (1989B)

Number changed to 93.174 (1990U)

### 13.175

Drug Abuse Treatment Waiting List Reduction Grants (1989B)

Number changed to 93.175 (1990U)

### 13.176

ADAMHA Small Instrumentation Program Grants (1989B)

Number changed to 93.176 (1990U)

### 13.177

Integrated Community-Based Primary Care and Drug Abuse Treatment Services (1989U)

Number changed to 93.177 (1990U)

### 13.178

Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds (1989U)

Number changed to 93.178 (1990U)

### 13.179

State Data Collection\_Uniform Alcohol and Drug Abuse Data (1989U)

Number changed to 93.179 (1990U)

### 13.180

Medical Treatment Effectiveness Research (1989U)

Number changed to 93.180 (1990U)

### 13.181

Podiatric Primary Care Residency Training (1989U)

Number changed to 93.181 (1990U)

### 13.182

Scholarships for the Undergraduate Education of Professional Nurses (1989U)

Number changed to 93.182 (1990U)

### 13.183

Federal Assistance for Rural Hospitals for the Advancement and Improvement of Health Care Services and the Enhancement of Quality Care (1989U)

Number changed to 93.183 (1990U)

### 13.184

Disabilities Prevention (1989U)

Number changed to 93.184 (1990U)

### 13.185

Immunization Research, Demonstration, Public Information and Education\_Education, Training, and Clinical Skills Improvement Projects (1989U)

Number changed to 93.185 (1990U)

### 13.186

National Research Services Awards (1989U)

Number changed to 93.186 (1990U)

### 13.187

Research Program on Generic Issues Related to Health Assessments (1990B)

Archived (1990U)

### 13.188

Special Project Grants to Schools of Public Health (1990B)

Number changed to 93.188 (1990U)

### 13.189

Health Education and Training Centers (1990B)

Number changed to 93.189 (1990U)

### 13.190

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Model Education Projects for Health Professions (1990B)

Number changed to 93.190 (1990U)

### 13.191

Allied Health Project Grants (1990B)

Number changed to 93.191 (1990U)

### 13.192

Interdisciplinary Training for Health Care for Rural Areas (1990B)

Number changed to 93.192 (1990U)

### 13.193

Urban Indian Alcohol and Substance Abuse Prevention, Treatment, Rehabilitation and Education (1990B)

Number changed to 93.193 (1990U)

### 13.194

Community Partnership Demonstration Grant (1990B)

Number changed to 93.194 (1990U)

### 13.195

Disaster Relief Assistance Grants for Drug Abuse Treatment (1990B)

Number changed to 93.195 (1990U)

### 13.196

Cooperative Agreements for Drug Abuse Treatment Improvement Projects in Target Cities (1990B)

Number changed to 93.196 (1990U)

### 13.197

Childhood Lead Poisoning Prevention Projects\_State and Community-Based Childhood Lead Poisoning Prevention (1990B)

Number changed to 93.197 (1990U)

### 13.198

Biological Models and Materials Resources (1990B)

Number changed to 93.198 (1990U)

### 13.199

HIV Home and Community-Based Health Services (1990B)

Number changed to 93.199 (1990U)

### 13.200

Communicable Diseases Protection (1969B)

Communicable Disease Prevention and Control\_Consultation and Technical Assistance (1970B)

Split into 13.200, 13.201, 13.202, 13.203 (1970B)

Disease Control\_Consultation and Technical Assistance (1972B)

Consolidated into 13.283 (1974B)

### 13.201

Communicable Diseases\_Laboratory Improvement (1970B)

Disease Control\_Laboratory Improvement (1972B)

Archived (1973B)

### 13.202

Communicable Diseases\_Research Grants (1970B)

Disease Control\_Research Grants (1971B)

Archived (1973B)

### 13.203

Communicable Diseases\_Training Public Health Workers (1970B)

Disease Control\_Training Public Health Workers (1971B)

Archived (1973B)

### 13.204

Communicable Diseases Services and Control (1969B)

Communicable Diseases\_Tuberculosis Control (1970B)

Split into 13.204, 13.205 (1970B)

Disease Control\_Tuberculosis (1972B)

Consolidated into 13.283 (1974B)

### 13.205

Communicable Diseases\_Venereal Disease Control (1970B)

Disease Control\_Venereal Disease (1972B)

Consolidated into 13.283 (1974B)

### 13.206

Areawide Comprehensive Health Planning Projects (1967B)

Comprehensive Health Planning\_Areawide Grants (1970B)

Archived (1975B)

### 13.207

Areawide Planning of Health Facilities (1967B)

Comprehensive Health Planning\_Grants to States (1970B)

Archived (1975B)

### 13.208

Training, Studies, and Demonstrations in Comprehensive Health Planning (1967B)

Comprehensive Health Planning\_Training, Studies and Demonstrations (1970B)

Archived (1973B)

### 13.209

Comprehensive Health Care (1969B)

Comprehensive Health Services\_Standard Setting and Resource Development (1970B)

Incorporated into 13.206, 13.207, 13.208, 13.210, 13.224 (1971B)

### 13.210

Comprehensive Public Health Services (1967B)

Public Health Comprehensive Services\_Grants (1969B)

Comprehensive Public Health Services\_Formula Grants (1970B)

Health Incentive Grants for Comprehensive Public Health Services (1979U2)

Consolidated into 13.991 (1982B)

### 13.211

Crippled Children's Services (1965B)

Services for Crippled Children (1967B)

Consolidated into 13.994 (1982B)

### 13.212

Dental Health of Children (1970B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.232 (1974U)

### 13.213

Emergency Health\_Civil Defense Medical Self\_Help (1970B)

Archived (1973B)

### 13.214

Emergency Health Activities (1969B)

Emergency Health\_Community Preparedness (1970B)

Archived (1973B)

### 13.215

Manpower Development and Training\_Classroom Instruction (1969B)

Emergency Health\_Hospital and Ambulance Services (1970B)

Incorporated into 13.214 (1972B)

### 13.216

Emergency Health\_Medical Stockpile (1970B)

Archived (1973B)

### 13.217

Family Planning Projects (1970B)

Incorporated into 13.232 (1974U)

Reinstated/Split from 13.232 (1975B)

Family Planning\_Services (1983U)

Number changed to 93.217 (1990U)

### 13.218

Health of School and Preschool Children Projects (1969B)

Health Care of Children and Youth\_Special Projects (1970B)

Health Care of Children and Youth (1971B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.232 (1974U)

### 13.219

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Hospital and Medical Facilities Construction (1965B)

Health Facilities Construction (1969B)

Specialized Clinical Equipment in Hospitals (1969B)

Health Facilities Construction\_Diagnostic and Treatment Centers (1970B)

Split into 13.219, 13.220, 13.221, 13.222 (1970B)

Incorporated into 13.220 (1971B)

## 13.220

Health Facilities Construction\_Hospitals and Public Health Centers (1970B)

Health Facilities Construction\_Grants (1971B)

Archived (1975B)

Reinstated (1977U)

Medical Facilities Construction\_Formula Grants (1977U)

Incorporated into 13.887 (1979U1)

## 13.221

Health Facilities Construction\_Long-Term Care Facilities (1970B)

Incorporated into 13.220 (1971B)

## 13.222

Health Facilities Construction\_Rehabilitation Facilities (1970B)

Incorporated into 13.220 (1971B)

## 13.223

Community Health Planning (1965B)

Health Facilities Consultation and Technical Assistance (1969B)

Health Facilities Construction\_Technical Assistance (1970B)

Archived (1975B)

## 13.224

Health Services Development Projects (1967B)

Health Services Development (1969B)

Health Services Development\_Project Grants (1970B)

Split into 13.224, 13.267 (1972B)

Community Health Centers (1976U)

Number changed to 93.224 (1990U)

## 13.225

Health Services Research and Development (1969B)

Health Services Research and

Development\_Fellowships and Training (1970B)

Archived (1973B)

Reinstated (1973U)

Archived (1975U)

National Research Service Awards\_Health Services Research Training, Reinstated (1986B)

Number changed to 93.225 (1990U)

## 13.226

Health Services Research and Development\_Grants and Contracts (1970B)

Health Services Research and Development\_Grants to State Agencies (1980B)

Health Services Research and Development Grants (1980U1)

Number changed to 93.226 (1990U)

## 13.227

Health Statistics (1965B)

Health Statistics Analysis and Technical Assistance (1970B)

Health Statistics Training and Technical Assistance (1971B)

Archived (1981B)

## 13.228

Indian Health Activities (1969B)

Indian Health Services (1970B)

Indian Health Services\_Health Management

Development Program (1977B)

Number changed to 93.228 (1990U)

## 13.229

Health Services and Facilities for American Indians (1965B)

Sanitation Facilities for American Indians (1967B)

Indian Health Facilities Construction (1969B)

Indian Sanitation Facilities (1970B)

Indian Health Services\_Sanitation Management

Development Program (1977B)

Archived (1981U)

## 13.230

Intensive Infant Care Projects (1970B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.232 (1974U)

## 13.231

Research Relating to Maternal and Children Health and Crippled Children's Services (1965B)

Maternal and Child Health and Crippled Children's

Research Projects (1969B)

Maternal and Child Health Research (1970B)

Consolidated into 13.994 (1982B)

## 13.232

Maternal and Child Health Services (1965B)

Maternal and Child Health Services Improvement (1969B)

Maternal and Child Health Services (1970B)

Consolidated into 13.994 (1982B)

## 13.233

Health Care and Related Services for Mothers and Children\_Training (1969B)

Maternal and Child Health Training (1970B)

Consolidated into 13.994 (1982B)

## 13.234

Maternity and Infant Care Projects (1967B)

Maternity and Infant Care Support (1969B)

Maternity and Infant Care Projects (1970B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.232 (1974U)

## 13.235

Narcotic Addiction Rehabilitation Facilities (1969B)

Mental Health\_Community Assistance Grants for Narcotic Addiction (1970B)

Mental Health\_Community Assistance Grants for Narcotic Addiction and Drug Abuse (1971B)

Drug Abuse Community Service Programs (1974B)

Split into 13.235, 13.275 (1974B)

Archived (1982B)

## 13.236

Mental Retardation\_Community Facilities Construction (1965B)

Community Mental Health Support\_Construction and Staffing Mental Health Centers (1969B)

Mental Health\_Construction of Community Mental Health Centers (1970B)

Incorporated into 13.220 (1971B)

## 13.237

Mental Health\_State Hospital Improvement (1969B)

Mental Health\_Hospital Improvement Grants (1970B)

Archived (1979U2)

## 13.238

Mental Health\_Hospital Staff Development Grants (1970B)

Archived (1979U2)

## 13.239

Narcotic Addict\_Clinical Centers (1969B)

Mental Health\_Narcotic Addict Treatment (1970B)

Incorporated into Mental Health\_Narcotic Addict Treatment Program (1970B)

Narcotic Addict Rehabilitation Act Contracts (1974B)

Archived (1979B)

## 13.240

Development and Expansion of Community Mental Health Programs (1967B)

Incorporated into Comprehensive Public Health Services\_Formula Grants (the Formula part of the program) (1967B)

Mental Health\_Staffing of Community Mental

Health Centers (1970B)

Incorporated into 13.240 (the Grants portion) (1970B)

Mental Health\_Community Mental Health Centers (1972B)

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Community Mental Health Centers\_Staffing and Construction (1976B)  
Incorporated into 13.252 (Split, construction grants no longer funded; staffing grants ) (1978B)

## 13.241

Mental Health Fellowships (1970B)  
Split into 13.241, 13.271, 13.277, 13.281 (1974B)  
Archived (1976B)

## 13.242

Mental Health Research Grants (1970B)  
Split into 13.242, 13.273, 13.279 (1974B)  
Number changed to 93.242 (1990U)

## 13.243

Mental Health Scientific Communications and Public Education (1970B)  
Alcohol, Drug Abuse, and Mental Health Administration Scientific Communications and Public Education (1974B)  
Archived (1975U)  
Reinstated (1979B)  
Archived (1987B)

## 13.244

Mental Health Training Grants (1970B)  
Split into 13.244, 13.274, 13.280 (1974B)  
Mental Health Clinical or Service Related Training Grants (1977B)  
Number changed to 93.244 (1990U)

## 13.245

Migrant Health\_Technical Assistance (1970B)  
Incorporated into 13.246 (1971B)

## 13.246

Health Service for Agricultural Migratory Workers (1965B)  
Health Services for Migratory Workers (1969B)  
Migrant Health Grants (1970B)  
Migrant Health Centers Grants (1980B)  
Number changed to 93.246 (1990U)

## 13.247

Regional Medical Programs\_Kidney Disease Control (1970B)  
Incorporated into 13.249 (1972B)

## 13.248

Regional Medical Programs\_Nutrition (1970B)  
Center for Disease Control\_Nutrition (1971B)  
Disease Control\_Nutrition (1972B)  
Archived (1973B)

## 13.249

Regional Medical Programs (1965B)  
Heart, Cancer, and Stroke\_Regional Medical Programs (1969B)  
Regional Medical Programs\_Operational and

Planning Grants (1970B)  
Archived (1973B)

## 13.250

Regional Medical Programs\_Smoking and Health (1970B)  
Disease Control\_Smoking and Health (1972B)  
Consolidated into 13.283 (1974B)

## 13.251

Mental Health\_Staffing of Comprehensive Alcoholism Services (1971B)  
Mental Health\_Community Assistance Grants for Comprehensive Alcoholism Services (1972B)  
Alcohol Community Service Programs (1974B)  
Split into 13.252 (1978B)

## 13.252

Mental Health\_Direct Grants for Special Projects (1971B)  
Mental Health\_Direct Grants for Special Projects (Alcoholism) (1971U)  
Alcohol Demonstration Programs (1974B)  
Split into 13.252, 13.274 (1974B)  
Alcohol Treatment and Rehabilitation/Occupational Alcoholism Services Programs (1978B)  
Split into 13.252, 13.898, 13.899 (1978B)  
Archived (1982B)

## 13.253

Health Facilities Construction\_Loans and Loan Guarantees (1971B)  
Archived (1975B)  
Reinstated (1977U)  
Medical Facilities Construction\_Loans and Loan Guarantees (1977U)  
Archived (1980U1)

## 13.254

Mental Health\_Direct Grants for Special Projects (Narcotic Addition and Drug Abuse) (1971U)  
Mental Health\_Direct Grants for Special Projects (1973U)  
Drug Abuse Demonstration Programs (1974B)  
Split into 13.254, 13.280 (1974B)  
Archived (1982B)

## 13.256

Health Maintenance Organization Service (1972B)  
Office for Health Maintenance Organizations (1975B)  
Health Maintenance Organization Development (1976B)  
Health Maintenance Organizations (1979B)  
Archived (1985B)

## 13.257

Mental Health\_Alcohol Formula Grants (1972B)  
Alcohol Formula Grants (1974B)  
Archived (1982B)

## 13.258

National Health Service Corps (1972B)  
Number changed to 93.258 (1990U)

## 13.259

Mental Health\_Children's Services (1972B)  
Incorporated into 13.295 (1979U2)

## 13.260

Family Planning Services\_Training Grants (1972B)  
Family Planning Services\_Training Grants and Contracts (1976U)  
Family Planning Services (1979U1)  
Family Planning\_Personnel Training (1983U)  
Number changed to 93.260 (1990U)

## 13.261

Family Health Centers (1972B)  
Incorporated into 13.224 (1976U)

## 13.262

Occupational Health\_Research Grants (1972B)  
Number changed from 13.010 (1972B)  
Occupational Safety and Health Research Grants (1973B)  
Number changed to 93.262 (1990U)

## 13.263

Occupational Health\_Training Grants (1972B)  
Number changed from 13.011 (1972B)  
Occupational Safety and Health\_Training Grants (1973B)  
Number changed to 93.263 (1990U)

## 13.264

Occupational Health\_Special Fellowships (1972B)  
Archived (1973B)

## 13.265

Occupational Health\_Demonstration Grants (1972B)  
Archived (1973B)

## 13.266

Childhood Lead-Based Paint Poisoning Control (1972B)  
Childhood Lead-Based Paint Poisoning Prevention (1979B)  
Consolidated into 13.994 (1982B)

## 13.267

Urban Rat Control (1972B)  
Split from 13.224 (1972B)  
Consolidated into 13.994 (1982B)

## 13.268

Communicable Disease Control (Section 317, Public Health Service Act) (1972U)  
Disease Control\_Project Grants (1973B)  
Childhood Immunization Grants (1979U1)

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Number changed to 93.268 (1990U)

### 13.269

Mental Health\_Drug Abuse Formula Grants (1973B)  
Drug Abuse Formula Grants (1974B)  
Drug Abuse Prevention Formula Grants (1975B)  
Archived (1982B)

### 13.270

Alcohol Fellowships (1974U)  
Archived (1976B)

### 13.271

Aid for Public School Desegregation (1967B)  
Alcohol Research Development Awards (1974B)  
Split from 13.241 (1974B)  
Alcohol Research Scientist Development and Research Scientist Awards (1978B)  
Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians (1989B)  
Number changed to 93.271 (1990U)

### 13.272

Alcohol Research Manpower Fellowship Programs (1974U)  
Alcohol National Research Service Awards (1975B)  
Alcohol National Research Service Awards for Research Training (1977B)  
Number changed to 93.272 (1990U)

### 13.273

Alcohol Research Programs (1974B)  
Split from 13.242 (1974B)  
Number changed to 93.273 (1990U)

### 13.274

Alcohol Training Programs (1974B)  
Split from 13.244, 13.252 (1974B)  
Alcohol Clinical or Service Related Training Programs (1977B)  
Archived (1983B)  
Alcohol and Drug Abuse Clinical or Service-Related Training (1989B)  
Number changed to 93.274 (1990U)

### 13.275

Drug Abuse Education Programs (1974B)  
Split from 13.235 (1974B)  
Drug Abuse Prevention/Education Programs (1980B)  
Drug Abuse Prevention Programs (1980U2)  
Archived (1982B)

### 13.276

Drug Abuse Fellowships (1974U)  
Archived (1976B)

### 13.277

Drug Abuse Research Development Awards (1974B)  
Split from 13.241 (1974B)  
Drug Abuse Research Scientist Development and Research Scientist Awards (1978B)  
Drug Abuse Scientist Development Award for Clinicians\_Scientist Development Awards and Research Scientist Awards (1989B)  
Number changed to 93.277 (1990U)

### 13.278

Drug Abuse Research Manpower Fellowship Programs (1974B)  
Drug Abuse National Research Service Awards (1975B)  
Drug Abuse National Research Service Awards for Research Training (1977B)  
Number changed to 93.278 (1990U)

### 13.279

Drug Abuse Research Programs (1974B)  
Split from 13.242 (1974B)  
Number changed to 93.279 (1990U)

### 13.280

Drug Abuse Training Programs (1974B)  
Split from 13.244, 13.254 (1974B)  
Drug Abuse Clinical or Service Related Training Programs (1977B)  
Archived (1983B)

### 13.281

Mental Health Research Development Awards (1974B)  
Split from 13.241 (1974B)  
Mental Health Research Scientist Development and Research Scientist Awards (1978B)  
Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians (1989B)  
Number changed to 93.281 (1990U)

### 13.282

Mental Health Research Manpower Fellowship Programs (1974B)  
Mental Health National Research Service Awards (1975B)  
Mental Health National Research Service Awards for Research Training (1977B)  
Number changed to 93.282 (1990U)

### 13.283

Centers for Disease Control\_Investigations, Surveillance and Technical Assistance (1974B)  
Consolidated from 13.200, 13.204, 13.205, 13.250 (1974B)  
Centers for Disease Control\_Investigations and Technical Assistance (1978B)  
Number changed to 93.283 (1990U)

### 13.284

Emergency Medical Services (1974B)  
Consolidated into 13.991 (1982B)

### 13.285

Emergency Medical Services Systems Research (1974B)  
Incorporated into 13.226 (1975B)

### 13.286

Limitation on Federal Participation for Capital Expenditures (1974B)  
Archived (1977B)

### 13.287

Grants for Training in Emergency Medical Services (1974U)  
Archived (1976B)  
Reinstated (1977U)  
Consolidated into 13.994 (1982B)

### 13.288

National Health Service Corps Scholarship Program (1975B)  
Public Health/National Health Service Corps Scholarship Program (1975U)  
National Health Service Corps Scholarship Program (1978B)  
Number changed to 93.288 (1990U)

### 13.289

President's Council on Physical Fitness and Sports (1975B)  
Number changed from 13.616 (1975B)  
Consolidated from 13.615, 13.617, 13.618, 13.619, 13.620, 13.621, 13.622 (1975B)  
Number changed to 93.289 (1990U)

### 13.290

Special Alcoholism Projects to Implement the Uniform Act (1975U)  
Archived (1982B)

### 13.291

Surplus Property Utilization (1986U)  
Number changed from 13.676 (1986U)  
Number changed to 93.291 (1990U)

### 13.292

Sudden Infant Death Syndrome Information and Counseling Program (1975U)  
Archived (1982B)

### 13.293

State Health Planning and Development Agencies (1976B)  
Archived (1987B)

### 13.294

Health Planning\_Health Systems Agencies (1976B)



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Archived (1987B)

### 13.295

Community Mental Health Centers\_Comprehensive Services Support (1976B)

Archived (1982B)

### 13.296

Comprehensive Hemophilia Diagnostic and Treatment Centers (1976U)

Consolidated into 13.994 (1982B)

### 13.297

Nursing Research Service Awards (1977B)

National Research Service Awards (1978B)

Archived (1986U)

### 13.298

Nurse Practitioner Training Programs (1976U)

Nurse Practitioner Training Program and Nurse Practitioner Traineeships (1979B)

Nurse Practitioner and Nurse Midwife Education and Traineeships (1985U)

Number changed to 93.298 (1990U)

### 13.299

Advanced Nurse Training Programs (1976U)

Advanced Nurse Education (1986B)

Number changed to 93.299 (1990U)

### 13.300

Allergy and Infectious Diseases\_Fellowships and Research Career Development Awards (1970B)

Archived (1973B)

### 13.301

Allergy and Infectious Diseases\_Research Grants (1970B)

Split into 13.855, 13.856, 13.857, 13.858 (1974B)

### 13.302

Allergy and Infectious Diseases\_Training Grants (1970B)

Archived (1973B)

### 13.303

Training in the Allied Health Professions (1967B)

Allied Health Professions Advanced Traineeship Grants (1970B)

Allied Health Professions Advanced Traineeship Grants for Advanced Training (1971B)

Allied Health Professions\_Traineeship Grants for Advanced Training (1971U)

Archived (1973B)

### 13.304

Allied Health Professions Basic Improvement Grants (1970B)

Archived (1972B)

### 13.305

Allied Health Professions Developmental Grants (1970B)

Allied Health Professions\_Special Project Grants (1971B)

Archived (1973B)

Reinstated (1973U)

Archived (1978B)

### 13.306

Health Research Facilities and Resources\_Animal Resources (1969B)

Animal Resources (1970B)

Laboratory Animal Sciences and Primate Research (1974B)

Number changed to 93.306 (1990U)

### 13.307

Arthritis and Metabolic Diseases\_Fellowships (1970B)

Archived (1973B)

### 13.308

Arthritis and Metabolic Diseases\_Graduate Training Grants (1970B)

Archived (1973B)

### 13.309

Arthritis and Metabolic Diseases\_Research Grants (1970B)

Arthritis, Metabolism, and Digestive Diseases\_Research Grants (1973U)

Split into 13.846, 13.847, 13.848, 13.849, 13.850 (1974B)

### 13.310

Biomedical Sciences Support Grants (1970B)

Incorporated into 13.337 (1973B)

### 13.311

Cancer\_Clinical Training (1970B)

Archived (1973B)

### 13.312

Cancer\_Research Centers (1970B)

Cancer\_Specialized Research Centers (1971B)

Split into 13.393, 13.394, 13.395, 13.396, 13.397, 13.399 (1974B)

### 13.313

Cancer Research\_Fellowships (1970B)

Archived (1973B)

### 13.314

Cancer Research\_Grants (1970B)

Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)

### 13.315

Cancer Research\_Training Grants (1970B)

Cancer\_Research\_Career Development (1971B)  
Archived (1973B)

### 13.316

Child Health and Human Development\_Fellowships (1970B)

Archived (1973B)

### 13.317

Child Health and Human Development\_Research Grants (1970B)

Split into 13.864, 13.865, 13.866 (1974B)

### 13.318

Child Health and Human Development\_Training Grants (1970B)

Archived (1973B)

### 13.319

Dental Auxiliary Utilization Training Grants (1970B)

Training in Expanded Auxiliary Management (1973B)

Dental Team Practice (1978B)

Archived (1982B)

### 13.320

Dental Health Continuing Education Training Grants (1970B)

Continuing Dental Education Grant Program (1975B)

Archived (1978B)

### 13.321

Dental Health Fellowships (1970B)

Archived (1972B)

### 13.322

Dental Health Research Grants (1970B)

Archived (1972B)

### 13.323

Dental Health Research Training Grants (1970B)

Archived (1972B)

### 13.324

Dental Research\_Fellowships (1970B)

Archived (1973B)

### 13.325

Dental Research\_Grants (1970B)

Archived (1973B)

Reinstated (1973U)

Split into 13.840, 13.841, 13.842, 13.843, 13.844, 13.845 (1974B)

### 13.326

Dental Research\_Training Grants (1970B)

Archived (1973B)

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- 13.327**  
Environmental Health Sciences\_Fellowships (1970B)  
Archived (1973U)
- 13.328**  
Environmental Health Sciences\_Research Grants (1970B)  
Split into 13.872, 13.873, 13.874, 13.875, 13.876 (1974B)
- 13.329**  
Environmental Health Sciences\_Training Grants (1970B)  
Archived (1973U)
- 13.330**  
Eye Research\_Fellowship (1970B)  
Archived (1973B)
- 13.331**  
Eye Research\_Grants (1970B)  
Eye Research\_Research Grants (1971B)  
Split into 13.867, 13.868, 13.869, 13.870, 13.871 (1974B)
- 13.332**  
Eye Research\_Training Grants (1970B)  
Archived (1973B)
- 13.333**  
General Clinical Research Centers (1970B)  
Clinical Research (1974B)  
General Clinical Research Centers (1985B)  
Number changed to 93.333 (1990U)
- 13.334**  
General Medical Sciences\_Fellowships (1970B)  
Archived (1973B)
- 13.335**  
General Medical Sciences\_Research Grants (1970B)  
Split into 13.859, 13.860, 13.861, 13.862, 13.863 (1974B)
- 13.336**  
General Medical Sciences\_Training Grants (1970B)  
Archived (1973B)
- 13.337**  
General Research Support Grants (1970B)  
General Research Support (1974B)  
Biomedical Research Support (1975U)  
Number changed to 93.337 (1990U)
- 13.338**  
Graduate Training in Public Health\_Project Grants (1970B)  
Archived (1973B)  
Reinstated (1977B)  
Graduate Training in Public Health (1977B)  
Archived (1978B)
- 13.339**  
Health Professions Educational Improvement Grants (1970B)  
Health Professions Capitation Grants (1972B)  
Capitation Grants for Schools of Public Health (1987B)  
Archived (1990U)
- 13.340**  
Health Professions Facilities Construction (1970B)  
Health Professions Teaching Facilities\_Construction Grants (1972B)  
Archived (1973B)
- 13.341**  
Health Professions Scholarships (1970B)  
Archived (1973B)
- 13.342**  
Health Manpower Education and Utilization\_Student Assistance (1969B)  
Health Professions Student Loans (1970B)  
Number changed to 93.342 (1990U)
- 13.343**  
Research Fellowships and Traineeships in Health Sciences (1965B)  
Health Sciences Advancement Awards (1970B)  
Archived (1971B)
- 13.344**  
Heart and Lung Research\_Fellowships (1970B)  
Archived (1973B)
- 13.345**  
Heart and Lung Research\_Graduate Training Grants (1970B)  
Archived (1973B)
- 13.346**  
Heart and Lung Research\_Grants (1970B)  
Heart and Lung Research\_Research Grants (1971B)  
Split into 13.837, 13.838, 13.839 (1974B)
- 13.347**  
Heart and Lung Research\_Undergraduate Training Grants (1970B)  
Archived (1971U)
- 13.348**  
Medical Library Assistance\_Library Resources Grants (1970B)  
Medical Library Assistance\_Library Resources (1974B)  
Consolidated into 13.879 (1977B)
- 13.349**  
Medical Library Assistance\_Publications Support Grants (1970B)  
Biomedical Scientific Publications Grants (1971B)  
Biomedical Scientific Publications (1974B)  
Consolidated into 13.879 (1977B)
- 13.350**  
Medical Library Assistance\_Regional Medical Libraries (1970B)  
Consolidated into 13.879 (1977B)
- 13.351**  
Medical Library Assistance\_Research Grants (1970B)  
Medical Library Assistance\_Research (1974B)  
Consolidated into 13.879 (1977B)
- 13.352**  
Medical Library Assistance\_Special Scientific Project Grants (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Medical Library Assistance\_Special Scientific Projects (1974B)  
Consolidated into 13.879 (1977B)
- 13.353**  
Medical Library Assistance\_Training Grants (1970B)  
Archived (1973B)
- 13.354**  
Neurological Diseases and Stroke\_Fellowships (1970B)  
Incorporated into 13.357 (1972B)
- 13.355**  
Neurological Diseases and Stroke\_Graduate Training Grants (1970B)  
Archived (1973B)
- 13.356**  
Neurological Diseases and Stroke\_Research Grants (1970B)  
Split into 13.851, 13.852, 13.853, 13.854 (1974B)
- 13.357**  
Neurological Diseases and Stroke\_Training Grants (1970B)  
Incorporated into 13.354 (1972B)
- 13.358**  
Nurse Traineeships (1970B)  
Professional Nurse Traineeships (1971B)  
Archived (1973B)  
Reinstated (1975U)  
Number changed to 93.358 (1990U)
- 13.359**

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Nurse Training\_Project Improvement Grants (1970B)

Special Project Grants for Improvement in Nurse Training (1971B)

Nurse Training Improvement\_Special Projects (1972B)

Number changed to 93.359 (1990U)

### 13.360

Nursing Fellowships (1970B)

Special Predoctoral and Postdoctoral Fellowships in Nursing Research (1971B)

Archived (1973B)

### 13.361

Nursing Research Grants (1970B)

Nursing Research Project Grants (1971B)

Archived (1973B)

Reinstated (1975U)

Nursing Research (1986U)

Number changed to 93.361 (1990U)

### 13.362

Nursing Research Training Grants (1970B)

Nurse Scientist Graduate Training Grants (1971B)

Archived (1973B)

### 13.363

Nursing Scholarships (1970B)

Archived (1973B)

Reinstated (1976U)

Archived (1982B)

### 13.364

Nurse Training (1965B)

Health Manpower Education and

Utilization\_Nursing Research (1969B)

Nursing Student Loans (1970B)

Number changed to 93.364 (1990U)

### 13.365

Physician and Allied Health Manpower Research Grants (1970B)

Archived (1971B)

### 13.366

Professional Public Health Personnel\_Traineeships (1970B)

Archived (1973B)

### 13.367

Research Resources\_Fellowships (1970B)

Animal Resources\_Fellowships (1971B)

Archived (1973B)

### 13.368

Research Resources\_Training Grants (1970B)

Animal Resources\_Training Grants (1971B)

Archived (1973B)

### 13.369

Schools of Nursing\_Facilities Construction (1970B)

Construction Grants for Schools of Nursing (1971B)

Nursing School Construction (1972B)

Nursing School Construction\_Loan Guarantees and Interest Subsidies (1973B)

Nursing School Construction\_Grants, Loan Guarantees and Interest Subsidies (1975U)

Nursing School Construction\_Assistance\_Direct Grants, Loan Guarantees and Interest Subsidies (1976B)

Archived (1978B)

### 13.370

Public Health Training\_Traineeships (1967B)

Schools of Public Health\_Formula Grants (1970B)

Schools of Public Health\_Grants (1971B)

Archived (1973B)

Reinstated (1973U)

Archived (1978B)

### 13.371

Special Research Resources (1970B)

Biotechnology Resources (1971B)

Biotechnology Research (1974B)

Biomedical Research Technology (1984U)

Number changed to 93.371 (1990U)

### 13.372

Cancer\_Leukemia Research Support Centers (1971B)

Cancer\_Leukemia Research Support (1972B)

Incorporated into 13.314 (1973B)

### 13.373

Cancer\_Graduate Training (1971B)

Archived (1973B)

### 13.374

Heart and Lung Research\_Specialized Research Centers (1971U)

Split into 13.837, 13.838, 13.839 (1974B)

### 13.375

Minority Schools Biomedical Support (1972B)

Minority Biomedical Support (1974B)

Minority Biomedical Research Support (1982B)

Number changed to 93.375 (1990U)

### 13.377

Allied Health Professions\_Special Improvement Grants (1972B)

Archived (1973B)

### 13.378

Health Professions Teaching Facilities\_Loan Guarantees and Interest Subsidies (1972B)

Archived (1976B)

### 13.379

Family Medicine\_Training Grants (1972B)

Grants for Graduate Training in Family Medicine (1978B)

Number changed to 93.379 (1990U)

### 13.380

Health Manpower Education Initiative Awards (1972B)

Archived (1978B)

### 13.381

Health Professions\_Financial Distress Grants (1972B)

Health Professions\_Advanced Financial Distress (1986B)

Archived (1988B)

### 13.382

Heart and Lung Research\_Pulmonary Academic Awards (1972B)

Archived (1973B)

### 13.383

Health Professions\_Special Projects (1972B)

Archived (1978B)

### 13.384

Health Professions\_Start\_Up Assistance (1972B)

Health Professions\_Start\_Up Assistance and Conversion (1973U)

Health Professions\_Start\_Up Assistance (1975B)

Archived (1983B)

### 13.385

Health Professions Teaching Personnel\_Training, Traineeships, and Fellowships (1972B)

Archived (1973B)

### 13.386

Nursing Capitation Grants (1972B)

Archived (1973B)

Reinstated (1975U)

Archived (1982B)

### 13.387

Nursing Professions\_Talent Utilization (1972B)

Archived (1973B)

### 13.388

Nursing Schools\_Financial Distress Grants (1972B)

Archived (1973B)

Reinstated (1975U)

Financial Distress Grants for Schools of Nursing (1975U)

Archived (1977B)

### 13.389

Research Centers in Minority Institutions (1985B)

Number changed to 93.389 (1990U)

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- 13.390**  
Academic Research Enhancement Award (1985B)  
Number changed to 93.390 (1990U)
- 13.391**  
Cancer\_Task Forces (1972B)  
Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)
- 13.392**  
Cancer\_Construction (1972B)  
Archived (1988B)
- 13.393**  
Cancer Cause and Prevention Research (1974B)  
Split from 13.312, 13.314, 13.391, 13.825 (1974B)  
Number changed to 93.393 (1990U)
- 13.394**  
Cancer Detection and Diagnosis Research (1974B)  
Split from 13.312, 13.314, 13.391, 13.825 (1974B)  
Number changed to 93.394 (1990U)
- 13.395**  
Cancer Treatment Research (1974B)  
Split from 13.312, 13.314, 13.391, 13.825 (1974B)  
Number changed to 93.395 (1990U)
- 13.396**  
Cancer Biology Research (1974B)  
Split from 13.312, 13.314, 13.391, 13.825 (1974B)  
Number changed to 93.396 (1990U)
- 13.397**  
Cancer Centers Support (1974B)  
Split from 13.312 (1974B)  
Number changed to 93.397 (1990U)
- 13.398**  
Cancer Research Manpower (1974B)  
Number changed to 93.398 (1990U)
- 13.399**  
Cancer Control Research (1974B)  
Split from 13.312, 13.314, 13.391, 13.825 (1974B)  
Cancer Control (1974U)  
Number changed to 93.399 (1990U)
- 13.400**  
Adult Basic Education (1965B)  
Adult Basic Education\_Grants to States (1970B)  
Adult Education\_Grants to States (1971B)  
Adult Education\_State\_Administered Program (1979U2)  
Transferred to 84.002 (1980U1)
- 13.401**  
Adult Basic Education\_Special Projects (1970B)  
Adult Education\_Special Projects (1971B)  
Incorporated into 13.400 (1975B)
- 13.402**  
Adult Basic Education\_Teacher Education (1970B)  
Adult Education\_Teacher Education (1971B)  
Incorporated into 13.400 (1975B)
- 13.403**  
Bilingual Education (1969B)  
Transferred to 84.003 (1980U1)
- 13.404**  
Civil Defense Adult Education (1965B)  
Civil Defense Education (1969B)  
Archived (1971U)
- 13.405**  
School Assistance in Matters Pertaining to School Desegregation (1965B)  
School Desegregation\_Technical Assistance and Training (1969B)  
Civil Rights Technical Assistance and Training (1970B)  
Number changed to 13.524 (1972B)  
Reinstated/Number change from 13.524 (1973B)  
Transferred to 84.004 (1980U1)
- 13.406**  
College Library Resources (1965B)  
Archived (1973B)  
Reinstated (1973U)  
Transferred to 84.005 (1980U1)
- 13.407**  
College Teacher Graduate Fellowships (1970B)  
Archived (1973U)  
Reinstated (1974B)  
Archived (1977U)
- 13.408**  
Library Services and Construction, Rural and Urban (1965B)  
Library Services and Construction (1967B)  
Construction of Public Libraries (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1979B)
- 13.409**  
Cuban Student Loan Program (1967B)  
Training for Cuban Refugee Professional Personnel (1967B)  
Cuban Education\_Student Loans (1970B)  
Archived (1977U)
- 13.410**  
Dropout Prevention (1969B)  
Incorporated into 13.571 (1977U)
- 13.411**  
Education Research and Development Centers (1970B)
- Educational Research and Development Centers (1971B)  
Consolidated into 13.575 (1973B)
- 13.412**  
Education Research and Development\_Regional Educational Laboratories (1970B)  
Educational Research and Development\_Regional Educational Laboratories (1971B)  
Consolidated into 13.575 (1973B)
- 13.413**  
Educational Television Broadcasting Facilities (1965B)  
Educational Television Facilities Program (1967B)  
Educational Television Construction (1969B)  
Educational Broadcasting Facilities (1970B)  
Educational Broadcasting Facilities (Public Broadcasting) (1976U)  
Transferred to 11.550 (1979B)
- 13.414**  
Teacher Fellowships and Training (1969B)  
Educational Classroom Personnel Training\_Basic Studies (1970B)  
Archived (1970U)
- 13.415**  
Educational Classroom Personnel Training\_Black Colleges (1970B)  
Number changed to 13.507 (1970U)
- 13.416**  
Educational Classroom Personnel Training\_Early Childhood (1970B)  
Archived (1972B)  
Reinstated (1977U)  
Teacher Centers (1977U)  
Transferred to 84.006 (1980U1)
- 13.417**  
Educational Classroom Personnel Training\_Special Education (1970B)  
Archived (1973B)
- 13.418**  
Educational Opportunity Grants (1965B)  
Archived (1973B)  
Reinstated (1973U)  
Supplemental Educational Opportunity Grants (1973U)  
Transferred to 84.007 (1980U1)
- 13.419**  
Educational Personnel Development\_Support Personnel (1970B)  
Split into 13.508, 13.509 (1970U)
- 13.420**  
Educational Personnel Training\_Drug Abuse

## Appendix VII: Historical Profile of Catalog Programs

|   |   |  |
|---|---|--|
| Education (1970B)<br>Alcohol and Drug Abuse Education (1971B)<br>Drug Abuse Prevention (1972B)<br>Archived (1973B)<br>Reinstated (1973U)<br>Drug Abuse Education (1974B)<br>Archived (1975B)<br>Reinstated (1975U)<br>Alcohol and Drug Abuse Prevention (1975U)<br>Alcohol and Drug Abuse Education Program (1979B)<br>Transferred to 84.008 (1980U1) | Educational Agencies (1970B)<br>Transferred to 84.010 (1980U1)  | (1971B)<br>Archived (1973B)<br>Reinstated (1974B)<br>Transferred to 84.017 (1980U1)  |
| <b>13.421</b><br>Attracting and Qualifying Teachers in Areas Where Critical Teachers Shortages Exist (1969B)<br>Encouraging Qualified Person to Enter Education Careers (1969B)<br>Educational Personnel Training Grants_Career Opportunities (1970B)<br>Archived (1976B)   | <b>13.429</b><br>Educationally Deprived Children_Migrants (1970B)<br>Transferred to 84.011 (1980U1)   | <b>13.437</b><br>Teacher Exchange (1969B)<br>Fulbright-Hays Teacher Exchange (1970B)<br>Teacher Exchange (1971B)<br>Transferred to 84.018 (1980U1)   |
| <b>13.422</b><br>Educational Research and Development Centers (1969B)<br>Educational Research and Development_General Education (Project) Research (1970B)<br>Consolidated into 13.575 (1973B)  | <b>13.430</b><br>Educationally Deprived Children_State Administration (1970B)<br>Transferred to 84.012 (1980U1)   | <b>13.438</b><br>Fulbright-Hays Training Grants_Faculty Research Study (1970B)<br>Fulbright-Hays Training Grants_Faculty Research Abroad (1971B)<br>Transferred to 84.019 (1980U1)   |
| <b>13.423</b><br>Educational Research Information Center (1967B)<br>Educational Research Dissemination_ERIC System (1970B)<br>Number changed to 13.513 (1971B)  | <b>13.431</b><br>Educationally Deprived Children in Institutions for Neglected or Delinquent Children (1970B)<br>Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1971B)<br>Transferred to 84.013 (1980U1)  | <b>13.439</b><br>Fulbright-Hays Training Grants_Foreign Curriculum Consultants (1970B)<br>Transferred to 84.020 (1980U1)   |
| <b>13.424</b><br>Educational Research Training (1969B)<br>Consolidated into 13.575 (1973B)  | <b>13.432</b><br>Elementary and Secondary Education_State Planning and Evaluation (1970B)<br>Archived (1971U)   | <b>13.440</b><br>Overseas Education, Training, Research and Study (1969B)<br>Fulbright-Hays Training Grants_Foreign Studies Extension (1970B)<br>Fulbright-Hays Training Grants_Group Projects Abroad (1971B)<br>Transferred to 84.021 (1980U1)                              |
| <b>13.425</b><br>Educational Staff Training_School Personnel Utilization (1970B)<br>Archived (1973B)  | <b>13.433</b><br>Follow Through (1970B)<br>Transferred to 84.014 (1980U1)   | <b>13.441</b><br>Foreign Language Training and Area Studies (1969B)<br>Fulbright-Hays Training Grants_Graduate Fellowships (1970B)<br>Fulbright-Hays Training Grants_Doctoral Dissertation Research Abroad (1971B)<br>Transferred to 84.022 (1980U1)                         |
| <b>13.426</b><br>Educational Staff Training_Teacher Leadership Development (1970B)<br>Archived (1970U)  | <b>13.434</b><br>Language and Area Studies (1967B)<br>Foreign Language and World Affairs_Fellowships (1970B)<br>Foreign Language and Area Studies_Fellowships (1971B)<br>Archived (1973B)<br>Reinstated (1974U)<br>International Studies Centers and Foreign Language Area Studies_Fellowships (1979U2)<br>Transferred to 84.015 (1980U1)   | <b>13.442</b><br>Guidance, Counseling, and Testing: Identification and Encouragement of Able Students_State Programs (1965B)<br>State Programs in Guidance, Counseling, and Testing (1967B)<br>Guidance, Counseling, and Testing (1969B)<br>Consolidated into 13.519 (1971B) |
| <b>13.427</b><br>Assistance to State for Education for Handicapped Children (1967B)<br>Educationally Deprived Children_Handicapped (1970B)<br>Program for Education of Handicapped Children in State Operated or Supported Schools (1979B)<br>Transferred to 84.009 (1980U1)  | <b>13.435</b><br>Language and Area Centers (1967B)<br>Foreign Language and World Affairs_Language and Area Centers (1970B)<br>Foreign Language and Area Studies_Centers (1971B)<br>Archived (1973B)<br>Reinstated (1974U)<br>Foreign Language and Area Studies_Centers and International Studies Program (1974U)<br>International Studies Programs (1979U2)<br>Transferred to 84.016 (1980U1) | <b>13.443</b><br>Education of Handicapped Children_Research and Demonstration (1969B)<br>Handicapped_Research and Demonstration (1970B)<br>Handicapped_Research and Development (1978B)<br>Handicapped_Research and Demonstration (1978U)<br>Transferred to 84.023 (1980U1)  |
| <b>13.428</b><br>Educationally Deprived Children_Local  | <b>13.436</b><br>Language Research and Studies (1967B)<br>Foreign Languages and World Affairs_Language and Area Research (1970B)<br>Foreign Language and Area Studies_Research  | <b>13.444</b>  |

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Handicapped Children\_Early Educational Assistance (1969B)

Handicapped Early Childhood Assistance (1970B)  
Transferred to 84.024 (1980U1)

### 13.445

Handicapped Innovative Programs\_Deaf-Blind Centers (1970B)

Transferred to 84.025 (1980U1)

### 13.446

Captioned Films for the Deaf (1965B)

Captioned Films and Related Services for the Handicapped (1969B)

Handicapped Media Services and Captioned Films (1970B)

Transferred to 84.026 (1980U1)

### 13.447

Handicapped Physical Education and Recreation Research (1970B)

Incorporated into 13.443 (1975U)

### 13.448

Handicapped Physical Education and Recreation Training (1970B)

Incorporated into 13.443 (1975U)

### 13.449

Preschool and School Programs for the Handicapped (1969B)

Handicapped Preschool and School Programs (1970B)

Transferred to 84.027 (1980U1)

### 13.450

Education of Handicapped Children\_Regional Resources Centers (1969B)

Handicapped Regional Resource Centers (1970B)

Transferred to 84.028 (1980U1)

### 13.451

Preparation of Professional Personnel for the Education of Handicapped Children (1965B)

Training of Professional Personnel in the Education of the Handicapped (1967B)

Education of Handicapped Children\_Personnel Training (1969B)

Handicapped Teacher Education (1970B)

Handicapped Personnel Preparation (1976B)

Transferred to 84.029 (1980U1)

### 13.452

Handicapped Teacher Recruitment and Information (1970B)

Transferred to 84.030 (1980U1)

### 13.453

Instructional Funds for Land-Grant Colleges and Universities (1967B)

Endowment of Land-Grant Colleges and Universities (1969B)

Higher Education\_Land-Grant Colleges and Universities (1970B)

Transferred to 10.882 (1978B)

### 13.454

Strengthening Developing Institutions (1965B)

Higher Education\_Strengthening Developing Institutions (1970B)

Transferred to 84.031 (1980U1)

### 13.455

Higher Education Academic Facilities\_State Administration (1970B)

Archived (1972U)

Reinstated (1973U)

Archived (1980B)

### 13.456

Higher Education Academic Facilities\_State Comprehensive Planning (1970B)

Archived (1971U)

### 13.457

Graduate Academic Facilities Construction Grants (1967B)

Higher Education Academic Facilities

Construction\_Interest Subsidization (1970B)

Archived (1973B)

### 13.458

Construction of Higher Education Facilities Through Grants and Loans (1967B)

Higher Education Facilities Construction (1969B)

Higher Education Academic Facilities

Construction\_Public and Private Colleges and Universities (1970B)

Archived (1971B)

Reinstated (1972B)

Archived (1973B)

### 13.459

Higher Education Facilities Construction (1969B)

Higher Education Academic Facilities

Construction\_Public Community Colleges and Technical Institutes (1970B)

Archived (1973B)

### 13.460

Low-Interest Insured Loans to College and Vocational Students (1969B)

Higher Education Act Insured Loans\_Guaranteed Student Loan Program (1970B)

Higher Education Act Insured Loans (1971B)

Transferred to 84.032 (1980U1)

### 13.461

Higher Education Personnel

Development\_Institutes, Short-Term Training and Special Projects (1970B)

Higher Education Personnel

Development\_Institutes and Short-Term Training (1972B)

Archived (1973B)

Reinstated (1974U)

Archived (1976B)

### 13.462

Experienced Teacher Fellowship Program (1967B)

Higher Education Personnel Training (1969B)

Higher Education Personnel Fellowships (1970B)

Archived (1976B)

### 13.463

Grants for College Work-Study Program (1965B)

College Work-Study Program (1967B)

College Student Work-Study (1969B)

Higher Education Work-Study (1970B)

College Work-Study Program (1979U2)

Transferred to 84.033 (1980U1)

### 13.464

Library Services\_Grants for Public Libraries (1970B)

Incorporated into 13.466 (1972B)

Reinstated (1973U)

Library Services and Construction Act (1979B)

Public Library Services (1980B)

Transferred to 84.034 (1980U1)

### 13.465

Library Services\_Interlibrary Cooperation (1970B)

Incorporated into 13.467 (1972B)

Reinstated (1973U)

Interlibrary Cooperation (1980B)

Transferred to 84.035 (1980U1)

### 13.466

Library Services\_State Institutional Library Services (1970B)

Incorporated into 13.464 (1972B)

### 13.467

Library Services to the Physically Handicapped (1970B)

Incorporated into 13.465 (1972B)

### 13.468

Library Training and Research (1965B)

Library Personnel Training (1969B)

Library Research and Development (1969B)

Library Training Grants (1970B)

Archived (1973B)

Reinstated (1973U)

Library Training (1980B)

Transferred to 84.036 (1980U1)

### 13.469

National Defense Education Act Loans to Institutions (1970B)

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Archived (1973B)

Reinstated (1973U)

Archived (1979B)

## 13.470

National Defense Graduate Fellowship Program (1967B)

National Defense Student Loans Cancellations for Teachers (1970B)

National Defense Student Loan Cancellations (1970U)

National Defense Direct Student Loan Cancellations (1973U)

National Direct Student Loan Cancellations (1974B)

National Defense/Direct Student Loan Cancellations (1980B)

Transferred to 84.037 (1980U1)

## 13.471

Loans to Students in Institutions of Higher Education (1965B)

National Defense Student Loans\_Direct Loan Contributions (1970B)

National Direct Student Loans (1973B)

National Defense/Direct Student Loans (1980)

Transferred to 84.038 (1980U1)

## 13.472

Nonpublic School Testing (1970B)

Consolidated into 13.519 (1971B)

## 13.473

Preschool, Elementary, and Secondary Personnel Development\_Grants to States (1970B)

Archived (1973B)

## 13.474

Research and Development Centers (1965B)

Arts and Humanities Research (1967B)

Research and Development\_Arts and Humanities (1970B)

Archived (1972B)

## 13.475

Research and Development\_Library Research (1970B)

Research and Development\_Library Research and Demonstration (1972B)

Archived (1973B)

Reinstated (1973U)

Research and Development\_Library Demonstrations (1974B)

Library Research and Demonstrations (1976U)

Transferred to 84.039 (1980U1)

## 13.476

Regional Educational Laboratories (1967B)

Research and Development\_Regional Research (1970B)

Consolidated into 13.575 (1973B)

## 13.477

Financial Assistance for School Construction in Areas Affected by Federal Activity (Impacted Areas Program) (1967B)

Impacted Areas\_School Construction, Maintenance, and Operation (1969B)

School Assistance in Federally Affected Areas\_Construction (1970B)

Transferred to 84.040 (1980U1)

## 13.478

Financial Assistance for School Maintenance and Operation in Areas Affected by Federal Activity (Impacted Areas) (1967B)

Impacted Areas\_School Construction, Maintenance, and Operations (1969B)

School Assistance in Federally Affected Areas\_Maintenance and Operation (1970B)

Transferred to 84.041 (1980U1)

## 13.479

School Equipment Loans to Nonprofit Private Schools (1970B)

Archived (1973B)

Reinstated (1974U)

School Equipment Loans to Non\_Profit Schools (1974U)

Archived (1976B)

## 13.480

School Library Resources, Textbooks, and Other Instructional Materials (1965B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.570 (1977U)

## 13.481

Special Foreign Currency Program\_Training, Research, and Study (1970B)

Educational Activities Overseas\_Inter-Institutional Cooperative Research (1971B)

Archived (1976B)

## 13.482

Special Services for Disadvantaged Students in Institutions of Higher Education (1970B)

Special Services for Disadvantaged Students (1975U)

Transferred to 84.042 (1980U1)

## 13.483

Strengthening Instruction in Critical Subjects (1967B)

School Equipment and Remodeling (1969B)

Strengthening Instruction Through Equipment and Minor Remodeling (1970B)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.570 (1977U)

## 13.484

Strengthening School Administration\_Training Grants (1970B)

Number changed to 13.514 (1971B)

## 13.485

Strengthening State Departments of Education\_Grants for Special Projects (1970B)

Archived (1973B)

Reinstated (1973U)

Archived (1977B)

## 13.486

Strengthening State Departments of Education\_Grants to States (1970B)

Grants to Strengthen State Departments of Education (1971B)

Strengthening State Departments of Education\_Grants to States (1971U)

Archived (1973B)

Reinstated (1973U)

Incorporated into 13.571 (1977U)

Reinstated/Split from 13.571 (1979B)

Strengthening State Educational Agency Management (1979B)

Transferred to 84.043 (1980U1)

## 13.487

Supplementary Education Centers and Services (1965B)

Consolidated into 13.519 (1971B)

## 13.488

Educational Talent Search (1969B)

Talent Search (1970B)

Transferred to 84.044 (1980U1)

## 13.489

National Teacher Corps (1965B)

Teacher Corps (1969B)

Teacher Corps\_Operations and Training (1970B)

Transferred to 84.045 (1980U1)

## 13.490

Trainers of Teacher Trainers (1970B)

Training of Teacher Trainers (1971B)

Archived (1973B)

## 13.491

Community Service and Continuing Education Programs (1965B)

University Community Service\_Grants to States (1970B)

Archived (1973B)

Reinstated (1974U)

Transferred to 84.046 (1980U1)

## 13.492

Upward Bound (1970B)

Transferred to 84.047 (1980U1)

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- 13.493**  
Vocational Education Grants (1965B)  
Vocational Education\_Basic Grants to States (1970B)  
Transferred to 84.048 (1980U1)
- 13.494**  
Vocational Education\_Consumer and Homemaking (1970B)  
Vocational Education\_Consumer and Homemaking Education (1979U1)  
Transferred to 84.049 (1980U1)
- 13.495**  
Vocational Education\_Cooperative Education (1970B)  
Vocational Education\_Program Improvement and Supportive Services (1977B)  
Transferred to 84.050 (1980U1)
- 13.496**  
Vocational Education\_Curriculum Development (1970B)  
Archived (1973U)  
Reinstated (1974U)  
Vocational Education\_Curriculum (1974U)  
Incorporated into 13.495 (1977B)
- 13.497**  
Vocational Education\_Planning and Evaluation (1970B)  
Archived (1971B)
- 13.498**  
Vocational Education Research Grants (1967B)  
Vocational Education Research and Training (1969B)  
Vocational Education\_Research Grants (1970B)  
Split into 13.498, 13.517 (1971B)  
Consolidated into 13.575 (1973B)  
Reinstated/Split from 13.575 (1973U)  
Vocational Education\_Program Improvement Projects (1977B)  
Archived (1979U1)  
Reinstated (1979U2)  
Transferred to 84.051 (1980U1)
- 13.499**  
Vocational Education\_Special Needs (1970B)  
Vocational Education\_Special Programs for the Disadvantaged (1979U1)  
Transferred to 84.052 (1980U1)
- 13.500**  
Vocational Education\_State Advisory Councils (1970B)  
Transferred to 84.053 (1980U1)
- 13.501**  
Vocational Education\_Residential Schools and Work-Study Programs (1965B)  
Vocational Education\_Work-Study (1970B)  
Incorporated into 13.493 (1977B)
- 13.502**  
Vocational Education\_Innovation (1970B)  
Incorporated into 13.495, 13.498 (1977B)
- 13.503**  
Vocational Education Personnel Training\_Fellowships (1970B)  
Vocational Education Personnel Development Awards (1971B)  
Archived (1973B)  
Reinstated (1975U)  
Vocational Education Personnel Development Awards\_Leadership Development (1975U)  
Training and Development Awards for Vocational Education Personnel\_Leadership Development Awards (1977B)  
Vocational Education\_Graduate Leadership Development Program (1978B)  
Transferred to 84.054 (1980U1)
- 13.504**  
Vocational Education Personnel Training\_State Professional Development (1970B)  
Vocational Education Personnel Development\_Professional Personnel Development for States (1971B)  
Archived (1973B)  
Reinstated (1975U)  
Vocational Education Personnel Development\_State Systems Program (1975U)  
Archived (1977U)
- 13.505**  
Education Personnel Development\_Urban/Rural School Development (1970U)  
Archived (1977B)
- 13.506**  
Educational Classroom Personnel Training\_Bilingual Education (1970U)  
Archived (1972B)
- 13.507**  
Educational Classroom Personnel Training\_Teacher Development for Desegregating Schools (1970U)  
Number changed from 13.415 (1970U)  
Teacher Training in Developing Institutions (1972B)  
Archived (1973B)
- 13.508**  
Educational Personnel Development\_Media Specialists (1970U)  
Split from 13.419 (1970U)  
Archived (1973B)
- 13.509**  
Educational Personnel Development\_Pupil Personnel (1970U)  
Split from 13.419 (1970U)  
Educational Personnel Development\_Pupil Personnel Specialists (1971B)  
Archived (1973B)
- 13.510**  
Higher Education\_Cooperative Education (1970U)  
Transferred to 84.055 (1980U1)
- 13.511**  
Educationally Deprived Children\_Special Grants for Urban and Rural Schools (1971B)  
Archived (1975U)
- 13.512**  
Educationally Deprived Children\_Special Incentive Grants (1971B)  
Archived (1979U1)
- 13.513**  
Educational Dissemination (1971B)  
Number changed from 13.423 (1971B)  
Incorporated into 13.575 (1973B)
- 13.514**  
Educational Personnel Development\_Educational Leadership (1971B)  
Number changed from 13.484 (1971B)  
Archived (1973B)
- 13.515**  
Educational Staff Training\_Volunteers in Education (1971B)  
Archived (1973B)
- 13.516**  
Preschool, Elementary, and Secondary Education\_Special Programs and Projects (1971B)  
Supplementary Educational Centers and Services\_Special Programs and Projects (1974U)  
Archived (1976B)
- 13.517**  
Vocational Education\_Project Research Grants (1971B)  
Split from 13.498 (1971B)  
Incorporated into 13.498 (1972B)
- 13.518**  
Higher Education Instructional Equipment (1971U)  
Archived (1973B)  
Reinstated (1975B)  
Archived (1979U1)
- 13.519**  
Supplementary Educational Centers and Services, Guidance, Counseling, and Testing (1971B)



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Consolidated from 13.442, 13.472, 13.487 (1971B)  
Incorporated into 13.571 (1977U)

## 13.520

Special Programs for Children with Specific Learning Disabilities (1971B)  
Archived (1978B)

## 13.521

Experimental Schools (1971B)  
Consolidated into 13.575 (1973B)

## 13.522

Environmental Education (1971U)  
Archived (1973B)

## 13.523

School Health and Nutrition Services for Children from Low-Income Families (1971U)  
Archived (1973B)  
Reinstated (1974U)  
Incorporated into 13.571 (1977U)

## 13.524

Emergency School Assistance (1972B)  
Number changed from 13.405 (1972B)  
Number changed to 13.405 (1973B)

## 13.525

Emergency School Aid Act\_Basic Grants to Local Educational Agencies (1973B)  
Transferred to 84.056 (1980U1)

## 13.526

Emergency School Aid Act\_Pilot Programs (1973B)  
Emergency School Aid Act\_Pilot Programs (Special Programs and Projects) (1974U)  
Archived (1979U1)

## 13.527

Emergency School Aid Act\_Metropolitan Area Projects (1973B)  
Archived (1975B)

## 13.528

Emergency School Aid Act\_Bilingual Education Projects (1973B)  
Incorporated into 13.403 (1979U1)

## 13.529

Emergency School Aid Act\_Special Programs and Projects (1973B)  
Emergency School Aid Act\_Special Programs and Projects (Non-Profit Organizations) (1975U)  
Emergency School Aid Act\_Grants to Nonprofit Organizations (1980B)  
Transferred to 84.057 (1980U1)

## 13.530

Emergency School Aid Act\_Educational Television (1973B)

Emergency School Aid Act\_Television and Radio Contracts (1979U1)

Emergency School Aid Act\_Educational Television and Radio (1980B)

Transferred to 84.058 (1980U1)

## 13.532

Emergency School Aid Act\_Special Programs (1973B)

Emergency School Aid Act\_Special Programs and Projects (1980B)

Transferred to 84.059 (1980U1)

## 13.533

Right to Read\_Elimination of Illiteracy (1973B)

Number changed to 13.599 (1979U1)

## 13.534

Indian Education\_Grants to Local Educational Agencies (1974U)

Transferred to 84.060 (1980U1)

## 13.535

Indian Education\_Special Programs and Projects (1974B)

Transferred to 84.061 (1980U1)

## 13.536

Indian Education\_Adult Indian Education (1974B)

Transferred to 84.062 (1980U1)

## 13.538

Post Secondary Education Improvement Fund (1973U)

Fund for the Improvement of Post Secondary Education (1974B)

Number changed to 13.925 (1976B)

## 13.539

Basic Educational Opportunity Grant Program (1973U)

Transferred to 84.063 (1980U1)

## 13.540

Higher Education\_Cost for Veterans' Instruction (1973U)

Higher Education\_Veterans' Cost of Instruction Program (1974U)

Transferred to 84.064 (1980U1)

## 13.541

Education Television and Radio (Programming) (1977U)

Educational Television and Radio (Programming) (1979U1)

Transferred to 84.065 (1980U1)

## 13.542

Strengthening State and Local Educational

Agencies\_Comprehensive Planning and Evaluation (1974U)

Incorporated into 13.571 (1976B)

## 13.543

Educational Opportunity Centers (1974B)

Transferred to 84.066 (1980U1)

## 13.544

Use of Technology in Basic Skills Instruction (1980B)

Transferred to 84.067 (1980U1)

## 13.545

Indochina Refugee Children Assistance (1980B)

Transferred to 84.068 (1980U1)

## 13.546

Educational Personnel Development\_Indian Teacher Training (1976B)

Archived (1977B)

## 13.548

Grants to States for State Student Incentives (1974U)

Transferred to 84.069 (1980U1)

## 13.549

Ethnic Heritage Studies Program (1975B)

Transferred to 84.070 (1980U1)

## 13.550

Postsecondary Education Statewide Comprehensive Planning Grants Program (1974B)

State Planning Commissions Program\_Intrastate Planning (1977B)

State Postsecondary Education Commissions Program\_Intrastate Planning (1979B)

Transferred to 84.071 (1980U1)

Inactive program number reissued for new program (1990B)

Administration for Children, Youth and Families\_Transitional Living for Runaway and Homeless Youth (1990B)

Number changed to 93.550 (1990U)

## 13.551

Indian Education\_Grants to Non-Federal Educational Agencies (1974U)

Indian Education\_Grants to Non-Local Educational Agencies (1976B)

Transferred to 84.072 (1980U1)

Inactive program number reissued for new program (1990B)

Administration for Children, Youth and Families\_Abandoned Infants (1990B)

Number changed to 93.551 (1990U)

## 13.553

Educational Packaging and Dissemination (1977U)

National Diffusion Program (National Diffusion

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Network) (1979B)

Transferred to 84.073 (1980U1)

### 13.554

Career Education (1976B)

Transferred to 84.074 (1980U1)

### 13.555

Public Service Professional Education\_Institutional Grants and Fellowships (1974U)

Public Service Education\_Institutional Grants and Fellowships (1977B)

Transferred to 84.075 (1980U1)

### 13.556

Law School Fellowships for the Disadvantaged (1974U)

Archived (1976B)

### 13.557

University Community Service\_Special Projects (1974U)

Transferred to 84.076 (1980U1)

### 13.558

Bilingual Vocational Training (1975U)

Transferred to 84.077 (1980U1)

### 13.560

Regional Education Programs for Deaf and Other Handicapped Persons (1975B)

Transferred to 84.078 (1980U1)

### 13.561

Education for the Use of the Metric System of Measurement (1975U)

Transferred to 84.079 (1980U1)

### 13.562

Education for Gifted and Talented Children and Youth (1975U)

Transferred to 84.080 (1980U1)

### 13.563

Community Education (1976B)

Transferred to 84.081 (1980U1)

### 13.564

Consumers' Education (1975U)

Transferred to 84.082 (1980U1)

### 13.565

Women's Educational Equity (1976B)

Transferred to 84.083 (1980U1)

### 13.566

Elementary and Secondary School Education in the Arts (1976B)

Transferred to 84.084 (1980U1)

### 13.567

Mining and Mineral Fuel Conservation Fellowship Program (1975B)

Domestic Mining and Mineral Fuel Conservation Fellowship Program (1977B)

Domestic Mining and Mineral and Mineral Fuel Conservation Fellowship Program (1979U1)

Transferred to 84.085 (1980U1)

### 13.568

Handicapped Innovative Programs (1975U)

Handicapped Innovative Programs\_Programs for Severely Handicapped Children (1976B)

Innovative Programs for Severely Handicapped Children (1979U1)

Transferred to 84.086 (1980U1)

### 13.569

Indian Education\_Fellowships for Indian Students (1976U)

Transferred to 84.087 (1980U1)

### 13.570

Libraries and Learning Resources (1975U)

Instructional Materials and School Library Resources (1979U1)

Transferred to 84.088 (1980U1)

### 13.571

Educational Innovation and Support (1975U)

Improvement in Local Educational Practice (1979B)

Split into 13.486, 13.571 (1979B)

Transferred to 84.089 (1980U1)

### 13.572

Assistance to States for State Equalization Plans (1976U)

Archived (1979U1)

### 13.574

Health Professions Educational Assistance Act Insured Loans (1977U)

Health Education Assistance Loans (1978B)

Transferred to 84.090 (1980U1)

### 13.575

Educational Research and Development (1973B)

Consolidated from 13.411, 13.412, 13.422, 13.424, 13.476, 13.498, 13.513, 13.521 (1973B)

Split into 13.498, 13.575 (1973U)

Number changed to 13.950 (1976B)

### 13.576

Strengthening Research Library Resources (1977U)

Transferred to 84.091 (1980U1)

### 13.577

Guidance, Counseling and Testing in Elementary/Secondary Schools (1979B)

Transferred to 84.092 (1980U1)

### 13.578

Training and Development Awards for Vocational Education Personnel\_Vocational Education Certification Fellowships (1977U)

Vocational Education\_Teacher Certification Fellowship Program (1978B)

Vocational Education\_Teacher Education Certification (1979U1)

Archived (1979U2)

### 13.579

Emergency Adult Education Program for Indochina Refugees (1977U)

Archived (1978B)

Reinstated (1979U2)

Transferred to 84.093 (1980U1)

### 13.580

Graduate and Professional Opportunities (1978B)

Transferred to 84.094 (1980U1)

### 13.581

Citizen Education for Cultural Understanding Program (1979B)

Transferred to 84.095 (1980U1)

### 13.582

Incentive Grants for State Student Financial Assistance Training (1977U)

Transferred to 84.096 (1980U1)

### 13.584

Law School Clinical Experience Program (1979B)

Transferred to 84.097 (1980U1)

### 13.585

Educational Information Centers (1978B)

Transferred to 84.098 (1980U1)

### 13.586

Bilingual Vocational Instructor Training (1977B)

Transferred to 84.099 (1980U1)

### 13.587

Bilingual Vocational Instructional Materials, Methods, and Techniques (1977B)

Transferred to 84.100 (1980U1)

### 13.588

Vocational Education\_Contract Program for Indian Tribes and Indian Organizations (1977U)

Vocational Education\_Grant Program for Indian Tribes and Indian Organizations (1979U2)

Transferred to 84.101 (1980U1)

### 13.589

Emergency School Aid\_Magnet Schools, University/Business Cooperation (1977U)

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Emergency School Aid Act\_Magnet Schools,  
University/Business Cooperation and Neutral Site  
Planning (1979U1)  
Transferred to 84.102 (1980U1)

## 13.590

Emergency School Aid\_Neutral Site Planning  
(1977U)  
Incorporated into 13.589 (1979U1)

## 13.592

Training for Special Programs Staff and Leadership  
Personnel (1978B)  
Transferred to 84.103 (1980U1)

## 13.596

Career Education State Allotment Program  
(1979U1)  
Transferred to 84.104 (1980U1)

## 13.599

Basic Skills Improvements (1979U1)  
Number changed from 13.533 (1979U1)  
Transferred to 84.105 (1980U1)

## 13.600

Child Development\_Head Start (1970B)  
Administration for Children, Youth and  
Families\_Head Start (1977U)  
Number changed to 93.600 (1990U)

## 13.601

Child Development\_Technical Assistance (1970B)  
Incorporated into 13.600 (1976B)

## 13.602

Civil Rights Activities (1969B)  
Civil Rights Compliance Activities (1970B)  
Number changed to 13.675 (1976B)

## 13.603

Mental Retardation Coordination and Information  
(1970B)  
Office for the Handicapped (1974B)  
Office for Handicapped Individuals (1975B)  
Transferred to 84.125 (1980U1)

## 13.604

Urban Planning for Human Resources (1969B)  
Development\_Information and Technical  
Assistance (1969B)  
Planning for Human Resources Development  
(1970B)  
Archived (1972U)

## 13.605

State Personnel Merit Systems\_Technical  
Assistance (1969B)  
Transferred to 27.010 (1971B)

## 13.606

Public Property for Educational and Public Health  
Uses (1965B)  
Surplus Property for Educational and Public Health  
Uses (1967B)  
Surplus Property Utilization (1969B)  
Number changed to 13.676 (1976B)

## 13.607

Facilities Engineering and Construction  
Activities\_Technical Assistance (1970U)  
Facilities Engineering and Property  
Management\_Technical Assistance (1973U)  
Number changed to 13.677 (1976B)

## 13.608

Child Development\_Child Welfare Research and  
Demonstration Grants (1971B)  
Split from 13.706 (1971B)  
Administration for Children, Youth and  
Families\_Child Welfare Research and  
Demonstration Grants (1977U)  
Administration for Children, Youth and  
Families\_Child Welfare Research and  
Demonstration (1978B)  
Number changed to 93.608 (1990U)

## 13.609

Special Programs for the Aging (1973U)  
Number changed from 13.756 (1973U)  
Split into 13.633, 13.634, 13.635, 13.636, 13.637  
(1975U)

## 13.610

Youth\_Development and Delinquency Prevention  
(1973U)  
Number changed from 13.764 (1973U)  
Archived (1975B)

## 13.611

Consumer Affairs (1973U)  
Transferred from 69.001 (1973U)  
Number changed to 13.678 (1976B)

## 13.612

Native American Programs (1974B)  
Transferred from OEO (1974B)  
Native American Programs\_Financial Assistance  
Grants (1981B)  
Native American Programs (1990B)  
Incorporated from 13.661, 13.662 (1990B)  
Number changed to 93.612 (1990U)

## 13.613

Mental Retardation Evaluation (1974B)  
Transferred from 54.001 (1974B)  
Mental Retardation Evaluation\_President's  
Committee on Mental Retardation (1976B)  
Mental Retardation\_President's Committee on  
Mental Retardation (1976U)

Number changed to 93.613 (1990U)

## 13.614

Child Development Associate Scholarships  
(1987B)  
Number changed to 93.614 (1990U)

## 13.615

Governors' Councils On Physical Fitness (1974B)  
Transferred from 55.001 (1974B)  
Consolidated into 13.289 (1975B)

## 13.616

Physical Fitness and Sports Information (1974B)  
Transferred from 55.003 (1974B)  
Number changed to 13.289 (1975B)

## 13.617

Physical Fitness Clinics (1974B)  
Transferred from 55.004 (1974B)  
Consolidated into 13.289 (1975B)

## 13.618

Physical Fitness Demonstration Center Schools  
(1974B)  
Transferred from 55.005 (1974B)  
Consolidated into 13.289 (1975B)

## 13.619

Physical Fitness Program Development (1974B)  
Transferred from 55.006 (1974B)  
Consolidated into 13.289 (1975B)

## 13.620

Presidential Physical Fitness Award (1974B)  
Transferred from 55.007 (1974B)  
Consolidated into 13.289 (1975B)

## 13.621

Health-Exercise Symposia (1974B)  
Transferred from 55.008 (1974B)  
Consolidated into 13.289 (1975B)  
Archived (1975B)

## 13.622

Presidential Sports Award (1974B)  
Transferred from 55.009 (1974B)  
Consolidated into 13.289 (1975B)

## 13.623

Runaway Youth (1975U)  
Replaces deleted program, 13.610 (1975U)  
Administration for Children, Youth and  
Families\_Runaway Youth (1978B)  
Administration for Children, Youth and  
Families\_Runaway and Homeless Youth (1986B)  
Number changed to 93.623 (1990U)

## 13.624

Rehabilitation Services and Facilities\_Basic

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|  |  |  |
|--|--|--|
| Support (1975B)<br>Number changed from 13.746 (1975B)<br>Transferred to 84.126 (1980U1)  | (1988B)<br>Number changed to 93.631 (1990U)  | Split from 13.609 (1975U)<br>Special Programs for the Aging_Research and Demonstration (1976B)<br>Special Programs for the Aging_Research and Development (1976U)<br>Special Programs for the Aging_Title IV Part B_Research and Development (1979B)<br>Consolidated into 13.668 (1982B)   |
| <b>13.625</b><br>Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1975B)<br>Number changed from 13.747 (1975B)<br>Transferred to 84.127 (1980U1)   | <b>13.632</b><br>Developmental Disabilities_Demonstration Facilities and Training (1975B)<br>Number changed from 13.760 (1975B)<br>Developmental Disabilities_University Affiliated Facilities (1977U)<br>Developmental Disabilities_University Affiliated Programs (1978B)<br>Administration on Developmental Disabilities_University Affiliated Facilities (1980U2)<br>Administration on Developmental Disabilities_University Affiliated Programs (1988B)<br>Number changed to 93.632 (1990U)   | <b>13.637</b><br>Programs for the Aging_Training (1975U)<br>Split from 13.609 (1975U)<br>Special Programs for the Aging_Training (1976B)<br>Special Programs for the Aging_Title IV A_Training (1979B)<br>Consolidated into 13.668 (1982B)   |
| <b>13.626</b><br>Rehabilitation Services and Facilities_Special Projects (1975B)<br>Number changed from 13.763 (1975B)<br>Split into 13.626, 13.649 (1978B)<br>Transferred to 84.128 (1980U1)  | <b>13.633</b><br>Special Programs for the Aging_State Agency Activities and Area Planning and Social Service Programs (1975U)<br>Split from 13.609 (1975U)<br>Special Programs for the Aging_Title III Parts A and B_Grants for States and Community Programs on Aging (1979B)<br>Special Programs for the Aging_Title III Parts A and B_Grants for Social Services and Centers (1981U)<br>Special Programs for the Aging_Title III, Parts A and B_Grants for Supportive Services and Senior Centers (1981U)<br>Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (1987B)<br>Number changed to 93.633 (1990U) | <b>13.638</b><br>Special Programs for the Aging_Multidisciplinary Centers of Gerontology (1976U)<br>Special Programs for the Aging_Title IV G_Multidisciplinary Centers of Gerontology (1979B)<br>Special Programs for the Aging_Title IV E_Multidisciplinary Centers of Gerontology (1980B)<br>Special Programs for the Aging_Title IV, Part E_Multidisciplinary Centers of Gerontology (1981B)<br>Archived (1982B) |
| <b>13.627</b><br>Rehabilitation Research and Demonstrations (1975B)<br>Number changed from 13.765 (1975B)<br>Number changed to 13.654 (1979U1)   | <b>13.634</b><br>Aging Programs Title III Section 308 Model Projects (1975U)<br>Split from 13.609 (1975U)<br>Special Programs for the Aging Title III Section 308 Model Projects on Aging (1976B)<br>Special Programs for the Aging_Title IV C_Discretionary Projects and Programs (1979B)<br>Special Programs for the Aging_Title IV Part C_Discretionary Projects and Programs (1981B)<br>Consolidated into 13.668 (1982B)   | <b>13.639</b><br>Special Programs for the Aging_Title V Multipurpose Senior Centers (1976U)<br>Incorporated into 13.633 (1979B)<br>Consolidated into 13.668 (1982B)  |
| <b>13.628</b><br>Child Development_Child Abuse and Neglect Prevention and Treatment (1975B)<br>Administration for Children, Youth and Families_Child Abuse and Neglect Prevention and Treatment (1977U)<br>Child Abuse and Neglect Prevention and Treatment (1978B)<br>Archived (1985B)  | <b>13.635</b><br>Special Programs for the Aging_Nutrition Program for the Elderly (1975U)<br>Split from 13.609 (1975U)<br>Special Programs for the Aging_Title III, Part C_Nutrition Services (1979B)<br>Number changed to 93.635 (1990U)  | <b>13.640</b><br>Youth Research and Development (1977B)<br>Administration for Children, Youth and Families_Youth Research and Development (1978B)<br>Incorporated into 13.608 (1981B)  |
| <b>13.629</b><br>Rehabilitation Training (1975B)<br>Number changed from 13.767 (1975B)<br>Transferred to 84.129 (1980U1)   | <b>13.636</b><br>Programs for the Aging_Research and Demonstration (1975U)   | <b>13.641</b><br>Special Programs for the Aging_Title III, Part D_In-Home Services for Frail Older Individuals (1988B)<br>Number changed to 93.641 (1990U)   |
| <b>13.630</b><br>Developmental Disabilities_Basic Support (1975B)<br>Number changed from 13.753 (1975B)<br>Developmental Disabilities_Basic Support and Advocacy Grants (1978U)<br>Administration for Developmental Disabilities_Basic Support and Advocacy Grants (1980U1)<br>Administration on Developmental Disabilities_Basic Support and Advocacy Grants (1980U2)<br>Number changed to 93.630 (1990U) |  | <b>13.642</b><br>Social Services for Low Income and Public Assistance Recipients (1977U)<br>Number changed from 13.771 (1977U)<br>Consolidated into 13.667 (1982B)   |
| <b>13.631</b><br>Developmental Disabilities_Special Projects (1975B)<br>Number changed from 13.759 (1975B)<br>Administration for Developmental Disabilities_Special Projects (1980U1)<br>Administration on Developmental Disabilities_Special Projects (1980U2)<br>Administration on Developmental Disabilities_Projects of National Significance  |  | <b>13.643</b><br>Children's Justice Grants to States (1987B)<br>Number changed to 93.643 (1990U)   |
|  |  | <b>13.644</b>  |

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Public Assistance Training Grants\_Title XX (1977U)

Number changed from 13.772 (1977U)

Social Services Training Grants\_Title XX (1979U1)

Consolidated into 13.667 (1982B)

## 13.645

Child Welfare Services (1977U)

Number changed from 13.707 (1977U)

Child Welfare Services\_State Grants (1978B)

Number changed to 93.645 (1990U)

## 13.646

Work Incentives Program\_Child Care\_Employment Related Supportive Services (1977U)

Number changed from 13.748 (1977U)

Work Incentive Program (1979B)

Number changed to 13.790 (1986U)

## 13.647

Social Services Research (1977U)

Split from 13.766 (1977U)

Social Services Research and Demonstration (1978B)

Number changed to 93.647 (1990U)

## 13.648

Training Grants in the Field of Child Welfare (1977U)

Number changed from 13.768 (1977U)

Child Welfare Services Training Grants (1978B)

Number changed to 93.648 (1990U)

## 13.649

Rehabilitation Services and Facilities\_Innovation and Expansion (1978B)

Split from 13.626 (1978B)

Transferred to 84.130 (1980U1)

## 13.650

Special Programs for the Aging\_Title II, Section 204, National Clearinghouse on Aging (1978B)

Archived (1982B)

## 13.651

Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1978U)

Transferred to 84.131 (1980U1)

## 13.652

Administration for Children, Youth and Families\_Adoption Opportunities (1979B)

Number changed to 93.652 (1990U)

## 13.653

Centers for Independent Living (1979U1)

Transferred to 84.132 (1980U1)

## 13.654

National Institute of Handicapped Research (1979U1)

Number changed from 13.627 (1979U1)

Transferred to 84.133 (1980U1)

## 13.655

Special Programs for the Aging\_Title VI\_Grants to Indian Tribes (1980B)

Special Programs for the Aging\_Title VI, Part A\_Indian Programs (1988B)

Special Programs for the Aging\_Title VI, Part A\_Indian Programs\_Grants to Indian Tribes (1988U)

Special Programs for the Aging\_Title VI, Part A, Indian Programs\_Grants to Indian Tribes\_Part B, Grants to Native Hawaiians (1990B)

Number changed to 93.655 (1990U)

## 13.656

Temporary Child Care and Crisis Nurseries (1988B)

Number changed to 93.656 (1990U)

## 13.657

Drug Abuse Prevention and Education for Runaway and Homeless Youth (1989B)

Number changed to 93.657 (1990U)

## 13.658

Foster Care\_Title IV-E (1982B)

Number changed to 93.658 (1990U)

## 13.659

Adoption Assistance (1981U)

Number changed to 93.659 (1990U)

## 13.660

Drug Abuse Prevention and Education Relating to Youth Gangs (1989B)

Number changed to 93.660 (1990U)

## 13.661

Native American Programs\_Research, Demonstration, and Evaluation (1981B)

Incorporated into 13.612 (1990B)

## 13.662

Native American Programs\_Training and Technical Assistance (1981B)

Incorporated into 13.612 (1990B)

## 13.663

Community Development Credit Union Revolving Loan Fund (1984B)

Number changed to 13.794 (1986U)

## 13.664

Rural Development Loan Fund (1984B)

Transferred to 10.433 (1986B)

## 13.665

Community Services Block Grant (1982B)

Split into 13.792, 13.793 (1986U)

## 13.666

Comprehensive Child Development Centers (1989B)

Number changed to 93.666 (1990U)

## 13.667

Social Services Block Grant (1982B)

Number changed to 93.667 (1990U)

## 13.668

Special Programs for the Aging\_Title IV\_Training, Research and Discretionary Projects and Programs (1982B)

Number changed to 93.668 (1990U)

## 13.669

Administration for Children, Youth and Families\_Child Abuse and Neglect State Grants (1985B)

Number changed to 93.669 (1990U)

## 13.670

Administration for Children, Youth and Families\_Child Abuse and Neglect Discretionary Activities (1985B)

Number changed to 93.670 (1990U)

## 13.671

Family Violence and Prevention Services (1986B)

Number changed to 93.671 (1990U)

## 13.672

Child Abuse Challenge Grants (1986U)

Number changed to 93.672 (1990U)

## 13.673

Grants to States for Planning and Development of Dependent Care Programs (1986U)

Number changed to 93.673 (1990U)

## 13.674

Independent Living (1987U)

Number changed to 93.674 (1990U)

## 13.675

Civil Rights Compliance Activities (1976B)

Number changed from 13.602 (1976B)

Number changed to 93.675 (1990U)

## 13.676

Surplus Property Utilization (1976B)

Number changed from 13.606 (1976B)

Number changed to 13.291 (1986U)

## 13.677

Facilities Engineering and Property

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Management\_Technical Assistance (1976B)  
Number changed from 13.607 (1976B)  
Facilities Engineering and Property  
Management\_Technical Support (1978B)  
Archived (1978B)

### 13.678

Consumer Affairs (1976B)  
Number changed from 13.611 (1976B)  
Number changed to 93.678 (1990U)

### 13.679

Child Support Enforcement (1976U)  
Number changed to 13.783 (1986U)

### 13.680

Telecommunications Demonstrations (1978B)  
Telecommunications Demonstrations for Social  
Services (1978U)  
Telecommunications Demonstrations for Health,  
Education and Other Social Services (1979U2)  
Transferred to 84.134 (1980U1)

### 13.685

Emergency School Aid Act\_Planning Grants  
(1979U1)  
Transferred to 84.106 (1980U1)

### 13.686

Emergency School Aid Act\_Pre-Implementation  
Assistance Grants (1979U1)  
Transferred to 84.107 (1980U1)

### 13.687

Emergency School Aid Act\_Out-of-Cycle Grants  
(1979U1)  
Transferred to 84.108 (1980U1)

### 13.688

Emergency School Aid Act\_Special Discretionary  
Assistance Grants (1979U1)  
Transferred to 84.109 (1980U1)

### 13.689

Emergency School Aid Act\_State Agency Grants  
(1979U1)  
Transferred to 84.110 (1980U1)

### 13.690

Emergency School Aid Act\_Grants for the Arts  
(1979U1)  
Transferred to 84.111 (1980U1)

### 13.691

Biomedical Sciences for Talented, Disadvantaged  
Secondary Students (1980B)  
Transferred to 84.112 (1980U1)

### 13.692

Adult Education Program for Adult Immigrants

(1979U2)  
Transferred to 84.113 (1980U1)

### 13.700

Health Insurance for the Aged\_Supplementary  
Medical Insurance (1969B)  
Aging\_Grants to States for Community Planning  
and Services (1970B)  
Aging\_Grants to States for Community Programs  
(1971B)  
Split into 13.700, 13.751 (1971B)  
Consolidated into 13.756 (1972B)

### 13.701

Aging\_Research and Demonstration (1969B)  
Aging\_Research and Development Grants (1970B)  
Consolidated into 13.757 (1972B)

### 13.702

Aging\_Training Grants (1970B)  
Consolidated into 13.758 (1972B)

### 13.703

Aid to Families with Dependent Children (1965B)  
Aid to Families with Dependent  
Children\_Maintenance Payments (1969B)  
Aid to Families with Dependent Children (1970B)  
Consolidated into 13.761 (1972B)

### 13.704

Aid to the Blind (1965B)  
Aid to the Blind\_Maintenance Payments (1969B)  
Aid to the Blind (1970B)  
Consolidated into 13.761 (1972B)

### 13.705

Aid to the Permanently and Totally Disabled  
(1965B)  
Aid to the Permanently and Totally  
Disabled\_Maintenance Payments (1969B)  
Aid to the Permanently and Totally Disabled  
(1970B)  
Consolidated into 13.761 (1972B)

### 13.706

Child Welfare Research, Training, and  
Demonstration Projects (1965B)  
Child Welfare Research and Demonstration Grants  
(1970B)  
Split into 13.608, 13.706 (1971B)  
Consolidated into 13.757 (1972B)

### 13.707

Child Welfare Services (1965B)  
Child Welfare Training (1969B)  
Child Welfare Services (1970B)  
Number changed to 13.645 (1977U)

### 13.708

Child Welfare Training (1970B)

Consolidated into 13.758 (1972B)

### 13.709

Emergency Welfare Assistance\_Maintenance  
Payments (1969B)  
Emergency Welfare Assistance (1970B)  
Consolidated into 13.761 (1972B)

### 13.710

Foster Grandparents (1969B)  
Foster Grandparent Program (1970B)  
Aging\_Foster Grandparents (1971B)  
Archived (1971U)

### 13.711

Juvenile Delinquency Planning, Prevention, and  
Rehabilitation (1970B)  
Consolidated into 13.764 (1972B)

### 13.712

Juvenile Delinquency Prevention and  
Control\_Model Programs and Technical Assistance  
(1970B)  
Consolidated into 13.764 (1972B)

### 13.713

Juvenile Delinquency Prevention and  
Control\_Training (1970B)  
Juvenile Delinquency Prevention and  
Control\_Training of Youth Service Personnel  
(1971B)  
Consolidated into 13.764 (1972B)

### 13.714

Medical Assistance Program (1967B)  
Number changed to 93.778 (1990U)

### 13.715

Mental Retardation\_Initial Staffing of Community  
Facilities (1970B)  
Developmentally Disabled\_Community Service  
Facility Initial Staffing (1971B)  
Consolidated into 13.759 (1972B)

### 13.716

Mental Retardation Community Facilities  
Construction (1970B)  
Number changed to 13.753 (1971B)

### 13.717

Hospital Improvement Projects for the Mentally  
Disabled (1965B)  
Mental Retardation\_Hospital Improvement (1969B)  
Mental Retardation\_Hospital Improvement (HIP)  
and Inservice Training (HIST) (1970B)  
Developmentally Disabled\_Hospital Improvement  
(1971B)  
Consolidated into 13.759 (1972B)

### 13.718

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Mental Retardation Rehabilitation Service Projects (1970B)

Developmentally Disabled\_Rehabilitation Service Projects (1971B)

Consolidated into 13.759 (1972B)

## 13.719

Mental Retardation Research (1970B)

Archived (1971B)

## 13.720

New Career Opportunities for the Handicapped (1970B)

Consolidated into 13.749 (1970U)

## 13.721

New Career Opportunities in Vocational Rehabilitation (1970B)

Consolidated into 13.749 (1970U)

## 13.722

Old-Age Assistance (1970B)

Consolidated into 13.761 (1972B)

## 13.723

Demonstration Projects in Public Assistance (1967B)

Public Assistance Demonstration Projects (1969B)

Public Assistance Demonstration Grants (1971B)

Consolidated into 13.757 (1972B)

## 13.724

Public Assistance Staff Development\_Formula Grants to States (1970B)

Public Assistance\_State and Local Training (1971B)

Number changed to 13.810 (1977U)

## 13.725

Refugees in the United States\_Health Services (1970B)

Refugee Assistance\_Health Services (1971B)

Consolidated into 13.762 (1972B)

## 13.726

Refugees in the United States\_Resettlement (1970B)

Refugee Assistance\_Resettlement (1971B)

Consolidated into 13.762 (1972B)

## 13.727

Refugees in the United States\_Welfare Assistance and Services (1970B)

Refugee Assistance\_Welfare Assistance and Services (1971B)

Consolidated into 13.762 (1972B)

## 13.728

Vocational Rehabilitation\_Research and Demonstration (1965B)

Rehabilitation Research and Demonstration Grants (1969B)

Consolidated into 13.757 (1972B)

## 13.729

Vocational Rehabilitation Research and Training Centers (1965B)

Rehabilitation Research and Training Centers (1969B)

Consolidated into 13.757 (1972B)

## 13.730

Vocational Rehabilitation Services (1967B)

Rehabilitation Services Expansion\_Contracts With Industry (1970B)

Rehabilitation Services Projects\_Projects with Industry (1971B)

Consolidated into 13.763 (1972B)

## 13.731

Rehabilitation Services Expansion Grants (1970B)

Rehabilitation Services Projects\_Expansion Grants (1971B)

Consolidated into 13.763 (1972B)

## 13.732

Rehabilitation Services Innovation (1969B)

Rehabilitation Services Innovation Grants (1970B)

Rehabilitation Services Projects\_Innovation Grants (1971B)

Archived (1972B)

## 13.733

Vocational Rehabilitation Training Grants (1965B)

Rehabilitation Training (1970B)

Consolidated into 13.758 (1972B)

## 13.734

Citizens Returned or Brought from a Foreign Country (1965B)

Repatriated United States National Assistance (1969B)

Consolidated into 13.761 (1972B)

## 13.735

Social Services\_Aid to the Blind (1970B)

Consolidated into 13.754 (1971B)

## 13.736

Social Services\_Aid to the Permanently and Totally Disabled (1970B)

Consolidated into 13.754 (1971B)

## 13.737

Social Services to Families and Children Receiving Aid to Families with Dependent Children (1969B)

Social Services\_Families with Dependent Children (1970B)

Consolidated into 13.754 (1971B)

## 13.738

Old-Age Assistance (1965B)

Old-Age Assistance\_Maintenance Payments (1969B)

Social Services\_Old-Age Assistance (1970B)

Consolidated into 13.754 (1971B)

## 13.739

Research and Demonstration Projects in Social Welfare (1967B)

Social Welfare Cooperative Research and Demonstration Grants (1970B)

Consolidated into 13.757 (1972B)

## 13.740

Social Services Training (1969B)

Social Work Manpower\_Training Grants (1970B)

Consolidated into 13.758 (1972B)

## 13.741

State and Local Administration of Public Assistance Programs (1970B)

State and Local Administration of Public Assistance (1971B)

Consolidated into 13.761 (1972B)

## 13.742

Vocational Rehabilitation\_Facilities and Workshops (1965B)

Vocational Rehabilitation\_Facility Improvement Grants (1970B)

Rehabilitation Facilities Projects\_Improvement Grants (1971B)

Consolidated into 13.763 (1972B)

## 13.743

Vocational Rehabilitation\_Initial Staffing (1970B)

Rehabilitation Services Projects\_Initial Staffing (1971B)

Consolidated into 13.763 (1972B)

## 13.744

Social and Rehabilitation Services\_Technical Assistance (1969B)

Vocational Rehabilitation\_Technical Assistance (1970B)

Rehabilitation Facilities Improvement Grants\_Technical Assistance (1971B)

Consolidated into 13.763 (1972B)

## 13.745

Vocational Rehabilitation\_Training Services Grants (1970B)

Rehabilitation Services Training Grants (1971B)

Consolidated into 13.763 (1972B)

## 13.746

Vocational Rehabilitation\_Rehabilitation Services (1965B)

Social Services for Rehabilitation Patients (1969B)

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Vocational Rehabilitation Services\_Basic Support (1970B)

Rehabilitation Services and Facilities\_Basic Support (1971B)

Number changed to 13.624 (1975B)

## 13.747

Social Services for the Elderly Through Public Assistance (1969B)

Vocational Rehabilitation Services for Social Security Beneficiaries (1970B)

Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1971B)

Number changed to 13.625 (1975B)

## 13.748

Work Incentive Program\_Child Care (1970B)

Work Incentives Program\_Child Care\_Employment Related Supportive Services (1973B)

Number changed to 13.646 (1977U)

## 13.749

Vocational Rehabilitation\_New Careers (1970U)

Consolidated from 13.720, 13.721 (1970U)

Rehabilitation Services Projects\_New Career Opportunities (1971B)

Consolidated into 13.763 (1972B)

## 13.750

Aging\_Grants to States for Areawide Model Projects (1971B)

Consolidated into 13.756 (1972B)

## 13.751

Aging\_Grants to States for Statewide Planning, Coordination, Evaluation, and Administration (1971B)

Split from 13.700 (1971B)

Consolidated into 13.756 (1972B)

## 13.752

Aging\_Retired Senior Volunteers (1971B)

Archived (1971U)

## 13.753

Developmentally Disabled\_Basic Support (1971B)

Number changed from 13.716 (1971B)

Number changed to 13.630 (1975B)

## 13.754

Public Assistance\_Social Services (1971B)

Consolidated from 13.735, 13.736, 13.737, 13.738 (1971B)

Incorporated into 13.771 (1977U)

## 13.755

Vocational Rehabilitation\_Construction Grants (1971B)

Archived (1973B)

## 13.756

Aging\_Special Support Projects (1972B)

Consolidated from 13.700, 13.750, 13.751 (1972B)

Special Programs for the Aging (1973B)

Number changed to 13.609 (1973U)

## 13.757

Comprehensive Social Rehabilitation Research (1972B)

Consolidated from 13.701, 13.706, 13.723, 13.728, 13.729, 13.739 (1972B)

Split into 13.765, 13.766 (1974B)

## 13.758

Comprehensive Social and Rehabilitation Training (1972B)

Consolidated from 13.702, 13.708, 13.733, 13.740 (1972B)

Archived (1973B)

## 13.759

Developmental Disabilities\_Special Projects (1972B)

Consolidated from 13.715, 13.717, 13.718 (1972B)

Number changed to 13.631 (1975B)

## 13.760

Developmental Disabilities\_Demonstration Facilities and Training (1972B)

Number changed to 13.632 (1975B)

## 13.761

Public Assistance\_Maintenance Assistance (State Aid) (1972B)

Consolidated from 13.703, 13.704, 13.705, 13.709, 13.722, 13.734, 13.741 (1972B)

Number changed to 13.808 (1977U)

## 13.762

Refugee Assistance\_Cuban Refugees (1972B)

Consolidated from 13.725, 13.726, 13.727 (1972B)

Number changed to 13.813 (1977U)

## 13.763

Rehabilitation Services and Facilities\_Special Projects (1972B)

Consolidated from 13.730, 13.731, 13.742, 13.743, 13.744, 13.745, 13.749 (1972B)

Number changed to 13.626 (1975B)

## 13.764

Youth\_Development and Delinquency Prevention (1972B)

Consolidated from 13.711, 13.712, 13.713 (1972B)

Number changed to 13.610 (1973U)

## 13.765

Rehabilitation Research and Demonstrations (1974B)

Split from 13.757 (1974B)

Number changed to 13.627 (1975B)

## 13.766

Public Assistance Research (1974B)

Split from 13.757 (1974B)

Health Financing Research, Demonstrations and Experiments (1977U)

Split into 13.647, 13.766, 13.812 (1977U)

Health Financing Research, Demonstrations and Evaluations (1987B)

Health Care Financing Research, Demonstrations and Evaluations (1987U)

Number changed to 93.779 (1990U)

## 13.767

Rehabilitation Training (1974B)

Number changed to 13.629 (1975B)

## 13.768

Community Services Training Grants (1975B)

Training Grants in the Field of Child Welfare (1976B)

Number changed to 13.648 (1977U)

## 13.769

Special Assistance to Refugees from Cambodia and Vietnam in the United States (1976B)

Special Assistance to Refugees from Cambodia, Vietnam and Laos in the United States (1976U)

Number changed to 13.814 (1977U)

## 13.771

Social Services for Low Income and Public Assistance Recipients (1976B)

Number changed to 13.642 (1977U)

## 13.772

Public Assistance Training Grants\_Title XX (1976B)

Number changed to 13.644 (1977U)

## 13.773

Medicare\_Hospital Insurance (1977U)

Number changed from 13.800 (1977U)

Health Insurance for the Aged\_Hospital Insurance (1977U)

Medicare\_Supplementary Medical Insurance (1977U)

Number changed to 93.773 (1990U)

## 13.774

Health Insurance for the Aged\_Supplementary Medical Insurance (1977U)

Number changed from 13.801 (1977U)

Number changed to 93.774 (1990U)

## 13.775

State Medicaid Fraud Control Units (1978B)

Number changed to 93.775 (1990U)



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|  |   |   |
|--|---|---|
| <b>13.776</b><br>Professional Standards Review Organizations (1979B)<br>Archived (1985B)   | Number changed from 13.815 (1986U)<br>Number changed to 93.027 (1990U)  | Medicare_Hospital Insurance (1973B)<br>Number changed to 13.773 (1977U)   |
| <b>13.777</b><br>State Health Care Providers Survey Certification (1979B)<br>State Survey and Certification of Health Care Providers and Suppliers (1986B)<br>Number changed to 93.777 (1990U)                 | <b>13.789</b><br>Low-Income Home Energy Assistance (1986U)<br>Number changed from 13.818 (1986U)<br>Number changed to 93.028 (1990U)  | <b>13.801</b><br>Health Insurance for the Aged_Supplementary Medical Insurance (1970B)<br>Medicare_Supplementary Medical Insurance (1973B)<br>Number changed to 13.774 (1977U)  |
| <b>13.780</b><br>Assistance Payments_Maintenance Assistance (1986U)<br>Number changed from 13.808 (1986U)<br>Family Support Payments to States_Assistance Payments (1988B)<br>Number changed to 93.020 (1990U) | <b>13.790</b><br>Work Incentive Program (1986U)<br>Number changed from 13.646 (1986U)<br>Work Incentive Program/WIN Demonstration Program (1988U)<br>Number changed to 93.029 (1990U) | <b>13.802</b><br>Social Security Benefits (1967B)<br>Social Security_Disability Insurance (1970B)<br>Number changed to 93.802 (1990U)   |
| <b>13.781</b><br>Job Opportunities and Basic Skills Training (1989B)<br>Number changed to 93.021 (1990U)   | <b>13.791</b><br>Emergency Services and Shelter AFDC Transitional Housing Demonstration Program (1990B)<br>Number changed to 93.030 (1990U)   | <b>13.803</b><br>Social Security_Retirement Insurance (1970B)<br>Number changed to 93.803 (1990U)   |
| <b>13.782</b><br>Assistance Payments_Research (1986U)<br>Number changed from 13.812 (1986U)<br>Number changed to 93.022 (1990U)  | <b>13.792</b><br>Community Services Block Grant (1986U)<br>Number changed from 13.665 (1986U)<br>Split from 13.665 (1986U)<br>Number changed to 93.031 (1990U)                        | <b>13.804</b><br>Social Security_Special Benefits for Persons Aged 72 and Over (1970B)<br>Number changed to 93.804 (1990U)  |
| <b>13.783</b><br>Child Support Enforcement (1986U)<br>Number changed from 13.679 (1986U)<br>Number changed to 93.023 (1990U)   | <b>13.793</b><br>Community Services Block Grant_Discretionary Awards (1986U)<br>Split from 13.665 (1986U)<br>Number changed to 93.032 (1990U)   | <b>13.805</b><br>Social Security_Survivors Insurance (1970B)<br>Number changed to 93.805 (1990U)  |
| <b>13.784</b><br>Child Support Enforcement Research (1986U)<br>Number changed from 13.809 (1986U)<br>Number changed to 93.024 (1990U)  | <b>13.794</b><br>Community Development Credit Union Revolving Loan Fund<br>Number changed from 13.663 (1986U)<br>Transferred to 44.002 (1987B)  | <b>13.806</b><br>Special Benefits for Disabled Coal Miners (1970B)<br>Number changed to 93.806 (1990U)  |
| <b>13.785</b><br>Child Support Enforcement Interstate Grants (1986U)<br>Number changed from 13.811 (1986U)<br>Archived (1989B)   | <b>13.795</b><br>Community Block Grant Discretionary Awards_Community Food and Nutrition (1987B)<br>Number changed to 93.033 (1990U)  | <b>13.807</b><br>Supplemental Security Income (1973U)<br>Number changed to 93.807 (1990U)   |
| <b>13.786</b><br>State Legalization Impact Assistance Grants (1987U)<br>Number changed to 93.025 (1990U)   | <b>13.796</b><br>Emergency Community Services for the Homeless (1988B)<br>Number changed to 93.034 (1990U)  | <b>13.808</b><br>Public Assistance_Maintenance Assistance (State Aid) (1977U)<br>Number changed from 13.761 (1977U)<br>Assistance Payments_Maintenance Assistance (State Aid) (1978B)<br>Assistance Payments_Maintenance Assistance (1981B)<br>Number changed to 13.780 (1986U) |
| <b>13.787</b><br>Refugee and Entrant Assistance_State Administered Programs (1986U)<br>Number changed from 13.814 (1986U)<br>Number changed to 93.026 (1990U)  | <b>13.797</b><br>Community Services Block Grant Discretionary Awards_Demonstration Partnerships (1988B)<br>Number changed to 93.035 (1990U)   | <b>13.809</b><br>Child Support Enforcement Research (1984B)<br>Split from 13.812 (1984B)<br>Number changed to 13.784 (1986U)  |
| <b>13.788</b><br>Refugee Assistance_Voluntary Agency Programs (1986U)  | <b>13.800</b><br>Health Insurance for the Aged (1965B)<br>Health Insurance for People 65 or Over (Medicare) (1967B)<br>Health Insurance of the Aged_Hospital Insurance (1969B)        | <b>13.810</b><br>Public Assistance_State and Local Training (1977U)<br>Number changed from 13.724 (1977U)<br>Assistance Payments_State and Local Training (1978B)<br>Incorporated into 13.808 (1983U)   |
|  |   | <b>13.811</b>   |

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Child Support Enforcement Interstate Grants (1985B)

Number changed to 13.785 (1986U)

### 13.812

Public Assistance Research (1977U)

Split from 13.766 (1977U)

Assistance Payments\_Research (1978B)

Split into 13.809, 13.812 (1984B)

Reinstated (1987B)

Number changed to 93.812 (1990U)

### 13.813

Refugee Assistance\_Cuban Refugees (1977U)

Number changed from 13.762 (1977U)

Refugee Assistance\_Cuban Program Phasedown (1981B)

Archived (1982B)

### 13.814

Special Assistance to Refugees from Cambodia, Vietnam and Laos in the United States (1977U)

Number changed from 13.769 (1977U)

Refugee Assistance\_Indochinese Refugees (1978B)

Refugee Assistance\_State Administered Programs (1980B)

Refugee and Entrant Assistance\_State Administered Programs (1984B)

Number changed to 13.787 (1986U)

### 13.815

Refugee Assistance: Soviet and Other Refugees (Excluding Cuban and Indochinese Refugees) (1979B)

Refugee Assistance\_Voluntary Agency Programs (1980B)

Number changed to 13.788 (1986U)

### 13.816

Low Income Energy Assistance Program (1980U1)

Low Income Home Energy Assistance Program (1981U)

Number changed to 13.818 (1982B)

### 13.817

Refugee Assistance\_Cuban and Haitian Entrants (1981B)

Entrant Assistance\_Cuban and Haitian Entrants (1982B)

Incorporated into 13.814 (1984B)

### 13.818

Low Income Home Energy Assistance Program (1982B)

Number changed from 13.816 (1982B)

Number changed to 13.789 (1986U)

### 13.820

Scholarships for First-Year Students of Exceptional Financial Need (1978B)

Scholarships for Students of Exceptional Financial Need (1989B)

Number changed to 93.820 (1990U)

### 13.821

Physiology and Biomedical Engineering (1978U)

Consolidated from 13.860, 13.861 (1978U)

Biophysics and Physiological Sciences (1985B)

Number changed to 93.821 (1990U)

### 13.822

Health Careers Opportunity Program (1979B)

Number changed to 93.822 (1990U)

### 13.823

Health Underserved Research and Demonstration Projects (1979B)

Primary Care Research and Demonstration Projects (1979U2)

Split into 13.112, 13.113, 13.114, 13.115 (1983B)

### 13.824

Area Health Education Centers (1979B)

Archived (1980B)

Reinstated (1981B)

Number changed to 93.824 (1990U)

### 13.825

Cancer\_Research and Development Contracts (1973U)

Split into 13.393, 13.394, 13.395, 13.396, 13.399 (1974B)

### 13.826

Heart and Lung\_Research and Development Contracts (1973U)

Split into 13.837, 13.838, 13.839 (1974B)

### 13.827

Dental Research\_Contracts (1973U)

Split into 13.840, 13.841, 13.842, 13.843, 13.844, 13.845 (1974B)

### 13.828

Arthritis, Metabolism, and Digestive Diseases\_Research Contracts (1973U)

Split into 13.846, 13.847, 13.848, 13.849, 13.850 (1974B)

### 13.829

Neurological Diseases and Stroke\_Research and Development Contracts (1973U)

Split into 13.851, 13.852, 13.853, 13.854 (1974B)

### 13.830

Allergy and Infectious Diseases\_Research and Development Contracts (1973U)

Split into 13.855, 13.856, 13.857, 13.858 (1974B)

### 13.831

General Medical Sciences\_Research and Development Contracts (1973U)

Split into 13.859, 13.860, 13.861, 13.862, 13.863 (1974B)

### 13.832

Child Health and Human Development\_Research and Development Contracts (1973U)

Split into 13.864, 13.865, 13.866 (1974B)

### 13.833

Eye\_Research and Development Contracts (1973U)

Split into 13.867, 13.868, 13.869, 13.870, 13.871 (1974B)

### 13.834

Environmental Health Sciences\_Research and Development Contracts (1973U)

Split into 13.872, 13.873, 13.874, 13.875, 13.876 (1974B)

### 13.835

Research Resources\_Research and Development Contracts (1973U)

Split/Incorporated into 13.306, 13.371, 13.877 (1974B)

### 13.836

Biomedical Communications\_Research Contracts (1973U)

Biomedical Communications Research (1974B)

Archived (1980B)

### 13.837

Heart and Vascular Diseases Research (1974B)

Split from 13.346, 13.374, 13.826 (1974B)

Number changed to 93.837 (1990U)

### 13.838

Lung Diseases Research (1974B)

Split from 13.346, 13.374, 13.826 (1974B)

Number changed to 93.838 (1990U)

### 13.839

Blood Diseases and Resources Research (1974B)

Split from 13.346, 13.374, 13.826 (1974B)

Number changed to 93.839 (1990U)

### 13.840

Caries Research (1974B)

Split from 13.325, 13.827 (1974B)

Consolidated into 13.121 (1984B)

### 13.841

Periodontal and Soft Tissue Diseases Research (1974B)

Split from 13.325, 13.827 (1974B)

Periodontal Diseases Research (1976B)

Split into 13.841, 13.878 (1976B)

Consolidated into 13.121 (1984B)

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- 13.842**  
Craniofacial Anomalies Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.122 (1984B)
- 13.843**  
Restorative Materials Research (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.121 (1984B)
- 13.844**  
Pain Control and Behavioral Studies (1974B)  
Split from 13.325, 13.827 (1974B)  
Consolidated into 13.122 (1984B)
- 13.845**  
Dental Research Institutes (1974B)  
Split from 13.325, 13.827 (1974B)  
Dental Research Institutes\_Research Centers in Oral Biology (1987B)  
Consolidated into 93.121 (1990U)
- 13.846**  
Arthritis, Bone and Skin Diseases Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Arthritis, Musculoskeletal and Skin Diseases Research (1981B)  
Number changed to 93.846 (1990U)
- 13.847**  
Diabetes, Endocrinology and Metabolism Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Number changed to 93.847 (1990U)
- 13.848**  
Digestive Diseases and Nutrition Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Number changed to 93.848 (1990U)
- 13.849**  
Kidney Diseases Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Kidney Diseases, Urology and Hematology Research (1976U)  
Number changed to 93.849 (1990U)
- 13.850**  
Hematology Research (1974B)  
Split from 13.309, 13.828 (1974B)  
Incorporated into 13.849 (1976U)
- 13.851**  
Communicative Disorders Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Incorporated into 13.853, 13.854 (1982B)
- 13.852**  
Neurological Disorders Research (1974B)
- Split from 13.356, 13.829 (1974B)  
Incorporated into 13.853, 13.854 (1982B)
- 13.853**  
Stroke, Nervous System Trauma Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Clinical Research (1982B)  
Clinical Research Related to Neurological and Communicative Disorders (1985B)  
Clinical Research Related to Neurological Disorders (1989B)  
Number changed to 93.853 (1990U)
- 13.854**  
Fundamental Neurosciences Research (1974B)  
Split from 13.356, 13.829 (1974B)  
Biological Basic Research (1982B)  
Biological Basis Research in the Neurosciences and Communicative Sciences (1985B)  
Biological Basis Research in the Neurosciences (1989B)  
Number changed to 93.854 (1990U)
- 13.855**  
Allergic and Immunologic Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Immunology, Allergic and Immunologic Diseases Research (1977B)  
Pharmacological Sciences (1980B)  
Immunology, Allergic and Immunologic Diseases Research (1980U1)  
Allergy, Immunology and Transplantation Research (1989B)  
Number changed to 93.855 (1990U)
- 13.856**  
Bacterial and Fungal Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Infectious Diseases Research (1975U)  
Microbiology and Infectious Diseases Research (1977B)  
Number changed to 93.856 (1990U)
- 13.857**  
Viral Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Incorporated into 13.856 (1975U)
- 13.858**  
Parasitic Diseases Research (1974B)  
Split from 13.301, 13.830 (1974B)  
Incorporated into 13.856 (1975U)
- 13.859**  
Pharmacology\_Toxicology Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Pharmacological Sciences (1980U1)  
Number changed to 93.859 (1990U)
- 13.860**  
Biomedical Engineering Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Consolidated into 13.821 (1978U)
- 13.861**  
Clinical and Physiological Sciences Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Consolidated into 13.821 (1978U)
- 13.862**  
Genetics Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Number changed to 93.862 (1990U)
- 13.863**  
Cellular and Molecular Basis of Disease Research (1974B)  
Split from 13.335, 13.831 (1974B)  
Number changed to 93.863 (1990U)
- 13.864**  
Population Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Number changed to 93.864 (1990U)
- 13.865**  
Child Health Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Research for Mothers and Children (1975U)  
Number changed to 93.865 (1990U)
- 13.866**  
Aging Research (1974B)  
Split from 13.317, 13.832 (1974B)  
Number changed to 93.866 (1990U)
- 13.867**  
Retinal and Choroidal Diseases Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Number changed to 93.867 (1990U)
- 13.868**  
Corneal Diseases Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Anterior Segment Diseases Research (1988B)  
Number changed to 93.868 (1990U)
- 13.869**  
Cataract Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Archived (1988B)
- 13.870**  
Glaucoma Research (1974B)  
Split from 13.331, 13.833 (1974B)  
Archived (1988B)
- 13.871**

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Sensory\_Motor Disorders and Rehabilitation Research (1974B)

Split from 13.331, 13.833 (1974B)

Sensory and Motor Disorders of Vision Research (1977U)

Strabismus, Amblyopia and Visual Processing (1982B)

Number changed to 93.871 (1990U)

### 13.872

Environmental Health Sciences Centers (1974B)

Split from 13.328, 13.834 (1974B)

Consolidated into 13.892, 13.893, 13.894 (1978B)

### 13.873

Environmental Mutagenesis and Reproductive Toxicology Research (1974B)

Split from 13.328, 13.834 (1974B)

Consolidated into 13.892, 13.893, 13.894 (1978B)

### 13.874

Etiology of Environmental Diseases and Disorders Research (1974B)

Split from 13.328, 13.834 (1974B)

Consolidated into 13.892, 13.893, 13.894 (1978B)

### 13.875

Environmental Pharmacology and Toxicology Research (1974B)

Split from 13.328, 13.834 (1974B)

Consolidated into 13.892, 13.893, 13.894 (1978B)

### 13.876

Environmental Pathogenesis Research (1974B)

Split from 13.328, 13.834 (1974B)

Consolidated into 13.892, 13.893, 13.894 (1978B)

### 13.877

Chemical/Biological Information\_Handling Research (1974B)

Split from 13.835 (1974B)

Archived (1980B)

### 13.878

Soft Tissue Stomatology and Nutrition Research (1976B)

Split from 13.841 (1976B)

Consolidated into 13.121 (1984B)

### 13.879

Medical Library Assistance (1977B)

Consolidated from 13.348, 13.349, 13.350, 13.351, 13.352, 13.881 (1977B)

Number changed to 93.879 (1990U)

### 13.880

Minority Access to Research Careers (1976B)

Number changed to 93.880 (1990U)

### 13.881

Health Science and Computer Technology Training (1976B)

Consolidated into 13.879 (1977B)

### 13.882

Hypertension Program (1977B)

High Blood Pressure Control Program (1981B)

Consolidated into 13.991 (1982B)

### 13.883

National Health Planning Information Center (1977B)

Archived (1980B)

### 13.884

Grants for Residency Training in General Internal Medicine and/or General Pediatrics (1977B)

Number changed to 93.884 (1990U)

### 13.885

Transfer of U.S. Students in Foreign Medical Schools to U.S. Schools (1977B)

Grants for Training United States Citizen Foreign Medical Students (1978B)

Grants for Training United States Citizen FMS (1979U1)

Archived (1980B)

### 13.886

Educational Programs for the Physician's Assistant (1977B)

Grants for Programs for the Training of Physician's Assistants (1978B)

Grants for Physician Assistant Training Program (1979U1)

Number changed to 93.886 (1990U)

### 13.887

Medical Facilities Construction\_Project Grants (1977B)

Archived (1980U1)

Outpatient Medical Facility Improvement, Reinstated (1987B)

Project Grants for Non-Acute Care Intermediate and Long- Term Care Facilities (1988B)

Project Grants for Non-Acute Care Intermediate and Long- Term Care Facilities for Patients with AIDS (1989U)

Number changed to 93.887 (1990U)

### 13.888

Home Health Services Grant Program (1977B)

Home Health Services and Training Grant Program (1979B)

Consolidated into 13.991 (1982B)

Home Health Services and Training Grants and Loans (1983U)

Split from 13.991 (1983U)

Home Health Services and Training (1986B)

Archived (1988B)

### 13.889

Expanded Function Dental Auxiliary Training Program (1977U)

Archived (1982B)

### 13.890

Genetic Diseases Testing and Counseling Services (1978B)

Consolidated into 13.994 (1982B)

### 13.891

Alcohol Research Center Grants (1978B)

Number changed to 93.891 (1990U)

### 13.892

Prediction, Detection and Assessment of Environmentally Caused Diseases and Disorders (1978B)

Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)

Split into 13.112, 13.113, 13.114, 13.115 (1983B)

### 13.893

Mechanisms of Environmental Diseases and Disorders (1978B)

Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)

Archived (1983B)

### 13.894

Environmental Health Research and Manpower Development Resources (1978B)

Consolidated from 13.872, 13.873, 13.874, 13.875, 13.876 (1978B)

Resource and Manpower Development (1983B)

Resource and Manpower Development in the Environmental Health Services (1985B)

Number changed to 93.894 (1990U)

### 13.895

Grants for Faculty Development in Family Medicine (1978B)

Number changed to 93.895 (1990U)

### 13.896

Grants for Predoctoral Training in Family Medicine (1978B)

Number changed to 93.896 (1990U)

### 13.897

Residency Training in the General Practice of Dentistry (1978B)

Residency Training and Advanced Education in the General Practice of Dentistry (1986B)

Number changed to 93.897 (1990U)

### 13.898

Alcoholism Demonstration (1978B)

Split from 13.252 (1978B)

Alcoholism Demonstration/Evaluation (1979B)

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Archived (1982B)

### 13.899

Alcohol Abuse and Alcoholism Prevention Demonstration (1978B)  
Split from 13.252 (1978B)  
Alcohol Abuse Prevention Research Demonstration (1980B)  
Alcohol Abuse Prevention Demonstration/Evaluation (1980U1)  
Archived (1982B)

### 13.900

Grants for Faculty Development in General Internal Medicine and/or General Pediatrics (1985B)  
Number changed to 93.900 (1990U)

### 13.901

Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems (1990B)  
Number changed to 93.901 (1990U)

### 13.922

Capacity Building for Statistical Activities in State Educational Agencies (1979B)  
Capacity Building for Statistical Activities (1980B)  
Transferred to 84.114 (1980U1)

### 13.923

Institute of Museum Services (1978B)  
Transferred to 84.115 (1980U1)

### 13.925

Fund for the Improvement of Postsecondary Education (1976B)  
Number changed from 13.538 (1976B)  
Post Secondary Education Improvement Fund,  
Transferred to 84.116 (1980U1)

### 13.950

Educational Research and Development (1976B)  
Number changed from 13.575 (1976B)  
Transferred to 84.117 (1980U1)

### 13.961

Public Health Special Project Grants (1979B)  
Archived (1981U)

### 13.962

Traineeships for Students in Other Graduate Programs (1979B)  
Health Administration Graduate Traineeships (1979U1)  
Number changed to 93.962 (1990U)

### 13.963

Graduate Programs in Health Administration (1979B)  
Number changed to 93.963 (1990U)

### 13.964

Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs (1979B)  
Number changed to 93.964 (1990U)

### 13.965

Coal Miners Respiratory Impairment Treatment Clinics and Services (1979B)  
Number changed to 93.965 (1990U)

### 13.966

Allied Health Traineeship Grants for Advanced Training Institutes (Short Term) (1979B)  
Allied Health Traineeship Grants for Training Institutes (Short Term) (1979U1)  
Allied Health Traineeship Grants for Advanced Training Institutes (Short Term) (1980B)  
Archived (1980U1)

### 13.967

Allied Health Traineeship Grants for Advanced Training (Long Term) (1979B)  
Allied Health Traineeship Grants for Training Institutes (Long Term) (1979U1)  
Allied Health Traineeship Grants for Advanced Training Institutes (Long Term) (1980B)  
Allied Health Traineeship Grants for Advanced Training (Long Term) (1980U1)  
Archived (1981U)

### 13.968

Allied Health Professions Project Grants (1979B)  
Archived (1981U)

### 13.969

Curriculum Development Grants (1979B)  
Health Professions Special Educational Initiatives (1983B)  
Grants for the Training of Health Professions in Geriatrics (1988U)  
Number changed to 93.969 (1990U)

### 13.970

Health Professions Recruitment Program for Indians (1979B)  
Number changed to 93.970 (1990U)

### 13.971

Health Professions Preparatory Scholarship Program for Indians (1979B)  
Number changed to 93.971 (1990U)

### 13.972

Health Professions Scholarship Program for Indians (1979B)  
Health Professions Scholarship Program (1988U)  
Number changed to 93.972 (1990U)

### 13.973

Special Grants for Former National Health Service

Corps Members to Enter Private Practice (1979U1)  
Special Loans for National Health Service Corps Members to Enter Private Practice (1983B)  
Number changed to 93.973 (1990U)

### 13.974

Family Planning Services Delivery Improvement Research Grants and Contracts (1979U1)  
Family Planning Services Delivery Improvement Research Grants (1980B)  
Family Planning Services Delivery Improvement Research Grants (1983U)  
Number changed to 93.974 (1990U)

### 13.975

Adolescent Pregnancy Prevention and Services (1979U1)  
Consolidated into 13.994 (1982B)

### 13.976

Hospital\_Affiliated Primary Care Centers (1979U2)  
Archived (1981U)

### 13.977

Preventive Health Service\_Venereal Disease Control Grants (1979U1)  
Preventive Health Services\_Venereal Disease Control Grants (1981U)  
Preventive Health Services\_Sexually Transmitted Diseases Control Grants (1985B)  
Number changed to 93.977 (1990U)

### 13.978

Preventive Health Service\_Venereal Disease Research, Demonstration, and Public Information and Education Grants 9 (1979U1)  
Preventive Health Services\_Venereal Disease Research, Demonstration, and Public Information and Education Grants (1981U)  
Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants (1985B)  
Number changed to 93.978 (1990U)

### 13.979

Preventive Health Services\_Influenza Immunization Grants (1979U1)  
Archived (1980B)

### 13.980

Preventive Health Services\_Fluoridation Grants (1979U1)  
Consolidated into 13.991 (1982B)

### 13.981

Grants for Health Education\_Risk Reduction (1979U2)  
Consolidated into 13.991 (1982B)

### 13.982

Mental Health Disaster Assistance and Emergency

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Mental Health (1979U2)

Number changed to 93.982 (1990U)

### 13.983

Health Facility Energy Conservation\_Technical Assistance (1980B)

Health Facility Energy Cost Management (1981B)

Health Facility Energy Management (1983U)

Archived (1985B)

### 13.984

Grants for the Establishment of Departments of Family Medicine (1980B)

Number changed to 93.984 (1990U)

### 13.985

Eye Research-Facility Construction (1980U1)

Archived (1983B)

Reinstated (1985B)

Archived (1988B)

### 13.986

Health Care Technology Research (1980U1)

Archived (1982B)

### 13.987

Health Programs for Refugees (1980U2)

Number changed to 93.987 (1990U)

### 13.988

Cooperative Agreements for State\_Based Diabetes Control Programs (1981B)

Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (1990B)

Number changed to 93.988 (1990U)

### 13.989

Senior International Awards Program (1981B)

Senior International Fellowships (1989B)

Number changed to 93.989 (1990U)

### 13.990

National Health Promotion Activities (1981U)

National Health Promotion Training Network (1982B)

National Health Promotion (1982B)

Number changed to 93.990 (1990U)

### 13.991

Preventive Health and Health Services Block Grant (1982B)

Split into 13.888, 13.991 (1983U)

Number changed to 93.991 (1990U)

### 13.992

Alcohol and Drug Abuse and Mental Health Services Block Grant (1982B)

Number changed to 93.992 (1990U)

### 13.993

Primary Care Block Grant (1983B)

Archived (1986U)

### 13.994

Maternal and Child Health Services Block Grant (1982B)

Number changed to 93.994 (1990U)

### 13.995

Adolescent Family Life\_Demonstration Projects (1982B)

Number changed to 93.995 (1990U)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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Advance Acquisition of Land (1965B)

Archived (1969B)

Advances for Public Works Planning (1965B)

Public Works Planning Advances (1969B)

Archived (1970B)

American Indians\_Public Housing Program (1965B)

Public Housing Program for American Indians (1967B)

Archived (1969B)

Homes Association Residential Subdivision (1967B)

Archived (1969B)

Low-Rent Public Housing (1965B)

Incorporated into 14.146 (1970B)

Metropolitan Expeditors to Assist Local Officials (1965B)

Archived (1969B)

Supplementary Grants for Planned Metropolitan Development (1967B)

Archived (1969B)

Urban Information and Technical Assistance Services (1967B)

Archived (1969B)

Urban Mass Transportation (1965B)

Transferred to the Department of Transportation (1969B)

Urban Mass Transportation Demonstration Grants (1967B)

Transferred to the Department of Transportation (1969B)

Urban Renewal Rehabilitation and Code Enforcement (1965B)

Archived (1969B)

Mortgage Insurance for Armed Services Housing\_Civilian Employees (1969B)

Archived (1970B)

Mortgage Insurance for Armed Services Housing\_Impacted Areas (1969B)

Archived (1970B)

Mortgage Insurance for Servicemen's Housing (1969B)

Archived (1970B)

Alaska Housing (1970B)

Archived (1970B)

### 14.001

Flood Insurance (1969B)

Transferred to 83.100 (1980B)

### 14.002

Urban Property Protection and Reinsurance Program (1969B)

Urban Property Insurance (1975B)

Transferred to 83.101 (1980B)

### 14.003

Crime Insurance (1971U)

Transferred to 83.102 (1980B)

### 14.004

Land Sales\_Undeveloped Plots in Interstate Commerce (1972U)

Land Sales\_Parcel of Subdivided Land (1976B)

Number changed to 14.801 (1980B)

### 14.100

College Housing Program (1965B)

College Housing Debt Service (1970B)

Split into 14.100, 14.101 (1970B)

Archived (1973B)

### 14.101

College Housing Direct Loans (1970B)

Split from 14.100 (1970B)

Incorporated into 14.100 (1971B)

### 14.102

Housing for Elderly or Handicapped (1964B)

Housing Loans\_Rental Housing for the Elderly and the Handicapped (1970B)

Incorporated into 14.103 (1970U)

### 14.103

Interest Supplements on Mortgages for Rental Housing for Lower Income Families (1969B)

Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (1970B)

Archived (1994B)

Reinstated (1999B)

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Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (2005)

## 14.104

Interest Reduction\_Acquisition and Rehabilitation of Homes for Resale to Lower Income Families (1970U)

Archived (1978U)

## 14.105

Interest Supplements on Mortgages for Home Ownership for Lower Income Families (1969B)

Interest Subsidy\_Homes for Lower Income Families (1970B)

Archived (1983U)

## 14.106

Interest Reduction\_Purchase of Rehabilitated Homes by Lower Income Families (1970B)

Archived (1978U)

## 14.107

Major Home Improvement Loan Insurance\_Homes in Urban Renewal Areas (1970B)

Archived (1972B)

## 14.108

Major Home Improvement Loan Insurance\_Housing Outside Urban Renewal Areas (1970B)

Rehabilitation Mortgage Insurance (1980B)

Rehabilitation Mortgage Insurance (2005)

Rehabilitation Mortgage Insurance (2005)

Rehabilitation Mortgage Insurance (2006)

## 14.109

Major Home Improvement Loan Insurance\_Rental Housing in Urban Renewal Areas (1970B)

Archived (1972B)

## 14.110

Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residence (1970B)

Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1976B)

Manufactured (Mobile) Home Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1981B)

Manufactured (Mobile) Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1984B)

Manufactured Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1985B)

Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2005)

Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal

Residences of Borrowers (2006)

## 14.111

Mortgage Insurance for Purchase and Rehabilitation of Homes for Resale to Low-Income Purchasers (1967B)

Mortgage Insurance\_Acquisition and Rehabilitation of Homes for Resale to Lower Income Families (1970B)

Incorporated into 14.103 (1971B)

## 14.112

Mortgage Insurance\_Construction or Rehabilitation of Condominium Projects (1970B)

Mortgage Insurance\_Construction or Substantial Rehabilitation of Condominium Projects (1980B)

Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (1989U)

Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2005)

Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2006)

## 14.113

Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Condominium Ownership (1970B)

Archived (1973B)

## 14.114

Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Cooperative Housing (1970B)

Archived (1971U)

## 14.115

Mortgage Insurance\_Development of Sales Type Cooperative Projects (1970B)

Incorporated into 14.126 (1989B)

## 14.116

Mortgage Insurance for Group Practice Facilities (1969B)

Mortgage Insurance\_Group Practice Facilities (1970B)

Consolidated into 14.128 (2002B)

## 14.117

Mortgage and Credit Insurance for Residential Rehabilitation and Home Purchase and Improvement (1967B)

Major Home Improvement (1969B)

Mortgage Insurance\_Homes (1970B)

Split into 14.118, 14.119, 14.121 (1970B)

Mortgage Insurance\_Homes (2005)

Mortgage Insurance\_Homes (2006)

## 14.118

Mortgage Insurance\_Homes for Certified Veterans (1970B)

Split from 14.117 (1970B)

Incorporated into 14.117 (1983U)

## 14.119

Mortgage Insurance for Replacement Housing for Victims of Natural Disasters (1967B)

Mortgage Insurance\_Homes for Disaster Victims (1970B)

Split from 14.117 (1970B)

Mortgage Insurance\_Homes for Disaster Victims (2005)

Mortgage Insurance\_Homes for Disaster Victims (2006)

## 14.120

Mortgage Insurance for Housing for Families of Low and Moderate Income (1967B)

Mortgage Insurance for Moderate Income Homes (1969B)

Mortgage Insurance\_Homes for Low and Moderate Income Families (1970B)

Archived (2001U)

## 14.121

Mortgage Insurance\_Homes in Outlying Areas (1970B)

Split from 14.117 (1970B)

## 14.122

Mortgage Insurance\_Homes in Urban Renewal Areas (1970B)

Mortgage Insurance\_Homes in Urban Renewal Areas (2005)

Mortgage Insurance\_Homes in Urban Renewal Areas (2006)

## 14.123

Mortgage Insurance in Older, Declining Neighborhoods (1969B)

Mortgage Insurance\_Housing in Older, Declining Areas (1970B)

Mortgage Insurance\_Housing in Older, Declining Areas (2005)

Mortgage Insurance\_Housing in Older, Declining Areas (2006)

## 14.124

Mortgage Insurance\_Investor Sponsored Cooperative Housing (1970B)

Incorporated into 14.126 (1989B)

## 14.125

Mortgage Insurance for Land Development and New Communities (1967B)

Mortgage Insurance\_Land Development and New Communities (1970B)

Mortgage Insurance\_Land Development (1983U)

Archived (1990B)

## 14.126

Mortgage Insurance\_Management Type Cooperative Projects (1970B)

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Mortgage Insurance\_Cooperative Projects (1989B)

## 14.127

Mortgage Insurance\_Mobile Home Courts (1970B)  
Mortgage Insurance\_Manufactured (Mobile) Home Parks (1981B)

## 14.128

Mortgage Insurance\_Nonprofit Hospitals (1965B)  
Mortgage Insurance\_Hospitals (1971B)

## 14.129

FHA Mortgage Insurance for Nursing Homes (1965B)  
Mortgage Insurance\_Nursing Home and Intermediate Care Facilities (1970B)  
Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities and Board and Care Homes (1985U)  
Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (1995B)

## 14.130

Mortgage Insurance for Purchase of Fee Simple Title (1969B)  
Mortgage Insurance Purchased by Homeowners of Fee Simple Title From Lessors (1970B)  
Consolidated into 14.11 (2002B)

## 14.131

Mortgage Insurance\_Purchase of Rehabilitated Homes by Low Income Families (1970B)  
Archived (1971B)

## 14.132

FHA Mortgage Insurance for Cooperative Housing (1965B)  
Mortgage Insurance\_Purchase of Sales Type Cooperative Housing Units (1970B)  
Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units (1989U)  
Deleted (2008)

## 14.133

FHA Mortgage Insurance for Condominiums (1965B)  
Mortgage Insurance for Condominiums (1967B)  
Mortgage Insurance for Condominium Housing (1969B)  
Mortgage Insurance\_Purchase of Units in Condominiums (1970B)

## 14.134

Mortgage Insurance\_Rental Housing (1970B)

## 14.135

Mortgage Insurance\_Rental Housing for Low and Moderate Income Families (1970B)  
Mortgage Insurance\_Rental Housing for Moderate Income Families (1971B)  
Mortgage Insurance\_Rental Housing for Moderate

Income Families and Elderly, Market Interest Rate (1989B)

Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (1989U)

## 14.136

Mortgage Insurance for Rental Housing for Families of Low or Moderate Income (1967B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Below-Market Interest Rate (1970B)  
Archived (1971B)

## 14.137

Mortgage Insurance for Low and Moderate Income Housing\_Market Rate (1969B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Market Interest Rate (1970B)  
Mortgage Insurance\_Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (1979U1)  
Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families, Market Interest Rate (1984U)  
Incorporated into 14.126 (1989B)

## 14.138

FHA Mortgage Insurance Rental Housing for the Elderly (1965B)  
Mortgage Insurance for Senior Citizens Housing (1969B)  
Mortgage Insurance\_Rental Housing for the Elderly (1970B)

## 14.139

Mortgage Insurance for Urban Renewal (1965B)  
Mortgage Insurance for Urban Renewal Housing (1969B)  
Mortgage Insurance\_Rental Housing in Urban Renewal Areas (1970B)

## 14.140

Mortgage Insurance for Assistance to Special Credit Risk Families (1969B)  
Mortgage Insurance\_Special Credit Risks (1970B)  
Consolidated into 14.11 (2002B)

## 14.141

Low and Moderate Income Housing\_Financial Assistance for Non-Profit Sponsors (1969B)  
Nonprofit Housing Sponsor Loans\_Planning Projects for Low and Moderate Income Families (1970B)  
Nonprofit Sponsor Assistance Program (1980B)  
Section 106(b) Nonprofit Sponsor Assistance Program (1987B)  
Archived (1994B)

## 14.142

Property Improvement Loan Insurance\_All Existing Structures (1970B)  
Property Improvement Loan Insurance for Improving all Existing Structures and Building of New Nonresidential Structures (1976B)

## 14.143

Property Improvement Loan Insurance\_Construction of Nonresidential Farm Structures (1970B)  
Archived (1976B)

## 14.144

Property Improvement Loan Insurance\_Construction of Nonresidential or Nonfarm Structures (1970B)  
Archived (1976B)

## 14.145

Property Improvement Loan Insurance\_Existing Multifamily Dwellings (1970B)  
Archived (1976B)

## 14.146

Public Housing\_Acquisition, Construction, Rehabilitation (1970B)  
Low Income Housing\_Assistance Program (Public Housing) (1977B)  
Public Housing\_Acquisition (Turnkey and Conventional Production Methods) (1980U)  
Public Housing (1983B)  
Number changed to 14.850 (1983U)

## 14.147

Public Housing\_Home Ownership (1970B)  
Low Income Housing\_Homeownership Opportunities for Low Income Families (1980U)  
Number changed to 14.851 (1983U)

## 14.148

Low-Rent Public Housing\_Leasing (1969B)  
Public Housing\_Leased (1970B)  
Archived (1976B)

## 14.149

Rent Supplements for Disadvantaged Persons (1965B)  
Rent Supplements (1969B)  
Rent Supplements\_Rental Housing for Lower Income Families (1970B)  
Archived (1994B)  
Reinstated (1999B)

## 14.150

Supplemental Loan Insurance\_Management Type Cooperative Projects (1970B)  
Archived (1971B)

## 14.151

FHA Mortgage Insurance for Multifamily Rental Housing (1969B)



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Multifamily Housing Projects Supplemental Loans (1969B)

Supplemental Loan Insurance\_Multifamily Rental Housing (1970B)

### 14.152

Mortgage Insurance\_Experimental Homes (1972B)  
Number changed to 14.507 (1984B)

### 14.153

Mortgage Insurance\_Experimental Projects Other Than Housing (1972B)  
Number changed to 14.508 (1984B)

### 14.154

Mortgage Insurance\_Experimental Rental Housing (1972B)  
Number changed to 14.509 (1985B)

### 14.155

Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (1975B)

### 14.156

Lower\_Income Housing Assistance Program (1975B)  
Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (1990U)  
Number changed to 14.856 (1992B)

### 14.157

Housing for the Elderly or Handicapped (1977B)  
Housing for the Elderly or Disabled (1991B)  
Supportive Housing for the Elderly (1992U)

### 14.158

Public Housing\_Modernization of Projects (1977B)  
Number changed from 14.607 (1977B)  
Public Housing\_Comprehensive Improvement Assistance Program (1977B)  
Number changed to 14.852 (1983U)

### 14.159

Section 245 Graduated Payment Mortgage Program (1978U)

### 14.161

Single\_Family Home Mortgage Coinsurance (1978U)  
Archived (1990B)

### 14.162

Mortgage Insurance\_Combination and Mobile Home Lot Loans (1979U1)  
Mortgage Insurance\_Combination and Manufactured (Mobile) Home Lot Loans (1984B)  
Mortgage Insurance\_Combination and Manufactured Home Lot Loans (1985B)

### 14.163

Mortgage Insurance\_Cooperative Financing (1979U2)  
Mortgage Insurance\_Single Family Cooperative Housing (1990U)

### 14.164

Operating Assistance for Troubled Multifamily Housing Projects (1980B)  
Archived (2009)

### 14.165

Mortgage Insurance\_Homes\_Military Impacted Areas (1980B)

### 14.166

Mortgage Insurance\_Homes for Members of the Armed Services (1981B)  
Archived (2000B)

### 14.167

Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d)(f) (1981U)

### 14.168

Land Sales\_Parcels of Subdivided Land (1982B)  
Number changed from 14.801 (1982B)  
Land Sales\_Certain Subdivided Land (1989B)  
Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (2009)

### 14.169

Housing Counseling Program (1982B)  
Number changed from 14.802 (1982B)  
Housing Counseling Assistance Program (1983B)

### 14.170

Congregate Housing Services Program (1982B)  
Number changed from 14.803 (1982B)  
Archived (1998B)

### 14.171

Manufactured Housing\_Mobile Home Construction (1982B)  
Number changed from 14.804 (1982B)  
Manufactured Housing Construction and Safety Standards (1983B)  
Manufactured Home Construction and Safety Standards (1986U)

### 14.172

Mortgage Insurance\_Growing Equity Mortgages (1983B)

### 14.173

Section 223(f)\_Coinsurance for Private Lenders (1983B)  
Section 223(f)\_Coinsurance for the Purchase or Refinancing of Existing Multifamily Projects (1983U)

Multifamily Coinsurance (1987U)  
Archived (1993B)

### 14.174

Housing Development Grants (1984B)  
Archived (1994B)

### 14.175

Adjustable Rate Mortgages (1984U)

### 14.176

Section 221(d) Coinsurance for the Construction or Substantial Rehabilitation of Multifamily Housing Projects (1984U)  
Consolidated into 14.173 (1987U)

### 14.177

Housing Voucher Program (1986U)  
Section 8 Housing Voucher Program (1989U)  
Section 8 Rental Voucher Program (1991B)  
Number changed to 14.855 (1992B)

### 14.178

Transitional Housing Demonstration Program (1987B)  
Supportive Housing Demonstration Program (1988B)  
Number changed to 14.235 (1990B)

### 14.179

Nehemiah Housing Opportunity Grant Program (1988U)  
Archived (1997B)

### 14.180

Lower Income Housing Assistance\_Section 8 Existing Housing Certificate Program (1990U)  
Section 8 Rental Certificate Program (1991B)  
Number changed to 14.857 (1992B)

### 14.181

Supportive Housing for Persons with Disabilities (1991B)

### 14.182

Lower Income Housing Assistance Program\_Section 8 New Construction/Substantial Rehabilitation (1991B)  
Archived (1997B)

### 14.183

Home Equity Conversion Mortgages (1991U)

### 14.184

Mortgages Insurance for Single Room Occupancy (SRO) Projects (1991U)

### 14.185

Homeownership and Opportunity for People Everywhere (1992B)

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Archived (1997B)

### 14.186

Mortgage Insurance\_Equity Loans (1992U)  
Archived (1997B)

### 14.187

Preservation of Affordable Housing (1993B)  
Consolidated into 14.194 (1998B)

### 14.188

HFA Risk Sharing Pilot Program (1994B)  
Housing Finance Agencies (HFA) Risk Sharing  
Pilot Program (1994U)  
Housing Finance Agencies (HFA) Risk Sharing  
(2002B)

### 14.189

Qualified Participating Entities (QPE) Risk Sharing  
Pilot Program (1994U)  
Qualified Participating Entities (QPE) Risk Sharing  
(2002B)

### 14.190

Section 8 Community Investment (Pension Fund)  
Demonstration (1995B)  
Archived (1997U)

### 14.191

Multifamily Housing Service Coordinators (1997U)

### 14.192

Safe Neighborhood Grants (1997U)  
Consolidated into 14.868 (1998B)

### 14.193

Federally Assisted Low-Income Housing Drug  
Elimination (1997U)

### 14.194

Portfolio Reengineering Demonstration  
Consolidated from 14.187 (1998B)  
Archived (1999B)

### 14.195

Section 8 Housing Assistance Payments  
Program\_Special Allocations (1998B)  
Section 8 Housing Assistance Payments Program  
(2009)

### 14.196

Secondary Market for Non-Conforming Loans to  
Low-Wealth Borrowers Demonstration Program  
(1999B)  
Archived (2000B)

### 14.197

Multifamily Assisted Housing Reform and  
Affordability Act (1999B)  
Multifamily Assisted Housing Reform and  
Affordability Act (2005)

Multifamily Assisted Housing Reform and  
Affordability Act (2006)

### 14.198

Officer Next Door Sales Program (1999U)  
Good Neighbor Next Door Sales Program (2007)

### 14.199

Multifamily Property Disposition (2000B)  
Multifamily Property Disposition (2005)  
Multifamily Property Disposition (2006)

### 14.200

Grants for Basic Water and Sewer Facilities  
(1965B)  
Water and Sewer Facilities Grants (1967B)  
Basic Water and Sewer Facilities (1969B)  
Basic Water and Sewer Facilities\_Grants (1970B)  
Archived (1971B)

### 14.201

Fellowships for City Planning and Urban Studies  
(1967B)  
City Planning and Urban Studies (1969B)  
Archived (1971B)

### 14.202

Community Development Training and Research  
Grants (1967B)  
Community Development Training (1969B)  
Archived (1973B)

### 14.203

Urban Planning Assistance Program (1965B)  
Comprehensive Planning Assistance (1969B)  
Archived (1981U)

### 14.204

Historic Preservation Grants (1967B)  
Transferred to the Department of Interior (1970U)  
Archived (1971B)

### 14.205

HUD Clearinghouse Service (1970B)

### 14.206

Neighborhood Facilities Program (1965B)  
Neighborhood Facilities Grants (1970B)  
Archived (1971B)

### 14.207

New Communities\_Loan Guarantees (1970B)  
Archived (1983B)

### 14.208

New Communities (1969B)  
New Communities\_Supplementary Grants (1970B)  
Archived (1973B)

### 14.209

Open Space Land Program (1965B)  
Open Space Land Acquisition and Development  
Grants (1970B)  
Archived (1971B)

### 14.210

Public Facility Loans (1965B)  
Archived (1971B)

### 14.211

Surplus Land for Community Development  
(1969B)  
Surplus Land for Low and Moderate Income  
Housing (1980B)  
Archived (1983U)

### 14.212

Urban Beautification Program (1965B)  
Urban Beautification and Improvement Grants  
(1969B)  
Archived (1971B)

### 14.213

Urban Parks and Open Space Land in Build\_Up  
Urban Areas (1970B)  
Archived (1970U)

### 14.214

Urban Systems Engineering Demonstration Grants  
(1970B)  
Archived (1973U)

### 14.215

Workable Program for Community Improvement  
(1969B)  
Archived (1971B)

### 14.216

Governmental Management\_Technical Assistance  
and Information Services (1971B)  
Archived (1976B)

### 14.217

Urban Studies Fellowships (1972B)  
Archived (1973B)

### 14.218

Community Development Block  
Grants/Entitlement Grants (1975B)

### 14.219

Community Development Block  
Grants/Discretionary Grants (1975B)  
Community Development Block Grants/Small  
Cities Program (1979B)  
Deleted (2008)  
Deleted (2008)  
Deleted (2008)

### 14.220

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Section 312 Rehabilitation Loans (1975B)  
Number changed from 14.308 (1975B)  
Archived (1992B)

## 14.221

Urban Development Action Grants (1978B)  
Archived (1989U)

## 14.222

Urban Homesteading (1978U)  
Archived (1992B)

## 14.223

Indian Community Development Block Grant Program (1979U1)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Number changed to 14.862 (1994B)

## 14.224

Secretary's Discretionary Fund/Community Development Disaster Assistance (1980U)  
Archived (1981U)

## 14.225

Secretary's Discretionary Fund/Territories Program (1980U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's Discretionary Fund/Insular Areas (1983U)  
Community Development Block Grants/Special Purpose Grants/Insular Area (1990B)

## 14.226

Secretary's Discretionary Fund/Innovative Grants Program (1980U)  
Archived (1981U)

## 14.227

Secretary's Discretionary Fund/Community Development Technical (1981U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's Discretionary Fund/Technical Assistance Program (1983U)  
Community Development Block Grants/Special Purpose Grants/Insular Area (1990B)

## 14.228

Community Development Block Grants/State's Program (1981U)  
Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (2007)

## 14.229

Community Development Block Grants/Secretary's Discretionary Fund (1982B)

Split into 14.223, 14.225, 14.227 (1983U)

## 14.230

Rental Housing Rehabilitation (1984B)  
Archived (1992B)

## 14.231

Emergency Shelter Grants Program (1987B)

## 14.232

Community Development Block Grant/Secretary's Discretionary Fund/Special Projects (1987U)  
Archived (1990B)

## 14.234

Community Development Work-Study Program (1988U)  
Number changed to 14.512 (1995B)

## 14.235

Supportive Housing Demonstration Program (1990B)  
Number changed from 14.178 (1990B)  
Supportive Housing Program (1993B)  
Consolidated from 14.236 (1993U)

## 14.236

Supplemental Assistance for Facilities to Assist the Homeless (1990B)  
Number changed from 14.510 (1990B)  
Consolidated into 14.235 (1993U)

## 14.237

Historically Black Colleges and Universities Program (1991B)  
Number changed to 14.520 (2002B)

## 14.238

Shelter Plus Care (1992B)

## 14.239

HOME Investment in Affordable Housing (1992B)  
HOME Investment Partnerships Program (1993U)

## 14.240

HOPE for Homeownership of Single Family Homes (1992B)  
Archived (1997B)

## 14.241

Housing Opportunities for Persons with AIDS (1992U)

## 14.242

John Heinz Neighborhood Development Program (1993B)  
Number changed to 14.510 (1995B)

## 14.243

Opportunities for Youth\_Youthbuild Program

(1993U)  
Number changed to 17.274 (2007)

## 14.244

Empowerment Zones Program (1994B)  
Renewal Community and Empowerment Zone Programs (2009)  
Archived (2009)

## 14.245

Innovative Homeless Initiative Demonstration Program (1995U)  
Archived (1997B)

## 14.246

Community Development Block Grants/Economic Development Initiative (1996B)  
Community Development Block Grants/Brownfields Economic Development Initiative (2003B)

## 14.247

Self-Help Homeownership Opportunity Program (1997B)

## 14.248

Community Development Block Grants\_Section 108 Loan Guarantees (1997U)

## 14.249

Section 8 Moderate Rehabilitation Single Room Occupancy (1998B)

## 14.250

Rural Housing and Economic Development (1999B)

## 14.251

Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (2008)

## 14.252

Section 4 Capacity Building for Affordable Housing and Community Development Grants (2008)  
Section 4 Capacity Building for Community Development and Affordable Housing (2009)

## 14.253

Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (2009)

## 14.254

Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (2009)

## 14.255

Community Development Block Grants/State's

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program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (2009)

## 14.256

Neighborhood Stabilization Program (Recovery Act Funded) (2009)

## 14.257

Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (2009)

## 14.258

Tax Credit Assistance Program (Recovery Act Funded) (2009)

## 14.300

Model Neighborhoods in Demonstration Cities (1967B)  
Model Cities Supplementary Grants (1970B)  
Archived (1973B)

## 14.301

Basic Water and Sewer Facilities\_Grants (1971B)  
Archived (1973B)

## 14.302

Neighborhood Facilities Grants (1971B)  
Archived (1973B)

## 14.303

Open Space Land Programs (1971B)  
Archived (1973B)

## 14.304

Public Facility Loans (1971B)  
Archived (1973B)

## 14.305

Housing Rehabilitation Loans and Grants (1971B)  
Archived (1973B)

## 14.306

Neighborhood Development (1971B)  
Archived (1973B)

## 14.307

Urban Renewal Projects (1971B)  
Archived (1973U)

## 14.308

Housing Rehabilitation Grants (1971U)  
Number changed to 14.220 (1975B)

## 14.309

Code Enforcement Grants (1971B)  
Archived (1973B)

## 14.310

Teacher Next Door Initiative (2000B)

## 14.311

Single Family Property Disposition (2000B)

## 14.312

New Approach Anti-Drug Grants  
Consolidated from 14.868 (2000B)

## 14.313

Dollar Home Sales (2000U)

## 14.314

Section 202 Assisted Living Conversion Program (2000U)  
Assisted Living Conversion for Eligible Multifamily Housing Projects (2002B)

## 14.315

Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (2006)

## 14.316

Housing Counseling Training Program (2006)

## 14.317

Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (2009)

## 14.318

Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (2009)

## 14.400

Equal Opportunity in Housing (1969B)

## 14.401

Fair Housing Assistance Program (1980B)  
Fair Housing Assistance Program\_State and Local (1983B)

## 14.402

Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (1982)  
Archived (2009)

## 14.403

Community Housing Resource Board Program (1982)  
Archived (1992B)

## 14.404

Non-Discrimination in Federally Assisted Programs (On the Basis of Handicap) (1983U)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Handicap) (1988B)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (1993U)  
Archived (2009)

## 14.405

Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color or National Origin) (1983U)  
Archived (2009)

## 14.406

Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Sex, Handicap or Age) (1983U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, Sex, Disability or Age) (1993U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (1996B)  
Archived (2009)

## 14.407

Architectural Barriers Act Enforcement (1988B)  
Archived (2009)

## 14.408

Fair Housing Initiative Program (FHIP) Administrative Enforcement Initiative (1988U)  
Fair Housing Initiatives and Administrative Enforcement Initiative Program (1996B)  
Fair Housing Initiatives Program (2003B)

## 14.409

Fair Housing Initiative Program (FHIP) Education and Outreach Initiative (1988U)

## 14.410

Fair Housing Initiative Program (FHIP) Private Enforcement Initiative (1988U)

## 14.411

Public Housing Affirmative Compliance Actions Program (1990B)  
Archived (1997B)

## 14.412

Employment Opportunities for Lower Income Persons and Businesses (1992U)  
Archived (2009)

## 14.413

Fair Housing Initiatives Program (FHIP) Fair Housing Organization Initiatives (1993B)  
Fair Housing Initiatives Program (FHIP) Fair Housing Organizations Initiative (1994U)  
Fair Housing Initiatives and Fair Housing Organizations Initiative Program (1996B)

## 14.414

Non-Discrimination on the Basis of Disability by Public Entities (1993U)

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Archived (2009)

## 14.415

Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (2001B)

Archived (2009)

## 14.416

Education and Outreach Initiatives (2009)

## 14.417

Fair Housing Organization Initiatives (2009)

## 14.418

Private Enforcement Initiatives (2009)

## 14.500

Low Income Housing Demonstration Program (1965B)

Archived (1970U)

## 14.501

Mortgage Insurance\_Experimental Homes (1970B)

Archived (1971B)

## 14.502

Mortgage Insurance\_Experimental Projects Other Than Housing (1970B)

Archived (1971B)

## 14.503

Mortgage Insurance for Experimental Housing (1969B)

Mortgage Insurance\_Experimental Rental Housing (1970B)

Archived (1971B)

## 14.504

Urban Planning Research and Demonstration (1970B)

Archived (1973B)

## 14.505

Urban Renewal Demonstration Grant Program (1965B)

Archived (1971B)

## 14.506

General Research and Technology Activity (1972B)

## 14.507

Mortgage Insurance\_Experimental Homes (1984B)

Number changed from 14.152 (1984B)

Archived (1997B)

## 14.508

Mortgage Insurance\_Experimental Projects Other Than Housing (1984B)

Number changed from 14.153 (1984B)

Archived (1997B)

## 14.509

Mortgage Insurance\_Experimental Rental Housing (1985B)

Number changed from 14.154 (1985B)

Archived (1997B)

## 14.510

Supplemental Assistance for Facilities to Assist the Homeless (1988B)

Number changed to 14.236 (1990B)

Joint Community Development Program, Number changed from 14.242 (1995B)

Archived (1997B)

## 14.511

Community Outreach Partnership Center Program (1995B)

## 14.512

Community Development Work-Study Program

Number changed from 14.234 (1995B)

Deleted (2007)

## 14.513

Hispanic-Serving Institutions Work-Study Program (1996U)

Archived (2000U)

## 14.514

Hispanic-Serving Institutions Assisting Communities (1999B)

Archived (2000B)

Reinstated (2000U)

## 14.515

Alaska Native/Native Hawaiian Institutions Assisting Communities (2000B)

## 14.516

Doctoral Dissertation Research Grants (2001B)

## 14.517

Early Doctoral Student Research Grants (2001B)

## 14.518

HUD Urban Scholars Fellowship Grants (2001B)

## 14.519

Tribal Colleges and Universities Program (2001B)

## 14.520

Historically Black Colleges and Universities Program (2002B)

## 14.521

Universities Rebuilding America Program - Community Design (2005)

## 14.550

Solar Energy and Energy Conservation Bank (1983U)

Incorporated into 14.126 (1989B)

## 14.600

Certified Areas Grants (1970B)

Archived (1971B)

## 14.601

Code Enforcement (1965B)

Code Enforcement Grants (1970B)

Archived (1971B)

## 14.602

Community Renewal Program (1965B)

Community Renewal Planning Grants (1970B)

Archived (1971B)

## 14.603

Demolition of Unsound Structures (1967B)

Demolition Grants (1969B)

Archived (1971B)

## 14.604

Housing Rehabilitation Grants (1969B)

Housing Rehabilitation Loans and Grants (1970B)

Archived (1971B)

## 14.605

Interim Assistance for Blighted Areas (1969B)

Interim Assistance for Blighted Areas Grants (1970B)

Archived (1971B)

## 14.606

Neighborhood Development Program (1969B)

Archived (1971B)

## 14.607

Low-Rent Public Housing\_Modernization of Projects (1969B)

Public Housing\_Modernization of Projects (1970B)

Number changed to 14.158 (1977B)

## 14.608

Relocation Assistance and Payments (1969B)

Archived (1971B)

## 14.609

Urban Renewal Projects (1965B)

Archived (1971B)

## 14.701

Disaster Assistance (1973U)

Transferred to 83.300 (1980B)

## 14.702

State Disaster Preparedness Grants (1973U)

Transferred to 83.203 (1980B)

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|   |   |  |
|---|---|--|
| <b>14.800</b><br>Neighborhood Self-Help Development (1980B)<br>Archived (1981U)   | <b>14.855</b><br>Section 8 Rental Voucher Program<br>Number changed from 14.177 (1992B)<br>Consolidated into 14.871 (2000B)   | <b>14.866</b><br>Revitalization of Severely Distressed Public Housing (1997U)<br>Demolition and Revitalization of Severely Distressed Public Housing (1999U)   |
| <b>14.801</b><br>Land Sales_Parcel of Subdivided Land (1980B)<br>Number changed from 14.004 (1980B)<br>Number changed to 14.168 (1982B)   | <b>14.856</b><br>Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation<br>Number changed from 14.156 (1992B)<br>Archived (1998B)<br>Reinstated (1999B)        | <b>14.867</b><br>Indian Housing Block Grants<br>Consolidated from 14.851 (1998B)   |
| <b>14.802</b><br>Housing Counseling Service (1969B)<br>Archived (1970B)<br>Reinstated (1980U)<br>Housing Counseling Program (1980U)<br>Number changed to 14.169 (1982B)   | <b>14.857</b><br>Section 8 Rental Certificate Program<br>Number changed from 14.180 (1992B)<br>Consolidated into 14.871 (2000B)   | <b>14.868</b><br>New Approach Anti-Drug Grants<br>Consolidated from 14.192 (1998B)<br>Consolidated into 14.312 (2000B)   |
| <b>14.803</b><br>Congregate Housing Services Program (1980U)<br>Number changed to 14.170 (1982B)  | <b>14.858</b><br>HOPE for Public and Indian Housing Homeownership (1992B)<br>Archived (1997B)   | <b>14.869</b><br>Title VI Federal Guarantees for Financing Tribal Housing Activities (1999B)   |
| <b>14.804</b><br>Manufactured Housing_Mobile Home Construction (1981U)<br>Number changed to 14.171 (1982B)  | <b>14.859</b><br>Public and Indian Housing_Comprehensive Grant Program (1993U)<br>Public Housing_Comprehensive Grant Program (1998B)<br>Consolidated into 14.872 (2000B)          | <b>14.870</b><br>Resident Opportunity and Supportive Services (1999B)<br>Consolidated from 14.853, 14.864 (2001B)<br>Resident Opportunity and Supportive Services (2006)<br>Resident Opportunity and Supportive Services - Homeownership and Family (2006)<br>Resident Opportunity and Supportive Services - Service Coordinators (2008) |
| <b>14.850</b><br>Public Housing (1983U)<br>Number changed from 14.146 (1983U)<br>Public and Indian Housing (1984B)  | <b>14.860</b><br>Public and Indian Housing Early Childhood Development (1994U)<br>Head Start Public Housing Early Childhood/Development Demonstration (1995B)<br>Archived (1996U) | <b>14.871</b><br>Section 8 Housing Choice Vouchers<br>Consolidated from 14.855, 14.857 (2000B)   |
| <b>14.851</b><br>Low Income Housing_Homeownership Opportunities for Low Income Families (1983U)<br>Number changed from 14.147 (1983U)<br>Consolidated into 14.867 (1998B)   | <b>14.861</b><br>Public and Indian Housing Family Investment Centers Program (1994B)<br>Archived (1996U)  | <b>14.872</b><br>Public Housing Capital Fund<br>Consolidated from 14.852, 14.859 (2000B)   |
| <b>14.852</b><br>Public Housing_Comprehensive Improvement Assistance Program (1983U)<br>Number changed from 14.158 (1983U)<br>Public and Indian Housing_Comprehensive Improvement Assistance Program (1984B)<br>Public Housing_Comprehensive Improvement Assistance Program (1998B)<br>Consolidated into 14.872 (2000B) | <b>14.862</b><br>Indian Community Development Block Grant Program<br>Number changed from 14.223 (1994B)   | <b>14.873</b><br>Native Hawaiian Housing Block Grants (2003B)  |
| <b>14.853</b><br>Public Housing Resident Management Program (1989B)<br>Public and Indian Housing Tenant Opportunity Program (1995B)<br>Public Housing_Tenant Opportunities Program (1998B)<br>Consolidated into 14.870 (2001B)  | <b>14.863</b><br>Public and Indian Housing Youth Sports Program (1995B)<br>Portion incorporated into 14.854 (1997B)   | <b>14.874</b><br>Loan Guarantees for Native Hawaiian Housing (2004)  |
| <b>14.854</b><br>Public Housing Drug Elimination Program (1989U)<br>Public and Indian Housing Drug Elimination Program (1992B)<br>Portion incorporated from 14.863 (1997B)  | <b>14.864</b><br>Economic Development and Supportive Services Program (1997B)<br>Consolidated into 14.870 (2001B)   | <b>14.875</b><br>Public Housing Neighborhood Networks Grants (2005)<br>Archived (2009)   |
|   | <b>14.865</b><br>Public and Indian Housing_Indian Loan Guarantee Program (1997B)  | <b>14.876</b><br>Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (2006)   |
|   |   | <b>14.877</b><br>Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (2006)  |
|   |   | <b>14.878</b><br>Affordable Housing Development in Main Street   |

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## 14.879

Mainstream Vouchers (2006)

## 14.880

Family Unification Program (FUP) (2008)

## 14.881

Moving to Work Demonstration Program (2008)

## 14.882

Native American Housing Block Grants (Formula) Recovery Act Funded (2009)

## 14.883

Native Hawaiian Housing Block Grants (Recovery Act Funded) (2009)

## 14.884

Public Housing Capital Fund Competitive (Recovery Act Funded) (2009)

## 14.885

Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (2009)

## 14.886

Indian Community Development Block Grant Program (Recovery Act Funded) (2009)

## 14.887

Native American Housing Block Grants (Competitive) Recovery Act Funded (2009)

## 14.900

Lead-Based Paint Hazard Reduction Grant Program (1993U)

Lead-Based Paint Hazard Control Program (1994B)

Lead-Based Paint Hazard Control in Priority Housing (1996B)

Lead-Based Paint Hazard Control in Privately-Owned Housing (1997B)

## 14.901

Healthy Homes Initiative Grants (2000B)

Healthy Homes Demonstration Grants (2003B)

## 14.902

Lead Technical Studies Grants (2003B)

Archived (2009)

## 14.903

Operation Lead Elimination Action Program (2003B)

Archived (2009)

## 14.904

Lead Outreach Grants (2003B)

Archived (2009)

## 14.905

Lead Hazard Reduction Demonstration Grant Program (2003B)

## 14.906

Healthy Homes Technical Studies Grants (2004)

## 14.907

Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (2009)

## 14.908

Healthy Homes Demonstration Grants (Recovery Act Funded) (2009)

## 14.909

Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (2009)

## 14.910

Healthy Homes Technical Studies Grants (Recovery Act Funded) (2009)

## 14.911

Green and Healthy Housing Technical Studies Grants (2009)

## 14.912

Lead Hazard Control Capacity Building (2009)

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Appalachian Region\_Sewage Treatment Works Grants (1967B)

Archived (1969B)

Solid Waste Disposal (1967B)

Archived (1969B)

Identification of Mentally Retarded American Indian Children (1965B)

Archived (1970B)

Mining Area Restoration in the Appalachian Region (1965B)

Appalachian Region\_Mining Area Restoration (1967B)

Archived (1970B)

American Indian Credit and Financing Program (1965B)

Archived (1967B)

American Indian Education Financial Assistance (1965B)

Archived (1967B)

On-Reservation Adult Education Program for American Indians (1965B)

Archived (1967B)

Post High School Training for American Indian Youth (1965B)

Archived (1967B)

Summer Programs for American Indian Students (1965B)

Archived (1967B)

Programs for American Indians (1969B)

Split into "Indian Programs" (1970B)

## 15.001

Anadromous and Great Lakes Fisheries Conservation (1970B)

Transferred to 11.405 (1971B)

## 15.002

Commercial Fisheries Disaster Assistance (1970B)

Transferred to 11.406 (1971B)

## 15.003

Commercial Fisheries Research and Development (1969B)

Transferred to 11.407 (1971B)

## 15.004

Fishermen\_Reimbursement of Losses (1970B)

Transferred to 11.410 (1971B)

## 15.005

Fisheries Assistance (1965B)

Fisheries Loan Fund (1970B)

Transferred to 11.409 (1971B)

## 15.006

Fishery Marketing Assistance (1970B)

Transferred to 11.412 (1971B)

## 15.007

Fishery Products Inspection and Certification (1970B)

Transferred to 11.413 (1971B)

## 15.008

Fishing Statistics and Market News (1970B)

Transferred to 11.414 (1971B)

## 15.009

Fishing Vessel Mortgage and Loan Insurance (1970B)

Transferred to 11.415 (1971B)

## 15.010

Jellyfish Control (1969B)

Transferred to 11.416 (1971B)

## 15.020

Aid to Tribal Governments (1997B)

## 15.021

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Consolidated Tribal Government Program (1997B)  
Archived (1999B)  
Reinstated (2002B)

**15.022**  
Tribal Self-Governance (1997B)

**15.023**  
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Archived (2001B)

**15.024**  
Indian Self-Determination Contract Support (1997B)

**15.025**  
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**15.026**  
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**15.027**  
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**15.028**  
Tribally Controlled Community College Endowments (1997B)

**15.029**  
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**15.030**  
Indian Law Enforcement (1997B)

**15.031**  
Indian Community Fire Protection (1997B)

**15.032**  
Indian Economic Development (1997B)

**15.033**  
Road Maintenance\_Indian Roads (1997B)

**15.034**  
Agriculture on Indian Lands (1997B)

**15.035**  
Forestry on Indian Lands (1997B)

**15.036**  
Indian Rights Protection (1997B)

**15.037**  
Water Resources on Indian Lands (1997B)

**15.038**  
Minerals and Mining on Indian Lands (1997B)

**15.039**  
Fish, Wildlife, and Parks Programs on Indian Lands (1997B)

**15.040**  
Real Estate Programs\_Indian Lands (1997B)

**15.041**  
Environmental Quality Services\_Indian Programs (1997B)  
Environmental Management\_Indian Programs, Consolidated from 15.056 (1999B)

**15.042**  
Indian School Equalization Program (1997B)

**15.043**  
Indian Child and Family Education (1997B)

**15.044**  
Indian Schools\_Student Transportation (1997B)

**15.045**  
Assistance for Indian Children with Severe Disabilities (1997B)

**15.046**  
Administrative Cost Grants for Indian Schools (1997B)

**15.047**  
Indian Education Facilities, Operations, and Maintenance (1997B)

**15.048**  
Bureau of Indian Affairs Facilities\_Operations and Maintenance (1997B)

**15.049**  
Irrigation Operations and Maintenance on Indian Lands (1997B)

**15.050**  
Unresolved Indian Hunting and Fishing Rights (1997B)

**15.051**  
Endangered Species on Indian Lands (1997B)

**15.052**  
Litigation Support for Indian Rights (1997B)

**15.053**  
Attorney Fees\_Indian Rights (1997B)

**15.054**  
Unresolved Indian Rights Issues (1997B)  
Archived (1999B)

**15.055**  
Alaskan Indian Allotments and Subsistence

Preference\_Alaska National Interest Lands Conservation Act (1997B)  
Archived (2009)

**15.056**  
Waste Management\_Indian Lands (1997B)  
Consolidated into 15.041 (1999B)

**15.057**  
Navajo-Hopi Indian Settlement Program (1997B)

**15.058**  
Indian Post Secondary Schools (1997B)

**15.059**  
Indian Graduate Student Scholarships (1997B)

**15.060**  
Indian Vocational Training\_United Tribes Technical College (1997B)

**15.061**  
Indian Job Placement\_United Sioux Tribes Development Corporation (1997B)  
Archived (2001B)  
Reinstated (2002B)

**15.062**  
Replacement and Repair of Indian Schools (1997B)

**15.063**  
Construction and Repair of Indian Detention Facilities (1997B)  
Improvement and Repair of Indian Detention Facilities (1999B)

**15.064**  
Structural Fire Protection\_Bureau of Indian Affairs Facilities (1997B)

**15.065**  
Safety of Dams on Indian Lands (1997B)

**15.100**  
Adult Vocational Training\_American Indians (1965B)  
Indian\_Adult Education (1970B)  
Indian Education\_Adults (1972B)  
Archived (1978B)

**15.101**  
Indian\_Agricultural Extension (1970B)  
Indian Agricultural Extension (1972B)  
Archived (1978B)

**15.102**  
Indian\_Aid to Tribal Governments (1970B)  
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Social Services to American Indian Children (1965B)  
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Indian Social Services\_Child Welfare Assistance (1972B)  
Consolidated into 15.113 (1999B)
- 15.104**  
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Archived (1974B)
- 15.105**  
Indian\_Contracts with Indian School Boards (1970B)  
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Archived (1978B)
- 15.106**  
Indian\_Construction, Maintenance, and Operation of Irrigation Projects and Related Power Systems (1970B)  
Indian Lands\_Irrigation Construction, Maintenance, Operation, and Related Power Systems (1972B)  
Archived (1978B)
- 15.107**  
Indian\_Engineering Technical Assistance (1970B)  
Indian Engineering Technical Assistance (1972B)  
Indian Technical Assistance (1973U)  
Indian Action Team Program (1976B)  
Archived (1981U)
- 15.108**  
Direct Employment Assistance\_American Indians (1965B)  
American Indians\_Direct Employment Assistance (1967B)  
Indian\_Employment Assistance (1970B)  
Indian Employment Assistance (1972B)
- 15.109**  
Indian\_Federal School Facilities\_Dormitory Operations (1970B)  
Indian Education\_Dormitory Operations (1972B)  
Archived (1978B)
- 15.110**  
Federal Schools for American Indians (1965B)  
Indian\_Federal Schools (1970B)  
Indian Education\_Federal Schools (1972B)  
Archived (1978B)
- 15.111**  
Indian\_Forest Fire Suppression and Emergency Rehabilitation (1970B)
- Indian Forests\_Fire Suppression and Emergency Rehabilitation (1972B)  
Archived (1978B)
- 15.112**  
Indian\_Forestry Development (1970B)  
Indian\_Forest Management, Protection and Development (1971B)  
Indian Forests\_Management, Protection, and Development (1972B)  
Archived (1978B)
- 15.113**  
General Assistance and Social Services to American Indians (1965B)  
Indian\_General Assistance (1970B)  
Indian Social Services\_General Assistance (1972B)  
Consolidated from 15.103 (1999B)  
Indian Social Services\_Welfare Assistance (2001B)
- 15.114**  
Scholarship Aid for American Indian Students in Higher Education (1965B)  
Indian\_Higher Education (1970B)  
Indian Education\_Colleges and Universities (1972B)  
Indian Education\_Higher Education Grant Program (1982B)
- 15.115**  
Indian\_Housing Development (1970B)  
Indian Housing\_Development (1972B)  
Consolidated into 15.141 (1978B)
- 15.116**  
Indian\_Housing Improvement (1970B)  
Indian Housing\_Improvement (1972B)  
Consolidated into 15.141 (1978B)
- 15.117**  
American Indian Industrial Development Program (1965B)  
Indian\_Industrial and Tourism Development (1970B)  
Indian\_Industrial and Tourism Development and On-the-Job Training (1971B)  
Indian Industrial and Tourism Development and On-the-Job Training (1972B)  
Indian Business Enterprise Development (1975B)  
Archived (1979U1)
- 15.118**  
Indian\_Investment of Tribal Trust Funds and Individual Indian Monies (1970B)  
Indian Investments\_Tribal Trust Funds and Individual Indian Monies (1972B)  
Archived (1978B)
- 15.119**  
Indian\_Range Management (1970B)
- Indian Lands\_Range Management (1972B)  
Archived (1978B)
- 15.120**  
Indian\_Real Estate Appraisal (1970B)  
Indian Lands\_Real Estate Appraisal (1972B)  
Archived (1978B)
- 15.121**  
Indian\_Real Property Management (1970B)  
Indian Lands\_Real Estate Services (1972B)  
Archived (1978B)
- 15.122**  
American Indians\_Construction of Reservation Roads and Bridges (1967B)  
Indian\_Reservation Roads and Bridges (1970B)  
Indian Roads\_Reservation Roads and Bridges (1972B)  
Archived (1978B)
- 15.123**  
Indian\_Revolving Fund for Expert Assistance Loans (1970B)  
Indian Loans\_Claims Assistance (1972B)  
Archived (1993B)
- 15.124**  
Indian\_Revolving Fund for Loans (1970B)  
Indian Loans\_Economic and Social Development (1972B)  
Indian Loans\_Economic Development (1975B)
- 15.125**  
Indian\_Roads Maintenance (1970B)  
Indian Roads\_Maintenance (1972B)  
Archived (1978B)
- 15.126**  
Indian\_Soil and Moisture Conservation (1970B)  
Indian Lands\_Soil and Moisture Conservation (1972B)  
Archived (1978B)
- 15.127**  
Indian\_Transfer of Federally-Owned Buildings, Improvements, and/or Facilities (1970B)  
Indian Property Acquisition\_Transfer of Federally Owned Buildings, Improvements, and/or Facilities (1972B)  
Archived (1978B)
- 15.128**  
Indian\_Transfer of Indian School Properties (1970B)  
Indian Property Acquisition\_Transfer of Indian School Properties (1972B)  
Archived (1978B)
- 15.129**

# Appendix VII: Historical Profile of Catalog Programs

|   |  |   |
|---|--|---|
| Indian_Tribal Accounting Services (1970B)<br>Indian Accounting Services for Tribes (1972B)<br>Archived (1978B)  | Archived (1978B)   | Development (1965B)<br>Split into 15.209, 15.211 (1971B)  |
| <b>15.130</b><br>Financial Assistance to School Districts for American Indian Education (1965B)<br>American Indians_Financial Assistance to School Districts (1967B)<br>Indians_Assistance to Non-Federal Schools (1970B)<br>Indian Education_Assistance to Non-Federal Schools (1972B)<br>Indian Education_Assistance to Schools (1976B) | <b>15.140</b><br>Indian Lands_Wildlife and Parks (1977B)<br>Archived (1978B)   | <b>15.205</b><br>Exchange of Public Lands (1971B)<br>Archived (1977B)   |
| <b>15.131</b><br>Indians_Law and Order (1970B)<br>Indian_Judicial, Crime Prevention, and Enforcement Services (1971B)<br>Indian Judicial, Prevention, and Enforcement Services (1972B)<br>Indian Law Enforcement Services (1974B)<br>Split into 15.131, 15.139 (1977B)<br>Archived (1978B)  | <b>15.141</b><br>Indian Housing Assistance (1978B)<br>Consolidated from 15.115, 15.116 (1978B)   | <b>15.206</b><br>Grazing Privileges (1971B)<br>Grazing Preference (1977U)<br>Archived (1979B)<br>Reinstated (1981U)<br>Mineral Privileges (1982B)<br>Archived (1983B) |
| <b>15.132</b><br>Indian Social Services_Counseling (1972B)<br>Archived (1978B)  | <b>15.142</b><br>Self Determination Grants_Indian Tribal Governments (1978B)<br>Archived (1996U)   | <b>15.207</b><br>Mineral Leasing (1971B)<br>Archived (1979B)<br>Reinstated (1981U)<br>Archived (1983B)  |
| <b>15.133</b><br>Native American Business Development Institute (2008)  | <b>15.143</b><br>Training and Technical Assistance_Indian Tribal Governments (1978B)<br>Archived (1996U)   | <b>15.208</b><br>Non-Sale Disposals From Public Lands (1971B)<br>Non-Sale Disposals of Material on Public Lands (1973B)<br>Archived (1979B)                           |
| <b>15.134</b><br>Indian Tribal Affairs Management (1972B)<br>Incorporated into 15.102 (1974B)   | <b>15.144</b><br>Indian Child Welfare Act_Title II Grants (1980B)  | <b>15.209</b><br>Sale of Contiguous Public Lands (1971B)<br>Split from 15.204 (1971B)<br>Archived (1972B)   |
| <b>15.135</b><br>Indian Water Rights (1973U)<br>Indian Rights Protection (1974B)<br>Archived (1978B)  | <b>15.145</b><br>Indian Grants_Economic Development (Indian Grant Program) (1986B)<br>Archived (1997B)   | <b>15.210</b><br>Sale of Forest Products (1971B)<br>Archived (1973B)  |
| <b>15.136</b><br>Indian Lands_Environmental Quality Services (1975B)<br>Archived (1978B)  | <b>15.146</b><br>Ironworker Training Program (1993U)   | <b>15.211</b><br>Sale of Isolated Public Lands (1971B)<br>Split from 15.204 (1971B)<br>Archived (1977B)   |
| <b>15.137</b><br>Facility School Construction Planning and Equipping (1976B)<br>Archived (1978B)  | <b>15.147</b><br>Tribal Courts_Trust Reform Initiative (2003B)   | <b>15.212</b><br>Sale of Public Lands Thought to be Private (1971B)<br>Archived (1979B)   |
| <b>15.138</b><br>Indian Lands_Minerals and Mining (1976B)<br>Archived (1978B)   | <b>15.148</b><br>Tribal Energy Development Capacity Grants (2008)  | <b>15.213</b><br>Special Land Use Permits (1971B)<br>Archived (1977B)   |
| <b>15.139</b><br>Indian Tribal Judicial Services_Contracts with Indian Tribal Organizations (1977B)<br>Split from 15.131 (1977B)  | <b>15.200</b><br>Land Lease for Airports (1970B)<br>Archived (1979B)   | <b>15.214</b><br>Non-Sale Disposals of Mineral Material (1972B)<br>Archived (1979B)<br>Reinstated (1981U)   |
|   | <b>15.201</b><br>Leases, Permits, and Easements for Public Works (1970B)<br>Archived (1977U)   | <b>15.215</b><br>Sale of Mineral Material (1972B)<br>Archived (1979B)<br>Reinstated (1981U)<br>Archived (1983B)   |
|   | <b>15.202</b><br>Real Property for Public Parks, Public Recreational Areas, and Public Purposes (1965B)<br>Public Land for Recreation, Public Purposes, and Historic Monuments (1970B)<br>Archived (1979B) |   |
|   | <b>15.203</b><br>Public Land for Rights-of-Way (1970B)<br>Archived (1979B)   |   |
|   | <b>15.204</b><br>Real Property Sales for Residential, Commercial, Agricultural, Industrial, or Public Uses or  |   |

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|   |  |   |
|---|--|---|
| <b>15.217</b><br>Cooperative Agreements with Interpretive Associations (1981U)<br>Cooperative Agreements with Cooperating Associations (1983B)<br>Archived (1985B)  | Wild Horse and Burro Resource Management (2005)  | Archived (1981U)  |
| <b>15.218</b><br>Special Recreation Permits (1981U)<br>Archived (1985B)   | <b>15.230</b><br>Invasive and Noxious Plant Management (2008)  | <b>15.252</b><br>Abandoned Mine Land Reclamation Program (1979U2)<br>Abandoned Mine Land Reclamation (AMLR) Program (1982B)   |
| <b>15.219</b><br>Wildlife Habitat Management Technical Assistance (1981U)<br>Archived (1995B)   | <b>15.231</b><br>Fish, Wildlife and Plant Conservation Resource Management (2005)  | <b>15.253</b><br>Not-for-Profit AMD Reclamation (1999B)   |
| <b>15.220</b><br>Law Enforcement (1981U)<br>Archived (1983B)  | <b>15.232</b><br>Wildland Fire Research and Studies Program (2008)   | <b>15.254</b><br>Summer Watershed Intern (2002B)  |
| <b>15.221</b><br>Cooperative Agreements for Research to Public Lands Management (1983U)<br>Cooperative Agreements for Research in Public Lands Management (1985U)<br>Archived (1994B)   | <b>15.233</b><br>Forests and Woodlands Resource Management (2008)  | <b>15.255</b><br>Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (2007)   |
| <b>15.222</b><br>Cooperative Inspection Agreements with States and Tribes (1990B)   | <b>15.234</b><br>Secure Rural Schools and Community Self-Determination (2008)  | <b>15.300</b><br>Coal Mine Health and Safety (1970B)<br>Coal Mine Health and Safety Grants (1971B)<br>Number changed to 15.350 (1973U)  |
| <b>15.223</b><br>Recreation and Cultural Resource Management (1992B)<br>Split into 15.224, 15.225 (1994B)   | <b>15.235</b><br>Southern Nevada Public Land Management (2008)   | <b>15.301</b><br>Control of Fires in Inactive Coal Deposits (1970B)<br>Archived (1979B)   |
| <b>15.224</b><br>Cultural Resource Management<br>Split from 15.223 (1994B)  | <b>15.236</b><br>Environmental Quality and Protection Resource Management (2008)   | <b>15.302</b><br>Mine Health and Safety Counseling (1970B)<br>Mine Health and Safety Counseling and Technical Assistance (1971B)<br>Number changed to 15.351 (1973U)                                    |
| <b>15.225</b><br>Recreation Resource Management<br>Split from 15.223 (1994B)  | <b>15.237</b><br>Rangeland Resource Management (2008)  | <b>15.303</b><br>Mineral Research_Grants and Contracts (1970B)<br>Mineral Resources and Environmental Development (1972B)<br>Mineral and Materials Research and Development (1974U)<br>Archived (1975U) |
| <b>15.226</b><br>Payments in Lieu of Taxes (1999B)  | <b>15.238</b><br>Challenge Cost Share (2008)   | <b>15.304</b><br>Mineral Research and Resource Information (1970B)<br>Mineral Research and Resource Information and Technical Assistance (1971B)<br>Archived (1979B)                                    |
| <b>15.227</b><br>Distribution of Receipts to State and Local Governments (2001B)  | <b>15.239</b><br>Management Initiatives (2008)   | <b>15.305</b><br>Mine Health and Safety Education and Training (1971B)<br>Number changed to 15.352 (1973U)  |
| <b>15.228</b><br>Wildland Urban Interface Community and Rural Fire Assistance (2001B)<br>National Fire Plan - Wildland Urban Interface Community Fire Assistance (2005)<br>National Fire Plan - Wildland Urban Interface Community Fire Assistance (2006) | <b>15.240</b><br>Helium Resource Management (2008)   | <b>15.306</b><br>Mine Health and Safety_Grants and Contracts (1971B)<br>Archived (1975U)  |
| <b>15.229</b>   | <b>15.241</b><br>Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (2009)   | <b>15.307</b><br>Energy Research_Grants and Contracts (1974U)   |
|   | <b>15.242</b><br>National Fire Plan - Rural Fire Assistance (2005)   |   |
|   | <b>15.250</b><br>Regulation of Surface Mining and Surface Effects of Underground Coal Mining (1978U)<br>Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (1980U1)  |   |
|   | <b>15.251</b><br>Grants for Mining and Mineral Resources, Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1978U)<br>Grants for Mining and Mineral Resources and Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1980B) |   |

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Transferred to 24.034 (1975B)

## 15.308

Grants for Mining and Mineral Resources and Research Institutes (1983B)  
Archived (1995B)

## 15.350

Coal Mine Health and Safety Grants (1973U)  
Number changed from 15.300 (1973U)  
Transferred to 17.600 (1978B)

## 15.351

Mine Health and Safety Counseling and Technical Assistance (1973U)  
Number changed from 15.302 (1973U)  
Transferred to 17.601 (1978B)

## 15.352

Mine Health and Safety Education and Training (1973U)  
Number changed from 15.305 (1973U)  
Transferred to 17.602 (1978B)

## 15.400

Outdoor Recreation Program (1965B)  
Outdoor Recreation\_Financial Assistance (1969B)  
Outdoor Recreation\_Acquisition and Development (1971B)  
Outdoor Recreation\_Acquisition, Development and Planning (1974B)  
Number changed to 15.916 (1981B)

## 15.401

Outdoor Recreation Assistance (1967B)  
Outdoor Recreation Financial Assistance (1969B)  
Outdoor Recreation Planning\_Financial Assistance (1970B)  
Outdoor Recreation State Planning\_Financial Assistance (1971B)  
Incorporated into 15.400 (1974B)

## 15.402

Outdoor Recreation Technical Assistance (1967B)  
Recreation\_Technical Assistance (1980U1)  
Number changed to 15.917 (1981B)

## 15.403

Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1977B)  
Number changed to 15.918 (1981B)

## 15.405

National Registry of Natural Landmarks (1978B)  
Number changed from 15.910 (1978B)  
National Natural Landmarks Program (1980B)  
Number changed to 15.910 (1981B)

## 15.406

National Park Service Centennial Challenge. (2008)

## 15.407

Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (2008)

## 15.410

Historic American Buildings Survey (1978B)  
Number changed from 15.903 (1978B)  
National Architectural and Engineering Record (1980U1)  
Number changed to 15.909 (1981B)  
Historic American Buildings Survey/Historic American Engineering Record (1982B)

## 15.411

Historic Preservation Grants-In-Aid (1978B)  
Number changed from 15.904 (1978B)  
Number changed to 15.904 (1981B)

## 15.412

Archeological Investigations and Salvage (1978B)  
Number changed from 15.908 (1978B)  
Archived (1980B)

## 15.413

Historic American Engineering Record (1978B)  
Number changed from 15.909 (1978B)  
Incorporated into 15.410 (1980U1)

## 15.414

National Historic Landmark (1978B)  
Number changed from 15.912 (1978B)  
Number changed to 15.912 (1981B)

## 15.415

Technical Preservation Services (1978B)  
Number changed from 15.913 (1978B)  
Number changed to 15.915 (1981B)

## 15.416

National Register of Historic Places (1978B)  
Number changed from 15.914 (1978B)  
Number changed to 15.914 (1981B)

## 15.417

Urban Park and Recreation Recovery Program (1979U2)  
Number changed to 15.919 (1981B)

## 15.418

Park and Recreation Technical Assistance (1980B)  
Number changed from 15.906 (1980B)  
Incorporated into 15.402 (1980U1)

## 15.419

HCRS/NPRA Park Practice Program (1980B)  
Number changed from 15.907 (1980B)  
Incorporated into 15.402 (1980U1)

## 15.420

Training Institute for Park and Recreation Management (1980B)  
Number changed from 15.911 (1980B)  
Incorporated into 15.402 (1980U1)

## 15.421

Alaska Coastal Marine Institute (2006)

## 15.422

Louisiana State University (LSU) Coastal Marine Institute (CMI) (2006)

## 15.423

Minerals Management Service (MMS) Environmental Studies Program (ESP) (2006)

## 15.424

Marine Minerals Activities (2006)

## 15.425

Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (2006)

## 15.426

Coastal Impact Assistance Program (CIAP) (2007)

## 15.427

Federal Oil and Gas Royalty Management (2008)

## 15.428

Marine Gas Hydrate Research Activities (2008)

## 15.500

Atmospheric Water Resources Research (1970B)  
Archived (1971B)

## 15.501

Irrigation and Drainage Systems Loans (1970B)  
Irrigation Systems Loans (1970U)  
Irrigation Distribution System Loans (1971B)  
Distribution System Loans (1984B)  
Archived (1994U)

## 15.502

Irrigation Systems Rehabilitation and Betterment (1970B)  
Archived (1994U)

## 15.503

Reclamation Projects (1965B)  
Water Resources Investigation and Small Reclamation Projects Loans (1967B)  
Small Reclamation Project Loans for Water Resource Projects (1969B)  
Small Reclamation Projects (1970B)  
Archived (1994U)

## 15.504

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|   |  |   |
|---|--|---|
| Federal Reclamation Projects (1971B)<br>Archived (1979B)<br>Reclamation and Water Reuse Program, Reinstated (1998B)<br>Water Reclamation and Reuse Program (2001B)            | Management, and Protection (2007)  | <b>15.536</b><br>Deschutes River Conservancy (DRC) (2009)   |
| <b>15.505</b><br>National Water Research and Development Program (1983B)<br>Number changed from 15.950 (1983B)<br>National Water Research Program (1984B)<br>Archived (1984U) | <b>15.520</b><br>Lewis and Clark Rural Water System (2007)   | <b>15.537</b><br>Middle Rio Grande Endangered Species Collaborative Program (2009)  |
| <b>15.506</b><br>Water Desalination Research and Development Program (1999B)  | <b>15.521</b><br>Lower Rio Grande Valley Water Resources Conservation and Improvement (2007)                       | <b>15.538</b><br>Lower Colorado River Multi-Species Conservation Program. (2009)  |
| <b>15.507</b><br>Water 2025 (2004)  | <b>15.522</b><br>Mni Wiconi Rural Water Supply Project (2007)  | <b>15.539</b><br>Equus Beds Division Acquirer Storage Recharge Project (2009)   |
| <b>15.508</b><br>Providing Water to At-Risk Natural Desert Terminal Lakes (2004)  | <b>15.523</b><br>Perkins County Rural Water System (2007)  | <b>15.540</b><br>Lake Mead/Las Vegas Wash Program (2009)  |
| <b>15.509</b><br>Colorado River Basin Salinity Control Program (2007)   | <b>15.524</b><br>Recreation Resources Management (2008)  | <b>15.541</b><br>Colorado River Basin Projects Act of 1968 (2009)   |
| <b>15.510</b><br>Colorado Ute Indian Water Rights Settlement Act (2007)   | <b>15.525</b><br>Rocky Boy's/North Central Montana Regional Water System (2008)                                    | <b>15.600</b><br>Anadromous Fish Management (1967B)<br>Anadromous Fish Conservation (1970B)<br>Archived (1996B)   |
| <b>15.511</b><br>Cultural Resources Management (2007)   | <b>15.526</b><br>San Gabriel Basin Restoration Project (2007)  | <b>15.601</b><br>Animal Control (1965B)<br>Animal Damage Control (1967B)<br>Transferred to 10.213 (1986B)   |
| <b>15.512</b><br>Central Valley Project Improvement Act, Title XXXIV (2007)   | <b>15.527</b><br>San Luis Unit, Central Valley Project (2007)  | <b>15.602</b><br>Conservation Law Enforcement Training Assistance (1970B)<br>Archived (2009)  |
| <b>15.513</b><br>Dutch John Federal Property and Disposition Assistance Act (2007)  | <b>15.528</b><br>St. Mary Storage Unit Facilities Rehabilitation Project (2007)                                    | <b>15.603</b><br>Farm Fish Pond Management (1965B)<br>Archived (1986U)  |
| <b>15.514</b><br>Reclamation States Emergency Drought Relief (2007)   | <b>15.529</b><br>Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (2007)                 | <b>15.604</b><br>Fish Research (1970B)<br>Fishery Research_Information (1971B)<br>Consolidated into 15.975, 15.976 (1994B)  |
| <b>15.515</b><br>Federal Resource Protection (2008)   | <b>15.530</b><br>Water Conservation Field Services Program (WCFSP) (2007)  | <b>15.605</b><br>Sport Fish Restoration (1970B)<br>Sport Fish Restoration Program (2007)  |
| <b>15.516</b><br>Fort Peck Reservation Rural Water System (2007)  | <b>15.531</b><br>Yakima River Basin Water Enhancement Project (YRBWEP) (2007)                                      | <b>15.606</b><br>Migratory Bird Banding and Data Analysis (1970B)<br>Consolidated into 15.975, 15.976 (1994B)   |
| <b>15.517</b><br>Fish and Wildlife Coordination Act (2007)  | <b>15.532</b><br>Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (2007) | <b>15.607</b><br>Pesticide Appraisal and Monitoring (1970B)<br>Environmental Contaminant Evaluation (1978B)<br>Resource Contaminant Assessment (1983U)<br>Environmental Contaminant (1989B)<br>Environmental Contaminants (1993U) |
| <b>15.518</b><br>Garrison Diversion Unit (2007)   | <b>15.533</b><br>California Water Security and Environmental Enhancement (2007)                                    |   |
| <b>15.519</b><br>Indian Tribal Water Resources Development,   | <b>15.534</b><br>Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (2008)              |   |

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Archived (1995B)

### 15.608

Sport Fish Management (1965B)  
Sport Fish Technical Assistance (1974U)  
Fishery Resources Technical Assistance (1984U)  
Fish and Wildlife Management Assistance (1986U)

### 15.609

Wildlife Management (1967B)  
Wildlife Enhancement (1970B)  
Wildlife Technical Assistance (1974U)  
Archived (1983U)

### 15.610

Wildlife Research (1970B)  
Wildlife Research Information (1971B)  
Wildlife Ecology Research Information (1979B)  
Wildlife Research Information (1983B)  
Consolidated into 15.975, 15.976 (1994B)

### 15.611

Wildlife Restoration (1970B)

### 15.612

Rare and Endangered Species Conservation (1976B)  
Endangered Species Conservation (1977B)  
Archived (1995B)

### 15.613

Marine Mammal Grant Program (1979B)  
Archived (1983U)

### 15.614

Coastal Wetlands Planning, Protection and Restoration Act (1992B)

### 15.615

Cooperative Endangered Species Conservation Fund (1992B)

### 15.616

Clean Vessel Act (1993U)

### 15.617

Wildlife Conservation and Appreciation (1994B)

### 15.618

Administrative Grants for Federal Aid in Sport Fish and Wildlife Restoration (1995B)  
Archived (2001B)

### 15.619

Rhinoceros and Tiger Conservation (1996U)  
Rhinoceros and Tiger Conservation Fund (2005)  
Rhinoceros and Tiger Conservation Fund (2006)

### 15.620

African Elephant Conservation (1996U)

African Elephant Conservation Fund (2005)

African Elephant Conservation Fund (2006)

### 15.621

Asian Elephant Conservation (1999B)  
Asian Elephant Conservation Fund (2005)  
Asian Elephant Conservation Fund (2006)

### 15.622

Sportfishing and Boating Safety Act (1999B)

### 15.623

North American Wetlands Conservation Fund (1999B)

### 15.625

Wildlife Conservation and Restoration (2001B)  
Archived (2009)

### 15.626

Hunter Education and Safety Program (2001B)  
Firearm and Bow Hunter Education and Safety Program (2009)

### 15.628

Multi-State Conservation Grants (2001B)  
Multi-State Conservation Grant Program (2007)  
Multistate Conservation Grant Program (2008)

### 15.629

Great Apes Conservation (2001B)  
Great Apes Conservation Fund (2005)  
Great Apes Conservation Fund (2006)

### 15.630

Coastal Program (2002B)

### 15.631

Partners for Fish and Wildlife (2002B)

### 15.632

Conservation Grants Private Stewardship for Imperiled Species (2002B)  
Archived (2009)

### 15.633

Landowner Incentive (2002B)  
Landowner Incentive Program (2007)  
Archived (2009)

### 15.634

State Wildlife Grants (2002B)

### 15.635

Neotropical Migratory Bird Conservation (2003B)

### 15.636

Alaska Subsistence Management (2004)

### 15.637

Migratory Bird Joint Ventures (2004)

### 15.638

Tribal Landowner Incentive Program (2004)  
Archived (2009)

### 15.639

Tribal Wildlife Grants Program (2004)

### 15.640

Wildlife Without Borders- Latin America and the Caribbean (2004)

### 15.641

Wildlife Without Borders-Mexico (2004)

### 15.642

Challenge Cost Share (2004)

### 15.643

Alaska Migratory Bird Co-Management Council (2004)

### 15.644

Federal Junior Duck Stamp Conservation and Design (2004)

### 15.645

Marine Turtle Conservation Fund (2005)

### 15.647

Migratory Bird Conservation (2005)

### 15.648

Central Valley Project Improvement (CVPI)  
Anadromous Fish Restoration Program (AFRP) (2006)

### 15.649

Service Training and Technical Assistance (Generic Training) (2007)

### 15.650

Research Grants (Generic) (2007)  
Research Grants (Generic) (2008)

### 15.651

Wildlife Without Borders-Africa Program (2007)

### 15.652

Undesirable/Noxious Plant Species (2008)

### 15.653

National Outreach and Communication Program (2007)

### 15.654

Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (2007)

### 15.655

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Migratory Bird Monitoring, Assessment and Conservation (2008)

### 15.656

Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (2009)

### 15.657

Endangered Species Conservation Recovery Implementation Funds (2009)

### 15.658

Natural Resource Damage Assessment, Restoration and Implementation (2009)

### 15.659

National Wildlife Refuge Fund (2009)

### 15.660

Endangered Species - Candidate Conservation Action Funds (2009)

### 15.661

Lower Snake River Compensation Plan (2009)

### 15.700

Water Pollution Control\_Waste Treatment Works Construction Grants (1967B)

Construction Grants for Wastewater Treatment Works (1970B)

Transferred to 66.400 (1971B)

### 15.701

Water Pollution Control\_Grants for Comprehensive Basin Planning (1967B)

Water Pollution Control\_Comprehensive Basin Planning Grants (1970B)

Transferred to 66.401 (1971B)

### 15.702

Water Pollution Control\_Data Publications Services (1970B)

Transferred to 66.402 (1971B)

### 15.703

Water Pollution Control\_Direct Training (1970B)

Transferred to 66.403 (1971B)

### 15.704

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1970B)

Transferred to 66.404 (1971B)

### 15.705

Water Pollution Control\_Research, Development, and Demonstration Grants and Contracts (1965B)

Water Pollution Control\_Research, Development and Demonstration Program (1970)

Transferred to 66.405 (1971B)

### 15.706

Water Pollution Control\_Training Grants, Contracts, and Research Fellowships (1967B)

Water Pollution Control\_Training Grants and Research Training Fellowships (1970B)

Split into 15.706, 15.710 (1970)

Transferred to 66.406 (1971B)

### 15.707

Water Pollution Control\_State and Interstate Agency Support (1969B)

Water Pollution Control\_State and Interstate Program Grants (1970B)

Transferred to 66.407 (1971B)

### 15.708

Water Pollution Control\_State and Local Manpower Development (1970B)

Transferred to 66.408 (1971B)

### 15.709

Water Pollution Control\_Technical Assistance and Pollution Surveillance (1970B)

Transferred to 66.409 (1971B)

### 15.710

Water Pollution Control\_Training Grants (1970B)

Split from 15.706 (1970B)

Transferred to 66.410 (1971B)

### 15.711

Water Quality and Pollution Control Data (1970B)

Transferred to 66.411 (1971B)

### 15.712

Water Quality and Pollution Control\_Orientation and Training Seminars (1970B)

Transferred to 66.412 (1971B)

### 15.713

Water Quality Management Technical Planning Assistance (1970B)

Transferred to 66.413 (1971B)

### 15.800

Resources Surveys, Water, Mineral, Fuels, Topographic Maps (1965B)

Geologic, Mineral, Water Resource, and Topographic Surveys, Investigations, and Research (1967B)

Split into 15.800, 15.801, 15.802, 15.803, 15.804 (1970B)

Geologic and Mineral Resource Surveys and Mapping (1970B)

Consolidated into 15.808 (1986B)

### 15.801

Map Information (1970B)

Split from 15.800 (1970B)

Cartographic Information (1974U)

Cartographic Information, Geologic Information, Hydrologic Information (1989B)

Archived (1990B)

### 15.802

Minerals Discovery Loan Program (1970B)

Split from 15.800 (1970B)

Archived (1982B)

### 15.803

Topographic Surveys and Mapping (1970B)

Split from 15.800 (1970B)

National Mapping, Geography and Surveys (1980U1)

Consolidated into 15.808 (1986B)

### 15.804

Water Resources Investigations (1970B)

Split from 15.800 (1970B)

Consolidated into 15.808 (1986B)

### 15.805

Assistance to State Water Resources Research Institutes (1984B)

Number changed from 15.951 (1984B)

### 15.806

National Water Resources Research Program (1985B)

Archived (1996B)

### 15.807

Earthquake Hazards Reduction Program (1986B)

Consolidated from 15.800 (1986B)

### 15.808

Geological Survey\_Research and Data Acquisition (1986B)

Consolidated from 15.800, 15.803, 15.804 (1986B)

U.S. Geological Survey\_Research and Data Acquisition, Consolidated from 15.977 (1998B)

### 15.809

National Spatial Data Infrastructure Competitive Cooperative Agreements Program (1997B)

National Spatial Data Infrastructure Cooperative Agreements Program (1998U)

### 15.810

National Cooperative Geologic Mapping Program (1998B)

### 15.811

Gap Analysis Program (2003B)

### 15.812

Cooperative Research Units Program (2003B)

### 15.813

COOPERATIVE RESEARCH UNITS TRAINING PROGRAM (2007)

# Appendix VII: Historical Profile of Catalog Programs

|   |   |   |
|---|---|---|
| <b>15.814</b><br>National Geological and Geophysical Data Preservation Program (2008)   | Historic American Buildings Survey (1969B)<br>Historic American Building Survey_Historic American Engineering Record (1970U)<br>Historic American Buildings Survey (1971B)<br>Split into 15.903, 15.909 (1971B)<br>Number changed to 15.410 (1978B)                         | Interagency Historic Architectural Services (1976U)<br>Technical Preservation Services (1977U)<br>Number changed to 15.415 (1978B)                                    |
| <b>15.815</b><br>National Land Remote Sensing_Education Outreach and Research (2008)  |   | <b>15.914</b><br>National Register of Historic Places (1976U)<br>Number changed to 15.416 (1978B)<br>Number changed from 15.416 (1981B)                               |
| <b>15.816</b><br>Minerals Resources External Research Program (2008)  | <b>15.904</b><br>Historic Preservation (1969B)<br>Number changed to 15.411 (1978B)<br>Historic Preservation Grants-in-Aid (1978B)<br>Number changed from 15.411 (1981B)<br>Historic Preservation Fund Grants-In-Aid (1985U)   | <b>15.915</b><br>Technical Preservation Services (1981B)<br>Number changed from 15.415 (1981B)  |
| <b>15.817</b><br>National Geospatial Program: Building The National Map (2009)  |   | <b>15.916</b><br>Outdoor Recreation_Acquisition, Development and Planning (1981B)<br>Number changed from 15.400 (1981B)   |
| <b>15.818</b><br>Volcano Hazards Program Research and Monitoring. (2009)  | <b>15.905</b><br>National Environmental Education Development (1970B)<br>Archived (1971B)   | <b>15.917</b><br>Recreation_Technical Assistance (1981B)<br>Number changed from 15.402 (1981B)<br>Archived (1984U)  |
| <b>15.819</b><br>Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (2009)  | <b>15.906</b><br>Park Planning_Technical Assistance (1969B)<br>Park and Recreation Technical Assistance (1970B)<br>Park Technical Assistance (1979U1)<br>Number changed to 15.418 (1980B)   | <b>15.918</b><br>Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1981B)<br>Number changed from 15.403 (1981B)                |
| <b>15.820</b><br>National Climate Change and Wildlife Service Center (2009)   | <b>15.907</b><br>Park Practice Program (1970B)<br>Number changed to 15.419 (1980B)  | <b>15.919</b><br>Urban Park and Recreation Recovery Program (1981B)<br>Number changed from 15.417 (1981B)<br>Archived (1989B)<br>Reinstated (1991B)<br>Deleted (2005) |
| <b>15.850</b><br>Indian Arts and Crafts Development (1970B)   | <b>15.908</b><br>Archeological Investigations and Salvage (1971B)<br>Number changed to 15.412 (1978B)   | <b>15.920</b><br>Land Acquisition and Development of Comprehensive Management Plan (CMP)_State of New Jersey_Pinelands National Reserve (1984B)<br>Archived (1987B)   |
| <b>15.875</b><br>Economic and Political Development of the Territories and the Trust Territory of the Pacific Islands (1982)<br>Economic, Social, and Political Development of the Territories and the Freely Associated States (1995U)<br>Economic, Social, and Political Development of the Territories (2005)<br>Economic, Social, and Political Development of the Territories (2006) | <b>15.909</b><br>Historic American Engineering Record (1971B)<br>Split from 15.903 (1971B)<br>Number changed to 15.413 (1978B)<br>Number changed from 15.410 (1981B)<br>Historic American Buildings Survey/Historic American Engineering Record (1982B)<br>Archived (1996B) | <b>15.921</b><br>Rivers, Trails and Conservation Assistance (1994B)   |
| <b>15.900</b><br>Disposal of Surplus Wildlife (1970B)<br>Archived (1986B)   | <b>15.910</b><br>National Registry of Natural Landmarks (1971B)<br>Number changed to 15.405 (1978B)<br>Number changed from 15.405 (1981B)<br>National Natural Landmarks Program (1981B)<br>Deleted (2008)   | <b>15.922</b><br>Native American Graves Protection and Repatriation Act (1997U)   |
| <b>15.901</b><br>Domestic Travel Promotion (1970B)<br>Transferred/Incorporated into 11.950 (1971B)  | <b>15.911</b><br>Training Institute for Park and Recreation Management (1974U)<br>Number changed to 15.420 (1980B)  | <b>15.923</b><br>National Center for Preservation Technology and Training (1997B)   |
| <b>15.902</b><br>Environmental Study Areas (1970B)<br>National Environmental Study Areas (1970U)<br>National Environmental Study Areas and National Environmental Education Development Programs (1975U)<br>National Environmental Study Areas (1980B)<br>Archived (1981B)  | <b>15.912</b><br>National Historic Landmark (1972U)<br>Number changed to 15.414 (1978B)<br>Number changed from 15.414 (1981B)   | <b>15.924</b><br>Historically Black Colleges and Universities Preservation Initiative (1997U)   |
| <b>15.903</b>   | <b>15.913</b>   | <b>15.925</b>   |



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National Maritime Heritage Grants (1997U)

**15.926**

American Battlefield Protection (1997U)

**15.927**

Hydropower Recreation Assistance (2002B)

**15.928**

Civil War Battlefield Land Acquisition Grants (2003B)

**15.929**

Save America's Treasures (2004)

**15.930**

Chesapeake Bay Gateways Network (2007)

**15.931**

Conservation Activities by Youth Service Organizations (2007)

**15.932**

Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (2009)

**15.933**

Preservation of Japanese American Confinement Sites (2009)

**15.934**

Abandoned Mine Hazard Mitigation (2009)

**15.935**

National Trails System Projects (2009)

**15.936**

Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (2009)

**15.950**

Additional Water Resources Research (1970B)  
National Water Research and Development Program (1979B)  
Number changed to 15.505 (1983B)

**15.951**

Water Resource Research\_Assistance to States for Institutes (1970B)  
Water Resources Research\_Assistance to State Institutes (1975U)  
Water Resources Research and Technology\_Assistance to State Institutes (1979B)  
Water Research Assistance to State Institutes (1983B)  
Number changed to 15.805 (1984B)

**15.952**

Water Resource Research\_Matching Grants to State

Institutes (1970B)

Water Research and Technology\_Matching Funds to State Institutes (1979B)

Archived (1983B)

**15.953**

Water Resources Scientific Information Center (1972B)  
Archived (1983B)

**15.975**

Research Information  
Consolidated from 15.604, 15.610 (1994B)  
Incorporated into 15.977 (1996B)

**15.976**

Migratory Bird Banding and Data Analysis (1994B)

**15.977**

State Partnerships (1995B)  
Incorporated from 15.975 (1996B)  
Consolidated into 15.808 (1998B)

**15.978**

Upper Mississippi River System Long Term Resource Monitoring Program (1998B)

**DEPARTMENT OF JUSTICE**

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Criminal Justice Act of 1964 (1965B)  
Archived (1969B)

Federal Prisoners Rehabilitation Program (1965B)  
Archived (1969B)

Law Enforcement Assistance (1965B)  
Split into all of the Law Enforcement Assistance Programs (1969B)

National Conference on Bail and Criminal Justice and Follow-Up Programs (1965B)  
Archived (1969B)

**16.001**

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Support (1969B)  
Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Analysis (1970B)

**16.002**

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_State Legislation (1970B)  
Archived (1991U)

**16.003**

Law Enforcement Assistance\_Narcotics and Dangerous Drugs Technical Laboratory Publications (1970B)

**16.004**

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Training (1969B)

**16.005**

Narcotics and Dangerous Drugs\_Public Education (1969B)  
Public Education on Drug Abuse\_Technical Assistance (1970B)  
Public Education on Drug Abuse\_Information (1979B)  
Deleted (2008)

**16.006**

Municipal Fire and Emergency Services Domestic Preparedness Equipment Support Program (1999B)  
County and Municipal Agency Domestic Preparedness Equipment Support Program (1999U)  
Archived (2001B)

**16.007**

State and Local Domestic Preparedness Equipment Support Program (1999B)  
State Domestic Preparedness Equipment Support Program (1999U)  
Transferred to 97.004 (2003B)

**16.008**

State and Local Domestic Preparedness Training Program (2001B)  
Transferred to 97.005 (2003B)

**16.009**

State and Local Domestic Preparedness Exercise Support (2001B)  
Transferred to 97.006 (2003B)

**16.010**

State and Local Domestic Preparedness Technical Assistance (2001B)  
Transferred to 97.007 (2003B)

**16.011**

Urban Areas Security Initiative (2003B)

**16.012**

Alcohol, Tobacco, and Firearms\_Training Assistance (2004)  
Number changed from 21.052 (2004)  
Number changed from 21.052 (2004)

**16.013**

Violence Against Women Act Court Training and Improvement Grants (2008)

**16.014**

Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (2008)

**16.015**

Missing Alzheimer's Disease Patient Assistance

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Program (2009)

## 16.016

Culturally and Linguistically Specific Services Program (2008)

## 16.017

Sexual Assault Services Program (2008)  
Sexual Assault Services Formula Program (2009)

## 16.019

Tribal Registry (2008)

## 16.100

Desegregation of Public Education\_Civil Rights Act of 1964 (1965B)  
Desegregation of Public Education (1970B)

## 16.101

Equal Employment Opportunity\_Civil Rights Act of 1964 (1965B)  
Equal Employment Opportunity (1970B)

## 16.102

Equal Enjoyment of Public Accommodations\_Civil Rights Acts of 1964 (1965B)  
Equal Employment of Public Accommodations (1970B)  
Incorporated into 16.105 (1979B)

## 16.103

Fair Housing (1970B)  
Fair Housing and Equal Credit Opportunity (1977U)

## 16.104

Protection of Voting Rights\_Civil Rights Acts of 1957, 1960, 1964, and 1965 (1965B)  
Protection of Voting Rights (1970B)

## 16.105

Desegregation of Public Facilities (1972B)  
Civil Rights of Institutionalized Persons (1981B)

## 16.106

Indian Civil Rights (1974B)  
Archived (1981B)

## 16.107

Special Civil Rights Litigation (1975U)  
Incorporated into 16.105 (1979B)

## 16.108

Americans With Disabilities Act Technical Assistance Program (1991U)

## 16.109

Civil Rights Prosecution (1992U)

## 16.110

Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (1995U)

## 16.200

Community Relations Service (1967B)

## 16.201

Cuban and Haitian Entrant Resettlement Program (1983U)  
Transferred to 97.009 (2003B)

## 16.202

Offender Reentry Program (2001U)  
Prisoner Reentry Initiative Demonstration (Offender Reentry) (2006)

## 16.203

Sex Offender Management Discretionary Grant (2002B)  
Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (2006)

## 16.220

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances (2004)

## 16.300

Police Training Programs (1967B)  
Law Enforcement Assistance\_Advanced Police Training (1969B)  
Law Enforcement Assistance\_FBI Advanced Police Training (1970B)

## 16.301

Services of Federal Bureau of Investigation (1965B)  
Law Enforcement Assistance\_Crime Laboratory Support (1969B)  
Law Enforcement Assistance\_FBI Crime Laboratory Support (1970B)

## 16.302

Law Enforcement Assistance\_Field Police Training (1969B)  
Law Enforcement Assistance\_FBI Field Police Training (1970B)

## 16.303

Law Enforcement Assistance\_Fingerprint Identification (1969B)  
Law Enforcement Assistance\_FBI Fingerprint Identification (1970B)

## 16.304

Law Enforcement Assistance\_National Crime Information Center (1969B)

## 16.305

Law Enforcement Assistance\_Uniform Crime Reports (1969B)

## 16.306

DRUGFIRE (1996U)  
Archived (1998B)

## 16.307

Combined DNA Index System (1996U)

## 16.308

Indian County Investigations (1996U)  
Indian Country Investigations (1997B)

## 16.309

Law Enforcement Assistance\_National Instant Criminal Background Check System (2000B)

## 16.320

Services for Trafficking Victims (2004)

## 16.321

Antiterrorism and Emergency Assistance Program (2002U)  
Antiterrorism Emergency Reserve (2005)  
Antiterrorism Emergency Reserve (2006)

## 16.400

Citizenship Training (1965B)  
Citizenship Training and Information (1967B)  
Naturalization (1969B)  
Citizenship Education and Training (1970B)  
Transferred to 97.010 (2003B)

## 16.471

FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)

## 16.500

Law Enforcement Assistance\_State Planning (1969B)  
Law Enforcement Assistance\_Comprehensive Planning (1970B)  
Law Enforcement Assistance\_Comprehensive Planning Grants (1971B)  
Consolidated into 16.530 (1980B)

## 16.501

Law Enforcement Assistance\_Discretionary Grants (1970B)  
Consolidated into 16.531 (1980B)

## 16.502

Law Enforcement Assistance\_Improving and Strengthening Law Enforcement (1969B)  
Law Enforcement Assistance\_Improving and Strengthening Law Enforcement and Criminal Justice (1974B)  
Split into 16.530, 16.532 (1980B)

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|   |   |   |
|---|---|---|
| <b>16.503</b><br>Law Enforcement Assistance_Technical Assistance (1970B)<br>Consolidated into 16.531 (1980B)  | Law Enforcement Assistance_Training (1972B)<br>Number changed to 16.534 (1980B)   | Number changed to 16.553 (1980B)  |
| <b>16.504</b><br>Law Enforcement Assistance_Students Loans and Tuition Aids (1969B)<br>Law Enforcement Education Program_Student Financial Aid (1970B)<br>Transferred to the Department of Education (1980B)  | <b>16.514</b><br>Organized Crime Prosecutorial Training (1973U)<br>Consolidated into 16.531 (1980B)   | <b>16.523</b><br>Juvenile Accountability Incentive Block Grants (1998B)<br>Juvenile Accountability Block Grants (2007)  |
| <b>16.505</b><br>Law Enforcement Assistance_Research Demonstrations and Special Projects (1969B)<br>Law Enforcement Research and Development_Graduate Research Fellowships (1970B)<br>Number changed to 16.562 (1980B)  | <b>16.515</b><br>Criminal Justice Systems Development (1973U)<br>Criminal Justice Systems and Telecommunications Development (1974B)<br>Criminal Justice Systems Development (1975B)<br>Number changed to 16.552 (1980B)  | <b>16.524</b><br>Domestic Violence Victims' Civil Legal Assistance Program (1999B)<br>Legal Assistance for Victims (2001B)  |
| <b>16.506</b><br>Law Enforcement Assistance_Research Demonstrations and Special Projects (1969B)<br>Law Enforcement Research and Development_Pilot Grants (1970B)<br>Incorporated into 16.507 (1972B)   | <b>16.516</b><br>Law Enforcement Assistance_Juvenile Justice and Delinquency Prevention_Allocation to States (1975U)<br>Law Enforcement Assistance_Juvenile Justice and Delinquency Prevention Act Allocation to States (1978U)<br>Juvenile Justice and Delinquency Prevention_Allocation to States (1979B)<br>Number changed to 16.540 (1980B)                               | <b>16.525</b><br>Grants to Combat Violent Crimes Against Women on Campuses (1999B)<br>Grants to Reduce Violent Crimes Against Women on Campus (2001B)<br>Grants to Combat Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2007)<br>Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2008) |
| <b>16.507</b><br>Law Enforcement Research and Development_Project Grants (1970B)<br>Number changed to 16.560 (1980B)  | <b>16.517</b><br>Law Enforcement Assistance_Administration_JJDP Special Emphasis Prevention and Treatment (1975U)<br>Law Enforcement Assistance_Administration_OJJDP Special Emphasis Prevention and Treatment Programs (1977U)<br>Juvenile Justice and Delinquency Prevention_Special Emphasis Prevention and Treatment Programs (1979B)<br>Number changed to 16.541 (1980B) | <b>16.526</b><br>Technical Assistance and Training Initiative (2002B)<br>OVW Technical Assistance Initiative (2006)   |
| <b>16.508</b><br>Law Enforcement Research and Development_Visiting Fellowships (1970B)<br>Incorporated into 16.507 (1973B)<br>Reinstated/Split from 16.507 (1975U)<br>Number changed to 16.561 (1980B)  | <b>16.518</b><br>Law Enforcement Assistance_Administration_JJDP National Institute (1975U)<br>National Institute for Juvenile Justice and Delinquency Prevention (1979B)<br>Number changed to 16.542 (1980B)  | <b>16.527</b><br>Supervised Visitation, Safe Havens for Children (2002B)  |
| <b>16.509</b><br>Law Enforcement Assistance_Statistics and Information Development_Project Grants (1971B)<br>Law Enforcement Assistance_Statistics Development (1972B)<br>Criminal Justice_Statistics Development (1973B)<br>Number changed to 16.550 (1980B) | <b>16.519</b><br>Law Enforcement Assistance_Office of Community Anti-Crime Programs (1978B)<br>Number changed to 16.535 (1980B)   | <b>16.528</b><br>Training Grants to Stop Abuse and Sexual Assault of Older Individuals or Individuals with Disabilities (2002B)<br>Enhanced Training and Services to End Violence and Abuse of Women Later in Life (2006)   |
| <b>16.510</b><br>Statistics on Crime and Criminal Justice (1971B)<br>Number changed to 16.551 (1980B)   | <b>16.520</b><br>Public Safety Officers' Benefits Program (1978B)<br>Number changed to 16.538 (1980B)   | <b>16.529</b><br>Education and Training to End Violence Against and Abuse of Women with Disabilities (2002B)<br>Education, Training, and Enhanced Services to End Violence Against Women with Disabilities (2007)<br>Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (2008)                               |
| <b>16.511</b><br>Law Enforcement Assistance_Educational Development (1971U)<br>Number changed to 16.533 (1980B)   | <b>16.521</b><br>Crime Prevention_Mobilization of Public and Non-Public Resources (1978U)<br>Number changed to 16.536 (1980B)   | <b>16.530</b><br>Criminal Justice_Part D Formula Grants (1980B)<br>Consolidated from 16.500, 16.502 (1980B)<br>Archived (1981B)   |
| <b>16.512</b><br>Law Enforcement Assistance_Internships (1972B)<br>Archived (1980B)   | <b>16.522</b><br>Privacy and Security of Criminal Justice Systems (1979B)   | <b>16.531</b><br>Part F_Discretionary Grants (1980B)<br>Consolidated from 16.501, 16.503, 16.514 (1980B)<br>Archived (1981B)  |
| <b>16.513</b>   |   | <b>16.532</b><br>Part E_National Priority Program Grants (1980B)  |

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Split from 16.502 (1980B)  
Archived (1981B)

**16.533**  
Law Enforcement Assistance\_Educational  
Development (1980B)  
Number changed from 16.511 (1980B)  
Archived (1981B)

**16.534**  
Law Enforcement Assistance\_Training (1980B)  
Number changed from 16.513 (1980B)  
Archived (1981B)

**16.535**  
Law Enforcement Assistance  
Administration\_Office of Community Anti-Crime  
Programs (1980B)  
Number changed from 16.519 (1980B)  
Archived (1981B)

**16.536**  
Crime Prevention\_Mobilization of Public and  
Non-Public Resources (1980B)  
Number changed from 16.521 (1980B)  
Archived (1981B)

**16.537**  
Urban Crime Prevention (1980B)  
Archived (1981B)

**16.538**  
Public Safety Officers' Benefits Program (1980B)  
Number changed from 16.520 (1980B)  
Number changed to 26.571 (1982B)

**16.540**  
Juvenile Justice and Delinquency  
Prevention\_Allocation to States (1980B)  
Number changed from 16.516 (1980B)

**16.541**  
Juvenile Justice and Delinquency  
Prevention\_Special Emphasis and Technical  
Assistance (1980B)  
Number changed from 16.517 (1980B)  
Juvenile Justice and Delinquency  
Prevention\_Special Emphasis (1989B)  
Developing, Testing and Demonstrating Promising  
New Programs (2004)  
Part E - Developing, Testing and Demonstrating  
Promising New Programs (2006)

**16.542**  
National Institute for Juvenile Justice and  
Delinquency Prevention (1980B)  
Number changed from 16.518 (1980B)  
Part D - Research, Evaluation, Technical Assistance  
and Training (2004)  
Deleted (2007)

**16.543**  
Missing Children's Assistance (1986B)

**16.544**  
Part D\_Juvenile Gangs and Drug Abuse and Drug  
Trafficking (1990B)  
Gang-Free Schools and  
Communities\_Community-Based Gang  
Intervention (1996U)

**16.545**  
Judicial Child Abuse Training (1992B)  
Combined into 16.547 (1994B)

**16.546**  
Investigation and Prosecution of Child Abuse  
Through the Criminal Justice System  
Number changed from 16.584 (1993U)  
Combined into 16.547 (1994B)

**16.547**  
Victims of Child Abuse (1994B)

**16.548**  
Title V\_Delinquency Prevention Program (1994B)

**16.549**  
Part E\_State Challenge Activities (1995B)

**16.550**  
Criminal Justice Statistics Development (1980B)  
Number changed from 16.509 (1980B)  
State Justice Statistics Program for Statistical  
Analysis Centers (1997B)

**16.551**  
Statistics on Crime and Criminal Justice (1980B)  
Number changed from 16.510 (1980B)  
Archived (1983U)

**16.552**  
Criminal Justice Systems Development (1980B)  
Number changed from 16.515 (1980B)  
Archived (1981U)

**16.553**  
Privacy and Security of Criminal Justice Systems  
(1980B)  
Number changed from 16.522 (1980B)  
Federal Statistics and Information Policy (1981U)  
Archived (1983U)

**16.554**  
National Criminal History Improvement Program  
(NCHIP) (1995B)

**16.555**  
National Sex Offender Registry Assistance (1998B)  
Archived (1999B)

**16.556**  
Grants to State Sexual Assault and Domestic  
Violence Coalitions (2008)  
State Domestic Violence and Sexual Assault  
Coalitions (2009)

**16.557**  
Tribal Domestic Violence and Sexual Assault  
Coalitions Program (2008)  
Tribal Domestic Violence and Sexual Assault  
Coalitions Grant Program (2009)

**16.560**  
Justice Research and Development Project Grants  
(1980B)  
Number changed from 16.507 (1980B)  
Justice Research, Development, and Evaluation  
Project Grants (1991U)  
National Institute of Justice Research, Evaluation,  
and Development Project Grants (2000B)

**16.561**  
National Institute of Justice Visiting Fellowships  
(1980B)  
Number changed from 16.508 (1980B)  
Deleted (2006)

**16.562**  
Law Enforcement Research and  
Development\_Graduate Research Fellowships  
(1980B)  
Number changed from 16.505 (1980B)  
Criminal Justice Research and  
Development\_Graduate Research Fellowships  
(1980U2)

**16.563**  
Law Enforcement Family Support (1997B)  
Corrections and Law Enforcement Family Support  
(1999B)  
Deleted (2007)

**16.564**  
National Institute of Justice Forensic DNA  
Laboratory Improvement Program (1999U)  
National Institute of Justice Crime Laboratory  
Improvement Program (2000B)  
Crime Laboratory Improvement\_Combined  
Offender DNA Index System Backlog Reduction  
(2001B)  
Deleted (2006)

**16.565**  
National Institute of Justice Domestic  
Anti-Terrorism Technology Development Program  
(1999U)  
National Institute of Justice Domestic  
Anti-Terrorism Technology Development Program  
(Counterterrorism Research and Development)  
(2004)  
Deleted (2006)

# Appendix VII: Historical Profile of Catalog Programs

|  |   |   |
|--|---|---|
| <b>16.566</b><br>National Institute of Justice W.E.B. DuBois Post-Doctoral Fellowship Program (1999U)<br>National Institute of Justice W.E.B. DuBois Fellowship Program (2000B)  | (1987U)<br>Drug Control and System Improvement_Discretionary Grant (1989U)<br>Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (1995U)   | Archived (1998B)  |
| <b>16.570</b><br>Civil Rights Compliance Activities (1980B)<br>Archived (1985U)  | <b>16.581</b><br>Drug Law Enforcement Program_Prison Capacity (1988B)<br>Archived (1995U)   | <b>16.592</b><br>Local Law Enforcement Block Grants Program (1996U)<br>Local Law Enforcement Block Grant Program (2006)<br>Deleted (2007)<br>Deleted (2007)                               |
| <b>16.571</b><br>Public Safety Officers' Benefits Program (1982B)<br>Number changed from 16.538 (1982B)<br>Public Safety Officers' Death Benefits Program (1985U)<br>Public Safety Officers' Benefit Program (1991U)<br>Public Safety Officers' Benefits Program (1995U) | <b>16.582</b><br>Crime Victim Assistance/Discretionary Grants (1988B)   | <b>16.593</b><br>Residential Substance Abuse Treatment for State Prisoners (1996U)  |
| <b>16.572</b><br>Mariel-Cubans (1984U)<br>Archived (1996B)<br>State Criminal Alien Assistance Program, Reinstated (1996U)<br>Archived (1998B)  | <b>16.583</b><br>Children's Justice Act Discretionary Grants for Native American Indian Tribes (1989B)<br>Children's Justice Act Discretionary Grants for Native Americans (1995U)<br>Children's Justice Act Partnerships for Indian Communities (1998B)  | <b>16.594</b><br>Prevention, Diagnosis, and Treatment of Tuberculosis in Correctional Institutions (1996U)<br>Archived (1999B)  |
| <b>16.573</b><br>Criminal Justice Block Grants (1985B)<br>Incorporated into 16.579 (1990B)   | <b>16.584</b><br>Investigation and Prosecution of Child Abuse Through the Federal Criminal Justice System (1992B)<br>Investigation and Prosecution of Child Abuse Through the Criminal Justice System (1993B)<br>Number changed to 16.546 (1993U)   | <b>16.595</b><br>Executive Office for Weed and Seed<br>Number changed from 16.725 (1995B)<br>Community Capacity Development Office (2005)<br>Community Capacity Development Office (2006) |
| <b>16.574</b><br>Criminal Justice Discretionary Grants (1985B)<br>Criminal Justice Discretionary Grant Program (1989B)<br>Archived (1996B)   | <b>16.585</b><br>Drug Court Discretionary Grant Program (1995B)   | <b>16.596</b><br>Correctional Grant Program for Indian Tribes (1996U)   |
| <b>16.575</b><br>Crime Victim Assistance (1985B)   | <b>16.586</b><br>Violent Offender Incarceration and Truth in Sentencing Incentive Grants (1995B)  | <b>16.597</b><br>Motor Vehicle Theft Protection Act Program (1997B)<br>Archived (2009)  |
| <b>16.576</b><br>Crime Victim Compensation (1985B)   | <b>16.587</b><br>Violence Against Women Discretionary Grants for Indian Tribal Governments (1995B)  | <b>16.598</b><br>State Identification Systems Grant Program (1997B)   |
| <b>16.577</b><br>Emergency Federal Law Enforcement Assistance (1986B)  | <b>16.588</b><br>Violence Against Women Formula Grants (1995B)  | <b>16.599</b><br>Local Firefighting and Emergency Services Training (1997U)<br>Archived (1999B)   |
| <b>16.578</b><br>Federal Surplus Property Transfer Program (1986B)   | <b>16.589</b><br>Rural Domestic Violence and Child Victimization Enforcement Grant Program (1996B)<br>Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program (2007)<br>Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (2008) | <b>16.600</b><br>Correctional Services_Technical Assistance (1970U)<br>Number changed to 16.603 (1976U)   |
| <b>16.579</b><br>State and Local Narcotics Control Assistance Anti-Drug Abuse Act of 1986 (1987B)<br>Drug Control and System Improvement_Formula Grant (1989U)<br>Byrne Formula Grant Program (1996U)<br>Edward Byrne Memorial Formula Grant Program (2006)              | <b>16.590</b><br>Grants to Encourage Arrest Policies (1996B)<br>Grants to Encourage Arrest Policies and Enforcement of Protection Orders (2001B)  | <b>16.601</b><br>Corrections_Training and Staff Development (1976U)   |
| <b>16.580</b><br>Narcotics Control Discretionary Grant Program   | <b>16.591</b><br>Managing Released Sex Offenders (1996B)  | <b>16.602</b><br>Corrections_Research and Evaluation (1976U)<br>Corrections_Research and Evaluation and Policy Formulation (1981U)  |

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Corrections\_Technical Assistance/Clearinghouse (1988B)

**16.604**

Corrections\_Policy Formulation (1976U)  
Archived (1981U)

**16.605**

Corrections\_Clearinghouse (1976U)  
Archived (1982B)

**16.606**

State Criminal Alien Assistance Program (1998B)

**16.607**

Bulletproof Vest Partnership Program (1999B)

**16.608**

Tribal Court Assistance Program (1999B)

**16.609**

Planning, Implementing, and Enhancing Strategies in Community Prosecution (1999U)  
Planning, Implementing, and Enhancing Strategies in Community Prosecution\_Gun Violence Prosecution (2001U)  
Community Prosecution and Project Safe Neighborhoods (2002B)

**16.610**

Regional Information Sharing Systems (1999U)

**16.611**

Closed-Circuit Televising of Child Victims of Abuse (1999U)

**16.612**

National White Collar Crime Center (1999U)  
Archived (2009)

**16.613**

Scams Targeting the Elderly (1999U)

**16.614**

State and Local Anti-Terrorism Training (1999U)

**16.615**

Public Safety Officers' Educational Assistance (1999U)

**16.616**

Indian Country Alcohol and Drug Prevention (2001U)

**16.700**

Antitrust State Enforcement (1978U)  
Archived (1981B)

**16.710**

Public Safety and Community Policing Grants (1995B)

Public Safety Partnership and Community Policing Grants (1996B)

**16.711**

Troops to COPS (1995B)  
Deleted (2004)

**16.712**

Police Corps (1996U)

**16.725**

Weed and Seed Program Fund (1993U)  
Number changed to 16.595 (1995B)

**16.726**

Juvenile Mentoring Program (1996B)

**16.727**

Combating Underage Drinking (1998B)  
Enforcing Underage Drinking Laws Program (1999U)

**16.728**

Drug Prevention Program (1998B)

**16.729**

Drug-Free Communities Support Program Grants (1998B)  
Number changed to 93.276 (2004)

**16.730**

Reduction and Prevention of Children's Exposure to Violence (1999B)

**16.731**

Tribal Youth Program (1999B)

**16.732**

National Evaluation of the Safe Schools/Healthy Students Initiative (1999U)  
National Evaluation of the Safe Schools\_Healthy Students Initiative (2001B)  
Deleted (2007)

**16.733**

National Incident Based Reporting System (2000B)

**16.734**

Special Data Collections and Statistical Studies (2003B)

**16.735**

PROTECTING INMATES AND SAFEGUARDING COMMUNITIES (2004)

**16.736**

Transitional Housing Assistance for Victims of Domestic Violence, Stalking, or Sexual Assault (2004)  
Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or

Sexual Assault (2008)

**16.737**

Gang Resistance Education and Training (2004)  
Number changed from 21.053 (2004)

**16.738**

Edward Byrne Memorial Justice Assistance Grant Program (2005)

**16.739**

National Prison Rape Statistics Program (2005)

**16.740**

Statewide Automated Victim Information Notification (SAVIN) Program (2005)

**16.741**

FORENSIC DNA CAPACITY ENHANCEMENT PROGRAM (2005)  
Forensic DNA Backlog Reduction Program (2008)

**16.742**

PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM (2005)

**16.743**

FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)

**16.744**

Anti-Gang Initiative (2006)

**16.745**

Criminal and Juvenile Justice and Mental Health Collaboration Program (2006)

**16.746**

Capital Case Litigation (2006)

**16.747**

Crime Victims' Rights Act (2006)  
Archived (2009)

**16.748**

Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (2007)

**16.749**

Radiation Exposure Compensation Program (2007)

**16.750**

SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM (2008)

**16.751**

Edward Byrne Memorial Competitive Grant Program (2008)

**16.752**

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Economic High-Tech and Cyber Crime Prevention (2008)

**16.753**

Congressionally Recommended Awards (2008)

**16.754**

Harold Rogers Prescription Drug Monitoring Program (2008)

**16.755**

Southwest Border Prosecution Initiative (2008)

**16.756**

Court Appointed Special Advocates Program (2009)

**16.757**

Judicial Training on Child Maltreatment for Court Personnel (2009)

**16.758**

Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (2009)

**16.800**

Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (2009)

**16.801**

Recovery Act - State Victim Assistance Formula Grant Program (2009)

**16.802**

Recovery Act - State Victim Compensation Formula Grant Program (2009)

**16.803**

Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (2009)

**16.804**

Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (2009)

**16.805**

Recovery Act - Transitional Housing (2009)

**16.806**

Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (2009)

**16.807**

Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (2009)

**16.808**

Recovery Act - Edward Byrne Memorial Competitive Grant Program (2009)

**16.809**

Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (2009)

**16.810**

Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (2009)

**16.811**

Recovery Act - Correctional Facilities On Tribal Lands (2009)

**16.812**

Second Chance Act Prisoner Reentry Initiative (2009)

**16.813**

NICS Act Record Improvement Program (2009)

**16.814**

Northern Border Prosecution Initiative Program (2009)

## **DEPARTMENT OF LABOR**

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Community Employment Development (1965B)  
Smaller Communities Program\_Rural Areas (1969B)  
Archived (1970B)

Experimental and Demonstration Projects for the Mentally Retarded (1965B)  
Archived (1967B)

Experimental and Demonstration Projects for Rural Persons (1965B)  
Archived (1967B)

Experimental and Demonstration Projects under MDTA (1965B)  
Archived (1967B)

Experimental and Demonstration Projects for Youth and Adults with Limited Ability to Read and Write (1965B)  
Archived (1967B)

Farm Labor Services (1965B)  
Employment Services to Rural Areas (1969B)  
Archived (1970B)

Job Market Information (1965B)  
Archived (1970B)

Job Training for Disadvantaged Persons (1965B)  
Archived (1969B)

New Careers Program (1967B)  
Archived (1969B)

Occupational Training in Development Areas (1965B)  
Archived (1969B)

Physically and Mentally Handicapped\_Employment Service (1965B)  
Archived (1969B)

Special Impact Program (1967B)  
Special Impact (1969B)  
Archived (1970B)

Trade Adjustment Allowances for Workers (1965B)  
Archived (1969B)

General Employment Services (1965B)  
U.S. Employment Services (1967B)  
Employment Service (1969B)  
Archived (1970B)

Veterans Employment Priority Service (1967B)  
Archived (1969B)

Youth Opportunity Centers (1965B)  
Archived (1970B)

American Indian Vocational Job Training (1965B)  
Archived (1967B)

Employment Assistance and Training for Inmates of Correctional Institutions (1969B)  
Archived (1970B)

Apprenticeship Information Centers (1969B)  
Archived (1970B)

Manpower Recruitment Services (1969B)  
Archived (1970B)

Older Worker Employment Assistance (1969B)  
Archived (1970B)

Selective Service Rejectee Rehabilitation (1969B)  
Archived (1970B)

**17.001**  
Foreign Labor Data (1969B)  
Archived (1972B)

**17.002**  
Manpower and Employment Data (1969B)  
Labor Force Statistics (1977B)

**17.003**  
Price and Cost of Living Data (1969B)

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|--|--|--|
| <b>17.004</b><br>Productivity, Technology, and Growth Data (1969B)<br>Productivity and Technology Data (1971B)<br>Split into 17.004, 17.006 (1971B)  | Number changed from 17.103 (1984U)<br>Employee Benefits Security Administration (2003B)  | <b>17.208</b><br>Exemplary Rehabilitation Certificates (1967B)<br>Number changed to 17.800 (1982B)   |
| <b>17.005</b><br>Wages and Industrial Relations Data (1969B)<br>Compensation and Working Conditions Data (1988B)<br>Compensation and Working Conditions (2000B)  | <b>17.151</b><br>Employee Benefits Security Administration (EBSA) (2009)   | <b>17.209</b><br>Farm Labor Contractor Registration (1965B)<br>Number changed to 17.308 (1972U)  |
| <b>17.006</b><br>Economic Growth Data (1971B)<br>Split from 17.004 (1971B)<br>Economic Research Data (1972B)<br>Economic Growth Data (1977B)<br>Economic Growth and Employment Projections Data (1983B)<br>Employment Projections Data (1989U)<br>Deleted (2004)<br>Incorporated into 17.002 (2004)<br>Incorporated into 17.002 (2004) | <b>17.200</b><br>Apprenticeship Outreach (1970B)<br>Consolidated into 17.243 (1979B)   | <b>17.210</b><br>Job Bank (1970B)<br>Computerized Job Placement (1972B)<br>Incorporated into 17.207 (1973B)  |
| <b>17.100</b><br>Labor-Management Relations Services (1970B)<br>Number changed to 17.130 (1984U)   | <b>17.201</b><br>Apprenticeship and Training (1965B)<br>Apprenticeship Training (1970B)<br>Registered Apprenticeship Training (1997U)<br>Registered Apprenticeship and Other Training (2000B)  | <b>17.211</b><br>Job Corps (1970B)<br>Transferred from Office of Economic Opportunity (1970B)<br>Incorporated into 17.232 (1974B)<br>Reinstated/Split from 17.232 (1975B)<br>Archived (1981U)  |
| <b>17.101</b><br>Labor Organization Reports (1969B)<br>Number changed to 17.140 (1984U)  | <b>17.202</b><br>Certification for Foreign Workers for Seasonal Agricultural Employment (1970B)<br>Certification of Foreign Workers for Agricultural and Logging Employment (1971B)<br>Certification of Foreign Workers for Temporary Agricultural and Logging Employment (1980U2)<br>Certification of Foreign Workers for Temporary Agricultural Employment (1991B)<br>Deleted (2006) | <b>17.212</b><br>Job Opportunities in the Business Sector (1969B)<br>Incorporated into 17.232 (1975B)  |
| <b>17.102</b><br>Reemployment Rights for Veterans (1969B)<br>Veterans Reemployment Rights (1970B)<br>Number changed to 17.803 (1984B)  | <b>17.203</b><br>Certification for Immigrant Nonagricultural Workers (1970B)<br>Certification for Immigrant Workers (1979B)<br>Labor Certification for Alien Workers (1983B)<br>Deleted (2006)   | <b>17.213</b><br>Journeyman Training (1970B)<br>Archived (1972U)   |
| <b>17.103</b><br>Welfare and Pension Plan Reports (1969B)<br>Employee Benefits Security (1975B)<br>Pension and Welfare Benefit Programs (1977B)<br>Number changed to 17.150 (1984U)  | <b>17.204</b><br>Concentrated Employment Program (1969B)<br>Consolidated into 17.232 (1973B)   | <b>17.214</b><br>Labor Mobility-Relocation Assistance Allowances (1965B)<br>Labor Mobility Demonstration Projects (1970B)<br>Archived (1970U)  |
| <b>17.104</b><br>Office of Construction Industry Services (1979U1)<br>Archived (1982B)   | <b>17.205</b><br>Cooperative Area Manpower Planning System (1969B)<br>Consolidated into 17.232 (1973B)   | <b>17.215</b><br>Manpower Development and Training_Institutional Training (1970B)<br>Incorporated into 17.232 (1973B)  |
| <b>17.130</b><br>Labor-Management Relations and Cooperative Programs (1984U)<br>Number changed from 17.100 (1984U)<br>Archived (1992U)   | <b>17.206</b><br>Bonding Assistance (1969B)<br>Employment Bonding Assistance (1970B)<br>Archived (1970U)<br>Reinstated (1971B)<br>Federal Bonding Program (1971B)<br>Archived (1972U)  | <b>17.216</b><br>Manpower Development and Training (1965B)<br>Manpower Development and Training Act_On-the-Job Training Program (1970B)<br>Number changed to 17.227 (1970U)  |
| <b>17.140</b><br>Labor Organization Reports (1984U)<br>Number changed from 17.101 (1984U)<br>Incorporated into 17.309 (2001U)  | <b>17.207</b><br>Employment Service_Industrial Services (1965B)<br>Employment Services_Grants to States (1970B)<br>Employment Service (1972B)<br>Employment Service/Wagner-Peyser Funded Activities (2006)   | <b>17.217</b><br>Manpower Experimental and Demonstration Projects (1969B)<br>Consolidated into 17.233 (1973U)  |
| <b>17.150</b><br>Welfare and Pension Plan Reports (1984U)  |  | <b>17.218</b><br>Manpower Research Programs (1965B)<br>Manpower Research_Doctoral Dissertation Grants (1970B)<br>Employment and Training Research_Doctoral Dissertation Grants (1976B)<br>Doctoral Dissertation and Small Grant Research Projects Programs (1977B)<br>Doctoral Dissertation Program (1979U1) |



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Archived (1980U1)

## 17.219

Manpower Research\_Institutional Grants (1970B)  
Manpower Institutional Grants (1974B)  
Employment and Training Institutional Grants (1976B)  
Institutional Grant Program (1978B)  
Archived (1982B)

## 17.220

Manpower Research and Evaluation (1970B)  
Manpower Research\_Contracts (1971B)  
Manpower Research\_Projects (1973B)  
Consolidated into 17.233 (1973U)

## 17.221

Manpower Research\_Project Grants (1970B)  
Manpower Research\_Small Grant Projects (1973B)  
Manpower Research\_Small Grant Research Projects (1975B)  
Employment and Training Research\_Small Grant Research Projects (1976B)  
Incorporated into 17.218 (1977B)

## 17.222

Neighborhood Youth Corps (1965B)  
Consolidated into 17.232 (1973B)

## 17.223

Operation Mainstream (1967B)  
National Older Workers Program\_Operation Mainstream (1975B)  
Incorporated into 17.235 (1975U)

## 17.224

Public Service Careers (1970B)  
Archived (1973U)

## 17.225

Unemployment Insurance\_Grants to States (1965B)  
Unemployment Insurance (1979B)

## 17.226

Work Incentives Program (1969B)  
Work Incentive Program\_Training and Allowances (1970B)  
Work Incentives Program\_Training and Allowances (1973B)  
Work Incentives Program and Incentives (1974B)  
Work Incentives Program (1975B)  
Transferred to 13.646 (1978B)

## 17.227

Job Opportunities in the Business Sector\_Low Support (1970U)  
Number changed from 17.216 (1970U)  
Job Opportunities in the Business Sector\_Optional Program (1971B)  
Consolidated into 17.232 (1973B)

## 17.228

National On-The-Job Training (1971B)  
Consolidated into 17.243 (1979B)

## 17.229

Emergency Employment Assistance (1971U)  
Public Employment Program (1972B)  
Archived (1973B)

## 17.230

Migrant Workers (1972B)  
Transferred from (1972B)  
Farm Workers (1975B)  
Migrant and Seasonal Farm Workers (1977B)  
Migrant and Seasonal Farmworkers (1981U)  
Number changed to 17.247 (1983U)

## 17.231

Technology Mobilization and Reemployment (1972B)  
Archived (1973B)

## 17.232

Manpower Revenue Sharing (1973B)  
Consolidated from 17.204, 17.205, 17.222, 17.227 (1973B)  
Comprehensive Manpower Programs (1973U)  
Comprehensive Employment and Training Programs (1974B)  
Archived (1983U)

## 17.233

Manpower Research and Development Projects (1973U)  
Consolidated from 17.217, 17.220 (1973U)  
Employment and Training Research and Development Projects (1976B)  
Number changed to 17.248 (1983U)

## 17.234

Indian Manpower Programs (1975B)  
Indian Employment and Training Programs (1976B)  
Indian and Native American Employment and Training Programs (1977B)  
Employment and Training\_Indians and Native Americans (1978B)  
Archived (1983U)

## 17.235

Senior Community Service Employment Program (1975B)

## 17.236

New Initiatives in Apprenticeship (1978B)  
Archived (1979B)

## 17.239

Youth Community Conservation Improvement Program (1978B)

Incorporated into 17.232 (1979U1)

## 17.240

Youth Employment and Training (1978B)  
Consolidated into 17.232 (1979U1)

## 17.241

Youth Incentive Entitlement Pilot Projects (1978B)  
Archived (1981B)

## 17.242

Summer Programs for Economically Disadvantaged Youth (1978B)  
Consolidated into 17.232 (1979U1)

## 17.243

Special Programs and Activities for the Disadvantaged (1979B)  
Consolidated from 17.200, 17.228 (1979B)  
Special National Programs and Activities for the Disadvantaged (1980U2)  
Special National Lever Programs (1983B)  
Number changed to 17.249 (1983U)

## 17.244

Disabled Veterans Outreach Program (1981B)  
Number changed to 17.801 (1982B)

## 17.245

Trade Adjustment Assistance\_Workers (1981U)  
Number changed from 17.400 (1981U)  
Trade Adjustment Assistance (2006)

## 17.246

Employment and Training Assistance\_Dislocated Workers (1983B)  
Consolidated into 17.260 (2001B)

## 17.247

Migrant and Seasonal Farmworkers (1983U)  
Number changed from 17.230 (1983U)

## 17.248

Employment and Training Research and Development Projects (1983U)  
Number changed from 17.233 (1983U)  
Employment and Training Evaluation Projects (2000B)  
Consolidated into 17.261 (2001U)

## 17.249

Employment Services and Job Training\_Pilot and Demonstration Programs (1983U)  
Number changed from 17.243 (1983U)  
Employment Services and Job Training Pilots\_Demonstrations and Research (2000B)  
Consolidated into 17.261, 17.263 (2001U)

## 17.250

Job Training Partnership Act (1983U)

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Consolidated into 17.258, 17.259 (2001B)

## 17.251

Native American Employment and Training Programs (1984U)

Consolidated into 17.26 (2002B)

## 17.252

Attestations by Employers Using Alien Crewmembers for Longshore Activities in U.S. Ports (1993B)

## 17.253

Welfare-to-Work Grants to States and Localities (1998B)

## 17.254

Welfare-to-Work Grants to Federally Recognized Tribes and Alaska Natives (1998U)

## 17.255

Workforce Investment Act (1999B)  
Consolidated into 17.258, 17.259 (2001B)

## 17.257

One-Stop Career Initiative (1999B)  
Deleted (2004)  
Reinstated (2004)  
Deleted (2005)  
Reinstated (2005)  
Deleted (2006)

## 17.258

WIA Adult Program  
Consolidated from 17.250, 17.255 (2001B)

## 17.259

WIA Youth Activities  
Consolidated from 17.250, 17.255 (2001B)

## 17.260

WIA Dislocated Workers  
Consolidated from 17.246 (2001B)

## 17.261

Employment and Training Administration Pilots, Demonstrations, and Research Projects  
Consolidated from 17.248, 17.249 (2001B)  
WIA Pilots, Demonstrations, and Research Projects (2006)

## 17.262

Employment and Training Administration Evaluations (2001B)

## 17.263

Youth Opportunity Grants  
Consolidated from 17.249 (2001B)  
Deleted (2006)

## 17.264

Migrant and Seasonal Farmworkers (2002B)  
Consolidated from 17.247 (2002B)  
National Farmworker Jobs Program (2006)

## 17.265

Native American Employment and Training (2002B)  
Consolidated from 17.251 (2002B)

## 17.266

Work Incentives Grant (2002B)  
Work Incentive Grants (2006)

## 17.267

WIA Incentive Grants\_ Section 503 Grants to States (2004)  
Incentive Grants - WIA Section 503 (2006)

## 17.268

H-1B High Growth Job Training Grants (2006)  
H-1B Job Training Grants (2007)

## 17.269

Community Based Job Training Grants (2006)

## 17.270

Prisoner Reentry (2006)  
Reintegration of Ex-Offenders (2008)

## 17.271

Work Opportunity Tax Credit Program (WOTC) and Welfare-to-Work Tax Credit (WtWTC) (2006)  
Work Opportunity Tax Credit Program (WOTC) (2007)

## 17.272

Permanent Labor Certification for Foreign Workers (2006)

## 17.273

Temporary Labor Certification for Foreign Workers (2006)

## 17.274

YOUTHBUILD (2007)  
Number changed from 14.243 (2007)

## 17.275

PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS (2009)

## 17.276

Health Coverage Tax Credit (HCTC) (2009)

## 17.277

Workforce Investment Act (WIA) National Emergency Grants (2009)

## 17.278

WIA Dislocated Worker Formula Grants (2009)

## 17.300

Age Discrimination in Employment (1969B)  
Transferred to 30.008 (1979U1)

## 17.301

Equal Employment Opportunity by Federal Contractors (1969B)  
Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (1980B)  
Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (1983U)

## 17.302

Workmen's Compensation for Federal Employees and Others (1969B)  
Longshoremen's and Harbor Workers' Compensation (1970B)  
Longshore and Harbor Workers' Compensation (1984U)

## 17.303

Federal Minimum Wage and Hour Standards (1967B)  
Minimum Wage and Hour Standards (1969B)  
Split into 17.303, 30.010 (1979U2)  
Wage and Hour Standards (1996B)

## 17.304

Labor Standards (1965B)  
Safety and Labor Standards (1969B)  
Workers Safety and Labor Standards (1970B)  
Number changed to 17.307A (1971B)

## 17.305

Women\_Special Programs and Assistance (1967B)  
Women's Special Employment Assistance (1970B)  
Number changed to 17.700 (1978B)

## 17.306

Consumer Credit Protection (1970U)

## 17.307

Coal Mine Workers' Compensation (2004)

## 17.307A

6Occupational Safety and Health (1971B)  
Number changed from 17.304 (1971B)  
Number changed to 17.500 (1971U)

## 17.307B

6Coal Mine Workers' Compensation (1973B)

## 17.308

Farm Labor Contractor Registration (1972U)  
Number changed from 17.209 (1972U)

# Appendix VII: Historical Profile of Catalog Programs

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| <b>17.309</b><br>Labor Organization Reports (1999B)<br>Incorporated from 17.140 (2001U)  | <b>17.604</b><br>Safety and Health Grants (2008)   | <b>18.001</b><br>Postal Academy Program (1970B)<br>Archived (1972U)  |
| <b>17.310</b><br>Energy Employees Occupational Illness<br>Compensation (2006)  | <b>17.700</b><br>Women's Special Employment Assistance (1978B)<br>Number changed from 17.305 (1978B)<br>Women's Bureau (2003B)   | <b>U.S. DEPARTMENT OF STATE</b>  |
| <b>17.311</b><br>Federal Transit Employee Protection Certifications:<br>Office of Labor-Management Standards (2009)  | <b>17.720</b><br>Employment Programs for People with Disabilities<br>(2002B)<br>Transferred from 53.001 (2002B)<br>Disability Employment Policy Development (2005)<br>Disability Employment Policy Development (2005)          | <b>19.001</b><br>Foreign Currency Loans (1970B)<br>Transferred to 70.001 (1971B)   |
| <b>17.400</b><br>Trade Adjustment Assistance_Workers (1971B)<br>Transferred from 61.003 (1971B)<br>Number changed to 17.245 (1981U)                          | <b>17.800</b><br>Exemplary Rehabilitation Certificates (1982B)<br>Number changed from 17.208 (1982B)<br>Archived (1983B)   | <b>19.002</b><br>Foreign Housing Investment Guaranties (1970B)<br>Consolidated into 19.008 (1970U)   |
| <b>17.500</b><br>Occupational Safety and Health (1971U)<br>Number changed from 17.307A (1971U)<br>Number changed to 17.504 (1995B)                           | <b>17.801</b><br>Disabled Veterans Outreach Program (1982B)<br>Number changed from 17.244 (1982B)<br>Disabled Veterans Outreach Program (DVOP)<br>(1992B)<br>Disabled Veterans' Outreach Program (DVOP)<br>(1995B)             | <b>19.003</b><br>Foreign Housing Investment Guaranty<br>Program_Latin America (1970B)<br>Consolidated into 19.008 (1970U)  |
| <b>17.501</b><br>Employee Assistance Programs_Drug, Alcohol<br>Abuse (1990B)<br>Archived (1991U)   | <b>17.802</b><br>Veterans Employment Program (1984B)<br>Veterans' Employment Program (1995B)   | <b>19.004</b><br>Foreign Investment Guaranties (1970B)<br>Transferred to 70.002 (1971B)  |
| <b>17.502</b><br>Occupational Safety and Health_Training and<br>Education (1991U)<br>Occupational Safety and Health_Susan Harwood<br>Training Grants (1999B) | <b>17.803</b><br>Reemployment Rights for Veterans (1984B)<br>Number changed from 17.102 (1984B)<br>Veterans' Employment and Reemployment Rights<br>(1995B)<br>Uniformed Services Employment and<br>Reemployment Rights (1996B) | <b>19.005</b><br>Foreign Investment Insurance (1970B)<br>Transferred to 70.003 (1971B)   |
| <b>17.503</b><br>Occupational Safety and Health_State Program<br>(1994B)   | <b>17.804</b><br>Local Veterans Employment Representative<br>Program (1984B)<br>Local Veterans' Employment Representative<br>Program (1995B)   | <b>19.006</b><br>Institutional Centers to Aid Foreign Development<br>(1969B)<br>Archived (1977U)   |
| <b>17.504</b><br>Consultation Agreements<br>Number changed from 17.500 (1995B)   | <b>17.805</b><br>Homeless Veterans Reintegration Project (1991U)<br>Archived (1996B)<br>Reinstated (1998B)   | <b>19.007</b><br>Technology Applications for Less-Developed<br>Countries (1969B)<br>Archived (1978B)   |
| <b>17.505</b><br>OSHA Data Initiative (2003B)  | <b>17.806</b><br>Veteran's Preference in Federal Employment<br>(2000B)   | <b>19.008</b><br>Foreign Housing Investment Guaranty_Worldwide<br>(1970U)<br>Consolidated from 19.002, 19.003 (1970U)<br>Housing Investment Guaranty_Worldwide (1971B)<br>Housing Guaranty_Worldwide (1973U)<br>Archived (1978B) |
| <b>17.600</b><br>Mine Health and Safety Grants (1978B)<br>Transferred from 15.350 (1978B)  | <b>U.S. POSTAL SERVICE</b>   | <b>19.009</b><br>Academic Exchange Programs - Undergraduate<br>Programs (2009)   |
| <b>17.601</b><br>Mine Health and Safety Counseling and Technical<br>Assistance (1978B)<br>Transferred from 15.351 (1978B)                                    | Lease Construction Program (1967B)<br>Post Office Lease Construction (1969B)<br>Archived (1970B)   | <b>19.012</b><br>Professional and Cultural Exchange Programs -<br>Special Professional and Cultural Programs (2009)  |
| <b>17.602</b><br>Mine Health and Safety Education and Training<br>(1978B)<br>Transferred from 15.352 (1978B)   |  | <b>19.013</b><br>Thomas R. Pickering Foreign Affairs Fellowship<br>Program (2009)  |
| <b>17.603</b><br>Brookwood-Sago Grant (2007)   |  | <b>19.014</b><br>One-Time International Exchange Grant Program<br>(2009)   |

## Appendix VII: Historical Profile of Catalog Programs

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| <b>19.015</b><br>Cultural, Technical and Educational Centers (2009)  | Number changed from 82.001 (2000B)<br>Academic Exchange Programs - Graduate Students (2009)   | Archived (2009)  |
| <b>19.016</b><br>Iraq Assistance Programs (2009)   | <b>19.401</b><br>Educational Exchange_University Lecturers (Professors) and Research Scholars<br>Number changed from 82.002 (2000B)<br>Academic Exchange Programs - Scholars (2009)   | <b>19.410</b><br>Educational Exchange_Congress-Bundestag Youth Exchange<br>Number changed from 82.016 (2000B)<br>Archived (2009)   |
| <b>19.017</b><br>Environmental and Scientific Partnerships and Programs (2009)   | <b>19.402</b><br>International Visitors Program<br>Number changed from 82.004 (2000B)<br>Professional and Cultural Exchange Programs - International Visitor Leadership Program (2009)  | <b>19.411</b><br>Educational Exchange_NIS Secondary School Initiative<br>Number changed from 82.018 (2000B)<br>Deleted (2004)  |
| <b>19.018</b><br>Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement (2009)  | <b>19.403</b><br>American Council of Young Political Leaders<br>Number changed from 82.006 (2000B)<br>Archived (2009)   | <b>19.412</b><br>Educational Exchange_Postgraduates and Faculty<br>Number changed from 82.026 (2000B)<br>Archived (2002B)  |
| <b>19.019</b><br>International Programs to Combat Human Trafficking (2009)   | <b>19.404</b><br>Professional Development_International Educators/Administrators<br>Number changed from 82.009 (2000B)<br>Deleted (2004)<br>Consolidated into 19.424 (2004)   | <b>19.413</b><br>Cultural Exchange (Performing Arts)<br>Number changed from 82.030 (2000B)<br>Deleted (2006)   |
| <b>19.100</b><br>Cultural Presentations_Foreign Tours (1969B)<br>Split into 19.100, 19.102 (1970B)<br>Archived (1971B)   | <b>19.405</b><br>College and University Partnerships Program<br>Number changed from 82.010 (2000B)<br>Educational Partnerships Program (2003B)<br>Deleted (2004)<br>Consolidated into 19.424 (2004)   | <b>19.414</b><br>Cultural Exchange (Visual Arts)<br>Number changed from 82.032 (2000B)<br>Deleted (2005)   |
| <b>19.101</b><br>Exchange of Persons_Academic Grants (1969B)<br>Educational Exchange_Graduate Students (1970B)<br>Transferred to 82.001 (1978B)  | <b>19.406</b><br>College and University Affiliations Program<br>Number changed from 82.011 (2000B)<br>Educational Partnerships Program (2001U)<br>Consolidated into 19.42 (2002B)   | <b>19.415</b><br>Professional Exchange_Annual Open Grant<br>Number changed from 82.033 (2000B)<br>Professional Exchanges_Annual Open Grant (2001B)<br>Professional and Cultural Exchange Programs - Citizen Exchanges (2009) |
| <b>19.102</b><br>Educational Exchange_University Lecturers (Professors) and Research Scholars (1970B)<br>Split from 19.100 (1970B)<br>Transferred to 82.002 (1978B)                      | <b>19.407</b><br>Teacher Exchange_New Independent States (NIS)<br>Number changed from 82.012 (2000B)<br>Deleted (2005)  | <b>19.416</b><br>Exchange_English Teaching Fellows<br>Number changed from 82.034 (2000B)<br>Consolidated into 19.421 (2001B)   |
| <b>19.200</b><br>Claims Against Foreign Governments (1970B)  | <b>19.408</b><br>Educational Exchange_Teachers from Secondary and Postsecondary Levels<br>Number changed from 82.013 (2000B)<br>Educational Exchange_Teachers from Secondary and Postsecondary Levels and School Administrators (2001B)<br>Academic Exchange Programs - Teachers (2009) | <b>19.417</b><br>Exchange_English as a Foreign Language (EFL) Fellows<br>Number changed from 82.035 (2000B)<br>Consolidated into 19.421 (2001B)  |
| <b>19.201</b><br>Protection of Ships from Foreign Seizure (1970B)  | <b>19.409</b><br>Creative Arts Grants<br>Number changed from 82.015 (2000B)<br>Arts Exchanges on International Issues (2005)<br>Arts Exchanges on International Issues (2005)   | <b>19.418</b><br>Educational Exchange_Fulbright American Studies Institutes<br>Number changed from 82.038 (2000B)<br>Educational Exchange, American Studies Institute (2006)<br>Archived (2009)                              |
| <b>19.202</b><br>Special Domestic Assignments (1981B)  |   |  |
| <b>19.203</b><br>Claims Against Foreign Missions (1984B)<br>Archived (1990B)   |   |  |
| <b>19.204</b><br>Fishermen's Guranty Fund<br>Number changed from 11.410 (1987B)  |   |  |
| <b>19.300</b><br>Russian, Eurasian, and East European Research and Training (1992B)<br>Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (1995U) |   |  |
| <b>19.400</b><br>Educational Exchange_Graduate Students  |   |  |

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|--|---|--|
| <b>19.420</b><br>Cooperative Grants (2000B)<br>Deleted (2004)  | <b>19.517</b><br>Overseas Refugee Assistance Programs for Africa (2005)   | <b>20.007</b><br>Bridge Alteration (1993U)<br>Transferred to 97.014 (2003B)  |
| <b>19.421</b><br>Exchange_English Language Fellow Program<br>Consolidated from 19.416, 19.417 (2001B)<br>Academic Exchange Programs - English Language Programs (2009) | <b>19.518</b><br>Overseas Refugee Assistance Programs for Western Hemisphere (2005)   | <b>20.008</b><br>E-911 Grant Program (2009)  |
| <b>19.422</b><br>Educational Exchange_Teaching Excellence Awards Program (2001B)<br>Deleted (2004)   | <b>19.519</b><br>Overseas Refugee Assistance Program for Near East and South Asia (2005)  | <b>20.100</b><br>Aviation Education (1969B)<br>Archived (2009)   |
| <b>19.423</b><br>Exchange_English Language Specialist/Speaker Program (2001B)<br>Archived (2009)   | <b>19.520</b><br>Overseas Refugee Assistance Programs for Europe (2005)   | <b>20.101</b><br>Airport Development Program (1965B)<br>Airport Development (1969B)<br>Federal-Aid Airport Program (1970B)<br>Number changed to 20.102 (1970U) |
| <b>19.424</b><br>Educational Partnerships Program (2002B)<br>Consolidated from 19.406 (2002B)<br>Deleted (2005)  | <b>19.522</b><br>Overseas Refugee Assistance Programs for Strategic Global Priorities (2005)  | <b>20.102</b><br>Airport Development Aid Program (1970U)<br>Number changed from 20.101 (1970U)<br>Archived (1983B)   |
| <b>19.425</b><br>Benjamin Gilman International Scholarship (2002B)<br>Archived (2009)  | <b>DEPARTMENT OF TRANSPORTATION</b><br>Coast Guard Marine, Harbor, and Waterfront Services (1967B)<br>Marine, Harbor, and Waterfront Services (1969B)<br>Archived (1970B) | <b>20.103</b><br>Airport Planning Grant Program (1971B)<br>Archived (1983B)  |
| <b>19.430</b><br>International Education Training and Research (2008)<br>Archived (2009)   | Development Highways and Access Roads for the Appalachian Region (1967B)<br>Archived (1969B)  | <b>20.104</b><br>Aviation War Risk Insurance (1971B)<br>Archived (1977U)   |
| <b>19.431</b><br>Educational Exchange_Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (2005)<br>Archived (2009)        | Urban Mass Transportation Capital Assistance (1969B)<br>Incorporated into 20.500, 20.501 (1970B)  | <b>20.105</b><br>Loan Guarantees for Purchase of Aircraft and Spare Parts (1980B)<br>Archived (1983U)  |
| <b>19.432</b><br>Overseas Educational Advising (2005)<br>Academic Exchange Programs - Educational Advising and Student Services (2009)                                 | <b>20.001</b><br>Boating Safety (1970B)<br>Transferred to 97.011 (2003B)  | <b>20.106</b><br>Airport Improvement Program (1983B)   |
| <b>19.500</b><br>Middle East Partnership Initiative (MEPI) (2004)  | <b>20.002</b><br>Coast Guard Cooperative Marine Sciences Program (1970B)<br>Archived (1986B)  | <b>20.107</b><br>Airway Science (1987B)  |
| <b>19.501</b><br>Public Diplomacy Programs for Afghanistan and Pakistan (2009)   | <b>20.003</b><br>Student Shipboard Opportunities Program (1970B)<br>Incorporated into 20.002 (1971B)  | <b>20.108</b><br>Aviation Research Grants (1993B)  |
| <b>19.510</b><br>U.S. Refugee Admissions Program (2004)  | <b>20.004</b><br>Boating Safety_Financial Assistance (1972U)<br>Archived (1980B)  | <b>20.109</b><br>Air Transportation Centers of Excellence (1993B)  |
| <b>19.511</b><br>Overseas Refugee Assistance Programs for East Asia (2005)   | <b>20.005</b><br>Boating Safety Financial Assistance (1983U)<br>Transferred to 97.012 (2003B)   | <b>20.200</b><br>Federal-Aid Highways_Emergency Relief (1970B)<br>Incorporated into 20.205 (1974B)   |
|  | <b>20.006</b><br>State Access to the Oil Spill Liability Trust Fund (1993B)<br>Transferred to 97.013 (2003B)  | <b>20.201</b><br>Forest Highways (1970B)<br>Incorporated into 20.205 (1974B)   |
|  |   | <b>20.202</b><br>Highway Beautification (1967B)<br>Highway Beautification_Control of Junkyards (1970B)<br>Transferred from the Department of Commerce          |

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|---|---|---|
| (1970B)<br>Split into 20.202, 20.203, 20.204 (1970B)<br>Consolidated into 20.214 (1974B)  | (1972B)<br>Archived (1972U)   | <b>20.235</b><br>Commercial Motor Vehicle Operator Training Grants (2006)   |
| <b>20.203</b><br>Highway Beautification_Control of Outdoor Advertising (1970B)<br>Split from 20.202 (1970B)<br>Consolidated into 20.214 (1974B)   | <b>20.213</b><br>Special Bridge Replacement (1971U)<br>Federal-Aid Highways_Special Bridge Replacement (1973B)<br>Incorporated into 20.205 (1974B)  | <b>20.236</b><br>Thermal Imaging Inspection System Demonstration Project (2006)<br>Archived (2009)  |
| <b>20.204</b><br>Highway Beautification_Landscaping and Scenic Enhancement (1970B)<br>Split from 20.202 (1970B)<br>Consolidated into 20.214 (1974B)   | <b>20.214</b><br>Highway Beautification_Control of Outdoor Advertising, Control of Junkyards, Landscaping and Scenic Enhancement (1974B)<br>Consolidated from 20.202, 20.203, 20.204 (1974B)<br>Highway Beautification_Control of Outdoor Advertising, and Control of Junkyards (1977B)<br>Archived (1989B) | <b>20.237</b><br>Commercial Vehicle Information Systems and Networks (2006)<br>Safety Data Improvement Program (2008)<br>Commercial Vehicle Information Systems and Networks (2009)                                       |
| <b>20.205</b><br>Highway Planning and Construction (1967B)<br>Transferred from the Department of Commerce (1970B)<br>Highway Research, Planning, and Construction (1972B)<br>Highway Planning and Construction (1981U)<br>Revised (1998U) | <b>20.215</b><br>Highway Training and Education (1980B)   | <b>20.238</b><br>Commercial Drivers License Information System (2007)   |
| <b>20.206</b><br>Highway Studies (1967B)<br>Highway Planning and Research Studies (1970B)<br>Highway Planning and Research (1971B)<br>Incorporated into 20.205 (1972B)  | <b>20.216</b><br>Highway Educational Grants (1980B)<br>Archived (1985U)   | <b>20.239</b><br>Motor Carrier Research and Technology Programs (2009)  |
| <b>20.207</b><br>National Highway Safety Program (1965B)<br>Split into 20.207, 20.208, 20.210 (1970B)<br>Highway Safety Demonstration Projects (1970B)<br>Consolidated into 20.600 (1971B)  | <b>20.217</b><br>Motor Carrier Safety (1980B)   | <b>20.240</b><br>Fuel Tax Evasion-Intergovernmental Enforcement Effort (2006)   |
| <b>20.208</b><br>Highway Safety Research Fellowships (1970B)<br>Split from 20.207 (1970B)<br>Consolidated into 20.600 (1971B)   | <b>20.218</b><br>Motor Carrier Safety Assistance Program (1983U)<br>National Motor Carrier Safety (1999B)   | <b>20.241</b><br>Federal Motor Carrier Safety Administration National Training Center (2009)  |
| <b>20.209</b><br>Public Lands Highways (1970B)<br>Incorporated into 20.205 (1974B)  | <b>20.219</b><br>National Recreational Trails Program (1993U)<br>National Recreational Trails Funding Program (1995B)<br>Recreational Trails Program, Revised (1998U)   | <b>20.300</b><br>High-Speed Ground Transportation (1967B)<br>Transferred from the Department of Commerce (1967B)<br>High-Speed Ground Transportation Research and Development (1970B)<br>Consolidated into 20.304 (1974U) |
| <b>20.210</b><br>State and Community Highway Safety (1970B)<br>Split from 20.207 (1970B)<br>Consolidated into 20.600 (1971B)  | <b>20.222</b><br>Highways for LIFE (2006)   | <b>20.301</b><br>Railroad Safety (1971B)  |
| <b>20.211</b><br>Traffic Operations Program to Increase Capacity and Safety (1970B)<br>Incorporated into 20.205 (1972B)   | <b>20.223</b><br>Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (2007)  | <b>20.302</b><br>Railroad Research (1973B)<br>Consolidated into 20.304 (1974U)  |
| <b>20.212</b><br>Economic Growth Centers and Development Highway Demonstration Projects (1971U)<br>Economic Growth Centers Development_Highways   | <b>20.230</b><br>Crash Data Improvement Program (2005)  | <b>20.303</b><br>Grants-in-Aid for Railroad Safety (1974U)<br>Grants-in-Aid for Railroad Safety_State Participation (1975B)<br>Archived (2009)  |
|   | <b>20.231</b><br>Performance and Registration Information Systems Management (2006)   | <b>20.304</b><br>Railroad Research and Development (1974U)<br>Consolidated from 20.300, 20.302 (1974U)<br>Archived (1977U)  |
|   | <b>20.232</b><br>Commercial Driver License State Programs (2005)  | <b>20.305</b><br>Local Rail Service Continuation Payments (1976B)   |
|   | <b>20.233</b><br>Border Enforcement Grants (2005)   |   |
|   | <b>20.234</b><br>Safety Data Improvement Program (2006)   |   |

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Local Rail Service Continuation  
Payments\_Regional Program (1977B)  
Incorporated into 20.308 (1978B)

## 20.306

Rail Property Acquisition and Modernization Grant  
Assistance (1976B)  
Incorporated into 20.305 (1977B)

## 20.307

Transportation Test Center (1975U)  
Archived (1983B)

## 20.308

Local Rail Service Assistance\_National Program  
(1977B)  
Local Rail Service Assistance (1978U)  
Local Rail Freight Assistance (1991U)  
Archived (2000B)

## 20.309

Railroad Rehabilitation and  
Improvement\_Guarantee of Obligations (1977B)  
Archived (1987B)

## 20.310

Railroad Rehabilitation and  
Improvement\_Redeemable Preference Shares  
(1977B)  
Railroad Rehabilitation and  
Improvement\_Redeemable Preference Shares or  
Notes (1983U)  
Archived (1986B)

## 20.311

Railroad Labor/Management Cooperation Program  
(1987U)  
Archived (1988B)

## 20.312

High Speed Ground Transportation (1995B)  
High Speed Ground Transportation\_Next  
Generation High Speed Rail Program (1998B)  
Archived (2009)

## 20.313

Railroad Research and Development (2000U)

## 20.314

Railroad Development (2006)

## 20.315

National Railroad Passenger Corporation Grants  
(2006)

## 20.316

Railroad Rehabilitation and Improvement  
Financing Program (2007)

## 20.317

Capital Assistance to States - Intercity Passenger

Rail Service (2008)

## 20.318

Maglev Project Selection Program - SAFETEA-LU  
(2008)

## 20.319

High-Speed Rail Corridors and Intercity Passenger  
Rail Service Capital Assistance Grants (2009)

## 20.320

Rail Line Relocation and Improvement (2009)

## 20.400

Transportation Planning Information\_Environment  
and Urban Systems (1970B)  
Archived (1971B)  
Reinstated (1971U)  
Archived (1972B)

## 20.500

Urban Mass Transportation Capital Improvement  
Grants (1970B)  
Federal Transit Capital Improvement Grants  
(1992B)  
Federal Transit\_Capital Investment Grants (1999B)

## 20.501

Urban Mass Transportation Capital Improvement  
Loans (1970B)  
Archived (1981B)

## 20.502

Urban Mass Transportation Grants for University  
Research and Training (1970B)  
Incorporated into 20.512 (1984B)  
Federal Transit Grants for University Research and  
Training (1992B)  
Archived (2000B)  
Reinstated (2000U)  
Deleted (2005)

## 20.503

Urban Mass Transportation Managerial Training  
Grants (1969B)  
Urban Mass Transportation Managerial Training  
(1970B)  
Urban Mass Transportation Managerial Training  
Grants (1971B)  
Federal Transit Managerial Training Grants  
(1992B)  
Archived (2000B)  
Reinstated (2000U)  
Deleted (2005)

## 20.504

Urban Mass Transportation Research,  
Development, and Demonstrations (1969B)  
Urban Mass Transportation Research,  
Development, and Demonstration Grants (1971B)  
Mass Transportation Technology (1974U)

Split into 20.504, 20.506 (1974U)  
Consolidated into 20.512 (1984B)

## 20.505

Urban Mass Transportation Technical Studies  
Grants (1969B)  
Federal Transit Technical Studies Grants (1992B)  
Federal Transit\_Metropolitan Planning Grants  
(1999B)

## 20.506

Urban Mass Transportation Demonstration Grants  
(1974U)  
Split from 20.504 (1974U)  
Consolidated into 20.512 (1984B)

## 20.507

Urban Mass Transportation Capital and Operating  
Assistance Formula Grants (1975B)  
Federal Transit Capital and Operating Assistance  
Formula Grants (1992B)  
Federal Transit\_Formula Grants (1999B)

## 20.508

Urban Mass Transportation Rail Passenger Service  
Assistance (1977B)  
Archived (1979B)

## 20.509

Public Transportation for Rural and Small Urban  
Areas (1979U2)  
Public Transportation for Nonurbanized Areas  
(1980U1)  
Formula Grants for Other Than Urbanized Areas  
(1999B)

## 20.510

Urban Mass Transportation Planning Methods  
Research and Development (1980B)  
Consolidated into 20.512 (1984B)

## 20.511

Human Resource Program (1984B)

## 20.512

Urban Mass Transportation Technical Assistance  
(1984B)  
Consolidated from 20.504, 20.506, 20.510 (1984B)  
Federal Transit Technical Assistance (1992B)  
Deleted (2005)

## 20.513

Capital Assistance Program for Elderly and  
Handicapped Persons (1987U)  
Capital Assistance Program for Elderly Persons and  
Persons with Disabilities (1992B)

## 20.514

Transit Planning and Research (1993B)  
Public Transportation Research (2006)

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|   |   |   |
|---|---|---|
| <b>20.515</b><br>State Planning and Research (1994B)<br>Split from 20.514 (1994B)   | <b>20.608</b><br>Minimum Penalties for Repeat Offenders for<br>Driving While Intoxicated (2004)                         | <b>20.721</b><br>PHMSA Pipeline Safety Program One Call Grant<br>(2008)   |
| <b>20.516</b><br>Job Access_Reverse Commute (2000U)   | <b>20.609</b><br>Safety Belt Performance Grants (2006)  | <b>20.722</b><br>Technology Development Grant (2009)  |
| <b>20.518</b><br>Capital and Training Assistance Program for<br>Over-the-Road Bus Accessibility (2000U)   | <b>20.610</b><br>State Traffic Safety Information System<br>Improvement Grants (2008)                                   | <b>20.750</b><br>Program of University Research (1973U)<br>Archived (1975U)   |
| <b>20.519</b><br>Clean Fuels (2006)   | <b>20.611</b><br>Incentive Grant Program to Prohibit Racial<br>Profiling (2006)   | <b>20.760</b><br>University Transportation Centers (2006)<br>Archived (2009)  |
| <b>20.520</b><br>Paul S. Sarbanes Transit in the Parks (2009)   | <b>20.612</b><br>Incentive Grant Program to Increase Motorcyclist<br>Safety (2006)                                      | <b>20.761</b><br>Biobased Transportation Research (2008)  |
| <b>20.521</b><br>New Freedom Program (2006)   | <b>20.613</b><br>Child Safety and Child Booster Seats Incentive<br>Grants (2006)  | <b>20.762</b><br>Research Grants (2006)   |
| <b>20.522</b><br>Alternatives Analysis (2006)   | <b>20.614</b><br>National Highway Transportation Safety<br>Administration (NHTSA) Discretionary Safety<br>Grants (2006) | <b>20.763</b><br>Research and Innovative Technology (RIT)<br>Hydrogen Alternative Fuel Life Cycle (2008)  |
| <b>20.523</b><br>CAPITAL ASSISTANCE PROGRAM FOR<br>REDUCING ENERGY CONSUMPTION AND<br>GREENHOUSE GAS EMISSIONS (2009)   | <b>20.615</b><br>E-911 Grant Program (2009)   | <b>20.764</b><br>Hydrogen Storage Research and Development<br>(2007)  |
| <b>20.600</b><br>State and Community Highway Safety (1971B)<br>Consolidated from 20.207, 20.208, 20.210 (1971B)   | <b>20.700</b><br>Gas Pipeline Safety (1971U)<br>Pipeline Safety (1987B)<br>Pipeline Safety Program Base Grants (2008)   | <b>20.800</b><br>Construction_Differential Subsidies (1981U)<br>Transferred from 11.500 (1981U)<br>Archived (1990B)                               |
| <b>20.601</b><br>Alcohol Traffic Safety and Drunk Driving<br>Prevention Incentive Grants (1991U)<br>Alcohol Impaired Driving Countermeasures<br>Incentive Grants I (2009)                     | <b>20.701</b><br>University Transportation Centers Program<br>(1992B)<br>Number changed from 20.902 (1992B)             | <b>20.801</b><br>Development and Promotion of Ports and<br>Intermodal Transportation (1981U)<br>Transferred from 11.501 (1981U)<br>Deleted (2008) |
| <b>20.602</b><br>Motorcycle Helmets and Safety Belt Incentive<br>Grants (1992B)<br>Archived (1995B)<br>Occupant Protection, Reinstated (2000U)<br>Occupant Protection Incentive Grants (2009) | <b>20.702</b><br>University Research Institutes Program (1993B)<br>Archived (1999B)                                     | <b>20.802</b><br>Federal Ship Financing Guarantees (1981U)<br>Transferred from 11.502 (1981U)   |
| <b>20.603</b><br>Federal Highway Safety Data Improvements<br>Incentive Grants (2000U)   | <b>20.703</b><br>Interagency Hazardous Materials Public Sector<br>Training and Planning Grants (1993B)                  | <b>20.803</b><br>Maritime War Risk Insurance (1981U)<br>Transferred from 11.503 (1981U)<br>Archived (1985B)                                       |
| <b>20.604</b><br>Safety Incentive Grants for Use of Seatbelts<br>(2000U)  | <b>20.704</b><br>RITA Hydrogen (2006)   | <b>20.804</b><br>Operating_Differential Subsidies (1981U)<br>Transferred from 11.504 (1981U)<br>Deleted (2004)                                    |
| <b>20.605</b><br>Safety Incentives to Prevent Operation of Motor<br>Vehicles by Intoxicated Persons (2000U)<br>Archived (2009)  | <b>20.710</b><br>Technical Assistance Grants (2009)   | <b>20.805</b><br>Ship Sales (1981U)<br>Transferred from 11.505 (1981U)<br>Deleted (2005)  |
| <b>20.607</b><br>Alcohol Open Container Requirements (2004)   | <b>20.714</b><br>National Pipeline Mapping System (2000U)   | <b>20.806</b>   |
|   | <b>20.720</b><br>State Damage Prevention Program Grants (2007)  |   |



# Appendix VII: Historical Profile of Catalog Programs

State Marine Schools (1981U)  
Transferred from 11.506 (1981U)  
State Maritime Schools (2006)

**20.807**  
U.S. Merchant Marine Academy (1981U)  
Transferred from 11.507 (1981U)

**20.808**  
Capital Construction Fund (1981U)  
Transferred from 11.508 (1981U)

**20.809**  
Development and Promotion of Domestic  
Waterborne Transport Systems (1981U)  
Transferred from 11.509 (1981U)  
Archived (1985B)

**20.810**  
Supplementary Training (1981U)  
Transferred from 11.510 (1981U)  
Archived (2009)

**20.811**  
Research and Development Assistance (1981U)  
Transferred from 11.511 (1981U)  
Archived (1988B)

**20.812**  
Construction Reserve Fund (1981U)  
Transferred from 11.512 (1981U)

**20.813**  
Maritime Security Fleet Program (1997B)

**20.814**  
Assistance to Small Shipyards (2008)

**20.815**  
Fireboat Construction (2008)  
Archived (2009)

**20.900**  
Air Transportation\_Consumer Affairs (1985B)  
Transferred from 26.002 (1985B)  
Transportation\_Consumer Affairs (1993U)

**20.901**  
Payments for Essential Air Services (1985B)  
Transferred from 26.003 (1985B)

**20.902**  
University Transportation Centers Program  
(1987U)  
Number changed to 20.701 (1992B)  
Student Training and Education Program (1993B)  
Consolidated into 20.907 (1995B)

**20.903**  
Support Mechanisms for Disadvantaged Businesses

(1993B)

**20.904**  
Disadvantaged Business Enterprises\_Bonding  
Assistance Program (1993U)  
Bonding Assistance Program (1998U)  
Deleted (2005)

**20.905**  
Disadvantaged Business Enterprises\_Short Term  
Lending Program (1993U)

**20.906**  
Hispanic Serving Institutions\_Student Training and  
Education (1994B)  
Hispanic Serving Institutions\_Entrepreneurial  
Training and Technical Assistance (1998U)  
Split into 20.908 (2000U)  
Deleted (2004)  
Consolidated into 20.907 (2006)

**20.907**  
Entrepreneurial Training and Technical Assistance  
Program  
Consolidated from 20.902 (1995B)  
Historically Black Colleges and  
Universities\_Entrepreneurial Training and  
Technical Assistance (1999B)  
Split into 20.908 (2000U)  
Deleted (2006)

**20.908**  
Tribal Colleges\_Entrepreneurial Training and  
Technical Assistance  
Split from 20.906, 20.907 (2000U)  
Deleted (2004)

**20.910**  
Assistance to small and disadvantaged businesses  
(2007)

**20.920**  
Transportation Statistics Research Grants (2000U)

**20.930**  
Payments for Small community Air Service  
Development (2004)

**20.931**  
Transportation Planning, Research and Education  
(2006)  
Archived (2009)

**20.932**  
Surface Transportation \_Discretionary Grants for  
Capital Investment. (2009)

**64.129**  
Monthly Allowance for Certain Children of  
Vietnam Veterans (2004)

**DEPARTMENT OF THE TREASURY**  
Narcotics Law Enforcement Training (1967B)  
Archived (1969B)

**21.001**  
Alcohol, Tobacco, and Firearms\_Laboratory  
Analysis (1970B)  
Number changed to 21.051 (1972U)

**21.002**  
Assistance in Law Enforcement (1967B)  
Law Enforcement Training Assistance (1969B)  
Alcohol, Tobacco, and Firearms\_Training  
Assistance (1970B)  
Number changed to 21.052 (1972U)

**21.003**  
Taxpayer Assistance (1969B)  
Tax Information and Training (1970B)  
Tax Information and Education (1972B)  
Taxpayer Service (1981B)

**21.004**  
Federal Tax Information for State Tax Officials  
(1972B)  
Incorporated from 21.005 (1987B)  
Exchange of Federal Tax Information With State  
Tax Agencies (1987B)

**21.005**  
State Tax Model (1973U)  
Individual Tax Model (1978U)  
Incorporated into 21.004 (1987B)

**21.006**  
Tax Counseling for the Elderly (1980U1)

**21.007**  
Availability of Tax Information to Certain Welfare  
Agencies (1987B)  
Availability of Tax Information to Certain  
Agencies Administering Needs-Based Programs  
(1991B)  
Archived (1999B)

**21.008**  
Low-Income Taxpayer Clinics (1999B)  
Low Income Taxpayer Clinics (2009)

**21.009**  
Volunteer Income Tax Assistance (VITA)  
Matching Grant Program (2009)

**21.010**  
Financial Education and Counseling Pilot Program  
(2009)

**21.020**  
Community Development Financial Institutions  
Program (1998B)

# Appendix VII: Historical Profile of Catalog Programs

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|   |   |   |
|---|---|---|
| <b>21.021</b><br>Bank Enterprise Award Program (1998B)  | 23.006, 23.007, 23.008, 23.009, 23.010, 23.011, 23.012 (1970B)  | Appalachian Local Development District Assistance (1970B)<br>Split from 23.001 (1970B)  |
| <b>21.051</b><br>Alcohol, Tobacco, and Firearms_Laboratory Analysis (1972U)<br>Number changed from 21.001 (1972U)<br>Archived (1990B)   | <b>23.002</b><br>Appalachia_Supplements to Federal Grant-in-Aid (1970B)<br>Split from 23.001 (1970B)<br>Appalachian Supplements to Federal Grant-in-Aid (Community Development) (1978B)<br>Appalachian Supplements to Federal Grant-in-Aid (Area Development), Consolidated from 23.004, 23.005, 23.012, 23.013 (1996B)<br>Appalachian Area Development (1999B)   | <b>23.010</b><br>Appalachian Mine Area Restoration (1970B)<br>Split from 23.001 (1970B)<br>Archived (1996B)   |
| <b>21.052</b><br>Alcohol, Tobacco, and Firearms_Training Assistance (1972U)<br>Number changed from 21.002 (1972U)<br>Number changed to 16.012 (2004)                                      | <b>23.003</b><br>Appalachian Development Highway System (1970B)<br>Split from 23.001 (1970B)  | <b>23.011</b><br>Appalachian State Research, Technical Assistance and Demonstration Projects (1970B)<br>Split from 23.001 (1970B)<br>Appalachian State Research, Technical Assistance, and Demonstration Projects (1971B)<br>Appalachian Research, Technical Assistance, and Demonstration Projects (2005)<br>Appalachian Research, Technical Assistance, and Demonstration Projects (2006) |
| <b>21.053</b><br>Gang Resistance Education and Training (2000B)<br>Number changed to 16.737 (2004)  | <b>23.004</b><br>Appalachian Health Demonstrations (1970B)<br>Split from 23.001 (1970B)<br>Appalachian Health Programs (1976B)<br>Consolidated into 23.002 (1996B)  | <b>23.012</b><br>Appalachian Vocational Education Facilities (1970B)<br>Split from 23.001 (1970B)<br>Appalachian Vocational Education Facilities and Operations (1972B)<br>Appalachian Vocational and Other Education Facilities and Operations (1976B)<br>Consolidated into 23.002 (1996B)   |
| <b>21.100</b><br>Secret Service_Training Activities (1970B)<br>Transferred to 97.015 (2003B)  | <b>23.005</b><br>Appalachian Housing Fund (1970B)<br>Split from 23.001 (1970B)<br>Appalachian Housing Planning Loan (1975B)<br>Appalachian Housing Planning Loan Fund (1975U)<br>Appalachian Housing Project Planning Loan and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1977B)<br>Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1979B)<br>Consolidated into 23.002 (1996B) | <b>23.013</b><br>Appalachian Child Development (1970U)<br>Consolidated into 23.002 (1996B)  |
| <b>21.200</b><br>Antidumping_Countervailing Duties (1971B)<br>Antidumping Duties (1975B)<br>Split into 21.200, 21.201 (1975B)<br>Transferred to 11.106 (1980B)                            | <b>23.006</b><br>Appalachian Housing Technical Assistance (1970B)<br>Split from 23.001 (1970B)<br>Appalachian State Housing Technical Assistance (1975B)<br>Appalachian State Housing Technical Assistance Grants (1976U)<br>Incorporated into 23.005 (1979B)   | <b>23.014</b><br>Appalachian Housing Site Development (1972B)<br>Appalachian Housing Site Development and Off Site Improvement Grants (1975B)<br>Incorporated into 23.005 (1977B)   |
| <b>21.201</b><br>Countervailing Duty on Imports (1975B)<br>Split from 21.200 (1975B)<br>Transferred to 11.107 (1980B)   | <b>23.007</b><br>Appalachian Land Stabilization, Conservation, and Erosion Control (1970B)<br>Split from 23.001 (1970B)<br>Archived (1970U)   | <b>23.016</b><br>Appalachian Vocational and Technical Education Demonstration Grants (1972B)<br>Incorporated into 23.012 (1976B)  |
| <b>21.300</b><br>State and Local Government Fiscal Assistance_General Revenue Sharing (1980B)<br>State and Local Government Fiscal Assistance_Revenue Sharing (1985B)<br>Archived (1987B) | <b>23.008</b><br>Appalachian Local Access Roads (1970B)<br>Split from 23.001 (1970B)<br>Incorporated into 23.002 (2006)   | <b>23.017</b><br>Appalachian Special Transportation Related Planning, Research and Demonstration Program (1975B)<br>Archived (1989B)  |
| <b>ADVISORY COMMISSION ON INTERGOVERNMENTAL RELATIONS</b>   |   | <b>ATOMIC ENERGY COMMISSION</b>   |
| <b>22.001</b><br>Intergovernmental Relations Advisory Service (1967B)<br>Archived (1974B)   |   | Construction of Nuclear Power Stations (1967B)<br>Archived (1970B)  |
| <b>APPALACHIAN REGIONAL COMMISSION</b>  |   | Licensing of Nuclear Power Stations (1967B)<br>Archived (1970B)   |
| Regional Economic Development Commissions (1969B)<br>Split into individual Commissions (1970B)  |   | Nuclear Education and Training (1967B)<br>Split into "Nuclear Education, Training" Programs   |
| <b>17.807</b><br>Transition Assistance Program (2004)   |   |   |
| <b>23.001</b><br>Appalachian Regional Development (1969B)<br>Split into 23.001, 23.002, 23.003, 23.004, 23.005,   |   |   |

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- (1970B)
- Research Support in the Biological, Medical, and Health Sciences (1967B)  
Archived (1970B)
- Research Support in the Physical Sciences (1967B)  
Archived (1970B)
- Surveys and Evaluation of Environmental Radiation Hazards (1967B)  
Archived (1970B)
- Training of State Personnel in AEC Regulatory Functions (1967B)  
Archived (1970B)
- Transferred to Industry of AEC Generated Technology (1967B)
- Deleted (1970B)
- 24.001**  
Access Permits (1970B)  
Transferred to 81.001 (1978B)
- 24.002**  
Atomic Energy Motion Picture Film Libraries (1970B)  
Nuclear Science and Technology\_Motion Picture Film Libraries (1974B)  
Motion Picture Film Libraries (1975B)  
Transferred to 81.002 (1978B)
- 24.003**  
Granting of Patent Licenses (1970B)  
Transferred to 81.003 (1978B)
- 24.004**  
Nuclear Education and Training\_Faculty Research Participation (1970B)  
Nuclear Education and Training\_Faculty Research Participation\_Laboratory Cooperative Program (1973U)  
Nuclear Science and Technology\_Faculty and Student Participation\_Laboratory Cooperative Program (1974B)  
Faculty and Student Participation\_Laboratory Cooperative Program (1975B)  
Transferred to 81.004 (1978B)
- 24.005**  
Nuclear Education and Training\_Faculty-Student Conferences (1970B)  
Archived (1973U)
- 24.006**  
Nuclear Education and Training\_Faculty-Student Experiments (1970B)  
Consolidated into 24.032 (1973B)
- 24.007**  
Nuclear Education and Training\_Faculty Training Institutes (1970B)  
Nuclear Science and Technology\_Faculty Training Institutes and Workshops (1974B)  
Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1975B)  
Transferred to 81.007 (1978B)
- 24.008**  
Nuclear Education and Training\_Faculty Workshops (1970B)  
Consolidated into 24.032 (1973B)
- 24.009**  
Nuclear Education and Training\_Honors Program for Senior Science Majors (1970B)  
Incorporated into 24.019 (1973B)
- 24.010**  
Nuclear Education and Training\_Laboratory Graduate Fellowships (1970B)  
Nuclear Education and Training\_Laboratory Graduate Participants (1971B)  
Nuclear Education and Training\_Laboratory Graduate Participants\_Laboratory Cooperative Program (1973U)  
Incorporated into 24.004 (1974B)
- 24.011**  
Nuclear Education and Training\_Loan of Material to Nonprofit Institutions (1970B)  
Nuclear Education and Training\_Material for Nonprofit Institutions (1972B)  
Nuclear Science and Technology\_Research Reactor Materials Assistance (1974B)  
Research Reactor and Materials Assistance (1975B)  
Transferred to 81.011 (1978B)
- 24.012**  
Nuclear Education and Training\_Medical Radioisotope Course (1970B)  
Archived (1973B)
- 24.013**  
Nuclear Education and Training\_Mobile Radioisotope Laboratory (1970B)  
Archived (1974U)
- 24.014**  
Nuclear Education and Training\_Nuclear Medical Technology Course (1970B)  
Archived (1973B)
- 24.015**  
Nuclear Education and Training\_Radioisotope Techniques Training Courses (1970B)  
Archived (1973B)
- 24.016**  
Nuclear Education and Training\_Reactor Fuel Cycle Assistance (1970B)  
Incorporated into 24.011 (1974B)
- 24.017**  
Nuclear Education and Training\_Special Fellowships in Nuclear Science and Engineering (1970B)  
Archived (1973B)
- 24.018**  
Nuclear Education and Training\_Special Fellowships in Radiation Science and Protection (1970B)  
Nuclear Education and Training\_Special Fellowships in Radiation Protection (1971B)  
Archived (1973B)
- 24.019**  
Nuclear Education and Training\_Summer Student Training (1970B)  
Nuclear Education and Training\_Student Research Participation (1972B)  
Nuclear Education and Training\_Student Research Participation\_Laboratory Cooperative Program (1973U)  
Incorporated into 24.004 (1974B)
- 24.020**  
Nuclear Education and Training\_Traineeships for Graduate Students in Nuclear Engineering (1970B)  
Archived (1973B)  
Reinstated (1974B)  
Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Engineering (1974B)  
Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1974U)  
Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1975B)  
Traineeships for Graduate Students in Engineering Studies Related to Energy Conversion, Health and Safety, and Environmental Sciences and Engineering (1976B)  
Transferred to 81.020 (1978B)
- 24.021**  
Nuclear Education and Training\_University Reactor Sharing (1970B)  
Incorporated into 24.011 (1974B)
- 24.022**  
Nuclear Education and Training\_Used Nuclear-Type Equipment Grants (1970B)  
Nuclear Science and Technology\_Used Nuclear-Type Equipment Grants (1974B)  
Used Nuclear-Type Equipment Grants (1975B)

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Transferred to 81.022 (1978B)

## 24.023

Nuclear Science Information (1967B)  
Nuclear Science and Technology\_Literature and Information Services (1970B)  
Nuclear Science and Technology\_Literature, Exhibits, and Other Information Services (1974B)  
Information Services\_Exhibits, Publications, Reference, and Analysis (1975B)  
Information Services\_Exhibits, Public Speakers, Publications, Reference, and Analysis (1975U)  
Transferred to 81.023 (1978B)

## 24.024

Nuclear Science and Technology\_Research and Development (1969B)  
Research and Development in Nuclear, Solar, Geothermal, and Advanced Energy Systems, and Physical, Biomedical, and Environmental Sciences (1975B)  
Split into 24.024, 24.035 (1975B)  
Transferred/Incorporated into 81.037, 81.046, 81.049 (1978B)

## 24.025

Nuclear Science Lecture Demonstration for Secondary Schools (1970B)  
Archived (1973B)

## 24.026

Payments in Lieu of Property Taxes (1970B)  
Transferred to 81.026 (1978B)

## 24.027

Radiation Control Training Assistance (1969B)  
Radiation Control\_Training Assistance and Advisory Counseling (1970B)  
Transferred to 77.001 (1975B)

## 24.028

Radiological Safety Assistance (1967B)  
Radiological Emergency Assistance (1971B)  
Transferred to 81.028 (1978B)

## 24.029

Uranium Industry Workshops (1970B)  
Nuclear Industry Seminars (1972U)  
Transferred to 81.029 (1978B)

## 24.030

Work Experience (1970B)  
Transferred to 81.030 (1978B)

## 24.031

Nuclear Materials Safeguards Training (1970U)  
Incorporated into 24.007 (1973B)

## 24.032

Nuclear Education and Training\_Instructional

Activities (1973B)

Consolidated from 24.006, 24.008 (1973B)

Archived (1973U)

## 24.033

Nuclear Science and Technology\_Citizens' Workshops (1974B)  
Citizens' Workshops (1975B)  
Transferred to 81.033 (1978B)

## 24.034

Research and Development in Fossil Energy (1975B)  
Transferred from 15.307 (1975B)  
Transferred/Split into 81.037, 81.046 (1978B)

## 24.035

Research and Development in Energy Conservation (1975B)  
Split from 24.024 (1975B)  
Transferred to 81.035 (1978B)

## 24.036

Energy-Related Inventions (1976B)  
Transferred to 81.036 (1978B)

## CABINET COMMITTEE ON OPPORTUNITIES FOR SPANISH-SPEAKING PEOPLE

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### 25.001

Spanish Surnamed Communities Assistance (1969B)  
Spanish Surnamed Americans Assistance (1970B)  
Spanish-Speaking Americans Assistance (1970U)  
Archived (1975B)

## CIVIL AERONAUTICS BOARD

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Air Transport\_Community and Consumer Services (1969B)  
Archived (1970B)

### 26.001

Air Carrier Payments (1970B)  
Archived (1981B)

### 26.002

Air Transportation\_Consumer Complaints (1970U)  
Air Transportation\_Consumer Affairs (1972B)  
Transferred to 20.900 (1985B)

### 26.003

Payments for Essential Air Services (1979B)  
Transferred to 20.901 (1985B)

### 26.004

Public Participation (1979B)  
Archived (1980B)

## OFFICE OF PERSONNEL MANAGEMENT

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### 27.001

Opportunities for Federal Civil Service Employment (1967B)  
Federal Civil Service Employment (1970B)

### 27.002

Employment Assistance for Veterans (1969B)  
Federal Employment Assistance for Veterans (1970B)

### 27.003

Stay in School Campaign\_Youth Opportunity (1967B)  
Youth Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Part-Time (1970B)  
Consolidated from 27.004 (1995B)  
Federal Student Temporary Employment Program (1996B)

### 27.004

Youth Summer Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Summer (1970B)  
Consolidated into 27.003 (1995B)

### 27.005

Federal Employment for the Handicapped (1970B)

### 27.006

Federal Summer Employment (1970B)

### 27.007

Personnel Management Assistance to State and Local Governments (1970B)  
Archived (1971U)

### 27.008

Recruiting and Staffing Assistance to State and Local Governments (1970B)  
Intergovernmental Cooperation in Recruiting and Examining (1971U)  
Archived (1984U)

### 27.009

Training Assistance to State and Local Governments (1970B)  
Archived (1996U)

### 27.010

State Personnel Merit Systems\_Technical Assistance (1971B)  
Transferred from 13.605 (1971B)  
State and Local Personnel Merit Systems and Other Technical Assistance (1978U)  
State and Local Merit Personnel Systems and Other Technical Assistance (1979U2)  
Archived (1981U)

### 27.011

# Appendix VII: Historical Profile of Catalog Programs

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Intergovernmental Mobility of Federal, State, and Local Employees (1971U)

## 27.012

Intergovernmental Personnel Grants (1971U)  
Archived (1981U)

## 27.013

Presidential Management Intern Program (1978B)

## COASTAL PLAINS REGIONAL COMMISSION

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### 28.001

Coastal Plains Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### 28.002

Coastal Plains Technical and Planning Assistance (1975B)  
Archived (1981U)

### 28.003

Coastal Plains Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### 28.004

Coastal Plains Regional Transportation (1977U)  
Archived (1981U)

### 28.005

Coastal Plains Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### 28.007

Coastal Plains Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

### 28.008

Coastal Plains Education Demonstration Projects (1977U)  
Archived (1981U)

## U.S. COMMISSION ON CIVIL RIGHTS

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Job Discrimination\_Reports (1969B)  
Archived (1970B)

### 29.001

Civil Rights (1967B)  
Civil Rights Compliance and Information (1969B)  
Clearinghouse Services and Civil Rights Complaints (1970B)  
Clearinghouse Services, Civil Rights and Sex Discrimination Complaints (1973B)  
Clearinghouse Services, Civil Rights

Discrimination Complaints (1981B)

## EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

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Affirmative Action Program\_Equal Employment Opportunity (1967B)  
Archived (1970B)

Equal Employment Opportunity Grants (1967B)  
Archived (1970B)

Job Discrimination\_Reports (1969B)  
Archived (1970B)

### 30.001

Job Discrimination\_ Investigation and Conciliation of Complaints (1969B)  
Employment Discrimination\_ Investigation, Conciliation and Litigation of Unlawful Employment Practices (1975B)  
Employment Discrimination\_ Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (1978B)  
Employment Discrimination\_ Title VII of the Civil Rights Act of 1964 (1986B)

### 30.002

Job Discrimination\_ Special Project Grants (1969B)  
Employment Discrimination\_ Special Project Grants and Contracts (1975B)  
Employment Discrimination\_ Special Project Contracts (1976B)  
Employment Discrimination\_ State and Local Anti-Discrimination Agency Contracts (1976U)  
Employment Discrimination\_ State and Local Fair Employment Practices Agency Contracts (1992B)

### 30.003

Job Discrimination\_ Technical Assistance to Employers, Unions, and Employment Agencies (1969B)  
Job Discrimination\_ Technical Assistance (1973B)  
Employment Discrimination\_ Technical Assistance (1975B)  
Archived (1978B)

### 30.004

Employment Discrimination\_ Program for the Development of the Private Bar (1975U)  
Archived (1977B)

### 30.005

Employment Discrimination\_ Project Grants and Demonstration Grants (1978B)  
Employment Discrimination\_ Private Bar Project and Demonstration Contracts (1979U2)  
Employment Discrimination\_ Private Bar Program (1981U)

### 30.006

Employment Discrimination\_ Voluntary

Compliance by Public Employers (1978U)  
Employment Discrimination\_ Voluntary Compliance by Non-Federal Public Employers (1979U2)

Employment Discrimination\_ Compliance Program for Non-Federal Public Employers (1980U1)  
Archived (1982B)

### 30.007

Employment Discrimination Project Grants\_ Tribal Native Americans (1978U)  
Archived (1979U2)

### 30.008

Employment Discrimination\_ Age Discrimination in Employment (1979U1)  
Transferred from 17.300 (1979U1)  
Consolidated from 30.012 (1995U)

### 30.009

Employment Discrimination Project Contracts\_ Indian Tribes (1979U2)

### 30.010

Employment Discrimination\_ Equal Pay Act (1979U2)  
Transferred/Split from 17.303 (1979U2)  
Consolidated from 30.012 (1995U)  
Women's Bureau (2004)  
Employment Discrimination Equal Pay Act (2005)  
Employment Discrimination Equal Pay Act (2005)

### 30.011

Employment Discrimination\_ Title I of The Americans with Disabilities Act, Investigations (1992B)  
Employment Discrimination\_ Title I of The Americans with Disabilities Act (1995B)  
Consolidated from 30.012 (1995U)

### 30.012

Employment Discrimination\_ Title I of The Americans with Disabilities Act, Technical Assistance (1992B)  
Consolidated into 30.008, 30.010, 30.011 (1995U)

## EXPORT - IMPORT BANK OF THE UNITED STATES

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### 31.001

Medium-Term Guarantees to Commercial Banks (1970B)  
Split into 31.002, 31.004, 31.005 (1971B)

### 31.002

Commerical Bank Export Credit Loans (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.003

Export Credit Information Service for U.S.

# Appendix VII: Historical Profile of Catalog Programs

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Commercial Banks (1971B)  
Archived (1973B)

## **31.004**

Export Financing\_Direct Loans and Participation Financing (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

## **31.005**

Export Financing\_Guarantees and Insurance (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

## **31.006**

Export Financing\_Preliminary Commitments (1971B)  
Archived (1973B)

## **31.007**

Export - Loan Guarantee/Insured Loans (2009)

## **FEDERAL COMMUNICATIONS COMMISSION**

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### **32.001**

Communications\_Information, Regulation, and Investigation of Complaints (1969B)  
Communications\_Information and Investigation of Complaints (1972B)  
Communications Information and Assistance and Investigation of Complaints (1983U)

## **FEDERAL MARITIME COMMISSION**

---

### **33.001**

Shipping\_Investigation of Complaints (1969B)  
Shipping Investigation of Complaints (1997B)  
Shipping\_Dispute Resolution and Investigation of Complaints (2006)

## **FEDERAL MEDIATION AND CONCILIATION SERVICE**

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### **34.001**

Labor Mediation and Conciliation (1969B)

### **34.002**

Labor-Management Cooperation (1982B)  
Archived (1992B)  
Labor Management Cooperation (1993B)  
Deleted Program no longer funded (2008)

## **FEDERAL POWER COMMISSION**

---

Fish Protection (1967B)  
Archived (1969B)

Flood Control (1967B)  
Archived (1969B)

Forestry, Tree Planting (1967B)  
Archived (1969B)

Recreation Resource Development (1967B)  
Archived (1969B)

Water Conservation Assistance (1967B)  
Archived (1969B)

Water Pollution Assistance (1967B)  
Archived (1969B)

## **35.001**

Water Resources Development (1967B)  
Archived (1973B)

## **35.002**

Beautification of Hydroelectric Projects (1967B)  
Wholesale Electric Power Service (1969B)  
Archived (1973B)

## **35.003**

Wholesale Natural Gas Service (1967B)  
Archived (1973B)

## **FEDERAL TRADE COMMISSION**

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### **36.001**

Consumer and Small Business Protection (1967B)  
Consumer and Business Protection (1970B)  
Fair Competition Counseling and Investigation of Complaints (1972B)

### **36.002**

Public Rulemaking Participation (1976B)  
Archived (1981U)

## **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES**

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### **37.001**

Claims Against the Government of Bulgaria (1970B)  
Archived (1971B)

### **37.002**

Claims Against the Government of Italy (1970B)  
Archived (1971B)

### **37.003**

Claims Against the Government of Rumania (1970B)  
Archived (1971B)

### **37.004**

Claims of Civilian American Citizens Interned in Southeast Asia (1970U)  
Archived (1972B)

### **37.005**

Claims of Prisoners of War in Vietnam (1970U)  
Archived (1982B)

### **37.006**

Claims of Civilian Internees in Vietnam (1973U)  
Archived (1978B)

## **37.007**

Second Hungarian Claims Program (1975B)  
Archived (1977U)

## **37.008**

German Democratic Republic Claims Program (1977U)  
Archived (1981B)

## **37.009**

Second China Claims Program (1979U)  
Archived (1981U)

## **37.010**

Vietnam Claims Program (1981B)  
Archived (1986B)

## **37.011**

Second Czechoslovakian Claims Program (1982B)  
Archived (1985B)

## **37.012**

Ethiopian Claims Program (1986U)  
Archived (1987U)

## **FOUR CORNERS REGIONAL COMMISSION**

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### **38.001**

Four Corners Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### **38.002**

Four Corners Technical and Planning Assistance (1975B)  
Archived (1981U)

### **38.003**

Four Corners Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### **38.004**

Four Corners Regional Transportation (1977U)  
Archived (1981U)

### **38.005**

Four Corners Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **38.007**

Four Corners Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

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## GENERAL SERVICES ADMINISTRATION

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Payments to Small Lead and Zinc Mines (1967B)  
Archived (1969B)

### 39.001

Non-Military Procurement from Labor Surplus and  
Redevelopment Areas (1967B)  
Counseling on Doing Business with the  
Government (1969B)  
Business Services (1970B)

### 39.002

Disposal of Federal Surplus Real Property (1965B)

### 39.003

Donation of Federal Surplus Personal Property  
(1965B)

### 39.004

National Archives Reference Services (1969B)  
Transferred to 89.001 (1985B)

### 39.005

Audiovisual Support Services (1969B)  
National Audiovisual Center (1970B)  
Transferred to 89.002 (1985B)

### 39.006

National Historical Sources Grants (1969B)  
National Historical Publications Grants (1971B)  
National Historical Publications and Records  
Grants (1976B)  
Transferred to 89.003 (1985B)

### 39.007

Sale of Federal Surplus Personal Property (1965B)

### 39.008

Federal Information Center (1971B)  
Consolidated into 39.009 (2000B)

### 39.009

Consumer Product Information Index (1972B)  
Consumer Product Information Center (1973B)  
Consumer Information Center (1974B)  
Federal Consumer Information Center,  
Consolidated from 39.008 (2000B)  
Federal Citizen Information Center (2003B)

### 39.010

Continuity of Government and Management of  
Resources in Emergencies (1973U)  
Transferred from 50.001 (1973U)  
Archived (1976B)  
Reinstated (1980B)  
State Participation in Federal Telpaks (1980B)  
Archived (1980U2)

### 39.012

Public Buildings Service (2008)

## GOVERNMENT PRINTING OFFICE

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### 40.001

Government Publications\_Depository Library  
Distribution (1969B)  
Depository Libraries for Government Publications  
(1970B)  
Depository Libraries for Government Publications  
(2004)

### 40.002

Government Publications\_Sales to the Public  
(1969B)  
Government Publications\_Sales and Distribution  
(1970B)  
Government Publications Sales and Distribution  
(1992B)  
Government Publications Sales and Distribution  
(2004)

## INTERSTATE COMMERCE COMMISSION

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### 41.001

Federal-State Highway Transportation Cooperative  
Economic Law Enforcement Agreements (1967B)  
Interstate Commerce\_Cooperative Enforcement  
Agreements with States (1969B)  
Archived (1995B)

### 41.002

Interstate Commerce\_Investigation of Complaints  
(1969B)  
Archived (1996B)

## LIBRARY OF CONGRESS

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### 42.001

Talking Book Services Program (1965B)  
Books and Talking Books for the Blind and the  
Physically Handicapped (1967B)  
Books for the Blind and Physically Handicapped  
(1969B)  
Books for the Blind and Physically Handicapped  
(2005)

### 42.002

Copyright Service (1969B)

### 42.003

Distribution of Library of Congress Catalog Cards  
(1969B)  
Distribution of Library of Congress Cataloging  
(1976B)  
Deleted (2005)

### 42.004

Library of Congress Photoduplication Service  
(1969B)  
Archived (1978U)

### 42.005

Library of Congress Publications (1967B)

### 42.006

Library of Congress Reference and Bibliographic  
Services (1969B)  
Library of Congress Research and Reader Services  
(1977B)  
Library of Congress Research Services (1979U2)  
Library of Congress Constituent and Collection  
Services (1990B)  
Library of Congress\_Library Services (1996B)  
Deleted (2005)

### 42.007

Research and Referral Services in Science and  
Technology (1969B)  
Reference and Referral Services in Science and  
Technology (1977B)  
Reference Services in Science and Technology  
(1981B)  
Reference Services in Science, Technology and  
Business (2000B)  
Deleted (2005)

### 42.008

Reference and Consultation Services in  
Preservation, Restoration, and Protection of Library  
Materials (1971B)  
Archived (1978U)  
Semiconductor Chip Protection Service (1987B)

### 42.009

Vessel Hull Design Protection Service (2004)

## NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

---

Assistance for University Research and Training  
Activities (1969B)  
Archived (1970B)

### 43.001

Space and Aeronautics Education and Information  
Services (1969B)  
Space Science Education Project (1970B)  
Aerospace Education Services Project (1977B)  
Aerospace Education Services Program (1991U)

### 43.002

Technology Utilization (1967B)  
Transferred to Private Sector of Aerospace  
Technology (1969B)  
Technology Utilization (1970B)  
Technology Transfer (1978U)  
Technology Utilization (1984B)  
Technology Transfer (1993U)

### 43.004

Aeronautics, Recovery Act (2009)

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## 43.005

Exploration, Recovery Act (2009)

## 43.006

Science, Recovery Act (2009)

## NATIONAL CREDIT UNION ADMINISTRATION

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### 44.001

Federal Credit Union Charter, Examination, and Supervision (1970B)

Credit Union Charter, Examination, Supervision, and Insurance (1971B)

### 44.002

Community Development Credit Union Revolving Loan Fund

Number changed from 13.794 (1987B)

Community Development Revolving Loan Program for Credit Unions (1988B)

Community Development Revolving Loan Fund Program for Credit Unions (2005)

Community Development Revolving Loan Fund Program for Credit Unions (2005)

## FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES

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### 45.201

Arts and Artifacts Idemnity (1976U)

## INSTITUTE OF MUSEUM AND LIBRARY SERVICES

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### 45.301

Institute of Museum Services (1982B)

Transferred from 84.115 (1982B)

Institute of Museum and Library Services (1997B)

Split into 45.302, 45.303, 45.304, 45.305, 45.306 (1998B)

Institute of Museum and Library Services\_General Operating Support (1998B)

Institute of Museum and Library Services (2000B)

Museum for America Grants (2004)

Museums for America (2006)

### 45.302

Museum Assessment Program

Split from 45.301 (1998B)

### 45.303

Conservation Project Support

Split from 45.301 (1998B)

### 45.304

Conservation Assessment Program

Split from 45.301 (1998B)

### 45.305

Professional Services Program

Split from 45.301 (1998B)

Consolidated into 45.312 (2001B)

### 45.306

Museum Leadership Initiatives

Split from 45.301 (1998B)

Consolidated into 45.312 (2001B)

### 45.307

21st Century Museum Professionals (2005)

### 45.308

Native American/Native Hawaiian Museum

Services Program (2005)

### 45.309

Museum Grants for African American History and Culture (2006)

### 45.310

State Library Program (1998B)

Grants to States (2006)

### 45.311

Native American Library Services (1998B)

Native American and Native Hawaiian Library

Services (2004)

### 45.312

Institute of Museum and Library Services\_National Leadership Grants (1998B)

National Leadership Grants (2004)

### 45.313

Institute of Museum and Library Services\_Recruiting and Educating Librarians for the 21st Century (2003B)

Librarians for the 21st Century (2004)

Librarians for the 21st Century (2004)

Laura Bush 21st Century Librarian Program (2006)

## NATIONAL ENDOWMENT FOR THE ARTS

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Grants for Progress in the Arts (1967B)

Split into 45.001 - 45.009 (1970B)

Progress in the Humanities (1969B)

Split into 45.100 - 45.106 (1970B)

### 45.001

Promotion of the Arts\_Architecture and Design (1970B)

Promotion of the Arts\_Architecture and Environmental Arts (1971U)

Promotion of the Arts\_Architecture, Planning, and Design (1978B)

Promotion of the Arts\_Design Arts (1979U2)

Consolidated into 45.024 (1996B)

### 45.002

Promotion of the Arts\_Dance (1970B)

Consolidated into 45.024 (1996B)

### 45.003

Promotion of the Arts\_Education (1970B)

Promotion of the Arts\_Artists-in-Schools (1979U2)

Promotion of the Arts\_Artists-in-Education (1981B)

Promotion of the Arts\_Arts in Education (1986U)

Consolidated into 45.024, 45.025 (1996B)

### 45.004

Promotion of the Arts\_Literature (1970B)

Consolidated into 45.024 (1996B)

### 45.005

Promotion of the Arts\_Music (1970B)

Split into 45.005, 45.014 (1978U)

Consolidated into 45.024 (1996B)

### 45.006

Promotion of the Arts\_Public Media (1970B)

Promotion of the Arts\_Media Arts:

Film/Radio/Television (1977B)

Consolidated into 45.024 (1996B)

### 45.007

Promotion of the Arts\_State and Community Operations (1970B)

Promotion of the Arts\_Federal-State Partnership (1973B)

Promotion of the Arts\_State Program/Partnership Coordination (1980B)

Promotion of the Arts\_State Programs/Partnership Coordination (1982B)

Promotion of the Arts\_Public Partnership (1983B)

Promotion of the Arts\_State Programs (1984B)

Promotion of the Arts\_States Program (1989U)

Promotion of the Arts\_State and Regional Program (1992B)

Consolidated into 45.025 (1996B)

### 45.008

Promotion of the Arts\_Theatre (1970B)

Promotion of the Arts\_Theater (1984B)

Consolidated into 45.024 (1996B)

### 45.009

Promotion of the Arts\_Visual Arts (1970B)

Consolidated into 45.024 (1996B)

### 45.010

Promotion of the Arts\_Expansion Arts (1971U)

Consolidated into 45.024, 45.025 (1996B)

### 45.011

Promotion of the Arts\_Special Projects (1972B)

Split into 45.011, 45.015 (1978U)

Promotion of the Arts\_Internship (Special Projects) (1978U)

Promotion of the Arts\_Special Projects (1979B)

Split into 45.011, 45.020 (1980B)

Promotion of the Arts\_Inter-Arts (1980U1)



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Promotion of the Arts\_Presenting and Commissioning (1992B)

Promotion of the Arts\_Presenting (1995B)  
Consolidated into 45.024, 45.025 (1996B)

## 45.012

Promotion of the Arts\_Museums (1972B)  
Consolidated into 45.024 (1996B)

## 45.013

Promotion of the Arts\_Challenge Grants (1977U)  
Split into 45.013, 45.022 (1983B)  
Consolidated into 45.024 (1996B)

## 45.014

Promotion of the Arts\_Opera and Musical Theatre (1978U)  
Split from 45.005 (1978U)  
Number changed to 45.015 (1979U2)  
Promotion of the Arts\_Folk Arts (1980B)  
Promotion of the Arts\_Opera and Musical Theatre (1980U1)  
Promotion of the Arts\_Opera and Musical Theater (1984B)  
Promotion of the Arts\_Opera-Musical Theater (1987B)  
Consolidated into 45.024 (1996B)

## 45.015

Promotion of the Arts\_Folk Arts (1978U)  
Split from 45.011 (1978U)  
Number changed to 45.014 (1979U2)  
Promotion of the Arts\_Opera and Musical Theatre (1980B)  
Promotion of the Arts\_Folk Arts (1980U1)  
Promotion of the Arts\_Folk and Traditional Arts (1995B)  
Consolidated into 45.024, 45.025 (1996B)

## 45.020

Promotion of the Arts\_National Endowment Fellowship Program (1980B)  
Split from 45.011 (1980B)  
Number changed to 45.021 (1980B)

## 45.021

Promotion of the Arts\_Policy, Planning and Research (1983B)  
Number changed from 45.020 (1983B)  
Promotion of the Arts\_Fellowship Program for Arts Management (1984B)  
Promotion of the Arts\_Arts Management Fellowship Program (1985)  
Promotion of the Arts\_Arts Administration Fellows Program (1987U)  
Archived (1996B)

## 45.022

Promotion of the Arts\_Advancement Grants  
Split from 45.013 (1983B)

Consolidated into 45.024 (1996B)

## 45.023

Promotion of the Arts\_Test Program of Support for Local Arts Agencies (1983U)  
Promotion of the Arts\_Locals Program (1989U)  
Promotion of the Arts\_Local Arts Agencies Program (1992U)  
Consolidated into 45.024, 45.025 (1996B)

## 45.024

Promotion of the Arts\_Grants to Organizations and Individuals  
Consolidated from 45.001 - 45.006, 45.008 - 45.015, 45.022, 45.023 (1996B)

## 45.025

Promotion of the Arts\_Partnership Agreements  
Consolidated from 45.003, 45.007, 45.010, 45.011, 45.015, 45.023 (1996B)

## 45.026

Promotion of the Arts\_Leadership Initiatives (1996B)  
Deleted (2004)

## 45.027

Promotion of the Arts\_Challenge America Grants (2001B)  
Deleted (2003)

## NATIONAL ENDOWMENT FOR THE HUMANITIES

Consolidated into program 45.024 (2003B)

## 45.100

Promotion of the Humanities\_Afro-American Fellowships (1970B)  
Number changed to 45.107 (1970U)

## 45.101

Promotion of the Humanities\_Education (1970B)  
Archived (1971U)

## 45.102

Promotion of the Humanities\_Fellowships and Summer Stipends for Younger Humanists (1970B)  
Consolidated into 45.118, 45.121 (1974U)

## 45.103

Promotion of the Humanities\_Fellowships\_Faculty Development Grants (1970B)  
Incorporated into 45.101 (1971B)

## 45.104

Promotion of the Humanities\_Public Programs (1970B)  
Promotion of the Humanities\_Film/TV Grants (1973B)  
Promotion of the Humanities\_Media Grants

(1974B)

Promotion of the Humanities\_Media Humanities Projects (1980B)  
Promotion of the Humanities\_Humanities Projects in Media (1983U)  
Consolidated into 45.164 (1996B)

## 45.105

Promotion of the Humanities\_Research and Publication (1970B)  
Promotion of the Humanities\_Research Grants (1971U)  
Promotion of the Humanities\_Research Grants for Junior College Teachers (1974U)  
Promotion of the Humanities\_General Research Program (1976B)  
Split into 45.140, 45.141 (1979U1)

## 45.106

Promotion of the Humanities\_Senior Fellowships (1970B)  
Consolidated into 45.118 (1974U)

## 45.107

Promotion of the Humanities\_Fellowships for Guided Study in Selected Fields (1970U)  
Number changed from 45.100 (1970U)  
Promotion of the Humanities\_Fellowships in Selected Fields (1973B)  
Consolidated into 45.118, 45.119 (1974U)

## 45.108

Promotion of the Humanities\_Fellowships for Junior College Teachers (1970U)  
Promotion of the Humanities\_Fellowships and Summer Stipends for Junior College Teachers (1973B)  
Consolidated into 45.118, 45.119, 45.121 (1974U)

## 45.109

Promotion of the Humanities\_Fellowships for the Professions (1971U)  
Promotion of the Humanities\_Fellowships and Stipends for the Professions (1976B)  
Split into 45.109, 45.134 (1978B)  
Promotion of the Humanities\_Fellowships for Journalists (1982B)  
Archived (1983B)

## 45.110

Promotion of the Humanities\_Education Planning and Development (1971U)  
Promotion of the Humanities\_Education Planning, Program, and Development (1973B)  
Promotion of the Humanities\_Education Pilot, Program, and Development (1976B)  
Promotion of the Humanities\_Education Pilot and Development Grants (1976U)  
Split into 45.138, 45.139 (1979B)

## 45.111

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Promotion of the Humanities\_Education Projects (1971U)

Promotion of the Humanities\_Higher Education Projects (1976U)

Split into 45.111, 45.127 (1976U)

Promotion of the Humanities\_Higher

Education/Regional and National Grants (1979U2)

Promotion of the Humanities\_Exemplary Projects, Nontraditional Programs, and Teaching Materials (1983B)

Promotion of the Humanities\_Exemplary Projects in Undergraduate and Graduate Education and Nontraditional Programs and Teaching Materials (1983U)

Promotion of the Humanities\_Exemplary Projects and Humanities Programs for Nontraditional Learners (1984B)

Consolidated into 45.150 (1987U)

## 45.112

Promotion of the Humanities\_Museum Personnel Development (1971U)

Consolidated into 45.125 (1976B)

## 45.113

Promotion of the Humanities\_Regional Projects (1971U)

Promotion of the Humanities\_Special Projects (1973B)

Promotion of the Humanities\_Program Development (1974U)

Promotion of the Humanities\_Public Program Development (1975U)

Promotion of the Humanities\_Program Development (1979B)

Promotion of the Humanities\_Special Projects: Program Development (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Adults (1984B)

Promotion of the Humanities\_Humanities Projects for Adults (1985B)

Promotion of the Humanities\_Public Humanities Projects (1986B)

Promotion of the Humanities\_Special Projects (1994U)

Consolidated into 45.164 (1996B)

## 45.114

Promotion of the Humanities\_Interpretive Museum Exhibitions (1972U)

Promotion of the Humanities\_Interpretive Museum Exhibitions and Community Education Programs (1974B)

Promotion of the Humanities\_Interpretive Exhibitions and Community Education Programs (1974U)

Consolidated into 45.125 (1976B)

## 45.115

Promotion of the Humanities\_Youth Grants in the Humanities (1972U)

Promotion of the Humanities\_Youth Programs (1976U)

Promotion of the Humanities\_Youthgrants (1978B)  
Split into 45.115, 45.135 (1978B)

Promotion of the Humanities\_Youth Grants (1983B)

Promotion of the Humanities\_Special Projects: Younger Scholars (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Younger Scholars (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Younger Scholars (1985B)

Promotion of the Humanities\_Younger Scholars (1985U)

Archived (1995B)

## 45.116

Promotion of the Humanities\_Summer Seminars for College Teachers (1973U)

Consolidated into 45.163 (1996B)

## 45.117

Promotion of the Humanities\_Cultural Institutions (1974U)

Incorporated/Split into 45.125, 45.137 (1979B)

Reinstated/Split from 45.125, 45.137 (1979U1)

Incorporated/Split into 45.125, 45.137 (1980B)

## 45.118

Promotion of the Humanities\_Fellowships for Independent Study and Research (1974U)

Consolidated from 45.102, 45.106, 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.119

Promotion of the Humanities\_Fellowships in Residence for College Teachers (1974U)

Consolidated from 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.120

Promotion of the Humanities\_National Humanities Institutes (1974U)

Promotion of the Humanities\_Humanities Institutes (1976U)

Incorporated into 45.111 (1979B)

## 45.121

Promotion of the Humanities\_Summer Stipends (1974U)

Consolidated from 45.102, 45.108 (1974U)

Consolidated from 45.152 (1992U)

Consolidated into 45.160 (1996B)

## 45.122

Promotion of the Humanities\_Fellowships at Centers for Advanced Study (1975B)

Promotion of the Humanities\_Regrants/Centers for Advanced Study (1985U)

Promotion of the Humanities\_Centers for Advanced Study (1990B)

Promotion of the Humanities\_Institutional Programs and Resources (1994U)

Promotion of the Humanities\_Institutional Programs (1995U)

Consolidated into 45.161 (1996B)

## 45.123

Promotion of the Humanities\_National Board of Consultants (1975B)

Promotion of the Humanities\_Consultant Grant Program (1978U)

Consolidated into 45.150 (1983B)

## 45.124

Promotion of the Humanities\_Centers of Research (1976B)

Promotion of the Humanities\_Research Collections: Development, Access and Use (1977B)

Promotion of the Humanities\_Research Collections (1978U)

Promotion of the Humanities\_Research Resources (1979U2)

Promotion of the Humanities\_Research Resource, Organization and Improvement Grants (1980U2)

Promotion of the Humanities\_Research Resources (1981B)

Promotion of the Humanities\_Research Resources\_Organization and Improvement Grants (1982B)

Promotion of the Humanities\_Research Resources/Access Grants (1983U)

Promotion of the Humanities\_Reference Works/Access Grants (1985B)

Promotion of the Humanities\_Reference Materials/Access Grants (1985U)

Promotion of the Humanities\_Reference Materials/Guides (1991U)

Consolidated into 45.145 (1992B)

## 45.125

Promotion of the Humanities\_Interpretive Museum Exhibitions and Interpretive Programs (1976B)

Consolidated from 45.112, 45.114 (1976B)

Promotion of the Humanities\_Museums and Historical Organizations Program (1977B)

Promotion of the Humanities\_Museums and Historical Organizations Humanities Projects (1980B)

Promotion of the Humanities\_Humanities Projects in Museums and Historical Organizations (1981B)

Consolidated into 45.164 (1996B)

## 45.126

Promotion of the Humanities\_Research Materials (1976B)

Split into 45.145, 45.146, 45.147 (1980B)

## 45.127

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Promotion of the Humanities\_Elementary and Secondary Education Program (1976U)

Split from 45.111 (1976U)

Promotion of the Humanities\_Instruction in Elementary and Secondary Schools (1983B)

Promotion of the Humanities\_Humanities Instruction in Elementary and Secondary Schools (1984B)

Consolidated from 45.155 (1994U)

Consolidated into 45.162, 45.163 (1996B)

### 45.128

Promotion of the Humanities\_Planning and Analysis (1977B)

Promotion of the Humanities\_Planning and Assessment Studies (1977U)

Split into 45.128, 45.131, 45.133 (1977U)

Promotion of the Humanities\_Planning and Assessment Studies Program (1980B)

Promotion of the Humanities\_Humanities Studies Program (1984U)

Archived (1985U)

### 45.129

Promotion of the Humanities\_State-Based Program (1977B)

Promotion of the Humanities\_State Programs (1977U)

Promotion of the Humanities\_Federal-State Partnership (1995B)

Promotion of the Humanities\_Federal/State Partnership (1997B)

### 45.130

Promotion of the Humanities\_Challenge Grant Program (1977U)

Promotion of the Humanities\_Challenge Grants Program (1980U2)

Promotion of the Humanities\_Challenge Grants (1987B)

### 45.131

Promotion of the Humanities\_Special Projects (1977U)

Split from 45.128 (1977U)

Archived (1981U)

### 45.132

Promotion of the Humanities\_Research Publications (1977U)

Promotion of the Humanities\_Research Materials: Publications (1980B)

Promotion of the Humanities\_Research Resources/Publications (1983U)

Promotion of the Humanities\_Basic Research/Publications (1985B)

Promotion of the Humanities\_Texts/Publication Subvention (1985U)

Promotion of the Humanities\_Publication Subvention (1992B)

Promotion of the Humanities\_Subventions (1992U)

Promotion of the Humanities\_Scholarly Publications (1993U)

Consolidated from 45.146, 45.147 (1993U)

Consolidated into 45.161 (1996B)

### 45.133

Promotion of the Humanities\_Science, Technology and Human Values (1977U)

Split from 45.128 (1977U)

Promotion of the Humanities\_Humanities, Science, and Technology (1983B)

Promotion of the Humanities\_Basic Research/Humanities, Science and Technology (1984B)

Promotion of the Humanities\_Interpretive Research/Humanities, Science and Technology (1985U)

Promotion of the Humanities\_Interpretive Research/Humanities, Science, and Technology (1992B)

Consolidated into 45.140 (1993U)

### 45.134

Promotion of the Humanities\_Research Development (1978B)

Split from 45.109 (1978B)

Promotion of the Humanities\_Research Conferences (1979B)

Promotion of the Humanities\_Basic Research/Research Conferences (1984B)

Promotion of the Humanities\_Regrants/Research Conferences (1985U)

Promotion of the Humanities\_Regrants Conferences (1986U)

Promotion of the Humanities\_Regrants/Conferences (1987B)

Promotion of the Humanities\_Conferences (1990B)

Consolidated into 45.140 (1993U)

### 45.135

Promotion of the Humanities\_NEH Youth Projects (1978B)

Split from 45.115 (1978B)

Promotion of the Humanities\_Youth Projects (1979U1)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Youth Projects (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Youth Projects (1985B)

Promotion of the Humanities\_Humanities Projects for Youth (1985U)

Promotion of the Humanities\_Projects for Youth, Incorporated into 45.104, 45.125, 45.133, 45.137 (1986B)

### 45.136

Promotion of the Humanities\_NEH Fellowships, Categories A, B, and C (1978U)

Consolidated from 45.118, 45.119 (1978U)

Promotion of the Humanities\_Category A, B, and C

(1979U1)

Split into 45.142, 45.143, 45.144 (1980B)

### 45.137

Promotion of the Humanities\_Public Library Program (1979B)

Split from 45.117 (1979B)

Promotion of the Humanities\_Division of Public Programs, Libraries Humanities Projects (1979U2)

Promotion of the Humanities\_Division of Public Programs, Humanities Projects in Libraries (1982B)

Promotion of the Humanities\_Humanities Projects in Libraries (1983B)

Promotion of the Humanities\_Special Projects: Humanities Projects in Libraries (1984B)

Promotion of the Humanities\_Humanities Projects in Libraries (1985B)

Promotion of the Humanities\_Humanities Projects in Libraries and Archives (1988B)

Consolidated into 45.164 (1996B)

### 45.138

Promotion of the Humanities\_Higher Education Pilot Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Pilot Grants (1979U1)

Consolidated into 45.150 (1983B)

### 45.139

Promotion of the Humanities\_Higher Education Development Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Development Grants (1979U1)

Promotion of the Humanities\_Education Implementation Grants (1979U2)

Consolidated into 45.150 (1983B)

### 45.140

Promotion of the Humanities\_Basic Research (1979U1)

Split from 45.105 (1979U1)

Split into 45.140, 45.148 (1980U2)

Promotion of the Humanities\_Project Research (1983U)

Promotion of the Humanities\_Basic Research/Project Research (1984B)

Promotion of the Humanities\_Interpretive Research/Projects (1985U)

Promotion of the Humanities\_Interpretive Research/Collaborative Projects (1990U)

Promotion of the Humanities\_Interpretive Research Program (1993B)

Consolidated from 45.133, 45.134 (1993U)

Consolidated into 45.161 (1996B)

### 45.141

Promotion of the Humanities\_Regional and Local History (1979U1)

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Split from 45.105 (1979U1)  
Promotion of the Humanities\_State, Local, and Regional Studies (1979U2)  
Promotion of the Humanities\_Regional Studies (1983B)  
Incorporated into 45.140 (1983U)

## 45.142

Promotion of the Humanities\_Fellowships for Independent Study and Research (1980B)  
Split from 45.136 (1980B)  
Promotion of the Humanities\_Fellowships for University Teachers (1986B)  
Consolidated into 45.160 (1996B)

## 45.143

Promotion of the Humanities\_Fellowships for College Teachers (1980B)  
Split from 45.136 (1980B)  
Promotion of the Humanities\_Fellowships for College Teachers (1985U)  
Promotion of the Humanities\_Fellowships for College Teachers and Independent Scholars (1986B)  
Consolidated into 45.160 (1996B)

## 45.144

Promotion of the Humanities\_Residential Fellowships for College Teachers (1980B)  
Split from 45.136 (1980B)  
Archived (1982B)

## 45.145

Promotion of the Humanities\_Research Materials: Tools and Reference Works (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities\_Research Materials/Tools and Reference Works (1980U2)  
Promotion of the Humanities\_Reference Works/Tools (1983U)  
Promotion of the Humanities\_Reference Materials/Tools (1985U)  
Promotion of the Humanities\_Reference Materials (1992B)  
Consolidated from 45.124 (1992B)  
Consolidated into 45.149 (1996B)

## 45.146

Promotion of the Humanities\_Research Materials: Editions (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities\_Research Materials/Editions (1980U1)  
Promotion of the Humanities\_Reference Works/Editions (1983U)  
Promotion of the Humanities\_Texts/Editions (1985U)  
Promotion of the Humanities\_Editions (1992B)  
Consolidated into 45.132 (1993U)

## 45.147

Promotion of the Humanities\_Research Materials: Translations (1980B)  
Split from 45.126 (1980B)  
Promotion of the Humanities\_Research Materials/Translations (1980U2)  
Promotion of the Humanities\_Reference Works/Translations (1983U)  
Promotion of the Humanities\_Texts/Translations (1985U)  
Promotion of the Humanities\_Translations (1992B)  
Consolidated into 45.132 (1993U)

## 45.148

Promotion of the Humanities\_Intercultural Research (1980U2)  
Split from 45.140 (1980U2)  
Promotion of the Humanities\_Intercultural Research Program (1981U)  
Promotion of the Humanities\_Basic Research/Intercultural Research Program (1984B)  
Promotion of the Humanities\_Research in Selected Areas/ Intercultural Research Program (1985B)  
Promotion of the Humanities\_Regrants Program/International Research (1985U)  
Promotion of the Humanities\_International Research (1990B)  
Archived (1994B)

## 45.149

Promotion of the Humanities\_Research Resources Conservation and Preservation Grants (1980U2)  
Promotion of the Humanities\_Research Resources/Preservation Grants (1983U)  
Promotion of the Humanities\_Office of Preservation (1985B)  
Promotion of the Humanities\_Division of Preservation and Access (1992B)

## 45.150

Promotion of the Humanities\_Central Disciplines in Undergraduate Education (1983B)  
Promotion of the Humanities\_Higher Education in the Humanities (1987U)  
Consolidated from 45.155 (1994U)  
Consolidated into 45.162, 45.163 (1996B)

## 45.151

Promotion of the Humanities\_Summer Seminars for Secondary School Teachers (1983B)  
Consolidated into 45.163 (1996B)

## 45.152

Promotion of the Humanities\_Travel to Collections (1983U)  
Promotion of the Humanities\_Basic Research/Travel to Collections (1984B)  
Promotion of the Humanities\_Travel to Collections (1985U)  
Consolidated into 45.121 (1992U)

## 45.153

Promotion of the Humanities\_Regrants Program/Selected Areas (1986B)  
Promotion of the Humanities\_Selected Areas (1990B)  
Archived (1992B)

## 45.154

NEH/Reader's Digest Teacher-Scholar Program (1988B)  
NEH Teacher-Scholar Program (1991B)  
Promotion of the Humanities\_NEH Teacher-Scholar Program (1991U)  
Promotion of the Humanities\_NEH/Reader's Digest Teacher-Scholar Program (1992B)  
Promotion of the Humanities\_NEH/Teacher-Scholar Program (1993U)  
Archived (1994U)

## 45.155

Foreign Language Education (1991B)  
Promotion of the Humanities\_Foreign Language Education (1991U)  
Consolidated into 45.127, 45.150 (1994U)

## 45.156

Promotion of the Humanities\_Study Grants for College and University Teachers (1992B)  
Promotion of the Humanities\_Study Grants for College Teachers (1993U)  
Archived (1995B)

## 45.157

Promotion of the Humanities\_Dissertation Grants (1992U)  
Archived (1996B)

## 45.158

Leadership Opportunity in Science and Humanities Education (1993B)  
Promotion of the Humanities\_Leadership Opportunity in Science and Humanities Education (1994U)  
Promotion of the Humanities\_Integrating Undergraduate Education (1995B)  
Promotion of the Humanities\_Integrating Undergraduate Education (1995U)  
Consolidated into 45.162 (1996B)

## 45.160

Promotion of the Humanities\_Fellowships and Stipends  
Consolidated from 45.121, 45.142, 45.143 (1996B)

## 45.161

Promotion of the Humanities\_Collaborative Research  
Consolidated from 45.122, 45.132, 45.140 (1996B)  
Promotion of the Humanities\_Research (1997B)

## 45.162

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Promotion of the Humanities\_Education Development and Demonstration  
Consolidated from 45.127, 45.150, 45.158 (1996B)  
Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development (2004)

## 45.163

Promotion of the Humanities\_Seminars and Institutes  
Consolidated from 45.116, 45.127, 45.150, 45.151 (1996B)  
Promotion of the Humanities\_Professional Development (2004)

## 45.164

Promotion of the Humanities\_Public Programs  
Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)

## 45.166

Promotion of the Humanities\_Extending the Reach Grants to Underserved Areas (2000B)  
Consolidated into programs 45.164 and 45.149 (2003B)  
Deleted (2003)

## 45.167

Promotion of the Humanities\_Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)  
Deleted (2004)

## 45.168

Promotion of the Humanities\_We the People (2004)

## 45.169

Promotion of the Humanities\_Digital Humanities Initiative (2006)  
Promotion of the Humanities\_Office of Digital Humanities (2008)

## NATIONAL LABOR RELATIONS BOARD

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### 46.001

Labor-Management Relations (1969B)

## NATIONAL SCIENCE FOUNDATION

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Science Research Support Activities (1969B)  
Archived (1970B)

### 47.001

Antarctic Research (1970B)  
Polar Research (1970U)  
Polar Research Programs (1971B)  
Consolidated into 47.050 (1976B)

### 47.002

Biological Sciences Research Project Support

(1970B)  
Consolidated into 47.047 (1975B)

### 47.003

Computers Activities in Education and Research (1969B)  
Computers\_Research and Educational Activities (1970B)  
Computing Activities in Education and Research (1971B)  
Computing Activities (1973B)  
Computer Research (1974B)  
Consolidated into 47.047 (1975B)

### 47.004

Departmental Science Development (1970B)  
Archived (1971B)

### 47.005

Graduate Education in Science (1967B)  
Doctoral Dissertation Research in the Social Sciences (1970B)  
Doctoral Dissertation Research (1971B)  
Consolidated into 47.047 (1975B)

### 47.006

Engineering Sciences Research Initiation Grants (1970B)  
Engineering Research Initiation Grants (1973B)  
Consolidated into 47.047 (1975B)

### 47.007

Engineering Sciences Research Project Support (1970B)  
Engineering Research Project Support (1973B)  
Consolidated into 47.047 (1975B)

### 47.008

Environmental Sciences Research Project Support (1970B)  
Consolidated into 47.047 (1975B)

### 47.009

Fellowships and Traineeship Program (1970B)  
Graduate Fellowship Programs (1973B)  
Graduate Student Support (1974B)  
Science Manpower Improvement (1976B)  
Scientific Personnel Improvement (1978B)  
Graduate Research Fellowships (1983B)  
Consolidated into 47.076 (1992B)

### 47.010

Graduate Instructional Program Development (1970B)  
Incorporated into 47.032, 47.033 (1973B)

### 47.011

Graduate Science Facilities (1970B)  
Archived (1971B)

### 47.012

Institutional Support in Science (1967B)  
Institutional Grants for Science (1970B)  
Archived (1975U)

### 47.013

Interdisciplinary Research Relevant to Problems of Our Society (1970B)  
Archived (1972B)

### 47.014

International Cooperative Science Activities (1969B)  
Consolidated into 47.053 (1977B)

### 47.015

International Travel (1970B)  
Incorporated into 47.014 (1975B)

### 47.016

Scientific Research Grants (1967B)  
Science Research Support Activities (1969B)  
Mathematical and Physical Sciences Research Project Support (1970B)  
Split into 47.016, 47.017 (1970B)  
Consolidated into 47.047 (1975B)

### 47.017

National and Special Research Programs (1970B)  
Split from 47.016 (1970B)  
Global Atmospheric Research Program (1974B)  
Consolidated into 47.050 (1976B)

### 47.018

Oceanography\_Basic Research Grants (1970B)  
Oceanography\_Scientific Research Project Support (1971B)  
Incorporated into 47.008 (1972B)

### 47.019

Pre-College Education in Science (1967B)  
Pre-College Instructional Personnel Development (1970B)  
Instructional Improvement Implementation\_Pre-College (1973B)  
Consolidated into 47.048 (1975B)

### 47.020

Pre-College Instructional Program Development (1970B)  
Science Education Materials and Methods Development Pre-College (1973B)  
Science Education Materials and Instruction Development (Pre-College) (1973U)  
Science Education Materials and Instruction Development\_Pre-College (1974B)  
Consolidated into 47.048 (1975B)

### 47.021

Pre-College Student Development (1970B)

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Archived (1971B)

### 47.022

Sea Grant Program (1969B)  
Sea Grant Institutional Support (1970B)  
Split into 47.022, 47.023 (1970B)  
Transferred to 11.417 (1971B)

### 47.023

Sea Grant Project Support (1970B)  
Split from 47.022 (1970B)  
Transferred to 11.418 (1971B)

### 47.024

Science Information Activities\_System Development and Improvement (1970B)  
Science Information Activities\_Information Systems; Data Systems (1973B)  
Science Information Activities\_National Information Systems; User Support (1974B)  
Science Information Activities (1975B)  
Consolidated into 47.053 (1977B)

### 47.025

Science Information Research (1970B)  
Incorporated into 47.024 (1975B)

### 47.026

Science Information Activities (1969B)  
Science Information Services and Publications (1970B)  
Science Information Activities\_Publications (1973B)  
Incorporated into 47.024 (1974B)

### 47.027

Science Planning and Policy Studies (1969B)  
University Science Planning and Policy Program (1971B)  
Science Policy Research (1972B)  
Incorporated into 47.029 (1973B)

### 47.028

Scientific Conference Grants (1970B)  
Consolidated into 47.047 (1975B)

### 47.029

Social Sciences Research Project Support (1970B)  
Consolidated into 47.047 (1975B)

### 47.030

Special Computer Services for Research and Science Education (1970B)  
Archived (1971B)

### 47.031

Specialized Research Facilities and Equipment (1970B)  
Archived (1972B)

### 47.032

Undergraduate Education in Science (1967B)  
Undergraduate Instructional Personnel Development (1970B)  
Split into 47.032, 47.033, 47.034 (1970B)  
Instructional Improvement Implementation\_Higher Education (1973B)  
Consolidated into 47.048 (1975B)

### 47.033

Undergraduate Instructional Program Development (1970B)  
Split from 47.032 (1970B)  
Science Education Materials and Methods Development\_Higher Education (1973B)  
Science Education Materials and Instruction Development (Higher Education) (1973U)  
Science Education Materials and Instruction Development\_Higher Education (1974B)  
Consolidated into 47.048 (1975B)

### 47.034

Undergraduate Student Development (1970B)  
Split from 47.032 (1970B)  
Student Oriented Programs (1973B)  
Consolidated into 47.048 (1975B)

### 47.035

University Science Development (1970B)  
Archived (1971B)

### 47.036

Intergovernmental Science Programs (1970U)  
Intergovernmental Science and Research Utilization (1973B)  
Intergovernmental Science (1975B)  
Intergovernmental Program (1976B)  
Intergovernmental Programs (1978B)  
Intergovernmental Program (1979B)  
Intergovernmental Science and Technology Grants (1981B)  
Intergovernmental Science and Technology Program (1981U)  
Intergovernmental and Public Service Science and Technology Program (1982B)  
Intergovernmental Science and Technology Programs (1983B)  
Archived (1985U)

### 47.037

International Decade of Ocean Exploration (1970U)  
Consolidated into 47.050 (1976B)

### 47.038

Public Understanding of Science Program (1971B)  
Science and Society Program (1976B)  
Science Education Communication Grants (1981B)  
Consolidated/Split into 47.038, 47.058 (1981B)  
Archived (1982B)

### 47.039

Scientific Activities (Special Foreign Currency Program) (1971B)  
Archived (1975B)

### 47.040

Materials Research Project Support (1972B)  
Consolidated into 47.047 (1975B)

### 47.041

Research Applied to National Needs (1973U)  
Applied Science and Research Applications (1978B)  
Engineering and Applied Science (1979U2)  
Engineering Grants (1981B)  
Consolidated/Split into 47.041, 47.058 (1981B)

### 47.042

Experimental Research and Development Incentives Program (1973U)  
Incorporated into 47.041 (1976B)

### 47.043

National Research and Development Assessment Program (1973U)  
Number changed to 47.052 (1976B)

### 47.044

Institutional Grants for Research Management Improvement (1973U)  
Archived (1975B)

### 47.045

Technological Innovation in Education (1973U)  
Consolidated into 47.048 (1975B)

### 47.046

Science Education\_Problem Assessment and Experimental Projects (1974B)  
Consolidated into 47.048 (1975B)

### 47.047

Scientific Research Project Support (1975B)  
Consolidated from 47.002, 47.003, 47.005, 47.006, 47.007, 47.008, 47.016, 47.028, 47.029, 47.040 (1975B)  
Split into 47.049, 47.050, 47.051 (1976B)

### 47.048

Science Education Improvement (1975B)  
Consolidated from 47.019, 47.020, 47.032, 47.033, 47.034, 47.045, 47.046 (1975B)  
Science Education Research and Development and Resources Improvement (1977B)  
Science Education Development and Research and Resources Improvement (1980B)  
Archived (1982B)

### 47.049

Mathematical and Physical Sciences and

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Engineering (1976B)  
Split from 47.047 (1976B)  
Mathematical and Physical Sciences (1979U2)

### 47.050

Astronomical, Atmospheric, Earth and Ocean Sciences (1976B)  
Consolidated/Split from 47.001, 47.017, 47.037, 47.047 (1976B)

### 47.051

Biological, Behavioral, and Social Sciences (1976B)  
Split from 47.047 (1976B)  
Split into 47.074, 47.075 (1992B)

### 47.052

Science and Technology Policy Research and Analysis (1976B)  
Number changed from 47.043 (1976B)  
Consolidated into 47.053 (1977B)

### 47.053

Scientific, Technological, and International Affairs (1977B)  
Consolidated from 47.014, 47.024, 47.052 (1977B)  
Consolidated into 47.075 (1992B)

### 47.054

Industry/University Cooperative Research (1980B)  
Incorporated into 47.053 (1981B)

### 47.055

Two-Year and Four-Year College Research Instrumentation (1980B)  
Archived (1984B)

### 47.056

Research Initiation in Minority Institutions (1980B)  
Research Improvement in Minority Institutions (1981B)  
Number changed to 47.060 (1982B)

### 47.057

Minority Research Initiation (1981B)  
Archived (1985B)

### 47.058

Public Service Science and Technology (1981B)  
Consolidated from 47.038, 47.041 (1981B)  
Archived (1982B)

### 47.059

Visiting Professorships for Women in Science and Engineering (1982B)  
Visiting Professorships for Women (1983B)  
Archived (1985B)

### 47.060

Research Improvement in Minority Institutions

(1982B)  
Number changed from 47.056 (1982B)  
Archived (1985B)

### 47.061

Precollege Science and Mathematics Teacher Development and Incentives (1983U)  
Consolidated into 47.063 (1984B)

### 47.062

Precollege Science and Mathematics Materials Development (1983U)  
Consolidated into 47.063 (1984B)

### 47.063

Precollege Science and Mathematics Education (1984B)  
Consolidated from 47.061, 47.062 (1984B)  
Archived (1985B)

### 47.064

College Science Instrumentation Program (1984U)  
Incorporated into 47.071 (1987U)

### 47.065

Advanced Scientific Computing Resources (1984U)  
Archived (1986U)

### 47.066

Teacher Enhancement and Informal Science Education (1985B)  
Teacher Preparation and Enhancement (1986B)  
Consolidated into 47.076 (1992B)

### 47.067

Materials Development and Research (1985B)  
Materials Development, Research, and Informal Science Education (1986B)  
Materials Development and Informal Science Education (1987B)  
Materials Development, Research, and Informal Science Education (1988B)  
Consolidated into 47.076 (1992B)

### 47.068

Studies and Program Assessment (1985B)  
Research, Studies, and Program Assessment (1987B)  
Studies and Program Assessment (1988B)  
Studies, Evaluation and Dissemination (1991B)  
Consolidated into 47.076 (1992B)

### 47.069

Research Initiation and Improvement (1985B)  
Human Resource Development (1991B)  
Consolidated into 47.076 (1992B)

### 47.070

Computer and Information Science and

Engineering (2004)

### 47.071

Undergraduate Science, Mathematics, and Engineering Education (1987U)  
Undergraduate Science, Engineering, and Mathematics Education (1988B)  
Consolidated into 47.076 (1992B)

### 47.072

Young Scholars (1987U)  
Consolidated into 47.076 (1992B)

### 47.073

Science and Technology Centers (1989B)  
Archived (1996B)

### 47.074

Biological Sciences (1992B)  
Split from 47.051 (1992B)

### 47.075

Social, Behavioral, and Economic Sciences (1992B)  
Consolidated from 47.051, 47.053 (1992B)

### 47.076

Education and Human Resources (1992B)  
Consolidated from 47.009, 47.066, 47.067, 47.068, 47.069, 47.071, 47.072 (1992B)

### 47.077

Academic Research Facilities and Instrumentation (1993B)  
Academic Research Infrastructure (1997B)  
Archived (1999B)

### 47.078

Polar Programs (1997B)

### 47.079

International Science and Engineering (OISE) (2005)

### 47.080

Office of Cyberinfrastructure (2008)

### 47.081

Office of Experimental Program to Stimulate Competitive Research (2008)

### 47.082

Trans-NSF Recovery Act Research Support (2009)

## NEW ENGLAND REGIONAL COMMISSION

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### 48.001

New England Regional Economic Development (1970B)

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Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

## 48.002

New England Technical and Planning Assistance (1975B)  
Archived (1981U)

## 48.003

New England Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

## 48.004

New England Regional Transportation (1977U)  
Archived (1981U)

## 48.005

New England Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

## COMMUNITY SERVICES ADMINISTRATION

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Head Start (1967B)  
Child Development\_Head Start (1970B)  
Transferred to the Department of Health Education, Welfare (1970B)

Establishment of Job Corps Centers (1965B)  
Job Corps (1967B)  
Transferred to the Department of Labor (1970B)

Upward Bound (1967B)  
Transferred to the Department of Health Education, Welfare (1970B)

## 49.001

Alcoholic Counseling and Recovery (1970B)  
Archived (1971U)

## 49.002

Community Action Program (1965B)  
Community Action Operations (1970B)  
Community Action (1971B)  
Archived (1973B)  
Reinstated (1975B)  
Split into 49.002, 49.016, 49.018 (1980U1)  
Archived (1981U)

## 49.003

Neighborhood Health Centers (1967B)  
Comprehensive Health Centers (1969B)  
Comprehensive Health Services (1970B)  
Archived (1973B)

## 49.004

Drug Rehabilitation (1970B)  
Archived (1973B)

## 49.005

Emergency Food and Medical Services (1969B)  
Archived (1971U)  
Reinstated (1972B)  
Archived (1973B)  
Reinstated (1975U)  
Community Food and Nutrition (1975U)  
Archived (1981U)

## 49.006

Family Planning (1969B)  
Archived (1973B)

## 49.007

Federal Information Exchange System (1969B)  
Archived (1972B)

## 49.008

Legal Services (1967B)  
Archived (1973B)  
Reinstated (1975B)  
Archived (1976B)

## 49.009

Community Action Program\_Assistance for Migrant and Seasonal Farm Workers (1965B)  
Migrant and Seasonal Farmworkers Assistance (1969B)  
Transferred to (1972B)

## 49.010

Senior Opportunities and Services (1969B)  
Older Persons Opportunities and Services (1970B)  
Archived (1973B)  
Reinstated (1975B)  
Archived (1981U)

## 49.011

Special Impact (1970B)  
Community Economic Development (1972U)  
Archived (1973B)  
Reinstated (1975B)  
Archived (1981U)

## 49.012

Vista\_Volunteers in Service to America\_Opportunities for Individuals to Assist in the War on Poverty (1965B)  
Volunteers in Service to America (1970B)  
Archived (1971U)

## 49.013

Economic Opportunity\_Technical Assistance and Demonstrations (1972U)  
Archived (1973B)  
Reinstated (1975B)  
State Economic Opportunity Offices (1975B)  
Archived (1981U)

## 49.014

Emergency Energy Conservation Services (1975U)  
Archived (1981B)

## 49.015

Summer Youth Recreation Program (1976U)  
Summer Youth Recreation (1977B)  
Archived (1981B)

## 49.016

National Youth Sports Program (1980U1)  
Split from 49.002 (1980U1)  
Archived (1981U)

## 49.017

Rural Development Loan Fund (1980U1)  
Reinstated, previously under the Department of Agriculture (1980U1)  
Archived (1981U)

## 49.018

Housing and Community Development (1980U1)  
Split from 49.002 (1980U1)  
Archived (1981U)

## OFFICE OF EMERGENCY PREPAREDNESS

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Emergency Management of Resources (1967B)  
Incorporated into 50.001 (1970B)

## 50.001

Continuity of Government (1969B)  
Continuity of Government and Management of Resources in Emergencies (1970B)  
Continuity of Government in Emergencies (1970U)  
Continuity of Government and Management of Resources in Emergencies (1971B)  
Transferred to 39.010 (1973U)

## 50.002

Federal Disaster Relief (1967B)  
Disaster Relief to States (1970B)  
Disaster Assistance (1971B)  
Transferred to 14.701 (1973U)

## 50.003

State Plans for Disaster Assistance to Individuals (1970B)  
State Disaster Plans and Programs (1971B)  
Transferred to 14.702 (1973U)

## 50.004

Federal-State Relations (1969B)  
Telecommunications Management (1970B)  
Archived (1970U)

## OFFICE OF INTERGOVERNMENTAL RELATIONS

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## 51.001

Intergovernmental Relations and Liaison (1970B)



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Archived (1973B)

## **OZARKS REGIONAL ACTION PLANNING COMMISSION**

### **52.001**

Ozarks Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### **52.002**

Ozarks Technical and Planning Assistance (1975B)  
Archived (1981U)

### **52.003**

Ozarks Supplements to Federal Grant-in-Aid  
(1975B)  
Archived (1981U)

### **52.004**

Ozarks Regional Transportation (1977U)  
Archived (1981U)

### **52.005**

Ozarks Energy Demonstration Projects and  
Programs (1977U)  
Archived (1981U)

### **52.007**

Ozarks Health and Nutrition Demonstration  
Projects (1977U)  
Archived (1981U)

## **PRESIDENT'S COMMITTEE ON CONSUMER INTERESTS**

### **52.500**

Consumer Affairs (1969B)  
Transferred to 69.001 (1971B)

## **PRESIDENT'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES**

### **53.001**

Handicapped Employment Promotion (1969B)  
Transferred to 17.72 (2002B)

## **PRESIDENT'S COMMITTEE ON MENTAL RETARDATION**

### **54.001**

Mental Retardation Evaluation (1970B)  
Transferred to 13.613 (1974B)

## **PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS**

### **55.001**

Governors' Councils on Physical Fitness (1970B)  
Transferred to 13.615 (1974B)

### **55.002**

National Summer Youth Sports Program (1970B)  
Archived (1972B)

### **55.003**

Physical Fitness Programs (1967B)  
Physical Fitness and Sports (1969B)  
Physical Fitness and Sports Information (1970B)  
Transferred to 13.616 (1974B)

### **55.004**

Physical Fitness Clinics (1970B)  
Transferred to 13.617 (1974B)

### **55.005**

Physical Fitness Demonstration Center Schools  
(1970B)  
Transferred to 13.618 (1974B)

### **55.006**

Physical Fitness Program Development (1970B)  
Transferred to 13.619 (1974B)

### **55.007**

Presidential Physical Fitness Award (1970B)  
Transferred to 13.620 (1974B)

### **55.008**

Health-Exercise Symposia (1971B)  
Transferred to 13.621 (1974B)

### **55.009**

Presidential Sports Award (1973U)  
Transferred to 13.622 (1974B)

## **PRESIDENT'S COUNCIL ON YOUTH OPPORTUNITY**

### **56.001**

Youth Opportunity (1969B)  
Transferred/Split into HHS, Labor programs  
(1971B)

## **RAILROAD RETIREMENT BOARD**

### **57.001**

Social Insurance Program for Railroad Workers  
(1965B)  
Social Insurance for Railroad Workers (1970B)

### **57.002**

Benefits for Milwaukee Railroad Workers  
(1980U2)  
Archived (1985U)

### **57.003**

Benefits for Conrail Employees (1983B)  
Archived (1988B)

### **57.004**

Benefits for Rock Island Railroad Employees  
(1983U)  
Archived (1984U)

### **57.005**

Economic Recovery Payments (2009)

## **SECURITIES AND EXCHANGE COMMISSION**

### **58.001**

Investor Protection (1969B)  
Securities\_ Investigation of Complaints and SEC  
Information (1972B)

## **SMALL BUSINESS ADMINISTRATION**

### **59.001**

Displaced Small Business Loans (1969B)  
Displaced Business Loans (1970B)  
Archived (1981U)

### **59.002**

Economic Injury Disaster Loans (1970B)  
Reinstated (1984B)  
Consolidated into 59.008 (1989B)  
Reinstated (1989U)  
Deleted (2008)

### **59.003**

Economic Opportunity Loans for Small Businesses  
(1965B)  
Loans for Small Businesses (1983B)  
Archived (1997U)

### **59.004**

Lease Guarantees for Small Businesses (1969B)  
Archived (1977B)

### **59.005**

Management Assistance to Small Businesses  
(1970B)  
Business Development Assistance to Small  
Business (1970B)  
Internet-Based Technical Assistance (2005)  
Internet-Based Technical Assistance (2005)  
Deleted (2008)

### **59.006**

Minority Business Development (1970B)  
Minority Business Development\_Procurement  
Assistance (1971B)  
Minority Business Development (1991B)  
8(a) Business Development (1999B)  
8(a) Business Development Program (2006)

### **59.007**

Minority Enterprise\_Technical Assistance (1970B)  
Management and Technical Assistance for  
Disadvantaged Businessmen\_Research and  
Demonstration Grants (1971B)  
Management and Technical Assistance for  
Disadvantaged Businessmen (1973B)  
Management and Technical Assistance for  
Disadvantaged Businesses (1983B)  
Management and Technical Assistance for Socially

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and Economically Disadvantaged Businesses (1988B)

Management and Technical Assistance (2001B)

7(i) Technical Assistance (2004)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

### 59.008

Disaster Loans (1967B)

Physical Disaster Loans (1970B)

Consolidated from 59.002 (1989B)

Disaster Assistance Loans (2007)

### 59.009

Management and Technical Assistance (1965B)

Procurement and Management Assistance to Small Businesses (1967B)

Procurement Assistance to Small Businesses (1970B)

Procurement and Technical Assistance to Small Businesses (1976U)

Procurement Assistance to Small Businesses (1985B)

### 59.010

Product Disaster Loans (1970B)

Archived (1982B)

### 59.011

Small Business Investment Company Program (1965B)

Small Business Investment Companies (1970B)

### 59.012

Small Business Financial Assistance Program (1965B)

Small Business Loans (1970B)

7(a) Loan Guarantee (2007)

7(a) Loan Guarantees (2008)

### 59.013

Loans to State and Local Development Companies (1965B)

State and Local Development Company Loans (1969B)

Local Development Company Loans (1991B)

Archived (1998U)

### 59.014

Coal Mine Health and Safety Loans (1971B)

Mine Safety and Health Loans (1978B)

Archived (1981U)

### 59.015

Trade Adjustment Loans (1971B)

Archived (1971U)

### 59.016

Bond Guarantees for Surety Companies (1971U)

Surety Bond Guarantees (2008)

### 59.017

Meat and Poultry Inspection Loans (1972B)

Consumer Protection Loans (1978B)

Archived (1981U)

### 59.018

Occupational Safety and Health Loans (1972B)

Archived (1981U)

### 59.019

Minority Vendors Program (1974B)

Incorporated into 59.035 (1980U1)

### 59.020

Base Closing Economic Injury Loans (1975B)

Archived (1981U)

### 59.021

Handicapped Assistance Loans (1975B)

Archived (1997U)

### 59.022

Emergency Energy Shortage Economic Injury Loans (1975B)

Archived (1981U)

### 59.023

Strategic Arms Economic Injury Loans (1975B)

Archived (1981U)

### 59.024

Water Pollution Control Loans (1975B)

Archived (1981U)

### 59.025

Air Pollution Control Loans (1975B)

Archived (1981U)

### 59.026

Service Corps of Retired Executives and Active Corps of Executives (1976B)

Transferred from 72.006 (1976B)

Service Corps of Retired Executives Association (1988B)

Service Corps of Retired Executives (2008)

### 59.027

Economic Dislocation Loans (1978B)

Archived (1981U)

### 59.028

Regulatory Loans (1979B)

Archived (1981U)

### 59.029

Disaster Assistance to Nonagricultural Businesses (Major Source of Employment) (1979U1)

Incorporated into 59.008 (1982B)

### 59.030

Small Business Energy Loans (1979B)

Consolidated from 59.031 (1989B)

Incorporated into 59.012 (1990B)

### 59.031

Small Business Pollution Control Financing Guarantee (1979B)

Consolidated into 59.030 (1989B)

### 59.032

Office of Women's Business Enterprise (1980U1)

Archived (1968B)

Office of Women's Business Ownership (1983B)

### 59.033

Small Business and Capital Ownership Development (1980U1)

Minority Small Business and Capital Ownership Development (1981B)

Incorporated into 59.007 (1987B)

### 59.034

Small Business Economic Research (1980U1)

Archived (1983B)

### 59.035

Procurement Automated Source System (1980U1)

Incorporated from 59.019 (1980U1)

Archived (1998B)

### 59.036

Certified Development Company Loans (1981U)

Certified Development Company Loans (504 Loans) (1986U)

Archived (1989B)

### 59.037

Small Business Development Center (1981U)

Small Business Development Centers (2008)

### 59.038

Veterans Loan Program (1984B)

Archived (1997U)

### 59.039

Currency Devaluation Disaster Loans (1984U)

Currency Fluctuation Economic Injury Loans (1985B)

Archived (1986U)

### 59.040

Federal Action Disaster Loans (1984U)

Federal Action Economic Injury Loans (1985B)

Archived (1986U)

### 59.041

Certified Development Company Loans (504 Loans) (1986U)

504 Certified Development Loans (2008)

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|  |  |   |
|--|--|---|
| <b>59.042</b><br>Business Loans for 8(a) Program Participants (1990B)<br>Archived (1997U)  | <b>59.054</b><br>7(a) Loans (Export Loans) (2005)<br>7(a)Export Loan Guarantees (2008)   | <b>60.008</b><br>Registral Programs (1970B)<br>Incorporated into 60.001 (1972B)   |
| <b>59.043</b><br>Women's Business Ownership Assistance (1990B)   | <b>59.055</b><br>HUBZone Program (2008)  | <b>60.009</b><br>Science Information Exchange (1969B)<br>Smithsonian Science Information Exchange, Inc. (1973B)<br>Transferred to 11.651 (1980U1)   |
| <b>59.044</b><br>Veterans Entrepreneurial Training Assistance (1990B)<br>Veterans Entrepreneurial Training and Counseling (1991U)<br>Veterans Business Development (2008)  | <b>59.056</b><br>Secondary Market Lending Authority (2009)   | <b>60.010</b><br>Smithsonian Associates (1970B)<br>Incorporated into 60.001 (1972B)   |
| <b>59.045</b><br>Natural Resource Development (1991B)<br>Archived (1995U)  | <b>59.057</b><br>America's Recovery Capital Loans (2009)   | <b>60.011</b><br>Smithsonian Center for Short-Lived Phenomena (1970B)<br>Center for Short-Lived Phenomena (1973B)<br>Archived (1976B)   |
| <b>59.046</b><br>Microloan Demonstration Program (1992U)<br>Microloan Program (2004)   | <b>59.070</b><br>Drug-Free Workplace Program (2008)  | <b>60.012</b><br>Smithsonian Institution Libraries (1970B)<br>Incorporated into 60.001 (1972B)  |
| <b>59.047</b><br>Pre Disaster Mitigation Loan Program (2004)   | <b>SMITHSONIAN INSTITUTION</b><br>Smithsonian Institution_Visiting Research Appointments (1969B)<br>Archived (1970B)   | <b>60.013</b><br>Smithsonian Institution Traveling Exhibition Service (1970B)<br>Archived (1987B)   |
| <b>59.048</b><br>Military Reserve Economic Injury Loan (2004)  | <b>60.001</b><br>Smithsonian Institution Programs in Basic Research and Public Education (1970B)<br>Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (1978B)<br>Archived (1987B) | <b>60.014</b><br>Smithsonian Oceanographic Sorting Centers (1970B)<br>Archived (1978B)  |
| <b>59.049</b><br>Office of Small Disadvantaged Business Certification and Eligibility (2000B)<br>Small Disadvantaged Businesses (2007)   | <b>60.002</b><br>Academic Appointments (1970)<br>Incorporated into 60.001 (1978B)  | <b>60.015</b><br>Smithsonian Publications (1970B)<br>Incorporated into 60.001 (1972B)   |
| <b>59.050</b><br>Microenterprise Developments Grant (2001U)<br>PRIME Technical Assistance (2007)   | <b>60.003</b><br>Authentication and/or Repair of Oriental Objects and Translation of Related Inscriptions (1970B)<br>Incorporated into 60.001 (1972B)  | <b>60.016</b><br>Museum and Related Research_Special Foreign Currency Program (1969B)<br>Smithsonian Special Foreign Currency Grants for Museum Programs and Related Research (1970B)<br>Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (1976B)<br>Archived (1986U) |
| <b>59.051</b><br>New Markets Venture Capital (2001U)<br>NEW MARKETS VENTURE CAPITAL PROGRAM, OPERATIONAL ASSISTANCE (OA) GRANTS (2005)<br>New Markets Venture Capital Program, Operational Assistance (OA) Grants (2005)<br>New Markets Venture Capital Program, Operational Assistance (OA) Grants (2005)<br>New Markets Venture Capital Program (2007) | <b>60.004</b><br>Chesapeake Bay Center for Environmental Studies (1970B)<br>Incorporated into 60.001 (1978B)   | <b>60.017</b><br>Smithsonian Special Public Affairs (1970B)<br>Incorporated into 60.001 (1972B)   |
| <b>59.052</b><br>Native American Economic Development Assistance (2005)<br>Native American Outreach (2008)   | <b>60.005</b><br>Smithsonian Institution_Elementary and Secondary Educational Services (1969B)<br>Educational Services, Elementary and Secondary Education (1970B)<br>Archived (1978B)   | <b>60.018</b><br>Smithsonian Tropical Research Institute (1970B)<br>Incorporated into 60.001 (1978B)  |
| <b>59.053</b><br>Small Business and Agriculture Regulatory Enforcement Ombudsman and Small Business Regulatory Fairness Boards (2005)<br>Ombudsman and Regulatory Fairness Boards (2007)   | <b>60.006</b><br>International Exchange of Scientific and Literary Publications and Governmental Documents (1970B)<br>Archived (1978B)   | <b>60.019</b><br>Visiting Research Appointments in Astrophysics, Geodesy, Meteoritics, and Space Sciences (1970B)   |
|  | <b>60.007</b><br>Museum Assistance (1969B)<br>Museums_Assistance and Advice (1970B)<br>Archived (1986U)  |   |

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Incorporated into 60.001 (1978B)

## 60.020

Woodrow Wilson International Center for Scholars Fellowship and Guest Scholar Programs (1970U)  
Woodrow Wilson International Center for Scholars Fellowships and Guest Scholar Programs (1971B)  
Archived (1987B)

## INTERNATIONAL TRADE COMMISSION

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### 61.001

Tariff Adjustment (Industry) (1970B)  
Import Relief (Industry) (1979B)  
Archived (2000B)

### 61.002

Trade Adjustment Assistance\_Firms (1970B)  
Archived (1971U)

### 61.003

Trade Adjustment Assistance\_Workers (1970B)  
Transferred/Incorporated into 17.400 (1971U)

## TENNESSEE VALLEY AUTHORITY

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Adjustment to Local Flood Hazard\_Tennessee River Basin (1967B)  
Archived (1969B)

Electricity Supply and Utilization\_Tennessee Valley Region (1967B)  
Archived (1969B)

Forestry, Fish and Wildlife\_Tennessee Valley Region (1967B)  
Archived (1969B)

Industrial Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Local Planning Assistance\_Tennessee Valley Region (1967B)  
Archived (1969B)

Mineral Resources Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Navigation Development and Waterway Transportation\_Tennessee River Basin (1967B)  
Archived (1969B)

Recreation Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Topographic and Navigation Maps\_Tennessee Valley Region (1967B)

Archived (1969B)

Tributary Area Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Unified Resource Development\_Tennessee Valley Authority (1967B)  
Archived (1969B)

Water Quality Control\_Tennessee River Basin (1967B)  
Archived (1969B)

## 62.001

Agricultural and Chemical Development\_TVA (1967B)  
Fertilizer and Munitions Development (1969B)  
Fertilizer Development (1970B)  
National Fertilizer Development (1977U)  
National Fertilizer and Environmental Research Center (1992B)  
TVA Environmental Research Center (1994B)  
TVA Environmental Research and Services (1998B)  
TVA Energy Research and Technology Applications (1999U)  
Archived (2001B)

## 62.002

Tennessee Valley Region\_General Resources Development (1969B)  
Consolidated into 62.004, 62.005, 62.006 (1980U1)

## 62.003

Multiple-Purpose Water Resource Development\_Tennessee River Basin (1967B)  
Tennessee Valley Region\_Water Resources Development (1969B)  
Consolidated into 62.005 (1980U1)

## 62.004

Tennessee Valley Region\_Community Development (1980U1)  
Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Economic and Community Development (1982B)  
Tennessee Valley Region Economic Development (1985U)  
Tennessee Valley Region\_Rural Development (1992B)  
Tennessee Valley Region\_Economic Development (1994U)  
Archived (1998U)

## 62.005

Tennessee Valley Region\_Natural Resources Development (1980U1)  
Consolidated from 62.002, 62.003 (1980U1)  
Tennessee Valley Region\_Water and Land Resources (1992B)

Archived (1994U)

## 62.006

Tennessee Valley Region\_Valley Agricultural Resources Development (1980U1)  
Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Valley Agricultural Institute (1988B)  
Archived (1992B)

## UPPER GREAT LAKES REGIONAL COMMISSION

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### 63.001

Upper Great Lakes Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### 63.002

Upper Great Lakes Technical and Planning Assistance (1975B)  
Archived (1981U)

### 63.003

Upper Great Lakes Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### 63.004

Upper Great Lakes Regional Transportation (1977U)  
Archived (1981U)

### 63.005

Upper Great Lakes Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### 63.006

Upper Great Lakes Indigenous Arts and Crafts Demonstration Projects (1977U)  
Archived (1981U)

### 63.007

Upper Great Lakes Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

### 63.008

Upper Great Lakes Education Demonstration Projects (1977U)  
Archived (1981U)

## DEPARTMENT OF VETERANS AFFAIRS

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Educational Assistance for Veterans' Children (1967B)  
Archived (1969B)

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Guardianship Services for Veterans' Beneficiaries (1967B)

Archived (1969B)

Relocation Housing for Aged or Families Displaced by Urban Renewal (1967B)

Archived (1969B)

Veterans Restoration Centers (1967B)

Archived (1969B)

## 64.001

Biomedical Research (1967B)

Medical Research Support (1986B)

Archived (1991U)

## 64.002

Veterans' Community Nursing Home Care Program (1967B)

Community Contract Nursing Home Care (1970B)

Community Nursing Home Care (1971B)

Veterans Community Nursing Home Care (1979B)

Archived (1981U)

## 64.003

Education and Training of Health Service Personnel (1969B)

Archived (1979B)

## 64.004

Exchange of Medical Information (1970B)

Archived (1982B)

## 64.005

Grant to States for Construction of State Nursing Home Care Facilities (1970B)

Grants to States for Construction of State Home Facilities (1978B)

## 64.006

Prosthetics Research (1969B)

Rehabilitative Engineering Research (Prosthetics) (1977B)

Rehabilitative Research (Prosthetics) (1977U)

Rehabilitative Research (1981B)

Archived (1981U)

## 64.007

Rehabilitation of Blind Veterans (1967B)

Blind Veterans Rehabilitation Centers (1971B)

Blind Veterans Rehabilitation Centers and Clinics (1987U)

Blind Rehabilitation Centers and Clinics (1995U)

Blind Rehabilitation Centers (1998U)

## 64.008

Veterans' Domiciliary Program (1965B)

Veterans Domiciliary Care and Restoration (1970B)

Veterans Domiciliary Care (1973B)

## 64.009

Veterans Hospitalization (1965B)

Revised

Veterans Medical Care Benefits (1997U)

## 64.010

Veterans Nursing Home Care Program (1967B)

Veterans Nursing Home Care (1970B)

## 64.011

Veterans' Outpatient Services (1967B)

Veterans Outpatient Care (1970B)

Veterans Dental Care (1999B)

## 64.012

Veterans Prescription Service (1967B)

## 64.013

Veterans Prosthetic Appliances (1967B)

## 64.014

Veterans State Home Program (1970B)

Veterans State Domiciliary Care (1971B)

## 64.015

Veterans State Nursing Home Care (1970B)

## 64.016

Veterans State Home Hospital Care (1970U)

Veterans State Hospital Care (1971B)

## 64.017

Grants to States for Remodeling of State Home Hospital/Domiciliary Facilities (1971B)

Incorporated into 64.005 (1978B)

## 64.018

Sharing Specialized Medical Resources (1971B)

Sharing Medical Facilities, Equipment, and Information (1975B)

Sharing Specialized Medical Resources (1978B)

## 64.019

Veterans Rehabilitation\_Alcohol and Drug Dependency (1971U)

Veterans Rehabilitation\_Alcohol and Drug Dependence (1976B)

## 64.020

Assistance in the Establishment of New State Medical Schools (1974U)

Archived (1979B)

## 64.021

Grants to Affiliated Medical Schools\_Assistance to Health Manpower Training Institutions (1974U)

Archived (1979B)

## 64.022

Hospital Based Home Care (1974U)

Veterans Hospital Based Home Care (1979B)

Veterans Home Based Primary Care (1997B)

## 64.023

Health Professional Scholarships (1982B)

Health Professional Scholarships\_Nursing (1984B)

Archived (1986B)

## 64.024

VA Homeless Providers Grant and Per Diem Program (1995B)

## 64.025

Transitional Housing Loan Program (1995B)

Archived (2001B)

## 64.026

Veterans State Adult Day Health Care (2008)

## 64.100

Veterans' Automobile Grants (1967B)

Automobile Grants for Disabled Veterans (1970B)

Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (1971B)

## 64.101

Burial Benefits for Veterans (1967B)

Burial Allowance for Veterans (1969B)

Burial Expenses Allowance for Veterans (1981U)

## 64.102

Compensation for Service-Connected Deaths for Veterans' Dependents (1969B)

## 64.103

Life Insurance for Veterans and Servicemen (1967B)

Life Insurance for Veterans (1970B)

## 64.104

Veterans Disability Pension (1965B)

Pension for Nonservice-Connected Disability for Veterans (1969B)

## 64.105

Veterans' Death Pension (1965B)

Pension for Veterans Widows and Children (1969B)

Pension for Veterans Widows or Widowers and Children (1976B)

Pension to Veterans Surviving Spouses, and Children (1980U1)

## 64.106

Specially Adapted Veterans Housing (1967B)

Specially Adapted Housing for Disabled Veterans (1970B)

## 64.107

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Veterans Assistance Centers (1969B)  
Archived (1977U)

## 64.108

Veterans' Business Loans (1967B)  
Veterans Business Loans\_Guaranteed and Insured  
Loans (1970B)  
Archived (1975B)

## 64.109

Veterans' Disability Compensation (1965B)  
Veterans Compensation for Service-Connected  
Disability (1970B)

## 64.110

Veterans' Dependency and Indemnity  
Compensation (1965B)  
Dependency, Indemnity, and Death Compensation  
to Veterans' Dependents (1967B)  
Veterans Dependency and Indemnity  
Compensation for Service-Connected Death  
(1970B)

## 64.111

Educational Assistance for Veterans (1969B)  
Veterans Educational Assistance (1970B)  
Archived (1990B)

## 64.112

Veterans Farm Loans (1969B)  
Archived (1975B)

## 64.113

Veterans Housing\_Direct Loans and Advances  
(1970B)  
Archived (1981B)

## 64.114

Veterans' Home Loans (1965B)  
Veterans Housing\_Guaranteed and Insured Loans  
(1970B)

## 64.115

Veterans Information and Assistance (1967B)

## 64.116

Vocational Rehabilitation Training for Disabled  
Veterans (1965B)  
Vocational Rehabilitation for Disabled Veterans  
(1970B)

## 64.117

War Orphans Education Program (1965B)  
War Orphans and Widows Educational Assistance  
(1970B)  
Dependents Educational Assistance (1974B)

## 64.118

Veterans Housing\_Direct Loans for Disabled  
Veterans (1971B)

Veterans Housing\_Direct Loans for Certain  
Disabled Veterans (1998B)

## 64.119

Veterans Housing\_Mobile Home Loans (1971B)  
Veterans Housing\_Manufactured Home Loans  
(1983B)

## 64.120

Post-Vietnam Era Veterans' Educational Assistance  
(1977B)

## 64.121

Emergency Veterans Job Training (1984B)  
Veterans' Job Training Act (1986B)  
Archived (1990U)

## 64.122

Vocational Rehabilitation for Service-Disabled  
Veterans Receiving Unemployability VA  
Compensation (1985B)  
Archived (1991U)

## 64.123

Vocational Training for Certain Veterans Receiving  
VA Pension (1985B)

## 64.124

All-Volunteer Force Educational Assistance  
(1986B)

## 64.125

Vocational and Educational Counseling for  
Servicemembers and Veterans (1992B)

## 64.126

Native American Veteran Direct Loan Program  
(1993B)

## 64.127

Monthly Allowance Under 38 U.S.C. 1805 for a  
Child Born with Spina Bifida Who Is a Child of a  
Vietnam Veteran (1997B)  
Monthly Allowance for Children of Vietnam  
Veterans Born with Spina Bifida (1997U)

## 64.128

Vocational Training and Rehabilitation for Vietnam  
Veterans' Children with Spina Bifida (1997U)  
Vocational Training and Rehabilitation for Vietnam  
Veteran's Children with Spina Bifida or Other  
Covered Birth Defects (2002B)

## 64.200

Memorial Plots in National Cemeteries (1973U)  
Transferred from 12.200 (1973U)  
Memorial Plots and Markers in National  
Cemeteries (1974B)  
Memorial Plots and Memorial Markers (1979B)  
Consolidated into 64.201, 64.202 (1990B)

## 64.201

National Cemeteries (1973U)  
Transferred from 12.201 (1973U)

## 64.202

Procurement of Headstones and Markers (1973U)  
Transferred from 12.202 (1973U)  
Procurement of Headstones and Markers and/or  
Presidential Memorial Certificates (1991U)

## 64.203

State Cemetery Grants (1979U2)

## WATER RESOURCES COUNCIL

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### 65.001

Water Resources Planning (1967B)  
Archived (1983B)

## ENVIRONMENTAL PROTECTION AGENCY

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### 66.001

Air Pollution Control Program Grants (1971B)  
Transferred from 13.001 (1971B)  
Air Pollution Control Program Support (1985U)

### 66.002

Air Pollution Fellowships (1971B)  
Transferred from 13.002 (1971B)  
Air Pollution Control Fellowships (1976B)  
Archived (1979B)

### 66.003

Air Pollution Manpower Training Grants (1971B)  
Transferred from 13.003 (1971B)  
Air Pollution Control Manpower Training Grants  
(1976B)  
Air Pollution Control Manpower Training (1985U)  
Archived (1999U)

### 66.004

Air Pollution Research Grants (1971B)  
Transferred from 13.004 (1971B)  
Air Pollution Control Research Grants (1972B)  
Number changed to 66.501 (1973B)

### 66.005

Air Pollution Survey and Demonstration Grants  
(1971B)  
Transferred from 13.005 (1971B)  
Air Pollution Control Survey and Demonstration  
Grants (1976B)  
Archived (1979B)

### 66.006

Air Pollution Control Technical Training (1971U)  
Air Pollution Control\_Technical Training (1973B)  
Archived (1998B)

### 66.007

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Air Pollution Control National Aerometric Data Information (1971U)

Air Pollution Control\_National Ambient Air and Source Emission Data (1972U)

Archived (1996U)

### 66.008

Air Pollution Control Technical Assistance (1971U)

Air Pollution Control\_Technical Assistance (1973B)

Archived (1985B)

### 66.009

Air Pollution Control Technical Information (1971U)

Air Pollution Control\_Technical Information Services (1973B)

Air Pollution\_Technical Information Services (1986B)

Air Information Center (1987U)

Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003)

Protection of Children and Older Adults (Elderly) from Environmental Health Risks (2004)

Deleted (2005)

### 66.010

Air Pollution Control\_Interstate Cooperation and Uniform Laws (1972B)

Archived (1973U)

### 66.011

Solid Waste Technical Assistance, Training, and Information Services (1974B)

Number changed from 66.304 (1974B)

Solid Waste Technical Assistance, and Information Services (1975B)

Solid Waste Disposal Technical Assistance, and Information Services (1976B)

Solid Waste Management Technical Assistance, and Information Services (1976U)

Number changed to 66.450 (1977U)

### 66.012

Water Pollution Control Data Publications Services (1973B)

Number changed from 66.402 (1973B)

Number changed to 66.416 (1974B)

### 66.013

Water Pollution Control\_Direct Training (1973B)

Number changed from 66.403 (1973B)

Number changed to 66.417 (1974B)

### 66.014

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1973B)

Number changed from 66.404 (1973B)

Incorporated into 66.650 (1973U)

### 66.015

Construction Grants for Wastewater Treatment Works (1973B)

Number changed from 66.400 (1973B)

Number changed to 66.418 (1974B)

### 66.017

Water Pollution Control\_State and Interstate Program Grants (1973B)

Number changed from 66.407 (1973B)

Number changed to 66.419 (1974B)

### 66.018

Water Pollution Control\_State and Local Manpower Development (1973B)

Number changed from 66.408 (1973B)

Number changed to 66.420 (1974B)

### 66.019

Water Pollution Control\_Technical Assistance and Criteria Development (1973B)

Number changed from 66.409 (1973B)

Archived (1974B)

### 66.020

Water Pollution Control\_Training Grants (1973B)

Number changed from 66.410 (1973B)

Number changed to 66.421 (1974B)

### 66.021

Water Quality Control\_Monitoring Assistance (1973B)

Number changed from 66.411 (1973B)

Number changed to 66.422 (1974B)

### 66.022

Water Quality Control Information System\_Orientation and Training Seminars (1973B)

Number changed from 66.412 (1973B)

Number changed to 66.423 (1974B)

### 66.023

Water Quality Management Technical Planning Assistance (1973B)

Number changed from 66.413 (1973B)

Archived (1974B)

### 66.025

Drinking Water Supply\_Technical Assistance (1973B)

Number changed from 66.415 (1973B)

Number changed to 66.425 (1974B)

### 66.026

Solid Waste Training Grants (1975B)

Solid Waste Disposal Training Grants (1976B)

Number changed to 66.453 (1977U)

### 66.027

Solid Waste Demonstration and Planning Grants (1975B)

Solid Waste Planning Grants (1975U)

Split into 66.027, 66.028 (1975U)

Solid Waste Disposal Planning Grants (1976B)

Number changed to 66.451 (1977U)

### 66.028

Solid Waste Demonstration Grants (1975U)

Split from 66.027 (1975U)

Solid Waste Disposal Demonstration Grants (1976B)

Number changed to 66.452 (1977U)

### 66.030

Noise Pollution Control\_Technical Assistance (1976B)

Archived (1981U)

### 66.031

Quiet Communities\_State and Local Capacity Building Assistance (1979B)

Archived (1981U)

### 66.032

State Indoor Radon Grants (1989U)

### 66.033

Ozone Transport (1997U)

Ozone Transport Commission (2006)

### 66.034

Surveys, Studies Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2002B)

Surveys Studies, Investigations Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2003B)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (2008)

### 66.035

Community Action for a Renewed Environment (CARE) Program (2005)

### 66.036

Clean School Bus USA (2005)

### 66.037

Internships, Training, Workshops and Fellowships for the Office of Air and Radiation (2006)

Internships, Training and Workshops for the Office of Air and Radiation (2008)

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- 66.038**  
Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (2008)
- 66.039**  
National Clean Diesel Funding Assistance Program (2008)
- 66.040**  
State Clean Diesel Grant Program (2008)
- 66.041**  
Climate Showcase Communities Grant Program (2009)
- 66.100**  
Pesticides Research Grants (1971B)  
Transferred from 13.102 (1971B)  
Number changed to 66.502 (1973B)
- 66.101**  
Pesticides Science and Technology\_Technical Information (1971U)  
Number changed to 66.427 (1974B)
- 66.110**  
Healthy Communities Grant Program (2005)
- 66.111**  
Regional Environmental Priority Projects (2005)
- 66.112**  
Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (2008)  
Archived (2009)
- 66.113**  
Region 3 Environmental Priority Projects (2006)
- 66.114**  
Environmental Protection Consolidated Grants-Program Support (2006)
- 66.115**  
Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (2006)
- 66.116**  
Regional Geographic Initiative/Environmental Priority Projects (2006)  
Archived (2009)
- 66.117**  
Region 9 multi-media and geographic priority projects (2007)
- Region 9 Multi-Media and Geographic Priority Projects (2009)
- 66.119**  
West Coast Estuaries Initiative (2008)
- 66.120**  
Puget Sound Watershed Management Assistance (2009)
- 66.121**  
Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (2009)
- 66.122**  
Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (2009)
- 66.123**  
Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (2009)
- 66.200**  
Radiation Research Grants (1971B)  
Split/Transferred from 13.012 (1971B)  
Number changed to 66.503 (1973B)
- 66.201**  
Radiation Training Grants (1971B)  
Split/Transferred from 13.013 (1971B)  
Archived (1973U)
- 66.202**  
Congressionally Mandated Projects (2006)
- 66.203**  
Environmental Finance Center Grants (2008)
- 66.300**  
Solid Waste Demonstration and Resource Recovery System Grants (1971B)  
Transferred from 13.014 (1971B)  
Archived (1973B)
- 66.301**  
Solid Waste Planning Grants (1971B)  
Transferred from 13.015 (1971B)  
Archived (1973B)
- 66.302**  
Solid Waste Research Grants (1971B)  
Transferred from 13.016 (1971B)  
Number changed to 66.504 (1973B)
- 66.303**  
Solid Waste Training Grants (1971B)  
Transferred from 13.017 (1971B)  
Archived (1973B)
- 66.304**  
Solid Waste Technical Assistance, Training, and Information Services (1971U)  
Number changed to 66.011 (1974B)
- 66.305**  
Compliance Assistance\_Support for Services to the Regulated Community and Other Assistance Providers (2002U)  
66.476 Security Planning Grants for Large Drinking Water Utilities (2002U)  
Reinstated - Compliance Assistance\_Support for Services to the Regulated Community and Other Assistance Providers (2003)  
Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005)  
Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005)
- 66.306**  
Environmental Justice Collaborative Problem-Solving Grants Program (2004)  
Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005)  
Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005)  
Archived (2009)
- 66.307**  
Environmental Justice Training and Fellowship Assistance (2005)
- 66.308**  
Environmental Justice Research Assistance (2005)
- 66.309**  
Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (2005)
- 66.310**  
Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (2005)
- 66.311**  
Assistance to Non-Profit Organizations with Activities Relating to Environmental Justice (2006)
- 66.312**  
State Environmental Justice Cooperative Agreement Program (2008)
- 66.400**  
Construction Grants for Wastewater Treatment Works (1971B)



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Transferred from 15.700 (1971B)  
Number changed to 66.015 (1973B)

### 66.401

Water Pollution Control Comprehensive Basin Planning Grants (1971B)  
Transferred from 15.701 (1971B)  
Water Pollution Control\_Comprehensive Basin Planning Grants (1972B)  
Archived (1973B)

### 66.402

Water Pollution Control Data Publications Services (1971B)  
Transferred from 15.702 (1971B)  
Number changed to 66.012 (1973B)

### 66.403

Water Pollution Control\_Direct Training (1971B)  
Transferred from 15.703 (1971B)  
Number changed to 66.013 (1973B)

### 66.404

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1971B)  
Transferred from 15.704 (1971B)  
Number changed to 66.014 (1973B)

### 66.405

Water Pollution Control\_Research, Development, and Demonstration Grants (1971B)  
Transferred from 15.705 (1971B)  
Water Pollution Control\_Research, Development, and Demonstration (1972B)  
Number changed to 66.505 (1973B)

### 66.406

Water Pollution Control Research Fellowships (1971B)  
Transferred from 15.706 (1971B)  
Archived (1973B)

### 66.407

Water Pollution Control\_State and Interstate Program Grants (1971B)  
Transferred from 15.707 (1971B)  
Number changed to 66.017 (1973B)

### 66.408

Water Pollution Control\_State and Local Manpower Development (1971B)  
Transferred from 15.708 (1971B)  
Number changed to 66.018 (1973B)

### 66.409

Water Pollution Control\_Technical Assistance and Pollution Surveillance (1971B)  
Transferred from 15.709 (1971B)  
Number changed to 66.019 (1973B)

### 66.410

Water Pollution Control Training Grants (1971B)  
Transferred from 15.710 (1971B)  
Number changed to 66.020 (1973B)

### 66.411

Water Quality Control Information System (1971B)  
Transferred from 15.711 (1971B)  
Number changed to 66.021 (1973B)

### 66.412

Water Quality and Pollution Control\_Orientation and Training Seminars (1971B)  
Transferred from 15.712 (1971B)  
Number changed to 66.022 (1973B)

### 66.413

Water Quality Management Technical Planning Assistance (1971B)  
Transferred from 15.713 (1971B)  
Number changed to 66.023 (1973B)

### 66.414

Water Hygiene Research Grants (1971B)  
Transferred from 13.018 (1971B)  
Incorporated into 66.405 (1972B)

### 66.415

Drinking Water Supply\_Technical Assistance (1972B)  
Number changed to 66.025 (1973B)

### 66.416

Water Pollution Control\_Data Publications Services (1974B)  
Number changed from 66.012 (1974B)  
Incorporated into 66.423 (1977B)

### 66.417

Water Pollution Control\_Direct Training (1974B)  
Number changed from 66.013 (1974B)  
Archived (1982B)

### 66.418

Construction Grants for Wastewater Treatment Works (1974B)  
Number changed from 66.015 (1974B)  
Archived (1992B)  
Reinstated (2000U)

### 66.419

Water Pollution Control\_State and Interstate Program Grants (1974B)  
Number changed from 66.017 (1974B)  
Water Pollution Control State and Interstate Program Support (1985U)  
Water Pollution Control State and Interstate Program Support (2004)  
Water Pollution Control State and Interstate Program Support (2004)

Water Pollution Control State, Interstate, and Tribal Program Support (2006)

### 66.420

Water Pollution Control\_State and Local Manpower Development (1974B)  
Number changed from 66.018 (1974B)  
Water Pollution Control\_State and Local Manpower Program Development (1976B)  
Archived (1981U)

### 66.421

Water Pollution Control\_Training Grants (1974B)  
Number changed from 66.020 (1974B)  
Split into 66.428, 66.429 (1974U)

### 66.422

Water Quality Control\_Monitoring Assistance (1974B)  
Number changed from 66.021 (1974B)  
Incorporated into 66.423 (1977B)

### 66.423

Water Quality Control Information System\_Orientation and Training Seminars (1974B)  
Number changed from 66.022 (1974B)  
Water Quality Control Information System\_Orientation/Training Seminars, Data and Monitoring Publications (1977B)  
Archived (1997B)

### 66.424

Surveys, Studies, Demonstrations and Special Purpose\_Section 1442 of the Safe Drinking Water Act (2003B)  
Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)  
Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (2008)

### 66.425

Drinking Water Supply\_Technical Assistance (1974B)  
Number changed from 66.025 (1974B)  
Archived (1983U)

### 66.426

Water Pollution Control\_Area Waste Treatment Management Planning Grants (1974B)  
Water Pollution Control\_State and Areawide Waste Treatment Management Planning Grants (1976U)  
Water Pollution Control\_State and Areawide Water Quality Management Planning Agency (1977B)  
Archived (1983B)

### 66.427

Pesticides Science and Technology\_Technical Information (1974B)

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Number changed from 66.101 (1974B)  
Archived (1979B)

### 66.428

Water Pollution Control\_Professional Training Grants (1974U)  
Split from 66.421 (1974U)  
Archived (1982B)

### 66.429

Water Pollution Control\_Technical Training Grants (1974U)  
Split from 66.421 (1974U)  
Archived (1981B)

### 66.430

Water Pollution Control Fellowships (1974U)  
Archived (1981U)

### 66.431

Water Pollution Control Loans (1974U)  
Transferred/Incorporated into 59.024 (1979B)

### 66.432

Grants for State Public Water System Supervision Programs (1975U)  
Public Water System Supervision\_State Program Grants (1976B)  
State Public Water System Supervision Program Grants (1976U)  
State Public Water System Supervision (1985U)

### 66.433

Grants for Underground Injection Control Programs (1975U)  
Underground Water Source Protection\_State Program Grants (1976B)  
State Underground Water Source Protection Program Grants (1976U)  
State Underground Water Source Protection\_Program Grants (1981B)  
State Underground Water Source Protection (1985U)

### 66.434

Safe Drinking Water\_State and Local Program Development Grants (1976U)  
Archived (1979B)

### 66.435

Water Pollution Control\_Lake Restoration Demonstration Grants (1976U)  
Water Pollution Control\_Lake Restoration Cooperative Agreements (1980U)  
Archived (1981U)  
Reinstated (1987U)  
Archived (1998B)

### 66.436

Surveys, Studies, Investigations, Demonstrations and Training Grants and Cooperative

Agreements\_Section 1442 of the Clean Water Act (2003B)  
Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)

### 66.437

Long Island Sound Program (2004)

### 66.438

Construction Management Assistance Grants (1978U)  
Construction Management Assistance (1985U)  
Archived (1998B)

### 66.439

Targeted Watershed Initiative (2003B)  
Targeted Watershed Grants (2004)  
Targeted Watersheds Grants (2006)

### 66.450

Solid Waste Management Technical Assistance and Information Services (1977U)  
Number changed from 66.011 (1977U)  
Archived (1981U)

### 66.451

Solid and Hazardous Waste Management Program Support Grants (1977U)  
Number changed from 66.027 (1977U)  
Hazardous Waste Management Program Support Grants (1981U)  
Hazardous Waste Management Financial Assistance to States (1982B)  
Number changed to 66.801 (1983B)

### 66.452

Solid Waste Management Demonstration Grants (1977U)  
Number changed from 66.028 (1977U)  
Archived (1981B)

### 66.453

Solid Waste Management Training Grants (1977U)  
Number changed from 66.026 (1977U)  
Archived (1981U)

### 66.454

Water Quality Management Planning (1983B)

### 66.455

Marine Combined Sewer Overflow Special Fund (1984B)  
Construction Grants for Wastewater Treatment Works for Combined Sewer Overflows (1985U)  
Archived (1986B)  
Construction Grants for Abatement of Combined Sewer Overflow Pollution in Marine Bays and Estuaries, Reinstated (1988U)  
Archived (1989U)

### 66.456

Comprehensive Estuarine Management (1985U)  
National Estuary Program (1987U)

### 66.458

Capitalization Grants for State Revolving Funds (1988B)  
Capitalization Grants for Clean Water State Revolving Funds (2003B)

### 66.459

Nonpoint Source Reservation (1988B)  
Archived (1991B)

### 66.460

Nonpoint Source Implementation (1990B)  
Archived (1991B)  
Nonpoint Source Implementation Grants (1993B)

### 66.461

Wetlands Protection\_State Development Grants (1989U)  
Wetlands Protection\_State and Tribal Development Grants (1995U)  
Wetlands Protection\_Development Grants (1997B)  
Wetlands Grants (2000U)  
Wetland Program Development Grants (2003B)  
Regional Wetland Program Development Grants (2005)  
Regional Wetland Program Development Grants (2005)

### 66.462

National Wetland Program Development Grants (2005)  
National Wetland Program Development Grants and Five-Star Restoration Training Grant (2008)

### 66.463

National Pollutant Discharge Elimination System Related State Program Grants (1991U)  
Water Quality Cooperative Agreements (2000U)

### 66.464

Near Coastal Waters (1991U)  
Archived (1994B)

### 66.465

Wellhead Protection Demonstration Projects (1994B)  
Archived (1995B)

### 66.466

Chesapeake Bay Program (1994B)  
Chesapeake Bay Program (2005)  
Chesapeake Bay Program (2005)

### 66.467

Wastewater Operator Training Grant Program (Technical Assistance) (1994U)

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Wastewater Operator Training Grant Program (2009)

### 66.468

Capitalization Grants for Drinking Water State Revolving Fund (1997B)

### 66.469

Great Lakes Program (1997B)

### 66.470

Hardship Grants Program for Rural Communities (1997B)

Archived (1998B)

### 66.471

State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (2001B)

### 66.472

Beach Monitoring and Notification Program Development Grants (2001B)

Beach Monitoring and Notification Program Implementation Grants (2003B)

### 66.473

Direct Implementation Tribal Cooperative Agreements (2001U)

### 66.474

Water Protection Coordination Grants to States (2002B)

Water Protection Grants to the States (2003B)

### 66.475

Gulf of Mexico Program (2002B)

### 66.476

Vulnerability Assessments and Related Security Improvements at Large Drinking Water Utilities (2003B)

Security Planning Grants for Large Drinking Water Utilities (2004)

Deleted (2005)

### 66.477

Security Grants for Privately-Owned Water Utilities (2002U)

### 66.478

Water Security Training and Technical Assistance Grant Program (2003B)

Water Security Training and Technical Assistance (2004)

Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (2007)

### 66.479

Wetland Program Grants - State/Tribal

Environmental Outcome Wetland Demonstration Program (2005)

### 66.480

Assessment and Watershed Protection Program Grants (2005)

### 66.481

Lake Champlain Basin Program (2005)

### 66.500

Environmental Protection\_Comprehensive Research Grants (1972U)

Environmental Protection\_Consolidated Research Grants (1974U)

Environmental Protection\_Consolidated Research (1985U)

Consolidated from 66.501, 66.502, 66.504, 66.505, 66.506, 66.507 (1997B)

Environmental Protection Consolidated Research (2002B)

Environmental Protection\_Consolidated Research (2003B)

Deleted (2005)

Deleted (2005)

### 66.501

Air Pollution Control Research Grants (1973B)

Number changed from 66.004 (1973B)

Air Pollution Control Research (1985U)

Consolidated into 66.500 (1997B)

### 66.502

Pesticides Research Grants (1973B)

Number changed from 66.100 (1973B)

Pesticides Control Research Grants (1976B)

Pesticides Control Research (1985U)

Consolidated into 66.500 (1997B)

### 66.503

Radiation Research Grants (1973B)

Number changed from 66.200 (1973B)

Archived (1977B)

### 66.504

Solid Waste Research Grants (1973B)

Number changed from 66.302 (1973B)

Solid Waste Disposal Research Grants (1976B)

Solid Waste Disposal Research (1985U)

Consolidated into 66.500 (1997B)

### 66.505

Water Pollution Control\_Research, Development, and Demonstration (1973B)

Number changed from 66.405 (1973B)

Water Pollution Control\_Research, Development, and Demonstration Grants (1975B)

Wastewater Pollution Control\_Research, Development, and Demonstration (1985U)

Consolidated into 66.500 (1997B)

### 66.506

Water Supply Research Grants (1973B)

Water Research and Demonstration Grants (1975U)

Safe Drinking Water Research and Demonstration (1985U)

Consolidated into 66.500 (1997B)

### 66.507

Toxic Substances Research Grants (1978B)

Toxic Substances Research (1985U)

Consolidated into 66.500 (1997B)

### 66.508

Senior Environmental Employment Program (1986B)

### 66.509

Science To Achieve Results (STAR) Program (2002U)

Science To Achieve Results (STAR) Research Program (2005)

Science To Achieve Results (STAR) Research Program (2005)

### 66.510

Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (2003B)

### 66.511

Consolidated Research (2002U)

66.511, 66.610 Surveys, Studies, Investigations and Special Purpose Grants (2002U)

Office of Research and Development Consolidated Research (2003)

Office of Research and Development Consolidated Research/Training (2005)

Office of Research and Development Consolidated Research/Training (2005)

Office of Research and Development Consolidated Research/Training/Fellowships (2008)

### 66.512

Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (2005)

### 66.513

Greater Research Opportunities Fellowship Program (2004)

Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (2006)

Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (2009)

### 66.514

Science To Achieve Results (STAR) Fellowship Program (2004)

### 66.515

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Greater Opportunities Research Program (2004)  
Greater Opportunities: Research Program (2005)  
Greater Research Opportunities (GRO) Research Program (2008)  
Archived (2009)

### 66.516

National Student Design Competition for Sustainability (2004)  
P3 Award: National Student Design Competition for Sustainability (2004)

### 66.517

Regional Applied Research Efforts (RARE) (2007)

### 66.518

State Senior Environmental Employment Program (2005)

### 66.600

Environmental Protection\_Consolidated Program Grants (1973B)  
Environmental Protection\_Consolidated Program Support Grants (1975U)  
Environmental Protection Consolidated Grants\_Program Support (1976B)  
Environmental Protection Consolidated Grants-Program Support (2004)  
Environmental Protection Consolidated Grants for the Insular Areas - Program Support (2008)

### 66.601

Environmental Financing Authority (1974U)  
Archived (1975U)

### 66.602

Environmental Protection\_Consolidated Special Purpose Grants (1975U)  
Environmental Protection Consolidated Grants\_Special Purpose (1976B)  
Incorporated into 66.600 (1982B)

### 66.603

Loan Guarantees for Construction of Treatment Works (1978U)

### 66.604

Environmental Justice Grants to Small Community Groups (1994B)  
Environmental Justice Small Grant Program (2005)  
Environmental Justice Small Grant Program (2005)

### 66.605

Performance Partnership Grants (1997B)

### 66.606

Surveys, Studies, Investigations and Special Purpose Grants (1997B)

Incorporated into 66.202 (2006)

### 66.607

Training and Fellowships for the Environmental Protection Agency (1997B)

### 66.608

One Stop Reporting (1997U)  
State Information Grants (2002B)  
Environmental Information Exchange Network Grant Program and Related Assistance (2005)

### 66.609

Protection of Children And The Aging (Or Edlerly Population) (2003B)  
Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003B)

### 66.610

Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (2003B)

### 66.611

Environmental Policy and Innovation Grants (2002U)

### 66.612

Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (2007)

### 66.650

Environmental Protection\_Interstate Cooperation and Uniform Laws (1973U)  
Number changed from 66.014 (1973U)  
Archived (1978U)

### 66.651

Sustainable Development Challenge Grants (1997B)  
Innovative Community Partnership (2000B)  
Archived (2000U)

### 66.700

Pesticides Enforcement Program Grants (1977U)  
Pesticides Enforcement Program (1985U)  
Consolidated Pesticide Compliance Monitoring and Program Cooperative Agreements (1990B)  
Incorporated from 66.704 (1990B)  
Consolidated Pesticide Enforcement Cooperative Agreements (1997B)

### 66.701

Toxic Substances Compliance Monitoring Cooperative Agreements (1984U)  
Toxic Substances Compliance Monitoring Program (1989U)  
Toxic Substances Compliance Monitoring

Cooperative Agreements (1995B)

### 66.702

Asbestos Hazard Abatement School Assistance Program (1984U)  
Asbestos Hazards Abatement (Schools) Assistance (1985U)  
Archived (1994B)

### 66.703

Asbestos Inspection and Management Plan Assistance (1987U)  
Archived (1989B)

### 66.704

Pesticides Certification Program (1988U)  
Incorporated into 66.700 (1990B)

### 66.705

Toxic Release Inventory Data Quality Assurance Program (1990B)  
Toxic Release Inventory Data Quality Capabilities Program (1991B)  
Archived (1992B)

### 66.706

Enhancement Grants for State Asbestos Programs (1991B)  
Archived (1994B)

### 66.707

TSCA Title IV State Lead Grants\_Certification of Lead- Based Paint Professionals (1994B)  
TSCA Title IV State Lead Grants Certification of Lead\_Based Paint Professionals (2003B)  
TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005)  
TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005)

### 66.708

Pollution Prevention Grants Program  
Number changed from 66.900 (1994B)  
Revised (1997U)

### 66.709

Capacity Building Grants and Cooperative Agreements for States and Tribes (2001B)  
Multi-Media Capacity Building Grants for States and Tribes (2005)  
Multi-Media Capacity Building Grants for States and Tribes (2005)

### 66.710

Environmental Justice Community/University Partnership Grants Program (1997B)  
Archived (2001B)

### 66.711

Environmental Justice through Pollution Prevention Grants (1999B)

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Archived (2002B)

### 66.713

State and Tribal Environmental Justice (1998B)  
Archived (2001B)

### 66.714

Pesticide Environmental Stewardship\_Regional Grants (1999U)  
Pesticide Environmental Stewardship Regional Grants (2003B)  
Pesticide Environmental Stewardship\_Regional Grants (2004)  
Pesticide Environmental Stewardship Regional Grants (2005)  
Pesticide Environmental Stewardship Regional Grants (2005)

### 66.715

Childhood Blood-Lead Screening and Lead Awareness (Educational) Outreach for Indian Tribes (2001B)  
Tribal Educational Outreach on Lead Poisoning and Baseline Assessment of Tribal Children's Existing and Potential Exposure and Risks Associated With Lead (2006)  
Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (2008)

### 66.716

Surveys, Studies, Investigations, Training and Demonstrations and Educational Outreach (2003B)  
Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (2008)

### 66.717

Source Reduction Assistance (2002U)

### 66.718

National Community-Based Lead Outreach and Training Grant Program (2007)

### 66.800

State Toxic Substances Control Projects (1979B)  
Archived (1981B)

### 66.801

Hazardous Waste Management Financial Assistance to States (1983B)  
Number changed from 66.451 (1983B)  
Hazardous Waste Management State Program Support (1985U)

### 66.802

Hazardous Substance Response Trust Fund (1983B)  
Superfund State Site\_Specific Cooperative Agreements (1994U)  
Superfund State, Political Subdivision, and Indian

Tribe Site\_Specific Cooperative Agreements (2002B)

Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (2009)

### 66.803

Hazardous Waste Management Financial Assistance (1984U)  
Archived (1985B)

### 66.804

State Underground Storage Tanks Program (1985U)  
State and Tribal Underground Storage Tanks Program (2000B)  
Underground Storage Tank Prevention, Detection and Compliance Program (2009)

### 66.805

Underground Storage Tank Trust Fund Program (1987B)  
Leaking Underground Storage Tank Trust Fund Program (1995B)  
Leaking Underground Storage Tank\_Trust Fund (2002B)  
Leaking Underground Storage Tank Trust Fund Program (2003B)  
Leaking Underground Storage Tank Trust Fund Corrective Action Program (2009)

### 66.806

Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (1988B)  
Superfund Technical Assistance Grants (Tag) for Citizen Groups at Priority Sites (2002B)  
Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (2003B)  
Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (2004)

### 66.807

Superfund Innovative Technology Evaluation Program (1988B)  
Deleted (2004)

### 66.808

Solid Waste Management Assistance (1989U)  
Solid Waste Management Assistance Grants (2005)  
Solid Waste Management Assistance Grants (2005)

### 66.809

Core Program Cooperative Agreements (1991B)  
Superfund State Core Program Cooperative Agreements (1994U)  
Superfund State and Indian Tribe Core Program\_Cooperative Agreements (2002B)  
Superfund State and Indian Tribe Core Program Cooperative Agreements (2003B)

### 66.810

Emergency Planning and Community Right-to-Know Technical Assistance Grants (1993U)  
Technical Assistance Grants Program (1994U)  
CEPP Technical Assistance Grants Program (1995U)  
Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (2003B)

### 66.811

Brownfield Pilots Cooperative Agreements (1997B)  
Revised (1998U)

### 66.812

Hazardous Waste Management Grants for Tribes (2002B)  
Tribal Hazardous Waste Grants (2003B)  
Hazardous Waste Management Grant Program for Tribes (2005)  
Hazardous Waste Management Grant Program for Tribes (2005)

### 66.813

Alternative/Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (2002U)

### 66.814

Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (2003B)

### 66.815

Brownfield Job Training Cooperative Agreements (2003B)

### 66.816

Headquarter and Regional Underground Storage Tanks (2002U)  
Headquarters and Regional Underground Storage Tanks Program (2005)  
Headquarters and Regional Underground Storage Tanks Program (2005)  
Headquarters and Regional Underground Storage Tanks Program (2005)

### 66.817

State and Tribal Response Program Grants (2002U)

### 66.818

Brownfield Assessment and Cleanup Cooperative Agreements (2002U)

### 66.900

Pollution Prevention Incentives for States (1989U)  
Pollution Prevention Grants Program (1991U)  
Number changed to 66.708 (1994B)

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## 66.925

State/EPA Data Management Financial Assistance Program (1991B)  
Archived (1993U)

## 66.926

Indian Environmental General Assistance Program (1993U)  
Indian Environmental General Assistance Program (GAP) (2003B)

## 66.930

U.S.-Mexico Border Grants Program (1997B)  
Archived (2002B)

## 66.931

International Financial Assistance Projects (2002U)  
Agency Request (2009)  
International Financial Assistance Projects  
Sponsored by the Office of International Affairs (2009)

## 66.940

Environmental Policy and State Innovation Grants (2005)

## 66.950

Environmental Education and Training Program (1992B)  
Environmental Education Training Program (2009)

## 66.951

Environmental Education Grants (1992B)

## 66.952

National Network for Environmental Management Studies Fellowship Program (2005)

## NATIONAL COUNCIL ON INDIAN OPPORTUNITY

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### 67.001

Indian Information and Counseling (1971B)  
Indian Advice and Special Services (1973B)  
Archived (1974B)

## NATIONAL GALLERY OF ART

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### 68.001

National Gallery of Art Extension Service (1971B)

## OFFICE OF CONSUMER AFFAIRS

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### 69.001

Consumer Affairs (1971B)  
Transferred from 52.500 (1971B)  
Archived (1973B)

## OVERSEAS PRIVATE INVESTMENT CORPORATION

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### 70.001

Foreign Currency Loans (1971B)  
Transferred from 19.001 (1971B)

Archived (1979B)

### 70.002

Foreign Investment Guaranties (1971B)  
Transferred from 19.004 (1971B)  
Foreign Investment Financing (1994B)

### 70.003

Foreign Investment Insurance (1971B)  
Transferred from 19.005 (1971B)

### 70.004

Pre-Investment Assistance (1971B)  
Archived (1986U)

### 70.005

Direct Investment Loans (1971B)  
Consolidated into 70.002 (1994B)

## FEDERAL HOME LOAN BANK BOARD

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### 71.001

Housing Opportunity Allowance Program (1971B)  
Archived (1972B)

## ACTION

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### 72.001

Foster Grandparents (1971U)  
The Foster Grandparents Program (1973B)  
The Foster Grandparent Program (1977B)  
Foster Grandparent Program (1984B)  
Number changed to 94.011 (1995B)

### 72.002

Retired Senior Volunteers (1971U)  
Retired Senior Volunteer Program (1973B)  
Number changed to 94.002 (1995B)

### 72.003

Volunteers in Service to America (1971U)  
Number changed to 94.013 (1995B)

### 72.004

University Year for ACTION (1973B)  
Archived (1981U)

### 72.005

National Student Volunteer Program (1973B)  
National Center for Service-Learning (1979U1)  
Service-Learning Programs (1983B)  
Student Community Service Program (1989U)  
Archived (1994B)

### 72.006

Service Corps of Retired Executives/Active Corps of Executives (1972U)  
Service Corps of Retired Executives and Active Corps of Executives (1973B)  
Transferred to 59.026 (1976B)

### 72.007

ACTION Cooperative Volunteer Program (1974B)  
Incorporated into 72.003 (1976U)

### 72.008

The Senior Companion Program (1974B)  
Senior Companion Program (1984B)  
Number changed to 94.016 (1995B)

### 72.009

The Youth Challenge Program (1975B)  
Archived (1979B)

### 72.010

Mini-Grant Program (1976B)  
Archived (1992B)

### 72.011

State Volunteer Services Coordinator Program (1977B)  
State Office of Voluntary Citizen Participation (1979U1)  
State Office of Voluntarism (1986B)  
Archived (1989U)

### 72.012

Special Volunteer Programs (1979U1)  
Volunteer Demonstration Program (1981U)  
Archived (1991B)

### 72.013

Support Services Assistance (1980U1)  
Technical Assistance Program (1981U)  
Archived (1991B)

### 72.014

Drug Alliance (1989B)  
Archived (1994B)

### 72.015

Literacy Corps (1989B)  
Number changed to 94.010 (1995B)

## SPECIAL ACTION OFFICE FOR DRUG ABUSE PREVENTION

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### 73.001

Drug Abuse Prevention\_Pharmacological Research (1973U)  
Archived (1975B)

### 73.002

Drug Abuse Prevention\_Planning and Coordinating Functions (1973U)  
Archived (1975B)

### 73.003

Drug Abuse Prevention\_Incentives Program (1973U)  
Archived (1975B)

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## **AMERICAN REVOLUTION BICENTENNIAL ADMINISTRATION**

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### **74.001**

Bicentennial Administration\_Matching Project Grants (Non-Appropriated) (1974B)  
Archived (1976B)

### **74.002**

Bicentennial Administration\_Matching Project Grants (Appropriated) (1974B)  
Archived (1976B)

### **74.003**

Bicentennial Administration\_Direct Grants (1974B)  
Archived (1976B)

## **OLD WEST REGIONAL COMMISSION**

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### **75.001**

Old West Regional Economic Development (1975B)  
Archived (1981U)

### **75.002**

Old West Technical and Planning Assistance (1975B)  
Archived (1981U)

### **75.003**

Old West Supplements to Federal Grant-in-Aid (1977B)  
Archived (1981U)

### **75.007**

Old West Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

## **PACIFIC NORTHWEST REGIONAL COMMISSION**

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### **76.001**

Pacific Northwest Economic Development (1975B)  
Pacific Northwest Regional Economic Development (1975U)  
Archived (1981U)

### **76.002**

Pacific Northwest Technical and Planning Assistance (1975B)  
Archived (1981U)

### **76.004**

Pacific Northwest Regional Transportation (1977U)  
Archived (1981U)

### **76.005**

Pacific Northwest Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **76.008**

Pacific Northwest Education Demonstration Projects (1977U)  
Archived (1981U)

## **NUCLEAR REGULATORY COMMISSION**

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### **77.001**

Radiation Control\_Training Assistance and Advisory Counseling (1975B)  
Transferred from 24.027 (1975B)  
Deleted (2004)

### **77.002**

Radiological Emergency Response\_Training Assistance (1979B)  
Tranferred to 83.402 (1980B)

### **77.003**

Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (1980U2)  
Archived (1995U)  
Reinstated (1997B)  
Archived (1998B)

### **77.004**

Enhance Technology Advancement of Nuclear Energy Safety (1980U2)  
Archived (1982B)

### **77.005**

Financial Assistance for NRC Local Public Document Rooms (LPDRs) (1990B)  
Deleted (2004)

### **77.006**

U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (2006)

### **77.007**

U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (2008)

### **77.008**

U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (2007)

### **77.009**

Office of Research Program (2009)  
U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (2009)

## **COMMODITY FUTURES TRADING COMMISSION**

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### **78.001**

Agricultural Futures Markets Supervision (1975U)  
Transferred from 10.100 (1975U)  
Split into 78.002, 78.004 (1977B)

### **78.002**

Commodity Futures Market Reports (1977B)  
Split from 78.001 (1977B)  
Archived (1985U)

### **78.003**

Commodity Futures Consumer Information (1977B)  
Archived (1981B)

### **78.004**

Commodity Futures Customer Inquiries, Complaints, and Reparation Claims (1977B)  
Split from 78.001 (1977B)  
Commodity Futures Reparations Claims (1979B)

## **SOUTHWEST BORDER REGIONAL COMMISSION**

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### **79.001**

Southwest Border Regional Economic Development (1977U)  
Archived (1981U)

### **79.002**

Southwest Border Technical and Planning Assistance (1977U)  
Archived (1981U)

## **FEDERAL ENERGY ADMINISTRATION**

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### **80.001**

State Energy Conservation Program (1976U)  
Transferred to 81.041 (1978B)

### **80.002**

Weatherization Assistance Program for Low-Income Persons (1977U)  
Transferred to 81.042 (1978B)

### **80.003**

Supplemental State Energy Conservation Program (1977U)  
Transferred to 81.043 (1978B)

## **DEPARTMENT OF ENERGY**

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### **81.001**

Access Permits (1978B)  
Transferred from 24.001 (1978B)  
Archived (1979U1)

### **81.002**

Motion Picture Film Libraries (1978B)  
Transferred from 24.002 (1978B)  
Archived (1983B)

### **81.003**

Granting of Patent Licenses (1978B)  
Transferred from 24.003 (1978B)

### **81.004**

University-Laboratory Cooperative Program (1978B)

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Transferred from 24.004 (1978B)  
Consolidated from 81.097 (1997B)  
Archived (1998B)

### 81.007

Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1978B)

Transferred from 24.007 (1978B)

Faculty Development Projects in Energy (1978U)  
Teacher Development Projects in Energy (1979B)  
Archived (1983U)

### 81.011

Reactor Sharing and Fuel Assistance (1978B)

Transferred from 24.011 (1978B)

University Reactor Fuel Assistance (1980B)

University Reactor Sharing and Fuel Assistance (1980U1)

Consolidated into 81.049 (1992B)

### 81.020

Traineeships for Graduate Students in Energy Related Fields (1978B)

Transferred from 24.020 (1978B)

Archived (1979B)

### 81.022

Energy-Related Laboratory Equipment Grants (1978B)

Transferred from 24.022 (1978B)

Used Energy-Related Laboratory Equipment Grants (1981U)

### 81.023

Information Services\_Exhibits, Public Speakers, Publications, Reference, and Analysis (1978B)

Transferred from 24.023 (1978B)

Information Services\_Exhibits, Public Speakers, and Publications (1979B)

Archived (1983B)

### 81.026

Payments in Lieu of Property Taxes (1978B)

Transferred from 24.026 (1978B)

Archived (1979U1)

### 81.028

Radiological Emergency Assistance (1978B)

Transferred from 24.028 (1978B)

Archived (1991B)

### 81.029

Nuclear Industry Seminars (1978B)

Transferred from 24.029 (1978B)

Uranium Industry Seminars (1980B)

Archived (1983U)

### 81.030

Work Experience (1978B)

Transferred from 24.030 (1978B)

Archived (1980B)

### 81.033

Citizens' Workshops (1978B)

Transferred from 24.033 (1978B)

Archived (1980U1)

### 81.035

Research and Development in Energy Conservation (1978B)

Transferred from 24.035 (1978B)

Archived (1980U1)

### 81.036

Energy-Related Inventions (1978B)

Transferred from 24.036 (1978B)

Inventions and Innovations (2001U)

### 81.037

Research and Development\_Fission, Fossil, Solar, Geothermal, Electric and Storage Systems, Magnetic Fusion (1978B)

Transferred/Consolidated from 24.024, 24.034 (1978B)

Research and Development\_Fission, Fossil, Solar, Geothermal, Electric and Storage Systems (1980B)  
Archived (1980U1)

### 81.038

Energy Information Administration\_Clearinghouse (EIAC) (1978B)

Energy Information Administration\_Clearinghouse (1980B)

Archived (1982B)

### 81.039

National Energy Information Center (NEIC) (1978B)

National Energy Information Center (1980B)

Deleted (2007)

### 81.040

Grants for Offices of Consumer Services (1978B)

Archived (1982B)

### 81.041

State Energy Conservation Program (1978B)

Transferred from 80.001 (1978B)

State Energy Conservation (1980B)

Consolidated from 81.052 (1995U)

State Energy Program (1997B)

### 81.042

Weatherization Assistance Program for Low-Income Persons (1978B)

Transferred from 80.002 (1978B)

Weatherization Assistance for Low-Income Persons (1980B)

### 81.043

Supplemental State Energy Conservation Program (1978B)

Transferred from 80.003 (1978B)

Supplemental State Energy Conservation (1980B)

Archived (1983B)

### 81.044

Public Education in Energy (1978B)

Archived (1980B)

### 81.045

Special Studies and Projects in Energy Education and Training (1978B)

Archived (1980B)

### 81.046

Research and Development in Biomedical and Environmental Sciences (1978B)

Transferred/Split from 24.034, 24.034 (1978B)

Environmental Research and Impact Assessments (1978U)

Archived (1980B)

### 81.047

PREFACE (Pre-Freshman and Cooperative Education for Minorities in Engineering) (1978B)

PREFACE (Pre-Freshman and Cooperative Education for Minorities and Women in Engineering) (1978U)

Pre-Freshman and Cooperative Education for Minorities and Women in Engineering (1980B)

Pre-Freshman Education for Minorities and Women in Engineering (1980U1)

Pre-Freshman Engineering for Minorities and Women (1980U2)

Archived (1981B)

Reinstated (1983U)

Pre-Freshman Engineering (1983U)

Pre-Freshman Enrichment (1990B)

Consolidated into 81.049 (1992B)

### 81.048

Materials Allocation (1978B)

Priorities and Allocations for Energy Programs and Projects (1980B)

Archived (1996B)

### 81.049

Basic Energy Sciences, High Energy and Nuclear Physics, and Advanced Technology and Assessment Projects (1978B)

Transferred/Split from 24.024 (1978B)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, and Program Analysis (1980B)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Program Analysis and Field Operations Management (1980U2)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental



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Research, Program Analysis and Field Operations Management (1981B)

Incorporated into 81.049, 81.073, 81.074 (1981U)

Basic Energy Sciences, High Energy/Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1983U)

Basic Energy Services, High Energy and Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1985B)

Basic Energy Sciences\_University and Science Education (1991B)

Consolidated from 81.011, 81.047 (1992B)

Office of Energy Research Financial Assistance Program (1997B)

Office of Science Financial Assistance Program (1999B)

### 81.050

Energy Extension Service (1978B)

Archived (1994B)

### 81.051

Appropriate Energy Technology (1979U1)

Archived (1985U)

### 81.052

Energy Conservation for Institutional Buildings (1979U1)

Consolidated into 81.041 (1995U)

### 81.053

Public Utility Regulatory Innovative Rates Support (1979U1)

Archived (1982B)

### 81.054

Public Utility Regulatory Support (1979U1)

Archived (1981U)

### 81.055

Small Hydroelectric Power Project Feasibility Studies (1980B)

Archived (1981U)

### 81.056

Coal Loan Guarantees (1980B)

Archived (1987U)

### 81.057

University Coal Research (1980B)

### 81.058

Geothermal Loan Guarantees (1980B)

Archived (1983B)

### 81.059

Clearinghouse for Community Energy Efficiency (1980B)

Archived (1982B)

### 81.060

Electric and Hybrid Vehicle Loan Guarantees (1980B)

Archived (1983B)

### 81.061

Oil Shale State Grants (1980U1)

Archived (1981U)

### 81.062

National Clubs, Organizations and Associations Energy Conservation Projects (1980U1)

National Clubs, Organizations and Associations Energy Awareness Projects (1981B)

Archived (1983B)

### 81.063

Office of Minority Economic Impact Loans (1980U2)

Archived (1993U)

### 81.064

DOE Technical Information Center (1980U2)

Office of Scientific and Technical Information (1984B)

### 81.065

Research and Development Nuclear Energy Programs (1980U2)

Nuclear Waste Disposal Siting (1983B)

### 81.066

American Indian Energy Production and Efficiency (1980U2)

Archived (1982B)

### 81.067

Technical Assistance for Local and Tribal Governments (1980U2)

Archived (1982B)

### 81.068

Biomass Loan Guarantees (1980U2)

Archived (1982B)

### 81.069

Gasoline Rationing\_State Preimplementation Activities (1980U2)

Archived (1982B)

### 81.070

Energy Auditor Training and Certification Grants (1980U2)

Archived (1982B)

### 81.071

Emergency Energy Conservation Act Plans (1980U2)

Archived (1982B)

### 81.072

Conservation Retrofit Delivery\_Research and Development (1981U)

Archived (1982B)

### 81.073

Geothermal Technologies\_Research and Development (1981U)

Split from 81.049 (1981U)

Archived (1982B)

### 81.074

Alcohol Fuels Loan Guarantees (1981U)

Split from 81.049 (1981U)

Archived (1983B)

### 81.075

Energy Graduate Traineeship Program (1981U)

Archived (1983U)

### 81.076

Indian Energy Resources (1983B)

Archived (1986U)

### 81.077

University Research Instrumentation (1983U)

Archived (1996B)

### 81.078

Industrial Energy Conservation (1983U)

Consolidated into 81.086 (1992U)

### 81.079

Biomass Energy Technology (1983U)

Biofuels and Municipal Waste Technology (1985U)

Regional Biomass Programs (1990U)

Regional Biomass Energy Programs (1992U)

### 81.080

Energy Policy, Planning and Development (1983U)

Domestic and International Energy Policy Development (1992B)

Consolidated from 81.088 (1992B)

Policy, Planning and Program Development (1993U)

Office of Policy and Financial Assistance (1995B)

Office of Policy Financial Assistance (1996B)

Archived (1998B)

### 81.081

Energy Task Force for the Urban Consortium (1983U)

Archived (2001B)

### 81.082

Management and Technical Assistance for Minority Business Enterprises (1984B)

Deleted (2004)

### 81.083

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Minority Educational Institution Research Travel Fund (1984B)  
Archived (1995B)

### 81.084

Minority Honors Vocational Training (1984B)  
Minority Honors Training and Industrial Assistance Program (1988B)  
Archived (1994B)

### 81.085

National Energy Information Clearinghouse (1984B)  
National Minority Energy Information Clearinghouse (1985B)  
Minority Energy Information Clearinghouse (1992B)  
Archived (1997B)

### 81.086

Conservation Research and Development (1984U)  
Consolidated from 81.078 (1992U)

### 81.087

Renewable Energy Research and Development (1984U)

### 81.088

International Affairs and Energy Emergencies (1984U)  
Consolidated into 81.080 (1992B)

### 81.089

Fossil Energy Research and Development (1984U)

### 81.090

State Heating Oil Grants (1985B)  
Archived (1988B)

### 81.091

Socioeconomic and Demographic Research, Data and Other Information (1985U)  
Socioeconomic and Demographic Research, Data Analytic Model Development and Information (1993U)  
Archived (1997B)

### 81.092

Remedial Action and Nuclear Waste Technology (1986B)  
Remedial Action and Waste Technology (1987U)  
Environmental Restoration (1990B)  
Archived (1995B)

### 81.093

Nuclear Energy Policy, Planning and Development (1986U)  
Archived (1991B)

### 81.094

Minority Educational Institution Assistance (1986U)  
Archived (1991U)

### 81.095

Nuclear Energy, Reactor Systems, Development, and Technology (1987B)  
Archived (1995B)

### 81.096

Innovative Clean Coal Technology (1988B)  
Clean Coal Technology Program (1990B)  
Archived (1994B)

### 81.097

Science and Engineering Research Semester (1989B)  
Consolidated into 81.004 (1997B)

### 81.098

Minority Undergraduate Training for Energy Related Careers (1991B)  
Archived (1995B)

### 81.099

Minority Math/Science Leadership Development Recognition (1991B)  
Archived (1993B)

### 81.102

Academic Partnerships (1991B)  
Archived (1998B)

### 81.103

Technology Integration (1991B)  
Consolidated into 81.104 (1993U)

### 81.104

Technology Development for Environmental Restoration and Waste Management (1992U)  
Consolidated from 81.103 (1993U)  
Technology Development for Environmental Management (1994B)  
Office of Science and Technology for Environmental Management (2000B)  
Office of Technology Development and Deployment for Environmental Management (2003B)  
81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING (2008)  
Office of Environmental Waste Processing (2008)

### 81.105

National Industrial Competitiveness through Energy, Environment, and Economics (1993B)

### 81.106

Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns and Proposed Solutions (1993B)  
Transport of Transuranic Wastes to the Waste

Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions, and Environmental Monitoring (1994U)

Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (1995B)  
States and Tribal Concerns, Proposed Solutions (2003B)

### 81.107

Oil Recovery Demonstration (1993U)  
Archived (1996B)

### 81.108

Epidemiology and Other Health Studies Financial Assistance (1994B)  
Archived (1996B)  
Epidemiology and Other Health Studies Financial Assistance Program, Reinstated (1999B)

### 81.109

Financial Assistance Program Science Education and Technical Information (1994U)  
Archived (1997B)

### 81.110

National Resource Center for Plutonium (1995B)  
Archived (2003B)

### 81.111

Alternative Fuel Transportation Program (1996B)  
Archived (1997B)

### 81.112

Inertial Fusion Science Support of Stockpile Stewardship (1997U)  
Stewardship Science Grant Program (1999B)

### 81.113

Nonproliferation and National Security Research (1998B)  
Defense Nuclear Nonproliferation Research (2000B)

### 81.114

University Nuclear Science and Reactor Support (1998B)  
Archived (2009)

### 81.116

Science and Engineering Training to Support Diversity- Related Programs (1998U)  
Deleted (2004)

### 81.117

Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (1999B)

### 81.118

Solar Energy Partnership Support and Barrier

# Appendix VII: Historical Profile of Catalog Programs

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Elimination (1999B)  
Archived (2001B)

**81.119**  
State Energy Program Special Projects (2000B)

**81.120**  
Arms Control and Nonproliferations Policy  
Analysis (2001B)  
Rescinded (2003B)  
Deleted (2003)

**81.121**  
Nuclear Energy Research Initiative (2001U)  
Nuclear Energy Research, Development and  
Demonstration (2003B)

**81.122**  
Electricity Delivery and Energy Reliability,  
Research, Development and Analysis (2005)

**81.123**  
National Nuclear Security Administration (NNSA)  
Historically Black Colleges and Universities  
(HBCU) Program (2005)  
National Nuclear Security Administration (NNSA)  
Minority Serving Institutions (MSI) Program  
(2006)

**81.124**  
PREDICTIVE SCIENCE ACADEMIC  
ALLIANCE PROGRAM (PSAAP) (2007)  
Predictive Science Academic Alliance Program  
(2008)

**81.126**  
Federal Loan Guarantees for Innovative Energy  
Technologies (2006)

**81.127**  
Energy Efficient Appliance Rebate Program  
(EEARP) (2009)

**81.128**  
Energy Efficiency and Conservation Block Grant  
Program (EECBG) (2009)

**81.129**  
Energy Efficiency and Renewable Energy  
Technology Deployment, Demonstration and  
Commercialization (2009)

**81.131**  
Expand and Extend Clean Coal Power Initiative  
(2009)

**81.132**  
Geologic Sequestration Site Characterization  
(2009)

**81.133**

Geologic Sequestration Training and Research  
Grant Program (2009)

**81.134**  
Industrial Carbon Capture and Storage (CCS)  
Application (2009)

**81.135**  
Advanced Research and Projects Agency Energy  
Financial Assistance Program (2009)

**81.136**  
Long-Term Surveillance and Maintenance (2009)

## **UNITED STATES INFORMATION AGENCY**

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**82.001**  
Educational Exchange\_Graduate Students  
Transferred from 19.101 (1978B)  
Number changed to 19.400 (2000B)

**82.002**  
Educational Exchange\_University Lecturers  
(Professors) and Research Scholars  
Transferred from 19.102 (1978B)  
Number changed to 19.401 (2000B)

**82.003**  
Private Sector Programs (1980B)  
Archived (1981B)

**82.004**  
International Visitors Program (1998B)  
Number changed to 19.402 (2000B)

**82.005**  
Near and Middle East Research and Training Act  
(NMERTA) (1997U)  
Foreign Language and Area Studies\_U.S. Students  
and Scholars (1998B)  
Archived (1999B)

**82.006**  
American Council of Young Political Leaders  
(1999B)  
Number changed to 19.403 (2000B)

**82.009**  
Professional Development\_International  
Educators/Administrators (1997U)  
Number changed to 19.404 (2000B)

**82.010**  
College and University Partnerships Program  
(1998U)  
Number changed to 19.405 (2000B)

**82.011**  
College and University Affiliations Program  
(1998B)

Number changed to 19.406 (2000B)

**82.012**  
Teacher Exchange\_New Independent States (NIS)  
(1998B)  
Number changed to 19.407 (2000B)

**82.013**  
Educational Exchange\_Teachers from Secondary  
and Postsecondary Levels (1997U)  
Number changed to 19.408 (2000B)

**82.015**  
Creative Arts Grants (1998B)  
Number changed to 19.409 (2000B)

**82.016**  
Educational Exchange\_Congress-Bundestag Youth  
Exchange (1998B)  
Number changed to 19.410 (2000B)

**82.018**  
Educational Exchange\_NIS Secondary School  
Initiative (1998B)  
Number changed to 19.411 (2000B)

**82.021**  
Educational Exchange\_Faculty (1997U)  
Archived (1998B)

**82.026**  
Educational Exchange\_Postgraduates and Faculty  
(1997U)  
Number changed to 19.412 (2000B)

**82.030**  
Cultural Exchange (Performing Arts) (1998U)  
Number changed to 19.413 (2000B)

**82.032**  
Cultural Exchange (1997U)  
Cultural Exchange (Visual Arts) (1998U)  
Number changed to 19.414 (2000B)

**82.033**  
Professional Exchange\_Annual Open Grant  
(1997U)  
Number changed to 19.415 (2000B)

**82.034**  
Exchange\_English Teaching Fellows (1997U)  
Number changed to 19.416 (2000B)

**82.035**  
Exchange\_English as a Foreign Language (EFL)  
Fellows (1997U)  
Number changed to 19.417 (2000B)

**82.038**  
Educational Exchange\_American Studies Institutes

# Appendix VII: Historical Profile of Catalog Programs

(1997U)  
Number changed to 19.418 (2000B)

## **FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION**

### **83.001**

Academy Planning Assistance (1975B)  
Transferred from 11.700 (1979B)  
Number changed to 83.404 (1982B)

### **83.002**

State Fire Incident Reporting Assistance (1977B)  
Transferred from 11.701 (1979B)  
Number changed to 83.407 (1983B)

### **83.003**

Public Education Assistance Program (1979B)  
Archived (1983B)

### **83.004**

Technical Support Services (1980B)  
Number changed to 83.408 (1983B)

### **83.005**

Arson Task Force Assistance Program (1980U1)  
Archived (1983B)

### **83.006**

Student Stipend Program (1980U2)  
Number changed to 83.405 (1982B)

### **83.007**

Reimbursement for Firefighting on Federal  
Property (1980U2)  
Number changed to 83.409 (1983B)  
Number changed from 83.409 (1989B)  
Transferred to 97.016 (2003B)

### **83.008**

Community-Based Anti-Arson Program (1984U)  
Number changed from 83.410 (1989B)  
Archived (1996B)

### **83.009**

National Fire Academy\_Training Assistance  
Number changed from 83.405 (1991B)  
National Fire Academy Training Assistance  
(1993B)  
Archived (1996B)  
Reinstated (1996U)  
Transferred to 97.018 (2003B)

### **83.010**

National Fire Academy Educational Program  
Number changed from 83.411 (1991B)  
Transferred to 97.019 (2003B)

### **83.011**

Hazardous Materials Training Program for  
Implementation of the Superfund Amendment and

Reauthorization Act (SARA) of 1986 (1993B)  
Transferred/Split into 83.552 (2000B)  
Transferred to 97.020 (2003B)

### **83.012**

Hazardous Materials Exercise Assistance Program  
(1993B)  
Hazardous Materials Assistance Program (1994B)  
Consolidated into 83.534 (1996B)  
Reinstated (2000B)  
Transferred to 97.021 (2003B)

### **83.013**

National Fire Academy Fire Executive Fellowship  
Program (1994B)  
Archived (1995B)

### **83.100**

Flood Insurance (1980B)  
Transferred from 14.001 (1980B)  
Transferred to 97.022 (2003B)

### **83.101**

Urban Property Insurance (1980B)  
Transferred from 14.002 (1980B)  
Archived (1984U)

### **83.102**

Crime Insurance (1980B)  
Transferred from 14.003 (1980B)  
Archived (1984U)

### **83.103**

State Assistance Program\_National Flood  
Insurance Program (1980U1)  
Number changed to 83.501 (1982B)

### **83.104**

Acquisition of Flood-Damaged Structures (1981B)  
Number changed to 83.502 (1982B)  
Number changed from 83.502 (1990U)  
Archived (1995B)

### **83.105**

Community Assistance Program\_State Support  
Services Element (CAP-SSSE) (1993B)  
Transferred to 97.023 (2003B)

### **83.200**

Civil Defense\_State and Local Management  
(1980B)  
Transferred from 12.315 (1980B)  
Emergency Management Assistance (1980U2)  
Number changed to 83.503 (1982B)

### **83.201**

Civil Defense\_State and Local Maintenance and  
Services (1980B)  
Transferred from 12.319 (1980B)  
State and Local Maintenance and Services

(1980U2)  
Number changed to 83.504 (1982B)

### **83.203**

State Disaster Preparedness Grants (1980B)  
Transferred from 14.702 (1980B)  
Number changed to 83.505 (1982B)

### **83.204**

Earthquake and Hurricane Loss Study and  
Contingency Planning Grants (1980B)  
Number changed to 83.506 (1982B)

### **83.205**

Civil Defense\_Industrial Preparedness Planning  
(1980B)  
Transferred from 12.309 (1980B)  
Industrial Preparedness Planning (1980U2)  
Number changed to 83.507 (1982B)

### **83.206**

Civil Defense\_Radiological Instrument  
Maintenance and Calibration (1980B)  
Transferred from 12.310 (1980B)  
Radiological Instruments Maintenance and  
Calibration (1980U2)  
Radiological Systems Maintenance (1981U)  
Number changed to 83.508 (1982B)

### **83.207**

Civil Defense\_National Shelter Survey (1980B)  
Transferred from 12.312 (1980B)  
National Shelter Survey (1980U2)  
Number changed to 83.509 (1982B)

### **83.208**

Civil Defense\_Radiation Shielding Design (1980B)  
Transferred from 12.316 (1980B)  
Radiation Shielding Design (1980U2)  
Number changed to 83.510 (1982B)

### **83.209**

State Radiological Defense Officers (1981B)  
Number changed to 83.511 (1982B)

### **83.210**

State and Local Emergency Operating Centers  
(1981B)  
Number changed to 83.512 (1982B)

### **83.211**

Civil Defense\_State and Local Supporting  
Materials (1981B)  
Number changed to 83.513 (1982B)

### **83.212**

Nuclear Civil Protection Planning (1981U)  
Number changed to 83.514 (1982B)

### **83.300**

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Disaster Assistance (1980B)  
Transferred from 14.701 (1980B)  
Number changed to 83.516 (1982B)

## 83.400

Emergency Management Institute\_Student Expense Program (1980B)  
Transferred from 12.314 (1980B)  
Emergency Management Institute\_Training Assistance (1983U)  
Number changed to 83.527 (1991B)

## 83.401

Emergency Management\_Architect/Engineer Student Development (1980B)  
Transferred from 12.324 (1980B)  
Emergency Management Institute\_Architect/Engineer Student Program (1983U)  
Incorporated into 83.525 (1990B)

## 83.402

Radiological Emergency Response\_Training Assistance (1980B)  
Transferred from 77.002 (1980B)  
Emergency Management Institute Radiological Emergency Response\_Training (1983U)  
Incorporated into 83.400 (1989U)

## 83.403

Training and Education Field Deployment (1981B)  
National Emergency Training Center\_Field Training Program (1983U)  
Emergency Management Institute\_Field Studies Program (1984U)  
Number changed to 83.528 (1991B)

## 83.404

Academy Planning Assistance (1982B)  
Number changed from 83.001 (1982B)  
Archived (1983B)

## 83.405

Student Stipend Program (1982B)  
Number changed from 83.006 (1982B)  
National Fire Academy Student Stipend Program (1983U)  
Number changed to 83.009 (1991B)

## 83.406

Training and Fire Programs Educational Program (1983B)  
National Emergency Training Center\_Training Program (1983U)  
Archived (1986B)

## 83.407

State Fire Incident Reporting Assistance (1977B)  
Number changed from 83.002 (1983B)  
Archived (1984U)

## 83.408

Technical Support Services (1980B)  
Number changed from 83.004 (1983B)  
Archived (1984B)

## 83.409

Reimbursement for Firefighting on Federal Property (1980U2)  
Number changed from 83.007 (1983B)  
Number changed to 83.007 (1989B)

## 83.410

Community-Based Anti-Arson Program (1984U)  
Number changed to 83.008 (1989B)

## 83.411

National Fire Academy Educational Program (1989U)  
Number changed to 83.010 (1991B)

## 83.412

Emergency Management Institute (EMI)\_Home Study Program (1989U)  
Number changed to 83.529 (1991B)

## 83.413

Emergency Management Institute (EMI)\_Resident Educational Program (1989U)  
Number changed to 83.530 (1991B)

## 83.500

General Research, Development, and Demonstration Activity (1981U)  
Archived (1984U)

## 83.501

State Assistance Program (1982B)  
Number changed from 83.103 (1982B)  
Archived (1985U)

## 83.502

Acquisition of Flood-Damaged Structures (1982B)  
Number changed to 83.104 (1990U)

## 83.503

Emergency Management Assistance (1982B)  
Number changed from 83.200 (1982B)  
Civil Defense\_State and Local Emergency Management Assistance (1987B)  
Consolidated into 83.534 (1996B)

## 83.504

State and Local Maintenance and Services (1982B)  
Number changed from 83.201 (1982B)  
Other State and Local Direction, Control and Warning (1984U)  
Consolidated into 83.532 (1993B)

## 83.505

State Disaster Preparedness Grants (1982B)

Number changed from 83.203 (1982B)  
Consolidated into 83.552 (2000B)

## 83.506

Earthquake and Hurricane Loss Study and Contingency Planning Grants (1982B)  
Number changed from 83.204 (1982B)  
Earthquake and Hurricane Preparedness Planning Grants (1983B)  
Earthquake and Hurricane Preparedness Grants (1984U)  
Archived (1988B)

## 83.507

Industrial Preparedness Planning (1982B)  
Number changed from 83.205 (1982B)  
Archived (1983B)

## 83.508

Radiological Systems Maintenance (1982B)  
Number changed from 83.206 (1982B)  
Radiological Instrumentation (1984U)  
Archived (1988B)

## 83.509

National Shelter Survey (1982B)  
Number changed from 83.207 (1982B)  
Facility Survey, Engineering and Development (1984B)  
Archived (1993B)

## 83.510

Radiation Shielding Design (1982B)  
Number changed from 83.208 (1982B)  
Shelter Development (1983B)  
Facility Survey Development (1986B)  
Archived (1993B)

## 83.511

State Radiological Defense Officers (1982B)  
Number changed from 83.209 (1982B)  
Radiological Protection Program (1985B)  
Radiological Protection Planning and Development (1986B)  
Radiological Defense Planning and Development (1987U)  
Archived (1988B)

## 83.512

State and local Emergency Operating Centers (1982B)  
Number changed from 83.210 (1982B)  
Consolidated into 83.532 (1993B)

## 83.513

State and Local Supporting Materials (1982B)  
Number changed from 83.211 (1982B)  
State and Local Warning and Communication Systems (1983B)  
Consolidated into 83.532 (1993B)

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|   |   |   |
|---|---|---|
| <b>83.514</b><br>Nuclear Civil Protection Planning (1982B)<br>Number changed from 83.212 (1982B)<br>Population Protection Planning (1983B)<br>Consolidated into 83.531 (1993B)          | Archived (1993B)  | Consolidated from 83.520, 83.521 (1997U)<br>Consolidated into 83.552 (2000B)  |
| <b>83.515</b><br>Broadcast Station Protection Program (1982B)<br>Emergency Broadcast System Guidance and Assistance (1983B)<br>Consolidated into 83.532 (1993B)                         | <b>83.526</b><br>National Urban Search and Rescue (US&R) Program (1991B)<br>National Urban Search and Rescue (US&R) Response System (1995B)<br>Transferred to 97.025 (2003B)  | <b>83.536</b><br>Flood Mitigation Assistance (1997U)<br>Transferred to 97.029 (2003B)                                     |
| <b>83.516</b><br>Disaster Assistance (1982B)<br>Number changed from 83.300 (1982B)<br>Split into 83.537, 83.538, 83.539, 83.540, 83.541, 83.542, 83.543, 83.544, 83.545, 83.548 (1997U) | <b>83.527</b><br>Emergency Management Institute_Training Assistance<br>Number changed from 83.400 (1991B)<br>Transferred to 97.026 (2003B)  | <b>83.537</b><br>Community Disaster Loans<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.030 (2003B)            |
| <b>83.517</b><br>Electromagnetic Pulse (EMP) Technical Support (1983B)<br>Consolidated into 83.532 (1993B)  | <b>83.528</b><br>Emergency Management Institute_Field Training Program<br>Number changed from 83.403 (1991B)<br>Consolidated into 83.534 (1996B)  | <b>83.538</b><br>Cora Brown Fund<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.031 (2003B)                     |
| <b>83.518</b><br>Emergency Public Information Competitive Challenge Grants (1984U)<br>Archived (1988B)  | <b>83.529</b><br>Emergency Management Institute (EMI)_Home Study Program<br>Number changed from 83.412 (1991B)<br>Emergency Management Institute (EMI)_Independent Study Program (1993U)<br>Transferred to 97.027 (2003B) | <b>83.539</b><br>Crisis Counseling<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.032 (2003B)                   |
| <b>83.519</b><br>Hazard Mitigation Assistance (1985U)<br>Archived (1995B)   | <b>83.530</b><br>Emergency Management Institute (EMI)_Resident Educational Program<br>Number changed from 83.413 (1991B)<br>Transferred to 97.028 (2003B)   | <b>83.540</b><br>Disaster Legal Services<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.033 (2003B)             |
| <b>83.520</b><br>Hurricane Preparedness Grants (1988B)<br>Hurricane Program (1994B)<br>Consolidated into 83.535 (1997U)   | <b>83.531</b><br>State and Local Emergency Management Assistance_Other Assistance<br>Consolidated from 83.514, 83.522 (1993B)<br>Consolidated into 83.534 (1996B)   | <b>83.541</b><br>Disaster Unemployment Assistance<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.034 (2003B)    |
| <b>83.521</b><br>Earthquake Hazards Reduction Grants (1988B)<br>Consolidated into 83.535 (1997U)  | <b>83.532</b><br>Facilities and Equipment<br>Consolidated from 83.504, 83.512, 83.513, 83.515, 83.517 (1993B)<br>Consolidated into 83.534 (1996B)   | <b>83.542</b><br>Fire Suppression Assistance<br>Incorporated from 83.516 (1997U)<br>Transferred to 83.55 (2002B)          |
| <b>83.522</b><br>Radiological Defense (1988B)<br>Consolidated into 83.531 (1993B)   | <b>83.533</b><br>COOPs for Digitization of Flood Maps (1995B)<br>Archived (1996B)   | <b>83.543</b><br>Individual and Family Grants<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.035 (2003B)        |
| <b>83.523</b><br>Federal Emergency Management Food and Shelter Program (1989B)<br>Emergency Food and Shelter National Board Program (1996U)<br>Transferred to 97.024 (2003B)            | <b>83.534</b><br>Emergency Management_State and Local Assistance<br>Consolidated from 83.012, 83.503, 83.528, 83.531, 83.532 (1996B)<br>Consolidated into 83.552 (2000B)  | <b>83.544</b><br>Public Assistance Grants<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.036 (2003B)            |
| <b>83.524</b><br>Superfund Permanent Relocation Assistance Program (1989U)<br>Archived (1992U)  | <b>83.535</b><br>Mitigation Assistance  | <b>83.545</b><br>Disaster Housing Program<br>Incorporated from 83.516 (1997U)<br>Transferred to 97.037 (2003B)            |
| <b>83.525</b><br>Shelter Survey Technician Program_Job Qualification Training (1990B)   |   | <b>83.546</b><br>National Arson Prevention Initiative (1997U)<br>Archived (1998U)   |
|   |   | <b>83.547</b><br>First Responder Anti-Terrorism Training Assistance (1997U)<br>First Responder Counter-Terrorism Training |

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Assistance (1999B)  
Transferred to 97.038 (2003B)

## **83.548**

Hazard Mitigation Grant  
Incorporated from 83.516 (1997U)  
Transferred to 97.039 (2003B)

## **83.549**

Chemical Stockpile Emergency Preparedness Program (1998U)  
Transferred to 97.040 (2003B)

## **83.550**

National Dam Safety Program (1998U)  
Transferred to 97.041 (2003B)

## **83.551**

Project Impact\_Building Disaster Resistant Communities (1998U)  
Archived (2002B)

## **83.552**

Emergency Management Performance Grants (1999U)  
Consolidated from 83.011, 83.505, 83.534, 83.535 (2000B)  
Transferred to 97.042 (2003B)

## **83.553**

State Fire Training Systems Grants (2001B)  
Transferred to 97.043 (2003B)

## **83.554**

Assistance to Firefighters Grant (2002B)  
Transferred to 97.044 (2003B)

## **83.555**

Cooperating Technical Partners (2002B)  
Transferred to 97.045 (2003B)

## **83.556**

Fire Management Assistance Grant (2002B)  
Transferred to 97.046 (2003B)

## **83.557**

Pre-Disaster Mitigation (2002B)  
Transferred to 97.047 (2003B)

## **83.558**

Federal Assistance to Individuals and Households\_Housing (2002B)  
Transferred to 97.048 (2003B)

## **83.559**

Federal Assistance to Individuals and Households\_Disaster Housing Operations (2002B)  
Transferred to 97.049 (2003B)

## **83.560**

Federal Assistance to Individuals and Households\_Other Needs (2002B)  
Transferred to 97.050 (2003B)

## **83.562**

State and Local All Hazards Emergency Operations Planning (2000B)  
Transferred to 97.051 (2003B)

## **83.563**

Emergency Operations Centers (2000B)  
Transferred to 97.052 (2003B)

## **83.564**

Citizen Corps (2000B)  
Transferred to 97.053 (2003B)

## **83.565**

Community Emergency Response Teams (2000B)  
Transferred to 97.054 (2003B)

## **83.566**

Interoperable Communications Equipment (2000B)  
Transferred to 97.055 (2003B)

## **DEPARTMENT OF EDUCATION**

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### **84.001**

Academic Facilities Reconstruction and Renovation for Removal of Architectural Barriers (1980U1)  
Archived (1981U)

### **84.002**

Adult Education\_State-Administered Program (1980U1)  
Transferred from 13.400 (1980U1)  
Adult Education\_State Administered Basic Grant Program (1988U)  
Adult Education\_State Grant Program (1995U)  
Adult Education - Basic Grants to States (2008)

### **84.003**

Bilingual Education (1980U1)  
Transferred from 13.403 (1980U1)  
Archived (1998B)

### **84.004**

Civil Rights Technical Assistance and Training (1980U1)  
Transferred from 13.405 (1980U1)  
Desegregation Assistance, Civil Rights Training, and Advisory Services (1989U)  
Civil Rights Training and Advisory Services (1997B)

### **84.005**

College Library Resources (1980U1)  
Transferred from 13.406 (1980U1)  
Archived (1985B)

### **84.006**

Teacher Centers (1980U1)  
Transferred from 13.416 (1980U1)  
Archived (1982B)

### **84.007**

Supplemental Educational Opportunity Grants (1980U1)  
Transferred from 13.418 (1980U1)  
Federal Supplemental Education Opportunity Grants (1992U)

### **84.008**

Alcohol and Drug Abuse Education Program (1980U1)  
Transferred from 13.420 (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Alcohol and Drug Abuse Education (1983U)  
Archived (1987B)

### **84.009**

Program for Education of Handicapped Children in State Operated or Supported Schools (1980U1)  
Transferred from 13.427 (1980U1)  
Education of Handicapped Children in State Operated or Supported Schools (1990U)  
Education of Children with Disabilities in State Operated or Supported Schools (1994B)  
Archived (1995U)

### **84.010**

Educationally Deprived Children\_Local Educational Agencies (1980U1)  
Transferred from 13.428 (1980U1)  
Chapter 1 Programs\_Local Educational Agencies (1990U)  
Chapter 1 Grants to Local Educational Agencies (1994U)  
Title I Grants to Local Educational Agencies (1995B)

### **84.011**

Educationally Deprived Children\_Migrants (1980U1)  
Transferred from 13.429 (1980U1)  
Migrant Education Program\_State Formula Grant Program (1980U2)  
Migrant Education\_Basic State Formula Grant Program (1981U)  
Migrant Education\_Basic State Grant Program (1994U)  
Migrant Education\_State Grant Program (2002B)

### **84.012**

Educationally Deprived Children\_State Administration (1980U1)  
Transferred from 13.430 (1980U1)  
Archived (1995U)

### **84.013**

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Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1980U1)

Transferred from 13.431 (1980U1)

Neglected and Delinquent Children (1984B)

Chapter 1 Program for Neglected and Delinquent Children (1990U)

Title I Program for Neglected and Delinquent Children (1995B)

### 84.014

Follow Through (1980U1)

Transferred from 13.433 (1980U1)

Archived (1995U)

### 84.015

International Studies Centers and Foreign Language Area (1980U1)

Transferred from 13.434 (1980U1)

National Resource Centers and Fellowships in International Studies (1981B)

National Resource Centers and Fellowships Program for Language and Area or Language and International Studies (1983B)

National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (2008)

### 84.016

International Studies Programs (1980U1)

Transferred from 13.435 (1980U1)

International Studies Program (1981B)

Undergraduate International Studies and Foreign Language Programs (1981U)

### 84.017

Foreign Language and Area Studies\_Research (1980U1)

Transferred from 13.436 (1980U1)

International Research and Studies (1981B)

### 84.018

Teacher Exchange (1980U1)

Transferred from 13.437 (1980U1)

Summer Seminars Aboard (1984U)

Fulbright-Hays Training Grants\_Seminars Abroad (1986B)

Fulbright-Hays Seminar Abroad\_Special Bilateral Projects (1986U)

Fulbright-Hays Seminars Abroad\_Bilateral Projects (1989U)

International: Overseas Seminars Abroad\_Bilateral Projects (1994U)

Overseas Seminars Abroad\_Bilateral Projects (2003B)

Overseas Programs\_Special Bilateral Projects (2004)

### 84.019

Fulbright-Hays Training Grants\_Faculty Research Abroad (1980U1)

Transferred from 13.438 (1980U1)

International: Overseas\_Faculty Research Abroad (1994U)

Overseas\_Faculty Research Abroad (2003B)

Overseas Programs - Faculty Research Abroad (2008)

### 84.020

Fulbright-Hays Training Grants\_Foreign

Curriculum Consultants (1980U1)

Transferred from 13.439 (1980U1)

Archived (1988U)

### 84.021

Fulbright-Hays Training Grants\_Group Projects Abroad (1980U1)

Transferred from 13.440 (1980U1)

International: Overseas\_Group Projects Abroad (1994U)

Overseas\_Group Projects Abroad (2003B)

Overseas Programs - Group Projects Abroad (2008)

### 84.022

Fulbright-Hays Training Grants\_Doctoral

Dissertation Research Abroad (1980U1)

Transferred from 13.441 (1980U1)

International: Overseas\_Doctoral Dissertation (1994U)

Overseas\_Doctoral Dissertation (2003B)

Overseas Programs - Doctoral Dissertation Research Abroad (2008)

### 84.023

Handicapped\_Research and Demonstration (1980U1)

Transferred from 13.443 (1980U1)

Research in the Education of the Handicapped (1981B)

Handicapped\_Research and Demonstration (1981U)

Handicapped\_Innovation and Development (1985B)

Disabled\_Innovation and Development (1991B)

Special Education\_Innovation and Development (1993B)

Archived (1998B)

### 84.024

Handicapped Early Childhood Assistance (1980U1)

Transferred from 13.444 (1980U1)

Handicapped Early Childhood Education (1985B)

Early Education for Children with Disabilities (1991B)

Archived (1998B)

### 84.025

Handicapped Innovative Programs\_Deaf-Blind Centers (1980U1)

Transferred from 13.445 (1980U1)

Handicapped Innovative Programs\_Deaf-Blind (1984B)

Deaf-Blind Centers (1985B)

Handicapped Education\_Deaf-Blind Centers (1987U)

Services for Deaf-Blind Children and Youth (1991B)

Services for Children with Deaf-Blindness (1992B)

Archived (1998B)

### 84.026

Handicapped Media Services and Captioned Films (1980U1)

Transferred from 13.446 (1980U1)

Media and Captioning for Individuals with Disabilities (1991B)

Media and Captioning Services for Individuals with Disabilities (1994B)

Archived (1998B)

### 84.027

Handicapped Preschool and School Programs (1980U1)

Transferred from 13.449 (1980U1)

Handicapped\_State Grants (1985U)

Special Education\_State Grants (1991B)

Special Education\_Grants to States (1994U)

### 84.028

Handicapped Regional Resource Centers (1980U1)

Transferred from 13.450 (1980U1)

Handicapped Regional Resource and Federal Centers (1987U)

Disabled\_Regional Resource and Federal Centers (1991B)

Special Education\_Regional Resource and Federal Centers (1993B)

Special Education Resource Centers (1994B)

Special Education\_Regional Resource Centers (1994B)

Archived (1998B)

### 84.029

Handicapped Personnel Preparation (1980U1)

Transferred from 13.451 (1980U1)

Training Personnel for the Education of the Handicapped (1983B)

Special Education Personnel Development (1985B)

Handicapped Education\_Special Education Personnel Development (1987U)

Special Education\_Special Education Personnel Development (1991B)

Special Education\_Special Education Personnel Development and Parent Training (1992B)

Special Education Personnel Development and Parent Training (1994B)

Special Education\_Personnel Development and Parent Training (1994B)

Archived (1998B)



## Appendix VII: Historical Profile of Catalog Programs

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| <b>84.030</b><br>Handicapped Teacher Recruitment and Information (1980U1)<br>Transferred from 13.452 (1980U1)<br>Handicapped Teacher Recruitment and Information Dissemination (1984B)<br>Handicapped Teacher Recruitment and Information (1985B)<br>Clearinghouses for the Handicapped Program (1987U)<br>Clearinghouses for the Disabled (1991B)<br>Clearinghouses for Individuals with Disabilities (1992B)<br>Archived (1998B) | Cancellations (1980U1)<br>Transferred from 13.470 (1980U1)<br>National Defense/National Direct/Perkins Loan Cancellations (1988B)<br>National Defense/National Direct/Federal Perkins Loan Cancellations (1992U)<br>Federal Perkins Loan Cancellations (1994B)<br>Loan Cancellations (2001B)<br>Perkins Loan Cancellations (2003B) | Transferred from 13.489 (1980U1)<br>Archived (1982B)   |
| <b>84.031</b><br>Higher Education_Strengthening Developing Institutions (1980U1)<br>Transferred from 13.454 (1980U1)<br>Higher Education_Institution Aid (1985B)   | <b>84.038</b><br>National Defense/Direct Student Loans (1980U1)<br>Transferred from 13.471 (1980U1)<br>Perkins Loans (1987B)<br>Perkins Loan Program (1990B)<br>Perkins Loan Program_Federal Capital Contributions (1990U)<br>Federal Perkins Loan Program_Federal Capital Contributions (1992U)                                   | <b>84.046</b><br>Community Service and Continuing Education_State Grants (1980U1)<br>Transferred from 13.491 (1980U1)<br>Continuing Education Outreach_State Administered Program (1981B)<br>Archived (1983B)  |
| <b>84.032</b><br>Higher Education Act Insured Loans (1980U1)<br>Transferred from 13.460 (1980U1)<br>Guaranteed Student Loans (1989B)<br>Federal Family Education Loans (1993U)   | <b>84.039</b><br>Library Research and Demonstration (1980U1)<br>Transferred from 13.475 (1980U1)<br>Archived (1997B)   | <b>84.047</b><br>Upward Bound (1980U1)<br>Transferred from 13.492 (1980U1)<br>TRIO_Upward Bound (1995U)  |
| <b>84.033</b><br>College Work-Study Program (1980U1)<br>Transferred from 13.463 (1980U1)<br>Federal Work-Study Program (1992U)   | <b>84.040</b><br>School Assistance in Federally Affected Areas_Construction (1980U1)<br>Transferred from 13.477 (1980U1)<br>Impact Aid_Construction (1987U)<br>Impact Aid_Facilities Maintenance (1995U)   | <b>84.048</b><br>Vocational Education_Basic Grants to States (1980U1)<br>Transferred from 13.493 (1980U1)<br>Career and Technical Education -- Basic Grants to States (2008)   |
| <b>84.034</b><br>Public Library Services (1980U1)<br>Transferred from 13.464 (1980U1)<br>Library Services (1985U)<br>Public Library Services (1990U)<br>Archived (1997B)   | <b>84.041</b><br>School Assistance in Federally Affected Areas_Maintenance and Operation (1980U1)<br>Transferred from 13.478 (1980U1)<br>Impact Aid_Maintenance and Operation (1987U)<br>Impact Aid_Maintenance and Operations (1990U)<br>Impact Aid (1995U)   | <b>84.049</b><br>Vocational Education_Consumer and Homemaking Education (1980U1)<br>Transferred from 13.494 (1980U1)<br>Vocational Education_Consumer and Homemaker Education (1985B)<br>Archived (1996B)  |
| <b>84.035</b><br>Interlibrary Cooperation (1980U1)<br>Transferred from 13.465 (1980U1)<br>Interlibrary Cooperation and Resource Sharing (1986U)<br>Interlibrary Cooperation (1990U)<br>Interlibrary Cooperation and Resource Sharing (1991B)<br>Archived (1997B)   | <b>84.042</b><br>Special Services for Disadvantaged Students (1980U1)<br>Transferred from 13.482 (1980U1)<br>Student Support Services (1987B)<br>TRIO_Student Support Services (1995U)   | <b>84.050</b><br>Vocational Education_Program Improvement and Supportive Service (1980U1)<br>Transferred from 13.495 (1980U1)<br>Archived (1985B)  |
| <b>84.036</b><br>Library Training (1980U1)<br>Transferred from 13.468 (1980U1)<br>Library Career Training (1981U)<br>Library Education and Human Resource Development (1992U)<br>Library Education and Training (1993U)<br>Archived (1997B)  | <b>84.043</b><br>Strengthening State Educational Agency Management (1980U1)<br>Transferred from 13.486 (1980U1)<br>Archived (1982B)  | <b>84.051</b><br>Vocational Education_Program Improvement Projects (1980U1)<br>Transferred from 13.498 (1980U1)<br>National Vocational Education Research (1985B)<br>Vocational Education_National Centers for career and Technical Education (2002B)<br>Vocational Education_National Programs (2004)<br>Career and Technical Education -- National Programs (2008) |
| <b>84.037</b><br>National Defense/Direct Student Loan  | <b>84.044</b><br>Talent Search (1980U1)<br>Transferred from 13.488 (1980U1)<br>TRIO_Talent Search (1995U)  | <b>84.052</b><br>Vocational Education_Special Programs for the Disadvantaged (1980U1)<br>Transferred from 13.499 (1980U1)<br>Archived (1985B)  |
|  | <b>84.045</b><br>Teacher Corps_Operations and Training (1980U1)  | <b>84.053</b><br>Vocational Education_State Advisory Councils (1980U1)<br>Transferred from 13.500 (1980U1)<br>Vocational Education_State Councils (1985B)<br>Archived (1997B)  |

## Appendix VII: Historical Profile of Catalog Programs

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|---|---|--|
| <b>84.054</b><br>Vocational Education_Leadership Development Awards Program (1980U1)<br>Transferred from 13.503 (1980U1)<br>Archived (1981B)  | Transferred from 13.536 (1980U1)<br>Indian Education_Adult Education (1990U)<br>Archived (1997B)  | Incorporated into 84.046 (1981B)   |
| <b>84.055</b><br>Higher Education_Cooperative Education (1980U1)<br>Transferred from 13.510 (1980U1)<br>Archived (1997B)  | <b>84.063</b><br>Basic Educational Opportunity Grant Program (1980U1)<br>Transferred from 13.539 (1980U1)<br>Pell Grant Program (1981B)<br>Federal Pell Grant Program (1992U)                                   | <b>84.072</b><br>Indian Education_Grants to Indian-Controlled Schools (1980U1)<br>Transferred from 13.551 (1980U1)<br>Archived (1996B)   |
| <b>84.056</b><br>Emergency School Aid Act_Basic Grants to Local Educational Agencies (1980U1)<br>Transferred from 13.525 (1980U1)<br>Archived (1982B)   | <b>84.064</b><br>Higher Education_Veterans' Cost of Instruction Program (1980U1)<br>Transferred from 13.540 (1980U1)<br>Higher Education_Veterans Education Outreach Program (1987B)<br>Archived (1994B)        | <b>84.073</b><br>National Diffusion Program (National Diffusion Network) (1980U1)<br>Transferred from 13.553 (1980U1)<br>National Diffusion Program (1981B)<br>National Diffusion Network (1981U)<br>Archived (1997B)  |
| <b>84.057</b><br>Emergency School Aid Act_Grants to Nonprofit Organizations (1980U1)<br>Transferred from 13.529 (1980U1)<br>Archived (1982B)  | <b>84.065</b><br>Educational Television and Radio (Programming) (1980U1)<br>Transferred from 13.541 (1980U1)<br>Educational Television and Radio Programming (1981B)<br>Archived (1983B)                        | <b>84.074</b><br>Career Education (1980U1)<br>Transferred from 13.554 (1980U1)<br>Archived (1982B)   |
| <b>84.058</b><br>Emergency School Aid Act_Educational Television and Radio (1980U1)<br>Transferred from 13.530 (1980U1)<br>Archived (1982B)   | <b>84.066</b><br>Educational Opportunity Centers (1980U1)<br>Transferred from 13.543 (1980U1)<br>TRIO_Educational Opportunity Centers (1995U)   | <b>84.075</b><br>Public Service Education_Institutional Grants and Fellowships (1980U1)<br>Transferred from 13.555 (1980U1)<br>Incorporated into 84.094 (1981B)  |
| <b>84.059</b><br>Emergency School Aid Act_Special Programs and Projects (1980U1)<br>Transferred from 13.532 (1980U1)<br>Split/Incorporated into 84.106, 84.107, 84.108, 84.109, 84.110 (1981B)  | <b>84.067</b><br>Use of Technology in Basic Skills Instruction (1980U1)<br>Transferred from 13.544 (1980U1)<br>Archived (1983B)   | <b>84.076</b><br>Community Service and Continuing Education_Special Projects (1980U1)<br>Transferred from 13.557 (1980U1)<br>Archived (1980U2)   |
| <b>84.060</b><br>Development Awards Program_Indian Education_Local Educational Agencies and Tribal Schools (1980U1)<br>Transferred from 13.534 (1980U1)<br>Indian Education_Entitlement Grants to Local Educational Agencies and Tribal Schools (1981U)<br>Indian Education_Formula Grants to Local Educational Agencies and Tribal Schools (1984U)<br>Indian Education_Formula Grants to Local Educational Agencies (1988U)<br>Indian Education_Grants to Local Educational Agencies (1994U) | <b>84.068</b><br>Indochina Refugee Children Assistance (1980U1)<br>Transferred from 13.545 (1980U1)<br>Archived (1982B)   | <b>84.077</b><br>Bilingual Vocational Training (1980U1)<br>Transferred from 13.558 (1980U1)<br>Archived (1996B)  |
| <b>84.061</b><br>Indian Education_Special Programs and Projects (1980U1)<br>Transferred from 13.535 (1980U1)<br>Archived (1995U)  | <b>84.069</b><br>Grants to States for State Student Incentives (1980U1)<br>Transferred from 13.548 (1980U1)<br>State Student Incentives Grants (1994U)<br>Leveraging Educational Assistance Partnership (1999B) | <b>84.078</b><br>Regional Education Programs for Deaf and Other Handicapped Persons (1980U1)<br>Transferred from 13.560 (1980U1)<br>Postsecondary Education Programs for Handicapped Persons (1984B)<br>Postsecondary Education Programs for Persons with Disabilities (1991B)<br>Special Education_Postsecondary Education Programs for Persons with Disabilities (1994U)<br>Archived (1998B) |
| <b>84.062</b><br>Indian Education_Adult Indian Education (1980U1)   | <b>84.070</b><br>Ethnic Heritage Studies Program (1980U1)<br>Transferred from 13.549 (1980U1)<br>Archived (1982B)   | <b>84.079</b><br>Education for the Use of the Metric System of Measurement (1980U1)<br>Transferred from 13.561 (1980U1)<br>Archived (1982B)  |
| <b>84.062</b><br>Indian Education_Adult Indian Education (1980U1)   | <b>84.071</b><br>State Postsecondary Education Commissions Program_Intrastate Planning (1980U1)<br>Transferred from 13.550 (1980U1)   | <b>84.080</b><br>Education for Gifted and Talented Children and Youth (1980U1)<br>Transferred from 13.562 (1980U1)   |

# Appendix VII: Historical Profile of Catalog Programs

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Archived (1982B)

## 84.081

Community Education (1980U1)  
Transferred from 13.563 (1980U1)  
Archived (1982B)

## 84.082

Consumers' Education (1980U1)  
Transferred from 13.564 (1980U1)  
Archived (1982B)

## 84.083

Women's Educational Equity (1980U1)  
Transferred from 13.565 (1980U1)  
Women's Educational Equity Act Program (1994U)

## 84.084

Elementary and Secondary School Education in the Arts (1980U1)  
Transferred from 13.566 (1980U1)  
Archived (1982B)

## 84.085

Domestic Mining and Mineral and Mineral Fuel Conservation Fellow (1980U1)  
Transferred from 13.567 (1980U1)  
Incorporated into 84.094 (1981B)

## 84.086

Innovative Programs for Severely Handicapped Children (1980U1)  
Transferred from 13.568 (1980U1)  
Handicapped Education\_Severely Handicapped Program (1987U)  
Special Education\_Severely Disabled Program (1991B)  
Special Education\_Program for Severely Disabled Children (1994U)  
Archived (1998B)

## 84.087

Indian Education\_Fellowships for Indian Students (1980U1)  
Transferred from 13.569 (1980U1)  
Archived (1997B)

## 84.088

Instructional Materials and School Library Resources (1980U1)  
Transferred from 13.570 (1980U1)  
Archived (1982B)

## 84.089

Improvement in Local Educational Practice (1980U1)  
Transferred from 13.571 (1980U1)  
Archived (1982B)

## 84.090

Health Education Assistance Loans (1980U1)  
Transferred from 13.574 (1980U1)  
Transferred to 13.108 (1981B)

## 84.091

Strengthening Research Library Resources (1980U1)  
Transferred from 13.576 (1980U1)  
Improving Access to Research Library Resources (1992U)  
Archived (1996B)

## 84.092

Guidance, Counseling, and Testing in Elementary/Secondary Schools (1980U1)  
Transferred from 13.577 (1980U1)  
Archived (1981B)

## 84.093

Emergency Adult Education Program for Indochina Refugees (1980U1)  
Transferred from 13.579 (1980U1)  
Archived (1982B)

## 84.094

Graduate and Professional Opportunities (1980U1)  
Transferred from 13.580 (1980U1)  
Graduate and Professional Study (1981B)  
Patricia Roberts Harris Fellowships (1987B)  
Harris Fellowships (1993U)  
Archived (1997B)

## 84.095

Citizen Educational for Cultural Understanding Program (1980U1)  
Transferred from 13.581 (1980U1)  
International Understanding Program (1981B)  
Archived (1982B)

## 84.096

Incentive Grants for State Student Financial Assistance Training (1980U1)  
Transferred from 13.582 (1980U1)  
Archived (1981U)

## 84.097

Law School Clinical Experience Program (1980U1)  
Transferred from 13.584 (1980U1)  
Archived (1997B)

## 84.098

Educational Information Centers (1980U1)  
Transferred from 13.585 (1980U1)  
Incorporated into 84.046 (1981B)

## 84.099

Bilingual Vocational Instructor Training (1980U1)  
Transferred from 13.586 (1980U1)  
Archived (1996B)

## 84.100

Bilingual Vocational Instructional Materials, Methods, and Techniques (1980U1)  
Transferred from 13.587 (1980U1)  
Bilingual Vocational Materials, Methods, and Techniques (1985B)  
Archived (1996B)

## 84.101

Vocational Education\_Program for Indian Tribes and Indian Organizations (1980U1)  
Transferred from 13.588 (1980U1)  
Vocational Education\_Indian and Hawaiian Natives (1985B)  
Vocational Education\_Indians (1992U)  
Vocational Education\_Indians Set-aside (1994U)  
Career and Technical Education - Indian Set-aside (2008)

## 84.102

Emergency School Aid Act\_Magnet Schools, University/Business Cooperation and Neutral Site Planning (1980U1)  
Transferred from 13.589 (1980U1)  
Archived (1982B)

## 84.103

Training for Special Programs Staff and Leadership Personnel (1980U1)  
Transferred from 13.592 (1980U1)  
Training Program for Federal TRIO Programs (1993B)  
Higher Education\_TRIO Staff Training Program (1994U)  
TRIO Staff Training Program (2005)  
TRIO Staff Training Program (2005)

## 84.104

Career Education State Allotment Program (1980U1)  
Transferred from 13.596 (1980U1)  
Archived (1982B)

## 84.105

Basic Skills Improvements (1980U1)  
Transferred from 13.599 (1980U1)  
Basic Skills Improvement (1981B)  
Archived (1982B)

## 84.106

Emergency School Aid Act\_Planning Grants (1980U1)  
Transferred from 13.685 (1980U1)  
Archived (1982B)

## 84.107

Emergency School Aid Act\_Pre-Implementation Assistance Grants (1980U1)  
Transferred from 13.686 (1980U1)  
Archived (1982B)

## Appendix VII: Historical Profile of Catalog Programs

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- 84.108**  
Emergency School Aid Act\_Out-of-Cycle Grants (1980U1)  
Transferred from 13.687 (1980U1)  
Archived (1982B)
- 84.109**  
Emergency School Aid Act\_Special Discretionary Assistance Grants (1980U1)  
Transferred from 13.688 (1980U1)  
Archived (1982B)
- 84.110**  
Emergency School Aid Act\_State Agency Grants (1980U1)  
Transferred from 13.689 (1980U1)  
Archived (1982B)
- 84.111**  
Emergency School Aid Act\_Grants for the Arts (1980U1)  
Transferred from 13.690 (1980U1)  
Archived (1982B)
- 84.112**  
Biomedical Sciences for Talented Disadvantaged Secondary Students (1980U1)  
Transferred from 13.691 (1980U1)  
Archived (1982B)
- 84.113**  
Adult Education Program for Adult Immigrants (1980U1)  
Transferred from 13.692 (1980U1)  
Archived (1982B)
- 84.114**  
Capacity Building for Statistical Activities (1980U1)  
Transferred from 13.922 (1980U1)  
Capacity-Building Grants for Data Systems in State Agencies (1981U)  
Archived (1982B)
- 84.115**  
Institute of Museum Services (1980U1)  
Transferred from 13.923 (1980U1)  
Transferred to 45.301 (1982B)
- 84.116**  
Fund for the Improvement of Postsecondary Education (1980U1)  
Transferred from 13.925 (1980U1)
- 84.117**  
Educational Research and Development (1980U1)  
Transferred from 13.950 (1980U1)  
Archived (1996B)
- 84.118**
- National Adult Education Development and Dissemination Program and Planning Grants (1980U1)  
Archived (1981B)
- 84.119**  
Pre-College Teacher Development In Science Program (1980U1)  
Archived (1982B)
- 84.120**  
Minority Institutions Science Improvement Program (1980U1)  
Minority Science Improvement (1987B)  
Minority Science and Engineering Improvement (1999B)
- 84.121**  
Vocational Education\_State Planning and Evaluation (1980U1)  
Archived (1985B)
- 84.122**  
Secretary's Discretionary Program (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Secretary's Discretionary (1983U)  
Archived (1990B)
- 84.123**  
Law-Related Education (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Instruction in Civics, Government, and Law (1995B)  
Archived (1997B)
- 84.124**  
Territorial Teacher Training Assistance Program (1980U1)  
Archived (1995U)
- 84.125**  
Office for Handicapped Individuals (1980U1)  
Transferred from 13.603 (1980U1)  
Office of Information and Resources for the Handicapped (1980U2)  
Clearinghouse on the Handicapped (1981U)  
Clearinghouse on Disability Information (1989B)  
Archived (1996B)
- 84.126**  
Rehabilitation Services\_Basic Support (1980U1)  
Transferred from 13.624 (1980U1)  
Rehabilitation Services\_Vocational Rehabilitation of State Grants (1994B)  
Rehabilitation Services\_Vocational Rehabilitation Grants to States (1994U)
- 84.127**
- Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1980U1)  
Transferred from 13.625 (1980U1)  
Archived (1981B)
- 84.128**  
Rehabilitation Services\_Special Projects (1980U1)  
Transferred from 13.626 (1980U1)  
Rehabilitation Services\_Service Projects (1984B)
- 84.129**  
Rehabilitation Training (1980U1)  
Transferred from 13.629 (1980U1)  
Rehabilitation Long-Term Training (1993U)
- 84.130**  
Rehabilitation Services\_Innovation and Expansion (1980U1)  
Transferred from 13.649 (1980U1)  
Archived (1981U)
- 84.131**  
Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1980U1)  
Transferred from 13.651 (1980U1)  
Archived (1981B)
- 84.132**  
Centers for Independent Living (1980U1)  
Transferred from 13.653 (1980U1)
- 84.133**  
National Institute of Handicapped Research (1980U1)  
Transferred from 13.654 (1980U1)  
National Institute on Disability and Rehabilitation Research (1987B)
- 84.134**  
Telecommunications Demonstrations for Health, Education and Other Social Services (1980U1)  
Transferred from 13.680 (1980U1)  
Archived (1981U)
- 84.135**  
Aid to Land-Grant Colleges (1980U2)  
Transferred to 10.003 (1983U)
- 84.136**  
Legal Training for the Disadvantaged (1980U2)  
Archived (1997B)
- 84.138**  
Educational Services to Cuban and Haitian Entrant Children (1980U2)  
Archived (1981U)
- 84.139**  
Cities in Schools (1980U2)

## Appendix VII: Historical Profile of Catalog Programs

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Archived (1982B)

### 84.140

Push for Excellence (1980U2)  
Archived (1982B)

### 84.141

High School Equivalency and College Assistance  
Migrant Program (1980U2)  
Split into 84.141, 84.149 (1981B)  
Migrant Education Program\_Part A\_High School  
Equivalency Program (1981B)  
Migrant Education\_High School Equivalency  
Program (1981U)

### 84.142

Housing for Educational Institutions (1980U2)  
Housing and Other Educational Facilities Loans  
(1987B)  
College Housing and other Educational Facilities  
Loans (1989B)  
College Facilities Loans (1990B)  
College Housing and Academic Facilities Loans  
(1991B)  
Archived (1998B)

### 84.143

Emergency School Aid Act\_Evaluation Contracts  
(1980U2)  
Archived (1983B)

### 84.144

Migrant Education\_Discretionary  
Interstate/Intrastate Coordination Program  
(1980U2)  
Migrant Education Program\_Discretionary  
Interstate and Intrastate Coordination (1981B)  
Migrant Education\_Interstate and Intrastate  
Coordination Program (1981U)  
Migrant Education\_Coordination Program (1990B)

### 84.145

Federal Real Property Assistance Program  
(1980U2)

### 84.146

Transition Program for Refugee Children (1981B)  
Archived (1991B)

### 84.148

Allen J. Ellender Fellowship Program (1981B)  
Archived (1988B)

### 84.149

Migrant Education Program\_Part B\_College  
Assistance Program (1981B)  
Split from 84.141 (1981B)  
Migrant Education\_College Assistance Migrant  
Program (1981U)

### 84.151

Education Consolidation and Improvement  
Programs\_Chapter 2 (1982B)  
Improving Schools Programs\_State Block Grants  
(1983B)  
Federal, State, and Local Partnerships for  
Educational Improvement (1988U)  
Chapter 2\_State Block Grants (1994U)  
Archived (1995U)

### 84.152

Neglected or Delinquent Transition Services  
(1982B)  
Archived (1984B)

### 84.153

Business and International Education (1983B)  
International Business Education (2000B)  
Business and International Education Projects  
(2001B)

### 84.154

Library Services and Construction  
Act\_Construction (1983B)  
Public Library Construction (1985U)  
Public Library Construction and Technology  
Enhancement (1991B)  
Archived (1997B)

### 84.155

Removal of Architectural Barriers to the  
Handicapped (1983U)  
Archived (1990B)

### 84.157

Secretary's Initiative to Improve the Quality of  
Chapter 1, ECIA Projects (1983U)  
Archived (1984B)

### 84.158

Secondary Education and Transitional Services for  
Handicapped Youth (1984B)  
Secondary Education and Transitional Services for  
Youth with Disabilities (1991B)  
Archived (1998B)

### 84.159

Handicapped-Special Studies (1984B)  
Disabled\_Special Studies and Evaluation (1991B)  
Special Studies for Programs with Disabilities  
(1994B)  
Special Studies for Persons with Disabilities  
Program (1994B)  
Special Education\_Special Studies for Persons with  
Disabilities (1994U)  
Archived (1998B)

### 84.160

Training Interpreters for Deaf Individuals (1984B)  
Training Interpreters for Individuals who are Deaf  
and Individuals who are Deaf-Blind (1993B)

### 84.161

Client Assistance for Handicapped Individuals  
(1984B)  
Client Assistance for Individuals with Handicaps  
(1990U)  
Client Assistance for Individuals with Disabilities  
(1991B)  
Rehabilitation Services\_Client Assistance Program  
(1991U)

### 84.162

Emergency Immigrant Education Assistance  
(1984U)  
Emergency Immigrant Education (1987U)  
Immigrant Education (1995B)  
Archived (2002B)

### 84.163

Library Services for Indian Tribes and Hawaiian  
Natives (1985B)  
Archived (1997B)

### 84.164

State Grants for Strengthening the Skills of  
Teachers and Instruction in Mathematics, Science,  
Foreign Languages, and Computer Learning  
(1985B)  
State Grants for Strengthening the Skills of  
Teachers and Instruction in Mathematics and  
Science (1989B)  
Mathematics and Science Education (1990B)  
Eisenhower Mathematics and Science  
Education\_State Grants (1990U)  
Archived (1995U)

### 84.165

Magnet Schools Assistance (1985B)  
Magnet Schools Assistance in Desegregating  
Districts (1991B)  
Magnet Schools Assistance (1994U)

### 84.167

Library Literacy (1986B)  
Archived (1996U)

### 84.168

Secretary's Discretionary Program for Mathematics,  
Science Computer Learning, and Critical Foreign  
Languages (1985B)  
National Programs for Strengthening, Teaching,  
and Administration in Mathematics and Science  
Programs (1989B)  
National Program for Mathematics and Science  
Education (1989U)  
Eisenhower National Program for Mathematics and  
Science Education (1991U)  
Dwight D. Eisenhower National Program for  
Mathematics and Science Education (1992B)  
Eisenhower Mathematics and Science  
Education\_National Program (1994U)  
Eisenhower Professional Development\_Federal

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Activities (1995B)

Eisenhower Professional Development\_National Activities (1995U)

Eisenhower Professional Development\_Federal Activities (1997U)

Deleted (2004)

### 84.169

Comprehensive Services for Independent Living (1985B)

Independent Living Services (1993B)

Independent Living\_State Grants (1993U)

### 84.170

National Graduate Fellows (1985B)

Jacob K. Javits Fellowships (1987B)

Javits Fellowships (1993U)

### 84.171

Excellence in Education (1985B)

Archived (1988B)

### 84.172

Construction, Reconstruction, and Renovation of Academic Facilities (1985B)

Archived (1990B)

### 84.173

Handicapped\_Preschool Incentive Grants (1985U)

Handicapped\_Preschool Grants (1987U)

Special Education\_Preschool Grants (1991B)

### 84.174

Vocational Education\_Community Based Organizations (1986B)

Archived (1996B)

### 84.175

Rehabilitation Services\_Innovation and Expansion (1986B)

Archived (1986U)

### 84.176

Carl D. Perkins Scholarships (1986U)

Paul Douglas Teacher Scholarships (1987U)

Douglas Teacher Scholarships (1992B)

Archived (1997B)

### 84.177

Rehabilitation Services\_Independent Living for Older Blind Individuals (1986B)

Rehabilitation Services\_Independent Living Services for Older Blind Individuals (1987U)

Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind (1993B)

### 84.178

Leadership in Educational Administration Development (1986U)

Archived (1995B)

### 84.180

Technology, Educational Media and Materials for the Handicapped (1987B)

Technology, Educational Media and Materials for Individuals with Disabilities (1991B)

Technology Applications for Individuals with Disabilities (1993B)

Technology, Educational Media and Materials for Individuals with Disabilities (1994B)

Technology Applications for Individuals with Disabilities (1995U)

Archived (1998B)

### 84.181

Handicapped Infants and Toddlers (1987B)

Infants and Toddlers with Disabilities (1991B)

Grants for Infants and Toddlers with Disabilities (1992U)

Grants for Infants and Families with Disabilities (1993U)

Special Education\_Grants for Infants and Families with Disabilities (1994U)

Special Education-Grants for Infants and Families (2008)

### 84.184

National Program for Drug-Free Schools and Communities (1987B)

Drug-Free Schools and Communities\_National Programs (1990U)

Safe and Drug-Free Schools and Communities\_National Programs (1996U)

### 84.185

Robert C. Byrd Honors Scholarships (1987B)

Byrd Honors Scholarships (1993U)

### 84.186

Drug-Free Schools and Communities\_State Grants (1987B)

Safe and Drug-Free Schools\_State Grants (1995B)

Safe and Drug-Free Schools and Communities\_State Grants (1996U)

### 84.187

Supported Employment Services for Individuals with Severe Handicaps (1987B)

Supported Employment Services for Individuals with Severe Disabilities (1993B)

Supported Employment Services for Individuals with Significant Disabilities (2008)

### 84.188

Drug-Free Schools and Communities\_Regional Centers (1987B)

Archived (1995U)

### 84.190

Christa McAuliffe Fellowships (1987B)

Archived (1997B)

### 84.191

National Adult Education Discretionary Program (1987U)

National Adult Education Research (1989B)

National Adult Education Discretionary Program (1991B)

Adult Education\_National Programs (1994U)

Adult Education\_Evaluation and Technical Assistance (1997B)

Adult Education\_National Leadership Activities (1998U)

### 84.192

Adult Education for the Homeless (1987U)

Adult Education\_Literacy Training for Homeless Adults (1994U)

Archived (1997B)

### 84.193

Demonstration Centers for the Retraining of Dislocated Workers (1987U)

Demonstration Centers for the Training of Dislocated Workers (1991B)

Archived (1994B)

### 84.194

Bilingual Education Support Services (1987U)

Archived (2002B)

### 84.195

Bilingual Education Training Grants (1987U)

Bilingual Education\_Professional Development (1996B)

Deleted (2004)

### 84.196

State Activities\_Education of Homeless Children and Youth (1987U)

State Activities\_Education for Homeless Children and Youth (1990B)

Education for Homeless Children and Youth\_Grants for State and Local Activities (1992B)

Education for Homeless Children and Youth (1994U)

### 84.197

College Library Technology and Cooperation Grants (1988B)

College Library Technology (1990U)

College Library Technology and Cooperation Grants (1992U)

Archived (1996B)

### 84.198

Workplace Literacy Partnership (1988B)

Workplace Literacy (1988U)

Workplace Literacy Partnerships (1990U)

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National Workplace Literacy Partnerships (1991B)  
National Workplace Literacy Program (1991U)  
National Workplace Literacy Partnerships (1993U)  
Workplace Literacy Partnerships (1994U)  
Archived (1998B)

### 84.199

Vocational Education\_Cooperative Demonstration (1988B)  
Archived (1996B)

### 84.200

Graduate Assistance in Areas of National Need (1988B)  
Graduate Assistance in Areas of National Need (2005)  
Graduate Assistance in Areas of National Need (2005)

### 84.201

School Dropout Demonstration Assistance (1988B)  
Dropout Demonstration Assistance (1994U)  
Dropout Prevention Demonstration Assistance (1995U)  
Archived (1997B)

### 84.202

Grants to Institutions to Encourage Minority Participation in Graduate Education (1988B)  
Grants to Institutions to Encourage Women and Minority Participation in Graduate Education (1992U)  
Women and Minority Participation in Graduate Education (1994B)  
Archived (1996B)

### 84.203

Star Schools Program (1988B)  
Star Schools (1994U)  
Archived (2009)

### 84.204

School, College, and University Partnership (1988U)  
School, College, and University Partnerships (1991B)  
Archived (1997B)

### 84.206

Jacob K. Javits Gifted and Talented Students (1988U)  
Jacob K. Javits Gifted and Talented Students Education Grant Program (1991U)  
Javits Gifted and Talented Students Education Grant Program (1994U)

### 84.207

Educational Personnel Training (1989B)  
School Personnel Training (1990B)  
Drug-Free Schools and Communities\_School Personnel Training (1990U)

Archived (1995U)

### 84.208

Native Hawaiian Model Curriculum Implementation Project (1988U)  
Native Hawaiian Model Curriculum Development (1989U)  
Archived (1995U)

### 84.209

Native Hawaiian Family Based Education Centers (1988U)  
Deleted (2004)

### 84.210

Native Hawaiian Gifted and Talented (1988U)  
Deleted (2004)

### 84.211

FIRST Schools and Teachers (1988U)  
Archived (1995U)

### 84.212

FIRST Family School Partnerships (1988U)  
FIRST Family School Partnership (1989U)  
Archived (1995U)

### 84.213

Even Start\_Local Education (1988U)  
Even Start\_Local Education Agencies (1989B)  
Even Start\_Local Educational Agencies (1990U)  
Even Start\_State Educational Agencies (1991U)

### 84.214

Even Start\_Migrant Education (1988U)

### 84.215

Innovation in Education (1988U)  
The Secretary's Fund for Innovation in Education (1989B)  
Fund for the Improvement of Education (1994U)

### 84.216

Private School\_Capital Expenses (1988U)  
Archived (2003B)

### 84.217

Ronald E. McNair Post-Baccalaureate Achievement (1989B)  
McNair Post-Baccalaureate Achievement (1993U)  
TRIO\_McNair Post-Baccalaureate Achievement (2002B)

### 84.218

State Improvement (1989B)  
State Program Improvement Grants (1990B)  
State School Improvement Grants (1996B)  
Archived (1998B)

### 84.219

Student Literacy Corps (1989B)  
Student Literacy Corps and Student Mentoring Corps Programs (1992U)  
Student Literacy Corps and Student Mentoring Corps (1994B)  
Archived (1995B)

### 84.220

Center for International Business Education (1989B)

### 84.221

Native Hawaiian Special Education (1989B)  
Deleted (2004)

### 84.222

National School Volunteer Program (1989B)  
Archived (1991B)

### 84.223

State-Administered English Literacy (1989B)  
English Literacy Program (1989U)  
Archived (1995B)

### 84.224

State Grants for Technology-Related Assistance to Individuals with Disabilities (1989B)  
State Grants for Assistive Technology (1994U)  
Assistive Technology (1999B)

### 84.225

Education for Homeless Children and Youth\_Exemplary Grants (1989U)  
Archived (1992B)

### 84.226

Income Contingent Loan Program (1990B)  
Archived (1994B)

### 84.227

Secondary Schools\_Basic Skills Demonstration Assistance (1990B)  
Archived (1992B)

### 84.228

Educational Partnerships (1990B)  
Education Partnerships (1994U)  
Archived (1995B)

### 84.229

Language Resource Centers (1990B)

### 84.230

Technology Education Demonstration (1990B)  
Archived (1994B)

### 84.231

Demonstration and Innovation Projects of National Significance in Technology-Related Assistance for Individuals with Disabilities (1990B)

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Demonstration and Innovation Projects of National Significance in Assistive Technology for Individuals with Disabilities (1994U)  
Archived (1995U)

**84.232**  
Mid-Career Teacher Training (1990B)  
Archived (1993B)

**84.233**  
Emergency Grants (1991B)  
Drug-Free Schools and Communities\_Emergency Grants (1992B)  
Archived (1995U)

**84.234**  
Projects with Industry (1991B)

**84.235**  
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps (1991B)  
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Disabilities (1992B)  
Rehabilitation Services Demonstration and Training\_Special Demonstration Programs (1999B)  
Rehabilitation Services Demonstration and Training Programs (2003B)

**84.236**  
Training and Public Awareness Projects in Technology Related Assistance for Individuals with Disabilities (1991B)  
Training and Public Awareness Projects in Assistive Technology for Individuals with Disabilities (1994U)  
Archived (1995U)

**84.237**  
Children and Youth with Serious Emotional Disturbance (1991B)  
Special Education\_Program for Children with Serious Emotional Disturbance (1994U)  
Archived (1998B)

**84.238**  
Training Programs for Educators\_Alcohol Abuse (1991B)  
Archived (1995B)

**84.239**  
Foreign Language Materials Acquisition (1991B)  
Archived (1995B)

**84.240**  
Program of Protection and Advocacy (1991B)  
Program of Protection and Advocacy of Individual Rights (1992B)

**84.241**

Counselor Training (1991B)  
Drug-Free Schools\_Counselor Training (1994U)  
Archived (1995U)

**84.242**  
National Science Scholars (1991B)  
Archived (1997B)

**84.243**  
Tech-Prep Education (1991B)

**84.244**  
Business and Education Standards (1991B)  
Archived (1997B)

**84.245**  
Tribally Controlled Postsecondary Vocational Institutions (1991B)  
Tribally Controlled Postsecondary Vocational and Technical Institutions (1999B)  
Tribally Controlled Postsecondary Career and Technical Institutions (2007)

**84.246**  
Rehabilitation Short-Term Training (1991B)

**84.247**  
Commercial Drivers Education (1991U)  
Archived (1994B)

**84.248**  
Demonstration Projects for the Integration of Vocational and Academic Learning (1991U)  
Archived (1997B)

**84.249**  
Foreign Languages Assistance (1991U)  
Archived (1995U)

**84.250**  
Rehabilitation Services\_American Indians with Disabilities (1991U)

**84.251**  
Periodicals Published Outside the United States (1992B)  
Foreign Periodicals (1993U)  
Archived (1996B)

**84.252**  
Urban Community Services (1992B)  
Urban Community Service (1994B)  
Archived (2001B)

**84.253**  
Supplementary State Grants for Facilities, Equipment, and Other Program Improvement Activities (1992B)  
Archived (1995B)

**84.254**  
State Literacy Resource Centers (1992B)  
Archived (1997B)

**84.255**  
Literacy for Incarcerated Adults (1992B)  
Literacy Programs for Prisoners (1994U)  
Deleted (2008)

**84.256**  
Territories\_Freely Associated States Education Grant Program (1992B)  
Education Grant Program for the Freely Associated States (1994U)  
Freely Associated States\_Education Grant Program (1997U)

**84.257**  
National Institute for Literacy (1995B)

**84.258**  
Even Start\_Indian Tribes and Tribal Organizations (1992U)

**84.259**  
Native Hawaiian Vocational Education (1992U)  
Native Hawaiian Career and Technical Education (2007)

**84.260**  
National Academy of Science, Space, and Technology (1993B)  
Archived (1995U)

**84.261**  
Dwight D. Eisenhower Leadership Development (1993B)  
Eisenhower Leadership (1994B)  
Eisenhower Leadership Program (1994U)  
Archived (1996B)

**84.262**  
Minority Teacher Recruitment (1993U)  
Archived (1999B)

**84.263**  
Rehabilitation Training\_Experimental and Innovative Training (1993B)

**84.264**  
Rehabilitation Training\_Continuing Education (1993B)

**84.265**  
Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training (1993B)

**84.266**  
Training in Early Childhood Education and Violence Counseling (1993B)



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Archived (1996B)

### 84.267

State Postsecondary Review (1993U)  
Archived (1996B)

### 84.268

Federal Direct Student Loan (1994B)  
Federal Direct Loan (1997U)  
Federal Direct Student Loans (2002B)

### 84.269

Institute for International Public Policy (1994B)

### 84.270

Teacher Corps (1994B)  
Archived (1995U)

### 84.271

Faculty Development Fellowship (1994B)  
Archived (1996B)

### 84.272

National Early Intervention Scholarship and Partnership (1994B)  
National Early Intervention Scholarship and Partnership (NEISP) (1994U)  
National Early Intervention Scholarship and Partnership (1995U)  
Archived (1999B)

### 84.273

Demonstration Grants for Critical Language and Area Studies (1994B)  
Archived (1996U)

### 84.274

American Overseas Research Centers (1994B)

### 84.275

Rehabilitation Training\_General Training (1995U)

### 84.276

Goals 2000\_State and Local Education Systemic Improvement Grants (1995B)  
Archived (2002B)

### 84.277

Safe Schools Discretionary Grants to Local Education Agencies (1995B)  
Archived (1995U)

### 84.278

School to Work Opportunities (2001U)  
Archived (2002B)

### 84.279

Goals 2000\_Assessment Development and Evaluation Grants (1995B)  
Archived (1996U)

### 84.280

Goals 2000\_Opportunity-To-Learn Development Grants (1995B)  
Archived (1996U)

### 84.281

Eisenhower Professional Development State Grants (1995B)  
Deleted (2004)

### 84.282

Public Charter Schools (1995B)  
Charter Schools (1997B)

### 84.283

Comprehensive Regional Assistance Centers (1995B)  
Comprehensive Centers (2005)  
Comprehensive Centers (2005)

### 84.284

School Facilities Infrastructure Improvement (1995B)  
Archived (1995U)

### 84.285

Family and Community Endeavor Schools Grant Program (1995B)  
Archived (1995U)

### 84.286

Telecommunications Demonstration Project for Mathematics (1995B)  
Ready to Teach (2003B)  
Ready to Teach (2005)  
Ready to Teach (2005)

### 84.287

21st Century Community Learning Centers Program (1995B)  
After School Learning Centers (1997B)  
Twenty-First Century Community Learning Centers (1998B)

### 84.288

Bilingual Education\_Program Development and Implementation Grants (1995B)  
Archived (2002B)

### 84.289

Bilingual Education\_Program Enhancement Grants (1995B)  
Archived (2002B)

### 84.290

Bilingual Education\_Comprehensive School Grants (1996U)  
Archived (2002B)

### 84.291

Bilingual Education\_Systemwide Improvement Grants (1995B)  
Archived (2002B)

### 84.292

Bilingual Education\_Research Programs (1995B)  
Archived (2002B)

### 84.293

Foreign Languages Assistance (1995B)  
Foreign Language Assistance (1997U)

### 84.294

Foreign Languages Assistance\_Incentive Grants (1995B)  
Archived (1998B)  
Foreign Language Incentive Program (2002B)  
Reinstated (2002B)  
Deleted (2004)

### 84.295

Ready-To-Learn Television (1995B)

### 84.296

Native Hawaiian Community-Based Education Learning Centers (1995B)  
Deleted (2004)

### 84.297

Native Hawaiian Curriculum Development, Teacher Training and Recruitment (1995B)  
Deleted (2004)

### 84.298

Innovative Education Program Strategies (1995B)  
State Grants for Innovative Programs (2004)  
Archived (2009)

### 84.299

Indian Education\_Special Programs (1995B)  
Archived (1997B)

### 84.300

Alaska and Native Hawaiian Cultural and Arts Development (1995B)  
Native Hawaiian and Alaska Native Culture and Arts Development (1996U)  
Archived (1997B)

### 84.301

Olympic Scholarships (1995B)  
Archived (1995U)

### 84.302

Technical Support and Professional Development Consortia for Technology (1995B)  
Eisenhower Regional Mathematics and Science Education Consortia (1996B)  
Regional Technical Support and Professional Development Consortia (1996U)

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Regional Technology in Education Consortia (2002B)  
Deleted (2005)

### 84.303

Challenge Grants for Technology in Education (1995B)  
Local Innovation\_Challenge Grants for Technology in Education (1996B)  
Technology Challenge Grants (1997B)  
Technology Innovation Challenge Grants (1997U)  
Archived (2002B)

### 84.304

International Education Exchange (1995B)  
Cooperative Education Exchange Program (2002B)  
Civic Education\_Cooperative Education Exchange Program (2003B)  
Civic Education - Cooperative Education Exchange Program (2004)

### 84.305

National Institute on Student Achievement, Curriculum, and Assessment (1995U)  
Education Research, Development and Dissemination (2003B)

### 84.306

National Institute on the Education of At-Risk Students (1995U)  
Deleted (2004)

### 84.307

National Institute on Early Childhood Development and Education (1995U)  
Deleted (2004)

### 84.308

National Institute on Educational Governance, Finance, Policymaking, and Management (1995U)  
Deleted (2004)

### 84.309

National Institute on Postsecondary Education, Libraries, and Lifelong Learning (1995U)  
Deleted (2004)

### 84.310

Goals 2000: Parental Assistance Program (1995U)  
Goals 2000: Parental Information Resource Centers (2000B)  
Goals 2000: Parental Assistance (2001B)  
Parental Assistance Centers (2002B)  
Parental Information and Resource Centers (2008)

### 84.311

Goals 2000: Tribal Divisions of Education School Reform Program (1995U)  
Archived (1996U)

### 84.312

Goals 2000: Urban/Rural Local Reform Initiative (1995U)  
Archived (1996U)

### 84.313

Even Start\_Family Literacy in Women's Prisons Program (1995U)  
Archived (1998B)

### 84.314

Even Start\_Statewide Family Literacy Program (1995U)  
Deleted (2004)

### 84.315

Capacity Building for Traditionally Underserved Populations (1995U)

### 84.316

Native Hawaiian Higher Education Program (1995U)  
Deleted (2004)

### 84.318

Technology Literacy Challenge Fund Grants (1998B)  
Education Technology State Grants (2003B)  
Education Technology State Grants (2005)  
Education Technology State Grants (2005)

### 84.319

Eisenhower Regional Mathematics and Science Education Consortia (1997B)  
Educational Technology State Grants (2004)  
Eisenhower Regional Math and Science Consortia (2005)  
Eisenhower Regional Math and Science Consortia (2005)  
Eisenhower Regional Math and Science Consortia (2005)  
Deleted (2006)

### 84.320

Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (1997B)  
Deleted (2004)

### 84.321

Alaska Native Home Based Education for Preschool Children (1997B)  
Deleted (2004)

### 84.322

Alaska Native Student Enrichment Program (1997B)  
Deleted (2004)

### 84.323

Special Education\_State Program Improvement

Grants for Children with Disabilities (1998B)  
Special Education - State Personnel Development (2005)  
Special Education - State Personnel Development (2005)  
Special Education - State Personnel Development (2005)  
Special Education - State Personnel Development (2005)  
Special Education - State Personnel Development (2005)

### 84.324

Special Education\_Research and Innovation to Improve Services and Results for Children with Disabilities (1998B)  
Research in Special Education (2005)  
Research in Special Education (2005)

### 84.325

Special Education\_Personnel Preparation to Improve Services and Results for Children with Disabilities (1998B)  
Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (2006)

### 84.326

Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (1998B)

### 84.327

Special Education\_Technology and Media Services for Individuals with Disabilities (1998B)

### 84.328

Special Education\_Training and Information for Parents of Children with Disabilities (1998B)  
Special Education\_Parent Information Centers (2000B)

### 84.329

Special Education\_Studies and Evaluations (1998B)

### 84.330

Advanced Placement Test Fee Payment Program (1998B)  
Advanced Placement Incentive Program (1999B)  
Advanced Placement Program (2002B)  
Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (2008)

### 84.331

Grants to States for Incarcerated Youth Offenders (1998B)  
Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (2009)

### 84.332

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Comprehensive School Reform Demonstration (1999B)

### 84.333

Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (1999B)  
Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (2009)

### 84.334

Gaining Early Awareness and Readiness for Undergraduate Programs (1999B)

### 84.335

Child Care Access Means Parents in School (1999B)

### 84.336

Teacher Quality Enhancement Grants for States and Partnerships (1999B)  
Teacher Quality Enhancement Grants (2000B)  
Teacher Quality Partnership Grants (2009)

### 84.337

Technological Innovation and Cooperation for Foreign Information Access (1999B)  
International Education\_Technological Innovation and Cooperation for Foreign Information Access (2003B)

### 84.338

Reading Excellence (1999B)  
Archived (2003B)

### 84.339

Learning Anytime Anywhere Partnerships (1999B)  
Deleted (2004)

### 84.340

Class Size Reduction (1999B)  
Archived (2003B)

### 84.341

Community-Based Technology Centers (1999B)  
Community Technology Centers (2000B)  
Deleted (2008)

### 84.342

Preparing Tomorrow's Teachers to Use Technology (1999B)

### 84.343

Assistive Technology\_State Grants for Protection and Advocacy (1999B)

### 84.344

TRIO\_Dissemination (2000U)  
TRIO\_Dissemination Partnership Grants (2001B)  
Deleted (2008)

### 84.345

Underground Railroad Educational and Cultural Program (2000U)

### 84.346

Occupational and Employment Information State Grants (2000U)  
Vocational Education\_Occupational and Employment Information State Grants (2003B)  
Deleted (2008)

### 84.347

Community Scholarship Mobilization (2000U)  
Archived (2002B)

### 84.348

Title I Accountability Grants (2000U)  
Deleted (2004)

### 84.349

Early Childhood Educator Professional Development (2001U)  
Archived (2009)

### 84.350

Transition to Teaching (2001U)

### 84.351

Arts in Education (2001U)

### 84.352

Grants for School Repair and Renovation (2001U)  
School Renovation Grants (2002B)  
Archived (2003B)

### 84.353

Tech-Prep Demonstration Grants (2001U)

### 84.354

Charter Schools Facilities Financing Demonstration (2002B)  
Credit Enhancement for Charter School Facilities (2005)  
Credit Enhancement for Charter School Facilities (2005)

### 84.355

Child Care Provider Loan Forgiveness Demonstration (2002B)

### 84.356

Alaska Native Educational Programs (2001U)

### 84.357

Reading First State Grants (2002B)

### 84.358

Rural Education Achievement Program (2002B)  
Rural Education (2003B)

### 84.359

Early Reading First (2002B)

### 84.360

Dropout Prevention Programs (2002B)  
School Dropout Prevention Program (2008)

### 84.361

Voluntary Public School Choice (2002B)

### 84.362

Native Hawaiian Education (2002B)

### 84.363

School Leadership (2002B)

### 84.364

Literacy through School Libraries (2002B)

### 84.365

English Language Acquisition Grants (2004)

### 84.366

Mathematics and Science Partnerships (2004)

### 84.367

Improving Teacher Quality State Grants (2004)

### 84.368

Grants for Enhanced Assessment Instruments (2003B)  
Deleted (2004)

### 84.369

Grants for State Assessments and Related Activities (2004)

### 84.370

DC School Choice Incentive Program (2005)

### 84.371

Striving Readers (2006)

### 84.372

Statewide Data Systems (2006)

### 84.373

Special Education\_Technical Assistance on State Data Collection (2006)

### 84.374

Teacher Incentive Fund (2006)

### 84.375

Academic Competitiveness Grants (2006)

### 84.376

National Science and Mathematics Access to Retain Talent (SMART) Grants (2006)

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| <b>84.377</b><br>School Improvement Grants (2008)  | <b>84.393</b><br>Special Education - Grants for Infants and Families, Recovery Act (2009)                       | <b>FOUNDATION</b><br><b>85.200</b><br>Barry M. Goldwater Scholarship Program (1997B)  |
| <b>84.378</b><br>College Access Challenge Grant Program (2008)   | <b>84.394</b><br>State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (2009)           | <b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b> <hr/> <b>85.100</b><br>Christopher Columbus Fellowship Program (1997B)<br>Archived (2009) |
| <b>84.379</b><br>Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (2008)  | <b>84.395</b><br>State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (2009) | <b>85.101</b><br>Homeland Security Award (2009)   |
| <b>84.380</b><br>Special Education -- Olympic Education Programs (2008)  | <b>84.396</b><br>State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (2009)   | <b>85.102</b><br>Christopher Columbus Awards (2009)   |
| <b>84.381</b><br>Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (2008) | <b>84.397</b><br>State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (2009)              | <b>85.103</b><br>Freida J. Riley Teacher Award (2009)   |
| <b>84.382</b><br>Strengthening Minority-Serving Institutions (2008)  | <b>84.398</b><br>Independent Living State Grants, Recovery Act (2009)   | <b>85.104</b><br>Life Sciences Awards (2009)  |
| <b>84.383</b><br>Homeless Education Disaster Assistance Program (2009)   | <b>84.399</b><br>Independent Living Services for Older Individuals Who are Blind, Recovery Act (2009)           | <b>HARRY S TRUMAN SCHOLARSHIP FOUNDATION</b> <hr/> <b>85.001</b><br>Harry S Truman Scholarship Program (1980U1)                             |
| <b>84.384</b><br>Statewide Data Systems, Recovery Act (2009)   | <b>84.400</b><br>Centers for Independent Living, Recovery Act. (2009)   | <b>JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION</b> <hr/> <b>85.500</b><br>James Madison Memorial Fellowship Program (1997B)                |
| <b>84.385</b><br>Teacher Incentive Fund, Recovery Act (2009)   | <b>84.401</b><br>Impact Aid School Construction, Recovery Act (2009)  | <b>MILLENNIUM CHALLENGE CORPORATION</b> <hr/> <b>85.111</b><br>Rural Water Investment Evaluations (MOZMBIQUE) (2009)                        |
| <b>84.386</b><br>Education Technology State Grants, Recovery Act (2009)  | <b>84.402</b><br>Consolidated Grants to the Outlying Areas, Recovery Act (2009)                                 | <b>MORRIS K. UDALL FOUNDATION</b> <hr/> <b>85.400</b><br>Morris K. Udall Scholarship Program (1997B)  |
| <b>84.387</b><br>Education for Homeless Children and Youth, Recovery Act (2009)  | <b>84.403</b><br>Consolidated Grant to the Outlying Areas (2009)  | <b>85.401</b><br>Morris K. Udall Fellowship Program (1997B)   |
| <b>84.388</b><br>School Improvement Grants, Recovery Act (2009)  | <b>84.404</b><br>Impact Aid -- School Construction Formula Grants, Recovery Act (2009)                          | <b>85.402</b><br>Morris K. Udall Native American Congressional Internship Program (1997B)   |
| <b>84.389</b><br>Title I Grants to Local Educational Agencies, Recovery Act (2009)   | <b>84.405</b><br>Teacher Quality Partnerships, Recovery Act (2009)  | <b>SMITHSONIAN INSTITUTION</b> <hr/> <b>85.601</b><br>Smithsonian Institution Fellowship Program (2008)                                     |
| <b>84.390</b><br>Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (2009)   | <b>84.406</b><br>Capacity Building for Traditionally Underserved Populations, Recovery Act. (2009)              | <b>WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS</b> <hr/> <b>85.300</b><br>Woodrow Wilson Center Fellowships in the                     |
| <b>84.391</b><br>Special Education Grants to States, Recovery Act (2009)   | <b>84.938</b><br>Hurricane Education Recovery (2008)<br>Archived (2009)   |   |
| <b>84.392</b><br>Special Education - Preschool Grants, Recovery Act (2009)   | <b>BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION</b> <hr/>  |   |

# Appendix VII: Historical Profile of Catalog Programs

Humanities and Social Sciences (1997B)

## **PENSION BENEFIT GUARANTY CORPORATION**

**86.001**

Pension Plan Termination Insurance (1980U2)

## **CONSUMER PRODUCT SAFETY COMMISSION**

**87.001**

Voluntary Standards Assistance (1980U2)

Archived (1986U)

## **ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD**

**88.001**

Architectural and Transportation Barriers Compliance (1984U)

## **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

**89.001**

National Archives Reference Services (1985B)

Transferred from 39.004 (1985B)

National Archives Reference Services -- Historical Research (1988B)

**89.002**

National Audiovisual Center (1985B)

Transferred from 39.005 (1985B)

Multimedia and Publications Distribution (1993B)

Archived (1995B)

**89.003**

National Historical Publications and Records

Grants (1985B)

Transferred from 39.006 (1985B)

**89.005**

Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (2006)

## **BROADCASTING BOARD OF GOVERNORS**

**90.500**

International Broadcasting Independent Grantee Organizations (2008)

## **COMMISSION ON THE BICENTENNIAL OF THE U.S. CONSTITUTION**

**90.001**

Bicentennial Educational Grant Program (1987U)

Archived (1991B)

**90.002**

The U.S. Constitution\_College-Community Forums (1990B)

Archived (1991B)

## **DELTA REGIONAL AUTHORITY**

**90.200**

Delta Regional Development (2005)

**90.201**

Enter new title here!Delta Area Economic Development (2005)

**90.202**

Enter new title here!Delta Local Development District Assistance (2005)

## **DENALI COMMISSION**

**90.100**

Denali Commission Program (2000U)

## **JAPAN U.S. FRIENDSHIP COMMISSION**

**90.300**

Japan-US Friendship Commission Grants (2004)

## **U.S. ELECTION ASSISTANCE COMMISSION**

**90.400**

Help American Vote College Pollworker Program (2004)

Help America Vote College Pollworker Program (2006)

Help America Vote College Program (2008)

**90.401**

Help America Vote Act Requirements Payments (2005)

**90.402**

Help America Vote Mock Election Program (2008)

## **UNITED STATES INSTITUTE OF PEACE**

**91.001**

International Peace and Conflict Management\_Research and Education (1990B)

Unsolicited Grant Program (2000B)

Annual Grant Competition (2009)

**91.002**

International Peace and Conflict Management\_Articles and Manuscripts (1990B)

Solicited Grant Program (2000B)

Priority Grant Competition (2009)

## **NATIONAL COUNCIL ON DISABILITY**

**92.001**

National Council on Disability (1992B)

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**93.001**

Civil Rights Compliance Activities (1976B)

Number changed from 13.675 (1990U)

Civil Rights and Privacy Rule Compliance Activities (2004)

**93.002**

Consumer Affairs (1976B)

Number changed from 13.678 (1990U)

Archived (1999B)

**93.003**

Public Health and Social Services Emergency Fund (1992U)

Archived (1994B)

Public Health and Social Services Emergency Fund

-- Reinstated (1995U)

**93.004**

Cooperative Agreements to Improve the Health Status of Minority Populations (1997U)

**93.005**

Project Grants for Facilities to Improve the Health Status of Minority Populations (1997U)

**93.006**

State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (2000B)

**93.007**

Public Awareness Campaigns on Embryo Adoption (2002B)

**93.008**

Medical Reserve Corps Small Grant Program (2004)

**93.009**

Compassion Capital Fund (2004)

**93.010**

Community-Based Abstinence Education (CBAE) (2005)

**93.012**

Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (2005)

**93.013**

Ambassadors for Change Program (2006)

**93.014**

Steps to Healthier Girls Program (2006)

**93.015**

HIV Prevention Programs for Women (2006)

**93.017**

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Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (2006)

## 93.018

Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (2006)

## 93.019

Technical Assistance and Provision for Foreign Hospitals and Health Organizations (2008)

## 93.020

Family Support Payments to States\_Assistance Payments  
Number changed from 13.780 (1990U)  
Number changed to 93.560 (1992U)

## 93.021

Job Opportunities and Basic Skills Training  
Number changed from 13.781 (1990U)  
Number changed to 93.561 (1992U)

## 93.022

Assistance Payments\_Research  
Number changed from 13.782 (1990U)  
Number changed to 93.562 (1992U)

## 93.023

Child Support Enforcement  
Number changed from 13.783 (1990U)  
Number changed to 93.563 (1992U)

## 93.024

Child Support Enforcement Research  
Number changed from 13.784 (1990U)  
Number changed to 93.564 (1992U)

## 93.025

State Legalization Impact Assistance Grants  
Number changed from 13.786 (1990U)  
Number changed to 93.565 (1992U)

## 93.026

Refugee and Entrant Assistance\_State Administered Programs  
Number changed from 13.787 (1990U)  
Number changed to 93.566 (1992U)

## 93.027

Refugee Assistance\_Voluntary Agency Programs  
Number changed from 13.788 (1990U)  
Number changed to 93.567 (1992U)

## 93.028

Low-Income Home Energy Assistance  
Number changed from 13.789 (1990U)  
Number changed to 93.568 (1992U)

## 93.029

Work Incentive Program/WIN Demonstration Program  
Number changed from 13.790 (1990U)  
Archived (1991B)

## 93.030

Emergency Services and Shelter AFDC Transitional Housing Demonstration Program  
Number changed from 13.791 (1990U)  
Archived (1991B)

## 93.031

Community Services Block Grant  
Number changed from 13.792 (1990U)  
Number changed to 93.569 (1992U)

## 93.032

Community Services Block Grant\_Discretionary Awards  
Number changed from 13.793 (1990U)  
Number changed to 93.570 (1992U)

## 93.033

Community Block Grant Discretionary Awards\_Community Food and Nutrition  
Number changed from 13.795 (1990U)  
Number changed to 93.571 (1992U)

## 93.034

Emergency Community Services for the Homeless  
Number changed from 13.796 (1990U)  
Number changed to 93.572 (1992U)

## 93.035

Community Services Block Grant Discretionary Awards\_Demonstration Partnerships  
Number changed from 13.797 (1990U)  
Number changed to 93.573 (1992U)

## 93.036

Child Care for Families At-Risk of Welfare Dependency (1991B)  
Number changed to 93.574 (1992U)

## 93.037

Payments to States for Day Care Assistance (1991B)  
Payments to States for Child Care Assistance (1992B)  
Number changed to 93.575 (1992U)

## 93.038

Refugee and Entrant Assistance\_Discretionary Grants (1991U)  
Number changed to 93.576 (1992U)

## 93.039

Child Care Improvement Grants (1991B)  
Archived (1992B)

## 93.040

Family Support Centers Demonstration Program (1992B)  
Number changed to 93.578 (1992U)

## 93.041

Special Programs for the Aging\_Title III, Part G\_Prevention of Abuse, Neglect, and Exploitation of Older Individuals  
Number changed from 93.552 (1992U)  
Special Programs for the Aging\_Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation (1993U)

## 93.042

Special Programs for the Aging\_Title III, Part A\_Long-Term Care Ombudsman Services for Older Individuals  
Number changed from 93.553 (1992U)  
Special Programs for the Aging\_Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals (1993U)

## 93.043

Special Programs for the Aging\_Title III, Part F\_Disease Prevention and Health Promotion Services  
Number changed from 93.555 (1992U)  
Special Programs for the Aging\_Title III, Part F\_Disease Prevention and Health Promotion Services (1994B)  
Special Programs for the Aging\_Title III, Part D\_Disease Prevention and Health Promotion Services (2002B)

## 93.044

Special Programs for the Aging\_Title III, Part B\_Grants for Supportive Services and Senior Centers  
Number changed from 93.633 (1992U)  
Consolidated from 93.046 (2001B)

## 93.045

Special Programs for the Aging\_Title III, Part C\_Nutrition Services  
Number changed from 93.635 (1992U)

## 93.046

Special Programs for the Aging\_Title III, Part D\_In-Home Services for Frail Older Individuals  
Number changed from 93.641 (1992U)  
Consolidated into 93.044 (2001B)

## 93.047

Special Programs for the Aging\_Title VI, Part A, Indian Programs\_Grants to Indian Tribes and Part B, Grants to Native Hawaiians  
Number changed from 93.655 (1992U)  
Special Programs for the Aging\_Title VI, Part A, Grants to Indian Tribes\_Part B, Grants to Native Hawaiians (2002B)

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- 93.048**  
Special Programs for the Aging\_ Title IV\_ Training, Research and Discretionary Projects and Programs  
Number changed from 93.668 (1992U)  
Special Programs for the Aging\_ Title IV\_ and Title II\_ Discretionary Projects (2002B)
- 93.049**  
Special Programs for the Aging\_ Title VII, Chapter 6\_ Allotments for Vulnerable Elder Rights Protection Programs (1994B)  
Archived (2000B)
- 93.050**  
Special Programs for the Aging\_ Title II\_ Preconference Programs for the White House Conference on Aging (1994U)  
Archived (1995B)  
Geosciences (2003)
- 93.051**  
New Demonstration Grants to States with Respect to Alzheimer's Disease (1999B)  
Alzheimer's Disease Demonstration Grants to States (2002B)
- 93.052**  
Nation Family Caregiver Support Program (2001B)  
National Family Caregiver Support (2002B)  
National Family Caregiver Support, Title III, Part E (2007)
- 93.053**  
Nutrition Services Incentive Program (2003B)
- 93.054**  
National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (2007)
- 93.061**  
Innovations in Applied Public Health Research (2004)
- 93.062**  
Biomonitoring Programs for State Public Health Laboratories (2008)
- 93.063**  
Centers for Genomics and Public Health (2004)
- 93.064**  
Laboratory Training, Evaluation, and Quality Assurance Programs (2004)
- 93.065**  
Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (2005)
- 93.066**  
Vital Statistics Re-engineering Program (2004)  
State Vital Statistics Improvement Program (2007)
- 93.067**  
Global AIDS (2005)
- 93.068**  
Chronic Diseases: Research, Control, and Prevention (2005)  
Chronic Diseases: Research, Control, and Prevention (2008)
- 93.069**  
Public Health Emergency Preparedness (2008)
- 93.070**  
Environmental Public Health and Emergency Response (2008)
- 93.071**  
Medicare Enrollment Assistance Program (2008)
- 93.072**  
Lifespan Respite Care Program (2009)
- 93.086**  
Healthy Marriage Promotion and Responsible Fatherhood Grants (2006)
- 93.087**  
Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (2007)
- 93.088**  
Advancing System Improvements to Support Targets for Healthy People 2010 (2008)
- 93.090**  
Guardianship Assistance (2009)
- 93.100**  
Field-Initiated Small Grants in Minority Health (1993B)  
Archived (1995B)  
Health Disparities Grants in Minority Health, Reinstated (2001B)  
Health Disparities in Minority Health (2002B)
- 93.101**  
Grants for Residential Treatment Programs for Pregnant and Postpartum Women (1993U)  
Archived (2002B)
- 93.102**  
Demonstration Grants for Residential Treatment for Women and Their Children (1993U)  
Archived (2001B)
- 93.103**  
Food and Drug Administration\_ Research  
Number changed from 13.103 (1990U)
- 93.104**  
Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (1993U)
- 93.105**  
Bilingual/Bicultural Service Demonstration Projects in Minority Health (1993U)  
Bilingual/Biculture Service Demonstration Grants (2002B)
- 93.106**  
Minority International Research Training Grant in the Biomedical and Behavioral Sciences (1993U)  
Consolidated into 93.989 (2006)
- 93.107**  
Area Health Education Centers\_ Model Programs (1993U)  
Model State-Supported Area Health Education Centers (1999U)
- 93.108**  
Health Education Assistance Loans  
Number changed from 13.108 (1990U)  
Deleted (2005)
- 93.109**  
Linking Community-Based Primary Care, Substance Abuse, HIV/AIDS, and Mental Health Treatment Services (1993U)  
Archived (1997B)
- 93.110**  
Maternal and Child Health Federal Consolidated Programs  
Number changed from 13.110 (1990U)
- 93.111**  
Adolescent Family Life Research Grants  
Number changed from 13.111 (1990U)
- 93.112**  
Characterization of Environmental Health Hazards  
Number changed from 13.112 (1990U)  
Archived (1991B)
- 93.113**  
Biological Response to Environmental Health Hazards  
Number changed from 13.113 (1990U)  
Environmental Health (2006)
- 93.114**  
Applied Toxicological Research and Testing  
Number changed from 13.114 (1990U)  
Deleted (2006)

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- 93.115**  
Biometry and Risk Estimation\_Health Risks from Environmental Exposures  
Number changed from 13.115 (1990U)  
Deleted (2006)
- 93.116**  
Project Grants and Cooperative Agreements for Tuberculosis Control Programs  
Number changed from 13.116 (1990U)
- 93.117**  
Grants for Preventive Medicine Residency Training  
Number changed from 13.117 (1990U)  
Grants for Preventive Medicine and Dental Public Health (1993B)  
Grants for Preventive Medicine (1998B)
- 93.118**  
Acquired Immunodeficiency Syndrome (AIDS) Activity  
Number changed from 13.118 (1990U)  
Incorporated from 93.160 (1993B)
- 93.119**  
Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services\_ Technical Assistance Centers for Evaluation (1993U)  
Archived (1997B)
- 93.120**  
Mental Health Services for Cuban Entrants  
Number changed from 13.120 (1990U)  
Archived (1996B)
- 93.121**  
Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry  
Number changed from 13.121 (1990U)  
Oral Diseases and Disorders Research (1990U)
- 93.122**  
Cooperative Agreements for Substance Abuse Treatment and Recovery Systems for Rural, Remote and Culturally Distinct Populations (1993U)  
Archived (2000U)
- 93.123**  
Health Professions Pregraduate Scholarship Program for Indians  
Number changed from 13.123 (1990U)
- 93.124**  
Nurse Anesthetist Traineeships  
Number changed from 13.124 (1990U)
- 93.125**  
Mental Health Planning and Demonstration Projects
- Number changed from 13.125 (1990U)  
Archived (2002B)
- 93.126**  
Small Business Innovation Research  
Number changed from 13.126 (1990U)  
Small Business Innovation Research (NIAAA, NIDA, NIMH) (1992U)  
Incorporated into 93.242, 93.273, 93.279 (1993B)
- 93.127**  
Emergency Medical Services for Children  
Number changed from 13.127 (1990U)
- 93.128**  
Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services\_Mental Health Statistics Improvement Program (1993U)  
Archived (1999B)
- 93.129**  
Technical and Non-Financial Assistance to Community Health Centers  
Number changed from 13.129 (1990U)  
Technical and Non-Financial Assistance to Health Centers (1997B)  
Technical and Non-Financial Assistance to Health Centers and National Health Service Corps (NHSC) Delivery Sites (1999U)  
Technical and Non-Financial Assistance to Health Centers (2005)
- 93.130**  
Primary Care Services Planning and Development Cooperative Agreements  
Number changed from 13.130 (1990U)  
Primary Care Services\_Resource Coordination and Development Primary Care Offices (1995B)  
Primary Care Services\_Resource Coordination and Development\_Primary Care Offices (1999U)  
Primary Care Services\_Resource Coordination and Development (2002B)  
Primary Care Services Resource Coordination and Development (2005)  
Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (2007)
- 93.131**  
Cooperative Agreements for Addiction Treatment Training Centers (1993U)  
Consolidated into 93.230 (1999B)
- 93.132**  
Managed Care Demonstration Models for SSI Beneficiaries Disabled Due to Addiction to Alcohol and Other Drugs (1993U)  
Archived (1997B)
- 93.133**  
Health Services Delivery to Persons with AIDS\_Demonstration Grants  
Number changed from 13.133 (1990U)  
Archived (1992B)
- 93.134**  
Assistance for Organ Procurement Organizations  
Number changed from 13.134 (1990U)  
Grants to Increase Organ Donations (1991B)
- 93.135**  
Centers for Research and Demonstration for Health Promotion and Disease Prevention  
Number changed from 13.135 (1990U)
- 93.136**  
Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects  
Number changed from 13.136 (1990U)  
Injury Prevention and Control Research Projects (1990U)  
Injury Prevention and Control Research and State Grants Projects (1992U)  
Injury Prevention and Control Research and State and Community Based Programs (1996B)
- 93.137**  
Minority Community Health Coalition Demonstration  
Number changed from 13.137 (1990U)  
Community Programs to Improve Minority Health Grant Program (2001B)
- 93.138**  
Protection and Advocacy for Mentally Ill Individuals  
Number changed from 13.138 (1990U)  
Protection and Advocacy for Individuals with Mental Illness (1993B)
- 93.139**  
Financial Assistance for Disadvantaged Health Professions Students (FADHPS)  
Number changed from 13.139 (1990U)  
Financial Assistance for Disadvantaged Health Professions Students (1997B)  
Consolidated into 93.925 (2001B)
- 93.140**  
Intramural Research Training Award  
Number changed from 13.140 (1990U)
- 93.141**  
Special State Grant Program for Increasing the Availability of the 9-1-1 Emergency Telephone Number (1993U)  
Special Initiatives Trauma Grant Program (1994U)  
Archived (1997B)



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- 93.142**  
NIEHS Hazardous Waste Worker Health and Safety Training  
Number changed from 13.142 (1990U)
- 93.143**  
NIEHS Superfund Hazardous Substances\_Basic Research and Education  
Number changed from 13.143 (1990U)
- 93.144**  
Drug and Alcohol Abuse Prevention\_High-Risk Youth Demonstration Grants  
Number changed from 13.144 (1990U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1991U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1992U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Populations (1995B)  
Demonstration Grants for the Prevention of Alcohol and Drug Abuse Among High-Risk Populations (1996B)  
Archived (2002B)
- 93.145**  
AIDS Education and Training Centers  
Number changed from 13.145 (1990U)  
National AIDS Education and Training Centers (1994U)  
AIDS Education and Training Centers (1998B)
- 93.146**  
Temporary AIDS Drug Reimbursements  
Number changed from 13.146 (1990U)  
Archived (1992B)
- 93.147**  
Post-Baccalaureate Faculty Fellowships  
Number changed from 13.147 (1990U)  
Archived (1991B)
- 93.148**  
Cooperative Agreements for Collaborative Demonstration Program for Homeless Individuals (1993U)  
Archived (1997B)
- 93.149**  
Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine  
Number changed from 13.149 (1990U)  
Archived (1993U)
- 93.150**  
Mental Health Services for the Homeless Block Grant  
Number changed from 13.150 (1990U)
- Projects for Assistance in Transition from Homelessness (PATH) (1991B)
- 93.151**  
Project Grants for Health Services to the Homeless  
Number changed from 13.151 (1990U)  
Health Center Grants for Homeless Populations (1997B)  
Consolidated into 93.224 (2006)
- 93.152**  
Community Demonstration Grant Projects for Alcohol and Drug Abuse Treatment of Homeless Individuals  
Number changed from 13.152 (1990U)  
Archived (1994)
- 93.153**  
Pediatric AIDS Health Care Demonstration Program  
Number changed from 13.153 (1990U)  
Pediatric Family AIDS Health Care Demonstration Program (1993U)  
HIV Demonstration Program for Children, Adolescents, and Women (1994B)  
Coordinated HIV Services and Access to Research for Children, Youth, Women, and Families (2000B)  
Coordinated Services and Access to Research for Women, Infants, Children, and You (2002B)
- 93.154**  
Special International Postdoctoral Research Program in Acquired Immunodeficiency Syndrome  
Number changed from 13.154 (1990U)  
Archived (2001B)
- 93.155**  
Rural Health Research Centers  
Number changed from 13.155 (1990U)
- 93.156**  
Grants for Faculty Training Projects in Geriatric Medicine and Dentistry  
Number changed from 13.156 (1990U)  
Geriatric Training Regarding Physicians and Dentists (1999U)  
Geriatric Training for Physicians, Dentists, and Behavioral/Mental Health Professionals (2002B)  
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2005)  
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2006)
- 93.157**  
Excellence in Minority Health Education and Care  
Number changed from 13.157 (1990U)  
Programs for Excellence in Health Professions Education for Minorities (1991B)  
Programs of Excellence in Health Professions Education for Minorities (1991U)  
Centers of Excellence (1999U)
- 93.158**  
Adolescent Health Centers for American Indians/Alaska Natives (1993U)  
Archived (1999B)
- 93.159**  
Health Care Services in the Home  
Number changed from 13.159 (1990U)  
Archived (1994B)
- 93.160**  
Minority AIDS Education/Prevention Grants  
Number changed from 13.160 (1990U)  
Minority AIDS and Related Risk Factors Education/Prevention Grants (1991B)  
Incorporated into 93.118 (1993B)
- 93.161**  
Health Program for Toxic Substances and Disease Registry  
Number changed from 13.161 (1990U)  
Split into 93.200, 93.201, 93.203, 93.204, 93.205, 93.206, 93.207, 93.208 (1994B)
- 93.162**  
National Health Service Corps Loan Repayment  
Number changed from 13.162 (1990U)  
National Health Service Corps Loan Repayment Program (1993U)
- 93.163**  
Health Services in the Pacific Basin  
Number changed from 13.163 (1990U)  
Archived (1997B)
- 93.164**  
Indian Health Service Educational Loan Repayment  
Number changed from 13.164 (1990U)
- 93.165**  
Grants for State Loan Repayment  
Number changed from 13.165 (1990U)  
Grants To States for Loan Repayment Program (2005)
- 93.166**  
Indian Health Service Health Promotion and Disease Prevention Demonstration Projects  
Number changed from 13.166 (1990U)  
Archived (1991B)
- 93.167**  
Research Facilities Improvement  
Number changed from 13.167 (1990U)  
Archived (1991U)
- 93.168**  
International Cooperative Biodiversity Groups Program (1995U)  
Consolidated into 93.989 (2006)

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- 93.169**  
Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse)  
Number changed from 13.169 (1990U)  
Demonstration Grants on Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) (1991U)  
Archived (2000U)
- 93.170**  
Community Youth Activity Demonstration Grants  
Number changed from 13.170 (1990U)  
Archived (1993B)
- 93.171**  
Community Youth Activity Block Grants  
Number changed from 13.171 (1990U)  
Archived (1993B)
- 93.172**  
Human Genome Research  
Number changed from 13.172 (1990U)
- 93.173**  
Biological Research Related to Deafness and Communicative Disorders  
Number changed from 13.173 (1990U)  
Research Related to Deafness and Communication Disorders (1990U)
- 93.174**  
Conference Grant (Substance Abuse)  
Number changed from 13.174 (1990U)  
Knowledge Dissemination Grants (Substance Abuse) (1996B)  
Archived (1999B)
- 93.175**  
Drug Abuse Treatment Waiting List Reduction Grants  
Number changed from 13.175 (1990U)  
Archived (1992B)
- 93.176**  
ADAMHA Small Instrumentation Program Grants  
Number changed from 13.176 (1990U)  
NIAAA, NIDA, and NIMH Small Instrumentation Program Grants (1992U)  
Incorporated into 93.242, 93.273, 93.279 (1993B)
- 93.177**  
Integrated Community-Based Primary Care and Drug Abuse Treatment Services  
Number changed from 13.177 (1990U)  
Archived (1997B)
- 93.178**  
Nursing Education Opportunities for Individuals from Disadvantaged Backgrounds  
Number changed from 13.178 (1990U)
- Nursing Workforce Diversity (2000B)
- 93.179**  
State Data Collection\_Uniform Alcohol and Drug Abuse Data  
Number changed from 13.179 (1990U)  
Archived (1993U)
- 93.180**  
Medical Treatment Effectiveness Research  
Number changed from 13.180 (1990U)  
Research on Health Care Outcomes and Quality (1997U)  
Consolidated into 93.226 (1999B)
- 93.181**  
Podiatric Primary Care Residency Training  
Number changed from 13.181 (1990U)  
Grants for Podiatric Primary Care Residency Training (1993B)  
Podiatric Residency in Primary Care (1999U)  
Podiatric Residency Training in Primary Care (2002B)  
Archived (2009)
- 93.182**  
Scholarships for the Undergraduate Education of Professional Nurses  
Number changed from 13.182 (1990U)  
Archived (1993B)
- 93.183**  
Federal Assistance for Rural Hospitals for the Advancement and Improvement of Health Care Services and the Enhancement of Quality Care  
Number changed from 13.183 (1990U)  
Archived (1991B)
- 93.184**  
Disabilities Prevention  
Number changed from 13.184 (1990U)
- 93.185**  
Immunization Research, Demonstration, Public Information and Education\_Education, Training, and Clinical Skills Improvement Projects  
Number changed from 13.185 (1990U)  
Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects (1994U)
- 93.186**  
National Research Services Awards  
Number changed from 13.186 (1990U)  
National Research Service Award in Primary Care Medicine (2005)  
National Research Service Award in Primary Care Medicine (2006)
- 93.187**
- Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (1995U)
- 93.188**  
Special Project Grants to Schools of Public Health  
Number changed from 13.188 (1990U)  
Public Health Training Centers (1999U)  
Archived (2002B)
- 93.189**  
Health Education and Training Centers  
Number changed from 13.189 (1990U)
- 93.190**  
Model Education Projects for Health Professions  
Number changed from 13.190 (1990U)  
Archived (1993B)
- 93.191**  
Allied Health Project Grants  
Number changed from 13.191 (1990U)  
Allied Health Projects (1999U)  
Allied Health Special Projects (2002B)
- 93.192**  
Interdisciplinary Training for Health Care for Rural Areas  
Number changed from 13.192 (1990U)  
Quentin N. Burdick Programs for Rural Interdisciplinary Training (1999U)  
Quentin N. Burdick Program for Rural Interdisciplinary Training (2005)
- 93.193**  
Urban Indian Alcohol and Substance Abuse Prevention, Treatment, Rehabilitation and Education  
Number changed from 13.193 (1990U)  
Urban Indian Health Services (1991U)
- 93.194**  
Community Partnership Demonstration Grant  
Number changed from 13.194 (1990U)  
Community Partnership Study Demonstration Grant (1991U)  
Community Partnership Demonstration Grant (1993U)  
Community Prevention Coalitions (Partnership) Demonstration Grant (1996B)  
Archived (2002B)
- 93.195**  
Disaster Relief Assistance Grants for Drug Abuse Treatment  
Number changed from 13.195 (1990U)  
Archived (1991B)
- 93.196**  
Cooperative Agreements for Drug Abuse Treatment Improvement Projects in Target Cities

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Number changed from 13.196 (1990U)  
Archived (2000U)

### 93.197

Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention  
Number changed from 13.197 (1990U)  
Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention Program (1991B)  
Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention and Surveillance of  
Blood Lead Levels in Children (1995B)  
Childhood Lead Poisoning Prevention  
Projects\_State and Local Childhood Lead  
Poisoning Prevention and Surveillance of Blood  
Lead Levels in Children (2000B)

### 93.198

Biological Models and Materials Resources  
Number changed from 13.198 (1990U)  
Biological Models and Materials Research (1991B)  
Consolidated into 93.306 (1996B)

### 93.199

HIV Home and Community-Based Health Services  
Number changed from 13.199 (1990U)  
Archived (1992B)

### 93.200

Educating Health Professionals Regarding  
Environmentally Hazardous Substances  
Split from 93.161 (1994B)  
Environmental Health Education Activities for  
Health Professionals and Communities (1996B)  
Archived (1997B)

### 93.201

Public Health Assessments and Related  
Site-Specific Biological Testing  
Split from 93.161 (1994B)  
Archived (1997B)

### 93.202

Capacity Building Among American Indian Tribes  
(2002B)

### 93.203

Health Activities Recommendation Panel Health  
Activities  
Split from 93.161 (1994B)  
Archived (1997B)

### 93.204

Surveillance of Hazardous Substance Emergency  
Events  
Split from 93.161 (1994B)

### 93.205

Health Outcome Studies to Hazardous Substances  
and Adverse Health Effects  
Split from 93.161 (1994B)  
Archived (1996B)

### 93.206

Health Studies Initiative of Priority Health  
Conditions  
Split from 93.161 (1994B)  
Human Health Studies\_Applied Research and  
Development (1997B)  
Archived (2009)

### 93.207

Surveillance of the Relationship Between  
Hazardous Substances Exposure and Adverse  
Health Outcomes  
Split from 93.161 (1994B)  
Archived (1996B)

### 93.208

Great Lakes Human Health Effects Research  
Split from 93.161 (1994B)  
Archived (2009)

### 93.209

Contraception and Infertility Loan Repayment  
Program (1995U)  
Contraception and Infertility Research Loan  
Repayment Program (2000B)

### 93.210

Tribal Self-Governance Demonstration Program:  
Planning and Negotiation Cooperative Agreements  
and IHS Compacts (1994B)  
Tribal Self-Governance Program: Planning and  
Negotiation Cooperative Agreements and IHS  
Compacts/Funding Agreements (2004)  
Tribal Self-Governance Program: IHS  
Compacts/Funding Agreements (2008)

### 93.211

Rural Telemedicine Grants (1994B)  
Telehealth Network Grants (2004)

### 93.212

Chiropractic Demonstration Projects (1994B)  
Chiropractic Demonstration Project Grants (2002B)

### 93.213

Research and Training in Alternative Medicine  
(1994B)  
Research and Training in Complementary and  
Alternative Medicine (2001B)

### 93.214

Extramural Research Facilities Construction  
Projects (1994B)  
Consolidated into 93.389 (1996B)

### 93.215

Hansen's Disease National Ambulatory Care  
Program (1995U)

### 93.216

HIV/AIDS Mental Health Services Demonstration  
Program (1994U)  
Archived (2000U)

### 93.217

Family Planning\_Services  
Number changed from 13.217 (1990U)

### 93.218

Substance Abuse Treatment Conference Grants  
(1994U)  
Archived (1999B)

### 93.219

Matching Grants for Health Professions  
Scholarships to Indian Tribes (1994U)

### 93.220

Loan Repayment Program for Individuals from  
Disadvantaged Backgrounds (1994U)  
Clinical Research Loan Repayment Program for  
Individuals from Disadvantaged Backgrounds  
(1995B)

### 93.221

Junior National Health Service Corps/Junior Health  
Careers Opportunity Program (1994U)  
Split from 93.258, 93.822 (1994U)  
Archived (1997B)

### 93.222

Centers for Medical Education Research (1994U)  
Archived (2000B)

### 93.223

Development and Coordination of Rural Health  
Services (1994U)  
Split from 93.913 (1994U)

### 93.224

Community Health Centers  
Number changed from 13.224 (1990U)  
Consolidated Health Centers (Community Health  
Centers, Migrant Health Centers, Health Care for  
the Homeless, Public Housing Primary Care, and  
School Based Health Centers) (2005)

### 93.225

National Research Service Awards\_Health Services  
Research Training  
Number changed from 13.225 (1990U)

### 93.226

Health Services Research and Development Grants  
Number changed from 13.226 (1990U)  
Health Care Systems Cost and Access Research and  
Development Grants (1998B)

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Consolidated from 93.180 (1999B)  
Research on Healthcare Costs, Quality and Outcomes (2000B)

## 93.227

Surveillance of the Complications of Hemophilia (1995U)  
Archived (2001B)

## 93.228

Indian Health Services\_Health Management Development Program  
Number changed from 13.228 (1990U)

## 93.229

Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (1995B)  
Archived (2009)

## 93.230

Consolidated Knowledge Development and Application Program (1996B)  
Consolidated from 93.131 (1999B)  
Consolidated Knowledge Development and Application (KD&A) Program (1999U)  
Archived (2009)

## 93.231

Epidemiology Cooperative Agreements (1996U)

## 93.232

Educational Loan Repayment Program for Research Professionals (1996U)  
Loan Repayment Program for Research (1997B)  
Loan Repayment Program for General Research (1997U)

## 93.233

National Center on Sleep Disorders Research (1997B)

## 93.234

Traumatic Brain Injury (1997U)  
Traumatic Brain Injury\_State Demonstration Grant Program (2000B)  
Traumatic Brain Injury State Demonstration Grant Program (2005)

## 93.235

Abstinence Education (1997U)  
Abstinence Education Program (2005)  
Abstinence Education Program (2006)

## 93.236

Grants for Dental Public Health (1998B)  
Grants for Dental Public Health Residency Training (2000B)

## 93.237

Special Diabetes Program for Indians-Prevention

and Treatment Projects (1998B)  
Special Diabetes Program for Indians\_Diabetes Prevention and Treatment Projects (2001B)

## 93.238

Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (1998B)  
Archived (2009)

## 93.239

Policy Research and Evaluation Grants (1998B)

## 93.240

State Capacity Building (1999B)

## 93.241

State Rural Hospital Flexibility Program (1999B)

## 93.242

Mental Health Research Grants  
Number changed from 13.242 (1990U)  
Incorporated from 93.126, 93.176 (1993B)

## 93.243

Substance Abuse and Mental Health Services\_Projects of Regional and National Significance (2002B)

## 93.244

Mental Health Clinical or Service Related Training Grants  
Number changed from 13.244 (1990U)  
Mental Health Clinical and AIDS Service-Related Training Grants (1995U)  
Archived (2009)

## 93.245

New Pilot Innovative Food Safety Projects (1999B)  
Innovative Food Safety Projects (2000B)  
Deleted (2005)

## 93.246

Migrant Health Centers Grants  
Number changed from 13.246 (1990U)  
Health Centers Grants for Migratory and Seasonal Farmworkers (1997B)  
Health Centers Grants for Migrant and Seasonal Farmworkers (1999U)  
Consolidated into 93.224 (2006)

## 93.247

Advanced Education Nursing Grant Program (2000B)  
Consolidated from 93.298, 93.299, 93.916 (2001B)

## 93.248

Residencies in the Practice of Pediatric Dentistry (2000B)  
Consolidated into 93.884 (2003B)

Deleted (2003)

## 93.249

Public Health Training Centers Grant Program (2000B)

## 93.250

Geriatric Academic Career Award (2000B)  
Geriatric Academic Career Awards (2002B)

## 93.251

Universal Newborn Hearing Screening (2000B)

## 93.252

Community Access Program (2000B)  
Healthy Community Access Program (2004)  
Healthy Communities Access Program (2005)

## 93.253

National Poison Control Systems Stabilization and Support (2000U)  
Poison Control Stabilization and Enhancement Grants (2002B)

## 93.254

Infant Adoption Awareness Training (2001B)

## 93.255

Children's Hospitals Graduate Medical Education Payment (2001U)

## 93.256

State Planning Grant\_Health Care Access for the Uninsured (2001U)  
State Planning Grants Health Care Access for the Uninsured (2005)  
State Planning Grants Health Care Access for the Uninsured (2006)

## 93.257

Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (2002B)

## 93.258

National Health Service Corps  
Number changed from 13.258 (1990U)  
Split into 93.221 (1990U)  
Archived (1997B)

## 93.259

Rural Access to Emergency Devices Grant (2002B)

## 93.260

Family Planning\_Personnel Training  
Number changed from 13.260 (1990U)

## 93.262

Occupational Safety and Health Research Grants  
Number changed from 13.262 (1990U)

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Occupational Safety and Health Research Projects (2004)

Occupational Safety and Health Program (2005)

### 93.263

Occupational Safety and Health Training Grants

Number changed from 13.263 (1990U)

Deleted (2005)

### 93.264

Nurse Faculty Loan Program (NFLP) (2003B)

### 93.265

Comprehensive Geriatric Education Program

(CGEP) (2003B)

### 93.266

Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (2004)

### 93.267

State Grants for Protection and Advocacy Services (2004)

### 93.268

Childhood Immunization Grants

Number changed from 13.268 (1990U)

Immunization Grants (1997U)

### 93.269

Complex Humanitarian Emergency and War-Related Injury Public Health Activities (2008)

### 93.270

Adult Viral Hepatitis Prevention and Control (2008)

### 93.271

Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians

Number changed from 13.271 (1990U)

Alcohol Research and Development Awards for Scientists and Clinicians (1993B)

Alcohol Research Career Development Awards for Scientists and Clinicians (1993U)

### 93.272

Alcohol National Research Service Awards for Research Training

Number changed from 13.272 (1990U)

### 93.273

Alcohol Research Programs

Number changed from 13.273 (1990U)

Incorporated from 93.126, 93.176 (1993B)

### 93.274

Alcohol and Drug Abuse Clinical or

Service-Related Training

Number changed from 13.274 (1990U)

Clinical Training Grant for Faculty Development in Alcohol and Other Drug Abuses (1994B)

Clinical Training Grant for Faculty Development in Alcohol and Drug Abuses (1996B)

Archived (2002B)

### 93.275

Substance Abuse and Mental Health

Services-Access to Recovery (2004)

### 93.276

Drug-Free Communities Support Program Grants

(2004)

### 93.277

Drug Abuse Scientist Development Award for Clinicians\_Scientist Development Awards and Research Scientist Awards

Number changed from 13.277 (1990U)

Drug Abuse Scientist Development Awards, Research Scientist Development Awards, and Research Scientist Awards (1994B)

Career Development Awards (2002B)

Consolidated into 93.279 (2003B)

Deleted (2003)

### 93.278

Drug Abuse National Research Service Awards for Research Training

Number changed from 13.278 (1990U)

Consolidated into 93.279 (2003B)

Deleted (2003)

### 93.279

Drug Abuse Research Programs

Number changed from 13.279 (1990U)

Split into 93.949 (1992B)

Incorporated from 93.126, 93.176 (1993B)

Drug Abuse and Addiction Research Programs (2005)

### 93.280

National Institutes of Health Loan Repayment Program for Clinical Researchers (2003B)

### 93.281

Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians

Number changed from 13.281 (1990U)

Scientist Development Award (SDA), Research Scientist Development Award (RSDA), Scientist Development Award for Clinicians (SDAC), and Research Scientist Award (RSA) (1992U)

Mental Health Research Career/Scientist Development Awards (1995U)

### 93.282

Mental Health National Research Service Awards

for Research Training

Number changed from 13.282 (1990U)

### 93.283

Centers for Disease Control\_Investigations and Technical Assistance

Number changed from 13.283 (1990U)

Centers for Disease Control and Prevention\_Investigations and Technical Assistance (1993B)

### 93.284

Injury Prevention Program for American Indians and Alaskan Natives\_Cooperative Agreements (2000B)

### 93.285

National Institutes of Health Pediatric Research Loan Repayment Program (2004)

### 93.286

Biomedical Imaging Research (2002B)

Discovery and Applied Research for Technological Innovations to Improve Human Health (2005)

Discovery and Applied Research for Technological Innovations to Improve Human Health (2006)

### 93.287

Bioengineering Research (2002B)

Deleted (2004)

### 93.288

National Health Service Corps Scholarship Program

Number changed from 13.288 (1990U)

### 93.289

President's Council on Physical Fitness and Sports

Number changed from 13.289 (1990U)

### 93.290

National Community Centers of Excellence in Women's Health (2000U)

### 93.291

Surplus Property Utilization

Number changed from 13.291 (1990U)

### 93.294

Mentoring Partnership Program - Protege (2006)

### 93.295

Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (2006)

### 93.296

State Partnership Grant Program to Improve Minority Health (2006)

### 93.298

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Nurse Practitioner and Nurse Midwife Education and Traineeships

Number changed from 13.298 (1990U)

Nurse Practitioner and Nurse-Midwifery Education Programs (1993U)

Consolidated into 93.247 (2001B)

### 93.299

Advanced Nurse Education

Number changed from 13.299 (1990U)

Consolidated into 93.247 (2001B)

### 93.300

National Center for Health Workforce Analysis (2002B)

### 93.301

Small Rural Hospital Improvement Grants (2002B)

Small Rural Hospital Improvement Grant Program (2005)

### 93.302

Healthy Schools, Healthy Communities (2004)

Incorporated into 93.224 (2006)

### 93.303

Nursing Scholarship Program (2007)

### 93.306

Laboratory Animal Sciences and Primate Research

Number changed from 13.306 (1990U)

Comparative Medicine Program (1991U)

Comparative Medicine, Consolidated from 93.198 (1996B)

Consolidated into 93.389 (2003B)

Deleted (2003)

### 93.307

Loan Repayment for Health Disparities Research (2002B)

### 93.308

Extramural Loan Repayment for individuals from Disadvantaged Backgrounds Conducting Clinical Research (2002B)

### 93.309

Bioinformatics and Computational Biology Research (2002B)

Consolidated into 93.859 (2003B)

Deleted (2003)

### 93.310

Trans-NIH Research Support (2006)

### 93.333

General Clinical Research Centers

Number changed from 13.333 (1990U)

Clinical Research (1996B)

### 93.337

Biomedical Research Support

Number changed from 13.337 (1990U)

Consolidated into 93.371, 93.389 (1996B)

### 93.342

Health Professions Student Loans

Number changed from 13.342 (1990U)

Health Professions Student Loans/Loans for Disadvantaged Students (1991B)

Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (1993B)

### 93.358

Professional Nurse Traineeships

Number changed from 13.358 (1990U)

Advanced Education Nursing Traineeships (2000B)

### 93.359

Nurse Training Improvement\_Special Projects

Number changed from 13.359 (1990U)

Nursing\_Special Projects (1998B)

Basic Nurse Education and Practice Grants (2000B)

Nurse Education, Practice and Retention Grants (2003B)

### 93.361

Nursing Research

Number changed from 13.361 (1990U)

### 93.364

Nursing Student Loans

Number changed from 13.364 (1990U)

### 93.365

Sickle Cell Treatment Demonstration Program (2006)

### 93.371

Biomedical Research Technology

Number changed from 13.371 (1990U)

Biomedical Technology, Consolidated from 93.337 (1996B)

Consolidated into 93.389 (2003B)

Deleted (2003)

### 93.375

Minority Biomedical Research Support

Number changed from 13.375 (1990U)

Consolidated into 93.859 (2003B)

Deleted (2003)

### 93.379

Grants for Graduate Training in Family Medicine

Number changed from 13.379 (1990U)

Consolidated into 93.884 (2001B)

### 93.385

National Institutes of Health Pediatric Research Loan Repayment Program (2003B)

### 93.389

Research Centers in Minority Institutions

Number changed from 13.389 (1990U)

Research Infrastructure (1996B)

Consolidated from 93.337, 93.922 (2003)

### 93.390

Academic Research Enhancement Award

Number changed from 13.390 (1990U)

Deleted (2006)

### 93.392

Cancer Construction (1990U)

Archived (2009)

### 93.393

Cancer Cause and Prevention Research

Number changed from 13.393 (1990U)

### 93.394

Cancer Detection and Diagnosis Research

Number changed from 13.394 (1990U)

### 93.395

Cancer Treatment Research

Number changed from 13.395 (1990U)

### 93.396

Cancer Biology Research

Number changed from 13.396 (1990U)

### 93.397

Cancer Centers Support

Number changed from 13.397 (1990U)

### 93.398

Cancer Research Manpower

Number changed from 13.398 (1990U)

### 93.399

Cancer Control

Number changed from 13.399 (1990U)

### 93.400

National Health Service Corps Scholarship Program (2009)

### 93.401

ARRA - National Health Service Corps Loan Repayment (2009)

### 93.402

ARRA - State Loan Repayment Program (2009)

### 93.403

ARRA - Training in Primary Care Medicine and

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Dentistry (2009)

**93.404**

ARRA Dental Public Health Residency Training Grants (2009)

**93.405**

ARRA - Public Health Traineeship Program (2009)

**93.406**

Nursing Education Loan Repayment Program (NELRP) (2009)

**93.407**

ARRA - Scholarships for Disadvantaged Students (2009)

**93.408**

ARRA - Nurse Faculty Loan Program (2009)

**93.409**

Faculty Loan Repayment Programs (2009)

**93.410**

ARRA Licensure Portability Grant Program (2009)

**93.411**

ARRA Equipment to Enhance Training for Health Professionals (2009)

**93.412**

ARRA - Preventive Medicine Residency Program (2009)

**93.414**

ARRA - State Primary Care Offices (2009)

**93.415**

ARRA - Centers of Excellence (2009)

**93.416**

ARRA - Health Careers Opportunity Program (2009)

**93.417**

ARRA - Nursing Workforce Diversity (2009)

**93.418**

ARRA - Emergency Medical Services for Children (2009)

**93.419**

ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (2009)

**93.441**

Indian Self-Determination (2000U)

**93.442**

Special Diabetes Program for Indians (SDPI)

Competitive Grant Program (2004)

**93.443**

Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (2008)

**93.444**

Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (2008)

**93.447**

State Health Fraud Task Force Grants (2004)

**93.448**

Food Safety and Security Monitoring Project (2005)

**93.449**

Ruminant Feed Ban Support Project (2005)

**93.550**

Administration for Children, Youth and Families Transitional Living for Runaway and Homeless Youth  
Number changed from 13.550 (1990U)  
Transitional Living for Runaway and Homeless Youth (1991U)  
Transitional Living for Homeless Youth (1992U)

**93.551**

Administration for Children, Youth and Families Abandoned Infants  
Number changed from 13.551 (1990U)  
Abandoned Infants (1991U)

**93.552**

Special Programs for the Aging Title III, Part G Prevention of Abuse, Neglect, and Exploitation of Older Individuals (1991B)  
Number changed to 93.041 (1992U)

**93.553**

Special Programs for the Aging Title III, Part A Long-Term Care Ombudsman Services for Older Individuals (1991B)  
Number changed to 93.042 (1992U)

**93.554**

Emergency Protection Grants Substance Abuse (1991B)  
Archived (1995B)

**93.555**

Special Programs for the Aging Title III, Part F Preventive Health Services (1992B)  
Number changed to 93.043 (1992U)

**93.556**

Family Preservation and Support Services (1993U)  
Promoting Safe and Stable Families (2000B)

**93.557**

Education and Prevention to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (1999B)

**93.558**

Temporary Assistance for Needy Families (1997B)

**93.559**

Federal Loans for State Welfare Programs (1997B)  
Archived (2000B)

**93.560**

Family Support Payments to States Assistance Payments  
Number changed from 93.020 (1992U)

**93.561**

Job Opportunities and Basic Skills Training  
Number changed from 93.021 (1992U)  
Archived (1998B)

**93.562**

Assistance Payments Research  
Number changed from 93.022 (1992U)  
Archived (1997B)  
Reinstated (1997U)  
Consolidated into 93.647 (1998B)

**93.563**

Child Support Enforcement  
Number changed from 93.023 (1992U)

**93.564**

Child Support Enforcement Research  
Number changed from 93.024 (1992U)  
Archived (1997B)  
Reinstated (1997U)

**93.565**

State Legalization Impact Assistance Grants  
Number changed from 93.025 (1992U)  
Archived (1997B)

**93.566**

Refugee and Entrant Assistance State Administered Programs  
Number changed from 93.026 (1992U)  
Split into 93.584 (1994U)

**93.567**

Refugee Assistance Voluntary Agency Programs  
Number changed from 93.027 (1992U)  
Refugee and Entrant Assistance Voluntary Agency Programs (2000B)

**93.568**

Low-Income Home Energy Assistance  
Number changed from 93.028 (1992U)

**93.569**

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|---|--|---|
| Community Services Block Grant<br>Number changed from 93.031 (1992U)  | <b>93.579</b><br>U.S. Repatriate Program (1992U)<br>U.S. Repatriation Program (1999U)  | (2006)  |
| <b>93.570</b><br>Community Services Block Grant_Discretionary Awards<br>Number changed from 93.032 (1992U)  | <b>93.580</b><br>Family Resource and Support Program (1993B)<br>Family Resource Centers (1994B)<br>Archived (1995B)  | <b>93.591</b><br>Family Violence Prevention and Services: Grants to State Domestic Violence Coalitions (1995U)<br>Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to State Domestic Violence Coalitions (1997U) |
| <b>93.571</b><br>Community Services Block Grant Discretionary Awards_Community Food and Nutrition<br>Number changed from 93.033 (1992U)<br>Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2005)<br>Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2006)<br>Deleted (2008) | <b>93.581</b><br>Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (1994U)   | <b>93.592</b><br>Family Violence Prevention and Services: Discretionary Grants (1995U)<br>Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (1997U)   |
| <b>93.572</b><br>Emergency Community Services for the Homeless<br>Number changed from 93.034 (1992U)<br>Archived (1997B)  | <b>93.582</b><br>Mitigation of Environmental Impacts to Indian Lands Due to Department of Defense Activities (1994U)   | <b>93.593</b><br>Job Opportunities for Low-Income Individuals (1995U)   |
| <b>93.573</b><br>Community Services Block Grant Discretionary Awards_Demonstration Partnerships<br>Number changed from 93.035 (1992U)<br>Archived (1997U)   | <b>93.583</b><br>Refugee and Entrant Assistance_Wilson/Fish Program (1994U)  | <b>93.594</b><br>Tribal Work Grants (1997B)   |
| <b>93.574</b><br>Child Care for Families At-Risk of Welfare Dependency<br>Number changed from 93.036 (1992U)<br>Archived (1998B)  | <b>93.584</b><br>Refugee and Entrant Assistance_Targeted Assistance (1994U)<br>Split from 93.566 (1994U)<br>Refugee and Entrant Assistance_Targeted Assistance Grants (2004)   | <b>93.595</b><br>Welfare Reform Research, Evaluations and National Studies (1997B)  |
| <b>93.575</b><br>Payments to States for Child Care Assistance<br>Number changed from 93.037 (1992U)<br>Child Care and Development Block Grant (1995B)   | <b>93.585</b><br>Empowerment Zones Program (1994U)<br>Archived (1998B)   | <b>93.596</b><br>Child Care Mandatory and Matching Funds of the Child Care and Development Fund (1997B)   |
| <b>93.576</b><br>Refugee and Entrant Assistance_Discretionary Grants<br>Number changed from 93.038 (1992U)<br>Consolidated from 93.987 (1997B)  | <b>93.586</b><br>State Court Improvement Program (1994U)   | <b>93.597</b><br>Grants to States for Access and Visitation Programs (1997B)  |
| <b>93.577</b><br>Early Learning Fund (2001U)  | <b>93.587</b><br>Promote the Survival and Vitality of Native American Languages (1994U)<br>Promote the Survival and Continuing Vitality of Native American Languages (1995B)   | <b>93.598</b><br>Assistance for Victims of Trafficking (2001U)<br>Services to Victims of a Severe Form of Trafficking (2002B)   |
| <b>93.578</b><br>Family Support Centers Demonstration Program<br>Number changed from 93.040 (1992U)<br>Homeless Families Support Services Demonstration Program (1992U)<br>Family Support Center and Gateway Demonstration Program (1993U)<br>Archived (1997B)  | <b>93.588</b><br>Community Schools Program (1995U)<br>Community Schools Youth Services and Supervision Program (1996U)<br>Archived (1999B)   | <b>93.599</b><br>Chafee Education and Training Vouchers Program (ETV) (2003B)   |
|   | <b>93.589</b><br>Refugee Assistance_Naturalization and Citizenship Activities (1995U)<br>Archived (1999B)  | <b>93.600</b><br>Administration for Children, Youth and Families_Head Start<br>Number changed from 13.600 (1990U)<br>Head Start (1991U)   |
|   | <b>93.590</b><br>Community-Based Resource Centers (1995U)<br>Community-Based Family Resource and Support Grants (1998B)<br>COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS (2005)<br>Community-Based Child Abuse Prevention Grants | <b>93.601</b><br>Child Support Enforcement Demonstration and Special Projects (1999B)   |



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|   |   |   |
|---|---|---|
| <b>93.603</b><br>Adoption Incentive Payments (1999B)  | Administration on Developmental Disabilities_Basic Support and Advocacy Grants<br>Number changed from 13.630 (1990U)  | <b>93.652</b><br>Administration for Children, Youth and Families_Adoption Opportunities<br>Number changed from 13.652 (1990U)<br>Adoption Opportunities (1991U)   |
| <b>93.604</b><br>Assistance to Torture Victims (2000B)<br>Assistance for Torture Victims (2005)   | Developmental Disabilities Basic Support and Advocacy Grants (1991U)  |   |
| <b>93.605</b><br>Family Connection Grants (2008)  | <b>93.631</b><br>Administration on Developmental Disabilities_Projects of National Significance<br>Number changed from 13.631 (1990U)<br>Developmental Disabilities Projects of National Significance (1991U)   | <b>93.655</b><br>Special Programs for the Aging, Title VI_Part A, Indian Programs_Grants to Indian Tribes_Part B, Grants to Native Hawaiians<br>Number changed from 13.655 (1990U)<br>Special Programs for the Aging, Title VI_Part A, Indian Programs_Grants to Indian Tribes and Part B, Grants to Native Hawaiians (1991B)<br>Number changed to 93.047 (1992U) |
| <b>93.608</b><br>Administration for Children, Youth and Families_Child Welfare Research and Demonstration<br>Number changed from 13.608 (1990U)<br>Child Welfare Research and Demonstration (1991U)<br>Archived (1998B)   | <b>93.632</b><br>Administration on Developmental Disabilities_University Affiliated Programs<br>Number changed from 13.632 (1990U)<br>Developmental Disabilities University Affiliated Programs (1991U)<br>University Centers for Excellence in Developmental Disabilities Education, Research, and Service (2002B) | <b>93.656</b><br>Temporary Child Care and Crisis Nurseries<br>Number changed from 13.656 (1990U)<br>Archived (1998B)  |
| <b>93.612</b><br>Native American Programs<br>Number changed from 13.612 (1990U)   |   | <b>93.657</b><br>Drug Abuse Prevention and Education for Runaway and Homeless Youth<br>Number changed from 13.657 (1990U)<br>Drug Abuse Prevention Program for Runaway and Homeless Youth (1991B)<br>Drug Education and Prevention for Homeless Youth (1993U)<br>Archived (1997B)   |
| <b>93.613</b><br>Mental Retardation_President's Committee on Mental Retardation<br>Number changed from 13.613 (1990U)   | <b>93.633</b><br>Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers<br>Number changed from 13.633 (1990U)<br>Number changed to 93.044 (1992U)   |   |
| <b>93.614</b><br>Child Development Associate Scholarships<br>Number changed from 13.614 (1990U)<br>Archived (1997B)   | <b>93.635</b><br>Special Programs for the Aging_Title III, Part C_Nutrition Services<br>Number changed from 13.635 (1990U)<br>Number changed to 93.045 (1992U)  | <b>93.658</b><br>Foster Care_Title IV-E<br>Number changed from 13.658 (1990U)   |
| <b>93.616</b><br>Mentoring Children of Prisoners (2003B)  | <b>93.641</b><br>Special Programs for the Aging_Title III, Part D_In-Home Services for Frail Older Individuals<br>Number changed from 13.641 (1990U)<br>Number changed to 93.046 (1992U)  | <b>93.659</b><br>Adoption Assistance<br>Number changed from 13.659 (1990U)  |
| <b>93.617</b><br>Voting Access for Individuals with Disabilities_Grants to States and Local Government (2003B)<br>Voting Access for Individuals with Disabilities_Grants to States (2004)   | <b>93.643</b><br>Children's Justice Grants to States<br>Number changed from 13.643 (1990U)  | <b>93.660</b><br>Drug Abuse Prevention and Education Relating to Youth Gangs<br>Number changed from 13.660 (1990U)<br>Drug Education and Prevention Programs for Youth Gangs (1993U)<br>Youth Initiative/Youth Gangs (1994B)<br>Archived (1997B)  |
| <b>93.618</b><br>Voting Access for Individuals with Disabilities_Grants for Protection and Advocacy Systems (2003B)<br>Voting Access for Individuals with Disabilities_Grants for Protection and Advocacy Systems (2004)  | <b>93.645</b><br>Child Welfare Services_State Grants<br>Number changed from 13.645 (1990U)  | <b>93.666</b><br>Comprehensive Child Development Centers<br>Number changed from 13.666 (1990U)<br>Archived (1996B)  |
| <b>93.623</b><br>Administration for Children, Youth and Families_Runaway and Homeless Youth<br>Number changed from 13.623 (1990U)<br>Runaway and Homeless Youth (1991U)<br>Comprehensive Runaway and Homeless Youth (1995U)<br>Runaway and Homeless Youth (1996B) | <b>93.647</b><br>Social Services Research and Demonstration<br>Number changed from 13.647 (1990U)<br>Consolidated from 93.562 (1998B)   | <b>93.667</b><br>Social Services Block Grant<br>Number changed from 13.667 (1990U)  |
| <b>93.630</b>   | <b>93.648</b><br>Child Welfare Services Training Grants<br>Number changed from 13.648 (1990U)<br>Child Welfare Research Training or Demonstration (2009)  | <b>93.668</b><br>Special Programs for the Aging_Title IV_Training, Research and Discretionary Projects and Programs   |

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Number changed from 13.668 (1990U)

Number changed to 93.048 (1992U)

## 93.669

Administration for Children, Youth and Families\_Child Abuse and Neglect State Grants

Number changed from 13.669 (1990U)

Child Abuse and Neglect State Grants (1991U)

## 93.670

Administration for Children, Youth and Families\_Child Abuse and Neglect Discretionary Activities

Number changed from 13.670 (1990U)

Child Abuse and Neglect Discretionary Activities (1991U)

## 93.671

Family Violence and Prevention Services

Number changed from 13.671 (1990U)

Family Violence Prevention and Services\_Grants to States and Indian Tribes (1995B)

Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes (1997U)

## 93.672

Child Abuse Challenge Grants

Number changed from 13.672 (1990U)

Child Abuse and Neglect State Prevention Grants (1992U)

Community-Based Prevention Program (1993U)

Archived (1995B)

## 93.673

Grants to States for Planning and Development of Dependent Care Programs

Number changed from 13.673 (1990U)

Archived (1997B)

## 93.674

Independent Living

Number changed from 13.674 (1990U)

Chafee Foster Care Independent Living (2002B)

Chafee Foster Care Independence Program (2005)

Chafee Foster Care Independence Program (2006)

## 93.676

Unaccompanied Alien Children Program (2003B)

## 93.701

Trans-NIH Recovery Act Research Support (2009)

## 93.702

National Center for Research Resources, Recovery Act Construction Support (2009)

## 93.703

ARRA Health Center Integrated Services

Development Initiative[g1] (2009)

## 93.704

Trans-NIH Recovery Act Loan Repayment Support (2009)

## 93.705

Aging Home-Delivered Nutrition Services for States (2009)

## 93.706

Aging Nutrition Services for Native Americans (2009)

## 93.707

Aging Congregate Nutrition Services for States (2009)

## 93.708

ARRA - HEAD START (2009)

## 93.709

ARRA EARLY HEAD START (2009)

## 93.710

ARRA - COMMUNITY SERVICES BLOCK GRANT (2009)

## 93.711

ARRA STRENGTHENING COMMUNITIES FUND (2009)

## 93.712

ARRA - Immunization (2009)

## 93.713

ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT (2009)

## 93.714

ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAMS (2009)

## 93.715

Recovery Act Comparative Effectiveness Research - AHRQ (2009)

## 93.716

ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS (2009)

## 93.717

ARRA - Preventing Healthcare-Associated Infections (2009)

## 93.718

Health Information Technology Regional Extension Centers Program (2009)

## 93.719

ARRA State Grants to Promote Health Information Technology (2009)

## 93.720

ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (2009)

## 93.721

ARRA - Health Information Technology Professionals in Health Care (2009)

## 93.722

IHS ARRA Tribal Agreements (2009)

ARRA - IHS Tribal Agreements (2009)

## 93.723

ARRA - Prevention and Wellness-State, Territories and Pacific Islands (2009)

## 93.724

ARRA - Prevention and Wellness -Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (2009)

## 93.725

ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (2009)

## 93.727

ARRA - Health Information Technology - Beacon Communities (2009)

## 93.728

ARRA - Strategic Health IT Advanced Research Projects (SHARP) (2009)

## 93.760

Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (2006)

## 93.766

Health Care Financing Research, Demonstrations and Evaluations

Number changed from 13.779 (1990U)

## 93.767

State Children's Insurance Program (1998B)  
Children's Health Insurance Program (2009)

## 93.768

Medicaid Infrastructure Grants to Support the Competitive Employment of People with Disabilities (2000U)

## 93.769

Demonstration to Maintain Independence and Employment (2000U)

## 93.770

## Appendix VII: Historical Profile of Catalog Programs

|  |  |  |
|--|--|--|
| Medicare_Prescription Drug Coverage (2005)   | (2004)<br>Archived (2009)  | Number changed from 13.812 (1990U)<br>Number changed to 96.007 (1995B)   |
| <b>93.773</b><br>Medicare_Supplementary Medical Insurance<br>Number changed from 13.773 (1990U)  | <b>93.786</b><br>State Pharmaceutical Assistance Programs (2004)<br>Archived (2009)  | <b>93.820</b><br>Scholarships for Students of Exceptional Financial Need<br>Number changed from 13.820 (1990U)<br>Archived (2002B)   |
| <b>93.774</b><br>Health Insurance for the Aged_Supplementary Medical Insurance<br>Number changed from 13.774 (1990U)   | <b>93.789</b><br>Alternatives to Psychiatric Residential Treatment Facilities for Children (2006)  | <b>93.821</b><br>Biophysics and Physiological Sciences<br>Number changed from 13.821 (1990U)<br>Incorporated from 93.863 (1995B)<br>Cell Biology and Biophysics Research (1995B)<br>Consolidated into 93.859 (2003B)<br>Deleted (2003) |
| <b>93.775</b><br>State Medicaid Fraud Control Units<br>Number changed from 13.775 (1990U)  | <b>93.790</b><br>Alternate Non-Emergency Service Providers or Networks (2006)  | <b>93.822</b><br>Health Careers Opportunity Program<br>Number changed from 13.822 (1990U)<br>Split into 93.221 (1994U)   |
| <b>93.776</b><br>Hurricane Katrina Relief (2006)<br>Archived (2009)  | <b>93.791</b><br>Money Follows the Person Rebalancing Demonstration (2006)   | <b>93.824</b><br>Area Health Education Centers<br>Number changed from 13.824 (1990U)<br>Basic/Core Area Health Education Centers (1999U)   |
| <b>93.777</b><br>State Survey and Certification of Health Care Providers and Suppliers<br>Number changed from 13.777 (1990U)   | <b>93.793</b><br>Medicaid Transformation Grants (2006)   | <b>93.837</b><br>Heart and Vascular Diseases Research<br>Number changed from 13.837 (1990U)<br>Cardiovascular Diseases Research (2008)   |
| <b>93.778</b><br>Medical Assistance Program<br>Number changed from 13.714 (1990U)  | <b>93.794</b><br>Reimbursement of State Costs for Provision of Part D Drugs (2006)<br>Archived (2009)  | <b>93.838</b><br>Lung Diseases Research<br>Number changed from 13.838 (1990U)  |
| <b>93.779</b><br>Health Care Financing Research, Demonstrations and Evaluations<br>Number changed from 13.766 (1990U)<br>Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (2002B) | <b>93.802</b><br>Social Security_Disability Insurance<br>Number changed from 13.802 (1990U)<br>Number changed to 96.001 (1995B)                          | <b>93.839</b><br>Blood Diseases and Resources Research<br>Number changed from 13.839 (1990U)   |
| <b>93.780</b><br>Grants to States for Operation of Qualified High-Risk Pools (2003B)   | <b>93.803</b><br>Social Security_Retirement Insurance<br>Number changed from 13.803 (1990U)<br>Number changed to 96.002 (1995B)                          | <b>93.846</b><br>Arthritis, Musculoskeletal and Skin Diseases Research<br>Number changed from 13.846 (1990U)   |
| <b>93.781</b><br>Seed Grants to States for Qualified High-Risk Pools (2003B)<br>Archived (2009)  | <b>93.804</b><br>Social Security_Special Benefits for Persons Aged 72 and Over<br>Number changed from 13.804 (1990U)<br>Number changed to 96.003 (1995B) | <b>93.847</b><br>Diabetes, Endocrinology and Metabolism Research<br>Number changed from 13.847 (1990U)<br>Diabetes, Digestive, and Kidney Diseases Extramural Research (2008)  |
| <b>93.782</b><br>Medicare Transitional Drug Assistance Program for Territories (2004)  | <b>93.805</b><br>Social Security_Survivors Insurance<br>Number changed from 13.805 (1990U)<br>Number changed to 96.004 (1995B)                           | <b>93.848</b><br>Digestive Diseases and Nutrition Research<br>Number changed from 13.848 (1990U)<br>Deleted (2008)   |
| <b>93.783</b><br>Medicare Transitional Drug Assistance Program for States (2004)<br>Archived (2009)  | <b>93.806</b><br>Special Benefits for Disabled Coal Miners<br>Number changed from 13.806 (1990U)<br>Number changed to 96.005 (1995B)                     | <b>93.849</b><br>Kidney Diseases, Urology and Hematology Research<br>Number changed from 13.849 (1990U)  |
| <b>93.784</b><br>Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (2004)  | <b>93.807</b><br>Supplemental Security Income<br>Number changed from 13.807 (1990U)<br>Number changed to 96.006 (1995B)                                  |  |
| <b>93.785</b><br>Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care  | <b>93.812</b><br>Public Assistance Research  |  |

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Deleted (2008)

### 93.853

Clinical Research Related to Neurological Disorders

Number changed from 13.853 (1990U)

Consolidated from 93.854 (1999B)

Extramural Research Programs in the Neurosciences and Neurological Disorders (2000B)

### 93.854

Biological Basis Research in the Neurosciences

Number changed from 13.854 (1990U)

Consolidated into 93.853 (1999B)

### 93.855

Allergy, Immunology and Transplantation Research

Number changed from 13.855 (1990U)

### 93.856

Microbiology and Infectious Diseases Research

Number changed from 13.856 (1990U)

### 93.859

Pharmacological Sciences

Number changed from 13.859 (1990U)

Pharmacology and Biorelated Chemistry (1993U)

Incorporated from 93.863 (1995B)

Pharmacology, Physiology, and Biorelated Chemistry (1995B)

Pharmacology, Physiology, and Biological Chemistry Research (1995U)

### 93.862

Genetics Research

Number changed from 13.862 (1990U)

Genetics and Developmental Biology Research (1995B)

Genetics and Developmental Biology Research and Research Training (2000B)

Consolidated into 93.859 (2003B)

Archived (2003)

### 93.863

Cellular and Molecular Basis of Disease Research

Number changed from 13.863 (1990U)

Incorporated into 93.821, 93.859 (1995B)

### 93.864

Population Research

Number changed from 13.864 (1990U)

Consolidated into 93.865 (2003B)

Deleted (2003)

### 93.865

Research for Mothers and Children

Number changed from 13.865 (1990U)

Center for Research for Mothers and Children (1998B)

Child Health and Human Development Extramural

Research (2004)

### 93.866

Aging Research

Number changed from 13.866 (1990U)

### 93.867

Retinal and Choroidal Diseases Research

Number changed from 13.867 (1990U)

Incorporated from 93.868, 93.871 (1993B)

Vision Research (1993B)

### 93.868

Anterior Segment Diseases Research

Number changed from 13.868 (1990U)

Incorporated into 93.867 (1993B)

### 93.871

Strabismus, Amblyopia and Visual Processing

Number changed from 13.871 (1990U)

Incorporated into 93.867 (1993B)

### 93.879

Medical Library Assistance

Number changed from 13.879 (1990U)

### 93.880

Minority Access to Research Careers

Number changed from 13.880 (1990U)

Consolidated into 93.859 (2003B)

Deleted (2003)

### 93.884

Grants for Residency Training in General Internal Medicine and/or General Pediatrics

Number changed from 13.884 (1990U)

Consolidated from 93.379 (2001B)

Grants for Residency Training in Primary Care Medicine and Dentistry (2004)

Grants for Training in Primary Care Medicine and Dentistry (2005)

Grants for Training in Primary Care Medicine and Dentistry (2006)

### 93.886

Grants for Physician Assistant Training Program

Number changed from 13.886 (1990U)

Physician Assistant Training in Primary Care (1999U)

Consolidated into 93.884 (2003B)

Deleted (2003)

### 93.887

Project Grants for Non-Acute Care Intermediate and Long-Term Care Facilities for Patients with AIDS

Number changed from 13.887 (1990U)

Project Grants for Renovation or Construction of Non-Acute Health Care Facilities (1995U)

Project Grants for Renovation or Construction of

Non-Acute Health Care Facilities and Other Facilities (1999U)

Health Care and Other Facilities (2002B)

### 93.888

Specially Selected Health Projects (2004)

### 93.889

National Bioterrorism Hospital Preparedness Program (2004)

### 93.890

Healthy Communities Access Program (HCAP) Demonstration Authority (2004)

### 93.891

Alcohol Research Center Grants

Number changed from 13.891 (1990U)

### 93.894

Resource and Manpower Development in the Environmental Health Services

Number changed from 13.894 (1990U)

Deleted (2006)

### 93.895

Grants for Faculty Development in Family Medicine

Number changed from 13.895 (1990U)

Consolidated from 93.900 (2001B)

Consolidated into 93.884 (2003B)

Deleted (2003)

### 93.896

Grants for Predoctoral Training in Family Medicine

Number changed from 13.896 (1990U)

Predoctoral Training in Primary Care (Family Medicine, General Internal Medicine/General Pediatrics) (2000B)

Consolidated into 93.884 (2003B)

Deleted (2003)

### 93.897

Residency Training and Advanced Education in the General Practice of Dentistry

Number changed from 13.897 (1990U)

Residencies and Advanced Education in the Practice of General Dentistry (1999U)

Consolidated into 93.884 (2003B)

Deleted (2003)

### 93.900

Grants for Faculty Development in General Internal Medicine and/or General Pediatrics

Number changed from 13.900 (1990U)

Consolidated into 93.895 (2001B)

### 93.901

Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems

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- Number changed from 13.901 (1990U)  
Communications Programs Aimed Toward the Prevention of Alcohol, Tobacco, and Other Drug Problems (1992U)  
Communications Programs for Demonstrating the Prevention of Alcohol, Tobacco, and Other Drug Problems (1995B)  
Communications Programs for Demonstrating the Prevention of Alcohol, and Drug Problems (1996B) Archived (1999B)
- 93.902**  
Model Comprehensive Treatment Programs for Critical Populations (1990U)  
Model Comprehensive Drug Abuse Treatment Programs for Critical Populations (1991B) Archived (1999B)
- 93.903**  
Model Criminal Justice Drug Abuse Treatment\_Incarcerated Populations\_Non-Incarcerated Populations\_Treatment Prison (1990U)  
Model Criminal Justice Drug Abuse Treatment\_Incarcerated Populations\_Non-Incarcerated Populations\_Juvenile Justice Populations (1991B)  
Model Criminal Justice Drug Abuse Treatment for Incarcerated Populations, Non-Incarcerated Populations and Juvenile Justice Populations (1992U) Archived (1997B)
- 93.904**  
Prevention and Primary Health Care Services to Persons with HIV Infection and/or AIDS in Community Health Facilities (1990U) Archived (1991U)
- 93.905**  
Indian Health Service Research (1990U) Archived (2001B)
- 93.906**  
Rural Health Medical Education Demonstration Projects (1990U) Archived (2000B)
- 93.907**  
Grants for Nurse Anesthetist Faculty Fellowships (1990U) Archived (2000B)
- 93.908**  
Nursing Education Loan Repayment Agreements for Registered Nurses Entering Employment at Eligible Health Facilities (1990U)  
Nursing Education Loan Repayment Program for Registered Nurses Entering Employment at Eligible Health Facilities (1993U)  
Nursing Education Loan Repayment Program (2005)
- 93.909**  
Subacute Care Demonstration Grants (1990U) Archived (1992B)
- 93.910**  
Community Coalition Projects to Support Health and Human Services Needs for Minority Males (1990U)  
Community Coalition Intervention Demonstration Projects to Support Health and Human Services Needs for Minority Males (1991B)  
Community Coalition Demonstration Projects to Support Health and Human Services Needs for Minority Males (1992B)  
Family and Community Violence Prevention Program (1995B)
- 93.911**  
Cooperative Agreements for Drug Abuse Campus Treatment Demonstration Projects (1991B) Archived (1995B)
- 93.912**  
Rural Health Services Outreach (1991B)  
Rural Outreach\_Rural Network Development Program (1997B)  
Rural Health Outreach and Rural Network Development Program (2000B)  
Rural Health Care Services Outreach and Rural Health Network Development Program (2005)
- 93.913**  
Grants to States for Operation of Offices of Rural Health (1991B)  
Split into 93.223 (1994U)
- 93.914**  
HIV Emergency Relief Project Grants (1991B) Consolidated into 93.915 (1999B) Reinstated (2000B)
- 93.915**  
HIV Emergency Relief Formula Grants (1991B) Consolidated from 93.914 (1999B) Archived (2000B)
- 93.916**  
Nurse Anesthetist Education Programs (1991B) Consolidated into 93.247 (2001B)
- 93.917**  
HIV Care Formula Grants (1991B)
- 93.918**  
Grants to Provide Outpatient Early Prevention Services with Respect to HIV Disease (1991B)
- 93.919**  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Control Programs (1991B)  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (1993B)
- 93.920**  
Facilities Construction Projects to Support Centers for Treatment and Research on Substance Abuse (1991B) Archived (1992B)
- 93.921**  
ADAMHA Science Education Partnership Award (1991B)  
NIAAA, NIDA and NIMH Science Education Partnership Awards (1992U) Incorporated into 93.922 (1993B)
- 93.922**  
NIH Science Education Partnership Award (1991B) Incorporated from 93.921 (1993B)  
NCRR Science Education Award (1994B) Consolidated into 93.389 (1996B)
- 93.923**  
Disadvantaged Health Professions Faculty Loan Repayments (1991B)  
Disadvantaged Health Professions Faculty Loan Repayment and Fellowship Program (1993B)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2005)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2006)
- 93.924**  
HIV/AIDS Dental Reimbursements (1991B)  
Ryan White HIV/AIDS Dental Reimbursements (1996U)  
Ryan White HIV/AIDS Dental Reimbursements\Community Based Dental Partnership (2005)
- 93.925**  
Scholarships for Health Professions Students from Disadvantaged Backgrounds (1991B) Consolidated from 93.139 (2001B)
- 93.926**  
Maternal and Child Health-Targeted Infant Mortality Initiative (1991U)  
Healthy Start Initiative (1992B)
- 93.927**  
Health Services to Residents of Public Housing (1991U)  
Residents of Public Housing Primary Care Program (1992U)  
Health Centers Grants for Residents of Public

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Housing (1997B)

Incorporated into 93.224 (2006)

### 93.928

Special Projects of National Significance (1991U)

### 93.929

Center for Medical Rehabilitation Research (1991U)

Consolidated into 93.865 (2003B)

Deleted (2003)

### 93.930

Nursing Education Loan Demonstration (1991U)

Archived (1992B)

### 93.931

Demonstration Grants to States for Community Scholarship (1991U)

Archived (2000B)

### 93.932

Native Hawaiian Health Centers (1991U)

Native Hawaiian Health Systems (1993B)

### 93.933

Research and Demonstration Projects for Indian Health (1991U)

Demonstration Projects for Indian Health (2000B)

### 93.934

Fogarty International Research Collaboration Award (1992B)

Consolidated into 93.989 (2006)

### 93.935

Project Grants for Renovation or Construction at Tertiary Perinatal Facilities (1992B)

Archived (1993U)

### 93.936

National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (1992B)

### 93.937

Comprehensive Residential Drug Prevention and Treatment Projects for Substance-Using Women and Their Children (1992B)

Archived (1999B)

### 93.938

Cooperative Agreements to Support School Health Education to Prevent the Spread of Acquired Immunodeficiency Syndrome (1992U)

Split from 93.118 (1992U)

Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (1994B)

### 93.939

HIV Prevention Activities\_Non-Governmental Organization Based (1992U)

Split from 93.118 (1992U)

### 93.940

HIV Prevention Activities\_Health Department Based (1992U)

Split from 93.118 (1992U)

### 93.941

HIV Demonstration, Research, Public and Professional Education Projects (1992U)

Split from 93.118 (1992U)

### 93.942

Research, Treatment and Education Programs on Lyme Disease in the United States (1992B)

### 93.943

Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (1992U)

Split from 93.118 (1992U)

### 93.944

Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (1992U)

Split from 93.283 (1992U)

### 93.945

Assistance Program for Chronic Disease Prevention and Control (1992U)

Split from 93.283 (1992U)

Archived (1994U)

Reinstated (2001B)

Assistance Programs for Chronic Disease Prevention and Control (2006)

### 93.946

Cooperative Agreements to Support State-Based Pregnancy Risk Assessment Monitoring System (1992U)

Split from 93.283 (1992U)

Cooperative Agreements to Support State-Based Infant Health Initiative Programs (1993B)

Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (2002B)

### 93.947

Tuberculosis Demonstration, Research, Public and Professional Education (1992U)

Split from 93.116 (1992U)

### 93.948

Pilot Clinical Pharmacology Training (1992B)

Archived (2003B)

### 93.949

HIV/AIDS and Related Diseases Among Substance Abusers: Community-Based Outreach and Intervention Demonstration Program (1992B)

Split from 93.279 (1992B)

Community-Based Comprehensive HIV/STD/TB Outreach Services for High Risk Substance Abusers Demonstration Program (1996U)

Archived (1999B)

### 93.950

Capacity Expansion Program (1992B)

Archived (1997B)

### 93.951

Demonstration Grants to States with Respect to Alzheimer's Disease (1992U)

Archived (2000B)

### 93.952

Improving EMS/Trauma Care in Rural Areas (1992U)

Archived (1997B)

Reinstated (2001U)

Trauma Care Systems Planning and Development (2005)

### 93.953

Modification of Trauma Care Component of State EMS Plan (1992U)

Archived (1997B)

Reinstated (2001U)

Trauma Care Systems Planning and Development (2004)

Consolidated into 93.952 (2005)

### 93.954

Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (1992U)

### 93.955

Health and Safety Programs for Construction Work and Model Construction Safety and Health (1992U)

Split from 93.263, 93.962 (1992U)

Health and Safety Programs for Construction Work (1995B)

Deleted (2005)

### 93.956

Centers for Agricultural Research, Education and Disease and Injury Prevention and Occupational Respiratory Disease and Musculoskeletal Disorders Evaluation and Rehabilitation (1992U)

Split from 93.262, 93.283 (1992U)

Agricultural Health and Safety Programs (1996B)

Deleted (2005)

### 93.957

Occupational Health and Surveillance (1992U)

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Split from 93.262, 93.283 (1992U)  
Occupational Health and Surveillance\_Fatality Assessment and Control Evaluation (1996B)  
Occupational Health and Surveillance Fatality Assessment and Control Evaluation (1998B)  
Occupational Health and Safety Surveillance (2004)  
Deleted (2005)

### 93.958

Block Grants for Community Mental Health Services (1993B)

### 93.959

Block Grants for Prevention and Treatment of Substance Abuse (1993B)

### 93.960

Special Minority Initiatives (1993B)

Consolidated into 93.859 (2003B)

### 93.962

Health Administration Graduate Traineeships  
Number changed from 13.962 (1990U)  
Health Administration Traineeships and Special Projects Program (1993B)  
Health Administration Traineeships Program (2005)

### 93.963

Graduate Programs in Health Administration  
Number changed from 13.963 (1990U)  
Archived (1993B)

### 93.964

Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs  
Number changed from 13.964 (1990U)  
Traineeships for Students in Schools of Public Health (1990U)  
Public Health Traineeships (1993B)

### 93.965

Coal Miners Respiratory Impairment Treatment Clinics and Services  
Number changed from 13.965 (1990U)

### 93.969

Grants for the Training of Health Professions in Geriatrics  
Number changed from 13.969 (1990U)  
Grants for Geriatric Education Centers (1993B)  
Geriatric Education Centers (2002B)

### 93.970

Health Professions Recruitment Program for Indians  
Number changed from 13.970 (1990U)

### 93.971

Health Professions Preparatory Scholarship Program for Indians  
Number changed from 13.971 (1990U)

### 93.972

Health Professions Scholarship Program  
Number changed from 13.972 (1990U)

### 93.973

Special Loans for National Health Service Corps Members to Enter Private Practice  
Number changed from 13.973 (1990U)  
Archived (1997B)

### 93.974

Family Planning\_Service Delivery Improvement Research Grants  
Number changed from 13.974 (1990U)

### 93.975

National All Schedules Prescription Electronic Reporting Grant (2009)

### 93.977

Preventive Health Services\_Sexually Transmitted Diseases Control Grants  
Number changed from 13.977 (1990U)

### 93.978

Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants  
Number changed from 13.978 (1990U)

### 93.982

Mental Health Disaster Assistance and Emergency Mental Health  
Number changed from 13.982 (1990U)

### 93.984

Grants for the Establishment of Departments of Family Medicine  
Number changed from 13.984 (1990U)  
Academic Administrative Units in Primary Care (1999U)  
Consolidated into 93.884 (2003B)  
Deleted (2003)

### 93.987

Health Programs for Refugees  
Number changed from 13.987 (1990U)  
Consolidated into 93.576 (1997B)

### 93.988

Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems  
Number changed from 13.988 (1990U)

### 93.989

Senior International Fellowships  
Number changed from 13.989 (1990U)  
International Research and Research Training (2004)

### 93.990

National Health Promotion  
Number changed from 13.990 (1990U)

### 93.991

Preventive Health and Health Services Block Grant  
Number changed from 13.991 (1990U)

### 93.992

Alcohol and Drug Abuse and Mental Health Services Block Grant  
Number changed from 13.992 (1990U)  
Archived (1993B)

### 93.993

Public Health Research Accreditation Project (2004)

### 93.994

Maternal and Child Health Services Block Grant  
Number changed from 13.994 (1990U)  
Maternal and Child Health Services Block Grant to the States (1993B)

### 93.995

Adolescent Family Life\_Demonstration Projects  
Number changed from 13.995 (1990U)

### 93.996

Bioterrorism Training and Curriculum Development Program (2003B)

### 93.999

Test for Suppression Effects of Advanced Energy (2005)

### 97.074

Law Enforcement Terrorism Prevention Program (LETTP) (2004)

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

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### 94.002

Retired Senior Volunteer Program  
Number changed from 72.002 (1995B)  
Retired and Senior Volunteer Program (1996B)

### 94.003

State Commission (1995B)  
State Commissions (1996B)

### 94.004

Learn and Serve America\_School and Community Based Programs (1995B)

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## 94.005

Learn and Serve America\_Higher Education (1995B)

## 94.006

AmeriCorps (1995B)

## 94.007

Planning and Program Development Grants (1995B)  
Program Development and Innovation Grants (2009)

## 94.009

Training and Technical Assistance (1995B)

## 94.010

Literacy Corps  
Number changed from 72.015 (1995B)  
Archived (1997B)

## 94.011

Foster Grandparent Program  
Number changed from 72.001 (1995B)

## 94.013

Volunteers in Service to America  
Number changed from 72.003 (1995B)

## 94.016

Senior Companion Program  
Number changed from 72.008 (1995B)

## 94.017

Senior Demonstration Program (2009)

## 94.018

Learn and Serve America Innovative Community-Based Service-Learning Programs (2009)

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### 95.001

High Intensity Drug Trafficking Program (1993U)  
Archived (1994B)

### 95.002

Crime Prevention\_Ounce of Prevention Grants (1996B)  
Archived (1996U)

## SOCIAL SECURITY ADMINISTRATION

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### 96.001

Social Security\_Disability Insurance  
Number changed from 93.802 (1995B)

### 96.002

Social Security\_Retirement Insurance  
Number changed from 93.803 (1995B)

### 96.003

Social Security\_Special Benefits for Persons Aged 72 and Over  
Number changed from 93.804 (1995B)  
Deleted (2006)

### 96.004

Social Security\_Survivors Insurance  
Number changed from 93.805 (1995B)

### 96.005

Special Benefits for Disabled Coal Miners  
Number changed from 93.806 (1995B)  
Deleted (2004)

### 96.006

Supplemental Security Income  
Number changed from 93.807 (1995B)

### 96.007

Social Security\_Research and Demonstration  
Number changed from 93.812 (1995B)

### 96.008

Social Security\_Benefits Planning, Assistance, and Outreach Program (2000U)  
Social Security - Work Incentives Planning and Assistance Program (2006)

### 96.009

Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (2002B)

### 96.020

Special Benefits for Certain World War II Veterans (2000U)

### 96.021

SOCIAL SECURITY Economic Recovery Act Payments (2009)

## DEPARTMENT OF HOMELAND SECURITY

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### 97.001

Special Projects (2003B)  
Pilot Demonstration or Earmarked Projects (2005)  
Deleted (2008)

### 97.002

Research Proejects (2003B)

### 97.003

Agriculture Inspection (2003B)

### 97.004

State Domestic Preparedness Equipment Support Program (2003B)  
Transferred from 16.007 (2003B)  
Homeland Security Grant Program (2004)

### 97.005

State and Local Domestic Preparedness Training Program (2003B)  
Transferred from 16.008 (2003B)  
State and Local Homeland Security Training Program (2004)

### 97.006

State and Local Domestic Preparedness Exercise Support (2003B)

Transferred from 16.009 (2003B)

State and Local Homeland Security Exercise Support (2004)  
Archived (2009)

### 97.007

State and Local Domestic Preparedness Technical Assistance (2003B)  
Transferred from 16.010 (2003B)  
Homeland Security Preparedness Technical Assistance (2004)  
Homeland Security Preparedness Technical Assistance Program (2006)

### 97.008

Urban Areas Security Initiative (2003B)  
Transferred from 16.011 (2003B)

### 97.009

Cuban and Haitian Entrant Resettlement Program (2003B)  
Transferred from 16.201 (2003B)  
Cuban/Haitian Entrant Program (2004)

### 97.010

Citizenship Education and Training (2003B)  
Transferred from 16.400 (2003B)

### 97.011

Boating Safety (2003B)  
Transferred from 20.001 (2003B)

### 97.012

Boating Safety Financial Assistance (2003B)  
Transferred from 20.005 (2003B)

### 97.013

State Access to the Oil Spill Liability Trust Fund (2003B)  
Transferred from 20.006 (2003B)

### 97.014

Bridge Alteration (2003B)  
Transferred from 20.007 (2003B)  
Archived (2009)

### 97.015

Secret Service\_Training Activities (2003B)  
Transferred from 21.100 (2003B)



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| <b>97.016</b><br>Reimbursement for Firefighting on Federal Property (2003B)<br>Transferred from 83.007 (2003B)                     | <b>97.029</b><br>Flood Mitigation Assistance (2003B)<br>Transferred from 83.536 (2003B)  | Emergency Management Performance Grants (2003B)<br>Transferred from 83.552 (2003B)   |
| <b>97.017</b><br>Pre-Disaster Mitigation (PDM) Competitive Grants (2004)   | <b>97.030</b><br>Community Disaster Loans (2003B)<br>Transferred from 83.537 (2003B)   | <b>97.043</b><br>State Fire Training Systems Grants (2003B)<br>Transferred from 83.553 (2003B)   |
| <b>97.018</b><br>National Fire Academy Training Assistance (2003B)<br>Transferred from 83.009 (2003B)                              | <b>97.031</b><br>Cora Brown Fund (2003B)<br>Transferred from 83.538 (2003B)  | <b>97.044</b><br>Assistance to Firefighters Grant (2003B)<br>Transferred from 83.554 (2003B)   |
| <b>97.019</b><br>National Fire Academy Educational Program (2003B)<br>Transferred from 83.010 (2003B)                              | <b>97.032</b><br>Crisis Counseling (2003B)<br>Transferred from 83.539 (2003B)  | <b>97.045</b><br>Cooperating Technical Partners (2003B)<br>Transferred from 83.555 (2003B)   |
| <b>97.020</b><br>Hazardous Materials Training Program (2003B)<br>Transferred from 83.011 (2003B)                                   | <b>97.033</b><br>Disaster Legal Services (2003B)<br>Transferred from 83.540 (2003B)  | <b>97.046</b><br>Fire Management Assistance Grant (2003B)<br>Transferred from 83.556 (2003B)   |
| <b>97.021</b><br>Hazardous Materials Assistance Program (2003B)<br>Transferred from 83.012 (2003B)                                 | <b>97.034</b><br>Disaster Unemployment Assistance (2003B)<br>Transferred from 83.541 (2003B)   | <b>97.047</b><br>Pre-Disaster Mitigation (2003B)<br>Transferred from 83.557 (2003B)  |
| <b>97.022</b><br>Flood Insurance (2003B)<br>Transferred from 83.100 (2003B)  | <b>97.035</b><br>Individual and Family Grants (2003B)<br>Transferred from 83.543 (2003B)<br>Deleted (2004)   | <b>97.048</b><br>Federal Assistance to Individuals and Households_Housing (2003B)<br>Transferred from 83.558 (2003B)<br>Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Zones (2006)<br>Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (2007) |
| <b>97.023</b><br>Community Assistance Program_State Support Services Element (CAP-SSSE) (2003B)<br>Transferred from 83.105 (2003B) | <b>97.036</b><br>Public Assistance Grants (2003B)<br>Transferred from 83.544 (2003B)<br>Disaster Grants - Public Assistance (Presidentially Declared Disasters) (2006) | <b>97.049</b><br>Federal Assistance to Individuals and Households_Disaster Housing Operations (2003B)<br>Transferred from 83.559 (2003B)<br>Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (2006)  |
| <b>97.024</b><br>Emergency Food and Shelter National Board Program (2003B)<br>Transferred from 83.523 (2003B)                      | <b>97.037</b><br>Disaster Housing Program (2003B)<br>Transferred from 83.545 (2003B)<br>Deleted (2004)   | <b>97.050</b><br>Federal Assistance to Individuals and Households_Other Needs (2003B)<br>Transferred from 83.560 (2003B)<br>Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (2006)   |
| <b>97.025</b><br>National Urban Search and Rescue (US&R) Response System (2003B)<br>Transferred from 83.526 (2003B)                | <b>97.038</b><br>First Responder Counter-Terrorism Training Assistance (2003B)<br>Transferred from 83.547 (2003B)<br>Deleted (2005)                                    | <b>97.051</b><br>State and Local All Hazards Emergency Operations Planning (2003B)<br>Transferred from 83.562 (2003B)<br>Deleted (2005)  |
| <b>97.026</b><br>Emergency Management Institute_Training Assistance (2003B)<br>Transferred from 83.527 (2003B)                     | <b>97.039</b><br>Hazard Mitigation Grant (2003B)<br>Transferred from 83.548 (2003B)  | <b>97.052</b><br>Emergency Operations Centers (2003B)<br>Transferred from 83.563 (2003B)   |
| <b>97.027</b><br>Emergency Management Institute (EMI)_Independent Study Program (2003B)<br>Transferred from 83.529 (2003B)         | <b>97.040</b><br>Chemical Stockpile Emergency Preparedness Program (2003B)<br>Transferred from 83.549 (2003B)  |  |
| <b>97.028</b><br>Emergency Management Institute (EMI)_Resident Educational Program (2003B)<br>Transferred from 83.530 (2003B)      | <b>97.041</b><br>National Dam Safety Program (2003B)<br>Transferred from 83.550 (2003B)  |  |
|  | <b>97.042</b>  |  |

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|---|---|---|
| <b>97.053</b><br>Citizen Corps (2003B)<br>Transferred from 83.564 (2003B)   | Research, Testing, Evaluation and Demonstration Program (2008)  | <b>97.082</b><br>Earthquake Consortium (2005)   |
| <b>97.054</b><br>Community Emergency Response Teams (2003B)<br>Incorporated into 97.053 (2006)<br><br>Transferred from 83.565 (2003B)   | <b>97.067</b><br>Homeland Security Grant Program (2004)   | <b>97.083</b><br>Staffing for Adequate Fire and Emergency Response (SAFER) (2005)       |
| <b>97.055</b><br>Interoperable Communications Equipment (2003B)<br>Transferred from 83.566 (2003B)  | <b>97.068</b><br>Competitive Training Grants (2004)   | <b>97.084</b><br>Hurricane Katrina Case Management Initiative Program (2005)            |
| <b>97.056</b><br>Port Security Grants for Critical National Seaports (2003B)<br>Port Security Grant Program for Critical National Seaports (2004)<br>Port Security Grant Program (2005) | <b>97.069</b><br>Aviation Research Grants (2004)  | <b>97.085</b><br>9-11 Heros Stamp Program (2005)  |
| <b>97.057</b><br>Intercity Bus Security Grants (2003B)  | <b>97.070</b><br>Map Modernization Management Support (2004)  | <b>97.086</b><br>Homeland Security Outreach, Education, and Technical Assistance (2005) |
| <b>97.058</b><br>Operation Safe Commerce (OSC) (2003B)<br>Operation Safe Commerce (OSC) Cooperative Agreement Program. (2004)   | <b>97.071</b><br>Metropolitan Medical Response System (2004)  | <b>97.087</b><br>Alternative Housing Pilot Program (2006)                               |
| <b>97.059</b><br>Truck Security Program (2003B)   | <b>97.072</b><br>National Explosives Detection Canine Team Program (2004)   | <b>97.088</b><br>Disaster Assistance Projects (2005)                                    |
| <b>97.060</b><br>Port Security Research and Development Grant (2004)  | <b>97.073</b><br>State Homeland Security Program (SHSP) (2004)  | <b>97.089</b><br>Real ID Program (2005)   |
| <b>97.061</b><br>Centers for Homeland Security (2004)   | <b>97.075</b><br>RAIL AND TRANSIT SECURITY GRANT PROGRAM (2004)   | <b>97.090</b><br>Law Enforcement Officer Reimbursement Agreement Program (2006)         |
| <b>97.062</b><br>Scholars and Fellows (2004)<br>Scholars and Fellows, and Educational Programs (2007)   | <b>97.076</b><br>National Center for Missing and Exploited Children (NCMEC) (2005)  | <b>97.091</b><br>Homeland Security Biowatch Program (2006)                              |
| <b>97.063</b><br>97.063 Pre-Disaster Mitigation Disaster Resistant Universities (2004)  | <b>97.077</b><br>Homeland Security Testing, Evaluation, and Demonstration of Technologies (2005)<br>Homeland Security Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2007)<br>Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2008) | <b>97.092</b><br>Repetitive Flood Claims (2008)   |
| <b>97.064</b><br>Debris Removal Insurance (2004)  | <b>97.078</b><br>Buffer Zone Protection Plan (BZPP) (2005)<br>Buffer Zone Protection Program (BZPP) (2007)  | <b>97.093</b><br>Fire Service Hazardous Materials Preparedness and Response (2006)      |
| <b>97.065</b><br>Homeland Security Advanced Research Projects Agency (2004)   | <b>97.079</b><br>Public Alert Radios for Schools (2005)   | <b>97.094</b><br>Prevention Advocacy Resources and Data Exchange Program (2006)         |
| <b>97.066</b><br>Homeland Security Information Technology and Evaluation Program (2004)<br>Homeland Security Information Technology   | <b>97.080</b><br>97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (2005)<br>Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (2009)   | <b>97.095</b><br>Safe Kids Worldwide (2006)   |
|   | <b>97.081</b><br>Law Enforcement Training and Technical Assistance (2005)   | <b>97.096</b><br>Commercial Equipment Direct Assistance Program (CEDAP) (2006)          |

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### 97.100

Airport Checked Baggage Screening Program (2007)

### 97.103

Degrees at a Distance Program (2007)

### 97.104

Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (2007)

### 97.105

Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (2007)

### 97.106

Securing the Cities (2007)

### 97.107

National Incident Management System (NIMS) (2007)

### 97.108

Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (2007)

### 97.109

Disaster Housing Assistance Grant (2007)

### 97.110

Severe Loss Repetitive Program (2008)

### 97.111

Regional Catastrophic Preparedness Grant Program (RCPGP) (2008)

### 97.112

Border Infrastructure Improvement Projects (2008)

### 97.113

Rail and Transit Security Grant Program (ARRA) (2009)

### 97.114

Emergency Food and Shelter National Board Program (ARRA) (2009)

### 97.115

Assistance to Firefighters Grant (ARRA) (2009)

### 97.116

Port Security Grant Program (ARRA) (2009)

### 97.117

TSA Airport Checked Baggage Inspection System Program (ARRA) (2009)

### 97.118

Advanced Surveillance Program (ASP) (2009)

### 97.119

2010 Olympics First Responder Training (2009)

## AGENCY FOR INTERNATIONAL DEVELOPMENT

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### 98.001

USAID Foreign Assistance for Programs Overseas (2004)

### 98.002

Cooperative Development Program (CDP) (2004)

### 98.003

Ocean Freight Reimbursement Program (OFR) (2004)

### 98.004

Non-Governmental Organization Strengthening (NGO) (2004)

### 98.005

Institutional Support Assistance (ISA) (2004)  
Institutional Capacity Building (ICB) (2005)  
Institutional Capacity Building (ICB) (2005)

### 98.006

Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (2004)

### 98.007

Food for Peace Development Assistance Program (DAP) (2004)

### 98.008

USAID Food for Peace Emergency Program (EP) (2004)

### 98.009

The John Ogonowski Farmer-to-Farmer Program (2004)

### 98.010

Denton Program (2004)

### 98.011

Global Development Alliance (2004)

### 98.012

USAID Development Partnerships for University Cooperation and Development (2005)